

# Health Scrutiny Sub-Committee

Tuesday 9 September 2014

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A meeting of the above Sub-Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 9 September 2014 at 4.00pm.

## Membership:

Councillor Wreford-Bush (Chairman)	
Councillor Copping	Councillor Illingworth
Councillor Mrs Falp	Councillor Kinson
Councillor Gill	

## Emergency Procedure

At the commencement of the meeting, the emergency procedure for the Town Hall will be announced.

## Agenda

### 1. **Substitutes**

To receive the name of any Councillor who is to act as a substitute, notice of which has been given to the Chief Executive, together with the name of the Councillor for whom they are acting.

### 2. **Declarations of Interest**

Members to declare the existence and nature of interests in items on the agenda in accordance with the adopted Code of Conduct.

Declarations should be entered on the form to be circulated with the attendance sheet and declared during this item. However, the existence and nature of any interest that subsequently becomes apparent during the course of the meeting must be disclosed immediately. If the interest is not registered, Members must notify the Monitoring Officer of the interest within 28 days.

Members are also reminded of the need to declare predetermination on any matter.

If Members are unsure about whether or not they have an interest, or about its nature, they are strongly advised to seek advice from officers prior to the meeting.

### 3. **Minutes**

To confirm the minutes of the meetings held on 8 July 2014.

**(Item 3/Page 1)**

### 4. **Work Programme**

To consider a report from Civic & Committee Services.

**(Item 4/Page 1)**

- To recommend to O & S that Councillor Mrs Knight is co-opted onto the Health Scrutiny Sub-Committee.
- Briefing from the Senior Democratic Services Officer at Warwickshire County Council on Health Scrutiny.
- Discussion with the Senior Democratic Services Officer at Warwickshire County Council - "Local Health Scrutiny – Guidance to support Local Authorities and their partners to deliver effective health scrutiny".
- Verbal briefing from Councillor Mrs Falp & the Head of Health & Community Protection – meeting on Public Health 10 July 2014.
- Update from Councillor Kinson on the Warwickshire County Council Adult Social Care & Health O & S Committee.
- Warwick District Council Health Strategy Update.
- Amendments or additions to the Work Programme.

### 5. **HIWEB**

Discussion about the roles and responsibilities of HIWEB, at the request of Councillor Mrs Falp and Councillor Wreford-Bush.

Published on 1 September 2014

General Enquiries: Please contact Warwick District Council, Riverside House, Milverton Hill, Royal Leamington Spa, Warwickshire, CV32 5HZ.

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Enquiries about specific reports: Please contact the officers named in the reports.

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The agenda is also available in large print, on request, prior to the meeting by calling 01926 353362.

# Health Scrutiny Sub-Committee

Minutes of the meeting held on Tuesday 8 July 2014 at the Town Hall, Royal Leamington Spa at 5.00 pm.

**Present:** Councillors Copping, Mrs Falp, Gill, Illingworth, Kinson and Wreford-Bush.

## 1. **Appointment of Chairman**

It was moved by Councillor Mrs Falp, and duly seconded that Councillor Wreford-Bush be appointed Chairman of Warwick District Council's Health Scrutiny Sub-Committee for the municipal year 2014/15.

**Resolved** that Councillor Wreford-Bush be elected Chairman of Warwick District Council's Health Scrutiny Sub-Committee for the municipal year 2014/15.

## 2. **Declarations of Interest**

Declaration of Interest covering the whole agenda

Councillor Kinson declared an interest because he was the District Council's representative on the County Council's Adult Social Care & Health Overview & Scrutiny Committee.

## 3. **Work Programme**

The Committee considered a report from Civic and Committee Services on the Committee's Work Programme. As this was the first meeting of the Sub-Committee, it was necessary to set the Work Programme up to the end of the municipal year from scratch.

For September 2014

An invitation to the Senior Democratic Services Officer at the County Council, Ann Mawdsley would be extended in order to brief Members who were new to Health Scrutiny. Members asked for a copy of the County Council's Work Programme.

The Senior Democratic Services Officer would also be asked to brief Members on the recent publication "Local Authority Health Scrutiny – Guidance to support Local Authorities and their partners to deliver effective health scrutiny".

Councillor Mrs Falp and the Head of Health & Community Protection were asked to give Members a briefing of the meeting they would be attending in July on Planning and Health.

Other items for the Work Programme

**Air Quality:**

The sub-Committee had received a request from Councillor Mrs Higgins to look at Health Impact Assessments, which she wrote had been requested

## Health Scrutiny Sub-Committee Minutes (Continued)

by the Conservative Group. The Head of Health & Community Protection informed Members that the draft Health Impact Assessment had already been exchanged with planners for the Local Plan, but he did not yet know when it would be released. Members requested that air quality be scrutinised and also that Dr Linnane, the Director of Public Health, should speak about this when he gave his talk to all Councillors at Council on 13 August.

Child Health Profiles by Public Health England:

The Health & Wellbeing Lead would check if a response was required to a letter received from the Director of Public Health, dated 21 March.

Member to champion mental health:

Councillor Mrs Sawdon had requested the name of the Council's mental health champion, but no such appointment had been made. The matter had been referred to the Sub-Committee for discussion. As all outside appointments went through Group, the Sub-Committee decided that the matter on whether to make such an appointment should be referred to Group.

Warwickshire Community Transport Options Appraisal:

Councillor Copping explained the changes to the funding and the Sub-Committee decided to invite a representative from Healthwatch and a representative from Warwickshire Rural Community Council to the meeting in October so that, if there was a need to lobby the District Council for money, it would fall within the next budget cycle. Members requested whether the County Council had discussed any action and asked that the Senior Democratic Services Officer at the County Council should respond.

The Sub-Committee decided that the newly appointed Head of Housing & Property Services should give a report on the Housing Assessment Team, including Disabled Facilities Grants, in the New Year. Additionally, a guest speaker should be invited to speak about the Care Quality Commission in the New Year.

Councillor Kinson was asked to give updates at each meeting on the activity of the Warwickshire County Council Adult Social Care and Health Overview & Scrutiny Committee.

The Health & Wellbeing Lead was asked to give updates at each meeting on the Council's Health Strategy.

The Head of Health and Community Protection and the Committee Services Officer were asked to look through the items that the Sub-Committee had decided should be on the Work Programme and agree dates for these; to check if any additional topics should be added and to send out a list of suitable dates for future meetings. The Members wanted to meet each month from September to start with, preferably at 4pm.

The Sub-Committee decided that a request would be made to the Overview and Scrutiny Committee to amend the delegated powers agreed for the Sub-Committee to allow the Sub-Committee to agree items for its Work Programme, without the need to agree these first with the Overview and Scrutiny Committee.

## Health Scrutiny Sub-Committee Minutes (Continued)

**Resolved** that:

- (1) the report be noted and presented to the Overview & Scrutiny Committee at its next meeting for approval; and
- (2) an amendment to the Health Scrutiny Sub-Committee Procedure Rules (agreed by the Overview & Scrutiny Committee on 10 June 2014) be sought to give delegated authority to the Sub-Committee to set its own Work Programme without the need to seek approval first from the Overview & Scrutiny Committee before work can commence.

### 4. **Health Strategy and Action Plan**

The Health & Wellbeing Lead gave a presentation to Members on Warwick District Council's role in health and issues that the Council would be tackling, such as encouraging healthy lifestyle choices. This would require shaping the Council's services so that these supported the local strategy and engaging with other organisations active in the locality. An example cited was Ryton Organic Gardens which was giving people guidance on cooking healthily. Warwick District Council would be allocating money towards the costs of starter projects and Members would be kept informed. The Health and Wellbeing Lead presented an Action Plan to Members listing aims and then the Service Area or officer responsible for implementation.

The Council's Health Strategy was currently being reviewed by the Senior Management Team at the Council, and once this process was complete, the Strategy would be presented to the Sub-Committee.

### 5. **National Workplace Wellbeing Charter "Making Every Contact Count", the Workplace Challenge**


As part of the Health & Wellbeing Lead's presentation, he informed Members that the Council was applying for the "Workplace Wellbeing Charter" award. One of the initiatives for the Workplace Challenge would be to get staff involved with lawn bowls.

The Health & Wellbeing Lead was asked to keep Members updated with initiatives.

### 6. **Warwick District Health Improvement and Wellbeing Partnership Group (HiWeb) – Consultation on its future**

The Health & Wellbeing Lead informed Members that HiWeb was being reviewed and it was hoped that this review would take place in the afternoon of 20th August.

(The meeting finished at 6.20 pm)

	<b>Health Scrutiny Sub-Committee – 9 September 2014</b>	<b>Agenda Item No. 4</b>
<b>Title</b>	Health Scrutiny Sub-Committee Work Programme	
<b>For further information about this report please contact</b>	Lesley Dury, Committee Services Officer, 01926 456114 or <a href="mailto:committee@warwickdc.gov.uk">committee@warwickdc.gov.uk</a>	
<b>Service Area</b>	Civic and Committee Services	
<b>Wards of the District directly affected</b>	N/A	
<b>Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	8 July 2014	
<b>Background Papers</b>		

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	No

<b>Officer/Councillor Approval</b>		
With regard to officer approval all reports <i>must</i> be approved by the report authors relevant director, Finance, Legal Services and the relevant Portfolio Holder(s).		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Relevant Director		
Chief Executive		
CMT		
Section 151 Officer		
Legal		
Finance		
Portfolio Holders		
<b>Consultation Undertaken</b>		
n/a		
<b>Final Decision?</b>	Yes	
<b>Suggested next steps (if not final decision please set out below)</b>		

## 1. **Summary**

- 1.1 This report informs the Sub-Committee of their work programme for 2014/2015, appendix 1.

## 2. **Recommendations**

- 2.1 The report be noted; and
- 2.2 Any amendments suggested at the meeting, be made accordingly.
- 2.3 To co-opt Councillor Mrs Knight onto the Sub-Committee.

## 3. **Reasons for the Recommendation**

- 3.1 The work programme needs to be updated at each meeting to reflect the work load of the Sub-Committee.
- 3.2 Councillor Mrs Knight has built up knowledge of health scrutiny during her time on the Health Scrutiny Working Party. Councillor Mrs Knight does not sit on Overview & Scrutiny Committee, therefore cannot be appointed as a voting member of the Health Scrutiny Sub-Committee. Co-opting her onto the Sub-Committee ensures that the District benefits from the knowledge she has built up.

## 4. **Alternative Options considered**

- 4.1 That Councillor Mrs Knight is not co-opted onto the Sub-Committee.

## 5. **Budgetary Framework**

- 5.1 All work for the Sub-Committee has to be carried out within existing resources.

## 6. **Policy Framework**

- 6.1 The work carried out by the Sub-Committee helps the Council to improve in line with its priority to manage services openly efficiently and effectively.

## 7. **Background**

- 7.1 At each meeting, the Sub-Committee will consider their work programme and make amendments where necessary.
- 7.2 Overview & Scrutiny Committee may request that the Sub-Committee undertakes areas of health Scrutiny.
- 7.3 Officers may present reports to the Sub-Committee to seek direction on their content.

- 7.4 Warwickshire County Council, as the lead authority for Health Scrutiny, can ask the District Council to undertake areas of health scrutiny.
- 7.5 Appendix 2 – “Local Health Scrutiny – Guidance to support Local Authorities and their partners to deliver effective health scrutiny”
- 7.6 Health Scrutiny Procedure Rules agreed 10 June 2014 by the Overview & Scrutiny Committee allow the Sub-Committee to agree co-optees.

### **“Co-optees**

The Health Scrutiny Sub-Committee will have the discretion to appoint Councillors who are not members of the Overview & Scrutiny Committee to sit on their Sub-Committee, but those councillors will have no power to vote. However, no councillor acting as a co-optee may be involved in scrutinising a decision in which they have been directly involved.

The Health Scrutiny Sub-Committee will have the discretion to appoint non-Councillors to sit on their Sub-Committee, but those persons will have no power to vote.  
(Council Procedure Rule 18(d)).”



**Health Scrutiny Sub-Committee**  
**Work Programme 2014-2015**

**9 September 2014**

<b>Title</b>	<b>Where did item originate from</b>	<b>Format</b>	<b>Lead Officer</b>	<b>Date Work Programme item authorised by O &amp; S?</b>	<b>Next report date if applicable</b>	<b>Completion date</b>
Briefing from Ann Mawdsley, Senior Democratic Services Officer at Warwickshire County Council on Health Scrutiny	Sub-Committee meeting 8 July 2014	Talk and Q & A				
"Local Authority Health Scrutiny – Guidance to support Local Authorities and their partners to deliver effective health scrutiny"	Sub-Committee meeting 8 July 2014	Discussion				
Report from Councillor Mrs Falp and the Head of Service for Health & Community Protection on the meeting on Planning and Health held on 10 July organised by Public Health	Sub-Committee meeting 8 July 2014	Verbal report	Councillor Mrs Falp			

Update from Councillor Kinson on the Warwickshire County Council Adult Social Care & Health O & S Committee		Verbal Report	Councillor Kinson		Each meeting	October
Warwick District Council Health Strategy update		Report	Rob Chapleo		Each meeting until published	October
Co-opt Councillor Mrs Knight onto the Sub-Committee.						

**October 2014**

<b>Title</b>	<b>Where did item originate from</b>	<b>Format</b>	<b>Lead Officer</b>	<b>Date Work Programme item authorised by O &amp; S?</b>	<b>Next report date if applicable</b>	<b>Completion date</b>
Briefing on Air Quality in the District. Establish how the Sub-Committee wants future updates to be presented	Sub-Committee meeting 8 July 2014	Presentation followed by Q & A / Discussion	Richard Hall			
Invite a representative from "Healthwatch" (Chris Bain) and Warwickshire Rural Community Council (Kim Slater) to the meeting to discuss the Warwickshire Community Transport Options Appraisal	Sub-Committee meeting 8 July 2014	Discussion	Councillor Copping			
Update from Councillor Kinson on the Warwickshire County Council Adult Social Care & Health O & S Committee		Verbal Report	Councillor Kinson		Each meeting	November

Update from Councillor Mrs Knight on the South Warwickshire Foundation Trust Quality Accounts T & F Group		Verbal Report	Councillor Mrs Knight			
Warwick District Council Health Strategy update		Report	Rob Chapleo		Each meeting until published	November

**November 2014**

<b>Title</b>	<b>Where did item originate from</b>	<b>Format</b>	<b>Lead Officer</b>	<b>Date Work Programme item authorised by O &amp; S?</b>	<b>Next report date if applicable</b>	<b>Completion date</b>
Update from Councillor Kinson on the Warwickshire County Council Adult Social Care & Health O & S Committee		Verbal Report	Councillor Kinson		Each meeting	December
Future of Health Scrutiny at Warwick District Council - Plan a timetable and who will be responsible for actions	O & S 10 June 2014	Hand-out of critical dates and then discussion	Councillor Wreford-Bush	10 June 2014	Each meeting	To hit March O & S
Review of HiWeb		Report	Richard Hall			
Warwick District Council Health Strategy update		Report	Rob Chapleo		Each meeting until published	December

**Future Meetings 2015**

- Head of Housing & Property Services should give a report on the Housing Assessment Team, including Disabled Facilities Grants, in the New Year.
- A guest speaker should be invited to speak about the Care Quality Commission in the New Year.



Department  
of Health

# Local Authority Health Scrutiny

Guidance to support Local Authorities and their partners to deliver effective health scrutiny.

<p><b>Title:</b></p> <p><b>Local Authority Health Scrutiny:</b> Guidance to support Local Authorities and their partners to deliver effective health scrutiny</p>
<p><b>Author:</b></p> <p>SCLGCP/PCLG/18280</p>
<p><b>Document Purpose:</b></p> <p>Guidance</p>
<p><b>Publication date:</b></p> <p>June 2014</p> <p>To be reviewed in June 2015</p>
<p><b>Target audience:</b></p> <ul style="list-style-type: none"> <li>• Local Authorities</li> <li>• Local Government Association</li> <li>• Health and Wellbeing Boards</li> <li>• Clinical Commissioning Groups</li> <li>• NHS trusts (acute, community, mental health)</li> <li>• NHS England</li> <li>• Healthwatch</li> </ul>
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# Local Authority Health Scrutiny

Guidance to support Local Authorities and their partners to deliver effective health scrutiny.

**Prepared by the People, Communities and Local Government Division of the Department of Health.**



# Contents

Contents.....	4
Key messages .....	5
1. Introduction .....	8
1.1 Background.....	8
1.2 Purpose of guidance .....	9
1.3 Scope of the Regulations .....	10
2. What remains the same following the new legislation? .....	12
2.1 For local authorities.....	12
2.2 For the NHS .....	13
2.3 For patient and public involvement .....	13
3. Changes arising from the new legislation .....	15
3.1 Powers and duties – changes for local authorities .....	15
3.2 Powers and duties – changes for the NHS .....	20
3.3 Powers and duties – referral by local Healthwatch .....	22
4. Consultation .....	23
4.1 The context of consultation .....	23
4.2 When to consult .....	23
4.3 Who consults .....	24
4.4 Timescales for consultation .....	24
4.5 When consultation is not required .....	24
4.6 Responses to consultation .....	25
4.7 Referrals to the Secretary of State .....	25
5. References and useful links .....	29
5.1 Relevant legislation and policy .....	29
5.2 Useful reading.....	29

# Key messages

- The primary aim of health scrutiny is to strengthen the voice of local people, ensuring that their needs and experiences are considered as an integral part of the commissioning and delivery of health services and that those services are effective and safe. The new legislation extends the scope of health scrutiny and increases the flexibility of local authorities in deciding how to exercise their scrutiny function.
- Health scrutiny also has a strategic role in taking an overview of how well integration of health, public health and social care is working – relevant to this might be how well health and wellbeing boards are carrying out their duty to promote integration - and in making recommendations about how it could be improved.
- At the same time, health scrutiny has a legitimate role in proactively seeking information about the performance of local health services and institutions; in challenging the information provided to it by commissioners and providers of services for the health service (“relevant NHS bodies and relevant health service providers”<sup>1</sup>) and in testing this information by drawing on different sources of intelligence.
- Health scrutiny is part of the accountability of the whole system and needs the involvement of all parts of the system. Engagement of relevant NHS bodies and relevant health service providers with health scrutiny is a continuous process. It should start early with a common understanding of local health needs and the shape of services across the whole health and care system.
- Effective health scrutiny requires clarity at a local level about respective roles between the health scrutiny function, the NHS, the local authority, health and wellbeing boards and local Healthwatch.
- In the light of the Francis Report, local authorities will need to satisfy themselves that they keep open effective channels by which the public can communicate concerns about the quality of NHS and public health services to health scrutiny bodies. Although health scrutiny functions are not there to deal with individual complaints, they can use information to get an impression of services overall and to question commissioners and providers about patterns and trends.
- Furthermore in the light of the Francis Report, health scrutiny will need to consider ways of independently verifying information provided by relevant NHS bodies and relevant health service providers – for example, by seeking the views of local Healthwatch.

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<sup>1</sup> In this guidance, “health service commissioners and providers” is a reference to:

a) certain NHS bodies, (i.e. NHS England, clinical commissioning groups, NHS trusts and NHS foundation trusts) and

b) providers of NHS and public health services commissioned by NHS England, clinical commissioning groups and local authorities.

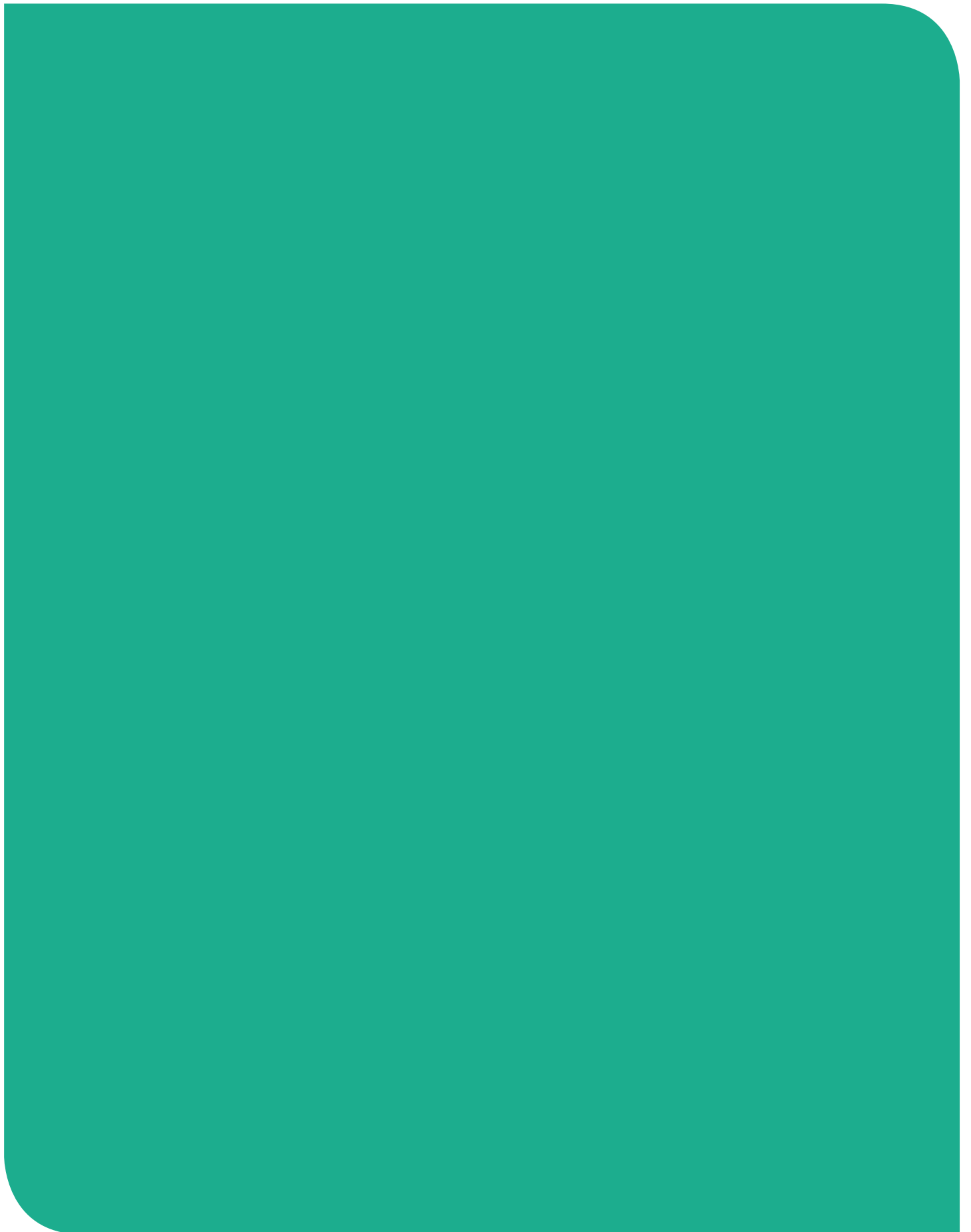
Each of these is “a responsible person”, as defined in the Regulations, on whom the Regulations impose certain duties for the purposes of supporting local authorities to discharge their health scrutiny functions.

- Health scrutiny should be outcome focused, looking at cross-cutting issues, including general health improvement, wellbeing and how well health inequalities are being addressed, as well as specific treatment services.
- Where there are concerns about proposals for substantial developments or variation in health services (or reconfiguration as it is also known) local authorities and the local NHS should work together to attempt to resolve these locally if at all possible. If external support is needed, informal help is freely available from the Independent Reconfiguration Panel (IRP)<sup>2</sup> and/or the Centre for Public Scrutiny<sup>3</sup>. If the decision is ultimately taken to formally refer the local NHS's reconfiguration proposals to the Secretary of State for Health, then this referral must be accompanied by an explanation of all steps taken locally to try to reach agreement in relation to those proposals.
- In considering substantial reconfiguration proposals health scrutiny needs to recognise the resource envelope within which the NHS operates and should therefore take into account the effect of the proposals on sustainability of services, as well as on their quality and safety.
- Local authorities should ensure that regardless of any arrangements adopted for carrying out health scrutiny functions, the functions are discharged in a transparent manner that will boost the confidence of local people in health scrutiny. Health scrutiny should be held in an open forum and local people should be allowed to attend and use any communication methods such as filming and tweeting to report the proceedings. This will be in line with the new transparency measure in the Local Audit and Accountability Act 2014 and will allow local people, particularly those who are not present at scrutiny hearing-meetings, to have the opportunity to see or hear the proceedings.

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<sup>2</sup> Independent Reconfiguration Panel website: [www.irpanel.org.uk/view.asp?id=0](http://www.irpanel.org.uk/view.asp?id=0)

<sup>3</sup> Centre for Public Scrutiny website: [www.cfps.org.uk](http://www.cfps.org.uk)



# 1. Introduction

This guidance is intended to support local authorities, relevant NHS bodies and relevant health service providers in discharging their responsibilities under the relevant regulations; and thereby supporting effective scrutiny. The guidance needs to be conscientiously taken into account. However, the guidance is not intended to be a substitute for the legislation or to provide a definitive interpretation of the legislation. Only the courts can provide a definitive interpretation of legislation. Anyone in doubt should seek legal advice.

## 1.1 Background

1.1.1 The primary aim of health scrutiny is to act as a lever to improve the health of local people, ensuring their needs are considered as an integral part of the commissioning, delivery and development of health services. For some time, local authority overview and scrutiny<sup>4</sup> of health has been an important part of the Government's commitment to place patients at the centre of health services. It is even more important in the new system.

1.1.2 Health scrutiny is a fundamental way by which democratically elected local councillors are able to voice the views of their constituents, and hold relevant NHS bodies and relevant health service providers to account. To this end, it is essential that health scrutiny functions are also carried out in a transparent manner, so that local people have the opportunity to see and hear proceedings, in line with the new transparency measure in the Local Audit and Accountability Act 2014. Local government itself is making an even greater contribution to health since taking on public health functions in April 2013 (and will itself be within the scope of health scrutiny). Social care and health services are becoming ever more closely integrated and impact on each other, with the result that scrutiny of one may entail, to a certain extent, scrutiny of the other. In many cases, health scrutiny reviews will be of services which are jointly commissioned by the NHS and local government.

1.1.3 Within the NHS, there has been increasing emphasis on the need to understand and respond to the views of patients and the public about health and health services: the NHS Constitution, the Government's Mandate to NHS England and the NHS Operating Framework together provide a strong set of principles underpinning the NHS's accountability to the people it serves. Responding positively to health scrutiny is one way for the NHS to be accountable to local communities.

1.1.4 This is an important and challenging time for local authority scrutiny of the health service in England. The wider context includes huge financial pressures on the public services and the challenges of an ageing society in which more people are living for longer with illness and long-term medical conditions and disability. The NHS and local government are operating in a completely new health landscape underpinned by new legislation; with care commissioned and, in many cases, potentially delivered, by more and varied organisations. New health scrutiny legislation permits greater flexibility in the way that local authorities discharge their health scrutiny functions. Local government is working ever more closely with the NHS through health and wellbeing boards, taking a holistic view of the health, public health and social care system.

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<sup>4</sup> Referred to as 'review and scrutiny' in the Local Authority (Public Health, Health and Wellbeing Boards and Health Scrutiny) Regulations 2013.

1.1.5 At the same time, the whole health and care system and the public accountability mechanisms that surround it are grappling with the implications of the Francis inquiry into the shocking failure of care at Mid-Staffordshire NHS Trust. Among many other recommendations, the Francis report says that:

- The Care Quality Commission should expand its work with overview and scrutiny committees.
- Overview and scrutiny committees and local Healthwatch should have access to complaints information.
- The “quality accounts” submitted by providers of NHS services should contain observations of commissioners, overview and scrutiny committees and local Healthwatch.

1.1.6 Following the Francis report and recommendations, the role and importance of effective health scrutiny will become more prominent. The Francis inquiry increased expectations for local accountability of health services. It is expected that health scrutiny will develop working relationships and good communication with Care Quality Commission local representatives, NHS England’s local and regional Quality Surveillance Groups as well as with local Healthwatch. While there is no legislative stipulation as to the extent of support that should be made available for the health scrutiny function, the health and social care system as a whole will need to think about how the function is supported nationally, regionally and locally to enable the powers and duties associated with the function to be exercised appropriately.

## 1.2 Purpose of guidance

1.2.1 It is against this background that this guidance has been prepared. It is intended to provide an up-to-date explanation and guide to implementation of the regulations under the National Health Service Act 2006 governing the local authority health scrutiny function. The relevant regulations are the Local Authority (Public Health, Health and Wellbeing Boards and Health Scrutiny) Regulations 2013 (“the Regulations”), which came into force on 1<sup>st</sup> April 2013<sup>5</sup>. They supersede the 2002 Regulations under the Health and Social care Act 2001<sup>6</sup>. The Regulations have implications for relevant NHS bodies and relevant health service providers, including local authorities carrying out the local authority health scrutiny function<sup>7</sup>, health and wellbeing boards and those involved in patient and public engagement activities. The duties in the Regulations are aimed at supporting local authorities to discharge their scrutiny functions effectively. Failure to comply with those duties would place the relevant NHS body or relevant health service provider in breach of its statutory duty and render it at risk of a legal challenge.

1.2.2 This guidance is, therefore, of relevance to:

- Local authorities (both those which have the health scrutiny functions and district councils).
- Clinical commissioning groups (CCGs).
- NHS England.

<sup>5</sup> References to numbered Regulations throughout this guide are to the Local Authority (Public Health, Health and wellbeing boards and Health Scrutiny) Regulations 2013.

<sup>6</sup> These had effect as if made under the National Health Service Act 2006.

<sup>7</sup> The health scrutiny function is conferred on the 152 councils with social services responsibilities.

- Providers of health services including those from the public, private and voluntary sectors.
- Those involved in delivering the work of local Healthwatch.

The guidance should be read alongside other guidance issued by the Department of Health and NHS England, such as the guidance on the NHS duty to involve<sup>8</sup>, and guidance for NHS commissioners on the good practice principles and process for planning of major service change.

## 1.3 Scope of the Regulations

- 1.3.1 The Regulations explained in this guidance relate to matters relating to the health service, i.e. including services commissioned and/or provided by the NHS as well as public health services commissioned by local authorities. This includes services provided to the NHS by external non-NHS providers, including local authorities (this is discussed in more detail in section 3).
- 1.3.2 The NHS Constitution, the Mandate to NHS England, and the NHS Outcomes Framework provide a set of guiding principles and values for the NHS which indicate that the NHS is not just a sickness service, but is there to improve health, wellbeing and to address health inequalities: “to pay particular attention to groups or sections of society where improvement in health and life expectancy are not keeping pace with the rest of the population<sup>9</sup>”. The Mandate makes clear that one of NHS England’s priorities should be a focus on “preventing illness, with staff using every contact they have with people as an opportunity to help people stay in good health<sup>10</sup>”. Since the creation of the health scrutiny functions under the Health and Social Care Act 2001, local authority scrutiny committees have prioritised issues of health improvement, prevention and tackling health inequalities as areas where they can add value through their work. In their reviews, local authorities have looked at the wider social determinants of health and health inequalities, not least because of local government’s own contribution through the whole range of its services.
- 1.3.3 NHS services can themselves impact on health inequalities and general wellbeing of communities, for example, by improving access to services for the most deprived and least healthy communities. Moreover the Department of Health has always advised and local authorities have recognised that the best use of their health scrutiny powers will depend on scrutiny extending to health issues, the health system and health economy rather than being limited to services commissioned or managed by the NHS or local authorities.
- 1.3.4 The duties of health service commissioners and providers under the Regulations apply to NHS commissioners and to providers of health services as part of the health service, including NHS bodies and local authorities, as discussed below. However, local authority health scrutiny committees have often drawn on their wider powers to promote

<sup>8</sup> <http://www.england.nhs.uk/wp-content/uploads/2013/09/trans-part-hc-guid1.pdf>

<sup>9</sup> NHS Constitution, *The NHS belongs to us all*, March 2013:

<http://www.nhs.uk/choiceintheNHS/Rightsandpledges/NHSConstitution/Documents/2013/the-nhs-constitution-for-england-2013.pdf>

<sup>10</sup> The Mandate: A mandate from the Government to the NHS Commissioning Board: April 2013 to March 2015, p8: [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/213131/mandate.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/213131/mandate.pdf)

community wellbeing to carry out overview and scrutiny of a range of health issues which go beyond NHS services. In the new health landscape, public health is a responsibility of local government and health and wellbeing boards provide strategic leadership of the health system through partnership, with a specific duty to encourage integrated working across health and social care. We can expect an increasing number of services to be jointly commissioned between local authorities and the NHS. Any health scrutiny exercise may therefore include reviewing the local authority's own contribution to the health of local people and the provision of health services, as well as the role of the health and wellbeing board, and of other agencies involved in the health care of local people.

- 1.3.5 Responses to matters that are scrutinised may therefore be the responsibility of a number of stakeholders. In this light, the power to scrutinise the health service should be seen and used in the wider context of the local authority role of community leadership and of other initiatives to promote and facilitate improvement and reduce inequalities. In the context of the NHS reforms, this includes:
- A greater emphasis on involving patients and the public from an early stage in proposals to improve services.
  - The work of health and wellbeing boards as strategic bodies bringing together representatives of the whole local health and care system.
  - The work of other relevant local partnerships, such as community safety partnerships and partnerships with the community and voluntary sectors.
- 1.3.6 The new legislation in the 2012 Act lays increased emphasis on the role of patients and the public in shaping services. This is recognised in the introduction of local Healthwatch organisations and their membership of health and wellbeing boards. The Regulations make provision about the referral of matters by local Healthwatch to local authority health scrutiny. This is discussed in section 3 below.
- 1.3.7 Section 2 below outlines those aspects of the health scrutiny system that remain the same for each of the key players: local authorities, the NHS and the patient and public involvement system. Section 3 discusses in detail what has changed following the new legislation for each of these key players and how the changes should be implemented. Section 4 discusses the important issue of consultation on substantial reconfiguration proposals (i.e. proposals for a substantial development of the health service or for a substantial variation in the provision of such service). Section 5 provides references and links to relevant additional documents.



## 2. What remains the same following the new legislation?

### 2.1 For local authorities

2.1.1 Under the Regulations, local authorities in England (i.e. “upper tier” and unitary authorities<sup>11</sup>, the Common Council of the City of London and the Council of the Isles of Scilly) have the power to:

- Review and scrutinise matters relating to the planning, provision and operation of the health service in the area. This may well include scrutinising the finances of local health services.
- Require information to be provided by certain NHS bodies about the planning, provision and operation of health services that is reasonably needed to carry out health scrutiny.
- Require employees including non-executive directors of certain NHS bodies to attend before them to answer questions.
- Make reports and recommendations to certain NHS bodies and expect a response within 28 days.
- Set up joint health scrutiny committees with other local authorities and delegate health scrutiny functions to an overview and scrutiny committee of another local authority.
- Refer NHS substantial reconfiguration proposals to the Secretary of State if a local authority considers:
  - The consultation has been inadequate in relation to the content or the amount of time allowed.
  - The NHS body has given inadequate reasons where it has not consulted for reasons of urgency relating to the safety or welfare of patients or staff.
  - A proposal would not be in the interests of the health service in its area.

(In the case of referral, the Regulations lay down additional conditions and requirements as to the information that must be provided to the Secretary of State – these are listed in section 4.7 below.)

2.1.2 As previously, executive members may not be members of local authority overview and scrutiny committees, their sub-committees, joint health overview and scrutiny committees and sub-committees. Overview and scrutiny committees may include co-opted members i.e. those who are not members of the relevant local authority (for example, co-opted members of overview and scrutiny committees of district councils or representatives of voluntary sector organisations). Co-opted members may not be given voting rights except where permitted by the relevant local authority in accordance with a scheme made by the local authority<sup>12</sup>.

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<sup>11</sup> i.e. county councils, district councils other than lower-tier district councils and London Borough councils. However, in general, health scrutiny functions may be delegated to lower-tier district councils (except for referrals – see regulations 28 and 29) or their overview and scrutiny committees, or carried out by a joint committee of those councils and another local authority.

<sup>12</sup> Section 9FA of and Schedule A1 to the Local Government Act 2000, Regulations 5 and 11 of the Local Authorities (committee system) (England) Regulations 2012 and Regulation 30 of the Local Authority (Public Health, Health and wellbeing boards and Health Scrutiny) Regulations 2013.

2.1.3 The position of councils which have returned to a committee system of governance is discussed in section 3 below.

2.1.4 The position in relation to these matters remains following the new legislation, but the legislation is extended to cover additional and new organisations and diverse local authority arrangements, as described in section 3 below.

## 2.2 For the NHS

2.2.1 Regulations under the Health and Social Care Act 2001 created duties on the NHS which mirror the powers conferred on local authorities. These duties are carried forward into the new legislation, and require the NHS to:

- Provide information about the planning, provision and operation of health services as reasonably required by local authorities to enable them to carry out health scrutiny (section 3 lists all those now covered by this requirement).
- Attend before local authorities to answer questions necessary for local authorities to carry out health scrutiny.
- Consult on any proposed substantial developments or variations in the provision of the health service<sup>13</sup>.
- Respond to health scrutiny reports and recommendations: NHS service commissioners and providers have a duty to respond in writing to a report or recommendation where health scrutiny requests this, within 28 days of the request. This applies to requests from individual health scrutiny committees or sub-committees, from local authorities and from joint health scrutiny committees or sub-committees.

2.2.2 These duties remain in place, and (following the abolition of PCTs and Strategic Health Authorities) now apply to CCGs; NHS England; local authorities as providers of NHS or public health services; and providers of NHS and public health services commissioned by CCGs, NHS England and local authorities. Additional responsibilities are described in section 3 below.

## 2.3 For patient and public involvement

2.3.1 Legislation has created a number of far-reaching requirements on the NHS to consult service users and prospective users in planning services, in the development and consideration of proposals for changes in the way services are provided and in decisions affecting the operation of those services.

2.3.2 For NHS trusts, the duty as to involvement and consultation is set out in section 242 of the 2006 Act (as amended by the Health and Social Care Act 2012). The public involvement duties of NHS England and of CCGs are set out in sections 13Q and 14Z2 respectively of the 2006 Act. These are separate duties from those set out in the Regulations discussed here. Together they add up to a web of local accountability for health services.

2.1.1 The Health and Social Care Act 2012 introduced local Healthwatch to represent the voice of patients, service users and the public; and health and wellbeing boards to promote partnerships across the health and social care sector. The Regulations set up formal relationships between local Healthwatch and local authority health scrutiny, to ensure

<sup>13</sup> Subject to exceptions as set out in the 2013 Regulations.

that the new system reflects the outcomes of involvement and engagement with patients and the public, as described in section 3 below.

## 3. Changes arising from the new legislation

### 3.1 Powers and duties – changes for local authorities

#### Councils as commissioners and providers of health services

- 3.1.1 As commissioners or providers of public health services and as providers of health services to the NHS, services commissioned or provided by local authorities are themselves within the scope of the health scrutiny legislation.
- 3.1.2 To that end local authorities may be bodies which are scrutinised, as well as bodies which carry out health scrutiny.
- 3.1.3 The duties which apply to scrutinised bodies such as the duty to provide information, to attend before health scrutiny and to consult on substantial reconfiguration proposals will apply to local authorities insofar as they may be “relevant health service providers”<sup>14</sup>.
- 3.1.4 Being both scrutineer and scrutinee is not a new situation for councils. It will still be important, particularly in making arrangements for scrutiny of the council’s own health role, to bear in mind possible conflicts of interest and to take steps to deal with them.

#### Councils as scrutineers of health services

- 3.1.5 The Local Government Act 2000 (as amended by the Localism Act 2011) makes provision for authorities:
- To retain executive governance arrangements (i.e. comprising a Leader and cabinet or a Mayor and cabinet).
  - To adopt a committee system of governance.
  - To adopt any other form of governance prescribed by the Secretary of State.
- 3.1.6 Health scrutiny arrangements will differ in some respects depending on the system that the council chooses to operate. Most importantly:
- Councils operating executive governance arrangements are required to have at least one overview and scrutiny committee. In this case, the scrutiny is independent of the executive.
  - If a council adopts a committee system, they can operate overview and scrutiny committees if they choose, but are not required to do so.
- 3.1.7 At present, most local authorities are retaining executive governance arrangements. For those councils moving to a committee system, a further discussion of the differences and implications for health scrutiny is included on page 16 below.
- 3.1.8 Generally health scrutiny functions are in the form of powers. However, there are certain requirements under the Regulations as follows. Local authorities on whom health scrutiny functions have been conferred should:
- Have a mechanism in place to deal with referrals made by Local Healthwatch organisations or contractors<sup>15</sup>.

<sup>14</sup> See section 244 of the NHS Act and Regulation 20 of the 2013 Regulations for the meaning of “relevant health service provider”.

<sup>15</sup> See Regulation 21 of the 2013 Regulations.

- Have a mechanism in place to respond to consultations by relevant NHS bodies and relevant health service providers on substantial reconfiguration proposals. Such responses could be made through the full council, an overview and scrutiny committee with delegated powers from the full council, a joint overview and scrutiny committee or a committee appointed under s101 of the Local Government Act.
- Councils also need to consider in advance how the members of a joint health scrutiny committee would be appointed from their council where the council was required to participate in a joint health scrutiny committee with other councils to respond to substantial reconfiguration proposals covering more than one council area.

### Conferral of health scrutiny function on full council

3.1.9 The National Health Service Act 2006, as amended by the Health and Social Care Act 2012, confers health scrutiny functions on the local authority, as distinct from any overview and scrutiny committee or panel within the local authority section 244 (2ZD). This new provision is designed to give local authorities greater flexibility and freedom over the way they discharge health scrutiny functions. The full council of each local authority will determine which arrangement is adopted. For example:

- It may choose to continue to operate its existing health overview and scrutiny committee, delegating its health scrutiny functions to the committee.
- It may choose other arrangements such as appointing a committee involving members of the public and delegating its health scrutiny functions (except the function of making referrals) to that committee.
- It may operate its health scrutiny functions through a joint scrutiny committee with one or more other councils.

3.1.10 As indicated above local authorities may delegate their health scrutiny functions under section 101 of the Local Government Act 1972 but are not permitted to delegate the functions to an officer (Regulation 29).

3.1.11 Executive members of councils operating executive governance arrangements (that is a Leader and cabinet or a Mayor and cabinet) may not be members of local authority overview and scrutiny committees or of their sub-committees or of joint health overview and scrutiny committees and sub-committees.

3.1.12 Overview and scrutiny committees are a proven model offering a number of benefits that other structures may not, including having a clear identity within the local authority, political balance and, in many cases, an established reputation within the local community for independence and accessibility.

### Delegation of health scrutiny function by full council

3.1.13 The legislation enables health scrutiny functions to be delegated to:

- An overview and scrutiny committee of a local authority or of another local authority (Regulation 28).
- A sub-committee of an overview or scrutiny committee (Local Government Act 2000).
- A joint overview and scrutiny committee (JOSC) appointed by two or more local authorities or a sub-committee of such a joint committee.
- A committee or sub-committee of the authority appointed under section 102 of the Local Government Act 1972 (section 101 of the Local Government Act 1972) (except for referrals).
- Another local authority (section 101 of Local Government Act 1972) (except for referrals).

3.1.14 Local authorities may not delegate the health scrutiny functions to an officer – this option under the Local Government Act 1972 is disapplied (disallowed) by Regulation 29.

3.1.15 If a council decides to delegate to a health scrutiny committee, it need not delegate *all* of its health scrutiny functions to that committee (i.e. it could retain some functions itself). For example, it might choose to retain the power to refer issues to the Secretary of State for Health as discussed below. Equally, it might choose to delegate that power to the scrutiny committee.

### Joint health scrutiny arrangements

3.1.16 As before, local authorities may appoint a discretionary joint health scrutiny committee (Regulation 30) to carry out all or specified health scrutiny functions, for example health scrutiny in relation to health issues that cross local authority boundaries. Establishing a joint committee of this kind does not prevent the appointing local authorities from separately scrutinising health issues. However, there are likely to be occasions on which a discretionary joint committee is the best way of considering how the needs of a local population, which happens to cross council boundaries, are being met.

3.1.17 Regulation 30 also requires local authorities to appoint joint committees where a relevant NHS body or health service provider consults more than one local authority's health scrutiny function about substantial reconfiguration proposals (referred to below as a mandatory joint health scrutiny committee). In such circumstances, Regulation 30 sets out the following requirements (see section 4 on consultation below for more detail).

- Only the joint committee may respond to the consultation (i.e. rather than each individual local authority responding separately).
- Only the joint committee may exercise the power to require the provision of information by the relevant NHS body or health service provider about the proposal.
- Only the joint committee may exercise the power to require members or employees of the relevant NHS body or health service provider to attend before it to answer questions in connection with the consultation.

3.1.18 These restrictions do not apply to referrals to the Secretary of State. Local authorities may choose to delegate their power of referral to the mandatory joint committee but they need not do so. If a local authority had already appointed a discretionary committee, they could even delegate the power to that committee if they choose to.

3.1.19 If the local authority has delegated this power, then they may not subsequently exercise the power of referral. If they do not delegate the power, they may make such referrals.

3.1.20 A situation might arise where one of the participating local authorities had delegated their power of referral to the joint committee but not the other(s). In such a case a referral could be made by: the JOSC or any of the authorities which had not delegated their power of referral to the JOSC, but not the authorities which had delegated their power of referral to the JOSC.

### Reporting and making recommendations

3.1.21 Regulation 22 enables local authorities and committees (including joint committees, sub-committees and other local authorities to which health scrutiny functions have been delegated) to make reports and recommendations to relevant NHS bodies and health

service providers. The following information must be included in a report or recommendation:

- An explanation of the matter reviewed or scrutinised.
- A summary of the evidence considered.
- A list of the participants involved in the review or scrutiny.
- An explanation of any recommendations on the matter reviewed or scrutinised.

3.1.22 A council can choose to delegate to an overview and scrutiny committee (including joint committee, sub-committee or another local authority) the function of making scrutiny reports and recommendations to relevant NHS bodies and health service commissioners. Alternatively, a council can choose to delegate only the function of *preparing* such reports and recommendations, and retain for itself the function of actually *making* that report or recommendation. The latter approach would give the full council the opportunity to endorse the report or recommendation before it was sent to the NHS.

3.1.23 Where a local authority requests a response from the relevant NHS body or health service provider to which it has made a report or recommendation, there is a statutory requirement (Regulation 22) for the body or provider to provide a response in writing within 28 days of the request.

### Conflicts of interest

3.1.24 Councils should take steps to avoid any conflict of interest arising from councillors' involvement in the bodies or decisions that they are scrutinising. A conflict might arise where, for example, a councillor who was a full voting member of a health and wellbeing board was also a member of the same council's health scrutiny committee or of a joint health scrutiny committee that might be scrutinising matters pertaining to the work of the health and wellbeing board.

3.1.25 Conflicts of interest may also arise if councillors carrying out health scrutiny are, for example:

- An employee of an NHS body.
- A member or non-executive director of an NHS body.
- An executive member of another local authority.
- An employee or board member of an organisation commissioned by an NHS body or local authority to provide services.

3.1.26 These councillors are not excluded from membership of overview and scrutiny committees, and, clearly, where the full council has retained the health scrutiny function, they will be involved in health scrutiny. However they will need to follow the rules and requirements governing the existence of interests in matters considered at meetings. Where such a risk is identified, they should consult their monitoring officer for advice on their involvement.

### Councils operating a committee system

3.1.27 Councils which have returned to a committee system under the Local Government Act 2000 may or may not have retained a council-wide overview and scrutiny function. If they have retained such function, they will be able to delegate their health scrutiny functions to overview and scrutiny committees in the same way as those councils operating executive arrangements that have executive and scrutiny functions.

- 3.1.28 Councils with a committee system that have not retained a council-wide scrutiny function will need to decide what to do about their health scrutiny functions. The health scrutiny function is conferred on the full council but delegation to a committee, joint committee, sub-committee or another local authority is permitted (except in the case of referrals in relation to which delegation under section 101 of the Local Government Act 1972 is not permitted). Therefore such a council might retain health scrutiny functions or delegate these to a committee, joint committee or sub-committee (or indeed to another council or its overview and scrutiny committee).
- 3.1.29 In deciding how to operate a health scrutiny function, councils operating a committee system will need to consider issues of potential conflicts of interest. Like upper tier and unitary councils, they will need to have a health and wellbeing board whose work will be within the scope of health scrutiny insofar as it relates to the planning, provision and operation of the health service. They may also have a health and social care committee or a stand-alone health committee which makes decisions about the commissioning of public health services. A conflict might arise where, for example, under a committee system, the members of any committee of the council which is taking commissioning decisions on public health services, are also members of its health scrutiny committee or where a health and social care committee of a council operating a committee system is also acting as a health overview and scrutiny committee. The solution might be to have a separate health overview and scrutiny committee, with different members.
- 3.1.30 Regardless of the governance arrangements being operated by a council, the health scrutiny function may not be delegated to an officer (Regulation 29).

### The role of district councils

- 3.1.31 As previously, under the new Regulations (Regulation 31), district councillors in two tier areas, who are members of district overview and scrutiny committees, may be co-opted by the upper tier county council onto health overview and scrutiny committees of those councils or other local authorities. Such co-option may be on a long term (i.e. for the life of the overview and scrutiny committee or until the county council decides) or ad hoc basis (i.e. for review and scrutiny of a particular matter) (Regulation 31).
- 3.1.32 District councillors in two tier areas may also (Regulation 30 read with the Local Government Act 2000) be co-opted onto joint health scrutiny committees between the upper tier county councils and other local authorities.
- 3.1.33 District councillors in two tier areas may also be on joint health scrutiny committees of the relevant district council and the upper tier county council (Regulation 30).
- 3.1.34 Many county councils have taken the opportunity to co-opt district councillors onto their scrutiny committees, as district councillors bring very local knowledge of their communities' needs and may also provide a useful link to enhance the health impact of district council services. Health and wellbeing strategies in two-tier areas are likely to include reference to the role of district councils in improving health and reducing inequalities, for example through their housing and leisure functions. As health and wellbeing boards' functions including their strategies (insofar as related to the planning, provision and operation of the health service) will be within the scope of health scrutiny, this provides an additional reason for considering the co-option of district councillors.



## 3.2 Powers and duties – changes for the NHS

### Extension of scope of health scrutiny

3.2.1 A significant change for the NHS in the new health landscape is the extension of certain duties in the Regulations to cover providers of health services (commissioned by NHS England, CCGs or local authorities) who are not themselves NHS bodies. Together with relevant NHS bodies these are known as ‘responsible persons’ in the legislation and these include:

- CCGs
- NHS England
- Local authorities (insofar as they may be providing health services to CCGs, NHS England or other local authorities).
- NHS trusts and NHS foundation trusts.
- GP practices and other providers of primary care services (previously not subject to specific duties under health scrutiny regulations as independent contractors, they are now subject to duties under the new Regulations as they are providers of NHS services).
- Other providers of primary care services to the NHS, such as pharmacists, opticians and dentists.
- Private and voluntary sector bodies commissioned to provide NHS or public health services by NHS England, CCGs or local authorities.

3.2.2 Under the Regulations, ‘responsible persons’ are required to comply with a number of duties to assist the health scrutiny function. These duties are underpinned by the duty of co-operation which applies between the NHS and local authorities under section 82 of the NHS Act 2006 which requires them, in exercising their respective functions, to co-operate with one another in order to secure and advance the health and welfare of the people of England and Wales.

### Required provision of information to health scrutiny

3.2.3 Regulation 26 imposes duties on ‘responsible persons’ to provide a local authority with such information about the planning, provision and operation of health services in the area of the authority as it may reasonably require to discharge its health scrutiny functions. All relevant NHS bodies and health service providers (including GP practices and other primary care providers and any private, independent or third sector providers delivering services under arrangements made by clinical commissioning groups, NHS England or the local authority) have a duty to provide such information.

3.2.4 In addition, the duty of candour under the NHS Standard Contract is also relevant in relation to the provision of information to patients generally.

3.2.5 The type of information requested and provided will depend on the subject under scrutiny. It may include:

- Financial information about the operation of a trust or CCG, for example budget allocations for the care of certain groups of patients or certain conditions, or capital allocations for infrastructure projects, such as community facilities.
- Management information such as commissioning plans for a particular type of service.
- Operational information such as information about performance against targets or quality standards, waiting times.

- Patient information such as patient flows, patient satisfaction surveys, numbers and types of complaints and action taken to address them.
  - Any other information relating to the topic of a health scrutiny review which can reasonably be requested.
- 3.2.6 Confidential information that relates to or identifies a particular living individual or individuals cannot be provided unless the individual or individuals concerned agree to its disclosure. However, the information can be disclosed in a form from which identification is not possible. In such a situation, health scrutiny bodies (i.e. councils or council health overview and scrutiny committees or sub-committees carrying out delegated health scrutiny functions) can require that the information be put in a form from which the individual cannot be identified in order that it may be disclosed.
- 3.2.7 In some cases, information, such as financial information, may be commercially sensitive. In such cases, it may be possible for health scrutiny to receive this information in confidence to inform, but not be directly referred to in, its reports and recommendations.

### Required attendance before health scrutiny

- 3.2.8 Members and employees of a relevant NHS body or relevant health service provider have a duty to attend before a local authority when required by it (provided reasonable notice has been given) to answer questions the local authority believes are necessary to carry out its health scrutiny functions. This duty now applies to all those listed at the beginning of this section. So, for example, if a local authority were to require the attendance of a member of a CCG, or of a private company commissioned to provide particular NHS services, it could do so under the Regulations. Bodies, the employees or members of which are required to attend by local authority health scrutiny, are expected to take the appropriate steps to ensure the relevant member or employee complies with this requirement<sup>16</sup>.
- 3.2.9 As regards the attendance of particular individuals, identification of the appropriate member or employee to attend will depend on the type of scrutiny review being undertaken and its aims. By way of example, where the local authority has required attendance of a particular individual, say the accountable officer of a clinical commissioning group, and it is not practicable for that individual to attend or if that individual is not the most suitable person to attend, the CCG would be expected to suggest another, relevant individual. Thus, in such situations, both the local authority and the commissioner or provider (as the case may be) would be expected to co-operate with each other to agree on a suitable person for attendance and, in doing so, to act reasonably at all times.

### Responding to scrutiny reports and recommendations

- 3.2.10 Depending on the topic being reviewed, reports and recommendations by local authority health scrutiny bodies may be made to any of the relevant NHS bodies or health service providers covered by the legislation (and, in the case of health scrutiny by a body to which the function has been delegated, to the delegating authority e.g. the relevant local authority or in the case of a sub-committee appointed by a committee, that committee or its local authority).

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<sup>16</sup> The meaning of 'member' is given in section 244 of the NHS Act 2006 and includes people who are members of committees or sub-committees of CCGs who are not members of the CCG, directors of NHS trusts and directors and governors of NHS foundation trusts. They also include directors of bodies which provide health services commissioned by NHS England, CCGs and local authorities.

- 3.2.11 Relevant NHS bodies and health service providers to which a health scrutiny report or and recommendation has been made must by law, if a response is requested, respond within 28 days of the request. Reports and recommendations are expected to be based on evidence. Respondents should take the evidence presented seriously, giving a considered and meaningful response about how they intend to take forward reports or recommendations. Meaningful engagement is likely to lead to improvements in quality and access to services.
- 3.2.12 Many local authorities, as part of their work plan, return to completed scrutiny reviews after a certain period – usually 6 months or a year – to find out whether and how their recommendations have been implemented and how they have influenced improvements. Relevant NHS bodies and health service providers to whom scrutiny reports have been presented should be prepared for this kind of follow-up and be able to report on progress and improvements resulting from scrutiny reviews.

### 3.3 Powers and duties – referral by local Healthwatch

- 3.3.1 Local Healthwatch organisations and contractors have specific roles which complement those of health scrutiny bodies. For example, they can “enter and view” certain premises at which health and social care services are provided. This can enable local Healthwatch to act as the “eyes and ears” of patients and the public; to be a means for health scrutiny to supplement and triangulate information provided by service providers; and to gain an additional impression of quality of services, safety and issues of concern around specific services and provider institutions. Health scrutiny bodies and local Healthwatch are likely each to benefit from regular contact and exchange of information about their work programmes. It may also be helpful in planning work programmes, to try to ensure that certain aspects are aligned. For example, if a health scrutiny body is planning a review of a certain service, it might be useful if local Healthwatch plans to visit the service in a timely way to inform the review.
- 3.3.2 Local Healthwatch organisations and their contractors carry out certain statutory activities including that of making reports and recommendations concerning service improvements to scrutiny bodies. This would cover the provision of information and the referral of matters relating to the planning, provision and operation of health services in their area (which could potentially include concerns about local health services or commissioners and providers) to local authority health scrutiny bodies.
- 3.3.3 Regulation 21 sets out duties that apply where a matter is referred to a local authority by a local Healthwatch organisations or contractors. The local authority must:
- Acknowledge receipt of referrals within 20 working days.
  - Keep local Healthwatch organisations (or contractors as the case may be) informed of any action it takes in relation to the matter referred.

## 4. Consultation

### 4.1 The context of consultation

- 4.1.1 The duty on relevant NHS bodies and health service providers to consult health scrutiny bodies on substantial reconfiguration proposals should be seen in the context of NHS duties to involve and consult the public. Focusing solely on consultation with health scrutiny bodies will not be sufficient to meet the NHS's public involvement and consultation duties as these are separate. The NHS should therefore ensure that there is meaningful and on-going engagement with service users in developing the case for change and in planning and developing proposals. There should be engagement with the local community from an early stage on the options that are developed.
- 4.1.2 The backdrop to consultation on substantial reconfiguration proposals is itself changing. The ideal situation is that proposals for change emerge from involving service users and the wider public in dialogue about needs and priorities and how services can be improved. Much of this dialogue may take place through representation of service users and the public on health and wellbeing boards and through the boards' own public engagement strategies. With increasing integration of health and care services, many proposals for change may be joint NHS-local authority proposals which may have been discussed at an early stage through the health and wellbeing board. Health scrutiny bodies should be party to such discussions – local circumstances will determine the best way for this to happen. If informally involved and consulted at an early enough stage, health scrutiny bodies in collaboration with local Healthwatch, may be able to advise on how patients and the public can be effectively engaged and listened to. If this has happened, health scrutiny bodies are less likely to raise objections when consulted.
- 4.1.3 NHS England has published good practice guidance for NHS commissioners on the planning and development of proposals for major service changes and reconfigurations. The guidance is designed to support commissioners, working with local authorities and providers, to carry out effective service reconfiguration in a way that puts quality of care first, is clinically evidence-based and which involves patients and the public throughout. It is intended to be used as a reference guide to help develop and implement plans in a clear and consistent way. The guidance is available at:  
<http://www.england.nhs.uk/wp-content/uploads/2013/12/plan-del-serv-chge1.pdf>

### 4.2 When to consult

- 4.2.1 Regulation 23 requires relevant NHS bodies and health service providers to consult a local authority about any proposal which they have “under consideration” for a substantial development of or variation in the provision of health services in the local authority's area. The term “under consideration” is not defined and will depend on the facts, but a development or variation is unlikely to be held to be “under consideration” until a proposal has been developed. The consultation duty applies to any “responsible person” under the legislation, i.e. relevant NHS bodies and health service commissioners which now come under the scope of health scrutiny as described above.
- 4.2.2 As previously, “substantial development” and “substantial variation” are not defined in the legislation. Many local authority scrutiny bodies and their NHS counterparts have developed joint protocols or memoranda of understanding about how the parties will

reach a view as to whether or not a proposal constitutes a “substantial development” or “substantial variation”. Although there is no requirement to develop such protocols it may be helpful for both parties to do so. The local authority may find a systematic checklist, of the kind often contained in such protocols, useful in reaching a view about whether a proposed development or variation is substantial and, for example, NHS commissioners may find it helpful in explaining to providers what is likely to be regarded as substantial.

### 4.3 Who consults

4.3.1 In the case of substantial developments or variation to services which are the commissioning responsibility of CCGs or NHS England, consultation is to be done by NHS commissioners rather than providers i.e. by the relevant CCG(s) or NHS England. When these providers have a development or variation “under consideration” they will need to inform commissioners at a very early stage so that commissioners can comply with the requirement to consult as soon as proposals are under consideration.

### 4.4 Timescales for consultation

4.4.1 The Regulations now require timescales to be provided to health scrutiny bodies and to be published by the proposer of substantial developments or variations, (Regulation 23). When consulting health scrutiny bodies on substantial developments or variations, a relevant NHS body or health service provider is required by the Regulations to notify the health scrutiny body of the date by which it requires the health scrutiny body to provide comments in response to the consultation and the date by which it intends to make a decision as to whether to proceed with the proposal<sup>17</sup>. These dates must also be published. This is so that local patients and communities are aware of the timescales that are being followed. Any changes to these dates must be notified to the relevant health scrutiny body and published. Constructive dialogue between relevant NHS bodies and health service providers on the one hand, and health scrutiny bodies on the other, when communicating on timescales for comments or decisions in relation to substantial developments or variations should help ensure that timescales are realistic and achievable.

4.4.2 It is sensible for health scrutiny to be able to receive details about the outcome of public consultation before it makes its response so that the response can be informed by patient and public opinion.

### 4.5 When consultation is not required

4.5.1 The Regulations set out certain proposals on which consultation with health scrutiny is *not* required. These are:

- Where the relevant NHS body or health service commissioner believes that a decision has to be taken without allowing time for consultation because of a risk to safety or welfare of patients or staff (this might for example cover the situation where a ward needs to close immediately because of a viral outbreak) – in such cases the NHS body or health service provider must notify the local authority that consultation will not take place and the reason for this.

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<sup>17</sup> Government guidance on consultation principles was published in July 2012 (see references).

- Where there is a proposal to establish or dissolve or vary the constitution of a CCG or establish or dissolve an NHS trust, unless the proposal involves a substantial development or variation.
- Where proposals are part of a trusts special administrator's report or draft report (i.e. when a trust has financial difficulties and is being run by an administration put in place by the Secretary of State) – these are required to be the subject of a separate 30-day community-wide consultation.

## 4.6 Responses to consultation

- 4.6.1 Where a health scrutiny body has been consulted by a relevant NHS body or health service provider on substantial developments or variations, the health scrutiny body has the power to make comments on the proposals by the date (or changed date) notified by the body or provider undertaking the consultation. Having considered the proposals and local evidence, health scrutiny bodies should normally respond in writing to the body undertaking the consultation and when commenting would need to keep within the timescale specified by them.
- 4.6.2 Where a health scrutiny's body's comments include a recommendation and the consulting organisation disagrees with that recommendation, that organisation must notify the health scrutiny body of the disagreement. Both the consulting organisation and the health scrutiny body must take such steps as are reasonably practicable to try to reach agreement. Where NHS England or a clinical commissioning group is acting on behalf of a provider, in accordance with the Regulations, as mentioned above, the health scrutiny body and NHS England or the CCG (as the case may be) must involve the provider in the steps they are taking to try to reach agreement.
- 4.6.3 Where a health scrutiny body has not commented on the proposal or has commented but without making a recommendation, it must notify the consulting organisation as to its decision as to whether to refer the matter to the Secretary of State and if so, the date by which it proposes to make the referral or the date by which it will make a decision on whether to refer the matter to the Secretary of State.

## 4.7 Referrals to the Secretary of State

- 4.7.1 Local authorities may refer proposals for substantial developments or variations to the Secretary of State in certain circumstances outlined below. The circumstances remain largely the same as in previous legislation.
- 4.7.2 The new Regulations set out certain information and evidence that are to be provided to the Secretary of State and the steps that must be taken before a referral can be made. On receiving a referral from a local authority, overview and scrutiny committee, joint committee or sub-committee, the Secretary of State may ask for advice from the Independent Reconfiguration Panel (IRP), an advisory non-departmental public body. The new Regulations do not affect the position of the IRP. The IRP will undertake an initial assessment of any referral to the Secretary of State for Health where its advice is requested. It may then be asked to carry out a full review. Not all referrals to the Secretary of State for Health will automatically be reviewed in full by the IRP – this is at the Secretary of State's discretion. The IRP has published a summary of its views on what can be learned from the referrals it has received and the reviews it has undertaken from the perspective both of the NHS and of health scrutiny. The IRP also offers pre-

consultation advice and support to NHS and other interested bodies on the development of local proposals for reconfiguration or significant service change - including advice and support on methods for public engagement and formal public consultation.

Relevant NHS bodies, health service providers and local authority scrutiny may also find it helpful to read its report on the *Safe and Sustainable* review of children's heart surgery, the first national reconfiguration proposal referred to the IRP, whose recommendations were accepted by the Secretary of State (see references).

4.7.3 The powers under the previous Regulations to refer matters relating to NHS foundation trusts to Monitor have been removed, as this was not considered appropriate to the role of Monitor and the new licensing regime.

### Circumstances for referral

4.7.4 The circumstances for referral of a proposed substantial development or variation remain the same as in previous legislation. That is, where a health scrutiny body has been consulted by a relevant NHS body or health service provider on a proposed substantial development or variation, it may report to the Secretary of State in writing if:

- It is not satisfied with the adequacy of content of the consultation.
- It is not satisfied that sufficient time has been allowed for consultation.<sup>18</sup>
- It considers that the proposal would not be in the interests of the health service in its area.
- It has *not* been consulted, and it is not satisfied that the reasons given for not carrying out consultation are adequate.

4.7.5 However, there are certain limits on the circumstances in which a health scrutiny bodies may refer a proposal to the Secretary of State.

In particular, where a health scrutiny body has made a recommendation and the relevant NHS body or health service provider has disagreed with the recommendation, the health scrutiny body may not refer a proposal unless:

- it is satisfied that reasonably practicable steps have been taken to try to reach agreement (with steps taken to involve the provider where NHS England or a CCG is acting on the provider's behalf) but agreement has not been reached within a reasonable time; or
- it is satisfied that the relevant NHS body or health service provider has failed to take reasonably practicable steps to try to reach agreement within a reasonable period.

In a case where a health scrutiny body has not commented on the proposal or has commented without making a recommendation, the health scrutiny body may not refer a proposal unless:

- It has informed the relevant NHS body or health service provider of-
  - its decision as to whether to exercise its power of referral and, if applicable, the date by which it proposed to exercise that power, or
  - the date by which it proposes to make a decision as to whether to exercise its power of referral.
- In a situation where it informed the relevant NHS body or health service provider of the date by which it proposed to decide whether to exercise the power of referral, it has made that decision by that date and informed the body or provider of the decision.

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<sup>18</sup> The referral power in the context of inadequate consultation only relates to the consultation with the local authority, and not consultation with other stakeholders.

## Who makes the referral?

- 4.7.6 Where a local authority has a health overview and scrutiny committee (e.g. under section 9F of the Local Government Act 2000, as amended by the Localism Act 2011) as the means of discharging its health scrutiny functions, the health overview and scrutiny committee may exercise the power of referral on behalf of the local authority where this has been delegated to it. The power of referral may also be delegated to an overview and scrutiny committee of another local authority in certain circumstances (Regulation 28). Where a local authority has retained the health scrutiny function for the full council to exercise, or where it has delegated some health scrutiny functions, but not the power of referral to a committee, the full council would make the referral.
- 4.7.7 Where a local authority has established an alternative mechanism to discharge its health scrutiny functions, such as delegation to a committee, sub-committee or another local authority under section 101 of the Local Government Act 1972, the referral power cannot be delegated to that committee, sub-committee or other local authority but must instead be exercised by the local authority as a function of the full council (or delegated to an overview and scrutiny as above, although local authorities would need to consider the appropriateness of separate delegation to an overview and scrutiny committee in such circumstances)<sup>19</sup>.
- 4.7.8 Where a local authority is participating in a joint overview and scrutiny committee (JOSC) (see pages 14-15), who makes the referral will depend on whether the power to refer has been delegated to the joint committee or retained by the local authority.
- 4.7.9 The following applies to both discretionary joint committees (i.e. where councils have chosen to appoint the joint committee to carry out specified functions) and mandatory joint committees (i.e. where councils have been required under Regulation 30 to appoint a joint committee because a local NHS body or health service provider is consulting more than one local authority's health scrutiny function about substantial reconfiguration proposals):
- Where the power to refer has been delegated to the joint committee, only the joint committee may make a referral.
  - Where the power to refer has not been delegated to the joint committee, the individual authorities that have appointed the joint committee (or health overview and scrutiny committees or sub-committees to whom the power has been delegated) may make a referral.
- 4.7.10 In the case of either mandatory or discretionary JOSCs, where individual authorities have retained the power to refer, they should ensure that they are in a position to satisfy the relevant requirements under Regulation 23 to include certain explanations and evidence with the referral. They should also ensure that they can demonstrate compliance with the conditions set out in Regulation 23(10), bearing in mind that in the case of a mandatory JOSC, only that JOSC may make comments to the consulting body and that, where the JOSC makes a recommendation which is disagreed with by the consulting body, certain requirements have to be satisfied before a referral can be made.

## Information and evidence to be sent to Secretary of State

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<sup>19</sup> See Regulation 29.



4.7.11 When making a referral to the Secretary of State, certain information and evidence must be included. Health scrutiny will be expected to provide very clear evidence-based reasons for any referral to the Secretary of State. These requirements are new since the previous Regulations, so they are given here in full. Referrals must now include:

- An explanation of the proposal to which the report relates.
- An explanation of the reasons for making the referral.
- Evidence in support of these reasons.
- Where the proposal is referred because of inadequate consultation, the reasons why the health scrutiny body is not satisfied of its adequacy.
- Where the proposal is referred because there was no consultation for reasons relating to safety or welfare of patients or staff, reasons why the health scrutiny body is not satisfied that the reasons given for lack of consultation are adequate.
- Where the health scrutiny body believes that proposals are not in the interests of the health service in its area, a summary of the evidence considered, including any evidence of the effect or potential effect of the proposal on the sustainability or otherwise of the health service in the area.
- An explanation of any steps that the health scrutiny body has taken to try to reach agreement with the relevant NHS body or health service provider.
- Evidence that the health scrutiny body has complied with the requirements which apply where a recommendation has been made.
- Evidence that the health scrutiny body has complied with the requirements which apply where a recommendation has not been made, or where no comments have been provided on the proposal.

4.7.12 The terms of reference of the IRP, in assessing proposals and providing advice to the Secretary of State, are to consider whether the proposals will provide safe, sustainable and accessible services for the local population. Referrals to the Secretary of State and information provided by consulting bodies when consulting health scrutiny will, therefore be most helpful if they directly address each of these issues.

## 5. References and useful links

### 5.1 Relevant legislation and policy

- Department of Health (2013), *The NHS Constitution: the NHS belong to us all*:  
<http://www.nhs.uk/choiceintheNHS/Rightsandpledges/NHSConstitution/Documents/2013/the-nhs-constitution-for-england-2013.pdf>
- Department of Health (2012), *The Mandate: A mandate from the Government to the NHS Commissioning Board: April 2013 to March 2015*:  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/213131/mandate.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/213131/mandate.pdf)
- Government guidance on consultation principles (2012):  
<https://www.gov.uk/government/publications/consultation-principles-guidance>
- Health and Social Care Act 2001, sections 7 – 10:  
<http://www.legislation.gov.uk/ukpga/2001/15/contents>
- Health and Social Care Act 2012, sections 190 – 192:  
<http://www.legislation.gov.uk/ukpga/2012/7/contents>
- Local Government Act 2000:  
<http://www.legislation.gov.uk/ukpga/2000/22/contents>
- The Localism Act 2011:  
<http://www.legislation.gov.uk/ukpga/2011/20/contents/enacted>
- National Health Service Act 2006, sections 244 – 245:  
<http://www.legislation.gov.uk/ukpga/2006/41/contents>
- Statutory Instrument No. 2013/218 The Local Authority (Public Health, Health and Wellbeing Boards and Health Scrutiny) Regulations 2013:  
<http://www.legislation.gov.uk/uksi/2013/218/contents/made>

### 5.2 Useful reading

- Centre for Public Scrutiny (2013): *Spanning the system: broader horizons for council scrutiny* (based on health scrutiny work on the health reforms in 14 local authority areas):  
[http://cfps.org.uk/domains/cfps.org.uk/local/media/downloads/L13\\_19\\_CfPSspanning\\_the\\_system\\_web.pdf](http://cfps.org.uk/domains/cfps.org.uk/local/media/downloads/L13_19_CfPSspanning_the_system_web.pdf)
- Centre for Public Scrutiny (2012): *Local Healthwatch, health and wellbeing boards and health scrutiny: roles, relationships and adding value*:  
[http://cfps.org.uk/domains/cfps.org.uk/local/media/downloads/L12\\_693\\_CFPS\\_Healthwatch\\_and\\_Scrutiny\\_final\\_for\\_web.pdf](http://cfps.org.uk/domains/cfps.org.uk/local/media/downloads/L12_693_CFPS_Healthwatch_and_Scrutiny_final_for_web.pdf)

- Centre for Public Scrutiny (2011), *Peeling the Onion*, learning, tips and tools from the DH-funded Health Inequalities Scrutiny Programme:  
[http://politiquessociales.net/IMG/pdf/CfPSPeelingonionfin\\_1\\_1\\_.pdf](http://politiquessociales.net/IMG/pdf/CfPSPeelingonionfin_1_1_.pdf)
- Centre for Public Scrutiny (2007): *Ten questions to ask if you're assessing evidence*:  
<http://www.cfps.org.uk/publications?item=209&offset=150>
- Independent Reconfiguration Panel (2010): *Learning from Reviews*:  
<http://www.irpanel.org.uk/lib/doc/learning%20from%20reviews3%20pdf.pdf>
- Independent Reconfiguration Panel (2013): *Advice on Safe and Sustainable proposals for children's heart services*:  
<http://www.irpanel.org.uk/lib/doc/000%20s&s%20report%2030.04.13.pdf>
- Institute of Health Equity (2008), *Fair Society, Healthy Lives* (the Marmot report):  
<http://www.instituteofhealthequity.org/projects/fair-society-healthy-lives-the-marmot-review>
- LGA and ADSO (2012), *Health and wellbeing boards: a practical guide to governance and constitutional issues*:  
[http://www.local.gov.uk/c/document\\_library/get\\_file?uuid=ca8437aa-742c-4209-827c-996afa9583ca&groupId=10171](http://www.local.gov.uk/c/document_library/get_file?uuid=ca8437aa-742c-4209-827c-996afa9583ca&groupId=10171)
- NHS England's guidance on the duty to involve (2013): *Transforming Participation in Health and Care* - <http://www.england.nhs.uk/wp-content/uploads/2013/09/trans-part-hc-guid1.pdf>
- NHS England (2013): *Planning and Delivering Service Change for Patients* - <http://www.england.nhs.uk/wp-content/uploads/2013/12/plan-del-serv-chge1.pdf>