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14 June 2019

Governance Committee

A meeting of the Committee will be held at **2.15 pm** on **Monday, 24 June 2019** at **County Hall, Chichester**.

Tony Kershaw
Director of Law and Assurance

Agenda

1. **Declarations of Interest**

   Members and officers must declare any pecuniary or personal interest in any business on the agenda. They should also make declarations at any stage such an interest becomes apparent during the meeting. Consideration should be given to leaving the meeting if the nature of the interest warrants it. If in doubt please contact Democratic Services before the meeting.

2. **Minutes of the last meeting of the Committee** (Pages 3 - 8)

   The Committee is asked to agree the minutes of the meeting held on 13 May 2019 (cream paper).

3. **Urgent Matters**

   Items not on the agenda which the Chairman of the meeting is of the opinion should be considered as a matter of urgency by reason of special circumstances.

4. **New National Scrutiny Guidance** (Pages 9 - 50)

   Report by the Director of Law and Assurance.

   Following a request from the Performance and Finance Select Committee and a notice of motion approved at the County Council meeting on 7 June 2019, the Committee is asked to review scrutiny in the light of new national guidance and best practice on scrutiny and consider whether any changes should be made to the Council's scrutiny arrangements.

5. **Pension Advisory Board: Business Plan 2019/20** (Pages 51 - 66)

   Report by the Director of Finance and Support Services.

The Committee is asked to consider the Pension Advisory Board draft Business Plan and budget for 2019/20.

6. **Report of Member Attendance April 2018 to March 2019** (Pages 67 - 72)

Report by the Director of Law and Assurance.

As part of its terms of reference the Governance Committee is required to monitor attendance of members at meetings of the County Council and its committees annually. The Committee is asked to note members' attendance for the period 1 April 2018 to 31 March 2019.

7. **Staff Induction Process** (Pages 73 - 74)

Letter from the Chairman of the Regulation, Audit and Accounts Committee.

The Committee is asked to note the outcome of the Regulation, Audit and Accounts Committee's monitoring of the staff induction process.

8. **Date of Next Meeting**

The next meeting of the Committee will be held at 2.15 p.m. on Monday, 9 September 2019 at County Hall, Chichester.

To all members of the Governance Committee

Governance Committee

13 May 2019 – At a meeting of the Governance Committee held at 2.15 pm at County Hall, Chichester.

Present: Mrs Duncton (Chairman)

Mr Burrett (arrived at 2.28 pm), Ms Goldsmith (arrived at 2.20 pm), Mr Lanzer, Mr Mitchell, Mr Patel and Dr Walsh

Apologies were received from Mr Acraman

Also in attendance: Ms Kennard and Mr Jones

Part I

1.   Declarations of Interest

1.1   No interests declared.

2.   Minutes of the last meeting of the Committee

2.1   Dr Walsh commented that, in his view, the minute of the urgent item did not include all the points made. The Chairman assured members that the action set out in the minute had been undertaken.

2.2   Resolved – That the minutes of the meeting held on 21 January 2019 be approved as a correct record and that they be signed by the Chairman.

2.3   Dr Walsh voted against the approval of the minutes and asked for that to be recorded.

3.   Select Committee Business Planning Group Membership

3.1   The Committee considered a report by the Director of Law and Assurance on proposals for recommendation to the County Council that the Constitution should require the Vice-Chairman of a Select Committee to be a member of its Business Planning Group and also its Vice-Chairman, as it the current practice (copy appended to the signed minutes).

3.2   Resolved – That the County Council be recommended that the Constitution should require the Vice-Chairman of a Select Committee to be a member of its Business Planning Group and to be Vice-Chairman of this Group, as set out at paragraph 2.1 of the report.

4.   Filming of Meetings

4.1   Following a request from the Chairman and Group Leaders, the Committee considered a report from the Director of Law and Assurance on a Filming of Meetings Protocol which had been developed in line with best practice from other local authorities (copy appended to the signed minutes).

4.2   The Director of Law and Assurance commented that the guidance was intended to help chairmen manage the filming of meetings and encourage advance notice that filming would be taking place: those wishing to film did not need to seek consent.

4.3   The Leader commented that the Council wanted meetings to be as open and transparent as possible but that the guidance would be helpful to all concerned. She suggested that in paragraph 2 of Appendix 1 'may' should be changed to 'will' and that was agreed.

4.4   Resolved –

   (1)   That the draft protocol attached at Appendix 1, subject to the amendment set out in minute 4.3, be agreed; and

   (2)   That the protocol be published on the County Council's website and be posted in each committee room and venues for public meetings.

5.   Webcasting of Committee Meetings

5.1   The Committee was asked to consider a report by the Director of Law and Assurance on aspects of the County Council's use of webcasting – the amount of webcasting undertaken, who should take the decision whether a meeting should be webcast and the criteria on which the decision should be based (copy appended to the signed minutes).

5.2   Members supported the webcasting of more meetings and felt that the introduction of the new mobile webcasting kit, which enabled meetings in rooms other than the Council Chamber to be webcast, was an improvement. It was felt that in a county the size of West Sussex it was important to make decision-making as open and transparent as possible and webcasting also reduced the need for travel.

5.3   Members asked about the number of hours in the current webcasting contract the Director of Law and Assurance said discussions were underway with the webcasting provider about the options for increasing the annual allocation at the lower charging rate.

5.4   The Committee discussed the options put forward in paragraph 2.1 to 2.3 of the report.

5.5   Members supported the proposal in paragraph 2.1 of the report that there should be a presumption in favour of webcasting all or part of all meetings of the Planning Committee, Select Committees and formal meetings of the Cabinet. A proposal that there should be a presumption that all meetings of the Regulation, Audit and Accounts Committee should also be webcast was not seconded.

5.6   In relation to the options put forward in paragraph 2.2 of the report as to who would be able to waive the presumption, a proposal that it should be the chairman or vice-chairman or, for select committees, the Business Planning Group (BPG) was not seconded. Instead the Committee

agreed that the decision to waive presumption should be the chairman and vice-chairman and that, for select committees, if a difference of opinion should arise between those two members, the decision should be referred to members of the BPG who should be consulted via email.

5.7   The Committee agreed the criteria used to inform the decision as to whether to webcast all or part of a meeting or to waive the presumption, as set out in paragraph 2.3 of the report.

5.8   The Leader requested that there should be a report to the Committee at the end of the year setting out the number of meetings webcast with viewing figures.

5.9   Resolved – That the County Council be recommended

(1)   That there should be a presumption in favour of webcasting all meetings of Planning Committee, Select Committees and formal meetings of the Cabinet;

(2)   That the decision to waive the presumption of webcasting should rest with the chairman and vice-chairman and that, for select committees, if a difference of opinion should arise between those two members, the decision should be referred to the members of the Business Planning Group;

(3)   That the criteria to be used to inform the decision as to whether to webcast all or part of a meeting, be as set out in paragraph 2.3 of the report; and

(4)   That a report be brought to the Committee at the end of the year setting out the number of meetings webcast together with viewing figures.

6.   **Proposed delegation re Anti-Fraud and Corruption Policies**

6.1   The Committee was reminded that, following the review of the Constitution in summer 2018, the Anti-Bribery and Corruption and Anti-Money Laundering Policies had been moved outside the Constitution. Responsibility for the monitoring of and making changes to the policies was part of the terms of reference of the Regulation, Audit and Accounts Committee. As a consequence of the changes, an explicit delegation is now recommended to the Director of Finance, Performance and Procurement (now the Director of Finance and Support Services) for the operation and enforcement of the policies, as well as making non-material/minor changes to them. The Committee was asked to agree the proposed delegation below for inclusion in the Scheme of Delegation:

Section/No.	Function	Officer	Form of shared delegation
2A	**Anti-Fraud and Corruption**		

Section/No.	Function	Officer	Form of shared delegation
140A	Operation and enforcement of the Anti-Bribery and Corruption and Anti-Money Laundering Policies and the resources and systems to ensure prevention of fraud and the investigation of allegations of fraud. Making non-material/minor changes to the policies.	Director of Finance and Support Services	

6.2   Members noted in the text of paragraph 140A that the word 'Polices' on the agenda should read 'Policies'.

6.3   Resolved – that, subject to the correction set out in minute 6.2 above, the delegation be approved for inclusion in the Scheme of Delegation.

7.   Staff Appeals Panel Annual Report 2018/19

7.1   The Committee considered the annual report of the Appeals Panel for 2018/19 by the Director of Human Resources and Organisational Change and the Director of Law and Assurance (copy appended to the signed minutes).

7.2   A question was asked about whether statistics on the number of appeals held per year included appeals which had been set up and then withdrawn. The Director of Law and Assurance said it did not but that such instances could be included in the report in future years.

7.3   Resolved –

(1)   That the Appeals Panel Annual Report 2018/19 be noted; and

(2)   That in future years the report of appeals heard would include a note of those which were requested but had not gone forward for any reason.

8.   Report of the Member Development Group

8.1   The Committee received the regular report on the work of the Member Development Group (MDG), including an overview of member development activities and attendance during 2018/19 and details of upcoming member development sessions (copy appended to the signed minutes). The report also included the outcomes and action plan as a result of phase one of the work for the 'Journey to the 2021 Elections: Three-year Programme to Promote Local Democracy' by the Member Development Working Group and plans for phase two. Members noted that, in paragraph 2.6 of the report, the date of the budget 2020/21 Member Day had been put back to 16 January from 8 January 2020.

8.2   Ms Kennard, the Chairman of the MDG, and Mrs Duncton, as the Chairman of the Member Development Working Group, commented on the report. Ms Kennard expressed her thanks to the members of the Working Group for their excellent work so far.

8.3   In relation to the findings and recommendation of the Working Group, as set out in Appendix 1 to the report, members welcomed the proposal that videoconferencing should always be offered for informal member meetings. The Committee supported the proposed programme in the run up to the elections in 2021 and stressed the importance of holding sessions around the county and making them at a time that suited those who worked. The Head of Democratic Services confirmed that sessions for those thinking of standing would be held in Crawley, Horsham and Worthing in the autumn. The session for candidates would be held at County Hall as it was felt it was useful for candidates to have the opportunity to visit the campus and see the Council Chamber.

8.4   Dr Walsh commented that, as a result of the recent local elections, Arun District Council now had three members in wheelchairs which required adjustments to be made. The Head of Democratic Services said the Working Group had met Facilities Management to discuss the issue of access to the County Hall campus and an audit was being undertaken to see what improvements could be made. Mr Burrett commented it was important to look at those with mobility problems, not just those in wheelchairs, when looking at the accessibility of the building. He also said that timely provision of agenda papers was important for those with time pressures who may have set aside time for preparing for a meeting.

8.5   Members supported the provision of video statements by current members to encourage those thinking of standing and the Head of Democratic Services said the Communications Team would be producing some new short videos for use in the run up to the next elections.

8.6   Resolved – That the report be noted and the phase one findings and recommendations of the MDG working group, as set out at Appendix 1 to the report, be endorsed.

9.   **Appointments to Committees, Panels and Outside Bodies**

9.1   In accordance with the provisions of the Local Government and Housing Act 1989, the Committee was asked to appoint members to serve on the committees, panels and outside bodies as set out in the report by the Director of Law and Assurance (copy appended to the signed minutes) in line with the expressed wishes of the political groups.

9.2   The Committee noted in relation to the membership of the Member Development Group that Mrs Duncton was coming off the Group. An appointment to the Labour vacancy on the Group would be made by the Council at its meeting on 7 June 2019.

9.3   Resolved – That, with the change set out in minute 9.2 above, appointments to committees, panels and South East Employers be approved as set out in the note.

10. Report of Urgent Action

10.1   The Committee noted action taken by the Director of Law and Assurance, in consultation with the Chairman, as follows:

Corporate Parenting Panel Terms of Reference

Endorsement of new terms of reference and membership of the Corporate Parenting Panel, for recommendation to the County Council on 5 April 2019.

11. Date of Next Meeting

11.1   The Committee noted that the next meeting will be held at 2.15 p.m. on Monday, 24 June 2019.

The meeting ended at 3.18 pm

Chairman

Governance Committee

24 June 2019   **Part I**

New National Scrutiny Guidance

Report by Director of Law and Assurance

Summary

At its meeting in May 2019, the Performance and Finance Select Committee carried out its annual scrutiny performance review and was informed that new statutory guidance on overview and scrutiny in local authorities had just been published by the Government. It recommended that a review of scrutiny should be undertaken by the Governance Committee to consider the national guidance and best practice on scrutiny including the appointment of committee chairmen and vice chairmen. In addition, a notice of motion approved at the County Council meeting on 7 June agreed to invite the Governance Committee to consider whether any changes should be made to the Council's scrutiny arrangements.

This report provides details of the new national guidance for the Committee to consider. The report also outlines plans already in place for a number of activities to review scrutiny, including through the annual report to County Council, a member development session and reflection on learning from the recent Ofsted Inspection of Children's Social Care. The Committee may wish to consider how best to take into account the outcomes of these activities.

Recommendations

The Governance Committee is asked to:

(1)   Review the new statutory scrutiny guidance and consider any changes which may be needed to the Council's scrutiny arrangements;

(2)   Recommend any agreed changes to governance arrangements for early implementation for approval by County Council in July 2019; and

(3)   Consider whether a more thorough review of scrutiny should be undertaken for reporting back to the Committee later in the year and, if so, what the focus of this review should be and how it should be carried out.

1.   Background and Context

1.1   New statutory guidance on overview and scrutiny in local authorities was published in May 2019 by the Ministry of Housing, Communities and Local Government. Current legislation recognises that authorities are best-placed to determine the overview and scrutiny arrangements that best suit their own needs, and so gives them flexibility to decide which arrangements to

adopt. The new guidance was informed by a review of scrutiny undertaken by the House of Commons Select Committee in 2017 to which this Committee provided comment.

1.2   The guidance is statutory and therefore local authorities must 'have regard' to it when exercising the scrutiny function. The guidance does not need to be followed in every detail, but it should be followed unless there is a good reason not to. The guidance also recognises that every council approaches scrutiny differently, and that what might work well in one council might not in another.

1.3   The statutory guidance is set out at **Appendix 1** and is summarised at paragraph 3, including some specific issues for consideration.

2.   **Scrutiny at West Sussex County Council (WSCC)**

2.1   The scrutiny function at the Council was set up following the Local Government Act 2000 which replaced the committee structure in local authorities with new executive governance arrangements. This led to the establishment of overview and scrutiny committees to ensure non-executive members could hold the executive to account. These committees have always been known as select committees at WSCC, and by 2003 six of these were in place. Since that time, the Governance Committee has carried out several reviews of the scrutiny function, including in 2011/12 when the number of committees was reduced to four and more recently in 2016, when proposals to reduce the number of committees were not taken forward.

2.2   The Performance and Finance Select Committee (PFSC) has responsibility for an overview of the scrutiny process, including approval and monitoring of the work programme, development and best practice, performance and the training needs of scrutiny members. At its last meeting, PFSC carried out its annual review of scrutiny and a number of issues were raised, including:

- the independence of scrutiny
- the appointment of chairmen and vice-chairmen
- how proactive committees are at identifying topics for scrutiny.

PFSC agreed to recommend to the Governance Committee that it should carry out a review of the scrutiny arrangements at the Council, to take account of the new national guidance and best practice to improve effectiveness.

2.3   The annual scrutiny newsletter (which reports on scrutiny activity and development, including feedback from the member survey on scrutiny) is due to be reported to County Council in July 2019. The member survey has highlighted some areas of concern, with low response rates (compared with previous years) relating to:

- Select committees' ability to influence decisions appropriately
- Clear, measurable outcomes from the scrutiny process
- Select committees' opportunity to input into policy development
- The appropriateness of select committee involvement in issues

2.4   These issues are due to be considered by select committee business planning groups (BPGs) as well as at a member day session planned for later in the year. Areas with more positive scores included that the select committee work programme reflects issues of greatest public concern/importance and members ability to commit the necessary time to undertake their role

2.5   The Children and Young People's Services Select Committee (CYPSSC) is due to consider the implications of the finding of the recent Ofsted Inspection of Children's Social Care that "oversight, scrutiny and challenge from corporate leaders, including the children's select committee and the corporate parenting panel, have not been sufficiently rigorous". It will identify any specific changes required to ensure a more effective approach to the scrutiny of Children's Social Care, and there may be wider implications from this work for the whole scrutiny function.

2.6   A member development session on scrutiny is planned for the autumn of 2019, with input from the national Centre for Public Scrutiny, which will include consideration of:

• Feedback from CYPSSC
• The effectiveness of scrutiny at WSCC and how this should be monitored and evaluated
• How to improve scrutiny input into performance monitoring
• Members' roles in scrutiny (to include questioning skills)
• Best practice from elsewhere

3.   Statutory Guidance on Overview and Scrutiny

3.1   The new national guidance states that effective overview and scrutiny should:

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

3.2   The guidance recognises that local authorities are best-placed to determine the scrutiny arrangements to suit their individual needs, so there is a degree of flexibility in deciding what arrangements to adopt. It stresses the importance of organisational culture to effective overview and scrutiny and recognises that councils that welcome challenge and have a strong commitment to this from the top - both senior members and officers - are the most effective.

3.3   The guidance is set out in six themes: culture, resourcing, selecting committee members, power to access information, planning work and evidence sessions. These are summarised below, including specific questions/issues for the Committee to consider:

3.3.1   **Culture** (Guidance pages 8 to 12): Organisational culture, behaviours and attitudes of the authority will determine whether its scrutiny function succeeds or fails. Low levels of support for and engagement with the scrutiny

function can lead to poor quality and ill-focussed work that reinforces the perception that scrutiny is of little worth or relevance. It is important that the function is member led. The executive should not try to exercise control over the work of the scrutiny committee and scrutiny chairmen should determine the extent of the executive's participation. The guidance suggests the development of an 'executive-scrutiny protocol' which defines the relationship and how to mitigate any differences of opinion. Impartial officer advice is fundamental to effective scrutiny, particularly statutory officers who have a role in ensuring timely, relevant and high-quality advice to scrutiny.

Issues to consider: If any answer is 'no' or 'not well enough' then the Committee should consider what would change or improve the position:

a) Are the importance and legitimacy of the scrutiny arrangements recognised and appreciated by all members and officers?
b) Has a clear role and focus been established for the scrutiny function to deliver work that is of real value and relevance to the authority?
c) Does early and regular engagement take place between the executive and scrutiny?
d) Do the executive and scrutiny work together to resolve any disagreement, particularly in relation to the findings and recommendations of scrutiny? - Would an executive-scrutiny protocol would be beneficial?
e) Are officers able to provide impartial advice to scrutiny committees?
f) Are all members and officers aware of the role, value, powers and membership of scrutiny committees?
g) Is Full Council is informed of the work of scrutiny? (N.B. At WSCC, there is an annual scrutiny report to County Council and there is the ability for select committees to request a debate)
h) Is the work of scrutiny communicated to the wider community – and how?
i) Are scrutiny members able, and supported, to adopt an independent mind-set in order to carry out their work effectively.

3.3.2 **Resourcing** (Guidance pages 13 – 14): Developing and maintaining an effective scrutiny function requires sufficient resource to be allocated. This is not always about budget and officer time but is also about the provision of effective support to those who carry out the scrutiny function (officers and members). Members should be provided with the support needed to be able to ask effective questions and make effective recommendations.

Issues to consider (and comment on for any improvement options):

a) Are the necessary resources allocated to support the scrutiny function?
b) Is the role of the statutory scrutiny officer fulfilled appropriately? (N.B. this role sits with the Head of Democratic Services)
c) Is the officer resource model appropriate to the provision of effective scrutiny? (N.B. At West Sussex there is an integrated model, with officers supporting both the scrutiny and executive).
d) Are officers providing scrutiny support able to offer impartial advice?
e) Is the training and support provided to members adequate?

3.3.3 **Selecting Committee Members** *(Guidance pages 15 – 17):* A committee must 'possess the requisite expertise, commitment and ability to act impartially to fulfil its functions'. The chairman plays a key leadership role in

terms of independence, profile, influence and ways of working. The guidance is not prescriptive on how chairmen should be appointed but suggests all councils should consider taking a vote by secret ballot.

Issues to consider:

a) How scrutiny members are selected and whether they have the necessary experience, expertise, interest, ability to act impartially and to work as a group.
b) How the Council appoints select committee chairmen, to include consideration of a vote by secret ballot.
c) How external advice or evidence is provided – through the co-option of members or invitation of external witnesses to meetings?

3.3.4 **Power to Access Information** (Guidance pages 18 – 20)*: S*crutiny committees need access to relevant information and to receive it in good time. They have the power to access information and to require members of the executive and officers to attend to answer questions. Scrutiny members should have access to key information about the management of the authority, particularly on performance management and risk. While each request for information should be judged on its individual merits, councils should adopt a default position of sharing all information they hold with scrutiny committee members.

Issues to consider:

a) Do members have timely access to the right information on the management of the authority, including performance and risk?
b) How well do scrutiny members liaise with the executive and officers over information they require and why? (N.B. Select committee BPGs play a role in this)
c) How select committees seek information from external organisations.

3.3.5 **Planning Work** (Guidance pages 21 – 24): Effective scrutiny should have a defined impact, with the committee making recommendations that will make a tangible difference to the work of the authority. To do this, scrutiny committees need to plan a work programme that is flexible enough to accommodate any urgent issues that arise during the year. At WSCC each select committee has a BPG responsible for planning the work of the committee. BPGs meet three times per year and use a checklist which is used to prioritise issues (set out at **Appendix 2**).

Issues to consider:

a) How the work programme is developed.
b) How evidence is gathered – including input from the public, the Council's partners and the executive (including senior officers).
c) How supporting information is used (performance, finance, risk, business cases) to develop priorities for scrutiny – and whether such information is kept under regular review.
d) Whether focussed scrutiny takes place.
e) How issues are prioritised or ranked.

f) What different ways of working are used to carry out scrutiny – agenda items, themed meetings on single topics, task and finish groups (short and long-term), by establishing standing panels.

3.3.6 **Evidence Sessions** (Guidance pages 25 – 26): These are a valuable way in which scrutiny committees can inform their work and they can happen at formal committees, in informal task and finish groups or at standalone sessions. The County Council rarely holds this type of session, most work being led by officer reports and draft executive decision reports and with preparation and planning for scrutiny primarily carried out through BPGs and by the chairman and vice chairman (including at pre-agenda meetings).

Issues to consider:

a) Should evidence sessions be used more?
b) How are the overall objectives for scrutiny developed?
c) Are all scrutiny members aware of the objectives for scrutinising issues? – How are they involved in work programme planning?
d) Should 'wash up' meetings be held to review whether objectives have been met and whether any lessons have been learnt for future sessions?
e) The role and value of BPGs and pre-agenda meetings.
f) How recommendations are developed and whether they are SMART (specific, measurable, achievable, relevant, timed).

3.4 The Committee may consider that these complex and overlapping issues require a more thorough engagement with all members and the benefit of a broader range of information and options for consideration. This could be undertaken through:

- A task and finish group with a specific remit
- Separate consideration by each service select committee
- A member development day
- A report to the Committee with some options for change

In addition, the Committee may identify the need for additional information such as:

- Examples of practice elsewhere
- Feedback from consultation with all members
- Options or ideas from internal and external sources
- The output from the CYPSSC review.

3.5 When considering the range of issues it may be that the Committee is able to identify changes which should be considered at an early stage and recommended for approval at the next meeting of the County Council. Of particular note is the output from the notice of motion at County Council in June which identified the arrangements for the appointment of chairmen and vice-chairmen of select committees as one requiring attention

Factors taken into account

4. **Consultation**

   PFSC carried out its annual review of scrutiny performance 2018/19 in May 2019. This included analysis of the annual scrutiny member survey which will also be reported, through the scrutiny newsletter, to County Council in July 2019. Consultation on the Council's scrutiny structures has been carried out previously, including through a review in 2016. If the Governance Committee decides to carry out a more detailed review of scrutiny, any necessary consultation and evidence gathering will be considered as part of this and to support any recommendations for change.

5. **Risk Management Implications**

   There are reputational and operational risks if an effective scrutiny function is not provided.

6. **Other Options Considered**

   Options for how scrutiny is carried out at the County Council may be considered as part of any further review. In 2016, as part of a Democratic Services Savings review, a number of options were identified and subject to consultation with members. These included reducing the current configuration of select committees from four to three, two or one. These options were not supported by members.

7. **Equality Duty**

   Not applicable as this is an internal report. Any further review of scrutiny will consider equality issues as appropriate.

8. **Social Value**

   Not applicable

9. **Crime and Disorder Act Implications**

   Not applicable

10. **Human Rights Implications**

    Not applicable

   Tony Kershaw
   Director of Law and Assurance

   Contact: Helen Kenny, Head of Democratic Services and Statutory Scrutiny Officer, tel: 033022 22532, email: helen.kenny@westsussex.gov.uk

Appendices:

- **Appendix 1 –** Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities, May 2019
- **Appendix 2** – Scrutiny work programme planning checklist

Background Papers

None

Ministry of Housing,
Communities &
Local Government

Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities

May 2019
Ministry of Housing, Communities and Local Government

OGL

Contents

3

Ministerial Foreword

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

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

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

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

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

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

Rishi Sunak MP
Minister for Local Government

4

About this Guidance

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

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

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

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

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

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

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

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

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

5

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

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

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

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

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

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

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

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

6

1. Introduction and Context

1. Overview and scrutiny committees were introduced in 2000 as part of new executive governance arrangements to ensure that members of an authority who were not part of the executive could hold the executive to account for the decisions and actions that affect their communities.

2. Overview and scrutiny committees have statutory powers[2] to scrutinise decisions the executive is planning to take, those it plans to implement, and those that have already been taken/implemented. Recommendations following scrutiny enable improvements to be made to policies and how they are implemented. Overview and scrutiny committees can also play a valuable role in developing policy.

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

3. The requirement for local authorities in England to establish overview and scrutiny committees is set out in sections 9F to 9FI of the Local Government Act 2000 as amended by the Localism Act 2011.

4. The Localism Act 2011 amended the Local Government Act 2000 to allow councils to revert to a non-executive form of governance - the 'committee system'. Councils who adopt the committee system are not required to have overview and scrutiny but may do so if they wish. The legislation has been strengthened and updated since 2000, most recently to reflect new governance arrangements with combined authorities. Requirements for combined authorities are set out in Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

5. Current overview and scrutiny legislation recognises that authorities are democratically-elected bodies who are best-placed to determine which overview and scrutiny arrangements best suit their own individual needs, and so gives them a great degree of flexibility to decide which arrangements to adopt.

6. In producing this guidance, the Government fully recognises both authorities' democratic mandate and that the nature of local government has changed in recent years, with, for example, the creation of combined authorities, and councils increasingly delivering key services in partnership with other organisations or outsourcing them entirely.

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

7

2. Culture

7. The prevailing organisational culture, behaviours and attitudes of an authority will largely determine whether its scrutiny function succeeds or fails.

8. While everyone in an authority can play a role in creating an environment conducive to effective scrutiny, it is important that this is led and owned by members, given their role in setting and maintaining the culture of an authority.

9. Creating a strong organisational culture supports scrutiny work that can add real value by, for example, improving policy-making and the efficient delivery of public services. In contrast, low levels of support for and engagement with the scrutiny function often lead to poor quality and ill-focused work that serves to reinforce the perception that it is of little worth or relevance.

10. Members and senior officers should note that the performance of the scrutiny function is not just of interest to the authority itself. Its effectiveness, or lack thereof, is often considered by external bodies such as regulators and inspectors, and highlighted in public reports, including best value inspection reports. Failures in scrutiny can therefore help to create a negative public image of the work of an authority as a whole.

How to establish a strong organisational culture

11. Authorities can establish a strong organisational culture by:

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

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

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

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

8

While scrutiny has no role in the investigation or oversight of the authority's whistleblowing arrangements, the findings of independent whistleblowing investigations might be of interest to scrutiny committees as they consider their wider implications. Members should always follow the authority's constitution and associated Monitoring Officer directions on the matter. Further guidance on whistleblowing can be found at:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/415175/bis-15-200-whistleblowing-guidance-for-employers-and-code-of-practice.pdf.

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

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

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

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

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

9

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

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

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

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

f) **Ensuring impartial advice from officers** – authorities, particularly senior officers, should ensure all officers are free to provide impartial advice to scrutiny committees. This is fundamental to effective scrutiny. Of particular importance is the role played by 'statutory officers' – the monitoring officer, the section 151 officer and the head of paid service, and where relevant the statutory scrutiny officer. These individuals have a particular role in ensuring that timely, relevant and high-quality advice is provided to scrutiny.

g) **Communicating scrutiny's role and purpose to the wider authority** – the scrutiny function can often lack support and recognition within an authority because there is a lack of awareness among both members and officers about the specific role it plays, which individuals are involved and its relevance to the authority's wider work. Authorities should, therefore, take steps to ensure all members and officers are made aware of the role the scrutiny committee plays in the organisation, its value and the outcomes it can deliver, the powers it has, its membership and, if appropriate, the identity of those providing officer support.

h) **Maintaining the interest of full Council in the work of the scrutiny committee** – part of communicating scrutiny's role and purpose to the wider authority should happen through the formal, public role of full Council – particularly given that scrutiny will undertake valuable work to highlight challenging issues that an authority will be facing and subjects that will be a focus of full Council's work. Authorities should therefore take steps to ensure full Council is informed of the work the scrutiny committee is doing.

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

10

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

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

i) **Communicating scrutiny's role to the public** – authorities should ensure scrutiny has a profile in the wider community. Consideration should be given to how and when to engage the authority's communications officers, and any other relevant channels, to understand how to get that message across. This will usually require engagement early on in the work programming process (see chapter 6).

j) **Ensuring scrutiny members are supported in having an independent mindset** – formal committee meetings provide a vital opportunity for scrutiny members to question the executive and officers.

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

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

Directly-elected mayoral systems

12. A strong organisational culture that supports scrutiny work is particularly important in authorities with a directly-elected mayor to ensure there are the checks and balances to maintain a robust democratic system. Mayoral systems offer the opportunity for greater public accountability and stronger governance, but there have also been incidents that highlight the importance of creating and maintaining a culture that puts scrutiny at the heart of its operations.

13. Authorities with a directly-elected mayor should ensure that scrutiny committees are well-resourced, are able to recruit high-calibre members and that their scrutiny functions pay particular attention to issues surrounding:
- rights of access to documents by the press, public and councillors;
- transparent and fully recorded decision-making processes, especially avoiding decisions by 'unofficial' committees or working groups;
- delegated decisions by the Mayor;
- whistleblowing protections for both staff and councillors; and
- powers of Full Council, where applicable, to question and review.

11

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

12

3. Resourcing

15. The resource an authority allocates to the scrutiny function plays a pivotal role in determining how successful that function is and therefore the value it can add to the work of the authority.

16. Ultimately it is up to each authority to decide on the resource it provides, but every authority should recognise that creating and sustaining an effective scrutiny function requires them to allocate resources to it.

17. Authorities should also recognise that support for scrutiny committees, task groups and other activities is not solely about budgets and provision of officer time, although these are clearly extremely important elements. Effective support is also about the ways in which the wider authority engages with those who carry out the scrutiny function (both members and officers).

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

Statutory scrutiny officers

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

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

13

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

Officer resource models

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

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

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

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

14

4. Selecting Committee Members

23. Selecting the right members to serve on scrutiny committees is essential if those committees are to function effectively. Where a committee is made up of members who have the necessary skills and commitment, it is far more likely to be taken seriously by the wider authority.

24. While there are proportionality requirements that must be met,[4] the selection of the chair and other committee members is for each authority to decide for itself. Guidance for combined authorities on this issue has been produced by the Centre for Public Scrutiny[5].

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

25. Authorities are reminded that members of the executive cannot be members of a scrutiny committee.[6] Authorities should take care to ensure that, as a minimum, members holding less formal executive positions, e.g. as Cabinet assistants, do not sit on scrutinising committees looking at portfolios to which those roles relate. Authorities should articulate in their constitutions how conflicts of interest, including familial links (see also paragraph 31), between executive and scrutiny responsibilities should be managed, including where members stand down from the executive and move to a scrutiny role, and vice-versa.

26. Members or substitute members of a combined authority must not be members of its overview and scrutiny committee.[7] This includes the Mayor in Mayoral Combined Authorities. It is advised that Deputy Mayors for Policing and Crime are also not members of the combined authority's overview and scrutiny committee.

Selecting individual committee members

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

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[4] See, for example, regulation 11 of the Local Authorities (Committee System) (England) Regulations 2012 (S.I. 2012/1020) and article 4 of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 (S.I. 2017/68).
[5] See pages 15-18 of 'Overview and scrutiny in combined authorities: a plain English guide': https://www.cfps.org.uk/wp-content/uploads/Overview-and-scrutiny-in-combined-authorities-a-plain-english-guide.pdf
[6] Section 9FA(3) of the Local Government Act 2000.
[7] 2(3) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009

15

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

Selecting a chair

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

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

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

31. Given their pre-eminent role on the scrutiny committee, it is strongly recommended that the Chair not preside over scrutiny of their relatives[8]. Combined authorities should note the legal requirements that apply to them where the Chair is an independent person[9].

32. The method for selecting a Chair is for each authority to decide for itself, however every authority should consider taking a vote by secret ballot. Combined Authorities should be aware of the legal requirements regarding the party affiliation of their scrutiny committee Chair[10].

Training for committee members

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

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

Co-option and technical advice

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

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[8] A definition of 'relative' can be found at section 28(10) of the Localism Act 2011.
[9] See article 5(2) of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 (S.I. 2017/68).
[10] Article 5(6) of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

16

36. There are two principal ways to procure this:
    - Co-option – formal co-option is provided for in legislation[11]. Authorities must establish a co-option scheme to determine how individuals will be co-opted onto committees; and
    - Technical advisers – depending on the subject matter, independent local experts might exist who can provide advice and assistance in evaluating evidence (see annex 2).

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[11] Section 9FA(4) Local Government Act 2000

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5. Power to Access Information

37. A scrutiny committee needs access to relevant information the authority holds, and to receive it in good time, if it is to do its job effectively.

38. This need is recognised in law, with members of scrutiny committees enjoying powers to access information[12]. In particular, regulations give enhanced powers to a scrutiny member to access exempt or confidential information. This is in addition to existing rights for councillors to have access to information to perform their duties, including common law rights to request information and rights to request information under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004.

39. When considering what information scrutiny needs in order to carry out its work, scrutiny members and the executive should consider scrutiny's role and the legal rights that committees and their individual members have, as well as their need to receive timely and accurate information to carry out their duties effectively.

40. Scrutiny members should have access to a regularly available source of key information about the management of the authority – particularly on performance, management and risk. Where this information exists, and scrutiny members are given support to understand it, the potential for what officers might consider unfocused and unproductive requests is reduced as members will be able to frame their requests from a more informed position.

41. Officers should speak to scrutiny members to ensure they understand the reasons why information is needed, thereby making the authority better able to provide information that is relevant and timely, as well as ensuring that the authority complies with legal requirements.

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

42. The law recognises that there might be instances where it is legitimate for an authority to withhold information and places a requirement on the executive to provide the scrutiny committee with a written statement setting out its reasons for that decision[13]. However, members of the executive and senior officers should take particular care to avoid refusing requests, or limiting the information they provide, for reasons of party political or reputational expediency.

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

18

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

43. Regulations already stipulate a timeframe for executives to comply with requests from a scrutiny member[14]. When agreeing to such requests, authorities should:
   - consider whether seeking clarification from the information requester could help better target the request; and
   - Ensure the information is supplied in a format appropriate to the recipient's needs.

44. Committees should be aware of their legal power to require members of the executive and officers to attend before them to answer questions[15]. It is the duty of members and officers to comply with such requests.[16]

Seeking information from external organisations

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

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

   a) **The need to explain the purpose of scrutiny** – the organisation being approached might have little or no awareness of the committee's work, or of an authority's scrutiny function more generally, and so might be reluctant to comply with any request;

   b) **The benefits of an informal approach** – individuals from external organisations can have fixed perceptions of what an evidence session entails and may be unwilling to subject themselves to detailed public scrutiny if they believe it could reflect badly on them or their employer. Making an informal approach can help reassure an organisation of the aims of the committee, the type of information being sought and the manner in which the evidence session would be conducted;

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[14] Regulation 17(2) – Local Government (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; article 10(2) Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.
[15] Section 9FA(8) of the Local Government Act 2000; paragraph 2(6) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.
[16] Section 9FA(9) of the Local Government Act 2000; paragraph 2(7) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

19

c) **How to encourage compliance with the request** – scrutiny committees will want to frame their approach on a case by case basis. For contentious issues, committees might want to emphasise the opportunity their request gives the organisation to 'set the record straight' in a public setting; and

d) **Who to approach** – a committee might instinctively want to ask the Chief Executive or Managing Director of an organisation to appear at an evidence session, however it could be more beneficial to engage front-line staff when seeking operational-level detail rather than senior executives who might only be able to talk in more general terms. When making a request to a specific individual, the committee should consider the type of information it is seeking, the nature of the organisation in question and the authority's pre-existing relationship with it.

> Following 'the Council Pound'
> Scrutiny committees will often have a keen interest in 'following the council pound', i.e. scrutinising organisations that receive public funding to deliver goods and services.
>
> Authorities should recognise the legitimacy of this interest and, where relevant, consider the need to provide assistance to scrutiny members and their support staff to obtain information from organisations the council has contracted to deliver services. In particular, when agreeing contracts with these bodies, authorities should consider whether it would be appropriate to include a *requirement* for them to supply information to or appear before scrutiny committees.

20

6. Planning Work

47. Effective scrutiny should have a defined impact on the ground, with the committee making recommendations that will make a tangible difference to the work of the authority. To have this kind of impact, scrutiny committees need to plan their work programme, i.e. draw up a long-term agenda and consider making it flexible enough to accommodate any urgent, short-term issues that might arise during the year.

48. Authorities with multiple scrutiny committees sometimes have a separate work programme for each committee. Where this happens, consideration should be given to how to co-ordinate the various committees' work to make best use of the total resources available.

Being clear about scrutiny's role

49. Scrutiny works best when it has a clear role and function. This provides focus and direction. While scrutiny has the power to look at anything which affects 'the area, or the area's inhabitants', authorities will often find it difficult to support a scrutiny function that carries out generalised oversight across the wide range of issues experienced by local people, particularly in the context of partnership working. Prioritisation is necessary, which means that there might be things that, despite being important, scrutiny will not be able to look at.

50. Different overall roles could include having a focus on risk, the authority's finances, or on the way the authority works with its partners.

51. Applying this focus does not mean that certain subjects are 'off limits'. It is more about looking at topics and deciding whether their relative importance justifies the positive impact scrutiny's further involvement could bring.

52. When thinking about scrutiny's focus, members should be supported by key senior officers. The statutory scrutiny officer, if an authority has one, will need to take a leading role in supporting members to clarify the role and function of scrutiny, and championing that role once agreed.

Who to speak to

53. Evidence will need to be gathered to inform the work programming process. This will ensure that it looks at the right topics, in the right way and at the right time. Gathering evidence requires conversations with:

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

21

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

- *The authority's partners* – relationships with other partners should not be limited to evidence-gathering to support individual reviews or agenda items. A range of partners are likely to have insights that will prove useful:
  - o Public sector partners (like the NHS and community safety partners, over which scrutiny has specific legal powers);
  - o Voluntary sector partners;
  - o Contractors and commissioning partners (including partners in joint ventures and authority-owned companies);
  - o In parished areas, town, community and parish councils;
  - o Neighbouring principal councils (both in two-tier and unitary areas);
  - o Cross-authority bodies and organisations, such as Local Enterprise Partnerships[17]; and
  - o Others with a stake and interest in the local area – large local employers, for example.

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

Information sources

54. Scrutiny will need access to relevant information to inform its work programme. The type of information will depend on the specific role and function scrutiny plays within the authority, but might include:
- Performance information from across the authority and its partners;
- Finance and risk information from across the authority and its partners;
- Corporate complaints information, and aggregated information from political groups about the subject matter of members' surgeries;
- Business cases and options appraisals (and other planning information) for forthcoming major decisions. This information will be of particular use for pre-decision scrutiny; and
- Reports and recommendations issued by relevant ombudsmen, especially the Local Government and Social Care Ombudsman.

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

22

> As committees can meet in closed session, commercial confidentiality should not preclude the sharing of information. Authorities should note, however, that the default for meetings should be that they are held in public (see 2014 guidance on '*Open and accountable local government*':
> https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/343182/140812_Openness_Guide.pdf).

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

Shortlisting topics

> Approaches to shortlisting topics should reflect scrutiny's overall role in the authority. This will require the development of bespoke, local solutions, however when considering whether an item should be included in the work programme, the kind of questions a scrutiny committee should consider might include:
> - Do we understand the benefits scrutiny would bring to this issue?
> - How could we best carry out work on this subject?
> - What would be the best outcome of this work?
> - How would this work engage with the activity of the executive and other decision-makers, including partners?

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

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

Carrying out work

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

a) **As a single item on a committee agenda** – this often presents a limited opportunity for effective scrutiny, but may be appropriate for some issues or where the committee wants to maintain a formal watching brief over a given issue;

b) **At a single meeting** – which could be a committee meeting or something less formal. This can provide an opportunity to have a single public meeting about a

23

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

c) **At a task and finish review of two or three meetings** – short, sharp scrutiny reviews are likely to be most effective even for complex topics. Properly focused, they ensure members can swiftly reach conclusions and make recommendations, perhaps over the course of a couple of months or less;

d) **Via a longer-term task and finish review** – the 'traditional' task and finish model – with perhaps six or seven meetings spread over a number of months – is still appropriate when scrutiny needs to dig into a complex topic in significant detail. However, the resource implications of such work, and its length, can make it unattractive for all but the most complex matters; and

e) **By establishing a 'standing panel'** – this falls short of establishing a whole new committee but may reflect a necessity to keep a watching brief over a critical local issue, especially where members feel they need to convene regularly to carry out that oversight. Again, the resource implications of this approach means that it will be rarely used.

24

7. Evidence Sessions

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

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

How to plan

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

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

61. As far as possible there should be consensus among scrutiny members about the objective of an evidence session before it starts. It is important to recognise that members have different perspectives on certain issues, and so might not share the objectives for a session that are ultimately adopted. Where this happens, the Chair will need to be aware of this divergence of views and bear it in mind when planning the evidence session.

62. Effective planning should mean that at the end of a session it is relatively straightforward for the chair to draw together themes and highlight the key findings. It is unlikely that the committee will be able to develop and agree recommendations immediately, but, unless the session is part of a wider inquiry, enough evidence should have been gathered to allow the chair to set a clear direction.

63. After an evidence session, the committee might wish to hold a short 'wash-up' meeting to review whether their objectives were met and lessons could be learned for future sessions.

Developing recommendations

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

25

65. The drafting of reports is usually, but not always, carried out by officers, directed by members.

66. Authorities draft reports and recommendations in a number of ways, but there are normally three stages:

    i.   the development of a 'heads of report' – a document setting out general findings that members can then discuss as they consider the overall structure and focus of the report and its recommendations;

    ii. the development of those findings, which will set out some areas on which recommendations might be made; and

    iii. the drafting of the full report.

67. Recommendations should be evidence-based and SMART, i.e. specific, measurable, achievable, relevant and timed. Where appropriate, committees may wish to consider sharing them in draft with interested parties.

68. Committees should bear in mind that often six to eight recommendations are sufficient to enable the authority to focus its response, although there may be specific circumstances in which more might be appropriate.

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

26

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

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

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

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

The protocol, as agreed, may contain sections on:

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

27

Annex 2: Illustrative Scenario – Engaging Independent Technical Advisers

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

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

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

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

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

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

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

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

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

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

29

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

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

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

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

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

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

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

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

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

30

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

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

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

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

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

31

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Scrutiny Work Programme Planning Checklist

Priorities? - Is the topic….

➢ a corporate or service priority?
➢ an area where performance, outcomes or budget is a concern?
➢ one that matters most to residents?
➢ Innovative - e.g. the scrutiny of an external partner or service provider?

What is being scrutinised and Why?

➢ What previous consideration has been given to this issue?
➢ What would the scrutiny focus be?
➢ Where can the committee add value?
➢ What is the desired outcome from scrutiny?

When and how to scrutinise?

➢ When can the committee have most influence?
➢ Is this a cross cutting topic?
➢ Is it appropriate for joint scrutiny with external partners?
➢ Best approach - committee, TFG, one-off meeting of a small group?
➢ What research, visits, activities needed?
➢ Should county local committees be involved in some way?
➢ Would scrutiny benefit from external witnesses or evidence?
➢ How to publicise business and engage with customers/the public?

Is the work programme focused and achievable?

➢ Have priorities changed – should any work be stopped or put back?
➢ Can there be fewer items for more in depth consideration?
➢ Has sufficient capacity been retained for future work?

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Governance Committee

24 June 2019   **Part I**

Pension Advisory Board: Business Plan 2019/20

Report by Director of Finance and Support Services

Recommendation

That the Business Plan and Budget for the Pension Advisory Board for 2019/20 be approved.

Proposal

1.   Background and Context

1.1   As required under the Pensions Act, the West Sussex Pension Advisory Board was established in 2015 to assist West Sussex County Council as Scheme Manager:

- To secure compliance with the scheme regulations and other legislation relating to the governance and administration of the scheme and any statutory pension scheme that is connected with it;
- To secure compliance with requirements imposed in relation to the scheme and any connected scheme by the Pensions Regulator;
- In such other matters as the scheme regulations may specify.

1.2   The Board's terms of reference require that it prepares a Business Plan and Budget each year to be approved by the Governance Committee. This is reflected within the terms of reference for Governance Committee.

2.   Proposal

At its meeting on 22 May 2019 the Pension Advisory Board considered and agreed the draft Business Plan for 2019/20 and agreed to refer it to Governance Committee for its approval in line with their terms of reference. The full report is included at Appendix 1.

Factors taken into account

3.   Consultation

Not applicable

4.   Risk Management Implications

Not applicable

5. **Other Options Considered**

Not applicable

6. **Equality Duty**

Not applicable

7. **Social Value**

Not applicable

8. **Crime and Disorder Act Implications**

Not applicable

9. **Human Rights Implications**

Not applicable

Katharine Eberhart
Director of Finance and Support Services

Contact: Rachel Wood, 033 022 23387

Appendices

Appendix 1   Business Plan Report

Background Papers

None

Pension Advisory Board

22 May 2019

Business Planning and Performance

Report by the Chairman of the Pension Advisory Board

Executive Summary

As reported to the Pension Advisory Board (PAB) in March, further work has been undertaken to produce a business plan for 2019/20 in order to align the programme with the Pensions Panel's business Plan. A first draft of that plan is submitted for consideration and approval

Recommendations

1. The Board is asked to consider and agree the draft business plan for 2019/20.
2. That the Board agree to refer the Business Plan to Governance Committee for their approval on 24 June 2019 in line with their Terms of Reference.
3. The Board agree that the Business Plan is provided to the Pensions Panel for noting.

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1.   Business Plan for 2019/20

1.1   The first draft of a revised plan is set out in this report as follows:
Appendix A - Background and framework
Appendix B - Key tasks and activities
Appendix C - Work plan for 2019/20

1.2   The Board is asked to consider the draft and agree any changes to finalise the Plan before it is submitted to the Governance Committee.

2.   Equality Impact Review

2.1   An Equality Impact Review is not required as there are no relevant decisions to be taken.

Peter Scales
Chairman of the Pension Advisory Board

Contact: Adam Chisnall, Democratic Services Officer, 033 022 28314

Appendices
Appendix A - Business Plan 2019/20 - Background and framework
Appendix B - Business Plan 2019/20 - Key tasks and activities
Appendix C - Business Plan 2019/20 - Work plan for 2019/20

Background papers

Pension Panel Business Plan 2019/20
https://westsussex.moderngov.co.uk/documents/s8593/Appendix%20A%20-%20Business%20Plan.pdf

Pension Advisory Board Business Plan   Appendix A

Background

This is the Business Plan for the West Sussex Local Government Pension Scheme Pension Advisory Board.

The County Council is responsible for the administration of the West Sussex County Council Pension Fund and as the Administering Authority, is required under S106 of the LGPS Regulations 2013 to establish a local pension board and has established the Pension Advisory Board for this purpose.

The Pension Advisory Board is supported by the officers, by the appointment of an independent chairman, and by assurance statements and information provided by external service providers. The costs of the Board's operations are charged to the Pension Fund and a budget is included in the Business Plan.

The Business Plan is an important document which sets out the aims and objectives of the Board over the coming year, its core work and how the objectives will be achieved.

The Pension Advisory Board's approach has been to establish a core programme of work based on guidance received from the Pensions Regulator, the Scheme Advisory Board and from CIPFA in the form of advisory guidance.

Following a review of the Board in 2018, this Business Plan has been adapted to be more consistent with and complimentary to the Pensions Panel's business plan. The Plan is reviewed annually and progress monitored at each meeting. New priorities that might arise can be introduced at each meeting and new action identified where progress has not been as expected.

Details of how the Board's objectives will be met, together with key priorities for 2019/20 and 2020/21 and an indication of key risks are included in the Plan.

The achievement of the objectives and key tasks are reviewed at the end of each year and reported to the Pensions Panel. A brief report is also approved for inclusion in the Pension Fund Annual Report and is made available to scheme employers and to scheme members.

Statutory Responsibilities

1. The statutory responsibilities of the Pension Advisory Board are similar to those set out in the Regulations for all local pension boards, that is:

    Assist the Scheme Manager:
    - To secure compliance with the scheme regulations and other legislation relating to the governance and administration of the scheme;
    - To secure compliance with requirements imposed in relation to the scheme by the Pensions Regulator;
    - In such other matters as the scheme regulations may specify;

- To ensure the Scheme Manager effectively and efficiently complies with the Code of Practice on the governance and administration of public service pension schemes issued by the Pensions Regulator (COP14); and
- To ensure that the Board complies with the knowledge and understanding requirements in the Regulator's Code of Practice.

Accountability

2. The Board is accountable to the Scheme Manager, to the Pensions Regulator, to the national Scheme Advisory Board and to the scheme employers and members that it represents.

3. The national Scheme Advisory Board will advise the Responsible Authority (the Ministry for Housing, Communities and Local Government) and the Scheme Manager.

4. The Pensions Regulator will report to the Responsible Authority but will also be a point of escalation for whistle blowing or similar issues (supplementary to the whistle blowing policy and anti-fraud and corruption policy operated by the Scheme Manager which operate to include all of the functions of the Council as Scheme Manager and its advisers).

Principal Functions

5. The principal functions of the Board include:

   - Seeking assurances that due process is followed with regard to Pensions Panel decisions:
   - Considering the integrity and soundness of Pensions Panel decision making processes:
   - Seeking assurance that administration performance is in compliance with the Administration Strategy;
   - Considering the effectiveness of communication with employers and members including the Communication Strategy;
   - Considering and commenting on Internal Audit recommendations; and
   - Consideration of External Auditor reports.

6. Any complaint or allegation of breach of due process brought to the attention of the Board shall be dealt with in accordance with the Pensions Regulator's Code of Practice.

Objectives

7. The Board's main objectives are set out below:

   Governance: Act solely in terms of the public interest, with integrity, objectivity, accountability, openness, honesty and with leadership, and seek to ensure these are followed by all those involved in the Fund's administration.

Compliance: Seek to understand the statutory framework of regulations and guidance, and ensure all aspects are complied with.

Administration: Seek to ensure that proper procedures and controls are in place and are followed, and that performance expectations are met.

Communication: Seek to ensure that standards of reporting and clear communications are maintained and improved.

Efficiency: Seek to ensure improvements are being made in all processes, and minimise demands placed on officers in supporting the Board's work.

Effectiveness: Seek to ensure that the Board is making an effective contribution to the governance of the Fund through careful planning and performance assessment.

Risk management: Seek to ensure that fund risks are being identified, monitored and mitigated through proper procedures and controls.

Proper advice: Seek to ensure that proper advice is being taken and considered in all aspects of decision-making.

Knowledge and understanding: Seek to ensure that all Board members maintain a suitable level of knowledge and understanding.

Responsiveness: Seek to ensure that the Board considers and responds to consultations, surveys and requests for information effectively.

8. The means by which the Board can deliver these objectives is set out in the detailed plan. As part of the agenda planning process, the officers and chairman have agreed a structured agenda as a standard and discuss the detailed agenda well in advance of each scheduled meeting.

9. The papers for each meeting are made available at least one week prior to the meeting and implementation of action agreed is monitored in a progress report at the following meeting.

Budget

10.   The Board does not have delegated powers to incur expenditure but agrees an annual budget with the officers each year for approval by the County Council's Governance Committee. Provisional sums are included to allow the Board to request any additional independent advice should that might be required in exceptional circumstances. All costs are chargeable to the Pension Fund.

Budget item	Actual 2017/18 £	Budget Est. 2018/19 £	Actual 2018/19 £	Budget Est.2019/20 £
Fee for independent chairman	15,000	15,000	15,000	16,000
Travel expenses/subsistence	275	2,000	1,236	2,000
Training provision	800	5,000	1,065	2,500
Democratic Services Support (0.2 FTE)	6,500	7,000	6,627	7,000
Meetings (incl. refreshments)	50	1,000	237	500
Provisional sums (if required):				
• Legal and other external advice	0	3,000	0	3,000
• Contingency	0	2,000	0	2,000
TOTAL	**22,625**	**35,000**	**24,165**	**33,000**

Training

11.   A Training Strategy has been established to aid the Pension Panel and Pension Advisory Board members in performing and developing personally in their individual roles and to equip them with the necessary skills and knowledge to act effectively in line with their responsibilities. The Strategy has been developed in the context of the Pension Regulator's Code of Practice, the Knowledge and Skills Framework developed by CIPFA and guidance covering knowledge and understanding of the Pension Advisory Board issued by the national Scheme Advisory Board.

12.   At the start of 2019/20, all members of the Board had successfully completed the public service e-learning modules provided by the Pensions Regulator.

13.   The Board has developed arrangements to keep members appraised on changes to the scheme regulations and guidance through access to the national LGPS website.

RISK MANAGEMENT

14.   The Board does not consider it necessary to have its own risk register but monitors the Fund risk management arrangements as reported to the Pensions Panel on a regular basis.

Pension Advisory Board - Business Plan 2019/20 to 2020/21 - Key tasks and activities   Appendix B

Core on-going tasks	Special activities and reviews 2019/20	2020/21
Business planning and performance		
Agree programme of work, budget and resources for the coming year and monitor progress at each meeting Undertake a self-assessment of performance for the year to include on-to-one interviews Agree a report each year on activity for inclusion in the Fund Annual Report and for scheme employers	Review arrangements with other local pension boards	Consider five year review of Board operations since first established
Key risks • Failure to manage work efficiently and effectively • Failure to account for activities and performance		

Core on-going tasks	Special activities and reviews 2019/20	2020/21
Compliance checks		
Review policy on conflicts of interest annually, interests declared at each meeting, and maintain a register of interests on the website Review the Pension Fund Annual Report and Accounts for content and compliance Review statutory policy statements on a regular basis (at least two per meetings) and on a three year rolling basis Monitor and review changes to regulations and guidance at each meeting	Review updated guidance from CIPFA on preparing the annual report	Review of conflicts policy in line with West Sussex authority-wide arrangements Complete rotation of reviews of policy statements
Key risks • Failure to manage conflicts properly • Non-compliance with regulations and guidance		

Core on-going tasks	Special activities and reviews	
	2019/20	2020/21

Governance arrangements		
Review decisions of the Pensions Panel Review management and monitoring of the pension fund risk register Monitor audit reports and assurances on internal controls Monitor work planned by the Pensions Regulator (tPR) Monitor reports and initiatives from the Scheme Advisory Board (SAB) Respond to surveys and requests for information from the tPR and the SAB Report to the Pensions Panel and Governance Committee on a regular basis and as required Report to tPR, MHCLG and SAB in exceptional circumstances	Develop relationships with the Pensions Panel Review internal audit programme of work	Review SAB proposals on future governance arrangements Engage with tPR on Board compliance with the code of practice
Key risks • The decision-making process is not fully effective • Key risks are not properly managed • Failure to be aware of scheme-wide developments and changing requirements • Failure to properly account for the Board's activities		

Core on-going tasks	Special activities and reviews	
	2019/20	**2020/21**
Administration procedures and performance		
Consider a report on the administration of the scheme at each meeting Monitor notifiable events and the recording and reporting of breaches Monitor key performance indicators and recovery action Monitor recording of compliments and complaints, and progress on IDRP cases Monitor movements in membership numbers Monitor data quality and integrity, and progress on improvement plans Monitor timeliness of receipt of contribution payments and any recovery action required Review operation of key internal procedures and controls relating to third party contracts	Review new administration service with Hampshire Test internal controls for areas of weakness	Review new administration arrangements one year on
Key risks • Failure in the efficient and effective administration of the scheme • Non-compliance with reporting requirements • Failure to detect potential problems, including fraud at an early stage		

Core on-going tasks	Special activities and reviews	
	2019/20	2020/21
Investment and funding		
Review the investment strategy statement to assess compliance with regulations and guidance issued by MHCLG and CIPFA Review the funding strategy statement to assess compliance with regulations and guidance Review the process of consultation with appropriate persons, particularly scheme employers Review the valuation process for compliance and good practice Review developments on the pooling arrangements, particularly in relation to governance and investment management Monitor arrangements for monitoring investment performance and costs Monitor developments in relation to responsible investing and ESG issues insofar as they relate to the Board's responsibilities	Review of funding strategy statement Review investment strategy statement in conjunction with revised guidance issued by MHCLG	Review outcomes from valuation process, particularly in relation to consultation with employers
Key risks • Non-compliance with investment regulations and Government guidance • Failure of proper governance arrangements in the pooling of Fund assets • Failure to comply with or respond to developments in good practice or regulatory compliance • Net asset values are insufficient to meet future liabilities		

Core on-going tasks	Special activities and reviews	
	2019/20	**2020/21**

Communications		
Monitor disclosure of information in line with statutory requirements, including annual benefit statements Review newsletters for content and clarity Review communications with employing authorities Monitor developments in the website and pensions portal Consider more effective links to scheme members	Review communications policy statement in the light of new Hampshire service	Survey employers and scheme members for feedback on all aspects of administration
Key risks • Failure to keep employers and scheme members properly informed • Non-compliance with Administration Strategy • Scheme members fail to understand scheme benefits and opt-out		

Training		
Maintain training log and review activity regularly Monitor implementation of training strategy Identify opportunities for in-house training after each meeting and for external training courses or events	Review any revised training requirements or e-learning tools produced by tPR	Undertake comprehensive refresher training
Key risks • Failure of Board members to maintain a suitable level of knowledge and understanding		

Pension Advisory Board - Work plan for 2019-20

Standing agenda items
Declarations of interests and conflicts Minutes of the previous meeting Progress report Pensions Panel business Business planning and performance Regulations and guidance update Review of pension fund policy documents Administration procedures and performance Investment pooling and ACCESS work update Training

Wednesday 20 November 2019
PrAM: 30 October   Despatch: 11 Nov Standing agenda items Special activities and reviews • Review internal audit programme • Internal controls

Wednesday 4 September 2019
PrAM: 31 Jul   Despatch: 23 Aug Standing agenda items Special activities and reviews • Review annual report and CIPFA guidance • Review ISS and MHCLG guidance

Wednesday 26 February 2020
PrAM: 5 Feb   Despatch: 17 Feb Standing agenda items Special activities and reviews • Review other local pension boards operations • Reviewing tPR e-training requirements

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Governance Committee

24 June 2019

Report of Member Attendance April 2018 to March 2019

Report by Director of Law and Assurance

Recommendation

That members' attendance at Council, Committee and other meetings for the period 1 April 2018 to 31 March 2019 be noted.

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1.   As part of its terms of reference the Governance Committee is required to monitor attendance of members at County Council, committee and other meetings annually. Schedules showing members' attendance for the period 1 April 2018 to 31 March 2019 for committee and other meetings and for County Local Committees are attached at Appendices 1 and 2 respectively.

2.   The role of the modern councillor is not primarily to attend meetings. It should be noted that many members have other commitments on their time which are difficult to record and which are not reflected in these figures, such as membership of outside bodies, school governorships and constituency work. In addition, attendance at meetings does not take into account members' other responsibilities which are carried out outside formal meetings.

3.   Potential attendance figures can also be affected by other factors such as long-term ill health or a clash of commitments.

4.   Group Leaders are currently advised of member attendance figures annually so that they can take any action they consider necessary to address poor attendance. In addition to the annual consideration by the Governance Committee, the member attendance figures are published quarterly on the County Council's website.

Tony Kershaw
Director of Law and Assurance

Contact: Clare Jones 033 022 22526

Background Papers

None

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Member Attendance
April 2018 to March 2019

Name	Initials	Cabinet Board	C&YPS	EC&FSC	County Council	Governance	HASC	Planning	PFSC	RAAC	RoW	Standards	Task & Finish Groups	Other *	Total	Initials	Name
Acraman	WE				5 of 6	4 of 5					2 of 2			3 of 3	**14 of 16**	WE	Acraman
Arculus	PAC				4 of 6		6 of 6							20 of 20	**30 of 32**	PAC	Arculus
Atkins	NA				6 of 6		5 of 6	6 of 6						2 of 2	**19 of 20**	NA	Atkins
Baldwin	AN		4 of 4	8 of 8	5 of 6						2 of 2		1 of 3	12 of 13	**32 of 36**	AN	Baldwin
Barling	DH				5 of 6		3 of 5	1 of 1							**9 of 12**	DH	Barling
Barnard	LH				6 of 6	5 of 5							2 of 2	10 of 11	**23 of 24**	LH	Barnard
Barrett-Miles	AJ		8 of 8		5 of 6			6 of 6	5 of 6					14 of 14	**38 of 40**	AJ	Barrett-Miles
Barton	GR		5 of 8		4 of 6			3 of 6				2 of 2		6 of 6	**20 of 28**	GR	Barton
Bennett	E		2 of 4		3 of 6									2 of 2	**7 of 12**	E	Bennett
Boram	K				6 of 6				2 of 2				1 of 1	7 of 7	**16 of 16**	K	Boram
Bradbury	P				5 of 6				1 of 2		2 of 2			1 of 2	**9 of 12**	P	Bradbury
Bradford	D				6 of 6					1 of 4		2 of 2	3 of 3	15 of 15	**27 of 30**	D	Bradford
Bridges	A		2 of 2	3 of 5	5 of 6		3 of 6							2 of 2	**15 of 21**	A	Bridges
Brunsdon	HA			4 of 8	2 of 6									2 of 2	**8 of 16**	HA	Brunsdon
Buckland	IJR				5 of 6							0 of 2			**5 of 8**	IJR	Buckland
Burrett	RD	34 of 36			6 of 6	4 of 5								14 of 14	**58 of 61**	RD	Burrett
Catchpole	PC				6 of 6				3 of 3					3 of 3	**12 of 12**	PC	Catchpole
Cloake	M		4 of 4		6 of 6				3 of 6					3 of 3	**16 of 19**	M	Cloake
Crow	D				6 of 6			6 of 6	4 of 6				4 of 4	7 of 7	**27 of 29**	D	Crow
Dennis (Dr)	NPS				6 of 6					3 of 4				5 of 5	**14 of 15**	NPS	Dennis (Dr)
Dennis (Mrs)	JA		4 of 4		6 of 6			1 of 1	6 of 6	4 of 4			6 of 6	24 of 27	**51 of 54**	JA	Dennis (Mrs)
Duncton	JE				5 of 6			3 of 6			2 of 2	2 of 2		19 of 20	**31 of 36**	JE	Duncton
Edwards	D				5 of 6		1 of 3							2 of 2	**8 of 11**	D	Edwards
Elkins	RC	17 of 21			6 of 6				2 of 2				4 of 4	23 of 25	**52 of 58**	RC	Elkins
Fitzjohn	JD				4 of 6				3 of 3	1 of 1				7 of 8	**15 of 18**	JD	Fitzjohn
Flynn	HA		2 of 2		6 of 6		4 of 6							15 of 15	**27 of 29**	HA	Flynn
Goldsmith	L	36 of 36			6 of 6	5 of 5								20 of 22	**67 of 69**	L	Goldsmith
Hall	D		4 of 4		4 of 6									21 of 23	**29 of 33**	D	Hall
High	P		4 of 4		6 of 6									8 of 8	**18 of 18**	P	High
Hillier	SR	14 of 15			6 of 6									6 of 6	**26 of 27**	SR	Hillier
Hunt	JC	34 of 36			6 of 6									30 of 30	**70 of 72**	JC	Hunt
Jones (Mr)	M			8 of 8	6 of 6				1 of 1				1 of 1	7 of 8	**23 of 24**	M	Jones (Mr)
Jones (Mrs)	AF		4 of 4		5 of 6		6 of 6							7 of 7	**22 of 23**	AF	Jones (Mrs)
Jupp (Mrs)	AJ	28 of 28			6 of 6							1 of 2		14 of 14	**49 of 50**	AJ	Jupp (Mrs)
Jupp (Mr)	NPS				6 of 6			6 of 6		3 of 4			5 of 6	24 of 24	**44 of 46**	NPS	Jupp (Mr)
Kennard	D	27 of 36			5 of 6									15 of 15	**47 of 57**	D	Kennard
Kitchen	E				6 of 6			6 of 6	6 of 6					7 of 7	**25 of 25**	E	Kitchen
Lanzer	R	35 of 36			6 of 6								1 of 1	12 of 12	**54 of 55**	R	Lanzer
Lea	AC				5 of 6				6 of 6	3 of 4				6 of 6	**20 of 22**	AC	Lea
Lord	K		3 of 4		6 of 6			5 of 6						9 of 11	**23 of 27**	K	Lord
Markwell	GT				4 of 6										**4 of 6**	GT	Markwell
Marshall	PA	19 of 21	1 of 1		6 of 6									15 of 16	**41 of 44**	PA	Marshall
McDonald	S			8 of 8	5 of 6			2 of 2							**15 of 16**	S	McDonald
Millson	ME				5 of 6								1 of 1	20 of 20	**26 of 27**	ME	Millson
Mitchell	CR				6 of 6	2 of 5								7 of 7	**15 of 18**	CR	Mitchell
Montyn	P				6 of 6				5 of 6					8 of 8	**19 of 20**	P	Montyn
Mullins	S		3 of 4		4 of 6	5 of 5		4 of 6						12 of 15	**28 of 36**	S	Mullins
O'Kelly	KFB				6 of 6		6 of 6				1 of 2		6 of 6	13 of 14	**32 of 34**	KFB	O'Kelly
Oakley	R				5 of 6	3 of 5						1 of 2		6 of 6	**15 of 19**	R	Oakley
Oakley	SJ			7 of 8	6 of 6			5 of 6						12 of 12	**30 of 32**	SJ	Oakley
Oppler	FRJ			3 of 5	6 of 6									8 of 10	**17 of 21**	FRJ	Oppler
Oxlade	C				6 of 6								2 of 3	7 of 7	**15 of 16**	C	Oxlade
Parikh	VK				6 of 6									12 of 12	**18 of 18**	VK	Parikh
Patel	AK			5 of 8	4 of 6			6 of 6			1 of 1			15 of 16	**31 of 37**	AK	Patel

Member Attendance
April 2018 to March 2019

Name	Initials	Cabinet Board	C&YPS	EC&FSC	County Council	Governance	HASC	Planning	PFSC	RAAC	RoW	Standards	Task & Finish Groups	Other *	Total	Initials	Name
Pendleton	J		1 of 1		6 of 6					2 of 3				21 of 21	**30 of 31**	J	Pendleton
Petts	CJ				6 of 6		5 of 6							9 of 9	**20 of 21**	CJ	Petts
Purchese	DM			4 of 8	5 of 6									1 of 4	**10 of 18**	DM	Purchese
Purnell	C			6 of 8	6 of 6						1 of 2			11 of 11	**24 of 27**	C	Purnell
Quinn	BJ				6 of 6			5 of 6			2 of 2		2 of 3	10 of 10	**25 of 27**	BJ	Quinn
Russell	J				5 of 6			5 of 6			2 of 2			15 of 15	**27 of 29**	J	Russell
Simmons	DJ				6 of 6									10 of 10	**16 of 16**	DJ	Simmons
Smith	BA				3 of 6		4 of 6							3 of 6	**10 of 18**	BA	Smith
Smytherman	R				6 of 6				5 of 6				2 of 2	12 of 13	**25 of 27**	R	Smytherman
Sparkes	E				5 of 6	4 of 5							2 of 2	17 of 19	**28 of 32**	E	Sparkes
Turner	B				5 of 6		6 of 6		5 of 6					7 of 8	**23 of 26**	B	Turner
Urquhart	DL	32 of 36			6 of 6									13 of 13	**51 of 55**	DL	Urquhart
Waight	S				6 of 6				5 of 6	4 of 4				4 of 4	**19 of 20**	S	Waight
Walsh	JMM		1 of 1		5 of 6	5 of 5	6 of 6		6 of 6				3 of 3	18 of 19	**44 of 46**	JMM	Walsh
Whittington	DR				5 of 6						2 of 2			4 of 4	**11 of 12**	DR	Whittington
Wickremaratchi	LS		4 of 4		4 of 6		0 of 1	1 of 5						2 of 2	**11 of 18**	LS	Wickremaratchi

* Includes attendance at Business Planning Groups, Adoption Panel, Appeals Panel, Foster Panel, Pensions Panel, Standards Hearing Sub-Committee, Propco, and Treasury Management Panel
plus at meetings as a substitute, by invitation or as a Cabinet Member

Member Attendance County Local Committees
April 2018 to March 2019

Name	Initials	Adur	Cen & Sth Mid Sx	Chairmen's	Chanctonbury	Crawley	JEAAC	JWAAC	North Chichester	North Horsham	North Mid Sx	South Chichester	Worthing	Total			Initials	Name
Acraman	WE										1 of 3			**1**	**of**	**3**	WE	Acraman
Arculus	PAC				3 of 3									**3**	**of**	**3**	PAC	Arculus
Atkins	NA												3 of 3	**3**	**of**	**3**	NA	Atkins
Baldwin	AN									3 of 3				**3**	**of**	**3**	AN	Baldwin
Barling	DH			3 of 4	3 of 3									**6**	**of**	**7**	DH	Barling
Barnard	LH				3 of 3									**3**	**of**	**3**	LH	Barnard
Barrett-Miles	AJ		3 of 3											**3**	**of**	**3**	AJ	Barrett-Miles
Barton	GR	3 of 3												**3**	**of**	**3**	GR	Barton
Bennett	E											3 of 3		**3**	**of**	**3**	E	Bennett
Boram	K	3 of 3												**3**	**of**	**3**	K	Boram
Bradbury	P		3 of 3	3 of 4										**6**	**of**	**7**	P	Bradbury
Bradford	D									3 of 3				**3**	**of**	**3**	D	Bradford
Bridges	A	3 of 3												**3**	**of**	**3**	A	Bridges
Brunsdon	HA			3 of 4							3 of 3			**6**	**of**	**7**	HA	Brunsdon
Buckland	IJR						3 of 3							**3**	**of**	**3**	IJR	Buckland
Burrett	RD					3 of 3								**3**	**of**	**3**	RD	Burrett
Catchpole	PC			3 of 4						3 of 3				**6**	**of**	**7**	PC	Catchpole
Cloake	M												3 of 3	**3**	**of**	**3**	M	Cloake
Crow	D					2 of 3								**2**	**of**	**3**	D	Crow
Dennis (Dr)	NPS									3 of 3				**3**	**of**	**3**	NPS	Dennis (Dr)
Dennis (Mrs)	JA		2 of 3											**2**	**of**	**3**	JA	Dennis (Mrs)
Duncton	JE			3 of 4										**3**	**of**	**4**	JE	Duncton
Edwards	D			1 of 4				3 of 3						**4**	**of**	**7**	D	Edwards
Elkins	RC						2 of 3							**2**	**of**	**3**	RC	Elkins
Fitzjohn	JD											3 of 3		**3**	**of**	**3**	JD	Fitzjohn
Flynn	HA							2 of 3						**2**	**of**	**3**	HA	Flynn
Goldsmith	L											3 of 3		**3**	**of**	**3**	L	Goldsmith
Hall	D							3 of 3						**3**	**of**	**3**	D	Hall
High	P			4 of 4									3 of 3	**7**	**of**	**7**	P	High
Hillier	SR		2 of 3											**2**	**of**	**3**	SR	Hillier
Hunt	JC											3 of 3		**3**	**of**	**3**	JC	Hunt
Jones (Mr)	M					3 of 3								**3**	**of**	**3**	M	Jones (Mr)
Jones (Mrs)	AF		3 of 3											**3**	**of**	**3**	AF	Jones (Mrs)
Jupp (Mrs)	AJ									3 of 3				**3**	**of**	**3**	AJ	Jupp (Mrs)
Jupp (Mr)	NPS									3 of 3				**3**	**of**	**3**	NPS	Jupp (Mr)
Kennard	D	2 of 3												**2**	**of**	**3**	D	Kennard
Kitchen	E									3 of 3				**3**	**of**	**3**	E	Kitchen
Lanzer	R					2 of 3								**2**	**of**	**3**	R	Lanzer
Lea	AC										2 of 3			**2**	**of**	**3**	AC	Lea
Lord	K		3 of 3											**3**	**of**	**3**	K	Lord
Markwell	GT						2 of 3							**2**	**of**	**3**	GT	Markwell
Marshall	PA				3 of 3									**3**	**of**	**3**	PA	Marshall
McDonald	S												2 of 3	**2**	**of**	**3**	S	McDonald
Millson	ME									2 of 3				**2**	**of**	**3**	ME	Millson
Mitchell	CR									3 of 3				**3**	**of**	**3**	CR	Mitchell
Montyn	P											3 of 3		**3**	**of**	**3**	P	Montyn
Mullins	S					2 of 3								**2**	**of**	**3**	S	Mullins
O'Kelly	KFB							3 of 3						**3**	**of**	**3**	KFB	O'Kelly
Oakley	R												2 of 3	**2**	**of**	**3**	R	Oakley
Oakley	SJ			4 of 4								3 of 3		**7**	**of**	**7**	SJ	Oakley

Member Attendance County Local Committees
April 2018 to March 2019

Name	Initials	Adur	Cen & Sth Mid Sx	Chairmen's	Chanctonbury	Crawley	JEAAC	JWAAC	North Chichester	North Horsham	North Mid Sx	South Chichester	Worthing	Total			Initials	Name
Oppler	FRJ							2 of 3						**2**	**of**	**3**	FRJ	Oppler
Oxlade	C					0 of 3								**0**	**of**	**3**	C	Oxlade
Parikh	VK											3 of 3		**3**	**of**	**3**	VK	Parikh
Patel	AK							2 of 3						**2**	**of**	**3**	AK	Patel
Pendleton	J							2 of 3						**2**	**of**	**3**	J	Pendleton
Petts	CJ					0 of 3								**0**	**of**	**3**	CJ	Petts
Purchese	DM						3 of 3							**3**	**of**	**3**	DM	Purchese
Purnell	C											3 of 3		**3**	**of**	**3**	C	Purnell
Quinn	BJ					2 of 3								**2**	**of**	**3**	BJ	Quinn
Russell	J										3 of 3			**3**	**of**	**3**	J	Russell
Simmons	DJ	3 of 3		1 of 4										**4**	**of**	**7**	DJ	Simmons
Smith	BA			3 of 4		3 of 3								**6**	**of**	**7**	BA	Smith
Smytherman	R												3 of 3	**3**	**of**	**3**	R	Smytherman
Sparkes	E												3 of 3	**3**	**of**	**3**	E	Sparkes
Turner	B												2 of 3	**2**	**of**	**3**	B	Turner
Urquhart	DL			4 of 4				2 of 3						**6**	**of**	**7**	DL	Urquhart
Waight	S												3 of 3	**3**	**of**	**3**	S	Waight
Walsh	JMM					2 of 3								**2**	**of**	**3**	JMM	Walsh
Whittington	DR							2 of 3						**2**	**of**	**3**	DR	Whittington
Wickrematchi	LS		2 of 3											**2**	**of**	**3**	LS	Wickrematchi

Nigel Dennis
Chairman
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**west
sussex
county
council**

Janet Duncton
Chairman of the Governance Committee
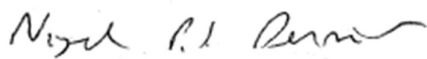
10 June 2019

Dear Janet

At the 25 March 2019 meeting of the Regulation, Audit and Accounts Committee members considered a report on the Staff Induction process.

The Committee have been looking at the process around Staff Inductions since 2016 and have been specifically monitoring staff completion rates on the corporate induction course. The Committee have made several recommendations to the Organisational Development Team in order to improve completion of the course. The Committee welcomed and recognised the significant improvement in completion rates at the March meeting.

The Committee are therefore satisfied that the process is working correctly and that it can be referred to the Governance Committee as part of its constitutional remit to receive a report and monitoring information on staffing matters twice a year.

We hope that your regular monitoring of this area will ensure that the completion rates do not reduce.

Yours sincerely,

Nigel Dennis
Chairman
Regulation, Audit and Accounts Committee

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