Scrutiny Impact Assessment Model

March 2020

Cardiff Council

CONTENTS

CHAIR'S FOREWORD

Councillor David Walker

Chair, Policy Review & Performance Scrutiny Committee

TERMS OF REFERENCE

1. The Policy Review and Performance (PRAP) Scrutiny Committee, as part of its 2018/19 work programme, committed to a Task and Finish Inquiry that would review the impact of Cardiff Council's Scrutiny function to date, and develop a model to capture the benefits of scrutiny in the future. The Terms of Reference for the inquiry were agreed as follows:

> To evaluate the impact of the scrutiny function on the delivery of Council services, by:
>
> - o Reviewing existing evidence of scrutiny impact on Council decision-making and service development since 2012.
>
> To propose a mechanism for capturing the future impact of scrutiny, by:
>
> - o Identifying theoretical models for recording and capturing scrutiny impact;
>
> - o Seeking evidence of successful approaches to monitoring impact by other Councils and public bodies in England and Wales;
>
> - o Identifying a practical model for recording and capturing scrutiny impact, appropriate for use in Cardiff.
>
> - o Acknowledging that calculating impact/ value of scrutiny can be subjective and there are differing types of impact – immediate, short term, longer term, strategic, operational, financial, and quality of service delivery

2. The key output from this investigation was to be a practical model for recording and capturing scrutiny impact appropriate for use in Cardiff. The model should also be applicable for use by other Authorities and public sector bodies who share an interest in using a mechanism for capturing the benefits and outputs of scrutiny.

3. The Committee agreed that membership of the task & finish group would comprise: Councillor Joe Boyle[1]
     Councillor Norma Mackie
     Councillor David Walker (Chair)

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[1] Following a change in the balance of the Council in June 2019 Councillor Boyle was unable to retain his seat on the PRAP scrutiny committee, he contributed to early research and discussion.

CONTEXT

4. Cardiff Council has a long held reputation for committed and successful scrutiny arrangements. The function has previously been recognised for its best practice both nationally and locally. Organisational processes and procedures are in place that routinely factor scrutiny into the decision making process. The arrangements in place aspire to equality between scrutiny and policy making, resulting in what can be considered a positive scrutiny culture. Maintaining this culture requires all parties, Scrutiny, Cabinet and senior managers to understand and commit to the value and impact of scrutiny within the organisation.

5. Over the past five years Scrutiny has been the subject of two national Wales Audit Office (WAO) reviews. In July 2018 the Overview and Scrutiny – *Fit For the Future*? Review concluded that "*scrutiny arrangements in Cardiff are well-developed and supported by a culture that makes them well-placed to respond to current and future challenges…."* The auditor found evidence that the Council recognises and values the importance of its scrutiny function; scrutiny committee meetings are well-run; the Council proactively engages key stakeholders in the work of its task and finish groups whilst recognising it could improve public involvement in its scrutiny activity; and the Council could explore different ways of working to improve the impact of scrutiny activity and maximise the resources available.

6. Prior to the 2018 review, in 2014 the WAO *Good Scrutiny? Good Question!* Scrutiny improvement study recommended that all councils ensure that the impact of scrutiny is properly evaluated and acted upon to improve the function's effectiveness; including following up on proposed actions and examining outcomes.

7. In November 2019 the Welsh Government published its Local Government and Elections (Wales) Bill. The Bill has implications for the performance and governance of all Councils, requiring an increased focus on self-assessment and peer review. It also recommends that scrutiny committees receive prior notice of 'key decisions' with a significant financial implication or effect on local communities.

8. Given the current context, the WAO recommendation that all councils ensure that the impact of scrutiny is properly evaluated and acted upon to improve the function's effectiveness (*including following up on proposed actions and examining outcomes*), and the forthcoming Local Government & Elections (Wales) Bill (*in which Welsh Government propose an increased focus on self-assessment and peer review*), it is timely that the Committee has prioritised the development of a mechanism and model to evaluate the benefit of a commitment to scrutiny.

9. The key practical output of this inquiry has therefore been the development of a model to record and capture the impact of scrutiny in Cardiff Council. It aims to provide a framework on which scrutiny can demonstrate its value in line with the growing self-assessment agenda.

10. The self-assessment process outlined in the model extends beyond the scrutiny function and will also enable service areas to self-assess the extent to which they have implemented accepted scrutiny recommendations and evaluated the outcomes.

11. This report will focus on a proposed model, developed following primary research, to evaluate scrutiny's impact and the outcomes resulting from the implementation of its recommendations. That process of evaluation should, in itself, facilitate a process of self-assessment by service areas involved and by the scrutiny function. A full summary of the evaluation of scrutiny impact to date within Cardiff Council can be found at **Appendix 3.**

12. Members subsequently commissioned the scrutiny research function to review the methodologies used by Local Government Scrutiny Committees; National Assembly for Wales Committee and Research Services, UK, Parliamentary Select Committees and related organisations. The aim was to identify approaches relevant to assessing the impact of scrutiny in a local government context. The findings reflected in the model presented in this report have referenced and adapted some of the successful methodologies used in scrutiny impact assessment by the various sources listed above

13. The proposed model, developed following this research, enables the measurement and analysis of the quantity *and* types of scrutiny activity within Local Authorities. Importantly, it sets out to assess and measure the impact and outcomes achieved in the planning and delivery of Council services.

REVIEW OF SCRUTINY IMPACT TO DATE

14. There are currently five Scrutiny Committees in Cardiff Council, each with clearly defined Terms of Reference. They are:

    - Community and Adult Services Scrutiny Committee (CASSC)

    - Children and Young People Scrutiny Committee (CYP)

    - Economy and Culture Scrutiny Committee (E&C)

    - Environmental Scrutiny Committee (ENV)

    - Policy Review and Performance Scrutiny Committee (PRAP)

15. The Chair of the PRAP task group commissioned primary research to inform the inquiry of the impact of Cardiff Council's Scrutiny function during the previous and current political terms. The research methodology took three reports for each of Cardiff's five scrutiny committees, their corresponding Cabinet responses, and progress report updates from the service areas involved and analysed different types of impact achieved following each report where evidence of impact existed. The scrutiny topics and inquiries selected for the review are those considered to have made a significant impact on service provision in Cardiff Council. The full report can be referenced at **Appendix 3.**

16. It is widely recognised that determining the impact of scrutiny is not a simple process. Scrutiny delivers both quantitative and qualitative outputs and results as well as direct and indirect impacts. A key challenge in determining scrutiny impact is the causality between *scrutiny activity* and the range of *outcomes* that stem from the scrutiny activity. For the purposes of the research, we evidenced and analysed findings on the impact of Cardiff's scrutiny function using the three key outcomes identified and endorsed by the Centre for Public Scrutiny (CFPS) and the Wales Audit Office (WAO) as indicators of effective scrutiny. These are:

    - Driving improvement by raising awareness, highlighting key local issues, and improvements in policies and processes – *Better Outcomes*

- Holding to account by identifying poor service performance and policies and decisions – *Better decisions*

- Contributing to and facilitating democratic debate and in ensuring engagement with the public and key stakeholders. – *Better engagement*

17. The initial review of scrutiny impact used this CfPS framework for effective scrutiny to analyse the impact to date. A number of headlines emerged to capture the ways in which scrutiny can make an impact, as summarised below. Examples of scrutiny outputs that illustrate each headline can be seen at **Appendix 3.** The key types of scrutiny impact in Cardiff to date are:

    i. **A Spotlight on important issues** - the review of selected evidence found that scrutiny has made significant impact in driving improvement in Cardiff Council by placing a "spotlight" on important local issues. The Cabinet has considered issues highlighted by scrutiny, both in reviewing existing policies and in developing new policies and strategies.

    ii. **Highlighting key stakeholder issues -** Scrutiny activities have brought forward key stakeholder issues, such as the support needs of adult carers and public perceptions of the Council's effectiveness in litter enforcement**.**

    iii. **Highlighting the need to develop new strategies and areas for improvement in existing service performance to address current demand for service -** in driving improvement within the Council, the evidence reviewed demonstrated that scrutiny activities have made significant impact in identifying key improvement areas in service provision.

    iv. **Identifying areas of improvement for service area staffing and leadership,** such as highlighting the need for appropriate management arrangements to co-ordinate improvements to the Central Market.

    v. **Highlighting workforce areas for improvement -** scrutiny inquiries have highlighted workforce improvement areas, identifying subject areas where knowledge and skills sets of, for example, social care staff, key external partners and vulnerable groups could be improved.

vi. **Highlighting best practice in service provision -** where scrutiny makes a significant contribution in highlighting internal or external best practice in service provision or in generating Member and Officer awareness of innovative arrangements and practices.

vii. **Holding to account decision making -** scrutiny's role in holding to account decision making within the authority is evidenced by its effectiveness and impact in terms of performance review and monitoring, such as the scrutiny of the budget and the use of scrutiny call in.

viii. **Creating opportunities for stakeholders, partners, voluntary organisations and members of the general public to be involved in a democratic debate** on the effectiveness of current service provision and in shaping future policies and strategies on service delivery. Scrutiny Committee Meetings, Task and Finish inquiries and their research activities provide opportunities for external groups to have their views and concerns heard and considered in making recommendations on a range of issues relating to service provision. Through the conduct of research using qualitative and quantitative methodologies and document reviews, the views of the general public and selected stakeholders are brought to scrutiny for consideration as evidence to inform and challenge recommendations made to the Cabinet.

18. Overall, this review of the effectiveness of scrutiny in Cardiff illustrates that the service has made significant contributions to date. Its key strength lies in:

- Raising Member and Officer awareness of key issues affecting stakeholders and service provision;

- Highlighting improvement opportunities in policies and service delivery;

- Supporting the development of policy and strategy;

- Its role and contribution to the Council's performance monitoring and self-assessment processes;

- Highlighting innovative arrangements and best practice.

19. In summary, performance monitoring, scrutiny of the budget proposals and scrutiny call-ins have presented constructive challenge to service performance and to the decision making process within the Council. Monitoring of such challenges as sickness absence has contributed to the raising of awareness and to some shifts in policy and performance. Additionally, the scrutiny of budget proposals has helped in the reconsideration of proposed spending and cuts affecting vulnerable service users which have been re-considered. Similarly, the scrutiny call-in example cited in this initial research report demonstrates a constructive challenge that resulted in a recommendation to strengthen the Council's processes around disposal of Council owned land and resources.

20. Finally, the scrutiny process facilitates and provides opportunities for backbench Members, stakeholders, and key partners to be involved in democratic debate on the effectiveness of current service provision and the future of Council services. Through its task and finish inquiries and scrutiny of specific items, scrutiny brings to democratic debate specialist knowledge and expertise as well as the issues and concerns of stakeholders, service users and the general public. Scrutiny research has enabled Scrutiny Committees to access robust independent information and evidence including citizens' and service users' views and perspectives on key issues being considered by scrutiny.

21. We have summarised the many successes of Cardiff's strong scrutiny function. Greater detail on the impact to date can be found in the full report, **'A Review of Cardiff Council's Scrutiny Impact**' at **Appendix 3 (p44).**

22. Notwithstanding the usefulness of the CfPS model for assessing the effectiveness of scrutiny, this report now seeks to develop a more formalised approach to capturing the impact of scrutiny, taking a further step forward by focussing more closely on the *types of impact* that scrutiny can achieve by applying the developing a new model. The rationale for this proposed new model is that it attempts to construct quantitative and qualitative measures of the impact of scrutiny on policy development and performance.

23. To develop this proposed model, a second research project was undertaken that reviewed the various approaches and methodologies used by various local government Scrutiny Committees, the National Assembly for Wales Committee

and Research Services, the UK's Parliamentary Select Committees and related organisations to assess the impact of scrutiny activity. The key findings of this research report, attached at **Appendix 4,** identifies and describes the range of key methodologies and approaches that could be adopted establishing the impact of scrutiny activity in local government. The model that follows has been tailored to deliver a practical option for application in Cardiff Council.

THE MODEL

24. Pages 13-34 of this report present in detail a model for gathering a quantitative and qualitative picture of the impact of scrutiny's work. It requires the recording of data by both the scrutiny function and the cabinet or service area in terms of actions taken in response to the accepted recommendations made. It aspires to validate the effectiveness of scrutiny, provide frameworks for measuring the substantiveness of recommendations and their delivery and to offer a way to measure scrutinys impact.

25. In applying this model the resulting analysis of performance will provide a framework to address forthcoming Welsh Government legislative requirement for greater self-assessment and develop a mechanism for evaluating the responsiveness of Cabinet to Scrutiny.

26. Importantly, definitions of the terms and measurements used in the Model can be found in the Glossary of Terms at **Appendix 1**.

27. For clarity, the purpose and potential uses of the Scrutiny Impact Model are:

- To **assist self-assessment** of each scrutiny committee's performance.
- To **assist service area self-assessment** of the implementation of accepted scrutiny recommendations.
- To **assess scrutiny impact** on Council policy and performance
- To feed into the Council's performance monitoring framework to **evaluate the performance** of the scrutiny function.
- To provide a **quantitative base**, and a **qualitative overview**, for the publication of one scrutiny annual report to Council, to be supplemented by five bespoke committee summaries.

28. For illustrative purposes the model uses SC1–SC5 (Scrutiny Committees 1-5) in tables used to collect data sets. The model can be adapted for use in other Local Authorities or bodies where there are more or fewer scrutiny committees.

29. The proposed model that follows has three components:

Part A: Assessment of Scrutiny Output: this part has two clear sections:

- **Section 1** of Part A - involves *a quantitative assessment of the types of scrutiny activities and outputs* that are achieved during the year.

- **Section 2** of Part A - involves the *monitoring of the number of recommendations made* and the immediate outcome that is achieved as demonstrated by the acceptance or rejection of these recommendations. The concept of "**substantiveness**" will be used as a key measure in determining the level of influence or impact that these recommendations have on policy.

Part B: Recording and Tracking the Implementation of Recommendations.
This section of the model proposes that service areas record the extent to which they have implemented scrutiny recommendations accepted by the cabinet. It will require the co-operation of service areas, and an agreed process for tracking the implementation of recommendations between scrutiny and service areas.

Part C: Non-quantifiable Measures of Scrutiny Impact
This section attempts to broaden the concept of capturing scrutiny's impact, by recognising that its influence is not always quantifiable, and yet it can make a tangible qualitative difference to the way in which the Council delivers its services

Part A – Assessment of Scrutiny Output – *scrutiny self-assessment*

A1. Scrutiny Outputs - Volume and Type of Work

A1.1 Number and Types of Scrutiny Activity

This involves the collection of data on the number and types of scrutiny activity undertaken and the tasks that are completed throughout the year. This information is important because it will **illustrate the volume of work** undertaken by scrutiny committees. Data will be collected monthly on the various activities and tasks, and will be summarised to reflect the volume of work undertaken in each year. It will also provide comparative data on the activities undertaken by the different scrutiny committees in the year.

Table 1: Annual number of scrutiny meetings

Number of scrutiny meetings	SC1	SC2	SC3	SC4	SC5
Formal Committee Meetings					
Task and Finish Meetings					
Panel Meetings					
Call-ins					
Informal Committee Meetings					
Other					
Total Number of Meetings					

Table 2: Annual summary of scrutiny activity by type

Type of Scrutiny Activity	SC1	SC2	SC3	SC4	SC5
Policy Development/Review					
Pre-decision Scrutiny					
Performance Monitoring					
Briefing/update					
Short Scrutiny					
Task and Finish Inquiry					
Call-in					
Primary Research					
Other					
Total Scrutiny Activity					

(Note: SC: Scrutiny Committee. Definitions of Types of Scrutiny Activity set out in **Appendix 1, Table A**)

A1.2 Number and Types of Scrutiny Output

Additionally, a summary of the types of output produced by the various scrutiny activities can be collated. This information is important as these outputs represent each Committees' substantive intervention in the policy process.

Table 3. Number and Types of Scrutiny Output.

Type of Scrutiny Output	SC1	SC2	SC3	SC4	SC5
Committee Letter to Cabinet Member					
Task & Finish Inquiry Report to Cabinet					
Total					

(Notes: 1.Committee Letters include decision letters issued to a Cabinet member following a call-in.
2. Task & Finish Reports include Short Scrutiny Reports.)

A1.3 Types of Committee Engagement in Policy Process

A key role of scrutiny inquiries is to influence policy and hold the Cabinet to account. Data can be collected on the specific ways that scrutiny activities (committees, inquiries and panels) engage with the policy process, providing information on how much of the work undertaken by scrutiny committees shapes the Council's agenda, or reviews progress that has been made. The data will also indicate whether a committee's work in influencing policy is proactive or reactive, driven by the corporate agenda or reflective of challenges and shortcomings identified independently by the committee.

Table 4. Type of Scrutiny Engagement in Policy Process, by Committee

Type of Engagement in Policy	SC1	SC2	SC3	SC4	SC5
Inquiry Title					
Opening debate in new policy areas					
Examining cabinet or directorate proposals e.g. policies, projects, strategies					
Responding to perceived policy failures					
Responding to external policy initiatives					
Follow-up from previous inquiry					

(Note: Definitions of Types of Scrutiny Engagement in Policy are set out in **Appendix 1, Table B**)

A1.4 Stakeholder Contributors to Scrutiny

A key role of scrutiny is to provide an opportunity for the public and stakeholders to have their views and perspectives considered in the Council's decision making process. This can be achieved by gathering data on internal and external contributors to scrutiny activities.

Table 5: Number of Stakeholders and Contributors to Scrutiny Activities

Quarter 1 Committee	External contributors	Internal contributors	Total contributors	Webcast hits	Social media hits
SC1					
SC2					
SC3					
SC4					
SC5					

A2. Committee Recommendations - Monitoring the Number and Types of Recommendations

Scrutiny recommendations are regarded as the primary means by which committees can require the cabinet to address a specific issue, consider a course of action, disclose or provide information or provide an update to the committee on a particular area. The current Cardiff Council Constitution requires the cabinet to provide a formal written response to scrutiny committee recommendations as soon as is practicable.

The collection and monitoring of scrutiny committee recommendations is key to enabling a quantifiable assessment of the influence and impact made by scrutiny committees. The research that was undertaken endorses the use of the quantitative approach previously applied by the UCL Constitution Unit in determining the impact of Parliamentary Select Committees in 2011 in the collection and monitoring of the success achieved by scrutiny committee recommendations.

Importantly, recommendations can be generated following a formal Committee meeting by letter, following a Short Scrutiny by extended letter, following a full Task & Finish

inquiry by publication of a report; or by letter following an informal Panel meeting or Call-in.

The following Tables illustrate the data that would need to be collected to evidence the actions, influence and impact that Scrutiny Committees are seeking to achieve from recommendations.

A2.1 Number of Recommendations

Table 6: Number of scrutiny committee recommendations (outputs) by activity per month, totalled to provide annual data.

Committee	Mtg 1	Mtg 2	Mtg 3	Mtg 4	Mtg 5	Mtg 6	Mtg 7	Mtg 8	Mtg 9	Mtg 10	Mtg 11	Annual Total
SC1												
Committee Letter to Cabinet Member												
Task & Finish Report to Cabinet												
Total												
Repeat for all 5 Committees												
Monthly TOTAL												

(Note: Committee Letters include any decision letter issued to the Cabinet following a Call-in)

A2.2 Type and Nature of Recommendations

In monitoring recommendations, it is important that we establish the type or the nature of recommendations made. Data on the nature of recommendations can be captured using the concept of the **"Substantiveness of Recommendations"**. The UCL Constitution Unit considers this is a key measure to enabling **a meaningful assessment and analysis of the levels and the scope of influence** that recommendations can have on the policy process. "Substantiveness" can be determined using the following two components.

- **Level of policy change** - the level of alteration that a recommendation calls for.

- **Level of policy significance** - the scope or significance of the policy that the change will be applied to.

A2.2.1 Recommendations by Level of Policy Change called for

Collecting this data will **provide a measure of the level of policy change that scrutiny recommendations are seeking to achieve**. The types of change called for can be categorised as follows and can be allocated the corresponding numerical values:

Policy change	Value
No change	0
Small change	1
Medium change	2
Large change and/or complete reversal of the policy	3

(Note: definitions of the level of change a recommendation may call for are set out in **Appendix 1, Table C**)

The data in Table 7 below provides a summary of the number recommendations made in relation to the types of action called for. These data sets will be indicative of the level of influence that each Committee is seeking/has sought to achieve. Note that some recommendations do not propose a policy change and therefore are not allocated a numerical value.

Table 7: Number of Recommendations by the level of change called for

Activity: Recommendations	Small change	Medium change	Large change
R1	x		
R2		x	
R3			x
R4	x		
R5			x
Total Recommendations	2	1	2

(Note: Activity can be either a committee letter or a task and finish report)

This analysis should be completed for each scrutiny activity (written in a letter or report) that generates recommendations. This can be summarised in an annual report at the end of the municipal year.

A2.2.2 Recommendations by Level of Policy Significance

Collecting this data will **provide a measure of the relative importance or significance of the specific policy that scrutiny recommendations will impact on**. The level of policy significance that scrutiny recommendations will impact on can be allocated a corresponding numerical value.

Policy Significance	Value
Minor policy	1
Medium policy	2
Major policy change and/or complete reversal of the policy	3

The data in Table 8 below provides a summary of the number recommendations made in relation to the significance of the policy that it will impact on. This data set will be indicative of the influence that recommendations are seeking to achieve in relation to the importance or significance of the policy

Table 8: Number of recommendations by policy significance

Activity : Recommendation	Minor policy	Medium policy	Major policy
R1		x	
R2		x	
R3			x
R4			x
R5			x
R6		x	
Total Recommendations	0	3	4

(Note: definitions of the level of policy significance recommendations will impact upon are set out in **Appendix 1, Table D**)

Each activity that generates recommendations should be recorded and an annual summary collated at the end of the municipal year.

A2.2.3. Recommendations by Substantiveness

The use of the term 'substantiveness' refers to the overall policy importance of scrutiny committee recommendations. This is a combined measure of the two components, *level of policy change* and *level of policy significance,* that determine the policy importance of a recommendation. This measurement will enable an analysis and measure of the overall policy importance of recommendations that have been formulated by scrutiny committees each year.

Substantiveness = (Level of policy change called for) x (policy significance)

The substantiveness of a recommendation is calculated by multiplying the values associated with the different categories of policy change by the values associated with the different levels of policy significance on which the recommendation would impact.

The resulting categories of substantiveness of recommendations are as follows;

0	No change regardless of policy significance
1	Small change to a minor policy
2	Small change to a medium policy Medium change to a minor policy
3	Small change to a major policy Large change to a minor policy
4	Medium change to a medium policy
6	Medium change to a major policy Large change to a medium policy
9	Large change to a major policy

The data in Table 9 below will enable analysis of the number of recommendations and the policy importance of recommendations made by the each Scrutiny Committee.

Table 9. Annual summary of number of substantive recommendations

Committee	Number of Substantive Recommendations							Total	% 0-2	% 3-6	% 9
	0	1	2	3	4	6	9				
SC1											
SC2											
SC3											
SC4											
SC5											
Total											

To enable this analysis, each recommendation in a Letter or Report will need to be allocated a substantiveness rating. These ratings can then be collated for each scrutiny committee monthly and annually, and for the whole scrutiny function by adding together the ratings for all five committees. If required it will be possible to make a comparative analysis of the work of different scrutiny committees for performance measurement purposes by virtue of numbers of recommendations and their substantiveness. A framework for the allocation of a substantiveness rating to a recommendations will be developed by the scrutiny team and applied consistently across all committees. This will avoid the risk of subjective assessment, establishing clear parameters of what constitutes each level of change, and clarity on the categories of policy significance.

A3. Tracking the Success of Recommendations– *acceptance and implementation*

The model has established that recommendations generated by scrutiny activity constitute potential service area outputs. Tracking the acceptance and implementation of scrutiny recommendations is therefore an important aspect of determining the impact of scrutiny as it provides evidence of the degree of success that scrutiny recommendations have achieved in influencing Council Policy and effecting change. The work of Rush (1985) as cited in the scrutiny research undertaken, stated that 'tracing the fate of recommendations' is 'no doubt one of most important measures of the impact of the Committee'.

The Cabinet formal response to scrutiny recommendations provides immediate confirmation of scrutiny's influence on policy and performance. However, the take-up or acceptance of recommendations, only represents a partial or limited measure of a committee's influence, it does not provide definitive evidence that recommendations are acted upon nor the outcomes that their implementation achieves or fails to achieve. Scrutiny's influence can be over-estimated when only acceptance of recommendations is taken into account. When service areas fail to implement accepted recommendations or when scrutiny makes recommendations that are less than challenging this can lead to low levels of impact on the Council's performance.

The acceptance of recommendations, even with its limitations, is worthy of measurement however as it enables committees to evaluate their influence. It also provides a direct comparison between committees on this key starting point in the process of making impact.

The acceptance of recommendations can be tracked via a Cabinet formal response to a Scrutiny task and finish report or a Cabinet Member response to a Committee letter. The categories that can be used to track immediate acceptance are determined as:

•   Fully Accepted
•   Partially Accepted
•   Rejected

(Note: definitions of the above responses are set out in **Appendix 1, Table E**)

Once a data set of recommendation responses has been recorded over time, a variety of analyses can be generated, as illustrated in the following two tables.

Each set of recommendations accepted, partially accepted or rejected, can be transformed into implementation goals and action plans by the relevant service area. Part B of the Model therefore requires the service area to track its own implementation of scrutiny recommendations.

Table 10: Annual summary of recommendations by committee

Committee	Accepted	Partially Accepted	Rejected	Total	Accepted/ Partially Accepted (%)	Rejected (%)
SC1	45	10	20	75	73%	27%
SC2						
SC3						
SC4						
SC5						
Total						

(Figures used for illustrative purposes only)

Establishing the substantiveness of accepted recommendations, as illustrated in the Table below, provides a more accurate picture of the level of influence that scrutiny recommendations have achieved.

Table 11: Annual summary of the substantiveness of accepted recommendations.

Committee	Substantiveness Activity						Total Accepted	Substantiveness 1-3 (%)	Substantiveness 4-6 (%)	Substantiveness 9 (%)
	1	2	3	4	6	9				
SC1		35		20	5	5	65	54%	38%	8%
SC2										
SC3										
SC4										
SC5										
Total										

(Figures used for illustrative purposes only)

Part B – Tracking of Implementation – *service area self-assessment*

Tracking Implementation of Recommendations

In addition to monitoring the acceptance of scrutiny recommendations, this model proposes recording the extent to which they have been implemented by the cabinet through service areas. Such monitoring provides further evidence of the degree of impact of scrutiny recommendations, and evidence of a committee's longer-term influence.

The process for tracking the implementation of scrutiny recommendations within the Council will need to be agreed between scrutiny and the cabinet, and then in detail through directors and service area management teams. Responsibility for capturing such detail and relaying it to scrutiny could possibly sit with service area performance leads and compliment a refreshed performance and planning framework introduced to meet the requirements of the Local Government and Elections (Wales) Bill. It will be important to clarify the *types of evidence* required to confirm implementation of a recommendation, and the timescales for reporting on progress made towards implementing recommendations. Where appropriate, evidence would constitute a summary of actions taken or intended to address the implementation of a recommendation.

The following implementation categories are proposed:

• Fully implemented
• Partially implemented and in progress
• Not yet implemented

(Note: definitions of the above categories are set out in **Appendix 1, Table F**)

Once a data set of responses for recommendations implemented has been accumulated a variety of analysis can be generated. It is suggested that the service

area concerned should prepare a report within 6 months of Cabinet formally accepting a set of recommendations resulting from an inquiry. Such a report should take each accepted or partially accepted recommendation and provide an assessment of progress towards its implementation. To clearly identify outputs as a result of the implementation of scrutiny recommendations in reporting implementation status a progress update should support the analysis. The following 2 tables illustrate how the implementation of scrutiny recommendations can be analysed. It is therefore proposed that the following two tables are populated by the service area receiving a scrutiny recommendation for improvement:

Table 12: Analysis of recommendations by acceptance and implementation status.

Report Title/Letter Topic:	Acceptance Status	Implementation Status	Progress update
R1	Accepted	Full	
R2	Partially Accepted	Not Implemented	
R3	Accepted	In progress	
R4	Accepted	No Evidence	

Such an analysis for a set of recommendations can later be summarised on an annual basis.

Table 13: Annual summary of implementation of accepted recommendations by committee

Committee	Number of Accepted Recommendations	Full	Partial	No Evidence	Not Implemented	Total	Fully and Partially Implemented (%)
SC1							
SC2							
SC3							
SC4							
SC5							
Total							

Part C – Non-quantifiable measures of Scrutiny Impact

The third element in measuring the impact of scrutiny acknowledges that scrutiny's influence is not always quantifiable, and yet its influence can make a tangible qualitative difference to the way in which the Council delivers its services. The primary research cites various reports that note the limitations of tracking Scrutiny committee recommendations as the sole means for assessing Committee influence within the local authority. Simply relying on tracking the take-up of recommendations can exaggerate a committee's influence, for there is a risk that Committees can tailor recommendations to make them easier for the Cabinet to accept, thereby inflating the acceptance rate. Additionally, it must be recognised that a positive formal response from the Cabinet to a Committee report or Committee letter to the Cabinet will not necessarily translate into immediate action. The success rate of Scrutiny Committee recommendations only accounts for part of a Committee's influence. Various aspects of a Committee's work, such as the conduct and process of running an inquiry and other non-inquiry work can effect change in the organisation.

The assessment of the influence or impact of scrutiny, should therefore examine various areas of scrutiny influence and contribution to policy work in the authority. Research undertaken by the UCL Constitution Committee, the Institute for Government (2015) and by CFPS and APSE (2017), has identified and highlighted several key areas where scrutiny makes significant positive contributions and impacts on policy within local government. It is recognised that most scrutiny activities will have contributed to or achieved some success in at least one or a combination of these impact areas. It is also noted that the extent to which these types of influence are achieved varies between committees, varies over time and could be affected by factors such as the nature of policy issues and the character/style of the Committee Chair.

This Model proposes that the beneficial impacts and contributions of scrutiny should be monitored using such tangible qualitative impacts as:

- Evidence Contributions
- New Analysis of Issues and Evidence
- Transparency

- Spotlighting
- Learning
- Process Impact
- Holding to Account
- Context and Relationships
- Indirect and Less Tangible Scrutiny Impact; and
- Staff and Member Feedback on Effectiveness of Scrutiny Support

Data for the above can be collected from various scrutiny stakeholders and participants on whether the scrutiny they have been involved in has made an impact in these areas. Responses must be sought from the three key parties involved in the conduct of scrutiny: those conducting the scrutiny, those subject to scrutiny, and other interested stakeholders.

The data to establish the contributions and impact of scrutiny in these areas could be collected using qualitative research methods such as focus groups or interviews. However for ease of data collection, a short annual survey can be sent out to Members, participants and witnesses to seek their views on how well scrutiny has achieved these various forms of influence and impact.

The following set of tables address each of the above tangible impact measurements:

Evidence Contributions - identifying new evidence that improves the Council's evidence base for decision-making, including related issues, risks or opportunities.

Table 14: Evidence contribution to democratic debate

Evidence contribution to democratic debate	YES	NO
Raised Member or Officer awareness and contributed new, original or independent information or evidence for consideration in policy development or operational review		
Presented new or original research on policy in question		
Brought forward new evidence from stakeholders and service users who have not previously been in contact with the Council		
Highlighted best practice arrangements from other bodies		
Raised Officer and Member understanding of a key policy or operational issue or problem		
Raised Member and Officer awareness of a key governmental		

Evidence contribution to democratic debate	YES	NO
consultation in a policy area		
Prompted the Council and its key partners, to gather different or more up to date evidence to inform policy and practice.		
Other		

(Note: whilst 7 key areas are outlined in this table, categories can be edited and defined as required by Members and key officers in the Council.)

New Analysis of Issues and Evidence - providing a new or different analysis of the available evidence (including political opinion) which influences the Council's view about what it is doing.

Table 15: New analysis of issues and evidence

New analysis of issues and evidence	YES	NO
Provided new analysis of evidence, previously unrecognised trends in evidence informing policy development		
Highlighted a weight of opinion on the evidence which the Council was unaware		
Changed the understanding and perspective of key decision makers (Cabinet Members and Service area Managers) on an issue		
Other		

Transparency - facilitating government openness by obliging Council Officers, Managers and Cabinet Members to explain and justify what they have done.

Table 16: Transparency

Transparency	YES	NO
Improved the quality of information that the Council has made publicall available		
Increased the quantity and breadth of information provided by the Council		
Facilitated transparency or disclosure of service plans, information and decision making to the public.		
Other		

Spotlighting - scrutiny's role in drawing attention to policy issues that may not be receiving adequate attention. These could be relatively smaller areas of government policy, rather than large flagship policies (or they may relate to overlooked details of more central policy topics). When committees focus on these issues this can have the result of changing policy priorities within the department. It has been noted in previous research that committees can have the effect of putting the 'spotlight on certain things and raising them up the departmental and/or corporate agenda'.

Table 17: Spotlighting to drive improvement

Spotlighting to drive improvement	YES	NO
Made the Council, other stakeholders and the public aware of a previously unrecognised issue		
Enabled stakeholders to change or broaden views or evaluation of an issue		
Identifying improvements needed in existing policies and strategies		
Highlighted service user and stakeholder needs that are relevant to policy and service improvements		
Other		

Learning - the impact of scrutiny in identifying lessons and learning from previous mistakes or successes by reviewing the development and implementation of policy, operational processes, resources and expenditure.

Table 18: Learning

Learning	YES	NO
Enabled the Council and its service areas to review or question its own actions or policies		
Identified lessons or learning areas that can improve policies and how they can be implemented		
Create a positive environment in which lessons can be learned		
Other		

Process Impact - scrutiny prompting higher standards or better processes in government through the act of conducting effective scrutiny.

Table 19: Process impact

Process impact	YES	NO
Identifying and facilitating improvements in the Council or service area's operational processes, performance or policy implementation.		
Identifying improvements in staffing resources or workforce development		
Identifying improvements in guidance materials for service users and frontline staff and practitioners		
Assisted the Council in identifying and managing risks.		
Made officers and cabinet prioritise and review their effectiveness		
Other		

Holding to Account

Table 20: Holding to account

Holding to account	YES	NO
Challenged service performance and performance targets		
Provided opportunity for Cabinet and Council managers to report on progress made on policy development and operational review		
Enabled the representation of stakeholders, public and other external bodies and their views to support the challenge of policy and operational processes and have their views considered by the Council and its services		
Challenged decision making or decisions made for reconsideration		
Exposed wrong doing or poor policies or operational practice		
Other		

Context and Relationships

Table 21: Context & Relationships

Context & Relationships	YES	NO
Helped build relationships or coalitions to support or challenge an issue – brokering role between Council and stakeholder groups		
Helped to improve stakeholders views, relationship and trust in the Council		
Other		

Other Indirect and Less Tangible Scrutiny Impact

Other less tangible and less measurable impacts of scrutiny include:

Brokering between stakeholders – this is about Scrutiny's role in mediating between competing interests, and/or reviewing differing points of view to identify mutually acceptable solutions. Committees can bring together in discussion different perspectives into the public arena. This is not limited to its "brokering role" between backbench members and the Cabinet and Senior Managers but also involve brokering between the Council and external stakeholders and key partners. For example, this can involve putting forward to the Council a pressing case for policy change in behalf of external stakeholder groups. This can also work in the way that the evidence presented by the Committee can legitimise the Council's position or delegitimise the claims of critics.

Indirect/Less Tangible Impact – Generating Fear is [2]perhaps the least tangible impact of scrutiny but often regarded as the most important form of Committee influence associated with its role in holding to account and exposing poor decision making, wrong doing or questionable policy in the public arena. This impact area specifically relates to how the Cabinet, and its Officers (partners or outside bodies) react and adjust their behaviours in anticipation of how the Committee might respond or react should a certain course of action be taken. This is regarded as a mainly negative form of influence in "discouraging" the local authority (and to a certain extent, outside bodies) from behaving in certain ways, for fear of how the relevant committee(s) may react in the future". For example, it has been cited that the anticipation of "appearing before the Committee" has a much bigger influence with many officers wanting to avoid criticism from the Committee. The knowledge that action or decision taken by the Cabinet and Officers could lead to appearing and defending this before the Committee leads to some degree of "risk management".

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[2] Selective Influence: The Policy Impact of House of Commons Select Committees. UCL Constitution Unit, June 2011, Meg Russell & Meghan Benton.
Select Committees under Scrutiny: The impact of parliamentary committee inquiries on government. Institute for Government 2015, Dr Hannah White.

However, on some occasions this effect can also "encourage to adopt a policy, when they know that it is likely to receive a backing" from Committee Members. Scrutiny's "preventative influence" as a result of its capacity to "generate fear" would be more difficult to assess and evidence. It is therefore suggested that the use of more in-depth qualitative methods such as key informant interviews and case studies would be useful tools in illustrating how "generating fear" and "brokering between stakeholders" affect policy work and decision-making.

Staff and Member Feedback on Effectiveness of Scrutiny Support

The effectiveness and influence of the scrutiny process is also affected by the level of support that is available to deliver scrutiny and its processes. It is therefore important that feedback is sought on the effectiveness of the support provided by the Scrutiny team to deliver the Scrutiny service. This data will provide further evidence in determining the effectiveness and influence of scrutiny. Such measures are currently used by the Research and Committee Services of the National Assembly for Wales to monitor the effectiveness of its services.

Table 22: Effectiveness of scrutiny support

Area of Support	1 Poor	2	3	4	5 Excellent
Committee Support					
Overall support for Scrutiny Committees					
Support for Committee meetings					
Support for Task and Finish meetings					
Research and independent evidence collection support for Committee work					
Support in developing Member skills in the conduct of scrutiny					
Engagement with the Public and Stakeholders					
Effectiveness in Engaging with Cardiff Council service users and members of the public to be involved in scrutiny					
Effectiveness in engaging with external partners and voluntary organisations					
Effectiveness in promoting the work of scrutiny					

on media and social media platforms. Championing scrutiny function and service with stakeholders and partners					

Feedback on the effectiveness of support can be evaluated on an annual basis by internal and external scrutiny stakeholders, for example scrutiny chairs and members, senior management, Cabinet members, external evidence providers. Such data can be used by the Head of Democratic Services to set performance targets that meet officer and member needs in the delivery of scrutiny services.

The task group recommends:

1. That Cabinet <u>adopts this Model</u> for capturing the impact of scrutiny acknowledging that it represents early compliance with the self-assessment requirements set out in the forthcoming Local Government Election (Wales) Bill. This self-assessment has implications for each Scrutiny Committee, the Scrutiny Function, and for the Service Areas / Directorates accepting scrutiny recommendations that require implementation.

2. That the <u>Scrutiny Function pilots the Model</u> developed by the committee to provide a framework and database on which a quantitative assessment of its impact on Council services can be captured and reported to Full Council annually. In addition to the quantitative assessment a non-quantifiable assessment of scrutiny should add value to the overall evaluation of impact, embracing the achievements of all five scrutiny committees.

3. An <u>extension of the governance arrangements</u> currently in place for responding to the recommendations of a scrutiny inquiry, to recommendations generated by the committee in correspondence following scrutiny of a matter at a formal committee. Cabinet is currently required to respond to scrutiny inquiry recommendations as soon as is practicable. Where a scrutiny committee is making a recommendation to a Cabinet Member, that recommendation will be stated clearly at the end of the letter. The Cabinet Member is requested to respond to the letter as a whole, and clearly indicate their response to any recommendations included as being *accepted*, *partially accepted* or *rejected*.

4. That the Cabinet Office and Service Areas make arrangements to <u>track and report on the implementation of accepted scrutiny recommendations</u>. A progress report on recommendations made via report or letter would be

expected to be available for presentation to the scrutiny committee within 6 months of the report being approved by Cabinet.

5. That Directors are accountable for reporting progress on the implementation of accepted scrutiny recommendations.

6. That service area tracking of the implementation of accepted scrutiny recommendations needs to integrate with the Council's planning and performance framework. This will enable recommendations to be monitored and their successful implementation evidenced.

7. That Cabinet endorse and support the development and branding of this model as the Cardiff Scrutiny Impact Model for potential sharing as best practice with other public bodies, and other local authorities through a variety of scrutiny networks. This would be offered when the model has been fully piloted and evaluated.

INQUIRY METHODOLOGY

30. This report is delivered following a research-intensive inquiry. The task group commissioned two pieces of primary research to meet the requirements of the Terms of Reference. Both research commissions were delivered by the Scrutiny Research function. The final report agreed for submission to the full committee, and subsequently to cabinet, has been drafted taking account of both extensive research exercises, whilst acknowledging the practicalities of delivering a model that has resourcing implications against a challenging financial backdrop. A full list of reference materials is included within the published research reports.

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LEGAL IMPLICATIONS

31. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. Any report with recommendations for decision that goes to Executive/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers of behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

FINANCIAL IMPLICATIONS

32. There are no direct financial implications arising from this report. However, financial implications may arise if and when the matters under review are implemented with or without any modifications.

POLICY REVIEW & PERFORMANCE SCRUTINY COMMITTEE

Councillor David Walker
Chair

Councillor Rodney Berman

Councillor Bernie Bowen Thomson

Councillor Jane Henshaw

Councillor Ashley Lister

Councillor Norma Mackie

Councillor Ali Ahmed

Councillor Rod McKerlich

TERMS OF REFERENCE

To scrutinise, monitor and review the overall operation of the Cardiff Programme for Improvement and the effectiveness of the general implementation of the Council's policies, aims and objectives, including:

To scrutinise, monitor and review the effectiveness of the Council's systems of financial control and administration and use of human resources.

To assess the impact of partnerships with and resources and services provided by external organisations including the Welsh Government, joint local government services, Welsh Government Sponsored Public Bodies and quasi-departmental non-governmental bodies on the effectiveness of Council service delivery.

To report to an appropriate Cabinet or Council meeting on its findings and to make recommendations on measures which may enhance Council performance and service delivery in this area.

Glossary of Terms **Appendix 1**

A: Types of Scrutiny activity in policy process

Type of Scrutiny Activity	Definition
Policy Development	Where the Committee has contributed to the Council's policy development processes by considering draft policy documents.
Pre-decision Scrutiny	Where the Committee has evaluated and commented on policy proposals before they are considered by the Cabinet, providing the Cabinet with an understanding of Scrutiny Member's views prior to making their decision.
Performance Monitoring	Where the Committee has undertaken monitoring of the Council's performance and progress in implementing previously agreed actions.
Briefings	Where timescales have not allowed for pre-decision or policy development scrutiny, and to ensure the Committee is kept informed of developments, proposals or progress
Short Scrutiny	Where a Committee chooses to undertake a short scrutiny as opposed to a task & finish inquiry. A short scrutiny takes place over a period of two or three consecutive Committee meetings in a public setting.
Task & Finish Inquiry	Where the Committee considers there is an opportunity to examine in detail the issues and wider options available, to assist the Council in improving the way a service is delivered:
Call-in	Where a Committee considers a matter called in for scrutiny by a non-executive Member in respect of an Executive Decision

B: Types of Scrutiny engagement in policy process

Types of Scrutiny Engagement	Definition
Opening Debate	Where the committee proactively sought to explore new policy directions, fact-find or open debate. The issue did not need to be an obscure or neglected one but could be something that had become fashionable, and perhaps been promoted by interest groups, but on which the government had not yet reacted substantively shape the agenda by bringing this under-examined area to the attention of a new administration.
Examining proposals	Inquiries responding to government announcements of projects, plans, programmes or funding packages, including publication of initiatives and strategies, white papers, green papers and occasionally legislation
Responding to perceived failures	Inquiries reacting to perceived failures of government action or inaction/negligence. Although other types of inquiry might have identified failure during their investigations, this category was only used for inquiries which were explicitly motivated by a crisis or political storm
Responding to policy initiatives by others	Inquiries which responded to reviews, consultations or initiatives by other bodies, for example Climate Change and the Stern Review: The Implications for Treasury Policy
Responding to external events	Where the committee was responding to an external event that was outside the government's control, Brexit, Grenfell
Picking up previous inquiries.	Where the purpose of the report was solely to follow up a previous inquiry

C: Level of Change a Recommendation Calls for:

Level of Change	Value	Definition
Small change	0	These are recommendations which support or endorse existing Council policy, or recommends at most tweaking or small modifications. Recommendations for disclosure are placed in this category, particularly when this asks the Council to set out its policy on something in its response. This code is allocated to recommendations calling on the Council to merely 'consider' something, as well as those calling for a continuation of the status quo.
Medium Change	1	These are recommendations that go further, but fall short of a reversal of a Council policy. These recommendations call for new action that is significantly different in terms of policy direction, priority or resources, or call for exploration in areas where policy did not currently exist. Disclosure recommendations can be placed in this category if they called for a change to the department's information policy or for the release of information usually kept out of the public domain.
Large Change or complete reversal of policy	2	These are recommendations which significantly deviates from current policy or explicitly calls for a reversal of current policy, such as the shutting down of programmes, dropping of targets, ending of funding, or adopting new action or a new policy in clear conflict with existing policy direction

D: Level of Policy Significance a Recommendation will Impact upon.

Three different categories of policy significance are suggested as follows:

Policy Significance	Value	Definition
Minor policy area	1	This refers to recommendations to policies that are not referenced in the corporate plan or partnership plan or manifestos of the current ruling political group. These recommendations would impact on policy areas that are not mentioned or would fall within a broad/vague policy area.
Medium-level policy area	2	This is applied to recommendations which are associated with a policy area in the corporate plan or the WAG policy area. These policy areas will not fall under those that are considered as major policy areas.
Major policy area	3	This are recommendations on policies that are explicitly mentioned in the corporate plan, PSB plan and other key policy documents of the Council or WAG

E: Acceptance Categories for recommendations

Categories	Definition
Fully Accepted	Responses where the Cabinet expresses agreement with the committee's recommendation, is explicitly committed to taking the action requested, and made no suggestion that they would have done so in any case. Also includes 'disclosure' recommendations where the committee requested information, which was provided in the response.
Partially Accepted	Responses which expressed agreement with the general thrust of the recommendation but not to the level of detail required by the committee, or accepted the recommendation in part but ignored (but did not reject) another part. This code is used in cases where the cabinet claims that what the committee wanted was already in progress, but where there was evidence that the action had been started only after the committee's inquiry began. The assumption in these cases is that the Cabinet had anticipated the content of certain recommendations from the inquiry, and acted prior to publication of the report.
Rejected	This is used for responses where the Cabinet explicitly describes itself as 'rejecting' or 'disagreeing'. It is restricted to cases where the cabinet says nothing positive or lukewarm at all, and has not suggested it was doing something similar already or that its position might change in the future

F: Implementation Categories for recommendations

Implementation Status	Definition
Fully implemented	This is used in cases where there is clear evidence of implementation. Evidence of implementation can be provided by the Cabinet either as part of a formal response to an inquiry, or by a periodical update to the Committee e.g. where a recommendation calls for disclosure of information, amended policy, amended guidance, action planning, commissioned research.
Partially implemented (in progress)	This would apply to recommendations where evidence is provided that the Cabinet has implemented the recommendation but not to the degree of specificity required by the committee. This could also apply to evidence of some limited attempts to implementation or where the Cabinet has confirmed that steps are being taken to implement but no further evidence is available to confirm this.
Not yet implemented	Where there is simply no evidence that suggests the Cabinet has taken on board or actioned a recommendation.

Data Sets   **Appendix 2**

Part A – Assessment of Scrutiny Outputs	
Table	
1	Annual number of scrutiny meetings
2	Annual summary of scrutiny activity by type
3	Number and types of scrutiny output
4	Types of scrutiny engagement in policy process, by committee
5	Number of stakeholders and contributors to scrutiny activities
6	Number of scrutiny committee recommendations by activity per month and annually.
7	Analysis of recommendations by the level of change called for
8	Analysis of recommendations by policy significance
9	Annual summary of number of substantive recommendations
10	Annual summary of recommendations by committee
11	Annual summary of the substantiveness of accepted recommendations
Part B – Tracking Implementation	
12	Analysis of recommendations by acceptance and implementation status
13	Annual summary of implementation of accepted recommendations by committee
Part C – Qualitative Measures of Scrutiny Impact	
14	Number of stakeholders and contributors represented in Scrutiny activities
15	Evidence contribution to democratic debate
16	New analysis of issues and evidence
17	Transparency
18	Spotlighting to drive improvement
19	Learning
20	Process impact
21	Holding to account
22	Context & relationships
23	Effectiveness of scrutiny support

Scrutiny Research

A Review of Cardiff Council's Scrutiny Impact

**Research report for the
Policy Review and Performance Committee**

December 2018

The City and County of Cardiff

Table of Contents

Review of Scrutiny Impact: Analysis and Summary of Findings

The Chair of the Policy Review and Performance (PRAP) Scrutiny Committee has commissioned this report to inform a task and finish inquiry into the impact of Cardiff Council's Scrutiny function during the previous and current political terms. The scrutiny topics and inquiries selected for this review are those considered to have made the most significant impact on service provision in Cardiff Council. For each Scrutiny Committee three reports, their corresponding Cabinet responses, and subsequent progress report updates have been analysed for different types of impact. A list of the inquiries and work reviewed can be referenced at Table 1 on pages 15-17.

It is widely recognised that determining the impact of scrutiny is not easy. Scrutiny delivers both quantitative and qualitative outputs and results, as well as direct and indirect impacts. A key challenge in determining scrutiny impact is the causality between *scrutiny activity* and the range of *outcomes* that stem from the scrutiny activity. For the purposes of this report, we have evidenced and analysed findings on the impact of Cardiff Council's scrutiny using the three key outcomes identified and endorsed by the Centre for Public Scrutiny (CFPS) and the Wales Audit Office (WAO) as indicators of effective scrutiny. These are:

- Driving improvement by raising awareness, highlighting key local issues, and improvements in policies and processes – *Better Outcomes*
- Holding to account by identifying poor service performance and policies and decisions – *Better decisions*
- Contributing to and facilitating democratic debate and in ensuring engagement with the public and key stakeholders. – *Better engagement*

This summary draws out the headline impacts, as follows:

A spotlight on important local issues

The review of selected evidence found that scrutiny has made significant impact in driving improvement in Cardiff Council by placing a "spot light" on important local issues. The Cabinet has considered issues highlighted by scrutiny, both in reviewing existing policies and in developing new policies and strategies.

- For example, the scrutiny inquiries on Child Sexual Exploitation, (CSE), Female Genital Mutilation (FGM), the Night time Economy (NTE) and on Sickness and Absence Management have raised political awareness on these issues.

Highlighting key stakeholder issues

Furthermore, scrutiny activities have brought forward key stakeholder issues.

- For example, the support needs of adult carers, the maintenance and enforcement concerns of Central Market stall holders and Historic Arcade businesses, the public's awareness of regulations on litter, and their perceptions of the Councils effectiveness in litter enforcement.

Highlighting the need to develop new strategies to address current demand for service

In driving improvement within the Council, the evidence reviewed also demonstrated that scrutiny activities have made significant impact in identifying key improvement areas in service provision.

- For example, the Scrutiny inquiries on the Night Time Economy, Out of County Placements, Central Market and Historic Arcades

draw attention to the need to develop new strategies to address current demands for service.

- More specifically the NTE Crime and Disorder inquiry highlighted the need for a political lead and the development of an action plan, resulting in a commitment to develop a strategy in this area of work.

- The Out of County Placements inquiry highlighted the need to develop placement strategy to increase provision for placements locally, i.e. increasing the number of foster carers; developing a provider market, work towards opening new homes etc. resulting in the setting up of a working group to specifically address these issues.

- The Sickness Absence inquiry highlighted improvements in sickness absence management processes (reduction of trigger points), occupational health access and a shift in policy towards the adoption of preventative and well–being approach. The recommendations made on these key areas now feature strongly in the Attendance and Well-being policy adopted in 2014.

Identifying areas for improvement in existing service processes and performance

The findings of this report also illustrate how scrutiny has made significant impact on identifying improvement areas in existing service processes and performance.

- For example, in establishing the support needs of carers, the inquiry highlighted the significance of the carers' assessment and its impact, and its findings raised the profile of this issue on the policy agenda. Following this inquiry, significant progress has been made in fully integrating the carers assessment into service provision alongside a considerable allocation of resources (6 staff), with the

carers assessment now featuring as one of the key commitments in the Corporate Plan.

- The work of PRAP in highlighting the need for consistent application of sickness absence processes in schools has resulted in significant improvements the recording and reporting of sickness absence levels in schools, so that school governors are now able to benchmark their own schools performance against other schools in Cardiff.

- As a result of the recommendations of the inquiry on Female Genital Mutilation, the service has committed to amend its data collection and recording to ensure that FGM cases are appropriately recorded in the system and is able to differentiate those who are at risk, and those that have been victims.

- PRAP's scrutiny of the APSE sickness absence review of 2017 highlighted poor practice as the review had not provided an opportunity for frontline staff to be engaged in the process and raise their views on issues and challenges in managing sickness and absence occurrences.

Identifying areas of improvement for service area staffing and leadership

The scrutiny inquiries reviewed have also identified improvement areas in terms of service area staffing and leadership roles.

- The Economy and Culture Committee Task and Finish Inquiry on Central Market and Historic Arcades, highlighted the need for appropriate management arrangements to drive and coordinate improvements in these establishments.
- A key recommendation arising from Environment Committees Litter Task and Finish Inquiry in 2012 was the provision of staff capacity to support the work of volunteers and volunteer groups.

- With regards to the appointment of leadership roles, the CASSC NTE inquiry recommended that a NTE champion should be appointed. Similarly, the appointment of a permanent CSE service lead was endorsed and recommended by CYP's Task and Finish Inquiry on CSE.

Highlighting workforce areas for improvement.

Furthermore, scrutiny inquiries have highlighted workforce improvement areas. For example, in identifying subject areas where knowledge and skills sets of social care staff, key external partners and vulnerable groups could be improved.

- The CSE Task and Finish inquiry recommended that training should be offered to staff so that they are able to give consistent, professional, and timely advice. It also recommended that a wider training programme (particularly to schools) be implemented to empower individuals and organisations to intervene at lower levels and therefore assist in reducing the number of referrals.
- Likewise, the Out of County placements inquiry re-emphasised the need to continue with supporting the training and development needs of social workers.
- The CYP inquiry on CSE also identified key educational and guidance materials that will support service users and practitioners on the ground. The inquiry made a specific recommendation on the production of a CSE guide for parents, and a resource pack with CSE practitioner's tool kit for professionals working with service users.

Highlighting best practice in service provision

Another key area where scrutiny makes a significant contribution is in highlighting best practice in service provision, or in generating Member and officer awareness of innovative arrangements and practices that the local authority can adopt or benefit from.

- The Environment Committee's Task and Finish inquiry on nuisance parking recommended the introduction of innovative technology using the "cam car system" to improve the local authority's parking enforcement capabilities. The adoption of this recommendation has so far generated no less than £367K additional net revenue for the local authority over the three-year period.
- The Litter inquiry recommendation to replicate the arrangements between Swansea Council and Swansea BID has resulted in Cardiff Council securing a For Cardiff Bid investment for additional street cleansing resources.
- PRAP Committees key findings and recommendations on the adoption of a preventative and well-being approach and initiatives during its Sickness Absence inquiry, now features strongly in the new Attendance and Well-being policy adopted in 2014. To date significant progress has been made on the implementation of these initiatives in the workplace. The research work for PRAP on the feasibility of performance benchmarking had raised Member and officer awareness on this subject, its limitations and rectified some misconceptions about this area of work.

Holding to account decision making

In terms of scrutiny's role in holding to account decision making within the authority, the review illustrates a number of examples of scrutiny's effectiveness and impact in terms of performance review and monitoring, scrutiny of the budget and scrutiny call in.

- The Sickness Absence Inquiry and the regular and periodical monitoring of sickness absence levels has enabled PRAP to effectively challenge performance targets on sickness absence levels. Following the initial inquiry PRAP, recommended a more challenging sickness absence target that the local authority should aim for i.e. 9.7 FTE sickness absence days instead of the initial 10.73 FTE target set by the service area.

- Examples used in the report identify where scrutiny of budget proposals has facilitated opportunities for the public, stakeholders and voluntary organisations to make representation on the detrimental impact of potential cuts in funding or service to marginalised communities and vulnerable service users to enable Committee Members to challenge proposals. Scrutiny has enabled the Cabinet and service area to be made aware of the range and strength of stakeholder views against the proposed cuts, so that these this can be considered in the final budgetary decisions.

- The CASSC scrutiny of proposed cuts affecting older people's day provision and the Taxi Marshall Service, resulted in Cabinets reconsideration of these proposals and the continuation of these provisions until alternative funding and arrangements were put in place.

- The Economy and Culture Committee's scrutiny of the Community Arts Funding achieved similar outcomes for various stakeholders and service users.

- The call-in of the Wedal Road sale illustrates the impact of Members challenge on the Council's decision making process and demonstrates the use of independent research evidence in deciding the sale of the Wedal Road HWRC.

Creating opportunities for stakeholders, partners, voluntary organisations and members of the general public to be involved in a democratic debate

A key area where scrutiny makes a significant impact is in creating opportunities for stakeholders, partners, voluntary organisations and members of the general public to be involved in a democratic debate on the effectiveness of current service provision, and in shaping future policies and strategies on service delivery. Scrutiny Committee Meetings, task and finish inquiries and research activities provide opportunities for these various groups to have their views and concerns heard and considered in making recommendations on a range of issues relating to service provision. Scrutiny Committees also regularly receive representation and updates from Cabinet Members, officers and service managers as part of specific scrutiny items and periodical performance monitoring. To monitor scrutiny's external engagement, the service records the number of external contributors to scrutiny as part of its KPIs.

Through the conduct of research using qualitative and quantitative methodologies and document reviews, the views of the general public, and selected stakeholders are brought to scrutiny for consideration as evidence to inform the challenge of and recommendations made to the Cabinet.

- Research was undertaken for the CASSC Carers inquiry to bring forward stakeholder views on their needs for service provision. Similarly, surveys undertaken for the Litter and Central Market and Historic Arcades inquiries have brought to light stakeholder views on the effectiveness of service provision in these areas.

Summary

Overall, this review of the impact of scrutiny within Cardiff Council, illustrates the key strengths of Cardiff's Scrutiny function in:

- raising Member and officers awareness of key issues affecting stakeholders and service provision;
- highlighting improvement areas with regard to policy, strategy and operational work; and
- highlighting innovative arrangements and best practice.

Scrutiny in Cardiff has made significant contributions in supporting the development of policy and strategy in various service areas of the Council. The work that scrutiny has undertaken in identifying improvement areas, also re-affirms scrutiny's role and contribution to the Council's performance monitoring and self-assessment processes and the added value that it brings to the local authority

As illustrated in the report, scrutiny's performance monitoring, scrutiny of the budget proposals and scrutiny call-in – has presented constructive challenge to service performance and the decision making process within the Council. Scrutiny's performance monitoring on the sickness absence issue contributed to a significant shift in policy and continued challenge towards achievement of performance. Additionally, the scrutiny of the budget proposals has helped in the reconsideration of proposed cuts that would have had significant impact on vulnerable service users and impacted on the sustainability of socio-cultural services to marginalised communities. Similarly, the scrutiny call-in example cited in this report demonstrates a constructive challenge that has resulted in a recommendation to strengthen the Council's processes around the disposal of Council owned resources.

Finally, the scrutiny process facilitates and provides opportunities for backbench Members, stakeholders, and key partners to be involved in democratic debate on effectiveness of current service provision and the future of Council services. Through its task and finish inquiries and scrutiny of specific items, scrutiny brings to democratic debate specialist knowledge and expertise as well as the issues and concerns of stakeholders, service users and the general public. Scrutiny research has enabled Scrutiny Committees

to access robust independent information and evidence sets including citizens' and service users' views and perspectives on various issues considered by scrutiny.

This summary and analysis of scrutiny's impact within Cardiff Council has been limited to the three broad themes identified above. The work undertaken by APSE (2017), Institute of Government (2015) and the Parliamentary review on Local Government Scrutiny (2017), have identified other outcomes achieved as a result of parliamentary scrutiny and local government scrutiny. The scope of this report, does not cover the impact that Cardiff scrutiny has achieved in terms of bringing in specialist expert evidence, in brokering and mediating between competing interests and stakeholders and its impact in catalysing change due to scrutiny. Further work would need to be undertaken to establish the impact that scrutiny has made in these areas.

In years to come, the continuing challenge for Cardiff's Scrutiny function is in transforming the views and understanding within the Council and its key partners, of the value of its role and its contributions to improving outcomes within local government, as well as in providing a key platform for bringing in a broad range of diverse voices in constructive debate and in decision making processes.

Work needs to continue to ensure that the scrutiny challenge is valued within the Council so that scrutiny improves its status within current corporate governance. Further research would need to be undertaken to explore how scrutiny can sustain its impact and maintain the relevance of its role and function within Cardiff Council and the various factors that affect these.

Introduction

The Policy Review and Performance (PRAP) Scrutiny Committee is undertaking a task and finish inquiry as a part of its 2018/19 work programme, reviewing the impact of Cardiff Council's Scrutiny function during the current and previous political administrations.

The Chair of PRAP has commissioned this research report to establish the various types of impact achieved by Cardiff's five Scrutiny Committees. The findings highlighted in this report will inform the Task and Finish Inquiry's recommendations for improvement in capturing the effectiveness and impact of the service within the Council's existing corporate governance arrangements.

To arrive at the findings presented in this report, a review of selected Committee Reports and Cabinet responses was undertaken. Principal Scrutiny Officers supporting the Committees each identified three Committee outputs, considered to have achieved significant impact in recent years. In total, 15 Committee reports, their corresponding Cabinet responses, and subsequent progress report updates to the specific inquiries or scrutiny items have been reviewed.

The themes that have been used in the structure of this report have referenced the key measures for impact as identified in the Centre for Public Scrutiny (CFPS) and the Wales Audit Office's (WAO) endorsed indicators of effective scrutiny. These include: driving improvement in public services; holding to account decision making; public engagement.

Driving improvements in service provision

Accepted Scrutiny recommendations

The following Table1 provides a summary of the total number of recommendations made by each scrutiny inquiry or item that was reviewed as part of this report. The table also shows a breakdown of the number of recommendations that have been accepted, partially accepted and rejected by the Cabinet.

From the sample of inquiries reviewed, the results show that the vast majority of recommendations made were accepted by the Cabinet, with a limited number considered as partially accepted. Only a very small percentage of recommendations made by scrutiny were rejected.

	Year	Topic	Total Number Recommendations	Number Accepted	Number Partially Accepted	Number Rejected
Children and Young People	**2014**	**Corporate Parenting** Task and Finish Inquiry	5	4 (80%)	1 (20%)	0
	2016	**Child Sexual Exploitation** Task and Finish Inquiry	13	12 (92%)	0	1 (8%)
	2017	**Female Genital Mutilation** Task and Finish Inquiry	2	1 (50%)	1 (50%)	0
	2018	**Out of County Placements** Task and Finish Inquiry	19	13 (68%)	6 (32%)	0
CAASC	**2013**	**Carers** Task and Finish Inquiry	18	9 (50%)	6 (33%)	3 (17%)
	2016	**Night Time Economy Crime and Disorder** Task and Finish Inquiry	15	12 (80%)	3 (20%)	0
	2016	**Closure of Older People Day Centres Budget** Scrutiny	N/A	N/A	N/A	N/A

	Year	Topic	Total Number Recommendations	Number Accepted	Number Partially Accepted	Number Rejected
Economy and Culture	2014	**Central Markets and Historic Arcades** Task and Finish Inquiry	17	11 (65%)	5 (29%)	1 (6%)
	2014	**Alternative Delivery Models** Research Inquiry	N/A	N/A	N/A	N/A
	2016	**Scrutiny of Budget proposal on reduction of Community Arts Funding**	1	1	0	0
Environment	2012	**Litter** Task and Finish Inquiry	13	11 (85%)	2 (15%)	0
	2013	**Problem and nuisance Parking in Cardiff** Task and Finish Inquiry	17	11 (65%)	5 (29%)	1 (6%)
	2017	**Management of Section 106 Funding for Community Development Projects** Task and Finish Inquiry	1 (key recommendation with subsections)	1 (full agreement to recommendations)	0	0

	Year	Topic	Total Number Recommendations	Number Accepted	Number Partially Accepted	Number Rejected
Policy and Review Performance	**2011**	**Sickness Absence Review** Task and Finish Inquiry	19	12 (63%)	6 (32%)	1 (5%)
	2013	**Benchmarking** Research inquiry	N/A	N/A	N/A	N/A
	2018	**Scrutiny of Wedal Road HWRC Disposal** Call-in	Decision referred back	N/A	N/A	N/A

Raising political and service area awareness of issues for consideration in the development of policy.

Through scrutiny, elected Members are made aware of key issues and challenges affecting the delivery of council services, its service users and stakeholders.

Improving political understanding of a key issue

<u>Improving political awareness of a Council-wide workforce issue</u>

The PRAP Scrutiny Committee has been reviewing and monitoring Cardiff Council's sickness and absence performance since 2011. This area of work for PRAP enabled Members to develop an in-depth and longitudinal understanding of a key service and performance issue that has a significant impact on the finances and workforce of the local authority. Following the Sickness Absence Task and Finish inquiry in 2011, PRAP has closely monitored the achievement of sickness and absence targets and the progress made in the implementation of new sickness policies and strategies. As a result of the regular and periodical monitoring of this performance area, Committee Members have been able to gain a good understanding of the challenges that the Council faces in making improvements in this area, and the achievements of the service area responsible for sickness absence policy development. This knowledge and understanding enables Members to continue effectively challenging in this area of service delivery.

<u>Improving political awareness of scope service provision to deal with Child Sexual Exploitation (CSE)</u>

Members in Cardiff expressed concerns at the possible level of CSE in Cardiff in relation to the high profile media coverage of the Child Sexual Exploitation (CSE) cases in Rochdale, Rotherham, Leeds and Bradford. As a result, the

Children and Young People (CYP) Scrutiny Committee agreed to a Task and Finish Inquiry on Child Sexual Exploitation in 2016. This inquiry group wanted to understand how agencies and professionals in Cardiff are working together to mitigate the risks for children and young people arising from the threat of CSE. The inquiry reviewed the current Council CSE strategy, preventative measures and the partnership arrangements in place to enable the local authority to deal effectively with CSE. The inquiry also looked into relevant best practice in this area and sought stakeholder and partners views on the existing service and delivery arrangements.

As a result of this inquiry, Members gained a good understanding of existing arrangements and services provided internally and by key partner organisations, as well as the challenges the Council faced in dealing with this issue. With this knowledge and understanding, Members of the Committee were able to make recommendations contributing to improvements in existing arrangements and resources for dealing with this issue.

Improving Cabinet and service area knowledge of alternative service delivery models

In 2014, the Economy and Culture Scrutiny Committee conducted an inquiry of Alternative Delivery Models in support of the service area's work around exploring alternative operating models to safeguard Cardiff's leisure and cultural venues. The Inquiry process adopted a flexible approach, contributing to on-going policy development work and providing a critique to inform pre-decision scrutiny of this area.

Following this inquiry Cabinet Members, officers, and Scrutiny Members cite this inquiry as one of the most useful scrutinies in recent times in terms of in-depth inquiry. The scrutiny brought real time examples from other local authorities and allowed Cardiff to learn from them – ultimately changing Cabinet's mind about Culture ADM and helping to strengthen management agreement about Leisure ADM.

Raising Member and service area awareness of Welsh Government Consultation

The Community and Adult Services Scrutiny Committee conducted a Task and Finish Inquiry in 2016 on How to Reduce Crime and Disorder in the Night Time Economy (NTE) in a time of austerity. This inquiry was undertaken because of concerns the Committee Members shared with South Wales Police regarding the availability of resources and funding intended to support the management of key NTE services. More specifically this aimed to identify strategies and approaches to reduce crime and disorder, seek stakeholders' views as well as look into relevant best practice in external organisations and other local authorities that could be adopted in Cardiff.

As a result of this inquiry, service areas had been made aware of the Welsh Government consultation on the NTE Framework and the need for the local authority to respond to this consultation.

Raising political and service area awareness of stakeholder issues

<u>Sustainability of Central Market and Historic Arcades as cultural and heritage establishments</u>

The Economy and Culture (E&C) Scrutiny Committee (2014) conducted a Task and Finish Inquiry on the Cardiff Central Market and Historic Arcades. The inquiry specifically looked into Cardiff Council's role in running and supporting Cardiff Central Market and the Historic Shopping Arcades, and explored options for the future of these establishments.

The site visits, the views of key witnesses, and the findings from two research projects undertaken, provided Members and the Cabinet with comprehensive evidence sets of the issues and improvement areas identified by stakeholders for the Central Market and Historic Arcades. More specifically, the engagement with stakeholders brought to Members and service areas

attention the need to resolve disputes between tenants as well as the need for better enforcement of operational guidelines.

Additionally, the inquiry brought to Members' attention various maintenance issues in the market, and their negative impact on business stallholders and the public's perception of the Central Market. As a result of highlighting these issues, service area officers are working closely with Cardiff Central Market Traders Association and have made significant progress in resolving disputes, ensuring better enforcement this area.

Support needs of carers

In 2013, a Carers Task and Finish Inquiry was undertaken by the Community and Adult Services Scrutiny Committee (CASSC), to support the service area's work in improving services for adult carers. The inquiry set out to understand the existing needs and aspirations of adult carers, and establish their views on how the Council could support these. Members also wanted to understand the challenges and barriers preventing adult carers from accessing or benefiting from the range of services available to them. The inquiry reviewed existing processes relating to the provision of services for this group as well as looking into various good practice examples in providing a range of support for carers.

The findings of this inquiry on carers' needs, raised political (Scrutiny and Cabinet Members) and senior management awareness of the issues facing carers, and the value of their caring role to society and to the provision of social care services. This also raised awareness on areas of support and service provision that the local authority can provide and improve upon.

Awareness of incidence Female Genital Mutilation (FGM)

In 2017, the CYP Scrutiny Committee conducted a Task and Finish Inquiry on Female Genital Mutilation (FGM), looking into the scale of the problem in

Cardiff, and examining existing arrangements for dealing with this problem, so that evidence based recommendations could be made on dealing with this issue in Cardiff. The evidence gained during this inquiry raised Members' and officers' awareness of the scale of the problem in Cardiff as well as the potential role that Cardiff Children's Services can play in addressing this issue, as was evidenced in the key findings set out in the report.

Raising political awareness to support service improvement of partner agencies

As part of the evidence gathering for the FGM Task and Finish Inquiry, Members were made aware of a potential funding bid for an FGM clinic pilot to be run within the CHAP (Cardiff Health Access Practice) at Cardiff Royal Infirmary. The Committee wrote a letter of support to the FGM Clinical Lead, supporting a funding bid for a £60,000 fund to run a pilot clinic. This letter emphasised the cross party political and public support for the provision of the service. The FGM clinic pilot successfully secured its funding and opened in May 2018. Moreover, it is estimated that this new service now provides medical and psychological support to women and girls who are victims of FGM.

Identifying improvement areas in service provision

The various examples cited in the following sections illustrate the impact and effectiveness of the function in helping service areas in Cardiff Council to identify improvement opportunities in service provision. The improvements identified here range from new policy areas to very specific operational processes, or workforce related improvements.

Identifying opportunities for improvement in existing policies and strategies

Improving sickness absence policy and strategy

The findings of PRAP's Sickness Absence Task and Finish inquiry (2011) highlighted issues around the management of sickness and absence in the authority. To inform the development of new policy, the inquiry made recommendations on streamlining the sickness absence management process, with specific suggestions on reducing sickness absence trigger points to allow a greater level of flexibility for managers to effectively deal with persistent sickness absence occurrences.

The inquiry also found issues around the effectiveness of the occupational health processes and the challenges associated with optimising the benefits that the service offers. As a result, the inquiry made recommendations on the tightening of the occupational health processes and the adoption of preventative measures that focus on improvements in staff well-being. Most of these recommendations were accepted by the service area and now feature strongly in the new Attendance and Well-being Policy that was adopted by Cardiff Council in 2014.

Following the first year of implementation of the new Attendance and Well–being Policy, a progress report to Committee cited "early indications are that the new Policy appears to be having a positive impact on the Council's levels of sickness", with a forecasted figure of 10.4 sickness absence days per FTE in 2013-14. According to a Cabinet letter to PRAP, the end year position on sickness absence was better than forecasted and the 2013-14 outturn figure achieved 10.18 sickness absence days per FTE.

A further analysis of sickness absence figures following implementation of the new Attendance and Well-being policy in 2013-14 to 2016-17, illustrated a

steady decline in sickness absence. The sickness absence outturn fell from 11.49 days FTE in 2013-14 to 10.77 FTE in 2016-17. However the sickness sickness absence outturn figure has risen in 2017-18

The work of the PRAP Committee in challenging sickness absence performance, as well in informing the development of new policies and processes and in continuing monitoring of progress made, has contributed to the positive outcomes that the service has achieved in recent years. The estimated cost of sickness absence in 2013-14 according to the Cabinet letter to the Committee was estimated at no less than £14.4 million. In 2016-17 the cost of sickness absence to the authority according to the APSE sickness absence report in 2016-17 was £11 million. This reported figure illustrates a significant cost reduction from 2013-14.

<u>Improvements in strategies and arrangements for dealing with litter</u>

The Environment Committee (2012) conducted a Task and Finish Inquiry on Litter to look into how this is dealt with in the City and to inform the Council in the development of new policies and strategies in dealing with this issue. The inquiry findings and the surveys undertaken have helped to identify areas where improvements can be made by the service. Stakeholders contributing to the inquiry identified a need to improve the Council's enforcement capabilities against littering offences. Additionally, the inquiry also highlighted the need develop and improve Council strategies and arrangements for dealing with dog fouling, smoking related litter, chewing gum, fast food and other forms of street litter, and the need for the Council to raise young people's and general public awareness of existing regulations on litter and dog fouling .

<u>Developing the Cardiff Central Market vision, improvements in management, and its promotion</u>

The Central Market and Historic Arcades Task and Finish Inquiry (2014) highlighted the need for specific improvements that would help to secure and

sustain the future use of Cardiff's Central Market and Historic Arcades. Specific recommendations were made on developing a vision, improving the management of the market, its branding and promotional activities and campaigns, extension of operating hours, Wi-Fi coverage, partnership arrangements that can be tapped into and use of local currency and loyalty schemes.

The vast majority of the recommendations made from this inquiry were accepted by the Cabinet. As a result of the recommendations from this inquiry, the Economic Development service of the Council made a commitment to review the management arrangements, develop a vision, and improve the marketing and branding of the market through the development of a new website. The service also committed to work with organisations with specialist expertise to explore how the Council can maximise the impact of the building from a heritage and tourism perspective.

<u>Improving the preventative strategy on CSE through raising awareness and campaigns with the public and at risk groups</u>.

The CYP Child Sexual Exploitation (CSE) Task and Finish Inquiry in 2016 highlighted from the evidence, the need to develop a strategic and coordinated awareness raising programme that should be implemented across vulnerable groups, community groups, schools' training, those engaged in the night-time economy, foster carers, staff in children's homes and those engaged in providing Council services via the commissioning and procurement process.

Following this recommendation, a progress report submitted to CYP Scrutiny Committee on the implementation of the CSE strategy cited that further "work has taken place with schools, youth service and third sector organisations to deliver CSE awareness raising sessions in schools, youth work settings, supported accommodation and residential children's homes". It was also intended that the initial pilot schemes directed for young people in schools would be rolled out throughout Cardiff. Additionally a targeted campaign was

also rolled out to raise awareness of parents, carers, professionals etc. The increased level of awareness by the public and various groups supports and reinforces preventative measures on CSE.

Improving service strategy for the placement of looked after children

To improve availability of placements in Cardiff, the CYP Scrutiny Committee's Out of County Placements Task and Finish Inquiry in 2018 made a recommendation that a placement strategy should be developed to increase the number of foster carers and retain them through the provision of additional support, allowances and retainers

In their response to the Committee's recommendation, the Cabinet established a project group that will have responsibility for developing an effective business model for the Fostering Service in Cardiff to help to meet the demand for local placements and help to reduce the cost of fostering to the Council.

Developing a strategy for managing the Night Time Economy

A key recommendation of the CASSC Task and Finish Inquiry on the Night Time Economy was that the service develop an action plan in response to the Welsh Government's 'Framework for Managing the Night Time Economy in Wales'. In response to this recommendation, the Cabinet made a commitment that a Night Time Economy strategy would be developed for the city

Enhancing and expanding service provision and capacity in Cardiff

As a result of the evidence received during the CYP Out of County Placements Task and Finish Inquiry, Members recommended that service area officers "develop and implement a building programme of homes for children in Cardiff, utilising every possible agency, as an Invest to Save project".

In response to this recommendation, a project team was tasked to work on: delivering a clear commissioning strategy for securing children's placements by March 2019; work towards opening new children's homes in the City, so that Cardiff children can access the right type and level of support; to develop the provider market to deliver the type of provision, required in Cardiff.

Defining governance arrangements of partnership work around crime and disorder in the NTE

The CASSC Task and Finish Inquiry on the NTE (2016) highlighted the need to define the governance arrangements between key partnership arrangements i.e. Cardiff Partnership Board (CPB)   and between the Cardiff Business Improvement District and Cardiff Council, all involved in providing services relating to Cardiff's Night Time Economy. This recommendation was accepted and Cabinet stated that this would be considered for the agendas of the CPB and the Business Improvement District.

Improving service processes and performance

Integrating the carer's assessment in service delivery and performance monitoring

A key recommendation of the CASSC Carers Task and Finish Inquiry was for the service to ensure that a carer's needs assessment, particularly relating to respite provision, is undertaken by the service area as part of its key processes.

In response to this recommendation, the service committed that they would include the carers issue in the quality file audit, to be able to ensure and provide evidence that the carers assessment has been integrated in practice.

So far, the directorate has made significant progress in ensuring that carers' assessments are fully integrated into the service's processes. The carer's assessment is now identified as a key objective in the Corporate Plan, with corresponding measures and performance targets in the Directorate's delivery and performance report. A Carer's Assessment is now offered to all eligible adult carers of adults, as part of the Directorates commitments. The Q4 2017-18 performance report cited that the service had made significant improvement in the overall number and percentage of carers' assessments offered to this service user group (2833 offers out of 3563). The directorate has also further invested in additional resources to support carers, and in 2017-18 had successfully recruited an additional 6 members of staff as Carers Assessment Workers (CAW) to undertake assessments and support the delivery of the Carer Support Plan.

<u>Improving consistency of application of sickness absence management processes</u>

The findings of PRAP's Sickness and Absence Task and Finish Inquiry in 2011 highlighted the need for schools to make improvements in the management of sickness absence so that there was consistent application of the Council's sickness absence policy, including full reporting of all absences and routine completion of return to work interviews. The inquiry recommended that the Chief Officer for Schools should identify the schools that need to improve the application of processes and the extent to which these processes are implemented or applied. In response to this recommendation, the Chief Officer of Schools conducted a review of the application of sickness absence processes in schools and looked into sanctions that could be implemented (e.g. school membership of the mutual fund) to ensure compliance with Council wide procedures.

According to the progress report submitted to PRAP earlier this year (2018), significant improvements have been made in the recording and reporting of sickness absence levels in schools, so that school governors are now able to benchmark their own schools performance against other schools in Cardiff.

Improvements have also been made in ensuring that school governing bodies are empowered to tackle sickness absence proactively.

Improving FGM data collection and the recording of service users in case files

CYP's Task and Finish Inquiry on FGM (2017) recommended that Cardiff Council should take a lead role in the strategic and operational work around FGM, particularly in terms of improving data collection and recording of FGM cases.

In response to this recommendation, Children's Services committed that the recording process within the department would be amended to ensure that all new cases of FGM being perpetrated on a child will be separately recorded. There is an existing recording system for children's referral to the service that records the number of referrals made, by which agency and the outcome of the referral with the data broken down by age, by definition and by gender. However, the system does not currently differentiate between concerns that a child is at risk of FGM and where a child has already been mutilated. The implementation of this new system will enable Cardiff Council to monitor the number of FGM cases that are referred to the service and thereby enable the service to determine the level of resources that will be required from Cardiff Council and its partners in supporting those who are at risk and those affected and impacted by FGM.

Improving the conduct of the 2017 sickness absence service review

As part of PRAP's longitudinal monitoring of sickness absence performance, the Committee scrutinised APSE's sickness and absence review in 2017, as commissioned by the Human Resources service. The scrutiny of this report highlighted the need for input from frontline staff on their views around the challenges in dealing with and managing sickness absence. The Committee recommended that a further exercise should be undertaken to seek the views

of operational and frontline staff, so that these could be considered in the action plan developed following the review.

In response to this recommendation, the service area committed that as part of its action plan following the APSE review, the views of various staff groups including teaching assistants and frontline employees would be sought. This would help establish the reasons why certain occupational groups have higher sickness than others, and identify processes that could be put in place to assist. The service area subsequently commission APSE to undertake further focus group work with these previously unrepresented groups.

Implementing sanctions on staff failure to attend occupational health appointments

The findings of the PRAP Sickness Absence Task and Finish Inquiry in 2011, highlighted the need to strengthen the provision of the occupational health service, particularly the systems and processes around referrals and attendance at appointments. The Committee made a specific recommendation for dealing with staff failure to attend occupational health appointments with the application of appropriate sanctions such as charging.

Following the Committee's review of sickness absence in June 2015, the service confirmed "we are taking on board the Committee's suggestions around general tightening up of Occupational Health Service processes (OHS) and we are putting in place arrangements whereby a "no show" at the second OHS appointment without explanation will result in a stoppage of pay. The active involvement and accountabilities of managers in their staff who are "no shows" is also being strengthened in this respect." This change in policy was implemented from 1 July 2015 so that missed appointments are charged back to Directorates.

Improving the allocation processes for Section 106 monies

In 2017, the Environment Scrutiny Committee conducted a Task and Finish Inquiry on the 'Management of Section 106 Funding for the Development of Community Projects' to provide Members with an opportunity to consider and explore how Section 106 funding can be used to fund the development of community projects.

The Committee recommended a single process arrangement/scheme for assessing and allocating monies for community projects that would provide local Councilors, residents and stakeholders with an opportunity to decide how and where funds are spent in their wards. It was intended that the new process should prevent monies from being spent on unwanted local projects, and ensure that they tie in with local need. They would also provide planners and developers with a list of pre-agreed projects so that money could be linked to schemes as soon it became available.

Based on the Cabinet's response to the inquiry report, the Committee's recommendations were accepted and cited as "a good starting point to establish a robust process for capturing community derived / identified projects".

Improving staffing resources

Appointment of Volunteer Coordinator to harness volunteer capacity

The 2012 Litter Task and Finish Inquiry recommended that the Council should provide more support to develop volunteer resources by specifically establishing a single point of contact to provide comprehensive support for volunteers and volunteer groups, identify areas for litter picks and environmental improvement, as well as organise litter picks.

Following this recommendation, in 2017 the service recruited a Volunteer Development Coordinator on a fixed term basis. The work of the Volunteer Coordinator has generated a significant contribution to improving litter in terms of the volume of litter bags collected (9631 bags of litter) from litter picks. The post has supported a total of 8864 volunteer hours offered by members of the general public, equivalent to £75,985 when valued at the living wage.

Appointment of an Estates Manager with responsibility for the Central Market

A recommendation of the Economy and Culture Task and Finish Inquiry on the Central Market and Historic Arcades (2014) highlighted the need for the local authority to "put in place appropriate management arrangements to drive and coordinate improvements" in the Cardiff Central Market. The progress report update, brought to Committee in May 2016, cited that the service has created a "new post of Estate Management officer with overall responsibility for the management of the Market". The update also cited that improvements in the day to day operations, including enforcement of bylaws and operating guidelines, had been achieved.

The service progress report also cited other improvements in resource allocation, and investment made by the Council, which were directly linked to the recommendations of the inquiry. These include: improvements in branding of the Central Market; free Wi-Fi coverage in the Market, and investment in improving relations with market tenants and representative groups.

Appointment of a permanent CSE Lead Officer and team

During the Child Sexual Exploitation (CSE) Task and Finish Inquiry, Members were made aware that the lead officer responsible for managing work around CSE was a temporary appointment. A key recommendation of this inquiry was for the appointment of a permanent lead officer at Operational Manager to take a leadership and strategic role in implementing the local authority's CSE strategy. The evidence heard during the inquiry raised Members' awareness,

to support the allocation of funding from the Council's annual budget to establish a CSE prevention team and recruit to these posts. The budget proposal for 2017/18 supported the recruitment of a permanent CSE lead manager and the setting up of a dedicated team.

Appointing a leadership role

Assignment of a Cabinet Night Time Economy Champion

The findings of the Community and Adult Services Scrutiny Committee's NTE Task and Finish Inquiry highlighted the need for the local authority to appoint a Cabinet Member to act as an NTE Champion, to provide strategic and tactical leadership. At the time of the inquiry, the leadership responsibility for NTE was shared across three Cabinet Member portfolios, several senior officers and various partnership groups.

As a result of the inquiry's recommendation on this issue, the Cabinet Member for Skills, Safety and Engagement took on the role of Night Time Economy Champion. This Cabinet Member portfolio no longer exists; it is currently unknown who is the current NTE Champion.

Improving corporate responsibility and accountability

The CYP Scrutiny Committee and the previous Corporate Parenting Panel conducted a joint task and finish inquiry in 2014 to address concerns on the role, status and impact of the Corporate Parenting Panel as part of the corporate governance arrangements. There were concerns that the Panel "occupies a perversely marginalised position within the local authority, with the Panel having no statutory, role or status or formal decision making powers". The inquiry reviewed the role and status of the Council's Corporate Parenting

Panel, and made recommendations in formalising its role and remit, raising its profile and establishing clearer lines of accountability.

Following the inquiry, the Constitution Committee endorsed the recommendation to establish a Corporate Parenting Advisory Committee that would advise Council on the corporate parenting role. This Advisory Committee would have a visible role and status within the Council. Additionally, the Monitoring Officer's report to Constitution Committee confirmed that the inquiry's specific recommendations had informed the final terms of reference of the Advisory Committee, which had been refined in consultation with respective Committee Chairs – CYP Committee Chair, Corporate Parenting Panel and Constitution Committees. The Council approved the establishment of a new advisory panel with a new set of terms of reference that includes a specific remit around the development, monitoring and review of the corporate parenting strategy, and ensures its effective implementation.

Identifying workforce improvements

The findings of the CYP Scrutiny Committee's Task and Finish Inquiry on Female Genital Mutilation (FGM) (2017), Child Sexual Exploitation (CSE) (2016) and Out of County Placements (2018) have highlighted the need to further improve social worker staff knowledge and training.

The inquiry on CSE made a specific recommendation for on-going training for social workers, so that they are able to provide professional and consistent advice to service users and to members of the public. Specialist training on this issue was also recommended for individuals and organisations, to empower them to intervene at lower levels and assist in reducing referrals made. The inquiry also recommended further that educational and guidance materials are coordinated across agencies.

The recommendations made by this inquiry have been accepted by the Cabinet. The service has made progress in providing staff training, but acknowledged that further work needs to be done to ensure that all statutory agencies have trained their staff on this issue. The directorate update to Committee on the implementation of the CSE strategy cited that various agencies have now received training from the CSE coordinator and Manager.

Evidence received during the inquiry on Out of County placements had re-emphasised the need for the service to address workforce and practice improvement. Specific recommendations were made in relation to workforce practices and resources, to ensure that there is a stability in the workforce, enabling continuity of contact with young people in care, and the ability to meet increasing caseloads. In response to this recommendation, the service has committed to improving continuing support for the workforce, including undertaking well-being assessments of the workforce and continuing the recruitment campaign.

Improving availability of guidance materials for service users and professionals

The CYP Task and Finish Inquiry on CSE highlighted the need for guidance materials for service users, parents and practitioners. A progress report submitted to the Committee cited that the service has now produced a CSE Guide to Parents that will be circulated to agencies working with vulnerable families. Additionally, a resource pack for professionals was completed and circulated within Children's Services and via the CSE Professional Interest Group, which included professionals working across the City in organisations such as Police, Education, Schools, Health, Youth Offending Service, Mental Health, Housing, Probation and the Third Sector.

In response to the recommendation made on the provision of FGM training, the service has committed that as part of the implementation of the broad

CSE strategy, in this specific area training will be provided to avoid duplication.

Highlighting best practice arrangements and service innovations

Developing partnership with BID to secure funding

Evidence presented to the Environment Scrutiny Committee's Litter Task and Finish Inquiry (2012) illustrated how partnership working between the Swansea Business Improvement District and the City Council resulted in improved cleansing resources for Swansea city centre. The inquiry recommended that such practice should be considered and replicated in Cardiff.

A recent interview with the service manager (Litter Research 2018) revealed that Cardiff Council progressed its partnership arrangement with the 'For Cardiff' BID – and the city has benefited from additional resources invested by BID that helps to improve and maintain cleanliness in the city centre.

'For Cardiff' has invested an additional £150,000 from its own resources to fund regular deep cleans and additional street cleansing in the city centre. This additional street cleansing work is being delivered by Cardiff Council staff.

Innovations in traffic enforcement capability

In 2013, the Environment Scrutiny Committee conducted a Task and Finish Inquiry on problem and nuisance parking in Cardiff to support the work of the service area and help find solutions to this problem in the city.

To improve capacity for enforcement, the inquiry recommended that the Council should introduce a "car cam system" that would support the enforcement of the traffic and parking regulations associated with the creation

of the school safety zones. The inquiry highlighted various other benefits that this would bring in terms of improving enforcement in other locations including bus stops, pedestrian crossing zig zags and taxi ranks.

This recommendation was adopted by the Council and according to Cardiff Council's Annual Parking and Traffic Enforcement Report, (2017) the introduction of two cars with camera technology is now a key part of its civil enforcement tools. These cars are equipped with cameras that have number plate recognition technology, enabling the authority to send parking tickets to the registered vehicle owners. These vehicles specifically target illegal parking around schools in bus lanes and other restricted areas.

The introduction of the cam car has enabled a greater coverage compared to on foot enforcement officers and improved parking enforcement around schools and some restricted areas in Cardiff. It has been cited in the Annual Parking Report that the introduction of this enforcement tool has added a significant surplus (approximately £367K from 2015-2018) to the parking revenue account.

Highlighting innovative practice in sickness absence management

The findings of PRAPs Sickness Absence Task and Finish Inquiry in 2011 highlighted the benefits of preventative approaches in managing sickness absence, as well as the benefits in shifting policy towards promoting health and well-being at work and the provision of activities and initiatives that support employee well-being. Research undertaken for this inquiry highlighted effective strategies and outcomes achieved by other public sector bodies such as the local authority in Bradford and public sector bodies such as Dyfed Powys Police working with external bodies to pursue the well-being approach to manage sickness absence in their organisation.

The preventative and well-being approach now features strongly in the new Attendance and Well-being policy adopted in 2014. The progress report submitted to the Committee in 2018 also highlighted the most recent initiatives

that have been implemented to promote employee wellbeing such as signposting to Council well-being services by GP surgeries, the flu vaccine programme targeting frontline employees, and the physiotherapy massage sessions made available in the workplace.

Improving Member and staff knowledge on benchmarking practice

In 2013, PRAP Committee Members wanted to shed light on the widely held view that performance benchmarking was not feasible. Research was undertaken to examine the feasibility of benchmarking Cardiff's performance indicators with indicators from other local authorities in Wales, England and other organisations in the UK. The findings of the research provided Members and officers with a broad understanding of various types of benchmarking and the associated methodologies and processes involved. The research also highlighted the challenges and limitations of benchmarking as an approach for reviewing performance, and provided information on key guidelines and principles that would enable successful benchmarking. The report also identified various benchmarking groups and networks that Council directorates could join and benefit from. The research report has been useful in helping Scrutiny Committee Members understand the concept of benchmarking, its use and limitations. Furthermore, this has also raised awareness amongst staff and has rectified some misconceptions about this area of work.

Innovations in managing littering, dog fouling and fly tipping

The findings of the Litter Task and Finish Inquiry (2012) recommended various arrangements and practices that Cardiff Council could adopt to improve its work in dealing with flytipping. The Committee recommended that the Council should make use of GPS technology in tracking and monitoring flytipping incidents. The Cabinet's response confirmed that the service has adopted the use of GPS technology. More recently, the service has updated and upgraded its recording and monitoring system in rolling out the use of a

mobile APP that enables real time reporting, tracking and recording of fly tipping incidents.

The inquiry also recommended that Dog Control Zones be introduced in Cardiff. This year the service area has been making progress with addressing key elements of the recommendation, with proposed implementation of Public Space Protection Orders (PSPO) as a mechanism for dealing with dog fouling issues. The service area has recently completed public consultation on the implementation and specific provision of this order.

Holding to account decision making in local authority

Challenging service performance targets

Improving performance targets on sickness absence

The PRAP Sickness and Absence Task and Finish Inquiry in 2011 challenged the performance targets that had been set by the local authority. During that period (2010-11), the sickness absence figure was 11.45 per FTE employee per annum, with a target for the following year set at 10.73 days per FTE per annum. The Committee recommended a target of 9.7 sickness absence days per FTE for 2012-13 should be adopted instead and reducing to 8.5 days per FTE in 2015/16.

This challenging recommended sickness absence target was accepted, although the service advised that such level of reductions would only be achieved with the impending changes in sickness absence policy. The service committed to delivering a more realistic target of 10 sickness absence days per FTE for 2012/13, and agreed to the challenging targets set for 13/14 and 14/15.

Scrutiny of budget proposals

Retention, and continued funding, of the Council's Taxi Marshalls

The CASSC Task and Finish Inquiry on the NTE (2016) highlighted the complementary role of various arrangements and mechanisms, including the role of Taxis Marshalls, street pastors, the Alcohol Treatment Centre and the police in helping to prevent crime and disorder during the NTE is Cardiff. A recommendation made by the inquiry was on securing sustainable funding for these essential mechanisms that work in Cardiff, which was acknowledged and accepted by the Cabinet.

Following this inquiry, a proposal was made to delete 4 FTE posts relating to taxi marshalls in Cardiff. At the CASSC budget scrutiny in February 2016, and in the subsequent letter sent to the Leader of the Council, Members expressed their concern about this proposal and the negative impact this would have in terms of safety and order within Cardiff's night time economy. As a result of this scrutiny challenge, the proposal to delete the posts was reversed, with the Council committing funding to this service for another year until an alternative provision was put in place. A letter from the Leader of the Council to the CASSC Committee Chair confirmed the Council's commitment to maintain the Taxi Marshall service.

Retention of Community Arts funding

As part of the annual Budget consultation process, the Economy and Culture Scrutiny Committee considered the proposal to cut funding in respect of the Artes Mundi, Cardiff Singer of the World and the Community Arts Grants (in total £446,000) as part of budgetary savings in 2016-17. Members raised their concerns over the impact of this proposed cut in funding. In their challenge of the proposed cuts, the Committee's letter to the Cabinet highlighted the negative impacts of the proposal to Arts projects in Communities First areas, and the number of individuals that would be affected by this, specifically no less than 9,000 individuals participating in the projects and 29,000 benefiting from it. The Committee also highlighted the benefits that continued Council investment in arts funding brings in securing match funding for various projects and stakeholders, in raising the City's international profile, and in benefits to the local economy.

As a result of this scrutiny, coupled with a more favourable budget settlement from the Welsh Government, the Cabinet removed the proposed cuts (£446,000) in respect of Artes Mundi, Cardiff Singer of the World and Community Arts Grants from the 2016/17 budget savings proposals.

Continued funding for older people's day centre

As part of the CASSC scrutiny of budget proposals (2015-2016) on the closure of day centres for older people, Committee Members wrote a letter to Cabinet detailing concerns over the scale of the proposed savings for health and social care, particularly in terms of its impact on vulnerable people in the community. Members were particularly concerned with the proposed savings from the closure of day centres for older people, the reorganisation of meals on wheels and the proposed termination of the counselling services run by the Drugs and Alcohol Team. As a result of this scrutiny, changes were made to the final budget approved by full Council with regards to proposals around the closure of day centres and counselling services. In the final budget, it was confirmed that existing services would continue to be funded until alternative arrangements were put in place by the local authority.

Reducing increase in cost of meals on wheels

Similarly, during the CASSC scrutiny of budget proposals in 2014-15, Members raised their concerns on the impact of the proposed increase in the charges for meals on wheels. As a result of the Scrutiny, the proposed increase in cost was reduced by half in the final budget.

Scrutiny Call – in

Referral back of decision to sell Wedal Road

In March 2018, the Cabinet's decision to dispose of the Wedal Road Household Waste Recycling Centre in Cardiff by way of an off market sale to Cardiff & Vale University Health Board was called in by a non-executive back bench Councillor, and considered by PRAP. The decision was called in due to concern that the off-market sale would not reflect market value or above market value of the site.

As part of this scrutiny, document based research was undertaken to inform the lines of inquiry that Members could use. The research provided comparative data on market prices and an alternative valuation of the property in question, to inform Committee in challenging the valuation on which the decision was partly based.

Following consideration of additional evidence from the call-in inquiry, the Committee referred the decision back to the service area Director for further consideration prior to consideration by Cabinet. The Committee recommended that the local authority should ensure that future disposal of Council property would maximise both social and economic benefits to be gained.

A verbal update from the service has suggested that the call-in scrutiny of the Wedal Road sale had further prompted the service area to refine its protocols and processes around the disposal of Council owned properties.

Engaging the public in democratic debate about current and future of public services

External Contributors to Scrutiny in Cardiff

Scrutiny and particularly its Task and Finish Inquiries provides an opportunity for the Council and its Committee Members to engage with various stakeholders and the general public and involve them in democratic debate about the current and future delivery of Council services.

Tables 2 & 3 below provide a summary of the number of external groups and individuals who have been involved and contributed to the scrutiny inquiries undertaken by the Council's 5 scrutiny Committees as presented in this report.

Table 2 Number of External Contributors contributing to Selected Inquiries

Scrutiny Committee		Inquiry or Topic	Number of External Contributors
CASSC	2013	Carers	13 Research FGs & Interviews = 29
	2016	Night Time Economy	13
	2016	Scrutiny Budget Consultation – Closure of Older people's Homes	
CYP	2014	Corporate Parenting	16
	2016	Child Sexual Exploitation	17
	2017	Female Genital Mutilation	8
	2018	Out of County Placements (	7
Economy and Culture	2014	Central Markets and Historic Arcades	6 Public Survey – 2048 Business Owners Survey = 89
	2016	Budget Scrutiny Reduction in Arts Funding	3
	2014	Alternative Delivery Models	5
Environment Scrutiny Committee	2012	Litter	17 Survey = 2248
	2013	Problem and Nuisance Parking	8
	2017	Management of Section 106 Funding	Research = 6
Policy Review and	2011	Sickness Absence Inquiry.	7

Scrutiny Committee		Inquiry or Topic	Number of External Contributors
Performance Committee	2013	Benchmarking	LGDU Interview =1
	2018	Call-in of Wedal Road HRWC Disposal	N/A

Table 2. above illustrates the number of external contributors who engage with scrutiny inquiries and activities. The numbers of external contributors vary depending on the scope of scrutiny inquiries and initiatives. The figures above also illustrates the level of reach that research contributes to scrutiny in engaging with the public and targeted stakeholders. The figures reported do not include the involvement and contributions of Cardiff Council Officers and Members to scrutiny activities.

Table 3. External Contributors to Scrutiny in 2017/18 and 2018/19

Committee	External Contributors (Q1 - Q4) 2017/18	External Contributors (Q1 - Q2), 2018/19
CASSC	9	414 - Survey
Children and Young People	26	3
Economy and Culture	95 (72 emails to Chair)	8
Environment	38	24 3343 – Survey
Policy Review and Performance	20	4
Total	**188**	**3,796**
Target	140	140

The results above show the total number of external contributors in the previous municipal year 2017-2018, and for the period covering Q1 and Q2 in 2018-2019. The results show that scrutiny exceeded its targets during the previous year, and early on in the current year.

Research to engage with service users and the general public.

Various research projects involving the general public and selected stakeholders have been undertaken to engage and bring forward their views and perceptions as key evidence to inquiries, to inform recommendations made by Scrutiny Committees.

For example, a key part of the evidence sets considered by Members during the CASSC Carers Inquiry in 2013 was a result of research undertaken with carers. Qualitative research using focus groups was undertaken to establish Carers' needs, aspirations, support requirements, challenges, and barriers in accessing existing services. The conduct of this research enabled Members to consider the range of views and perspectives from this service user groups

In 2014, the Economy and Culture Scrutiny Committee commissioned a survey of the public into services and improvements to Cardiff Central Market and Historic Shopping Arcades. Additional research established the views of Market stallholders and shop owners in Cardiff's Historic Arcades. In total 2,048 members of the general public responded, the survey of Historic Arcades shop owners had a 44% response rate, whilst the survey of stall holders in Cardiff Central Market had a response rate of 87%. Further research was also undertaken interviewing selected key stakeholders face to face.

As part of the Litter Task and Finish Inquiry in 2012 the Environmental Committee commissioned a survey to establish the perceptions of residents and visitors on the impact of litter. The survey also looked at awareness of existing litter regulations as well as the Council's effectiveness on enforcement. The survey was completed by 2,248 respondents. In the summer of 2018, the Environmental Scrutiny Committee again commissioned a similar survey to establish residents' and visitors' views on litter and flytipping. The survey conducted this year (2018) had 3,343 respondents in

total. Delivering the two surveys has allowed the Council the opportunity to measure how public perception around litter has changed over a six year period. In particular it has provided evidence that helps identify areas where the litter policy has and has not worked successfully in recent years.

In addition to the public litter surveys, further work was undertaken on litter and flytipping benchmarking. This involved a short-on line survey and telephone interviews of selected local authorities in Wales, England, Scotland, and Northern Ireland, to find out how they deal with litter and flytipping.

The findings of the research provided Members with information on current innovative practices that are currently applied in the United Kingdom to effectively manage of litter and flytipping.

scrutiny

Scrutiny Research Team

Assessing Scrutiny Impact

Research report for the PRAP Committee

18 September 2019

CARDIFF
CAERDYDD

The City and County of Cardiff

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Introduction

The Policy Review and Performance (PRAP) Scrutiny Committee is currently undertaking a Task and Finish Inquiry as a part of its 2019/20 work programme looking into the impact of Cardiff Council's Scrutiny function during the current and previous political administrations.

The PRAP Committee Members has commissioned research to look into and review the various approaches and methodologies used by local government Scrutiny Committees, the National Assembly for Wales Committee and Research Services, the UK's Parliamentary Select Committees and related organisations to assess the impact of scrutiny activity. Following the review of these various documents, the PRAP Committee Chair further commissioned this report, which presents a Scrutiny Impact Monitoring Approach and methodologies that can be adopted by Cardiff Council to monitor and establish the impact of its Scrutiny function. The findings presented in this report have referenced and adapted some of the key the methodologies used in scrutiny impact assessment by the various sources listed above.

This report is presented to PRAP Committee Chair and Members of the PRAP Task and Finish Inquiry for consideration and review. A more simplified and finalised version of the impact monitoring approach will be drafted and adopted by Cardiff Council's Scrutiny Services following a review of this proposed version.

Quantitative Assessment of Scrutiny Outputs and Impact

Number and Types of Scrutiny Committee Activities and Outputs

The collection of data on various scrutiny activities undertaken throughout the year will provide a summary of the volume of work that has been achieved by Scrutiny Committees. This information will involve the collection and listing of numerical data on the various activities undertaken and tasks accomplished as part of the scrutiny process in Cardiff. This data set will illustrate the volume of workload and would be indicative of outputs achieved by each Scrutiny Committee. This information will also be show the various work areas where capacity and resources has been allocated to. Additionally, this will also provide comparative data on Scrutiny Committee activities undertaken in the year. An example of the tabulated summary of this data set is shown in the Table below.

Table 1. Number and Types of Committee Activities Undertaken

Type of Scrutiny Activity	CYP	CASSC	Econ & Culture	Environment	PRAP
Committee Meetings					
Task and Finish Inquiries					
Task and Finish Meetings					
Pre-decision Scrutiny Items					
Performance Monitoring reviews					
Panel Reviews					
Call-ins					
Other Scrutiny Activities					
Total Scrutiny Activities					

Additionally, a summary of the various types of reports or outputs that are produced by the various scrutiny activities can also be collated. The reports and outputs that produced as a result of the various scrutiny activities would represent the Committees' substantive intervention on the policy process. An example of the tabulated summary of this data set is shown in the Table below:

Table 2. Year-end Summary of Number and Types of Scrutiny Outputs, by Committee

Type of Scrutiny Outputs	CYP	CASSC	Econ & Culture	Environment	PRAP
Committee Meeting Letter to cabinet					
Inquiry Report					
Committee Briefing paper/s					
Panel report and/or letter					
Call-In Report of Letter					
Other					
Total					

The data sets required for the summaries in Tables 1 and Table 2 should be collected on a monthly basis so that annual summaries can easily be collated and analysed.

Type of Committee Engagement in the Policy Process

A key role of scrutiny inquiries is to influence policy and hold the Cabinet to account. Data could also be collected on the specific ways that Scrutiny activities (Panel) and inquiries engage with the policy process. The collection of this data set will illustrate how scrutiny engages policy. More specifically, this will provide information on how much of the work undertaken by Committees react to or shape the Council's agenda or review progress that has been made. The data will be indicative of how pro-active Committee's work in influencing policy or whether work is mainly reactive and driven by the corporate agenda. An example of the tabulated summary of this data set is shown in the Table below

Table 3. Scrutiny Inquiries' Engagement in Policy Process, by Committee

Type of Inquiry Engagement in Policy	CYP	CASSC	Economy and Culture	Environment	PRAP
Inquiry Title					
Opening debate in new policy areas or agenda					
Examining proposals e.g. policy, projects, strategies etc.					
Responding to Failures					
Responding to external policy initiatives					
Follow-up from previous inquiry					

The definition of the various categories of scrutiny engagement in policy process outlined in Table 3, is described in section 8.1 in Appendix 1.

Collection and Monitoring of Committee Recommendations

Scrutiny Committee recommendations are regarded as the primary means by which Committees can require the government to address a specific point, consider a course of action, disclose or provide information to the public or provide an update to the Committee on a particular area. The current Cardiff Council guidance requires that the Cabinet and service areas or departments must provide a formal response to Committee recommendations that require a response, within 2 months.

The collection and monitoring scrutiny committee recommendations is key to enabling a quantifiable assessment of the success, influence and impact that scrutiny Committees. The quantitative approach used by the UCL's Constitution Unit's research work in determining the impact of Parliamentary Select Committees in 2011, have been used as a key reference for this component.

It is important that a consistent approach is adopted in collecting the different types of data associated with scrutiny recommendations. It is therefore proposed that data sets on Scrutiny Committee recommendations should be collected on: (i) the number of recommendations by Committee (ii) the type or nature these of recommendations. The data that should be on the nature of recommendations, should establish the types of actions called for and the substantiveness of each recommendation. The collection of these data sets is

key to enabling a meaningful assessment and analysis of the types and levels of influence that these recommendations are seeking to achieve.

The various data sets on the number and the nature of recommendations that would need to be collected as well as examples of tabulated summaries are presented in the following sections:

Number of Committee Recommendations (Committee, Panel and Call-in Meetings)

Table 4. Year End Summary of the Number of Scrutiny Committee Recommendations by Committee Meeting Activity

Committee	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	Total
CYP											
Committee											
Call-In											
Panel											
Total											
CASSC											
Committee											
Call-In											
Panel											
Total											
E&C											
Committee											
Call-In											
Panel											
Total											
Environment											
Committee											
Call-In											
Panel											
Total											
PRAP											
Committee											
Call-In											
Panel											
Total											

Committee	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	Total
Monthly TOTAL											

Number of Task and Finish Inquiry Recommendations

Table 5. Number of Recommendations Arising from Task and Finish Inquiries

Scrutiny Committee	Inquiry Title and Reporting Date (Month and Year)	Number of Recommendations
CYP		
Inquiry 1		
Inquiry 2		
CASSC		
Inquiry 1		
Inquiry 2		
Economy and Culture		
Inquiry 1		
Inquiry 2		
Environment		
Inquiry 1		
Inquiry 2		
PRAP		
Inquiry 1		
Inquiry 2		
Total Number		

Recommendations and the Types of Action called for

The collection of this data set will illustrate the types of actions, influence and impact that Scrutiny Committees are seeking to achieve from its recommendations.

Table 6. Year End Summary of Number of Committee recommendations and the types of Actions Called for, by Scrutiny Committee

Types of Action Called for	CYP	CAASC	E&C	Environment	PRAP
Legislative or Policy action					
Guidance					
Research or Policy review					
Campaigns or Public Information					
Disclosure					
Funding					
Attitude Change					
Other					
Total					

The definition of the various categories of the types of action that recommendations call for are described in section 8.2 in Appendix 1.

Recommendation Substantiveness

The UCL Constitution Committee's research work (2011) prescribes using recommendation "substantiveness" as a key quantitative measure in assessing the level of impact or influence that a scrutiny recommendations can have on the policy process.

The substantiveness of recommendations can be determined using the following components:

- **Alteration** – level of policy change that recommendations call for; and

- **Policy significance** - the type (scope) of policy that this change will be applied to

Combining these two components provides a measure the degree of substantiveness of recommendations, which is explained in the succeeding section.

Alteration or Levels of Change that Recommendations Call for

The collection of this data set will provide a measure on the level of change that recommendations are seeking to achieve. In differentiating recommendations by level of change called for, it is suggested that the following three categories are used: (i) no change or small change (ii) medium change and (iii) large change or complete reversal of policy. These various categories are allocated numerical values to enable a quantitative measure of substantiveness.

Table 7.A and Table 7.B, below provide two examples of tabulated summaries of the total number and the types of actions called for by recommendations arising from the work of different Scrutiny Committees

Table 7.A PRAP Committee Inquiry Recommendations by Level of Change Called for

PRAP Inquiry Recommendations	No or Small Change	Medium Change	Large Change	Not Clear
R1	x			
R2		x		
R3			x	
R4	x			
R5			x	
Total Recommendations	**2**	**1**	**2**	

Table 7.B Total Number of Recommendations by Level of Policy Change Called for, by Committee (Annual Summary)

Committee	No or Small Change	Medium Change	Large Change	Not Clear	Total
CYP					
CASSC					
E&C					
Environment					
PRAP					
Total					

The definitions of the levels of change that recommendations call for are described in section 8.3 in Appendix 1:

Level of Policy Significance that Recommendations Impact on

The second component required for determining substantiveness of recommendations is a measure for 'policy significance', or the relative importance of the policy that will be impacted on by the recommendation. In measuring policy significance of recommendations, the following three categories are suggested: (i) Minor Policy area; (ii) Medium Policy area and (iii) Major policy area. These various categories are also allocated numerical values to enable a quantitative measure of substantiveness

Table 8.A and Table.B below are examples of tabulated summaries of the total number of recommendations and the level of policy significance that these will impact on.

Table 8.A.Total Number of PRAP Committee Recommendations by Policy Significance (PRAP Committee letter)

PRAP Committee Letter Recommendation	Minor Policy	Medium Policy	Major Policy
R1		x	
R2		x	
R3			x
R4			x
R5			x
R6		x	
Total Recommendations	**0**	**3**	**4**

Table 8.B Year-end Summary of Total Number of Committee Recommendations by Policy Significance

Committee	Minor Policy Area	Medium Policy Area	Major Policy Area	Total
CYP				
CASSC				
E&C				
Environment				
PRAP				
Total				

The different measures of policy significance that recommendations will impact on are also allocated numerical values: the numerical values associated with these variables will enable the quantification of the substantiveness of recommendations.

The definitions of the levels policy significance that recommendations will impact on, are described in section 8.4 in Appendix 1

Overall Substantiveness of Recommendations

The use of the term 'substantiveness' refers to the overall policy importance of scrutiny committee recommendations. This is a combined measure of the two components that determine the policy importance of a recommendation.

Substantiveness = (Level of Policy Change called for) x (Policy Significance)

The substantiveness of a recommendation is calculated by multiplying the values associated with the different categories of policy change called for and the values associated with the different levels of policy significance that recommendations would impact on.

Policy Change Categories	Value		Policy Significance Categories	Value
No or Small Change	0		Minor Policy	1
Medium Change	1		Medium Policy	2
Large Change	2		Major Policy	3

The resulting values and categories for 'substantiveness' of recommendations are differentiated as follows:

Score	Substantiveness of Recommendations
0	Recommendations calling for no change or little change to policy (0) regardless of the level of policy significance (1-3)
1	Recommendations calling for medium change (1) to a minor significance policy (1)
2	Recommendations calling for a medium change (1) to a medium significance policy (2) or a large change (2) to a minor significance policy (1).
3	Recommendations calling for a medium change (1) to a major policy (3)
4	Recommendation calling for a large change (2) to a medium policy (2)
6	Recommendations calling for a large change (2) to a major significance policy (3)

The Tables below are examples of tabulated summaries on the "substantiveness" or policy importance of recommendations made by Scrutiny Committees

Table 9.A. Substantiveness Rating of Committee Recommendations (Committee Letter)

PRAP Committee Meeting Recommendations	Substantiveness Rating						
	0	1	2	3	4	6	
Committee Agenda 1, R1	x						
Committee Agenda 1, R2	x						
Committee Agenda 2 R1			x				
Committee Agenda 3, R1				x		x	
Committee Agenda 4, R1					x		
Committee Agenda 4, R2					x		
Total	2	0	1	0	2	1	

The data on Table 9.1 will enable a comparative analysis on the number of recommendations and the policy importance of recommendations made by the different Scrutiny Committees.

Table 9.B Number of Committee recommendation by its substantiveness (Annual Summary)

Committee	Number of Substantive Recommendations						Total	Percent of 0-2	Percent 3-6
	0	1	2	3	4	6			
CYP									
CASSC									
E&C									
Environment									
PRAP									
Total									

Measuring Success, Influence and Impact of Scrutiny

Recording and Tracking of Acceptance and Implementation of Recommendations

The tracking of the acceptance and implementation of scrutiny recommendations is an important aspect of determining the impact of scrutiny as this provides evidence on the degree of success that scrutiny recommendations have achieved in influencing Council Policy.

The Cabinet's response to scrutiny recommendations (acceptance) provides immediate confirmation of scrutiny's influence on policy work within the local authority.

The take-up or acceptance of recommendations however, only represents a partial, and in some ways limited picture of committee influence and cannot lead to a definitive conclusion on the impact of scrutiny. Nonetheless, the success of recommendations is regarded as the only measure, which can allow direct comparison between committees and avoid the more subjective approach of judging influence based on anecdotes or case studies. The work of Rush (1985a: 101) has previously described 'tracing the fate of recommendations' as 'no doubt the one of most important measure of the impact of the Committee'.

To rely solely on the acceptance of recommendations as a measure of scrutiny influence suggests that the Cabinet's response to scrutiny "is taken at face" value and thus could overestimate the influence of scrutiny recommendations. Scrutiny's influence can be over-estimated when Cabinet does not implement the accepted recommendations or when Scrutiny makes recommendations that are less challenging and are more likely to be accepted by the Cabinet.

Acceptance of Recommendations

The 'acceptance' of recommendations is defined as the degree to which the Council's Cabinet responds favourably to a recommendation, including the extent to which they attribute the idea to the Committee. It must be noted that the monitoring of the acceptance or take-up of recommendations only represents a limited measure of success that has been achieved by scrutiny committees in influencing the policy process.

It is recommended that the acceptance of recommendations is tracked using the Council's formal response to a Scrutiny Committee report or Scrutiny Letter to the Cabinet. A five-point scale is suggested to differentiate acceptance categories that will be used in tracking the progress of recommendations made. These categories are:

- Fully Accepted
- Partially Accepted
- Neither Accepted or Rejected
- Partially Rejected
- Rejected

The definitions of these acceptance categories are described in detail in section 8.5 Appendix 1.

The Tables below provide examples of tabulated summaries of the acceptance of scrutiny recommendations and examples of the types of analysis that could be generated from using the data on acceptance status of recommendations.

Table 10.A Acceptance of PRAP Recommendations, Sickness Absence T&F (Example Table)

PRAP Committee Recommendations	Accepted	Partially Accepted	Neither Accepted nor Rejected	Partially Rejected	Rejected	Total
R1	x					
R2	x					
R3					x	
R4		x				
R5		x				
R6					x	
R7	x					
Total	**3**	**2**			**2**	
Percent	**43%**	**28%**			**28%**	

Table 10.B Number of Accepted Recommendations by Substantiveness for each Committee Meeting

PRAP Committee (Meeting Date or T&F Title) Recommendations	Substantiveness of recommendations	Acceptance categories
Committee R 1	2	Fully Accepted
Committee R 2	6	Fully Rejected
Committee R 3	4	No Response
Acceptance of Recommendations	**Number**	**Percent**
Accepted		
Partially Accepted		
Neither		
Partially Rejected		
Rejected		
Substantiveness of Accepted Recommendations	**Number**	**Percent**
0		
1		
2		
3		
4		
6		

Table 10.C Acceptance of Recommendations by Committee (as Total Number & Percent of recommendations) Annual Summary

Committee	Accepted	Partially Accepted	Neither Accepted nor Rejected	Partially Rejected	Rejected	Total	% Fully and Partially Accepted
CYP	10	45			20	75	65 (87%)
CASSC							
E&C							
Environment							
PRAP							
Total							

Table 10.D Year End Summary on the Substantiveness of Accepted Recommendations by Committee

Committee	0	1	2	3	4	6	Total Accepted	Total Recommendations	% SubsRecs (0-2)	%SubsRecs (3-6)
CYP		35		20	5	5	65	110	54%	46%
CASSC										
E&C										
Environment										
PRAP										
Total										

When recording and monitoring the Cabinet's positive response to scrutiny recommendations, where the Cabinet has cited that it is already taking steps in line with the suggested scrutiny recommendation, it is important to establish at what point in the scrutiny inquiry or review process have these steps been undertaken.

The evidence should be sought whether work along the lines of the inquiry recommendations has been undertaken prior to the inquiry or during the conduct of the inquiry. This evidence will help to accurately establish scrutiny's influence on policy and avoid the danger of exaggerating scrutiny's influence by giving it credit for the things that the Council is already doing.

Implementation of Recommendations

In addition to monitoring of the acceptance of scrutiny recommendations, it is recommended that the extent to which recommendations were actually implemented should also be monitored. This will useful in determining the "true state of affairs" against the Cabinet's initial assurances on the actions that they have committed to undertake. The monitoring of the implementation of recommendations provides further evidence on the degree of success that recommendations have achieved and evidence of its longer-term influence.

The arrangements and processes for determining the implementation of scrutiny recommendations within Cardiff Council would need to be further explored and agreed between Scrutiny and the Cabinet. The types of evidence required to confirm the implementation of recommendation should also be looked into as well as the timescales for reporting on progress made towards   the implementation of recommendations.

The following implementation categories can be adopted:

- Implemented in full
- Implemented in part
- No evidence of implementation
- Not Implemented
- Opportunity to implement has not arisen

The definitions of these different implementation categories are described in detail in section 8.6 in Appendix 1.

The following Tables provide examples of tabulated summaries of the implementation status of scrutiny recommendations and the types of analysis that could be undertaken using the various data sets collected.

Table 11.A Number of Scrutiny Inquiry or Meeting Recommendations by acceptance and implementation status, PRAP T&F Inquiry

Committee Inquiry and Date	Acceptance Status	Implementation Status
R1	Accepted	Full
R2	Partially Accepted	Not Implemented
R3	Accepted	Partial
R4	Accepted	No Evidence
Implementation of Accepted Recommendations	**Number**	**Percent**
Full		
Partial		
No Evidence of Implementation		
Not Implemented		
No Opportunity		
Total		

Table 11.B Year End Summary of Implementation of the Accepted Recommendations by Committee

Committee	Number of Accepted Recommendations	Full	Partial	No Evidence	Not Implemented	No Opportunity	Total	% Fully and Part Implemented
CYP								
CASSC								
E&C								
Environment								
PRAP								
Total								

Table 11.C Implementation of PRAP's Accepted Recommendations by Policy Substantiveness

PRAP Committee (Meeting Date or T&F Title) Recommendations	Substantiveness of Accepted Recommendations	Implementation Status categories
Committee R 1	2	Full Implementation
Committee R 2	6	Partial Implementation
Committee R 3	4	Not Implemented
Meeting Recommendations	**Number**	**Percent**
Full Implementation		
Partial		
No Evidence		
Not Implemented		
No Opportunity		
Total		
Substantiveness of Accepted and Implemented Recommendations	**Number**	**Percent**
0		
1		
2		
3		
4		
6		

Table 11.D Year End Summaries on the Substantiveness of Implemented Recommendations by Committee

Committee	0	1	2	3	4	5	6	Total Fully or Partially Implemented recommendations	Total Recs	% SubsRecs (0-1)	%SubsRecs (2-6)
CYP											
CASSC											
E&C											
Environment											
PRAP											
Total											

Accepted vs Implemented Recommendations

This data set will provide evidence on the degree of success that have been achieved by various scrutiny committee recommendations in terms of its acceptance and implementation. This however does not fully evidence and illustrate the strength or extent of influence that scrutiny committee recommendations have achieved and the areas of action called for where recommendation have been successful.

Table 12.A Year End Summary of the acceptance and Implementation of Scrutiny recommendation by Committee

Committee	Total Number of Inquiry or/and Meeting Recommendations	Total Fully and Partially Accepted		Total Fully and Partially Implemented	
		Total	Percent	Total	Percent
CYP					
CASSC					
E&C					
Environment					
PRAP					
Total					

The data above will illustrate the distribution of accepted and implemented recommendations against the total number of recommendations made. It also provides comparative information on the acceptance rates and implementation rates of recommendations between Scrutiny Committees.

Acceptance and Implementation of Recommendations by Types of Action Called for

The tabulated summary the in Table below illustrates the immediate success that Scrutiny recommendations have achieved in relation to the types of actions called for. It will illustrate action areas that have received a positive response (or achieved some degree of immediate success) from the Cabinet as well as the action areas where Scrutiny recommendations have limited or no success.

Table 13.A Acceptance of Scrutiny Recommendations (All or By Committee) by Type of Action Called for

	Accepted	Partially/ accepted	Neither accepted nor rejected	Partially rejected	Rejected	No response	Total	% Fully/ partially accepted	% Fully/ partially rejected
Legislation									
Guidance									
Research or review									
Campaigns									
Disclosure									
Funding									
Attitude change									
None									
Total									

Table 13.B Implementation of Recommendations by Types of Action Called for

	Full	Partial	No evidence	Evidence not impl.	No opp.	Total	% Fully/ part. impl.
Legislation							
Guidance							
Research or review							
Campaigns/ public info							
Disclosure							
Funding							
Attitude change							
Several of the above							
None of the above							
Total							

The data on the Table below illustrates the specific action areas where scrutiny has achieved some significant success and influence as confirmed by the acceptance and implementation of these recommendations

Table 13.C Acceptance and Implementation (Only Full or Partial Acceptance and Implementation) of Recommendations by Type of Actions Called for

		Acceptance		Implementation	
	Total	Partially/fully accepted		Partially/fully implemented	
	Number	Number	% of Total	Number	% of Total
Policy or legislative action					
Guidance					
Research or review					
Campaigns/ public info					
Disclosure					
Funding					
Attitude change					
Several of the above					
None of the above					
Total					

Acceptance and Implementation by Extent of Policy Change Called for

The data set on the Table below illustrates the immediate success that Committees have achieved with regards to the types of change called for, as demonstrated by the acceptance of Scrutiny recommendations. These data sets should be collected by each Scrutiny Committee and can be summarised for all the Committees too.

Table 14.A Year-end Summary of Acceptance of PRAP Recommendations by Level of Change called for

Level of Change called for	Accepted	Partially accepted	Neither accepted nor rejected	Partially rejected	Rejected	Total	% Fully/ partially accepted	% Fully/ partially rejected
No/ small change								
Medium change								
Large change								
Not clear								
Total								

Table 14.B PRAP Committee, Comparison of Acceptance and Implementation Rates of Recommendations by Extent of Policy Change called for

Degree of Change		Acceptance		Implementation	
	Total Number of Recommendations	Partially or Fully Accepted		Partially or Fully Implemented	
		Number	% of Total	Number	% of Total
No or Small Change					
Medium Change					
Large Change					
Not Clear					
Total					

The data set above will illustrate the relationship between and the acceptance rates and the implementation rates of scrutiny recommendations in relation to the level of change called. For example, accepted recommendations that call for small change are more likely to be implemented that those calling for far more substantial change.

To determine how impactful the different Scrutiny Committees are, a further analysis (as shown in the following Table) can be undertaken using only the data on the number of accepted recommendations that call for medium and large change, in relation to the degree of implementation that these recommendations have achieved.

The Table below will illustrate how many (or what proportion) of accepted recommendations from each Committee calling for medium or large have been implemented and to what extent these have been implemented by the Council.

Table14.C Year End summary of the Degree of Implementation of Accepted Recommendations Calling for Medium and Large Change Only, by Scrutiny Committees

Committee	Full	Partial	Not Implemented	No Opportunity	Total	% of Full and Part Implementation
CYP						
CASSC						
E&C						
Environment						
PRAP						
Total						

Acceptance and Implementation of Recommendations by Substantiveness

It recommended that a further analysis could also be undertaken on the acceptance and the implementation of recommendations in relation to the policy importance or substantiveness of recommendations.

The data set on the Table below illustrates the level of immediate success that substantive recommendation have achieved.

Table 15.A PRAP Year End Summary of Acceptance of Recommendations by Substantiveness

Substantiveness	Accepted	Partially accepted	Neither accepted nor rejected	Partially rejected	Rejected	Total	% Fully/ partially accepted	% Fully/ partially rejected
0								
1								
2								
3								
4								
6								
Total								

The data on Table below would illustrate the level of immediate success (acceptance rates) and the longer-term influence (implementation) that has been achieved by substantive recommendations.

Table 15.B PRAP Year End Summary of Accepted and Implemented Recommendations by Substantiveness

Substantiveness of Recommendation		Acceptance		Implementation	
	Total Number of Recommendations	Partially or Fully Accepted		Partially or Fully Implemented	
		Number	% of Total	Number	% of Total
0					
1					
2					
3					
4					
6					
Total					

The analysis of data in the Table below would provide comparative information on the longer-term impact or success that has achieved by different Scrutiny Committees on more substantive recommendations that it has made.

Table 15.C Year End Summary of the Implementation of Recommendations with greater policy importance (Substantiveness rating 3-6) by Committee

Committee	Full	Partial	Not Implemented	No Opportunity	Total	% of Full and Part Implementation
CYP						
CASSC						
E&C						
Environment						
PRAP						
Total						

Engagement with Scrutiny Stakeholders

A key role of scrutiny is in engaging with the public and various stakeholders and providing opportunities for their views and perspectives to be represented and considered in decision making within the local authority.

The collection of the data as outlined in Table 16 below will evidence the extent of stakeholder engagement that scrutiny has achieved through the involvement of internal and external contributors to scrutiny activities.

Table 16.A Number of stakeholders and contributors represented in Scrutiny activities

April Committee Meeting	Number of External Contributors	Number of Internal Contributors	Total Contributors	Webcast Hits	Social media Hits

April Task and Finish Meeting	Number of External Contributors	Number of Internal Contributors	Total Contributors

Qualitative Evidence of Scrutiny Impact – Stakeholder Feedback

Various research reports have noted the limitations of tracking committee recommendations the sole means for assessing Committee influence in the local authority. The success rate of Scrutiny Committee recommendations only accounts for part of a Committee's influence. Various aspects of Committee work such as the conduct and process of running an inquiry and other non-inquiry work can effect change in the organisation.

Relying simply on tracking the take-up of recommendations can exaggerate committee influence especially in cases where the committee has an eye to its own influence. Committees can tailor recommendations to make them easier for the government to accept, thereby inflating the acceptance rate. Additionally, it must be recognised that a positive formal response from the Cabinet to a Committee report or Committee letter to the Cabinet will not necessarily translate into immediate action. It is also well known that some committees (parliamentary select committees) are notoriously poor at following up on progress that has been made by accepted recommendations and thereby will not be able to track longer-term implementation and influence that recommendations would have achieved. This phenomenon referred to as the 'delayed drop', where a recommendation is initially rejected but emerges later in some form or adopted in later years, resulting in an underestimation of Committee's influence or impact. It is also notable that within local government there is generally no formalised system in place to track the implementation and longer-term impact of scrutiny recommendations.

The assessment of the influence or impact of scrutiny, should therefore look into various areas where scrutiny has influence or makes a contribution to policy work in the authority. The research undertaken by the UCL Constitution Committee, The Institute for Government (2015) and by CFPS and APSE (2017), have identified and highlighted several key areas where scrutiny makes significant positive contributions and impact on policy within local government. It is recognised that most scrutiny activities will have contributed to or achieved some success in at least one or a combination of these impact areas. It is also noted that the <u>extent to which these types of influence</u> are achieved <u>varies between committees,</u> <u>varies over time</u> and could be affected by factors such as the nature of policy issues and the character of the Committee Chair etc.

It is therefore recommended that the beneficial impacts and contributions of scrutiny that should be monitored using the impact areas suggested below.

These data sets can be collected by seeking confirmation from various scrutiny stakeholders and participants on whether the scrutiny that they have been involved in has been able to make an impact in these areas.

In seeking stakeholder views on these impact these areas, it is recommended that responses must be sought from the three key actors involved in the conduct of scrutiny: those conducting the scrutiny, those subject to scrutiny, and other interested parties.

The data to establish the contributions and impact of scrutiny in these areas could be collected using qualitative research methods such as focus groups or interviews. For ease of data collection, it is suggested instead that a short survey following each scrutiny inquiry and/or meeting can be sent out to scrutiny Members and other participants or witnesses to seek their views on how well scrutiny has achieved these various forms of influence and impact.

There are 7 key areas are outlined here where scrutiny makes significant contributions and impact. There are a number of subcategories under each heading. These sub-categories can be edited as required by Members and key officers in the Council.

The areas where scrutiny makes a direct impact would include:

Evidence Contributions

This is about identifying new evidence that improves the Council's evidence base for decision-making, including related issues, risks or opportunities.

EVIDENCE CONTRIBUTION TO DEMOCRATIC DEBATE	YES	NO	UNSURE	DON'T KNOW
Raised Member or Officer awareness and contributed new, original or independent information or evidence for consideration in policy development or operational review				
Presented new or original research on policy in question				
Brought forward new evidence from stakeholders and service users who have not been in contact with the Council				
Highlighted best practice arrangements from other public sector bodies				
Raised Officer and Member understanding of a key policy or operational issue or problem				

EVIDENCE CONTRIBUTION TO DEMOCRATIC DEBATE	YES	NO	UNSURE	DON'T KNOW
Raised Member and Officer awareness of a key governmental consultation on a policy area				
Prompted the Council and its key partners, to gather different or more up to date evidence to inform policy and practice.				

New Analysis of Issues and Evidence

This is about providing a new or different analysis of the available evidence (including political opinion) which influences the Council's view about what it is doing.

NEW ANALYSIS OF ISSUES AND EVIDENCE	YES	NO	UNSURE	DON'T KNOW
Provided new analysis of evidence, previously unrecognised trends in evidence informing policy development				
Highlighted a weight of opinion on the evidence which the Council was unaware				
Changed the understanding and perspective of key decision makers (Cabinet Members and Service area Managers) on an issue				

Transparency

This is about facilitating government openness by obliging Council Officers, Managers and Cabinet Members to explain and justify what they have done

TRANSPARENCY or OPENESS	YES	NO	UNSURE	DON'T KNOW
Improved the quality of information that the Council has made publically available				
Increased the quantity of information and breath of information provided by the Council				
Facilitated transparency or disclosure of service plans, information and decision making to the public.				

Spotlighting

This is about scrutiny's particular role in drawing attention to policy issues that may not be receiving adequate attention. These could be relatively smaller areas of government policy, rather than large flagship policies (or they may relate to overlooked details of more central policy topics). When committees focus on these issues this can have the result of changing policy priorities within the department. It has been noted in previous research that committees can have the effect of putting the 'spotlight on certain things and raising them up the departmental and/or corporate agenda'.

SPOTLIGHTING TO DRIVE IMPROVEMENT	YES	NO	UNSURE	DON'T KNOW
Made the Council, other stakeholders and the public aware of a previously, unrecognised issue				
Enabled stakeholders to change or broaden views or evaluation of an issue				
Identifying improvements needed in existing policies and strategies				
Highlighted service user and stakeholder needs that are relevant to policy and service improvements				

Learning

This is about the impact of scrutiny in identifying lessons and learning from previous mistakes or successes by reviewing the development and implementation of policy, operational processes, resources and expenditure.

LEARNING	YES	NO	UNSURE	DON'T KNOW
Enabled the Council and its service areas to review or question its own actions or policies				
Identified lessons or learning areas that can improve policies and how they can be implemented				
Create a positive environment in which lessons can be learned				

Process Impact

This is about scrutiny prompting higher standards or better processes in government through the act of conducting effective scrutiny.

PROCESS IMPACT	YES	NO	UNSURE	DON'T KNOW
Identifying and facilitating improvements in the Council or service area's operational processes, performance or policy implementation.				
Identifying improvements in staffing resources or workforce development				
Identifying improvements in guidance materials for service users and frontline staff and practitioners				
Assisted the Council in identifying and managing risks.				
Made officers and cabinet prioritise and review their effectiveness				

Holding to Account

HOLDING TO ACCOUNT	YES	NO	UNSURE	DON'T KNOW
Challenged service performance and performance targets				
Provided opportunity for Cabinet and Council managers to report on progress made on policy development and operational review				
Enabled the representation of stakeholders, public and other external bodies and their views to support the challenge of policy and operational processes and have their views considered by the Council and its services				
Challenged decision making or decisions made for reconsideration				
Exposed wrong doing or poor policies or operational practice				

Context and Relationships

CONTEXT AND RELATIONSHIPS	YES	NO	UNSURE	DON'T KNOW
Helped build relationships or coalitions to support or challenge an issue –brokering role between Council and stakeholder groups				
Helped to improve stakeholders views, relationship and trust in the Council				

Other Indirect and Less Tangible Scrutiny Impact

Other less tangible and less measurable impacts that scrutiny has include:

Brokering between stakeholders – this is about Scrutiny's role in mediating between competing interests, and/or reviewing differing points of view to identify mutually acceptable solutions. Committees can bring together in discussion different perspectives into the public arena. This is not limited to its "brokering role" between backbench members and the Cabinet and Senior Managers but also involve brokering between the Council and external stakeholders and key partners. For example, this can involve putting forward to the Council a pressing case for policy change in behalf of external stakeholder groups. This can also work in the way that the evidence presented by the Committee can legitimise the Council's position or delegitimise the claims of critics.

"Generating fear" - This is has been cited as the least tangible impact of scrutiny but is regarded as "perhaps the most important form of Committee's influence associated with its role in holding to account and in exposing poor decision making, wrong doing or questionable policy in the public arena. This impact area specifically relates to how the Cabinet, and its Officers (partners or outside bodies) react and adjust their behaviours in anticipation to how the Committee might responds or react should a certain course of action be taken. This is regarded as a mainly negative form of influence in "discouraging" the local authority (and to a certain extent, outside bodies) from behaving in certain ways, for fear of how the relevant committee(s) may react in the future". For example, it has been cited that the anticipation of "appearing before the Committee" has a much bigger influence with many Officers wanting to avoid criticism from the Committee. The knowledge that action or decision take by the Cabinet and Officers could lead to appearing

and defending this before the Committee leads to some degree of "risk management". However, on some occasions this effect can also "encourage to adopt a policy, when they know that it is likely to receive a backing" from Committee Members.

Scrutiny's "preventative influence" as a result of its capacity to "generate fear" would be more difficult to assess and evidence. It is therefore suggested that the use of more in-depth qualitative methods such as key informant interviews and case studies would be useful tools in illustrating how "generating fear" and "brokering between stakeholders" affect policy work and decision-making.

Staff and Member Feedback on Effectiveness of Scrutiny Support

The effectiveness and influence of the scrutiny process is also affected by the level of support that is available to deliver scrutiny and its processes. It is therefore important that feedback is sought on the effectiveness of the support provided by the Scrutiny team to deliver the Scrutiny service. These data will provide further evidence in determining the effectiveness and influence of scrutiny. These measures are currently used by the Research and Committee Services of the National Assembly for Wales to monitor the effectiveness of its services.

	Poor Rating Scale					
Area of Support	0 Poor	1	2	3	4	5 Excellent
Committee Support						
Overall support for Scrutiny Committees						
Support for Committee meetings						
Support for Task and Finish meetings						
Research and independent evidence collection support for Committee work						
Support in developing Member skills in the conduct of scrutiny						
Engagement with the Public and Stakeholders						
Effectiveness in Engaging with Cardiff Council service users and members of the public to be involved in scrutiny						
Effectiveness in engaging with external partners and voluntary organisations						
Effectiveness in promoting the work of scrutiny on media and social media platform. Championing scrutiny function and service with stakeholders and partners						

Feedback on the effectiveness of support can be undertaken via a survey of conducted on an annual basis. This data can also be used to set performance targets on Officer and Member satisfaction with the support and delivery of scrutiny services.

Appendix 1. Definition of Terms

Types of Scrutiny Inquiry Engagement in Policy

Types of Scrutiny Engagement	Definition
Opening Debate	Where the committee proactively sought to explore new policy directions, fact-find or open debate. The issue did not need to be an obscure or neglected one but could be something that had become fashionable, and perhaps been promoted by interest groups, but on which the government had not yet reacted substantively shape the agenda by bringing this under-examined area to the attention of a new administration.
Examining proposals	Inquiries responding to government announcements of projects, plans, programmes or funding packages, including publication of initiatives and strategies, white papers, green papers and occasionally legislation
Responding to perceived failures	Inquiries reacting to perceived failures of government action or inaction/negligence. Although other types of inquiry might have identified failure during their investigations, this category was only used for inquiries which were explicitly motivated by a crisis or political storm
Responding to policy initiatives by others	Inquiries which responded to reviews, consultations or initiatives by other bodies, for example Climate Change and the Stern Review: The Implications for Treasury Policy
Responding to external events	Where the committee was responding to an external event that was outside the government's control, Brexit, Grenfell
Picking up previous inquiries.	Where the purpose of the report was solely to follow up a previous inquiry

Types of Action that Recommendations Call for:

Types of Action	Definition
Legislative or policy action	These are recommendations explicitly calling for policy action or legislative action, including amendment or repeal of existing policy or legislation.
Guidance	These recommendations call for guidance, information or direction to be provided to any relevant bodies, including the NHS, the Police, schools or voluntary organisation. Again, although the word 'guidance' was not necessarily required to be used in the recommendation, the requirement for guidance or direction needed to be quite explicit
Research or Policy review	Recommendations which call on the government to investigate, conduct research, evaluations or impact assessments, or for example set up a task force to review a policy area. Recommendations to government to 'consider' doing something were also often placed in this category
Campaigns or public information	This option applied to recommendations where the committee suggested raising public awareness on a particular issue, such as a new initiative or public health crisis
Disclosure	Recommendations which ask government to make information more readily accessible, clearer, or more complete, or call for new disclosure of information to the committee
Funding	These are recommendations explicitly calling for funding, including the continuation of funding for existing programmes or reallocation of funding. Recommendations which might have required funding to implement, but did not explicitly call for this, were not placed in this category
Attitude change	This refers to recommendations stated in general terms and asking government to adopt a change in outlook or attitude
None of the above	This category was used for any other recommendation where the action required was clearly set out, but did not fall into any of the other specified categories. However the kind of recommendations placed in this category were anyway very varied, including information sharing, pressure, or the strengthening of relationships within and between departments; changes in policy emphasis; reorganisation or creation of government institutions; giving new powers to associated bodies; diplomatic action; and other recommendations which implicitly (but not unequivocally) required legislation or funding. There appeared to be no single obvious missing category

Types of Change that Recommendations Call for:

Type of Change	Value	Definition
No change or only small change	0	These are recommendations which support or endorse existing Council policy or recommends at most tweaking or small modifications. Recommendations for disclosure are placed in this category, particularly when this asks the Council to set out its policy on something in its response. This code is allocated to recommendations calling on the Council to merely 'consider' something, as well as those calling for a continuation of the status quo.
Medium Change	1	These are recommendations that go further, but fall short of a reversal or near-reversal of a Council policy. These recommendations call for new action that is significantly different in terms of policy direction, priority or resources, or call for exploration in areas where policy did not currently exist. Disclosure recommendations can be placed in this category if they called for a change to the department's information policy or for the release of information usually kept out of the public domain.
Large Change or complete reversal of policy	2	These are recommendations which significantly deviates from current policy or explicitly calls for a reversal of current policy, such as the shutting down of programmes, dropping of targets, ending of funding, or adopting new action in clear conflict with existing policy direction

Level Policy Significance that Recommendations will Impact on

Three different categories of policy significance are suggested as follows:

Policy Significance	Value	Definition
Minor Policy Area	1	This refers to recommendations to policies that are not referenced in the corporate plan or partnership plan or manifestos of the current ruling political group. These recommendations would impact on policy areas that are not mentioned or would fall within a broad/vague policy area.
Medium Significance Policy Area	2	This is applied to recommendations which are associated with a policy area in the corporate plan or the WAG policy area. These policy areas will not fall under those that are considered as major policy areas.
Major Policy Area	3	This are recommendations on policies that are explicitly mentioned in the Corporate Plan, PSB Plan and other key policy documents of the Council or the WAG.

Acceptance Categories

Categories	Definition
Fully Accepted	These refer to responses where the Cabinet expressed agreement with the committee's recommendation, explicitly committed to taking the action requested, and made no suggestion that they would have done so in any case. It also includes 'disclosure' recommendations where the committee requested information, which was provided in the response.
Partially Accepted	This is applied to responses which expressed agreement with the general thrust of the recommendation but not to the level of detail required by the committee, or accepted the recommendation in part but ignored (but did not reject) another part. This code is used in cases where the cabinet claims that what the committee wanted was already in progress, but where there was evidence that the action had been started only after the committee's inquiry began. The assumption in these cases was that the Cabinet had anticipated the content of certain recommendations from the inquiry, and acted prior to publication of the report.
Neither Accepted or Rejected	This was for recommendations which received a lukewarm response, either to say that something was under consideration, or that it was already being done (but with no indication that it had recently begun, and expressed in neutral terms). The code was also used for recommendations accepted in part but rejected in part.
Partially Rejected	This is used for responses where the cabinet explicitly described itself as 'rejecting' or 'disagreeing'. It was restricted to cases where the Cabinet says nothing positive or lukewarm at all, and has not suggested it was doing something similar already or that its position might change in the future
Rejected outright	This is used for responses where the Cabinet explicitly describes itself as 'rejecting' or 'disagreeing'. It is restricted to cases where the cabinet says nothing positive or lukewarm at all, and has not suggested it was doing something similar already or that its position might change in the future

Implementation Categories

Implementation Status	Definition
Clear evidence the recommendation has been implemented in full	This is used in cases where there is clear evidence of implementation. Evidence of implementation can be provided by the Cabinet as part of formal response and periodical update to the Committee e.g. where recommendation call for disclosure of information. Where recommendations call for amended policy, amended guidance, commissioned research, publication of minutes, key evidence of this could be required form the Cabinet.
Clear evidence the recommendation has been implemented in part or limited implementation	This would apply to recommendations, or where evidence was provided where the Cabinet had implemented the recommendation but not to the degree of specificity required by the committee. This could also apply to evidence of some limited attempts to implementation or where the Cabinet has confirmed that steps are being taken to implement but no further evidence is available to confirm this.
No Evidence of Implementation	
Evidence that recommendation has not been implemented	This applies to instances where there is evidence that had not been implemented. Here a rejection in the government response was not treated as sufficient evidence: we required this to be verified by action. For example a recommendation for information to be included in the department's next annual review but such information not having been published
Opportunity to implement has not arisen	This is used both for recommendations that had not yet had a chance to be implemented because they were made too recently, and where implementation was conditional on something else having happened first.

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