



North East Combined Authority, Overview and Scrutiny Committee

Tuesday 28th March, 2017 at 2.00 pm

Meeting to be held at Sunderland Civic Centre

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AGENDA

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1. Apologies for absence	
2. Declarations of Interest	
Please remember to declare any personal interest where appropriate both verbally and by recording it on the relevant form (to be handed to the Democratic Services Officer). Please also remember to leave the meeting where any personal interest requires this.	
3. Minutes of the Previous Meeting held on 14 February 2017	1 - 8
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- (c) **Appendix 3 - Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016 - Leadership Board report** 83 - 108
- (d) **Appendix 4 - Notes of an informal scrutiny meeting 10th March** 109 - 112

8. Date and Time of the Next Meeting

Provisional date (subject to confirmation at the Annual Meeting):

Tuesday 11 July 2017 at 2.00pm

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To All Members

North East Combined Authority, Overview and Scrutiny Committee

14 February 2017

(2.01 - 4.15 pm)

Meeting held Newcastle Civic Centre

Present:

Councillors: Armstrong, Crute, Eagle, Flux, Glindon, Graham, A Lower, Meling,
S Pearson, Pidcock, Snowdon and Wright

35 APOLOGIES FOR ABSENCE

Apologies were received from Councillor Dillon.

36 DECLARATIONS OF INTEREST

None.

37 MINUTES OF THE PREVIOUS MEETING HELD ON 14 DECEMBER 2016

The minutes of the previous meeting held on 14 December 2016 were approved as a correct record and signed by the Chair.

38 ECONOMIC DEVELOPMENT AND REGENERATION THEMATIC LEAD UPDATE

Submitted: A report of the Thematic Lead for Economic Development and Regeneration to provide Members with a progress update for the key areas within the Economic Development and Regeneration theme (previously circulated and copy attached to the Official Minutes).

Councillor Malcolm (Thematic Lead for Economic Development and Regeneration) introduced the report which provided an update on the key areas within the Economic Development and Regeneration theme including the appointment of a second Vice-Chair from the private sector for the Economic Development and Regeneration Advisory Board (EDRAB), the level of inward investment enquiries received, Trade Missions, improvements to the Invest North East England (INEE) website, MIPIM, development of an Industrial Strategy for the UK, business grants, and the refreshed Strategic Economic Plan.

Comments, questions and points raised by members

- Whether there was any additional information available about a possible new car manufacturing plant in the region, as reported in the press.

Councillor Malcolm advised that there was no information specifically about a new car manufacturing plant, but provided an update on the status of the International Advanced Manufacturing Park (IAMP). Land assembly was

already taking place, the first contractors were expected on site in 2018 and it was hoped that the first part of the site would become operational in 2019. A number of enquiries from automotive companies had been received.

- That the stance being taken on regional involvement and participation in international trade missions and treaties was welcomed, and that it was important that information was shared with the region. A concern was raised that without having a voice at the table it was difficult to make places for the future.

Councillor Malcolm advised that the EDRAB would continue to push the issue and that it would be raised in Leadership Board meetings.

- That the region may be hit harder than other areas by Brexit because of its strength in exporting, and whether there was any influence with Government to develop a regional strategy to address the issue.

Councillor Malcolm advised that the Strategic Economic Plan (SEP) was being updated and the new version should be signed off by Easter, but that there was no money attached to it so Government support for the Plan would also be needed. Councillor Malcolm suggested that the Government could not ignore the North East as it was the only region with a positive balance of trade.

- It was suggested that the Committee should set out its support for Councillor Malcolm to express disappointment in the existing trade mission arrangements.
- It was suggested that part of the reason why Nissan chose to come to Sunderland was concern for the welfare of employees and their families who came to the region to help set it up, and that in seeking to attract new international investment the region should be promoting access to schools and provision of executive housing etc., in addition to financial incentives.
- Councillor Malcolm suggested that the Committee invite a representative of the North East Chamber of Commerce (NECC) to a future meeting to discuss their role in supporting delivery of key activities and the commissioning work of UKTI.
- In response to a query about the membership of the EDRAB, Councillor Malcolm confirmed that there was one representative from each of the constituent authorities, one from the LEP, one from the North East Chamber of Commerce, one from the Trade Union Congress, one from the Confederation of British Industry and one from the Federation of Small Businesses. It was agreed that officers would circulate the information to the Committee.
- Whether the lack of a devolution deal for the NECA had hindered trade.

Councillor Malcolm advised that there was not yet any evidence that NECA had lost out as a result of not having a devolution deal and suggested that if

there are any future discussions about a deal they should focus more on what the NECA wants from devolution and less on the process.

- It was suggested that if NECA were to split there would be a problem of the authorities competing against each other rather than working together.
- A request was made for a breakdown of the skills level and sector type of the new jobs created. It was agreed that officers would circulate the information to the Committee.
- It was highlighted that the Industrial Communities Alliance was developing its own Industrial Strategy with a major event taking place in London in March 2017.
- In response to a query about whether consideration had been given to having an overseas representative with good local knowledge based in Taiwan, Councillor Malcolm advised that it would be very difficult to justify with the existing budget, and highlighted that austerity cuts had already resulted in the Brussels office being closed. Councillor Malcolm agreed that Taiwan was an important developing market and suggested that there was a whole range of countries that the NECA should be tapping into and that UKTI resources should be utilised for that purpose.
- In response to a query about which countries the foreign investment highlighted in the report had come from, officers advised that it was largely from Germany, France and the USA. In response to a query about whether UK investment was new or from other regions, officers advised that it was a mixture of both.
- That it was disappointing that Government ministers had not visited the INEE stand at the MIPIM UK event, and whether it would be helpful for the Committee to invite regional Government representatives and regional UKTI representatives to a future meeting.

Councillor Malcolm suggested that it may be useful for a member of the Committee to attend the next MIPIM UK event in order to see first-hand how the event works and the type of people who visit the stand.

The Chair noted that the Committee did not have a budget to cover the costs of such visits and suggested that the Chief Finance Officer be asked to clarify the position and a report brought back to a future meeting.

- It was suggested that the INEE stand had a lot of white empty space which was wasted and could instead be filled with more images to highlight the region's assets.
- That the loss of grant funding identified in the report could have a big impact on the region, and whether lobbying Government on the issue was an option.

Councillor Malcolm advised that lobbying was already taking place but that it was important that it continue and that it was a joint effort across the region,

and in partnership with the private sector, to put forward a single message about the money needed for skills, jobs and infrastructure. It was highlighted that there was still £500m of European funding being held by the Treasury that could only be spent in the North East, and that the LEP was in the best position to push for Government to release the money, to be spent in line with the SEP, as it was private sector led.

- Whether the region was at increased danger of losing investment to Scotland and Wales because of the loss of grant funding.

Councillor Malcolm advised that this was a concern and that a clear example was Air Passenger Duty, which was being devolved to Scotland and Wales and could result in passengers using Edinburgh rather than Newcastle Airport if Scotland chose to scrap the Duty. There would be an impact on the region's ability to attract inward investment without access to a pot of cash to support it.

RESOLVED: That –

- i. The report be received for comment and for information.
- ii. The Committee confirms its support for the Lead Member for Economic Development & Regeneration in relation to the lack of accessibility and transparency on trade missions.
- iii. A representative of the North East Chamber of Commerce (NECC) be invited to a future meeting to discuss their role in supporting delivery of key activities and the commissioning work of UKTI.
- iv. Officers to circulate full information on membership of the EDRAB.
- v. Officers to circulate information on the breakdown of skill level and sector type of new jobs created.
- vi. A representative of the NECA Overview and Scrutiny Committee to attend the next MIPIM UK event.
- vii. Officers to liaise with the Chief Finance Officer regarding a budget for Overview and Scrutiny activities and a report to be brought back to a future meeting.

39 NELEP LOCAL GROWTH FUND PROGRAMME

Submitted: Report of the Head of Paid Service outlining progress on economic indicators that apply to the North East LEPs Local Growth Fund (previously circulated and copy attached to the Official Minutes).

The Committee also received a presentation illustrating the types of investment projects that were being supported and their associated performance measures and targets (copy attached to the Official Minutes).

Ray Browning (Programme Manager) introduced the report and gave the presentation, highlighting in particular the information on employment benefits as previously requested by the Committee.

Comments, questions and points raised by members

- In response to a query about how performance measures were selected, Ray Browning advised that there was a menu of performance measures set out by the Government and that the LEP were able to select from that the ones that were most pertinent.
- In response to a query about the relatively high number of apprenticeship places in North Tyneside, Ray Browning advised that this was due to recent investment in Tynemet College's new engineering 'STEM' and Innovation Centre.
- Whether there was any possibility of tapping into the Apprenticeship Levy. Ray Browning advised that this was done through the colleges and that the LEP had no direct involvement in the process.
- That recent news articles had suggested that a high proportion of employers were not aware of the Apprenticeship Levy, and whether the NECA should aim to raise awareness of it and to highlight possible benefits and risks for employers. It was agreed that the item would be added to the scrutiny work programme.
- In response to a query about why there was no information about targets in the report and presentation, Ray Browning advised that there was not one common set of targets but that they were agreed separately for each project.
- How likely it is that the target of 100,000 more and better jobs would be achieved within the next 7 years, and whether there was any evidence of what the unemployment rate would be by that time.

Ray Browning advised that significant progress had been made since the SEP was first written, and that the refreshed version to be published in March 2017 would provide an update on what had been achieved so far. It was not possible to say what the unemployment rate would be, and it was noted that the unemployment rate was difficult to compare historically because there had been numerous changes to the way in which it was calculated.

- In response to a question about the jobs forecast for 2016. Ray Browning advised that it was unlikely the target for Quarter 4 would be achieved, largely because a number of projects had started later than expected.

- Whether the refreshed SEP would be included on the Committee's work programme. Officers agreed to ensure that it was brought back to the Committee.

RESOLVED: That –

- The report be received for comment and for information.
- Information on the Apprenticeship Levy to be brought back to Committee.
- The refreshed SEP to be included on the Committee's work programme.

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RULES AND PROCEDURE FOR THE OVERVIEW AND SCRUTINY COMMITTEE

Submitted: Report of the Monitoring Officer to consult with members on the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016 and the preferred options to be submitted to the Leadership Board (previously circulated and copy attached the Official Minutes)

[Councillor Glindon left the meeting at this point]

Karen Brown (Scrutiny Officer) presented the report which asked committee to endorse the preferred options to be submitted to the Leadership Board for new governance arrangements required by the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016.

Comments, questions and points raised by members

- It was noted that the new Order does not differentiate between Mayoral and non-Mayoral Combined Authorities.
- It was suggested that there was no reason for a change in chairing arrangements for the committee and that committee were being pushed into choosing one of two options without a clear benefit to either one.
- A concern was raised that in many authorities' opposition members have little or no experience of chairing committees and so may find it difficult to step in to the role.
- It was unanimously agreed that the preferred option for chairing arrangements was to have an "appropriate person", but that a statement should be drafted on behalf of the committee, in consultation with the Chair and Vice Chair, to the effect that members were endorsing the new arrangements under compulsion of the Order and not in agreement with it.
- Concerns were raised about where the additional money would come from to pay for a new Scrutiny Officer post, about where the officer would be located and about what resources they would have. It was suggested that it would be a more appropriate arrangement to have within a Mayoral Combined Authority with devolved funding.

Viv Geary (Monitoring Officer) advised that the Chief Finance Officer had been made aware of the requirement and that some provision had been made within the budget and that officers would update the committee on the new arrangements as soon as possible.

It was agreed that the committee's reluctance to change existing scrutiny officer arrangements should be noted alongside the recommendation to Leadership Board.

- It was noted that the working group had requested information be brought to the committee on the latest developments with devolution and the future of the Combined Authority.

It was agreed that an extra meeting of the Scrutiny Committee should be arranged, to be held before the next scheduled meeting, and that the Chair of the Leadership Board and one Vice Chair (North Tyneside) should be invited to discuss future of the Combined Authority following the decision of the Leadership Board not to proceed with the devolution deal.

RESOLVED: That –

- i. The Scrutiny Committee endorsed the proposals of the working group and endorsed the option of an appropriate person as the chair of the NECA Overview and Scrutiny Committee.
- ii. A statement to be drafted on behalf of the Scrutiny Committee that scrutiny members were endorsing new chairing arrangements under compulsion of the Order, and not in agreement with it.
- iii. Officers to provide the Scrutiny Committee details of the new working arrangements for the NECA Scrutiny Officer as soon as possible.
- iv. An extra meeting of the Scrutiny Committee to be arranged, to be held before the next scheduled meeting, and the Chair of the Leadership Board and one Vice Chair (North Tyneside) to be invited to discuss the future of the Combined Authority following the decision of the Leadership Board not to proceed with the devolution deal.

41 **POLICY REVIEW: TRANSPORT RELATED BARRIERS TO EDUCATION, EMPLOYMENT AND TRAINING**

Submitted: Report of the Monitoring Officer considering the conclusions of a policy review on transport related barriers to education, employment and training following consultation with the Transport North East Committee (previously circulated and copy attached to Official Minutes)

Karen Brown (Scrutiny Officer) presented the report which set out the conclusions of the policy review on transport related barriers to education, employment and training and confirmed that the Transport North East Committee had considered the report and had welcomed its findings.

RESOLVED: That the Scrutiny Committee endorsed the final report and referred it to the Leadership Board for consideration.

42 **FORWARD PLAN AND SCRUTINY WORK PROGRAMME**

Submitted: Report of the Monitoring Officer on the Forward Plan for the current 28 day period and the revised and updated Scrutiny Annual Work Programme for 2016/17 (previously circulated and copy attached to Official Minutes).

Viv Geary (Monitoring Officer) presented the report which provided committee with the opportunity to consider the items on the Forward Plan and to endorse the revised and updated Scrutiny Annual Work Programme for 2016/17.

RESOLVED: That –

- i. The Scrutiny Committee accepted the Forward Plan and work programme report.
- ii. The work programme to be updated to include a discussion with the North East Chamber of Commerce, a report on the Apprenticeship Levy, and an additional meeting of the Scrutiny Committee prior to 28 March 2017.

43 **DATE AND TIME OF THE NEXT MEETING**

Tuesday 28 March 2017 at 2:00pm; to take place in Sunderland.

An additional meeting of the Scrutiny Committee to be arranged (date and time to be confirmed) in advance of 28 March.

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Date: 21 March 2017

Subject: EMPLOYABILITY AND INCLUSION UPDATE

Report of: Thematic Lead for Employability and Inclusion

Executive Summary

This report provides an update as to the latest progress being made in delivering the Employability and Inclusion; and Skills themes of the Strategic Economic Plan (SEP) for the North East.

Recommendations

The Leadership Board is recommended to note the contents of the report.

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1. National Policy Update

Improving Lives: Work, Health and Disability Green Paper

- 1.1 In October 2016, DWP and Department of Health published the *Improving Lives: Work, Health and Disability Green Paper* to consult on ways to improve labour market participation of people with disabilities and long-term health conditions and to halve the disability employment gap by 50% by 2020.
- 1.2 The consultation was highly pertinent to NECA as a high proportion of working-age residents claim health related out-of-work benefits. The consultation also fits with the direction of NECA employment programmes to better integrate health and employment support, and with the recommendations of the NE Commission for Health and Social Care Integration. Consultation events held by the DWP/DH Work and Health Unit were attended by officers in the EIS group, including a local consultation at Durham County Hall in early February.
- 1.3 The NECA response collated comment from LA employment and skills and public health officers. The response:
 - presents evidence of the scale of the work and health challenge in the north east and the large number of health related benefit claimants
 - highlights good practice happening locally
 - makes recommendations for more effective integration of work and health provision, including an improvement in assessment and referral mechanisms
 - recommends improvements to mental health support
 - proposes commission findings relating to improved support for keeping people in work and for in-work progression
 - proposes reform of the fit for work service and fit note system
 - notes the need for early intervention in sickness absence and greater occupational health support for employers, particularly SMEs, to recruit and support employees with disabilities and long-term health conditions
 - recommends a greater degree of local influence over national programmes and increased local commissioning.
- 1.4 The consultation closed on 17 February and Government has not confirmed when it will respond or timescale for a White Paper.

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Industrial Strategy Green Paper

- 1.5 The Government published the Industrial Strategy Green Paper on 22 January 2017. It is founded on 10 pillars which evidence shows are key to driving growth. Places with higher rates of investment in research and development, more highly skilled people, better infrastructure, more affordable energy and higher rates of capital investment grow faster and have higher levels of productivity. Policies on trade, procurement and sectors are also tools that can be used to drive growth by increasing competition and encouraging innovation and investment. The Green Paper also recognises that by strengthening the local institutions that support a more productive economy growth can be driven across the whole country.
- 1.6 One of the 10 pillars relates to developing skills. Within this, the Government recognises that it must help people and businesses to thrive by: ensuring everyone has the basic skills needed in a modern economy; building a new system of technical education to benefit the half of young people who do not go to university; boosting STEM (science, technology, engineering and maths) skills, digital skills and numeracy; and by raising skill levels in lagging areas.
- 1.7 Within this context, the Industrial Strategy confirms the following as actions that the Government has already put in place:
- moving forward with schools reforms, consulting on our plans for a new, fair National Funding Formula for schools.
 - delivering more, higher-quality apprenticeships and introducing the Apprenticeship Levy to bring in investment needed in our young people.
 - setting out, through the Sainsbury Review and the Skills Plan, the a plan to radically simplify the thousands of vocational qualifications into a smaller number of high quality new routes.
- 1.8 In terms of new commitments, the Industrial Strategy confirms that the Government will:
- create a proper system of technical education, to benefit the half of young people who do not go to university and provide new, better options for those already in the workforce.
 - committing £170m of capital funding to the creation of prestigious new Institutes of Technology to deliver higher technical education in STEM subjects and meet the skills needs of employers in local areas.
 - exploring how to support further education colleges to be centres of excellence in teaching maths and English.

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- exploring how to give technical education learners clear information, which could include a way of searching and applying for courses similar to the UCAS process.
- responding to Professor Sir Adrian Smith's independent review of post-16 mathematics which will propose measures to improve take up of mathematics and close large regional imbalances in take up of advanced mathematics.
- considering how to enable the specialist maths school model pioneered by Exeter and King's College London to spread. We will seek partners to open mathematics schools of this kind across the country.
- exploring further encourage the uptake of STEM subjects to help meet unmet demand and build on the growth of recent years.
- working towards a joined-up, authoritative view of the sector specific skills gaps that the UK faces now and in the future.
- publishing a comprehensive careers strategy later this year to radically improve the quality and coverage of careers advice in schools and colleges, to make it easier for people to apply for technical education, and to give people the information they need to access training throughout their working lives.
- exploring ambitious new approaches to encouraging lifelong learning, which could include assessing changes to the costs people face to make them less daunting; improving outreach to people where industries are changing; and providing better information.
- taking further actions to address differences in skill levels between different areas to help drive economic growth and opportunity throughout the country.

2. Policy development in the North East

Labour Market Intelligence (LMI)

- 2.1 Labour Market Intelligence (LMI) for the North East continues to be developed. Discussions about future developments are taking place with the North East LEP and a number of digital partners who are designing some innovative tools to present data and information to various audiences.
- 2.2 The work to produce a number of Careers Videos to promote our key priority sectors has been completed. A new schools resources toolkit, 'North East Ambition' was launched in February 2017. Its purpose is to help teachers

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communicate the many exciting careers available in the North East, and the paths young people can take to get them.

- 2.3 The toolkit includes four videos, all showcasing young people and the jobs and training they're participating in, in our region. There has been some excellent feedback from schools on the videos and toolkits so far, including:
- "The videos are fresh - they don't look old and stuffy. They are current and importantly they use young people who students can identify with"
 - "In contrast to the commonly held view that the north east is an area of dying industry and limited opportunity, the video portrays the region as a thriving and vibrant place to live and work"
 - "In some cases the powerpoints were seen as more useful for staff as they enabled teachers to understand more about the labour market in order to be able to teach it."
- 2.4 Each of the four videos is accompanied by a teachers toolkit, including powerpoint presentations and lesson plans. Anyone can sign up to receive the resources from the North East LEP website.
- 2.5 Work is ongoing to support various initiatives with their LMI needs including the Good Career Guidance Benchmarks, development of Devolution proposals and support to ensure that ESF proposals meet our strategic priorities.

3. Programme and Project Update

DWP European Social Fund Opt-In for the North East

- 3.1 The DWP 'Opt-In' programme is utilising £6m European Social Fund (ESF) to test a local approach to support 2,500 long term unemployed residents with health conditions to find work over 2017-19.
- 3.2 Working Links began delivery of the contract on 9 January 2017. The company had a good track record of delivery in the North East until the start of Work Programme in 2011 and is keen to reassert its local presence. It delivers a number of employment programmes in other areas, including Work Choice for people with disabilities seeking work.
- 3.3 The programme incorporates a mix of direct delivery by Working Links and through supply chain partners from a range of delivery centres and outreach venues. 54% of the contract is delivered through subcontracted partners in the public, private and third sectors, including specialist health support. The main

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delivery partners are Gateshead Council, Groundwork, Learning Curve Group, Northern Rights, Changing Lives, Finchale College and Sports Works, with a number of additional support services.

- 3.4 Along with job search activities, the programme offers a range of physical and mental health support from in-house health professionals. As an integrated work and health service is the key objective, the provider will need to engage with existing health services (such as those commissioned by CCGs) and make referrals as needed. Participants are referred through Job centres or other organisations and participation is voluntary.
- 3.5 Working Links will make regular presentations to the NECA EIS employment support group and has individually met local authority representatives in each area. Monthly local engagement meetings between DWP, Working Links and NECA/NELEP are being held to monitor performance and ensure co-ordination with other programmes and integration with services is working effectively. Initial meetings have indicated a positive start to the contract with a good number of referrals from Job centres.
- 3.6 However, NECA/NELEP is not party to contract management meetings and DWP has not confirmed the level of performance data that will be released. NECA/NELEP has requested that performance data is made available to local authority level as a minimum. This will be pursued with DWP at subsequent meetings and referred to ESIF sub-committee as necessary. Performance data made available will be reported to future Leadership Board meetings.

North East Mental Health Trailblazer

- 3.7 The North East Mental Health Trailblazer is piloting integration of employment and mental health services, with employment coaches working in Increasing Access to Psychological Therapies (IAPT) teams in coordination with clinical staff. It aims to support 1,500 unemployed people with mental health conditions to find work across NECA over 2017-18.
- 3.8 IAPT teams have responded positively to incorporating the model into their services. Staff appointments have been phased in line with projected referral flows; employment coaches are now in place in IAPT teams in each LA area and a recruitment campaign in February will bring the employment coach team to a full complement of 21.
- 3.9 Referral volumes from Jobcentres in the early stages have been very positive and clearly indicate a demand for a mental health and work service. Over 200 people have been referred to the service from early January to the end of February. More than half of these are from County Durham Jobcentres,

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reflecting the earlier start of the programme in Durham and the high number of eligible claimants.

- 3.10 A multi-agency steering group including CCG, DWP, NHS and local authority representatives will meet quarterly from March to oversee performance and strategic direction of the programme, identify opportunities for further work and health integration, identify sustainability options and develop succession strategies.
- 3.11 Publicity and an event for the programme, potentially with ministerial involvement, is being discussed with DCLG within the context of the recent Government consultation on work and health and the recommendations of the NECA Commission for Health and Social Care Integration.

Generation NE

- 3.12 Generation NE has been operational since July 2014 and the programme has supported in 3500 young people, of which 1400 have moved into employment to date and over 300 have gained work experience; 780 of those gaining employment have now sustained employment for 6 months or more.
- 3.13 The programme is continuing to deliver very good value for money compared to original expectations and this has been highlighted in a 'mid-term review' of the programme; a full report of the review findings was presented at to Leadership Board on 20 September 2016. A full evaluation of the programme will commence in coming months.
- 3.14 Delivery of Generation NE has now extended to cover the full NECA geography and the service is being received positively by Jobcentre Plus in Sunderland and South Tyneside with over 280 young people referred to date.
- 3.15 Generation NE is demonstrating the impact that can be achieved through a programme that is locally led, both strategically and operationally and that can impartially 'make sense' of a complex and fragmented system. In order to continue to contribute to tackling our local economic challenges Generation NE will be extended and widen its focus, delivering support for those young people that do not claim benefit and are generally ineligible for much of the mainstream government support. In principle agreement has been given by DCLG and DWP to this proposal. New ways of accessing support online are being piloted alongside face to face support to ensure that young people have more choice in how they receive support.
- 3.16 Funding that may support this extension is available within the European Social Fund programme. The lifetime of Generation NE may be extended for up to 3 years and the impact of the programme broadened to support a wider

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cohort of young people should additional resources be secured. Opportunities to apply for this funding are expected in early 2017.

Good Career Guidance Benchmarks

- 3.17 From June 2015 and in partnership with The Gatsby Foundation, North East LEP has been supporting the application of the Good Career Guidance benchmarks. This provides the opportunity to test the benchmarks in action; lead the development of practice which will have local impact and national profile; and improve the quality of provision and opportunity for young people.
- 3.18 The benchmarks have gained significant national traction and the skills lead for the North East LEP was asked to attend an invitation only meeting on 31 January 2017, in London where the Apprenticeship, Skills and Careers Minister outlined his vision for careers. He spoke about:
- Importance of lifelong careers
 - Need to transform careers and bring greater coherence to provision
 - Need a careers system that works for everyone, builds on what works and expanding both the quantity and quality of careers provision across the country.
 - All schools and colleges should be encouraged to use the Gatsby Foundation's career benchmarks (being implemented so successfully in the North East)
 - Careers guidance should lead to meaningful, skilled employment and will be central to the new industrial strategy and future productivity
 - Committed to publishing a comprehensive careers strategy for all ages later this year.
- 3.19 During and after the speech, the Minister commented that the North East is leading the way and that he now recognises the 8 benchmarks of good career guidance as 'the eight commandments'. This was reinforced on his recent visit to Gateshead College where he saw first-hand how outstanding careers provision can be implemented.
- 3.20 The North East LEP has been approached by the Department for Education (DfE) to work with colleagues at the DfE to ensure that the future careers strategy does indeed work for everyone.
- 3.21 The benchmarks continue to gain significant national traction and the North East LEP are hosting visits on a weekly basis. In February, they hosted a visit

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by the ARK Academies Trust to the pilot sharing best practice with 13 school leaders from the second largest academies chain in the country.

- 3.22 Schools and colleges involved in the pilot continue to make progress. Interim reviews of year 2 progress have been concluded and show that schools and colleges are now fully achieving more than 5 of the 8 benchmarks, making them better than the best ever observed in the Gatsby Foundation's original research.
- 3.23 In February, the North East LEP launched a suite of three LMI videos, supported by an educator resource pack for use in schools and colleges. The videos and supporting resources have been so far accessed by over 60 schools and colleges. The videos were launched at Schools North East Future Ready Conference.
- 3.24 The benchmarks continue to inspire collaboration. This is emphasised by event funded by the North East LEP which brought together independent schools, state schools, academies, local authority schools, universities, apprenticeship providers and employers to support each other to develop resources which teachers could use directly in their classroom and subject department. The collaboration was focussed on benchmark 4 – linking careers learning into the curriculum and was attended by over 100 people.

Enterprise Advisors

- 3.25 This key Government-backed initiative was initiated in September 2015. The Careers & Enterprise Company (CEC) is an employer-led organisation that has been set up to inspire and prepare young people for the fast-changing world of work. Its role is to take an umbrella view of the landscape of careers and enterprise, supporting programmes that work, filling gaps in provision and ensuring coverage across the country.
- 3.26 The North East LEP has taken the opportunity to shape and adapt the original CEC model to enhance the opportunities for school and business engagement. The Enterprise Advisor network is active in 38 or 39 LEP areas. A dedicated coordinator was recruited in November 2015 and another in May 2016, a third has been recently recruited.
- 3.27 To date 75 Enterprise Advisers have signed up. 43 schools and colleges have returned their self-assessment and supporting Enterprise Adviser action plan. Of the 43 schools, 38 have been matched with an EA, and an additional 5 pending matches for early in 2017 (which means an EA has been identified and first meeting to be arranged). 16 other schools and colleges who have met with an Enterprise Coordinator are in the process of completing the self-assessment document and are being followed up.

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3.28 The Career and Enterprise Company has allocated further funding for activity support including £1 million available for programmes in Opportunity areas (Blackpool; Derby; Norwich; Oldham; Scarborough and West Somerset). Additionally and in partnership with the Education Endowment Foundation and Bank of America the CEC has indicated that an additional £4 million would be available in England for programmes which include the following themes: Enterprise education; transition skills development; volunteering and work experience. The North East LEP is continuing to work alongside the CEC to try to ensure that North East schools and organisations are beneficiaries of these funds. Latest cold spot analysis reveals that the North East LEP region is 'in need' in 3/7 indicators.

Apprenticeships

- 3.29 The North East has a strong and active part to play in meeting the Government's target of three million apprentices by 2020. However, there is also a recognition that there is still much to be done to deliver the ambitious targets that the region has set within the Strategic Economic Plan (SEP).
- 3.30 The Apprenticeship Growth Partnership (AGP) continues to meet on a quarterly basis with a remit to support businesses, to encourage the development of apprenticeship vacancies, to promote higher level apprenticeships and to engage sector groups to develop standards and liaise and promote the development of high quality apprenticeships.
- 3.31 The online system that employers will use to manage apprenticeship funds was launched on 13 February 2017 and is now open for registration to all levy-paying companies. To help employers access and use this, a revised and updated version of the SFA apprenticeship toolkit has now been released to LEPs. These consist of detailed powerpoint presentations on the various apprenticeship reforms including the employer levy, Apprenticeship Service (DAS) and the new standards.
- 3.32 A series of events are being planned, one in each local authority area. Details confirmed to date are as follows:
- North Tyneside – 8 March at Quorum Business Park
 - Gateshead – 23 March joint event with Gateshead College
 - Sunderland – 8 March joint event with Unipres with a focus on levy paying businesses

Events in Newcastle, Durham, South Tyneside and Northumberland are still to be confirmed.

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Skills – capital investment

- 3.33 Four from five original LGF Skills Projects are now physically completed and the remaining project at Northumberland College in Ashington commenced on site in early December 2016 and is planned to open in September 2017.
- 3.34 Following the project call in March 2016, two new skills focussed projects have been approved, both are social-enterprise led – Foundation of Light in Sunderland and Eagles Foundation in Newcastle. Both are using sport to connect and engage young people, raising their aspirations and introducing them to college courses and other providers.
- 3.35 In January 2017 the North East LEP received confirmation from Government of its funding award from Round 3 of the Local Growth Fund. A total of £49.7m has been awarded over the period 2017-21 to support the development of the 'International Advanced Manufacturing Park', north of the Nissan factory and the introduction of an 'Innovation, Skills and High Growth business' mini programme. The focus of the mini programme will be developed during the Spring.

4 Potential Impact on Objectives

- 4.1 The work being taken forward is consistent with the Combined Authority's stated objectives

5 Finance and Other Resources

- 5.1 Financial plans will be developed and reported to the Board as appropriate.

6 Legal

- 6.1 The legal implications of the work will be considered as delivery progresses.

7 Other Considerations

7.1 Consultation/Community Engagement

No consultation or community engagement has been undertaken at this stage in the work programme.

7.2 Human Rights

There are no specific issues arising from this report.

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7.3 Equalities and Diversity

There are no specific issues arising from this report.

7.4 Risk Management

Appropriate risk management arrangements will be put in place as delivery progresses.

7.5 Crime and Disorder

There are no specific issues arising from this report.

7.6 Environment and Sustainability

There are no specific issues arising from this report.

8 Background Documents

- Work, health and disability green paper: improving lives
- Industrial Strategy green paper

9 Links to the Local Transport Plans

None

10 Appendices

None

11 Contact Officers

- 11.1 Janice Rose, Policy Manager, Northumberland County Council
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01670 624747

12 Sign off

- ✓ Head of Paid Service
- ✓ Monitoring Officer
- ✓ Chief Finance Officer

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Date: 21st March 2017

Subject: “Health and Wealth: Closing the Gap in the Northeast” – the report of the NECA/NHS Commission for Health and Social Care Integration

Report of: Helen Golightly, Interim Head of Paid Service

Executive Summary

The North East Combined Authority (NECA) and local NHS organisations established the Commission for Health and Social Care Integration in 2016 with all partners recognising the value of an independent Commission able to take a fresh look at the issues associated with health and social care integration and the scope to address these through joint working.

The report of the Commission sets out a vision for transforming the health and wellbeing of North East residents and in so doing helping to improve the performance of its economy and the prosperity of its people.

Duncan Selbie presented the report and recommendations to the Leadership Board in October 2016 and then subsequently wrote to all statutory bodies seeking feedback on the recommendations.

This report provides Leaders and Elected Mayor with details of the feedback received, an overview of collaborative work undertaken to date and aspects of the joint emerging oversight arrangements that will respect and maintain local autonomy.

Recommendations

The Leadership Board is asked to

- (i) Note the feedback received and the cross cutting issues raised to the Commission’s recommendations (Paragraphs 2 and 3);
- (ii) Agree that the collaborative work continues with NHS organisations to implement joint oversight arrangements and that these arrangements reflect and recognise local accountability (Paragraph 5 and 6); and
- (iii) Agree to receive regular updates regarding the implementation of the Commission’s Recommendations.

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1 Background Information

- 1.1 Members will recall that Duncan Selbie attended the Leadership Board on the 12th October to present the report, and engage with Leaders and Elected Mayor in a discussion about the key themes addressed in the report. Some of the key positive messages contained within the report were highlighted at that meeting including:
- How the report sets out a vision for transforming the health and wellbeing of North East residents and in so doing helping to improve the performance of its economy and the prosperity of its people.
 - Stresses the importance of the call for action aimed at local authority leaders, NHS leaders, businesses, voluntary sector organisations and central government. Urging civic, public service and business leaders to work together to mobilise the system around the objective of improving health outcomes and reducing health inequalities across the life cycle, from school readiness through good and fulfilling employment to healthy and independent old age.
 - The report sets out a clear agenda for shifting the priority from response to prevention across the public sector.
- 1.2 For member's information the Commission's Executive Summary is attached, which includes the recommendations.
- 1.3 Subsequent to the meeting all statutory organisations were contacted and asked to submit comments regarding the report and recommendations in relation to three specific questions:
- Does your organisation endorse the report and its recommendations, and does it have comments on specific recommendations?
 - Does your organisation commit to progressing those recommendations that can be taken forward at an individual organisation level e.g. to ensure management training takes account of the NICE guidance on workplace health, to review workplace health arrangements including Better Health at Work Awards?
 - Does your organisation commit to working with partners to implement the Commission recommendations? Is there any particular recommendation(s) that your organisation wishes to highlight in this regard?

2 Written Responses to Commission's recommendations

- 2.1 The organisations below submitted a formal response:
- Durham County Council (Cabinet March 2017)
 - Gateshead Council (Cabinet and Health and Wellbeing Board)
 - Newcastle City Council (Health Overview and Scrutiny Committee)
 - North Tyneside Council (Health and Wellbeing Board)

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- Northumberland County Council (Health and Wellbeing Board)
- South Tyneside Council (Overview and Scrutiny Committee)
- Sunderland City Council (Health and Wellbeing Board)
- NHS England
- County Durham and Darlington NHS Foundation Trust
- North East Ambulance Service NHS Foundation Trust
- South Tyneside NHS Foundation Trust
- NHS Durham, Dales, Easington and Sedgefield Clinical Commissioning Group
- NHS North Durham Clinical Commissioning Group
- Northumberland, Tyne and Wear NHS Foundation Trust
- Northumberland Clinical Commissioning Group
- NHS South Tyneside Clinical Commissioning Group
- NHS Sunderland Clinical Commissioning Group

2.2 A precis of the feedback from some organisations is attached as Appendix 2.

2.3 All of the organisations supported the Commission's recommendations in principle however, the majority of submissions also included challenges, opportunities and further work needed to implement the recommendations.

2.4 Recurring issues are clustered on the three themes of the recommendations:

- **A Shift to Prevention:** Whilst all of the recommendations within this theme (recommendations 1-4) and the fundamental ethos of a shift to prevention were welcomed, it was recognised that further work needs to be undertaken to support increasing spending on prevention measures at a time of increasing financial pressures. Getting the right balance of different forms of preventative investment will be crucial if further resources are to be released upstream towards longer-term preventative work.

Comments received stated that system-wide pressure should be exerted at all levels in the NHS planning process to ensure that robust mechanisms for releasing funding to prevention be identified and implemented at the earliest stage.

Within this theme, feedback was also received about the lack of information included within the recommendations about the importance of schools and families in ensuring a better start in life, which evidence supports will help improve life chances, choices, and therefore healthy lives.

- **Health, Wellbeing and Productivity** (recommendations 4 – 7): All respondents accepted the recommendations within this theme specifically

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the work to address mental health for the general population in relation to employment, as well as the role of all employers in supporting good workplace mental health. This is to be welcomed as it is clear that access to ‘good’ quality work opportunities is central to people’s overall wellbeing.

It was felt by certain respondents that there is an expectation that Local Authorities and NHS organisations should lead by example in relation to “good quality work” and set standards that other public sector organisations could follow.

More broadly, it was felt that there is a need to ensure that reducing economic and health inequalities are integral to local economic development strategies and their delivery.

- **System Leadership** (recommendations 8 – 10). The majority of respondents supported the assumption that system leadership will be key to taking forward both the recommendations from the NECA Commission and the direction of travel set out in the Sustainability and Transformation Plans (STP). It was also suggested that mechanisms for governance are not clear and that further work should be undertaken to ensure that any future structure reflects and recognises local accountability.

The link to locally established and accountable Health and Wellbeing Boards needs to be made explicit.

- 2.5 In response to Recommendation 10 and the proposed alignment of financial payment systems and incentives, NHS England within their response stated, “As the local lead for both NHS England and the health sector regulator NHS Improvement, I will ensure that senior officers from both my local finance teams are available to support this work as the need arises. I also make the offer to identify national expertise and opinion to support any work in relation to Recommendation 10 that may affect the current mechanisms to help ensure that any unintended consequences are identified and the risks to all parts of the system are fully understood.

3 Cross Cutting Issues:

- 3.1 It is apparent from the responses received that there are cross cutting issues that have an impact on the future delivery of all the recommendations, including:
- Need for a culture shift in all organisations across the health and social care economy within the region to enable and encourage changes in behaviour that have a positive effect on the health and wellbeing of individuals and communities;

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- The scale at which the work needs to be undertaken, some of the recommendations require action by individual local authorities or CCGs; some at local health economy level where it makes sense for two or three local authorities and CCGs to work together; and some at NECA level or beyond where this provides greatest opportunity to improve outcomes;
- There are financial and capacity implications associated with the delivery of some of the recommendations;

3.2 Finally, the role and future involvement of the voluntary/community sector (VCS) and HealthWatch cuts across all of the recommendations. Many of the responses suggested that any future delivery model requires the need to involve these organisations at an early stage, which will allow the VCS to realise its potential in helping to address the challenges health, and social care organisations currently face.

4 Alignment: Sustainability and Transformation Plans (STP)

4.1 Some respondents supported the proposal that the findings of the Commission's report are aligned with the developing STP, which should ensure that the strategic focus on improving health and integrating the public sector offer, is supported across the whole system.

4.2 The Leadership Board has previously received information regarding the STP and have agreed with the principles outlined. But it has to be acknowledged, that this report is not seeking endorsement of the contents of the STP, merely supporting in principle the requirement for all organisations to work together to address cross cutting issues across the local authority and health economies.

5 Joint Chief Officer Meetings: Supporting the Commission

5.1 To support the work of the Commission, members have previously been informed that since May 2016 chief officers from the local authority, Clinical Commissioning Groups and NHS Trusts have met on a regular basis and last met on the 12th January 2017. External facilitators were commissioned to encourage a robust debate and the format was based on the following objectives:

- To strengthen cross partner relationships and have a shared agreement of priorities across the stakeholder groups;
- To have an agreed understanding of the Commission's recommendations and how this overlaps with and supports the delivery of the STPs to collectively improve health, care and finance for the local populations by 2021;
- To agree what will be delivered and/or shared by each of the key stakeholders to ensure success;

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- To agree what further interventions are required to optimise performance across the stakeholder groups.

5.2 This work has supported the Commission's Recommendation 9, which emphasised the need to establish a regional approach to drive forward implementation of these recommendations with the overall outcome to be committed to working together to sustain, improve and optimise health and social care for the whole population.

6 Next Steps

6.1 Taking into consideration the feedback received to the recommendations (identified in Paragraphs 2 and 3) and the progress achieved by the joint Chief Officers Group (identified in Paragraph 4) work is underway to identify an approach that will collaboratively oversee the delivery of the Commission's recommendations along with the STP.

6.2 Work is still very much in progress and further clarity will be provided in due course. However these emerging arrangements will respect and maintain local autonomy and enable local oversight and governance of local plans within local authorities/health economies.

6.3 It is proposed that these oversight arrangements will:

- join up the delivery of the recommendations and the STP;
- use existing local groups/arrangements wherever practical;
- have chief officer oversight and engagement;
- have clinical input and involvement at all levels; and
- maintain local autonomy and enable local oversight and governance of local plans within local authorities/health economies.

6.4 A steering group with representatives from all the Local Authorities, NHS organisations and Public Health England has recently been established to focus on the practical measures required to support the emerging arrangements. This group is chaired jointly by chief officers from the Local Authority and CCG and will support the joint Chief Officer Group to establish a regional approach to drive forward the Commission's recommendations and the overlapping priorities within the STP.

7 Potential Impact on Objectives

7.1 The recommendations in the report can be implemented through existing structures (wherever practical). Health and social care partners could use their existing powers and resources differently to improve health and wellbeing, and do not require new devolved powers to implement the Commission's recommendations.

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8 Finance and Other Resources

- 8.1 There are no direct financial implications for NECA as a result of the recommendations of the report, although there are recommendations about prioritising funding for preventative health care activity for Health and Local Authority partners in the NECA area and for the Government in future. Funding for any future work would need to be separately identified.

9 Legal

- 9.1 There are no specific legal issues arising from this report.

10 Other Considerations

10.1 Consultation/Community Engagement

- 10.2 Members of the NECA Leadership Board have received formal and informal updates in relation to the work of the joint NECA/NHS Commission.

10.3 Human Rights

There are no specific human rights implications arising from this report.

10.4 Equalities and Diversity

There are no specific equalities and diversity implications arising from this report.

10.5 Risk Management

There are no specific risk management implications arising from this report.

10.6 Crime and Disorder

There are no specific crime and disorder implications arising from this report.

10.7 Environment and Sustainability

There are no specific environment and sustainability implications arising from this report.

11 Background Documents

- 11.1 Not applicable

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12 Links to the Local Transport Plans

12.1 Not applicable

13 Appendix

13.1 Appendix 1: Health and Wealth - Closing the Gap in the North East
Report of the North East Commission for Health and Social Care Integration.
Executive Summary

Appendix 2: Summary of some of the responses received from local
authorities and health organisations.

14 Contact Officers

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15 Sign off

- Head of Paid Service ✓
- Monitoring Officer ✓
- Chief Finance Officer ✓

1. Gateshead Council: Cabinet and Health and Wellbeing Board

The Council endorses, in principle, the key recommendations made by the Commission and wishes to make the following comments on particular aspects of the report.

- a) As well as the Commission's recommended shift in investment towards prevention, there is the need for a culture shift in professional practice in health and social care so that greater emphasis is placed upon 'making every contact count' i.e. by encouraging changes in behaviour that have a positive effect on the health and wellbeing of individuals and communities.
- b) Further clarification is needed on how the governance arrangements at a NECA level would interface with those for STPs in practice. National NHS guidance published in September confirmed that STPs would be there for the long haul so this is an important consideration.
- c) There is a need to ensure that oversight and decision making relating to our health and care system, as well as work streams established to take forward key transformation areas incorporate a local 'democratic dimension' that local authorities can provide both individually and collectively.
- d) System leadership will be key to taking forward both the recommendations from the NECA Commission and the direction of travel set out in the STP. This goes beyond health and care service delivery to encompass wider system leadership.

2. South Tyneside Council: Overview and Scrutiny Committee

Whilst we agree with all the recommendations, they cannot be implemented without adequate resources being made available in the short to medium term. Local NHS organisations are faced with unprecedented savings targets against the background of rising demand. They now are reviewing how services are provided which involves difficult resource decisions about how to meet demand whilst making savings, as evidenced through the Northumberland, Tyne & Wear and North Durham STP.

Unequivocal commitment from Central Government, through NHS England, to back our Strategy and the provision of the resources required to follow it through. It will also need a significant commitment from all agencies to work together. Acute providers particularly will need to embrace "whole system" work and resist growing investment in treatment services to enable increased capacity in prevention services. We feel that this requires a significant culture change.

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3. **Sunderland City Council: Health and Wellbeing Board**

Overall, the HWBB were positive about the report and the direction of travel described within it, however, there was a lack of clarity on both funding and lead responsibility that needs to be resolved with urgency to ensure that the report is rolled out in a meaningful way. The Sunderland HWBB would recommend that system-wide pressure be exerted at all levels in the NHS planning process to ensure that robust mechanisms for releasing funding to prevention be identified and implemented at the earliest stage.

The Board also stated that regional mechanisms for governance are not clear and the link to locally established and accountable HWBBs needs to be made explicit, especially if the explicit aim is to align financial payment systems.

HealthWatch Sunderland expressed concerns that there was an absence of any public or patient voice within the report, despite there being a number of occasions where groups representing patients had tried to engage with the process.

4. **North Tyneside Council: Health and Wellbeing Board.**

The Board welcomed the report, particularly its findings in relation to addressing mental health and shifting priority and resources to prevention. However, the Board queried who would take ownership of the agenda in the light of:

- a) there being no reference within the report to the role of central government,
- b) NECA deciding not to proceed with the proposed devolution deal and
- c) the Commission's acknowledgement that the Sustainability and Transformation Plan (STP) process alone would not be sufficient to deliver the recommended change.

Whilst it was acknowledged that the report and recommendations of the Commission would be incorporated into the STP process, the Chair urged all partners in the local health economy to give due consideration to the recommendations so that the Commission's sound thinking and vision could be absorbed into their future planning of services

5. **Northumberland Health and Wellbeing Board**

Overall, members suggested that they could in principle support the recommendations detailed within the report but felt that more detail was needed, including the implications for Northumberland, before the Health and Wellbeing Board could fully support increasing spending on prevention measures at a time of increasing financial pressures faced by the NHS and

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local authorities. A number of issues were raised by board members including:

- a) Members needed to understand fully at a local level what the implications of the recommendations detailed within the report would be for Northumberland.
- b) Any governance structure needed to ensure there was challenge and scrutiny embedded within its arrangements.
- c) With regard to recommendations, 1-3 members believed that further work was needed to fully understand how the service could produce savings and exactly where the money would come from.
- d) The voluntary and community sectors would need to be involved at an early stage of any change to health and social care and a robust community and engagement initiative would also be needed.

6. Durham County Council

A report in relation to Adult Care Transformation and Integration will be going through to DCC's Cabinet in March. This report incorporates a section on the recommendations from the NHS/NECA Health & Social Care Commission for Integration.

7. Newcastle City Council

The Health Overview and Scrutiny Committee examined the HSCI Report at its January 2017 meeting. During discussions, the following points were made:

- Clarification provided on the overlap between all the processes and plans and the challenges that lay ahead in determining how best to integrate and establish the right direction of travel. Recommendations had been set for the various stakeholders e.g. health and care providers; NECA; local authorities; and employees.
- Explanation provided around the commission's thoughts on preventative measures.
- The effects of Brexit had not been considered by the commission; although the importance of employment and jobs and the region being the biggest employer in health and social care had been.
- Reference to other types of care services for the elderly were raised. It was pointed out that this was something for the Sustainability Transformation Plan to pick up.
- A report on employment and skills would be considered by the LEP; although further discussions would be necessary around who and how recommendations would be taken forward. Reference made to the requirement for a massive cultural change.
- Concerns expressed about the lack of engagement by the trade unions and how their role was important.

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- Clarification provided about the development of the Better Health at Work Award.
- Confirmation provided about how the commission had not wanted to be too prescriptive, giving flexibility around decision making on funding spend to be taken at a region level. Preventative spend being based on the Marmot report conclusions, with an aspirational increase of £160M a year by 2020/21.
- Reference made to how it was considered that insulation should have been included in the wider determinants of health-reducing fuel poverty.
- Queries on the age profile and distribution of unemployment in the NECA area, particularly for 16-19 age group. Sample surveys may have been carried out at different times of the year resulting in anomalies appearing for this age group.
- Comments expressed about interesting discussions to be had around influencing the workforce.
- Reference made to the focus being on 'value for money' and on the gathering of financial evidence to enable funding to be attracted.
- The Chair suggested that health inequalities or wellbeing implications should be included in Cabinet reports to demonstrate the Council's commitment.
- Reference to the success made by local authorities around achieving vanguard status.
- Comments made about the work being explored to improve understanding and to raise awareness, particularly around mental health through the Better Health at Work Award.

Examples of the responses received from CCG's and NHS Trusts:

8. NHS England:

Specifically in relation, Recommendation 10 the response states, "Currently the rules and regulations for payments and incentives between NHS commissioners and providers are often set on a national basis. As the local lead for both NHS England and the health sector regulator NHS Improvement, I will ensure that senior officers from both my local finance teams are available to support this work as the need arises. I also make the offer to identify national expertise and opinion to support any work in relation to Recommendation 10 that may affect the current mechanisms to help ensure that any unintended consequences are identified and the risks to all parts of the system are fully understood. I also commit to sharing any information of similar work being undertaken in other parts of the country so that partners across the NECA area are as informed as possible in their actions."

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9. Northumberland, Tyne and Wear NHS Foundation Trust:

“All of us at NTW were delighted to see specific references to mental health and well-being in the report’s recommendations. So often, this is a neglected area of well-being, despite the very high local needs. To include recommendations on mental health for the general population in terms of service provision in relation to employment, as well as the role of all employers in supporting good workplace mental health, is very reassuring. We support the recommendation that the findings of the Commission report are aligned with the developing Sustainability and Transformation Plan governance structures. This should ensure that the strategic focus on improving health and integrating the public sector offer is supported across the whole system”.

10. County Durham and Darlington NHS Foundation Trust:

Included within the document includes the following: “We are here to serve the people of our area, they are our priority. It is for this reason that this reports “call to action” is welcome and is one that we must not ignore. Indeed, the challenge, which we must take on and deliver, is to close that healthy life expectancy gap with the rest of the UK over the next decade and add 400,000 additional years of active, healthy life to the people of the region.

11. North East Ambulance Service NHS Foundation Trust:

“We would request that the transparency of public health funding in local authorities is enhanced so that it the total level of investment in health overall can be clearly understood across the patch.” NEAS welcomed the alignment with the STP and suggested that there are a number of different agendas, which are not currently included within the recommendations, but may be able to assist in the prevention agenda if partners work together.

12. Joint Response: City Hospitals Sunderland NHS Foundation Trust (CHS) and South Tyneside NHS Foundation Trust (STFT):

In respect of recommendation 1, both our Trust’s support the principle of significantly increasing preventative action and resources. This is in line with the principles within both our draft STP and the NHS 5 year forward view. However, there is no detail in the report on the level of proposed increase or how this significant increase in preventative resources will be funded. Significant further work and detail is required before this can be appropriately considered to ensure there is clarity on where this funding would be drawn from and how any potential consequent risk to patient care will be managed if this is to be realised from within existing stretched NHS patient care or Local Authority social care resources.

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12. NHS Durham, Dales, Easington and Sedgefield Clinical Commissioning Group:

“The Governing Body discussed the report in detail and felt the report and its recommendations are clear, appropriate and reflect the North East as we recognise it. We do feel that receiving a truly independent report such as this gives direction, weight and impetus to the partners in the North East to commit to work together at scale to improve the health outcomes of our population. We feel the clarity and breadth of the report contents, evidence base and recommendations will enable them to be firmly embedded and adopted across the NECA area and Northern STP as well as influencing strongly the Southern STP agenda too as the findings are equally applicable to this area too.

13. NHS North Durham Clinical Commissioning Group:

The Governing Body welcomed the report and felt that the content and recommendations give real impetus to the partners in the North East to make a significant difference to the health outcomes for our population. The report recommendations are very clear and will help us to set out the focus and direction required by all partners to make collective change. We feel the report sits and fits well with the STP arrangements and we welcome the clarity and profile given to early intervention, prevention and the benefits of economic prosperity on the region and its people.

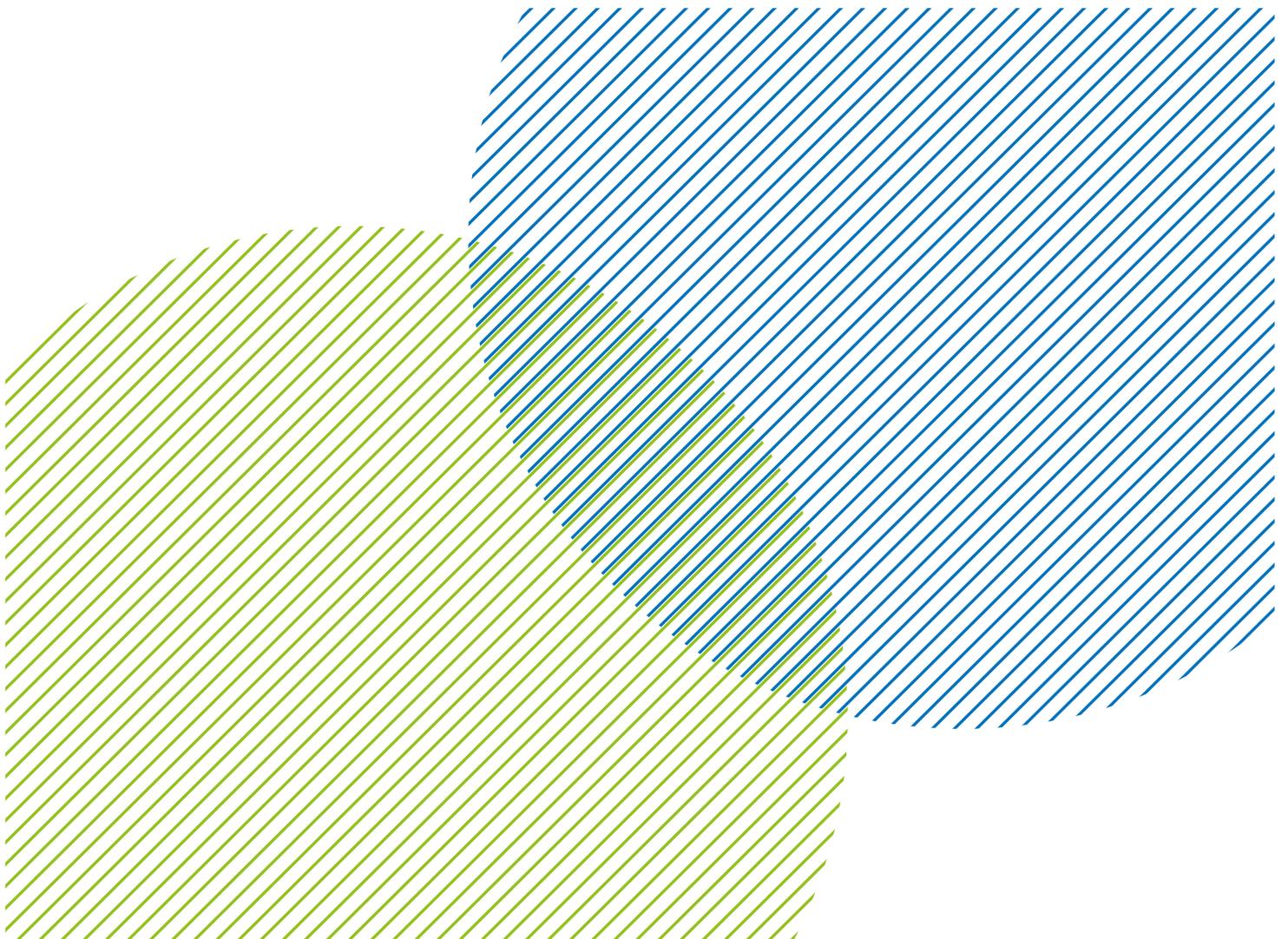
14. NHS Sunderland Clinical Commission Group:

“We thought it was difficult to disagree with the direction of the recommendations and that the document was very commendable but recognised the difficulty of delivering this without inward investment and / or specific funding to ensure delivery. We also thought that without any input to reduce worklessness and improve prosperity the recommendations would fall short of the ambition”.

The response further stated that “we were surprised that there wasn’t more about the importance of schools and families in ensuring a better start in life, which evidence support will help improve life chances and choices and therefore healthy lives and we thought that the emphasis on smoking was very helpful but thought more could be done on alcohol misuse and particularly on tightening up licensing arrangements – something I know Local Authorities are looking at”.

Health and Wealth - Closing the Gap in the North East

Executive Summary of the Report
of the North East Commission
for Health and Social Care Integration



Foreword by Duncan Selbie, Chief Executive of Public Health England and Chair of the Commission

I am delighted to have been given the opportunity to chair the North East Commission for Health and Social Care Integration. The North East is a region of vital strategic importance, with a proud history, strong identity and deep sense of community. In taking on this role I was particularly struck by the way in which civic and business leaders had developed an economic vision for their region that was both outward facing and had human capital development, and therefore people, at its heart.

The starting point for the Commission was that we were concerned with health outcomes much more than with organisational structures. So this is a report about improving health and wellbeing, not about NHS and local authority services. We hear a lot about budget deficits in health and social care, but the deficit we have focussed on is healthy life expectancy.

The title of the report has been carefully chosen. Health and wealth are two sides of the same coin – closing the health and wealth gap in the North East, compared to the UK as a whole, was the Commission's number one priority. Poor health and shorter life expectancy are both consequences and causes of the fact that average Gross Value Added (GVA) per capita in the region is only three quarters of the national average. The Prime Minister has said that inequality in healthy life expectancy is unacceptable and that she wants social and economic reform that will establish an 'economy that works for everyone'. Our report sets out how the North East can lead the way on this.

The North East has strong acute health services and increases in life expectancy along with reductions in smoking have been greater than elsewhere in the UK. But there is no hiding from the fact that health outcomes are poor and that health inequalities within the region are far too great. Closing the healthy life expectancy gap with the rest of the UK over the next decade would add 400,000 additional years of active, healthy life for the people of the region.

That's why our first recommendation is that the entire system needs to shift its priority towards prevention. We see this through two lenses: risk assessment and life cycle. By far the greatest risk is smoking, which is why we support intensifying the focus on programmes to reduce smoking. But the other key focus for prevention should be improving outcomes across the life cycle from school readiness, through good and fulfilling employment to healthy and independent old age.

We propose that North East civic and health leaders should set a target for radically increasing preventive spending across the health and public service system. To kick start this, we have proposed the establishment of a prevention investment fund, that will bring together contributions from all partners that stand to gain from the expected savings, including central government.

What gets done is what gets measured, so this commitment to prevention needs to be backed by accurate and transparent data on spending across the system. To help with this the Chartered Institute of Public Finance and Accountancy (CIPFA) was commissioned by North East leaders in health and social care to undertake the first public sector balance sheet review for any English region. Local partners now have a methodology for identifying spend and they can use this to review the extent to which the ambition to increase preventive expenditure is being met.

Nowhere is the link between health and wealth more important than in relation to work. Good work is both the best route out of poverty and the surest basis for good health. That's why we make a series of recommendations in the report that improve support for keeping people in work, and put in-work progression at the heart of the North East Strategic Economic Plan. These include: training and support for primary care staff to get people back to work quickly; addressing mental health across the system; and encouraging employers to improve workplace wellbeing.

This report is a call to action. The Commission urges leaders in local government, the NHS, the business community and voluntary sector to work together with local people to achieve better health and wellbeing outcomes. This needs to be delivered by every part of the system. Whilst the specific devolution deal under consideration by the North East Combined Authority (NECA) has not been taken forward, all involved have reiterated their commitment to the principle of devolution. Devolution, population based health improvement, and the drive to improve life chances across the North East, are long term imperatives. The Commission report sets out a clear agenda for closing the health and wealth gap. I hope that local and national leaders will study it carefully and then work together to enact its recommendations.

A report like this is the product of thousands of hours of consideration of evidence, policy development, commission debate and sheer hard work. My fellow commission members have generously donated their time and wisdom. Hundreds of people volunteered to come to evidence sessions across the North East to give us their views. Rosemary Granger did a fabulous job as programme director, supported by a great team, with Helen Dickinson valiantly holding the pen on the final report. To all those people, a profound thank you from me. Together, we have produced a report which we hope will make a real difference to the health and wealth of the North East.

The full report is available on www.northeastca.gov.uk



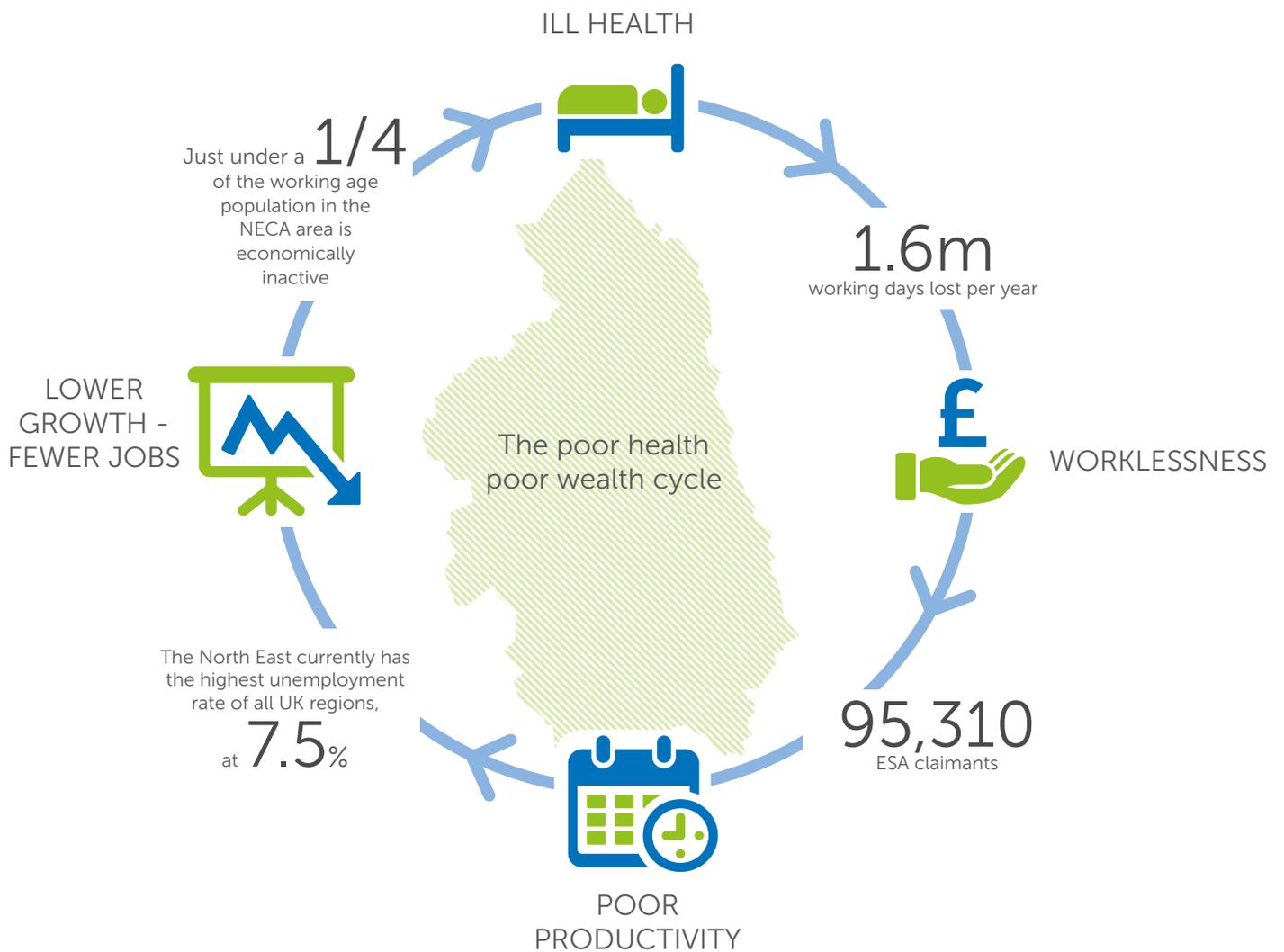
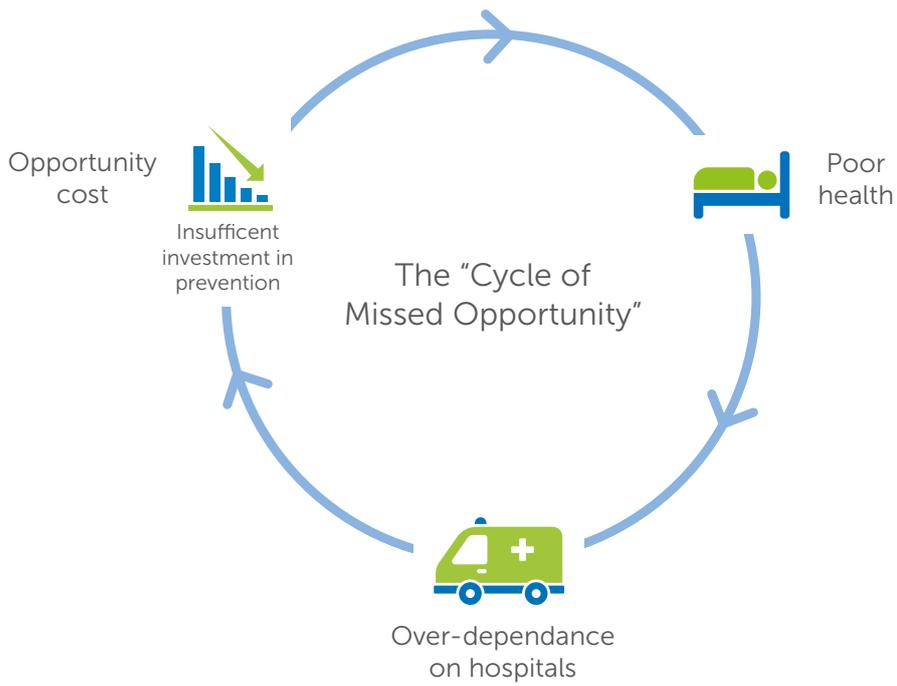
Duncan Selbie

Commission Chair and Chief Executive of Public Health England

Executive summary

The North East Combined Authority (NECA) area has strong health and care services and has experienced the fastest increase in life expectancy of any region of the UK. But the health and wellbeing gap with the rest of the UK and health inequalities within the region remain stubbornly high, with behavioural factors and deprivation levels impacting on health and wellbeing. Poor population health leads to over-use of intensive health services and pressures on primary and social care, resulting in a system over-focussed on the treatment of ill health at the expense of preventing it. It also reduces productivity and hampers economic growth, entrenching the income inequalities which contribute to poor health. In short, despite several demonstrable successes, the current model is not leading to the improvements in health outcomes needed and is becoming less sustainable going into the future.

The North East Commission for Health and Social Care Integration was established to cut through this vicious circle. The Commission was set up by NECA and local NHS organisations as part of the North East devolution deal, with all organisations recognising the value of an independent group of national experts able to take a fresh look at the issues and the scope to address these through joint working. This report of the Commission sets out a vision for transforming the health and wellbeing of North East residents and in so doing helping to improve the performance of its economy and the prosperity of its people. It is a call to action for leaders across the health and care system in the NECA area. While NECA is no longer planning to take forward a mayoral devolution model at the current time, the report remains as relevant as ever and its recommendations can be implemented through existing structures in parallel with further discussions on devolution.



The NECA area spends £5.2bn on health and care each year. Of this over 60% is spent on tackling the consequences of ill health through hospital and specialist care, over 20 times the 3% devoted to public health. Spend is organised around institutions, not individuals' needs. Hospitals are over-used, with high levels of unplanned and emergency admissions. This reliance on hospital care is neither necessary nor affordable: it reflects an over-focus on treating disease at the expense of preventing it arising in the first place. There is a clear need for a substantial shift in financial and workforce resources to prevention, with people helped to manage long-term conditions better and stay well at home for longer.

Recommendation 1: NECA partners should set themselves an ambition to radically increase preventive spending across the health and care system and wider determinants of health and wellbeing.



Freeing up the resources needed to radically increase preventive spending will be challenging but is absolutely vital for the step change in population health to occur. Shifting funding and the workforce away from a focus on treating people in hospital to helping them stay well in the community will require a radical change to configuration and capacity of hospital services. The Sustainability and Transformation Plan (STP)¹ process offers an opportunity to achieve this change. Through the STPs, partners across NECA are redesigning a model of care not suited to addressing underlying health needs. A changed acute care landscape - alongside improvements in primary care, prevention, moving care closer to home and sustaining a robust social care sector - will be a key element of a more integrated, efficient, prevention-focused health and care system that will improve health and wellbeing outcomes.

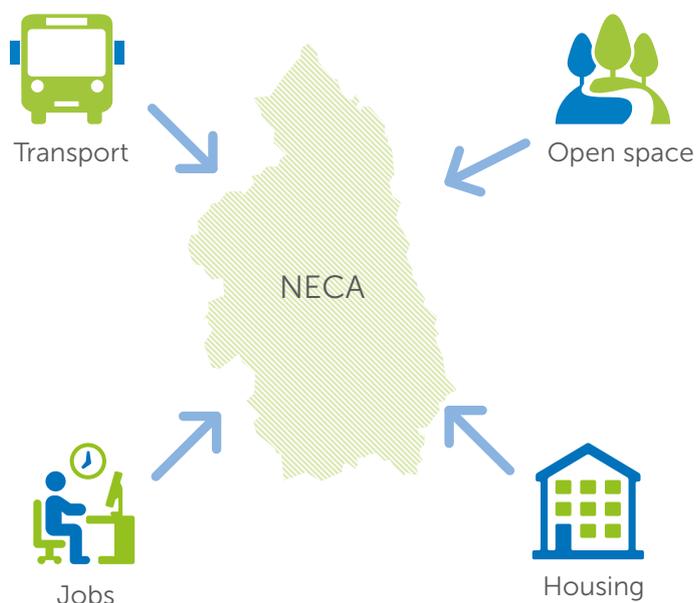
However, the STP process alone will not be sufficient to deliver the change recommended in this report. The Commission's vision of a system focussed on wellbeing will require increased preventive investment across the life course and in areas beyond the health and care system, such as housing quality and early years support. Addressing these wider determinants of health will require public, private and voluntary partners across the NECA area to unite around a shared vision of a society which supports people to make the right choices for their health and wellbeing. Promoting wellbeing must be integral to all public

¹ STPs are part of the NHS planning requirements designed to support delivery of the NHS Five year forward view by 2020/21.

policy decisions, for example considering the health and wellbeing impacts of planning, transport or skills policies. This leads to the Commission's second recommendation.

Recommendation 2: Public sector partners across the NECA area should integrate preventive action and action to tackle inequalities in all decisions.

NECA partners must integrate prevention and wellbeing in all activity.



At present preventive spending is spread across health, care and wider public services, with little visibility or transparency in the amount or distribution of overall preventive spend. The region should work with the Chartered Institute of Public Finance and Accountancy (CIPFA) to establish a baseline of current preventive spend and methodology to track increase in spending over time, as well as acting as a pilot area to trial work being carried out by Public Health England and CIPFA to develop tools to assess the effectiveness of public health investment.

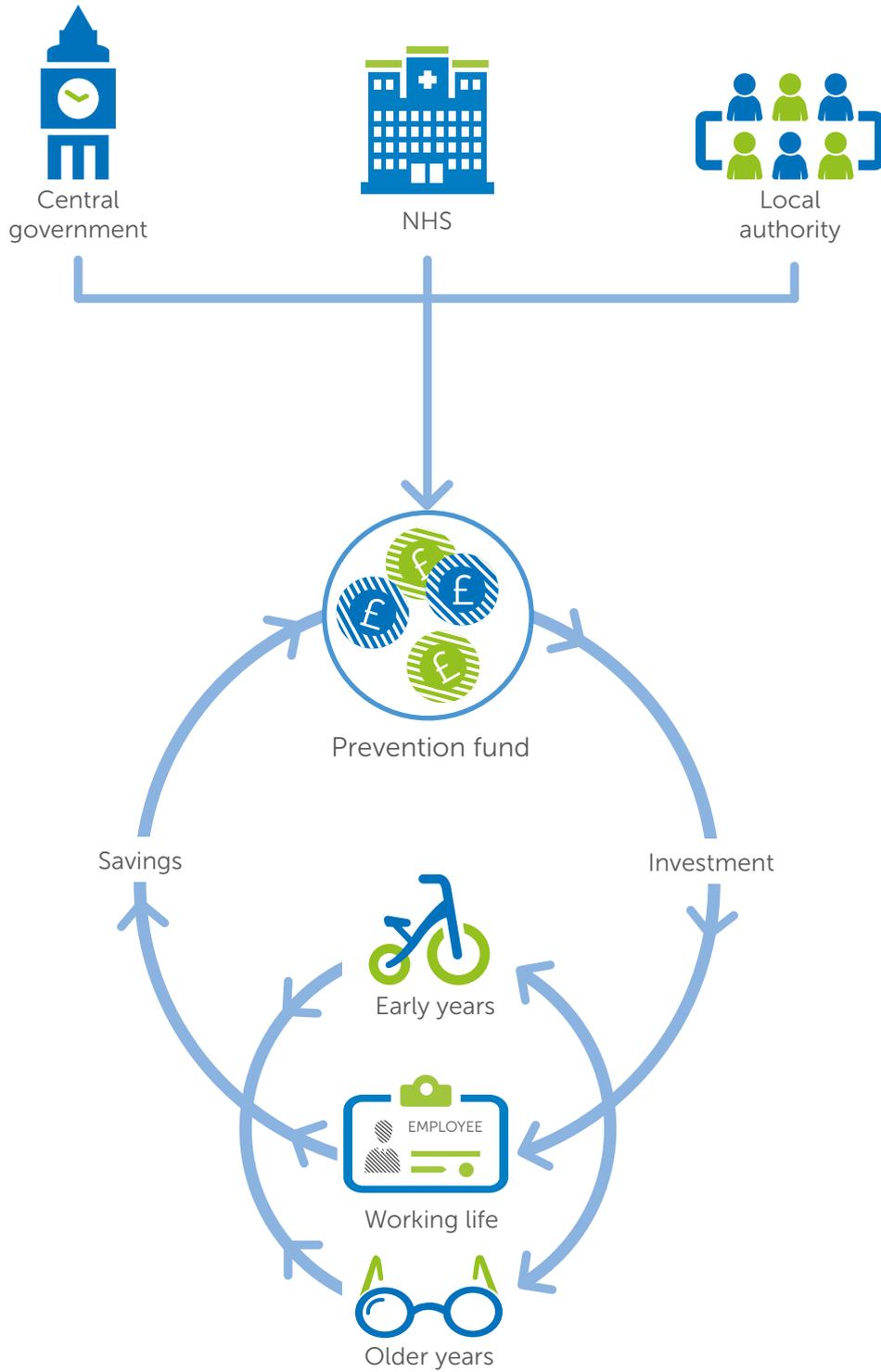
To ensure preventive spend is not diverted to other areas, allocated funds should be ring-fenced to a dedicated preventive investment fund. Partners can be confident that this represents value for money. The National Institute for Health and Care Excellence has concluded that "Most activities aimed at improving the public's health are extremely good value for money – and generally offer more health benefits than the alternatives tested, even though some of the benefits may not be realised in the short term."² The fund should be managed on a cross-system basis, investing in interventions likely to have the greatest impact across the health and care system irrespective of the original source of the funding.

Savings from the fund will accrue to a range of partners including commissioners and providers of health and care services and substantial savings to central government can be expected through lower welfare payments and higher growth as more people remain well enough to work.

Recommendation 3: Increased preventive spend should be assigned to a dedicated preventive investment fund managed on a cross-system basis and bringing together contributions from all partners who stand to benefit from the expected savings, including central government.

² National Institute for Health and Care Excellence, Local Government briefing LGB10, September 2013
www.nice.org.uk/guidance/lgb10

Prevention fund will help people help themselves to stay well

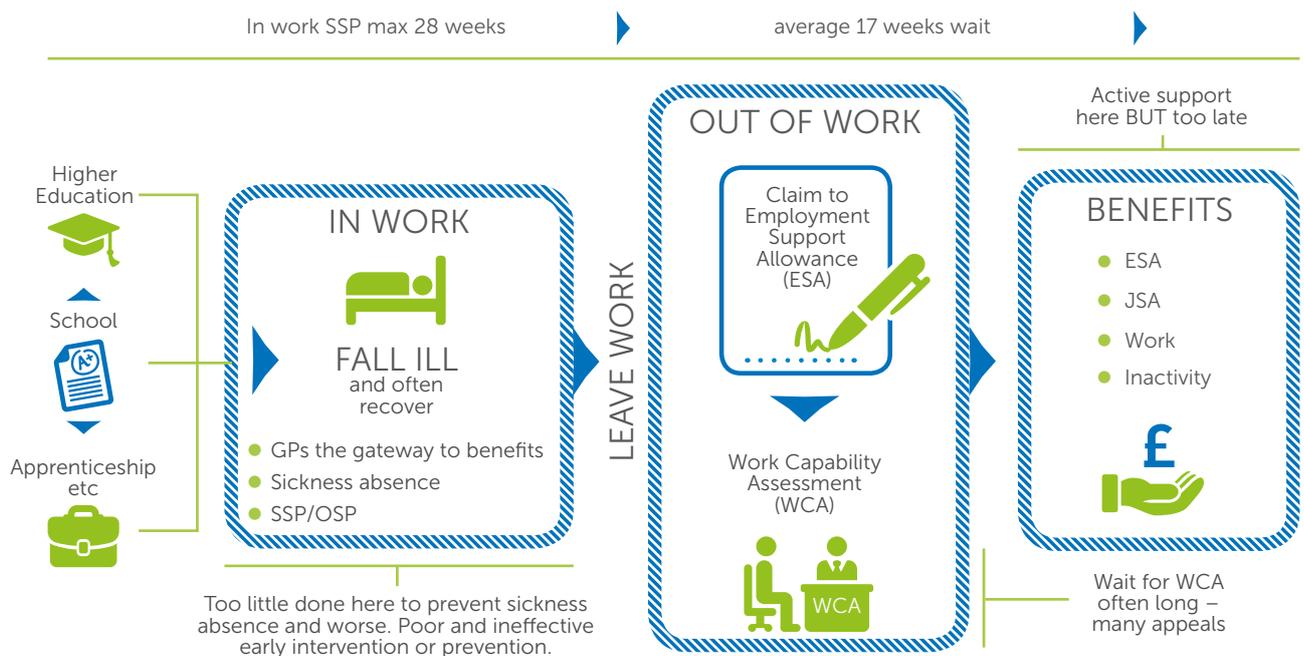


It will be for NECA partners to identify and determine the exact allocation of increased preventive resources to meet the needs of the region. However, the particular challenges faced by the NECA area suggest that increased resource could be divided between early years support, wider determinants of health, sustaining social care while improving integration with health services and lifestyle-based secondary prevention. Smoking prevention should be a key priority. The Fresh North East programme commissioned by all the NECA local authorities has already contributed to the fastest decline in smoking in any region in England over the past decade but smoking continues to be the primary cause of preventable illness and premature death.

A radical increase in preventive investment should have a significant impact on narrowing the health gap between the NECA area and the country as a whole and mitigating the increase in demands on health and care services in the medium to long-run. However, without good jobs and meaningful activity such as volunteering, preventive spend will not be enough to overcome the NECA area's wellbeing challenges. Meaningful work or other activity is one of the most important determinants of health but the North East currently has the highest unemployment rate of all UK regions. This acts as a significant barrier to economic growth through wasted labour force capacity. It is also a significant public health issue, due to the negative health impacts of unemployment. The Commission believes greater action to help people stay in work and return to work after sickness is essential. This work should complement NECA's existing work on Employment, Skills and Inclusion, with its focus on supporting those hardest to help and furthest from the labour market.

Recommendation 4: NECA partners should develop a programme of primary care training to support primary care staff in helping people access the best support to enable them to get back to work as quickly as possible.

Too few drivers in the journey keeping people in work.



Mental health is a particularly significant barrier to work in the NECA area, with over half of those claiming Employment and Support Allowance doing so due to a mental health condition.

Recommendation 5: The Commission recommends addressing mental health at three levels:

- i. improve the leadership and skills of managers at all levels within NHS and local authority organisations to create a supportive environment that enables employees to be proactive in protecting their own wellbeing;
- ii. commissioners of IAPT services should work with their service providers to ensure employment support is included as part of the Improving Access to Psychological Therapies (IAPT) offer on a sustainable basis, to support those individuals who require this service to avoid sickness absence or to return to work as quickly as possible;
- iii. NHS commissioners and providers should work with the NECA Employment, Skills and Inclusion workstreams to develop an integrated employment and health service.

Alongside the health and care system, employers have a key role to play in maintaining and improving the health and wellbeing of their workforce and supporting those with health conditions to remain in the workforce.

Recommendation 6: The Better Health at Work Award (BHAWA) scheme should be the preferred approach for employers to adopt to improve workplace wellbeing. NECA partners should set a target for the proportion of the workforce working for employers involved in the award scheme, and monitor progress towards this target.

Increasing employment and ensuring employment opportunities are high quality and offer the opportunity to progress is vital to health and wellbeing. NECA's Strategic Economic Plan sets a high level objective of achieving more and better jobs for the region.

Recommendation 7: The refreshed Strategic Economic Plan and NECA's employment and skills programme should continue to address the importance of in-work progression and job quality.

Achieving the Commission's vision of a radical shift in funding to prevention will require strong and visionary leadership from across the health and care system and the courage to make difficult decisions in order to protect the prize of long-term health improvement that this funding will enable. Ensuring prevention investment is focussed in areas where it will have greatest impact will require leaders to take on shared responsibility for outcomes, putting aside organisational boundaries and interests to lead a cultural change to the health and care system.

Recommendation 8: Leaders within organisations will need to look beyond the interests of their own organisations to drive improvement in wellbeing outcomes across NECA, leading a cultural change to a health and care system in which each health and care £ is used most effectively to support wellbeing, independent of the source of the funding.

Partners across NECA have already demonstrated the benefits of such a collaborative approach through the highly successful Fresh North East smoking cessation programme, which has contributed to the fastest decline in smoking of any region in England over the past decade. The region's ambitious and challenging target of reducing smoking prevalence to 5% by 2025 provides a further opportunity to bring partners together for a system-wide approach to meeting a shared goal.

Recommendation 9: Governance should be established at NECA level to drive forward implementation of these recommendations, bringing together local authorities, Clinical Commissioning Groups (CCGs), NHS Foundation Trusts (FTs) and the voluntary sector to progress the health and wellbeing agenda through shared accountability and a focus on implementation and delivery.

It is essential that this new system integrates with the current STP governance arrangements. The arrangements should enable agreement and oversight of a core set of North East outcomes, including the target proposed above for preventive spend, and oversight and allocation of the preventive investment fund. They should not require a 'one size fits all' approach across the NECA area; on some issues a NECA-wide approach will be most effective, while on others it will be appropriate for local health and care partners to have the flexibility to determine how best to meet the agreed outcomes.

As well as funding, the region's assets will also need to be aligned with this new approach. There must be a commitment to develop a shared approach to use of the region's key assets, including the workforce, the estate and information assets; and community and voluntary sector assets.

To enable the transition to a more integrated system in which resource is focussed where it can have greatest impact, the Commission has one final recommendation.

Recommendation 10: The NECA area should align financial payment systems and incentives with the overall objectives of the health and care system to improve health and wellbeing and reduce health inequalities.

The action called for needs to be delivered by every part of the system. This report sets out a clear agenda for shifting the priority from response to prevention across the health and social care system and wider determinants of health. It calls for a much greater focus on supporting people with health conditions to secure and remain in employment, contributing to their own and the region's prosperity and hence to the wellbeing of future generations. And it challenges leaders to be bold, working in new ways to break down organisational barriers and work for the wellbeing of the people of the NECA area. As such, a commitment needs to be given by all parts of the system to design the mechanisms that will deliver the new model and improvements in outcomes rather than being constrained by the levers and processes that are currently in place.

The prize is great: closing the gap in healthy life expectancy with the nation as a whole over the next decade would lead to 400,000 additional years of active healthy life for the people of the NECA area. The Commission hopes that local and national leaders will study this report carefully and work together to enact its recommendations.

Health and Social Care Integration Commission members



Duncan Selbie

Commission Chair and Chief
Executive of Public Health England



Dr Amit Bhargava

Chief Clinical Officer for NHS Crawley
Clinical Commissioning Group and Executive
Board member of NHS Alliance



Professor Dame Carol Black

Expert advisor on health and work to
the Department of Health and Principal,
Newnham College Cambridge



Rob Whiteman

Chief Executive of the Chartered Institute
of Public Finance and Accountancy



Tom Wright

Chief Executive of Age UK and chair
of the Richmond Group of leading
health charities

Ex-officio members

Steven Mason

Chief Executive of Northumberland County Council
and NECA lead on the Commission

Nicola Bailey

Director for NHS North Durham Clinical Commissioning Group and NHS Durham Dales, Easington
and Sedgefield Clinical Commissioning Group and CCG lead for the Commission

Tim Rideout

Director of Commissioning Operations – Cumbria and the North East – NHS England
Director of Improvement and Delivery – Cumbria and the North East – NHS Improvement

William Vineall

Director of Acute Quality and Care Policy
at the Department of Health

This report can be made available in
alternative formats and languages on request.

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North East Combined Authority

Overview and Scrutiny Committee

Date: 28th March 2017

Subject: Policy Review: Transport related barriers to education, employment and training

Report of: Monitoring Officer

Executive Summary

The purpose of this report is to consider the response from the Leadership Board to the conclusions of a policy review on transport related barriers to education, employment and training.

Recommendations

It is recommended that the Committee receives and considers a formal response from the Leadership Board on the policy review recommendations and notes the action to be taken on the review proposals.

North East Combined Authority

Overview and Scrutiny Committee

1. Introduction

- 1.1 The policy review focussed on one central aspect: transport and the provision of access to employment, training and education. The more efficient this access, the greater the economic benefits.
- 1.2 The conclusions are intended to contribute to the Transport Plan for the North East and to focus on how to support delivery of key transport-related priorities for the NECA area.

2. Background

- 2.1 The Scrutiny Committee took written and oral evidence over an 18 month period. To ensure that a wide range of interested parties could submit evidence to the review, a Call for Evidence was issued inviting stakeholders to submit written evidence to the Scrutiny Committee.
- 2.2 The draft final report was considered by the Scrutiny Committee at a meeting on 14th December 2016. The Committee then referred the draft report to the Transport North East Committee for comment prior to further consideration and endorsement.

3. Next Steps

- 3.1 The evidence and conclusions from the policy review were submitted to the Transport North East Committee (TNEC) for advice and comment at a meeting on 9th February 2017. TNEC supported the policy review.
- 3.2 The report was submitted formally to the Leadership Board on 21st March 2017. The formal response from the Leadership Board will be submitted to the Committee as a supplementary paper.
- 3.3 In relation to the report's conclusions concerning young people's travel, the Committee agreed that the review will feed into the TNEC 'Task and Finish' group which is exploring the ticketing issues faced by young people. The Vice-Chair of the Scrutiny Committee was nominated to represent the Committee on the task group.

4. Recommendations

- 4.1 It is recommended that the Scrutiny Committee receives the formal response from the Leadership Board.

5. Potential Impact on Objectives

North East Combined Authority

Overview and Scrutiny Committee

- 5.1 Reducing transport-related barriers to employment will assist the North East Combined Authority in delivering its objective to maximise the area's opportunities and potential.

6. Finance and Other Resources

There are no direct finance implications arising from this report.

7. Legal

There are no direct legal implications arising from this report.

8. Other Considerations

8.1 Consultation/Community Engagement

Consultation with a range of stakeholders has been carried out as part of this policy review.

8.2 Human Rights

There are no human rights implications identified at this stage.

8.3 Equalities and Diversity

Measures to overcome transport-related barriers to employment would, if implemented, assist the Combined Authority in promoting greater equalities and diversity in the region's transport system.

8.4 Risk Management

There are no specific risk management implications arising from this report.

8.5 Crime and Disorder

There are no specific crime and disorder implications arising from this report.

8.6 Environment and Sustainability

Measures to improve public transport, walking and cycling provision would, if implemented, assist the Combined Authority in achieving a more sustainable transport system for the region.

9. Background Documents

- 9.1 Health and Wealth - Closing the Gap in the North East: Report of the North East Commission for Health and Social Care Integration (2016)

North East Combined Authority

Overview and Scrutiny Committee

10. Links to the Local Transport Plans

10.1 This report links to the forthcoming Transport Plan for the North East.

11. Appendices

11.1 None

12. Contact Officers

12.1 Karen Brown, Scrutiny Officer
karen.brown@sunderland.gov.uk 0191 561 1004

13. Sign off

- Head of Paid Service ✓
- Monitoring Officer ✓
- Chief Finance Officer ✓

North East Combined Authority

Overview and Scrutiny Committee

Date: 28th March 2017

Subject: Forward Plan & Scrutiny Work Programme

Report of: Monitoring Officer

Executive summary

The purpose of this report is to provide Members with an opportunity to consider the items on the Forward Plan for the current 28 day period and the revised and updated Scrutiny Annual Work Programme for 2016/17.

Recommendations

It is recommended that the Overview and Scrutiny Committee considers the Forward Plan and the updated Work Programme for 2016/17.

North East Combined Authority

Overview and Scrutiny Committee

1. Background Information

- 1.1 The Forward Plan is a document which lists the decisions that the North East Combined Authority committees intend to take in the coming months. The Forward Plan contains specific information relating to each decision, including the date the decision will be made, a brief explanation of the topic, the consultation to be undertaken, and contact details of the author.
- 1.2 Details of each decision are usually included on the Forward Plan 28 days before the report is considered and any decision is taken.

2. Role of Overview and Scrutiny

- 2.1 One of the main functions of this Committee is the review and scrutiny of decisions made by the North East Leadership Board (NELB), the Transport North East Committee (TNEC), Transport North East (Tyne and Wear) Sub-Committee (TWSC) and Nexus. Durham County Council (DCC) and Northumberland County Council (NCC) are also subject to overview and scrutiny in relation to transport functions delegated to them, as is the North East Local Enterprise Partnership (NELEP) to the extent of the NECA's role as its accountable body. One of the ways this can be achieved is by considering the forthcoming decisions of those various decision making bodies
- 2.2 In considering items in the Forward Plan, the Scrutiny Committee should determine whether scrutiny can add value in relation to the decision being made.
- 2.3 To this end, the current Forward Plan is attached marked Appendix 1.

3. Annual Work Programme

- 3.1 The work programme has been compiled to allow the Scrutiny Committee to have an overview of all performance, decision-taking and developments within the NECA, as well as being focused and flexible to allow for new issues and recognising the capacity of the scrutiny committee to respond in a timely way to emerging developments throughout the year.
- 3.2 The NECA Scrutiny Committee obtains work programme items from the following sources:

North East Combined Authority

Overview and Scrutiny Committee

- a) Items submitted by Members of the Committee (and including items referred by other members of the combined authority)
- b) The Budget and Policy Framework
- c) The Forward Plan
- d) The three Thematic Leads
- e) Evidence for any policy review work

3.3 The revised and updated Annual Work Programme is attached as Appendix 2.

4. Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016

4.1 The Scrutiny Committee considered in detail the implications arising from the Order and endorsed its proposals at a meeting on 14th February 2017. The Leadership Board considered the implications of the Order and the report submitted by the Scrutiny Committee at its meeting on 21st March 2017 (see attached Leadership Board report Appendix 3). Due to the timing of the meeting, it will be necessary to report the views of the Leadership Board verbally to the Scrutiny Committee.

4.2 The Scrutiny Committee held an informal meeting on 10th March 2017 to discuss NECA Governance arrangements and how the revised scrutiny function would align to the future decision making arrangements within NECA and wider governance. A summary of the discussion points from the meeting are attached to this report as Appendix 4.

5. Next Steps

5.1 In considering the Forward Plan, Members are asked to consider those issues where the Scrutiny Committee could make a contribution and add value.

5.2 If the Scrutiny Committee determines to review or scrutinise a decision notified in the Forward Plan, a meeting of the Committee will be arranged to allow scrutiny members to carry out their role in a timely way.

5.3 The work programme will be refreshed and updated at each meeting of the scrutiny committee throughout the year and consultation will begin shortly on the annual Work Programme for 2017/18.

6. Potential Impact on Objectives

6.1 Development of a work programme and review and scrutiny of decisions in the Forward Plan will contribute towards the development and implementation of the policy framework of the NECA, Nexus and NELEP as well as providing appropriate challenge to decisions taken.

7. Finance and Other Resources

North East Combined Authority

Overview and Scrutiny Committee

7.1 No financial or other resource implications are identified at this stage. The financial impact of any proposals or recommendations should be taken into account and any significant implications should be reflected in any considerations and comments made by the Scrutiny Committee.

8. Legal

8.1 There are no specific legal implications arising from these recommendations.

9. Other Considerations

9.1 Consultation/Community Engagement

Not applicable

9.2 Human Rights

There are no specific human rights implications arising from this report.

9.3 Equalities and Diversity

Not applicable

9.4 Risk Management

Not applicable

9.5 Crime and Disorder

Not applicable

9.6 Environment and Sustainability

Not applicable

10. Background Documents

10.1 None

11. Links to the Local Transport Plans

11.1 None

12. Appendices

- Forward Plan - Appendix 1
- Work Programme - Appendix 2

North East Combined Authority

Overview and Scrutiny Committee

- Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016 - Leadership Board report 21st March – Appendix 3
- Notes of an informal scrutiny meeting 10th March – Appendix 4

13. Contact Officers

13.1 Karen Brown, Scrutiny Officer, karen.brown@sunderland.gov.uk

Sign off

- Head of Paid Service ✓
- Monitoring Officer ✓
- Chief Finance Officer ✓

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Forward Plan of Decisions

Published 17 March 2017 *

The Forward Plan for the North East Combined Authority (NECA) is prepared and published by the Monitoring Officer for the purpose of giving the 28 days' notice of decisions that are planned to be taken by the NECA, its committees or a Chief Officer, which impact on the key areas of the NECA, namely Transport, Economic Development, Regeneration, Skills and Inclusion.

Unless otherwise indicated, if you require any further information or wish to make representations about any of the matters contained in the Forward Plan, please contact the appropriate officer as detailed against each entry at least 7 days before the meeting.

***The most recent entries are referred to as "NEW". Updated entries are referred to as "Updated".**

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
A. North East Leadership Board (Leadership Board)							
LB 5 (a)	21 March 2017 (Standing Item)	Leadership Board	Update reports on the following thematic lead areas: a) Economic Development and Regeneration; b) Employability and Inclusion; and c) Transport (and Digital Connectivity)	All	a) EDR: NECA Elected Members and officers; NELEP Members and officers b) To be confirmed c) To be confirmed	a) EDR: North East Strategic Economic Plan – More and Better Jobs b) Held by the Contact Officer c) Held by the Contact Officer	a) Sara Dunlop Business, Employment and Skills Manager 0191 424 6257 sara.dunlop@southtyneside.gov.uk b) Janice Rose Economic and Inclusion Policy Manager 01670 624747 Janice.rose@northumberland.gov.uk c) Tobyn Hughes Managing Director (Transport Operations) Tobyn.hughes@nexus.org.uk

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
							(0191) 2033246
LB 5 (b)	21 March 2017 (Standing Item)	Leadership Board	<p>Project Approvals</p> <ul style="list-style-type: none"> • Go Ultra Low vehicle project - the Leadership Board is asked to note the progress of the project and approve delegated authority to the Head of Paid Services to enter into a funding agreement. • South Shields Transport Hub – the Leadership Board is recommended to agree to further extend the ‘Stage 1’ Grant Funding Agreement for an additional £900k LGF grant (hence totalling £3.4m) for further development and enabling works and in accordance with 	Transport	Any, where necessary.	Held by the Contact Officer	<p>Paul Woods Chief Finance Officer 07446936840 paul.woods@north-eastca.gov.uk</p>

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			<p>specific conditions as set out in the report.</p> <ul style="list-style-type: none"> • Combined Northern Access Corridor Phase 2 & 3 – the Leadership Board is asked to agree to the issuing of a full Grant Funding Agreement of £4.204m to deliver the project, which will now be treat as one project, and in accordance with specific conditions as set out in the report. 				
LB 5 (c)	21 March 2017	Leadership Board	<p>Health and Wealth – Closing the Gap in the North East.</p> <p>Report of the North East Commission for Health and Social Care Integration.</p> <p>The Leadership Board is asked to receive and agree the</p>	Corporate matter	Members of the NECA Leadership Board have received a range of both formal and informal updates in relation to the work of the Commission. In	Terms of Reference for the Joint NECA/NHS Commission Health and Social Care Health and Wealth – Closing the Gap in the	<p>Helen Golightly Interim Head of Paid Service 0191 338 7420 07900 226078 helen.golightly@nel.ep.co.uk</p>

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			recommendations within the report		developing this report, the Commission has worked closely with local health and care stakeholders, seeking views from across the region, in addition an event was organised for the voluntary, community and social enterprise sector (VCSE). The feedback received from these conversations, and common themes that emerged from this work have influenced the conclusions of the Commission. All	North East. Report of the North East Commission for Health and Social Care Integration.	

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
					statutory bodies have been consulted on the contents of the Commission's Report		
LB 5 (d)	21 March 2017	Leadership Board	<p>Policy Review: Transport Related Barriers to Education, Employment and Training</p> <p>The Leadership Board is asked to consider the recommendations proposed by the Scrutiny Committee following a review of policy.</p>	Transport	To be confirmed	Held by the Contact Officer	<p>Karen Brown Scrutiny Officer 0191 561 1004 Karen.brown@sunderland.gov.uk</p>
LB 5 (e)	21 March 2017	Leadership Board	<p>Changes to Overview and Scrutiny and Governance Committees</p> <p>The Leadership Board is asked to agree the changes to the Overview and Scrutiny Committee and</p>	Corporate matter	Informal Leadership Briefing, Overview and Scrutiny Committee and Governance Committee	Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees)	<p>Vivienne Geary Interim Monitoring Officer 0191 643 5339 viv.geary@northtyneside.gov.uk</p>

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			Governance Committee following the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016			Order 2016	
LB 5 (f)	21 March 2017	Leadership Board	<p>Sustainable Urban Development (SUD) Update and Options for Next Steps</p> <p>This report considers the options to progress the Intermediary Body status for Sustainable Urban Development (SUD IB) in the North East LEP area, which is part funded through ERDF. It details the challenges and opportunities SUD IB can bring to the area for consideration. The Leadership Board is asked to consider the</p>	Economic Development and Regeneration	Economic Directors and Chief Executives	The North East LEP area Sustainable Urban Development Strategy – draft (available on request)	<p>Heather Heward Programme Manager, North East LEP 0191 338 7433 Heather.heward@nlep.co.uk</p>

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			viability of the options presented in the report and agree the best course of action to progress SUD.				
LB 5 (g)	21 March 2017	Leadership Board	Appointment of Monitoring Officer The Leadership Board will be asked to appoint a new Monitoring Officer for the North East Combined Authority. This is a statutory role and requires the approval of the Leadership Board.	Corporate	To be confirmed	NECA Constitution	Helen Golightly Interim Head of Paid Service 0191 338 7420 07900 226078 helen.golightly@nel.ep.co.uk
LB 6 (a)	20 June 2017 - Annual Meeting	Leadership Board	Membership of the Leadership Board The purpose of this report is to invite the Leadership Board to: Confirm its membership for the municipal year 2017/18; Appoint its	Corporate issue	The consultation process will involve all constituent local authorities and partner organisations	The North East Combined Authority Constitution	Vivienne Geary Interim Monitoring Officer 0191 643 5339 viv.geary@northtyneside.gov.uk Victoria Miller

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			Chair and Vice-Chairs for the municipal year 2017/18; Re-appoint the Thematic Leads for the municipal year 2017/18; and Appoint two representatives from the North East Local Enterprise Partnership (LEP) to the Leadership Board as a non-voting Member and a Substitute Member for the municipal year 2017/18.				Democratic Services Officer victoria.miller@northeastca.gov.uk 0191 211 5118
LB 6 (b)	20 June 2017 - Annual Meeting	Leadership Board	Appointment of Committees, Agreement of Membership and Appointment of Chairs and Vice-Chairs This report seeks agreement to the continued establishment of the committees of the North East Combined	Corporate Issue	The consultation process will involve all constituent local authorities and partner organisations	The North East Combined Authority Constitution	Vivienne Geary Interim Monitoring Officer 0191 643 5339 viv.geary@northtyneside.gov.uk Victoria Miller Democratic Services Officer

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			Authority (NECA) and appointment of Members, Chairs and Vice-Chairs.				victoria.miller@northeastca.gov.uk 0191 211 5118
LB 6 (c)	20 June 2017 - Annual Meeting	Leadership Board	<p>Programme of Meetings</p> <p>The purpose of this report is to invite Members to agree the programme of meetings for the municipal year 2017/18.</p>	Corporate Issue	The consultation process will involve all constituent local authorities and partner organisations	The North East Combined Authority Constitution	<p>Vivienne Geary Interim Monitoring Officer 0191 643 5339 viv.geary@northtyneside.gov.uk</p> <p>Victoria Miller Democratic Services Officer victoria.miller@north-eastca.gov.uk 0191 211 5118</p>
B. Transport North East Committee (TNEC)							
TN 2 (a)	20 April 2017	TNEC	Discharge of Transport Functions by Durham County Council.	Transport	The report refers to the discharge of delegated	The North East Combined Authority Constitution	Adrian J White

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
	(Annual report)		The report provides an update on the discharge of delegated functions at Durham County Council.		functions by officers in Durham County Council in consultation with the relevant cabinet portfolio holder.	The North East Combined Authority Deed of Operation dated the 29 th April 2014.	Head of Transport and Contract Services 03000 267455 adrian.white@durham.gov.uk
TN 2 (b)	20 April 2017 (Annual report)	TNEC	Discharge of Transport Functions by Northumberland County Council. The report provides an update on the discharge of delegated functions at Northumberland County Council.	Transport	To be confirmed	Held by the Contact Officer	Stuart McNaughton Principal Transport Policy Officer 01670 624 104 stuart.mcnaughton@northumberland.gov.uk
TN 2 (c)	20 April 2017 (Standing Item)	TNEC	Transport for the North This standing item is intended to provide a regular update on the programme to improve the transport network	Transport	As required	The Northern Transport Strategy Spring 2016 report published at:	Tobyn Hughes Managing Director (Transport Operations)

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			in Northern England and thereby promote economic growth			http://www.transportforthenorth.com/pdfs/The-Northern-Transport-Strategy-Spring-2016-Report.PDF	Tobyn.hughes@nexus.org.uk (0191) 2033246
TN 2 (d)	20 April 2017 (Standing Item)	TNEC	Transport Plan for the North East This standing item provides a regular update on progress in developing the NECA's Transport Plan	Transport	Wide public consultation will take place on the Transport Plan, in line with statutory guidance.	"Our Journey" – the NECA Transport Manifesto published at http://www.northeastca.gov.uk/sites/default/files/file_attachments/NECA%20Transport%20Manifesto_1.pdf	Tobyn Hughes Managing Director (Transport Operations) Tobyn.hughes@nexus.org.uk (0191) 2033246
TN 2 (e)	20 April 2017 (Standing Item)	TNEC	Capital Programme Monitoring Report This standing item provides the Transport North East Committee with a progress update	Corporate issue	Consultation on the capital programme with Treasurers and Chief Executives, and capital	NECA Budget and Capital Programme	Eleanor Goodman Principal Accountant 0191 277 7518 eleanor.goodman@

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			in relation to delivery of the transport related capital programme. This is a requirement of the NECA constitution and is a function delegated to TNEC.		programme agreed in April 2016.		newcastle.gov.uk
TN 2 (f)	20 April 2017 (Standing Item)	TNEC	Revenue Budget Monitoring Report This standing item provides the Transport North East Committee with a progress update in relation to how the transport related budgets for the delivery agencies are being managed. This is a requirement of the NECA constitution and is a function delegated to TNEC.	Corporate issue	Consultation on the budget with Treasurers and Chief Executives, and budget agreed by Leadership Board.	NECA Budget and Capital Programme	Eleanor Goodman Principal Accountant 0191 277 7518 eleanor.goodman@newcastle.gov.uk
TN 2 (g)	20 April 2017	TNEC	Future of the Go Smarter programme in the NECA area.	Transport	Stakeholders in the Go Smarter programme have been	None	George Mansbridge

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			Following the government's decision on the NECA's Access Fund bid, this report will outline the anticipated consequences for future delivery of the Go Smarter programme		informed of the decision and consultation is taking place about the consequences for future delivery of Go Smarter activities.		Chair of Go Smarter Programme Board George.Mansbridge@southtyneside.gov.uk 0191 4247566
TN 2 (h)	20 April 2017	TNEC	Key Route Network The purpose of this report is to explain why a Key Route Network is desirable.	Transport	The forthcoming Transport Plan for the North East, on which there will be a full public consultation, will include details of the Key Route Network	None	Tobyn Hughes Managing Director (Transport Operations) Tobyn.hughes@nexus.org.uk (0191) 2033246
TN 2 (i)	20 April 2017	TNEC	High Speed 2 This report will explain (i) the Government's intentions for High Speed 2 including a link to the East Coast Main Line and (ii) the	Transport	None	High Speed Two: From Crewe to Manchester, the West Midlands to	Tobyn Hughes Managing Director (Transport Operations) Tobyn.hughes@nexus.org.uk

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			expected benefits for industry in the North East			Leeds and beyond Search underway for company to build HS2 trains in £2.75 billion government rail investment Full speed ahead as HS2 gets Royal Assent	(0191) 2033246
TN 2 (j)	20 April 2017	TNEC	<p>Presentation from Network Rail</p> <p>Members will receive a presentation covering Network Rail's submission for funding (2019-2024), the outcomes of the East Coast Route Study and updates on projects within the North East.</p>	Transport	None	None	<p>Tobyn Hughes Managing Director (Transport Operations)</p> <p>Tobyn.hughes@nexus.org.uk</p> <p>(0191) 2033246</p>

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
TN 2 (k)	20 April 2017	TNEC	<p>Office of Rail and Road (ORR) – financial framework consultation</p> <p>This report will provide an overview of the most relevant parts of the ORR latest consultation regarding the financial framework proposals for the next round of rail industry funding. Although the deadline for responses to the ORR is the 13th April, the report is to be presented to TNEC members for information.</p>	Transport	None	http://orr.gov.uk/consultations/open-consultations/consultation-on-the-financial-framework-for-pr18	<p>Tobyn Hughes Managing Director (Transport Operations)</p> <p>Tobyn.hughes@nexus.org.uk (0191) 2033246</p>
TN 3 (a)	July 2017	TNEC	<p>Air Quality issues in the NECA area</p> <p>This report will outline the current national guidance in respect of air quality, issues relating to air quality in the NECA area and</p>	Transport	None	Updated national guidance relating to air quality is expected to be released in April	<p>Tobyn Hughes Managing Director (Transport Operations)</p> <p>Tobyn.hughes@nexus.org.uk (0191) 2033246</p>

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			actions being taken to secure improvements.				
C. Transport North East (Tyne and Wear) Sub-Committee (TW)							
TW 4 (a)	20 April 2017 (Standing Item)	TWSC	<p>Tyne Tunnel Update (confidential report)</p> <p>The report will provide an update for Members on the operation and management of the Tyne Tunnel</p> <p>The report will be exempt from the publication by virtue of paragraphs 3 and 5 of Part 1 of Schedule 12A of The Local Government Act 1972</p>	Transport	To be confirmed	Held by the Contact Officer	<p>Alastair Swan Principal Engineer 0191 211 5931 alastair.swan@newcastle.gov.uk</p>
TW 4 (b)	20 April 2016 (Standing Item)	TWSC	<p>Monitoring Nexus' Performance and Metro Performance Update</p> <p>The purpose of these reports is to advise</p>	Transport	To be confirmed	Held by the Contact Officer	<p>Tobyn Hughes Managing Director (Transport Operations) 0191 203 3246</p>

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			<p>TWSC of Nexus corporate performance in respect of service and project delivery such that the Sub-Committee exercises the monitoring and oversight functions in respect of Nexus activities delegated to it from the NECA Leadership Board.</p> <p>The report also reports on the measures in place to improve Metro performance.</p>				tobyn.hughes@nexus.org.uk
TW 4 (c)	20 April 2017 (Standing Item)	TWSC	<p>Update on NEXUS Corporate Risks 2017/18</p> <p>The purpose of this report is to provide an update to TWSC of the strategic risks identified by Nexus for the year.</p>	Transport	The report has been prepared through Nexus internal reporting arrangements.	Held by the Contact Officer	<p>Tobyn Hughes Managing Director (Transport Operations) 0191 203 3246 tobyn.hughes@nexus.org.uk</p>
D. Governance Committee							

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
G 2 (a)	4 April 2017	Governance Committee	Accounting Policies Members will be asked to review the Accounting Policies and approve their use in the preparation of the Statement of Accounts.	Corporate issue	As required	Held by the Contact Officer	Eleanor Goodman Principal Accountant 0191 277 7518 eleanor.goodman@northeastca.gov.uk
G 2 (b)	4 April 2017	Governance Committee	Internal Audit Progress Report The purpose of this report is to provide <ul style="list-style-type: none"> • A summary of outcomes from the delivery of the 2016/17 internal audit plan • Information on the implementation of audit recommendations • A draft 2017/18 internal audit plan. 	Corporate issue	Head of Paid Service, Monitoring Officer and Chief Finance Officer	Final Internal Audit Reports & Internal Audit Plan	Philip Slater Audit, Risk and Insurance Service Manager 0191 2116511 Philip.slater@newcastle.gov.uk

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
G 2 (c)	4 April 2017	Governance Committee	Strategic Risks and Opportunities Register The purpose of this report is to provide an update on the strategic risks and opportunities for the Combined Authority.	Corporate issue	Head of Paid Service, Monitoring Officer and Chief Finance Officer	Risk Management Strategy	Philip Slater Audit, Risk and Insurance Service Manager 0191 2116511 Philip.slater@newcastle.gov.uk
G 2 (d)	4 April 2017	Governance Committee	External Audit Progress Update This report provides an update for information on the work of Mazars, the External Auditors to the Combined Authority.	Corporate issue	Consultation with statutory officers and Chair of Governance Committee	None	Eleanor Goodman Principal Accountant 0191 277 7518 eleanor.goodman@northeastca.gov.uk
G 2 (e) NEW	4 April 2017	Governance Committee	Financial Update 2016/17 This is an information report where the Chief Finance Officer will provide an update on key financial activities and decisions taken since the last meeting.	Corporate issue	Consultation with statutory officers and Chair of Governance Committee	None	Eleanor Goodman Principal Accountant 0191 277 7518 eleanor.goodman@northeastca.gov.uk

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
G 2 (f) NEW	4 April 2017	Governance Committee	North East LEP Loans and Grants This is an information report providing an update and information on the NELEP's loans and grants which will be part of the NECA accounts for 2016/17.	Corporate issue	Consultation with statutory officers and Chair of Governance Committee	None	Eleanor Goodman Principal Accountant 0191 277 7518 eleanor.goodman@northeastca.gov.uk
E. Governance Sub-Committee							
There are no meetings currently scheduled.							
F. Overview and Scrutiny Committee (O and S)							
OS 4 (a)	28 March 2017 (Standing Item)	O and S	Forward Plan and Work Programme To receive the latest version of the Forward Plan and annual work programme	Corporate matter	Local Government Scrutiny	Scrutiny Committee Agenda February 2017	Karen Brown Scrutiny Officer 0191 561 1004 karen.brown@sunderland.gov.uk

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
OS 4 (b)	28 March 2017	O and S	Employability and Inclusion Thematic Lead Update To receive a progress report on activity under the Employability and Skills Theme	Employability and Inclusion	Local Government Scrutiny	Leadership Board Thematic Progress Report	Karen Brown Scrutiny Officer 0191 561 1004 karen.brown@sunderland.gov.uk
OS 4 (c)	28 March 2017	O and S	Health and Wealth – Closing the Gap in the North East To consider the Report of the North East Commission for Health and Social Care Integration and review the recommendations within the report.	Employability and Inclusion	Local Government Scrutiny	Health and Social Care Report	Karen Brown Scrutiny Officer 0191 561 1004 karen.brown@sunderland.gov.uk
OS 4 (d)	28 March 2017	O and S	Policy Review - Transport related barriers to education, employment and training Members are asked to receive the formal response from the	Transport	Service Providers, Service Users and Decision Makers	Evidence submitted to the Scrutiny Committee	Karen Brown Scrutiny Officer 0191 561 1004 karen.brown@sunderland.gov.uk

Reference Number	Date of Decision	Decision Maker	Topic	Thematic area	Consultees /Consultation Process	Background Documents	Contact Officer
			Leadership Board on the proposals set out in the policy review.				
G. Economic Development and Regeneration Advisory Board (EDRAB)							
ED 3 (a)	4 April 2017	EDRAB	<p>Economic Development and Regeneration – Progress Update</p> <p>Members are requested to receive an update on, and provide views in relation to, progress within the key areas of the Economic Development and Regeneration theme. The update will include progress on the development of the regional Inward Investment function and Regional Investment Plan.</p>	Economic Development and Regeneration	NECA Elected Members and officers; and NELEP Members and officers	North East Strategic Economic Plan - More and Better Jobs	<p>Sara Dunlop Business, Employment and Skills Manager 0191 424 6257 sara.dunlop@southtyneside.gov.uk</p>

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Work Programme 2016/17

Date	Items	Lead Officer	Informal Briefings / Development Days
7 th July (Durham)	Appointment of Chair & Vice-Chair	Viv Geary	
	The Devolution Agreement , Governance Review & Scheme for the proposed Mayoral Authority	Adam Wilkinson	
	Forward Plan & Work Programme	Karen Brown	
27 th September (Sunderland)	Appointment of Chair & Vice-Chair	Viv Geary	
	NELEP Strategic Economic Plan (SEP) Progress Review 2014-16	Helen Golightly	
	Policy Review on Transport Barriers – evidence from Arriva	Paul de Santis	
	Draft Budget 2017/18 & Transport Levies	Paul Woods	
	Devolution Update	Viv Geary	
	Forward Plan & Work Programme	Karen Brown	
1 st November (South Tyneside)	Appointment of Chair & Vice-Chair	Viv Geary	
	Monitoring Nexus Performance	Tobyn Hughes	
	Local Growth Fund Programme	Ray Browning	
	Forward Plan & Work Programme	KB	
14 th December (Gateshead)	NECA Budget 2017/18	Paul Woods	
	Transport Thematic Lead Update	Councillor Nick Forbes, Lead Member	
	Transport Manifesto and Transport Plan	Ian Coe	
	Policy Review: Transport Barriers Draft Report	KB	
	Forward Plan & Work Programme	KB	
14 th February (Newcastle)	Economic Development & Regeneration Thematic Lead Update	Councillor Iain Malcolm, Lead Member	19/1/17 – Working Group on CA Order 2016
	NELEP Job Creation	Ray Browning	
	Combined Authorities Order 2016	Viv Geary	
	Policy Review: Transport Barriers – feedback from TNEC	KB	
	Forward Plan & Work Programme	KB	
10 th March (Sunderland)	NECA Governance Arrangements Update	Cllr Paul Watson	
28 th March (Sunderland)	Employability and Skills Thematic Lead Update	Cllr Grant Davey, Lead Member	
	Health & Wealth – Closing the Gap in the NE	Helen Golightly	
	Policy Review: Transport Barriers – feedback from Leadership Board	KB	
	Forward Plan & Work Programme	KB	
In addition to the schedule items, the following items will be included in the work programme			
	Transport Plan Consultation		
	Bus Strategy update		
	National Audit Office Case Study report		
	Apprenticeship Levy		
	North East Chamber of Commerce		
	Final Report DCLG Inquiry Overview and Scrutiny		

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North East Combined Authority

Leadership Board

Date: 21st March 2017

Subject: Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016

Report of: Monitoring Officer

Executive Summary

The purpose of this report is to advise members on the requirements of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016. The Order will come into force in May 2017 and relates to both Mayoral Combined Authorities and Non-Mayoral Combined Authorities and so has implications for NECA committees.

Recommendations

It is recommended that the Leadership Board:

- a) Note the implications of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016, and
- b) Consent to the publication of the procedure for Call-in of decisions proposed by the Scrutiny Committee as set out in the report; and
- c) Confirm whether the Chair of the Scrutiny Committee is to be an Independent Person or an Appropriate Person (as described in paragraph 3.16 of the report); and
- d) Agree to the establishment of the role of Vice Chair for Scrutiny Committee and confirm their appointment will be on the same basis as the appointment of the Chair of the Scrutiny Committee; and
- e) Note that the Chair and Vice Chair of Governance Committee are Independent Persons and confirm that the appointment of Independent Persons to fulfil such roles will continue; and
- f) Continue to support the process for member referrals and member involvement in establishing an annual scrutiny work programme as set out in the report; and
- g) Agree the relevant amendments to the Constitution as set out in Appendix 1 adapted to reflect the appointment of either Independent Persons or Appropriate Persons as Chair and Vice Chair of Scrutiny Committee; and
- h) Note the statement provided by the Scrutiny Committee at paragraph 3.20 of the report.

North East Combined Authority

Leadership Board

Background

- 1.1 Changes are required to both the Overview and Scrutiny Committee and the Governance Committee as a result of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016 (The Order) which has been laid before Parliament and will come into force in May 2017 when the first Mayoral Combined Authorities begin to operate. The Order relates to both Mayoral Combined Authorities and Non-Mayoral Combined Authorities and so has implications for NECA.
- 1.2 NECA is required by the Order establishing it in 2014 to have an Overview and Scrutiny Committee (the Committee) but the provisions of this Order will be superseded by the 2016 Order. Although many of the requirements in the Order are already in place in NECA some material changes will be required including:
 - Call in of decisions
 - Overview and Scrutiny Committees (and Audit Committees) reflecting regional political balance
 - The Chair either to be an independent person or to be a member who is not from the majority political party
 - A Scrutiny Officer to be appointed but they must not be employed by a Constituent Authority.
- 1.3 The new Order introduces a far stronger scrutiny role within both Combined Authorities and Mayoral Combined Authorities. The key implications and options for consideration are set out below.

2. Current position

- 2.1 On 29 April 2014 the NECA established the Overview and Scrutiny Committee, as it was obliged to do under the Order establishing NECA. The Committee currently comprises of two Members from each of the Constituent Authorities and therefore has 14 Members. Its quorum is 10 and the membership is based on the political balance that prevails at each of the constituent authorities at the time of the appointment of the Members to the Committee.
- 2.2 The Committee works to an annual work programme and has been active reviewing and scrutinising the decisions of the Leadership Board, the Committees and Sub-Committees of NECA and Nexus and has held inquiries, produced reports and made recommendations.

3. Proposals for local provisions

- 3.1 The Scrutiny Committee met on 14th February 2017 and this report sets out the proposals from the Committee for endorsement by the Leadership Board.

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Composition of the Scrutiny Committee

- 3.2 The NECA area currently consists of seven constituent authorities and therefore, the minimum number of members of the Committee is 14 (with each authority having two members). The majority of members will be constituent local authority councillors. In addition, each local authority has appointed one substitute member.
- 3.3 Councillors are nominated by their constituent authorities in accordance with the political balance requirements and appointment is made by the Leadership Board annually. In addition, the co-option of other members with appropriate or relevant experience may supplement the Committee membership.
- 3.4 The Committee has operated with this composition since 2014 (with the more recent addition of substitute members). In the light of provisions in the Order which strengthen the role of scrutiny, members were asked if they wished to consider if the current composition should be reviewed.
- 3.5 As an alternative to the nomination of two members by each constituent authority, the Committee was asked to consider if it wanted to increase the number of members of the Committee, however the members felt that the current size of the committee was appropriate.
- 3.6 The Committee proposed that a larger committee could be unwieldy and would not necessarily contribute towards achieving a quorum therefore it was proposed to retain the current arrangements for two scrutiny members per local authority (with the existing addition of one substitute member per authority).
- 3.7 It was noted that the quorum would remain the same with at least 2/3 of the total number of members of the Committee being required to be present for the Committee to be quorate, i.e. 10 of 14 members.

Political Balance

- 3.8 Appointments to the Scrutiny Committee currently reflect the political balance applying to each Constituent Authority. The 2016 Order requires that the appointment of members to the Committee (and also to the Governance Committee, see paragraph 4.3 below) must so far as reasonably practicable reflect the political balance prevailing regionally.
- 3.9 The determination of political balance on both the Scrutiny Committee and Governance Committee would require calculating the numbers of seats held by each political party on each council within the Combined Authority area. Seats on the Committee would then be allocated in proportion to the total number of seats held by each political party across the entire area.

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- 3.10 Based on the current number of seats held by each political party within the Combined Authority area, the allocation on a NECA-wide basis would provide 10 of the 14 seats on the Committee to the group with the majority overall.
- 3.11 There will be occasions when a precise mathematical allocation cannot be implemented. On such occasions, the Monitoring Officer will work with the Committee and constituent authorities to agree a satisfactory arrangement in the interests of the NECA as a whole. The objective in those circumstances is to have overall regard to the principles of proportionality
- 3.12 As is currently the case, each member of the Committee will have one vote, and no member will have a casting vote. It will also remain the case that any question to be decided by the Committee will be decided by simple majority vote and a tied vote will mean that the matter is not carried.
- 3.13 The Committee noted the requirements for political balance which would be based on regional proportionality rather than appointment by each constituent authority according to their own political balance. Members commented that the current selection of individual member representatives from each local authority was with each of the Leaders and a regional approach to proportionality would also require a regional selection approach.

Appointment of Chair and Vice-Chair

- 3.14 Currently, the appointment of the Chair is delegated by the Leadership Board to the Committee who appoint the Chair and Vice-Chair.
- 3.15 The 2016 Order will make it necessary for the Chair of the Committee to be either an “independent person” or an “appropriate person”.
- 3.16 An independent person may not be a member or officer of NECA, a Constituent Authority or parish council or have held such a position within the five years of the appointment as Chair neither may they be a relative or close friend of a member or officer. An “appropriate person” is a member who is not in the majority party across the Constituent Authorities.
- 3.17 For the option of an appropriate person, this means that the Chair must not be of the same party that has the majority of members on the Committee, or where two or more parties have the same number of members, any of those parties.
- 3.18 There is no provision in the Order for a Vice-Chair however, for the NECA Scrutiny Committee it is considered prudent to plan for occasions when the Chair may be unavailable and both the Chair and Vice-Chair will be appointed under the preferred option.
- 3.19 The Committee in its deliberations felt that these requirements were more appropriate for a Mayoral Combined Authority and that the Committee, having demonstrated its independence, should not have this requirement imposed

North East Combined Authority

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upon it. The Committee made the following statement at Paragraph 3.20 to be read alongside its proposals for implementing the requirements of the Order:

- 3.20 The Scrutiny Committee has considered the options presented under the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016, including a preference under the requirement to change the charring arrangements and has made recommendations on each requirement.

The Committee wish it to be noted that there was strong opposition to the requirement to change the charring arrangements. The Committee has confidence in the current Chair and objects to being required to choose one of the two options, without a clear benefit to either option.

The Committee felt that these requirements were more appropriate for a Mayoral Combined Authority and that the Scrutiny Committee, having demonstrated its independence, should not have the requirement to change charring arrangements imposed upon it.

The Committee already worked well together, they were efficient as a Committee, and have demonstrated that they were able to act impartially without the need for imposition from Government of either an independent chair or an opposition chair.

The Committee wishes it to be noted that they are endorsing the arrangements under compulsion of the Order and not in agreement with it.

- 3.21 Notwithstanding the position agreed by the Committee, the Committee endorsed the option of an appropriate person to Chair the Committee upon implementation of the regulations. However whether an Appropriate Person or an Independent Person is selected as the Chair and a proposed Vice Chair is a matter for the Leadership to determine.

Co-opted Members

- 3.22 The majority of members of the Committee must be constituent local authority councillors however; additional co-optees can also be sought from non-constituent authorities or as expert co-optees.
- 3.23 Where a member is not from a constituent council they do not have a vote automatically, but can be given one by resolution of the Combined Authority.
- 3.24 The appointment of independent co-opted members provides an opportunity to enhance the experience, knowledge and skills available across the membership. By carefully selecting individuals who complement the councillor members of the Committee, independent co-optees can be used to help the Committee be more effective. Co-opted members may be experienced

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individuals from within the region, such as from NELEP, educational establishments or from other public or private sector bodies depending upon the focus of the work programme.

- 3.25 The co-option of members is a decision for the Leadership Board, based on recommendations from the Committee as appropriate.
- 3.26 The Committee noted the provision for co-opted members and that it was helpful to be able to bring in expertise on specific issues for a short period of time however, this may be more effectively achieved by inviting experts into the meeting (or to a series of meetings if necessary) and that there was no need for those people to be co-opted.

Work Programme and Member Referrals

- 3.27 The current NECA arrangements for the Committee enable any member of the constituent local authorities to be entitled to give notice to the proper officer for an item to be included in the work programme for discussion at a future meeting of the Committee.
- 3.28 The new Order retains this provision for any member of constituent council to refer relevant matters to the Committee. The Combined Authority must make arrangements for such referrals.
- 3.29 The current arrangements and the new regulations require that should the Committee decide not to exercise its powers as set out below, it will notify the member of its decision and the reasons for it.
- 3.30 In addition some issues are excluded from being raised in the Scrutiny Committee, such as matters relating to Policing powers for example, and other issues, particularly local issues, are expected to be more appropriately dealt with at a constituent authority level.
- 3.31 It is for the Committee as a whole to determine the appropriate response when a Member referral is received and the following framework is proposed:-
1. The Committee may determine that the item is not relevant to the functions of the Committee. In these circumstances the Committee can resolve to take no action or may refer the item elsewhere e.g. to another NECA Committee.
 2. If the issue is linked to an existing work programme item then it should be discussed as part of that item.
 3. If the issue is a new item of business within the remit of the Committee, the Committee may:
 - a. Request a response in writing (with copies to all Members of the Committee) or
 - b. Request a presentation to a future meeting, or

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- c. Request a report to a future meeting or
- d. Decide that the issue raised does not merit any response beyond noting the matter or
- e. Decide to express a view or make a recommendation, by resolving accordingly, if the Committee considers it has sufficient information to make a fully informed decision.

Call-in

- 3.32 The 2014 Order did not make provision for Call-in of decisions. The 2016 Order does now make provision for Call-in and Call-in may be sought by members of the Scrutiny Committee.
- 3.33 Whether to accept the Call-in and direct that the decision affected is not implemented until review by the Committee is concluded is a matter for the Scrutiny Committee. In practical terms, it is proposed that this responsibility be exercised by a sub-committee of the Committee for the purposes of efficiency and timeliness.
- 3.34 The Order provides for:-
- a) Any direction from the Committee that a decision is not to be implemented while it is under review by the Committee (Called-in) may have effect for a period not exceeding 14 days. After that period has elapsed a decision may be implemented regardless of an outstanding Call-in
 - b) Where following review of the decision by the Committee a recommendation is made that the decision is reconsidered in the light of the comments of the Committee the decision subject to the Call-in must be reconsidered no later than 10 days after the date on which the recommendations of the Committee were received
- 3.35 The Call-in procedure will relate to all decisions taken by the Leadership Board, decision making by Committees and Joint Committees established by the NECA and decision making delegated to Officers.
- 3.36 All decisions of the NECA will be made in accordance with the following principles:
- a) Proportionality (meaning that the action must be proportionate to the desired outcome)
 - b) Consideration of professional advice from officers.
 - c) Due consultation
 - d) Consideration of the legal and financial implications
 - e) A presumption in favour of openness
 - f) Consideration of available options and outlining reasons for decisions.
 - g) Respect for human rights
 - h) Promoting equality
 - i) Preventing crime and disorder

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- j) Environment and sustainability
- k) Risk management
- l) The purposes of the Constitution

Proposed Procedure for Call-in

- 3.37 When a decision is made, the decision will be published, normally within three working days of being made. Members of the Scrutiny Committee will be sent copies of the records of all such decisions within the same timescale, by the person responsible for publishing the decision. The notice will bear the date on which it is published and will specify that the decision will come into force, and may then be implemented, on the expiry of five working days after the publication of the decision, unless the decision is subject to Call-in.
- 3.38 Any four members of the Scrutiny Committee may request the Call-in of a decision. The request for a Call-in must be submitted to the Monitoring Officer. The request for a Call-in must explain the reasons for the Call-in and why the members consider that the principles of decision-making as set out in the Constitution have not been satisfied. The Monitoring Officer will review the Call-in by confirming to their satisfaction that the procedural requirements have been complied with before the Call-in request can be progressed further.
- 3.39 In order to facilitate a timely outcome to the Call-in request, the Committee will set up a Call-In Sub-Committee in order to proceed with the consideration of the decision within the time periods set out by the Order. The sub-committee will meet as and when required to consider valid requests to Call-in a decision.
- 3.40 The Call-in Sub-Committee will comprise 7 members of the Committee appointed to reflect the political balance of the Committee. If the Chair (and Vice Chair) is to be an Appropriate Person the membership of the sub committee will include the Chair (or Vice-Chair) and one member from each authority not already represented. The sub-committee would not include the members who had sought the Call-in of the decision. If the Chair (and Vice Chair) are Independent Persons the sub committee will comprise the 7 members in addition to either the Chair or Vice Chair as above.
- 3.41 The Monitoring Officer, in consultation with the Chair, will call a meeting of the sub-committee with a period not exceeding 14 days from the date of the direction. The agenda will include a copy of the report, the minute of the decision and the reasons given for the Call-in.
- 3.42 Following consideration of the issues the sub-committee may come to one of two possible conclusions:
- i) That the decision is appropriate and therefore should be implemented without further delay;
 - ii) That the Committee has concerns and considers that the decision should be reviewed by the decision maker for reconsideration (When

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referring the decision back the sub-committee shall set out its concerns in writing for the decision maker to take account on their reconsideration).

Call-in and Urgency

- 3.43 The Call-in procedure shall not apply where the decision being taken is urgent.
- 3.44 A decision will be urgent if any delay likely to be caused by the call-in process would seriously prejudice the interests of the NECA. The record of the decision and notice by which it is made public shall state whether in the opinion of the decision making person or body, the decision is an urgent one, and therefore not subject to call-in. The Chair of the Committee must agree both that the decision proposed is reasonable in all the circumstances and to it being treated as a matter of urgency. In the absence of the Chair, the vice-Chair's consent shall be required. In the absence of both, the Head of Paid Service or his/her nominee's consent shall be required.
- 3.45 The arrangements for exercising call-in powers must be published by the Committee, but the consent of the Leadership Board, must be given to the publication of the proposed arrangements.
- 3.46 The Committee proposed that the procedure for call-in be endorsed including call-in by four members of the Committee, valid call-ins to be heard by a call-in sub-committee, terms of reference to be drafted for the sub-committee, membership of the sub-committee to be appointed as and when a valid call-in is submitted, and clear guidance to be given on the validity of call-ins.
- 3.47 The relevant sections of a revised Constitution are included in Appendix 1 to this report including a description of the powers conferred on the Committee for Call-in, and reflecting in italics the option for the appointment of an Independent Chair and Vice Chair which would be incorporated if this option for Chairing arrangements is agreed by the Leadership Board.

Support for Scrutiny

- 3.48 The legislation requiring a Local Authority to appoint a Scrutiny Officer does not currently apply to Combined Authorities. However, the 2016 Order imposes the requirement to designate one of its officers as the Scrutiny Officer.
- 3.49 The Scrutiny Officer will be responsible for promoting the role of the Committee, providing support and guidance to the Committee and providing support to the members of NECA in relation to the functions of the Committee.
- 3.50 NECA may not designate as the Scrutiny Officer any officer of a Constituent Authority.

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3.51 In the current arrangement, and since the start of the NECA, scrutiny support has been provided by the Chair's local authority. The scrutiny officer then coordinates support across the other scrutiny teams to ensure that all scrutiny members are appropriately supported. This arrangement will not be able to continue from May 2017 and a new post will be required to fulfil this responsibility.

3.52 The Committee noted the requirements for the appointment of a scrutiny officer by the Combined Authority but felt this was more appropriate to a Mayoral Combined Authority with the use of devolved funding, and that the Committee should be able to determine its own support arrangements drawing on the experience of the constituent authorities' scrutiny officers as this had worked well since the Committee's inception in 2014. The Committee requested that they be provided with information on the future support arrangements for the Committee.

4. Governance Committee

4.1 NECA has a Governance Committee which undertakes the roles of both audit and standards committees. The Order makes for provisions relating to audit responsibilities which impacts on the operation of the Governance Committee as a whole, however there is nothing in the Order to prevent the Committee from continuing to combine audit and standards work.

4.2 Under the provision of the Order, the Governance Committee is required to appoint at least one independent person, however the current NECA arrangements already provide for the appointment of two independent persons.

4.3 Currently, there is no requirement for political balance on the Governance Committee however the new Order requires that the appointment of members reflects a regional political balance.

4.4 The quorum is also required under the Order to be 2/3 of the membership which NECA already applies.

5. The Forward Plan

5.1 NECA currently publishes a Forward Plan on a voluntary basis as it is good practice. The 2016 Order will require NECA to publish a Forward Plan for what are "key decisions". A key decision is defined as :-

- Likely to result in incurring expenditure or the making of significant savings for the service or function to which the decision relates; or
- To be significant in terms of its effects on persons living or working in an area comprising of two or more wards or electoral divisions within the NECA area.

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5.2 As a result most, if not all, of the decisions to be taken by a decision-making body within NECA will be a “key decision”. The criterion to determine whether a matter is a key decision is the responsibility of the Scrutiny Committee.

5.3 The Chair of the Scrutiny Committee has a role where a Key Decision is omitted from the Forward Plan when it is published. Provided this is remedied at least 5 clear days before the Committee the Scrutiny Chair must simply be notified. However where an urgent decision is required the Chair of the Scrutiny Committee must consent to the decision being taken.

6. Recommendation

6.1 The 2016 Order makes some key enhancements to the role of Overview and Scrutiny in NECA and agreement of the Leadership Board is required in relation to the recommendations in readiness for implementation on 8 May 2017.

7. Potential Impact on Objectives

7.1 Implementation of the requirements of the Order will contribute towards the further development of a robust Scrutiny Committee and the review and scrutiny of the policy framework of the NECA, Nexus and NELEP as well as providing appropriate challenge to decisions taken.

8. Next Steps

8.1 Subject to the agreement of the Leadership Board the arrangements for Call-in of decisions will be published on the Authority’s website. In addition the amendments to the Constitution will be incorporated and published on the website, the Call-in arrangements and Constitutional changes will be effected when the Order comes into force on 8 May 2017. In the meantime should the Leadership Board agree that the Chair (and Vice Chair) will be Independent Persons appropriate steps will be taken to advertise the role(s) and identify suitable candidates. Proposed appointments to the Chair and Vice Chair roles will be subject to the agreement of the Leadership Board. The recruitment of a Scrutiny Officer will also be progressed.

9. Finance and Other Resources

9.1 The budget for scrutiny activity for 2017/18 is £11,500. It was expected that this budget would need to be increased once the details of the additional costs to implement the new arrangements are known. The increased cost is not expected to be substantial, and would be found by a transfer from the general contingency within the budget. This change would be reported and approved as part of the first review of the Revenue Budget by the Leadership Board.

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10. Legal

- 10.1 The legal implications of the requirements of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016 are set out in the main body of the report. The arrangements for Call-in are a responsibility of the Scrutiny Committee to identify; the Call-in arrangements must be published but the Leadership Board is required to consent to the publication.

Amendments to the Constitution are a matter for the Leadership Board to agree. Proposed amendments are attached for agreement by the Leadership Board as the changes required by the Order come into effect on 8 May 2017. The Constitution which is subject to an annual review will be subject to a further report at the Annual Meeting of NECA which is to take place on 20 June 2017.

11. Other Considerations

11.1 Consultation/Community Engagement

The NECA Scrutiny Committee has been consulted on the impact of the new Order and the report contains the views of the Committee on the changes required. The Leaders and Elected Mayor have also been consulted on the implications of the Order.

11.2 Human Rights

There are no specific human rights implications arising from this report.

11.3 Equalities and Diversity

There are no specific equality and diversity implications arising from this report.

11.4 Risk Management

Not applicable

11.5 Crime and Disorder

Not applicable

11.6 Environment and Sustainability

Not applicable

12. Background Documents

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12.1 Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2016

Report to Scrutiny Committee “Rules and Procedure for the Overview and Scrutiny Committee” 14 February 2017

13. Links to the Local Transport Plans

13.1 Not applicable

14. Appendices

14.1 Appendix 1 NECA Constitution – revised Scrutiny Procedure Rules

15. Contact Officers

15.1 Karen Brown, Scrutiny Officer karen.brown@sunderland.gov.uk

16. Sign off

- Head of Paid Service
- Monitoring Officer
- Chief Finance Officer

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**The Durham, Gateshead,
Newcastle upon Tyne,
North Tyneside, Northumberland, South
Tyneside and Sunderland**

Combined Authority

Constitution

Extract

Part 3 Responsibility for Functions

3.9 Overview and Scrutiny Committee

Part 4 Rules of Procedure

4.3 Overview and Scrutiny Committee

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Responsibility for Function

3.9 Overview and Scrutiny Committee

Membership 14 (Two Members from each constituent authority who are not Members of the Leadership Board)

Also: 2 *Non-voting Independent Members who will act as Chair and Vice Chair.*

Quorum 10 (*not including the independent members*)

Effective scrutiny arrangements are an essential component of local democracy, enhancing accountability and transparency of decision making and enabling local councillors to represent the views of their constituents. These arrangements have been established to enable local councillors, on behalf of their communities, to scrutinise and challenge the Leadership Board, the TNEC, EDRAB and Nexus, and to investigate matters of strategic importance to residents within the Combined Area covered by the Constituent Authorities with a view to influencing the decisions.

The Overview and Scrutiny Committee can:

1. Review and scrutinise the decisions made or other action taken by the Leadership Board in connection with the discharge of their functions.
2. Review or scrutinise a decision made in connection with the discharge of any functions which are the responsibility of the Leadership Board which have not been implemented and recommend that the decision be reconsidered by the Leadership Board.
3. Review and scrutinise major and strategic decisions of the TNEC which are taken by the TNEC in connection with the discharge of its functions.
4. Make reports or recommendations to the Leadership Board and TNEC on the discharge of these functions.
5. Review and scrutinise the Leadership Board's initial and final proposals in respect of plans and strategies falling within the Budget and Policy Framework, in accordance with the Budget and Policy Framework Rules of Procedure (see Part 4.4).
6. Establish a Call-in Sub-Committee to exercise call-in powers and consider decisions taken but not implemented (See Rule 22 for of the Overview and Scrutiny Procedure Rules for information about the process for calling-in decisions.)
7. Investigate matters of strategic importance to residents of the Constituent Authorities and make reports with evidence based recommendations to the Leadership Board or the TNEC as appropriate;
8. Review the performance of the Leadership Board against objectives within the Combined Area's Strategy.

9. Facilitate the exchange of information about the work of the Leadership Board and the TNEC and to share information and outcomes from reviews.

10. The role of these arrangements in relation to the Nexus will include:

- a) Review and scrutiny of the Nexus delivery of transport services against the Local Transport Plan and to make recommendations for improvement and/or changes; and
- b) Obtaining explanations from Nexus regarding its delivery of transport services.

4. Proceedings

The Overview and Scrutiny Committee will conduct their proceedings in accordance with Part 4.3 Overview and Scrutiny Committee Rules of Procedure.

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Part 4.3 Overview and Scrutiny Committee Rules of Procedure

Subject to the provisions of any specific legislation and/or regulations relating to their operation, the Overview and Scrutiny Committee will conduct their proceedings in accordance with the following procedure rules.

References in these arrangements to major and strategic decisions of the TNEC taken in accordance with the delegations set out in Part 3 of this Constitution include major and strategic decisions taken by sub-committees of TNEC in accordance with such delegations.

1. Membership

Any Member of the Constituent Authorities may serve as a member of the Overview and Scrutiny Committee unless they are specifically excluded. Membership of the Committee is determined by the Leadership Board and will be appointed annually, usually at the Annual Meeting.

Any elected member appointed to the Overview and Scrutiny Committee cannot also be appointed to any committee or sub-committee of the Authority.

2. Co-opted Members

The appointment of co-opted Members is a matter reserved to the Leadership Board. The Overview and Scrutiny Committee can make recommendations to the Leadership Board on the appointment of co-opted members to the Committee itself and/or any of its sub-committees. In making such recommendations to the Leadership Board the Committee will specify the term of office to be applied in each case. The term of office for any appointed co-opted Member can only be extended with the express approval of the Leadership Board. Co-opted Members appointed by the Leadership Board can attend and speak at meetings of the Committee or sub-committee to which they are appointed but cannot vote.

3. Meetings

Meetings for the carrying out of general business shall be held in each year at the times and on the dates fixed at the Authority's Annual Meeting. Notice of meetings will be given to the public.

4. Extraordinary Meetings

Extraordinary meetings of the Overview and Scrutiny Committee may be called, where possible following consultation with the Chair and Vice Chair, where it is considered necessary or appropriate or at the request of the Chair and Vice Chair or any four Members of the Committee.

Other than in exceptional circumstances, the time of commencement of extraordinary meetings should be the same as for ordinary meetings.

No item of business may be conducted at an extraordinary meeting of the Leadership Board other than that specified in the resolution, request or requisition which led to it being called.

5. Summons

The Monitoring Officer, where possible in consultation with the Chair and Vice Chair, will determine the agenda for meetings of the committee.

At least five clear working days before a meeting, an agenda will be sent to every member of the committee to their usual place of residence (or such other address as has been notified).

The agenda will give the date, time and place of each meeting and specify the order of the business to be transacted, and will be accompanied by such reports as are available.

Urgent reports on items of business may only be added to the agenda if the reasons for urgency can be sufficiently justified and the approval of the Chair of the Committee has been given. The reasons for urgency will be recorded in the minutes of the meeting.

Any matters referred to the committee by the Leadership Board or any of its committees will be placed on the agenda for the next available meeting of the committee. The committee will, at that meeting, determine the method and timetable for responding to any such referrals.

6. Chair

Two minority party members from the political balance prevailing at the time will fulfil the roles of Chair and Vice Chair of the Scrutiny Committee and will be appointed by the Leadership Board.

Or

Two Independent Members will fulfil the roles of Chair and Vice Chair of the Scrutiny Committee and will be appointed by the Leadership Board.

7. Quorum

A meeting of the Committee cannot begin until a quorum is present. The quorum for the Overview and Scrutiny Committee is 10, *not including any independent members*.

If a quorum is not reached 15 minutes after the time appointed for the start of the meeting, the meeting will be reconvened on another date.

During any meeting if the Chair counts the number of Members present and declares there is not a quorum present, then the meeting will adjourn immediately.

Remaining business will be considered at a time and date fixed by the Chair. If the Chair does not fix a date, the remaining business will be considered at the next ordinary meeting.

8. Duration

At any meeting which has sat continuously for three hours and a half hours, the Chair shall have discretion to adjourn the meeting for a short period of time unless the

majority of Members present, by vote, determine it shall stand adjourned to another day. The date and time of which shall be determined by the Chair.

9. Declaration of Interests in Meetings

Where a Member attends a meeting of the Overview and Scrutiny Committee they must declare registerable and non-registerable personal interests as defined in the Members' Code of Conduct either at the start of the meeting, or otherwise as soon as the interest becomes apparent in the course of the meeting.

In addition, where in relation to any meeting a Member has declared a registerable or non-registerable personal interest in a matter, and the criteria contained in paragraph 17 of the Members' Code of Conduct apply, the Member must leave the room for the duration of the discussion on that matter.

10. Disturbance

No member of the public shall interrupt or take part in the proceedings of any meeting. If any member of the public interrupts or takes part in the proceedings at any meeting, the Chair shall warn him/her and if he/she continues the interruption the Chair shall order his/her removal.

11. Order of Business

The Overview and Scrutiny Committee on a motion duly seconded and carried without debate, or on motion by the Chair, which shall not require to be seconded, may vary the order of business as set out on the agenda.

12. Voting

Subject to the provisions of any enactment the Overview and Scrutiny Committee will aim to reach a consensus. If exceptionally it is not possible to reach consensus on any matter on which it is necessary to reach a decision, the matter will be put to a vote which will be decided upon by a simple majority of the members of the committee present and voting at the time the question was put.

The method of voting shall be by show of hands. In the event of an equality of votes, the Chair will have a second or casting vote.

Where any member of the committee requests it immediately after the vote is taken, their vote will be so recorded in the minutes to show whether they voted for or against the motion or abstained from voting.

If there are more than two people nominated for any position to be filled and there is not a clear majority of votes in favour of one person, then the name of the person with the least number of votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

13. Minutes

The Chair will sign the minutes of the proceedings at the next suitable meeting. The Chair will move that the minutes of the previous meeting be signed as a correct record. Discussion of the minutes must be limited to their accuracy.

Where in relation to any meeting, the next meeting for the purpose of signing the minutes is a meeting called under paragraph 3 of schedule 12 to the Local Government Act 1972 (an Extraordinary Meeting), then the next following meeting (being a meeting called otherwise than under that paragraph) will be treated as a suitable meeting for the purposes of paragraph 41(1) and (2) of schedule 12 relating to signing of minutes.

The effect of this is that minutes will not be submitted for approval to an extraordinary meeting.

14. Exclusion of Public

Members of the public and press may only be excluded either in accordance with the Access to Information paragraph of the Leadership Board Rules of Procedure (paragraph 8, Part 4.1) or when causing a disturbance.

15. Attendance by Members and officers

The Overview and Scrutiny Committee may invite to a meeting any Member, co-opted Member, and others to assist the Committee in its work.

Under normal circumstances where it is felt that the attendance of a particular Member, officer, officer of Nexus or other delivery bodies or stakeholders and members of the public, would assist the Committee in its work then they will be invited to attend or submit written information. In such circumstances, the person/organisation concerned should be given at least 5 working days' notice of the date and time of the meeting and the nature of the business to be discussed. In circumstances where it is not possible to give 5 working days' notice, contact should be made at the earliest opportunity with the Member or officer concerned to establish their availability.

Where a member of the Leadership Board or officer who has been invited to a meeting is not able to attend, then the Committee will consider whether or not to defer consideration of the matter to enable the Member or officer to be present.

16. Specialist Advisers

The appointment of specialist advisers to any committee, sub-committee or joint committee is a matter reserved to the Leadership Board. The Overview and Scrutiny Committee can make requests to the Leadership Board for the appointment of a specialist adviser. In making such requests to the Leadership Board, the Committee will specify the term of the appointment and their reasons for the request.

17. Reports of recommendations from Overview and Scrutiny Committee

Where Overview and Scrutiny Committee makes a report or recommendation the committee may:

- a) publish the reports or recommendations.
- b) by notice require in writing the Leadership Board to consider the report or recommendations and respond to them indicating what (if any) action the Leadership Board proposes to take within two months of receipt of the report or recommendations;

- c) and if the report was published, publish the response.

18. Involvement in the work of the Committee by the public, etc.

The Authority is committed to the involvement of the public and others in the work of the Overview and Scrutiny Committee.

Where members of the public and/or others have had an active role in the work of the Overview and Scrutiny Committee such involvement will be properly acknowledged. In addition, where this involvement has contributed to a particular study or examination, then the individuals and/or organisations concerned will be informed of any resulting conclusions and/or recommendations.

19. Work Programme

At its first meeting of the year, the Overview and Scrutiny Committee will:

- a) determine the areas of review and scrutiny that they wish to pursue during the ensuing 12 months.
- b) agree to establish Scrutiny Groups from amongst their number in order to carry out agreed areas of review and scrutiny.

The Constituent Authorities will work together to maximise the exchange of information and views, to minimise bureaucracy and make best use of the time of members and officers of other bodies or agencies.

Any member of the constituent local authorities shall be entitled to give notice to the proper officer that he/she wishes an item relevant to the functions of the committee to be included in the work programme for discussion at a future meeting of the Committee.

The Scrutiny Committee shall respond, as soon as their work programme permits, to requests from the members of constituent councils and if it considers it appropriate the Leadership Board, to review particular areas of Combined Authority activity. Where they do so, the Scrutiny Committee shall report their findings and any recommendations back to the Leadership Board.

Members of the Overview and Scrutiny Committee will use the following framework when considering referrals to the scrutiny committee:-

1. The Scrutiny Committee may determine that the item is not relevant to the functions of the Scrutiny Committee or duplicates the work of another body or agency. In these circumstances the Committee can resolve to take no action or that the issue is more appropriately dealt with by one of the Constituent Authorities. or may refer the item elsewhere e.g. to another NECA committee.
2. That the issue is linked to an existing work programme item then it should be discussed as part of that item.
3. If the issue is a new item of business within the remit of the Committee, the Scrutiny Committee may:

- a. Request a response in writing (with copies to all Members of the Scrutiny Committee) or
- b. Request a presentation to a future Scrutiny Committee, or
- c. Request a report to a future Scrutiny Committee or
- d. Decide that the issue raised does not merit any response beyond noting the matter or
- e. Decide to express a view or make a recommendation, by resolving accordingly, if the Committee considers it has sufficient information to make a fully informed decision.

20. Scrutiny Groups

In appointing Scrutiny Groups the Overview and Scrutiny Committee will:

- a) have regard to the approved work programme and advice from relevant officers on the overall capacity of the Authority to support such studies;
- b) determine the remit for each sub group who will be bound by the terms of that remit;
- c) determine the membership of the sub group to be drawn from the membership of the committee or sub-committee;
- d) consider and either approve, amend or reject any reports and recommendations made by a sub group for submission to the Leadership Board, an individual or outside organisation as appropriate.

The arrangements for the attendance of the Leadership Board and/or officers of the Authority applicable for meetings of the Overview and Scrutiny Committee will also apply to sub groups.

Sub groups may seek the assistance of Members and officers of the Authority and/or outside organisations and individuals.

21. Linking Sub-regional Scrutiny with Local Scrutiny

The Scrutiny Officer of each Constituent Authority will ensure that the work programmes and minutes relating to the work carried out by the Overview and Scrutiny Committee in scrutinising the Leadership Board, TNEC, TWSC and Nexus are circulated appropriately within their own Constituent Authorities scrutiny arrangements.

22. Call-in

The Overview and Scrutiny Committee has the power to call-in decisions made but not yet implemented. The Committee will delegate this authority to a call-in sub-committee comprising a panel of 7 Members drawn from the Scrutiny Committee (or substitutes) with a representative Member from each of the Constituent Authorities *and in addition the independent Chair (or Vice-Chair)*. The purpose of

call-in is to consider whether to recommend that a decision be reviewed by the decision taker. Call-in should only be used in exceptional circumstances. These are where members of the Committee have evidence which suggests that the decision was not taken in accordance with the principles of decision making. It cannot be used in respect of day-to-day management and operational decisions.

- (a) When a decision is taken by the Leadership Board, the TNEC, a committee of the Leadership Board, or an officer with delegated authority, the decision shall be published and shall be available normally within three working days of being made. Members of the Committee will be sent copies of the records of all such decisions by the person responsible for publishing the decision.
- (b) That notice will bear the date on which it is published and will specify that the decision will come into force, and may then be implemented, on the expiry of five working days after the publication of the decision, unless the Committee directs that it should be called in.
- (c) During that period, the monitoring officer shall call-in a decision for scrutiny by the Committee if so requested by any four members of the committee, and shall then notify the decision-taker of the call-in. He/she shall call a meeting of the call-in sub-committee on such date as he/she may determine, where possible after consultation with the Chair of the Committee, and in any case within a period not exceeding 14 days of the decision to call-in.
- (d) If, having considered the decision, the Committee is still concerned about it, then it may refer it back to the decision making person or body for reconsideration, setting out in writing the nature of its concerns. If referred to the decision maker they shall hold a meeting to reconsider the decision no later than 10 days after the recommendation from the Committee is received.
- (e) If following a direction to call-in the decision, the Committee does not meet in the period set out above, or does meet but does not refer the matter back to the decision making person or body, the decision shall take effect on the expiry of 14 days.
- (f) The decision making body or person shall choose whether to amend the decision or not before reaching a final decision and implementing it.

Exceptions

- (g) In order to ensure that call-in does not cause unreasonable delay, certain limitations are placed on its use. These are:
 - i) That the Committee may only call-in four decisions per year.
 - ii) Once a member has signed a request for call-in he/she may not do so again until a period of 3 months has expired.

Call-in and Urgency

- (h) The call-in procedure set out above shall not apply where the decision being taken is urgent. A decision will be urgent if any delay likely to be

caused by the call-in process would seriously prejudice the NECA or the public's interests. The record of the decision and notice by which it is made public shall state whether in the opinion of the decision making person or body, the decision is an urgent one, and therefore not subject to call-in. The Chair of the Overview and Scrutiny Committee must agree both that the decision proposed is reasonable in all the circumstances and to it being treated as a matter of urgency. In the absence of the Chair, the Vice-Chair's consent shall be required. In the absence of both, the head of paid service or his/her nominee's consent shall be required.

- (i) The operation of the provisions relating to call-in and urgency shall be monitored annually, and a report submitted to the Leadership Board with proposals for review if necessary.

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North East Combined Authority, Overview and Scrutiny Committee

10 March 2017

(2.30 - 3.45 pm)

Meeting held Committee Room, Sunderland Civic Centre, Burdon Road, Sunderland, SR2 7S

Discussion points from an informal scrutiny meeting held on 10 March 2017

Present:

Councillor: Wright (Chair)

Councillors: Armstrong, Crute, Dillon, Flux, Glindon, Graham, S Pearson and Snowdon

Leadership Board: Cllr P Watson, Chair

Officers: K Brown, Scrutiny & Member Support Coordinator
K Christon, Scrutiny & Democratic Services
H Golightly, Interim Head of Paid Service, NECA

44 APOLOGIES FOR ABSENCE

Apologies from Cllrs Pidcock, Eagle and Meling.

45 NORTH EAST COMBINED AUTHORITY GOVERNANCE ARRANGEMENTS UPDATE

Cllr Watson provided an update on NECA governance arrangements; making the following points:

- That all 12 authorities in the region are behind devolution, which will allow the area to make its own decisions, including the allocation of funding and resources in line with what is needed. This is imperative for the region's economic success.
- In September 2016, the Leadership Board did not vote to proceed at that time on the basis that the majority felt assurances from government on EU funding and other aspects of the deal were not strong enough.
- The government had initially indicated that further discussions could be held, but following the decision not to proceed the deal was withdrawn.
- Three of the NECA partners are now in discussions with government on a separate devolution deal, with a view to Mayoral elections in May 2018. The timescales for this are very tight for the required consultation and legislative requirements.

- NECA remains in place and all seven authorities have a legal and fiduciary duty to the partnership to ensure delivery of its statutory responsibilities.
- Although the remaining four authorities would wish to see NECA continue its work on the devolution debate and the area move forward together economically; they will not obstruct partners who wish to leave. However, it would not be appropriate for all constituent authorities to incur any financial costs that might be associated with this.
- It might be suggested that the area has been penalised, through a much lower level of grant funding at £49m instead of the expected £69m; of which £42m must be allocated to International Advanced Manufacturing Plant, leaving only £7m for the remainder of the region.
- H Golightly confirmed that the Leadership Board were working on the informal assumption that should the three authorities wish to withdraw, NECA will continue on a reduced geography.

In summary, committee discussed the following areas:

1. That at this point, no authority had made a decision to withdraw from NECA, and feedback was still required on the ongoing discussions with government.
2. It was suggested that a concern for many institutions in the area was that Newcastle would become the focus of NECA as the lead mayoral city, with other partners becoming the 'hinterland'.
3. That the authority of the Mayor is significant, for example they can amend national planning guidance, which the whole area would then be required to follow.
4. In response to a query, Cllr Watson confirmed that Leaders are still working together to find resolutions to issues as they arise, but the final outcome may not be what the majority would wish.
5. It was suggested that transport will still remain a shared issue for the whole area. Cllr Watson agreed, highlighting as an example, that the aspirations of Transport for the North, in relation to a proposed tunnel between Manchester and Sheffield and an extra lane on the M42, may not mirror those of the North East area; where upgrading the A1 and A69 would be a priority.
6. A member queried if the proposal for a separate deal for the three authorities was being supported by officers as an office has been established in Newcastle to lead on this work.

Cllr Flux left the meeting.

7. Concern was expressed that significant issues such as funding for transport infrastructure will not be addressed if the three authorities withdraw from NECA. Cllr Watson highlighted that although devolution had proposed £30m of government funding for 30 years, there was no guarantee of this, with gateway reviews to be conducted every five years.

NECA was also required to demonstrate that funding had been spent in line with government policy. Additionally, government were suggesting that the grant should be used as security for additional funding via borrowing arrangements with the private sector; in addition to funding via the Mayoral precept.

8. It was suggested that development of any devolution proposal, should be informed by the members of the three authorities to ensure that work is driven from the bottom up. In response, a member confirmed that briefings are provided by individual Leaders' to their groups.

Cllr Watson highlighted that a proposal had been put to the Leadership Board, for a joint members meeting, in order that an open and frank discussion could be held with the board. It was suggested that hosting a joint meeting may be an option that scrutiny may wish to consider, being mindful of the arrangement of such a meeting during the pre-election period.

9. In response to a query about the process for amending NECA should the three authorities wish to withdraw; H Golightly confirmed that statute would need to be laid by early November. This would be preceded by a governance review and a statutory consultation period of at least six weeks. Consent to the withdrawal of any authorities, would also need to be given by the Leadership Board.

Cllr Watson confirmed that the Leadership Board will not wish to obstruct any authority wishing to leave, but there are a number of issues, such as joint assets and associated financial costs, that would need to be resolved.

10. It was suggested that there may be more benefit for the seven to continue to work together for the economy of the region.
11. In response to a query about support for future scrutiny arrangements, H Golightly confirmed that budget resources had been allocated for a dedicated scrutiny officer. The preferred option is to recruit directly to NECA, with the post holder sitting within the core executive team based in North Tyneside Council. Concerns were expressed about the ability of the post holder to hold members and officers to account when they also part of the small officer team.
12. It was suggested that the discussion points of this meeting could be discussed at the next formal meeting of the committee on 28 March with any follow-up taking place after the pre-election period.

The Chair thanked Cllr Watson and H Golightly for attending.

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