

Shadow Dorset Council Executive Committee

Date: Monday, 15 October 2018
Time: 4.00 pm
Venue: Committee Rooms A&B, South Walks House,
Dorchester, Dorset DT1 1EE

Membership:

R Knox (Chairman), G Suttle (Vice-Chair), A Alford, P Batstone, S Butler, J Cant, G Carr-Jones, T Ferrari, S Flower, M Hall, J Haynes, C Huckle, S Jespersen, A Parry, M Penfold, B Quinn, S Tong, D Turner, D Walsh and P Wharf

Chief Executive (designate): Matt Prosser
South Walks House, Dorchester, Dorset DT1 1EE

For more information about this agenda please telephone Democratic Services on or Lee Gallagher I.d.gallagher@dorsetcc.gov.uk - 01305 224191

Publication Date: Friday, 5 October 2018

This agenda and reports are also available on the Council's [website](#).

Members of the public are welcome to attend this meeting with the exception of any items listed in the exempt part of this agenda.

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To receive any apologies for absence. | |
| 2 | DECLARATION OF INTERESTS
Councillors are required to comply with the requirements of the Localism Act 2011 regarding disclosable pecuniary interests. | |
| 3 | MINUTES
To confirm and sign the minutes of the previous meeting held on 17 September 2018. | 5 - 10 |
| 4 | PUBLIC PARTICIPATION
To receive any public questions or statements on the business of the Shadow Executive Committee. | |
| 5 | SHADOW EXECUTIVE FORWARD PLAN
To consider the Forward Plan of the Shadow Executive Committee. | 11 - 18 |
| <u>LOCAL GOVERNMENT REORGANISATION PROGRAMME</u> | | |
| 6 | PROGRAMME HIGHLIGHT REPORT
To consider a report by the Programme Director. | 19 - 48 |
| 7 | 2019/20 BUDGET AND MEDIUM TERM FINANCIAL FORECAST
To consider a report by the Lead Member for Finance. | 49 - 58 |
| 8 | FUTURE OF LOCAL PLANS IN DORSET
To consider a report by the Lead Member for Planning. | 59 - 66 |
| 9 | PARISH AND TOWN COUNCIL ELECTIONS - RECHARGING STRUCTURE
To consider a report by the Returning Officer. | 67 - 74 |
| 10 | SHAPING DORSET COUNCIL PROGRAMME - TIER 2 PROCESS, VOLUNTARY RELEASE
To consider a report by the Lead Member for HR and Workforce. | 75 - 78 |
| 11 | DELEGATION OF WASTE FUNCTION FOR CHRISTCHURCH
To consider a report by the Lead Member for Waste. | 79 - 88 |

RECOMMENDATIONS

(Recommendations made to the Shadow Executive Committee from committees or Dorset councils)

12 RECOMMENDATIONS FROM THE SHADOW OVERVIEW AND SCRUTINY COMMITTEE 89 - 112

To consider three recommendations from the Shadow Overview and Scrutiny Committee from meetings held on 31 July and 22 August 2018.

MATTERS FOR DECISION

(Referred to the Shadow Executive Committee by Dorset councils)

There are no matters to be considered at this meeting which require a decision by the Shadow Executive Committee which have been referred by any of the Dorset councils.

MATTERS FOR CONSULTATION

(Referred to the Shadow Executive Committee by Dorset councils)

13 INDEPENDENT SPECIAL SCHOOL PROVISION - FRAMEWORK TENDER AND AWARD 113 - 148

To consider a report by the Cabinet Member for Economy, Education, Learning and Skills – Dorset County Council. This report is scheduled to be considered by the County Council's Cabinet on 17 October 2018.

14 URGENT ITEMS

To consider any items of business which the Chair has had prior notification and considers to be urgent pursuant to section 100B (4) b) of the Local Government Act 1972. The reason for the urgency shall be specified in the minutes.

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Shadow Dorset Council

Executive Committee

**Minutes of meeting held at South Walks House, Dorchester
on Monday 17 SEPTEMBER 2018.**

Present: Cllrs Rebecca Knox (Chairman), G Suttle (Vice-Chair), S Butler, J Cant, G Carr-Jones, T Ferrari, S Flower, M Hall, J Haynes, C Huckle, S Jespersen, Andrew Parry, M Penfold, D Turner, D Walsh and P Wharf.

Officers present (for all or part of the meeting): Matt Prosser (Interim Head of Paid Service), Keith Cheesman (LGR Programme Director), Stephen Hill (Strategic Director, Dorset Councils Partnership), Steve Mackenzie (Chief Executive - Purbeck District Council), Jonathan Mair (Interim Monitoring Officer), Jason Vaughan (Interim Section 151 Officer) and Lee Gallagher (Democratic Services Manager - Dorset County Council).

43. **Apologies**

Apologies for absence were received from Cllrs Anthony Alford, Pauline Batstone and Barry Quinn.

44. **Declaration of Interests**

There were no declarations by members of disclosable pecuniary interests under the Shadow Dorset Council's Code of Conduct.

45. **Minutes**

The minutes of the previous meeting held on 28 August 2018 were confirmed and signed.

46. **Public Participation**

There were no public questions or statements received at the meeting in accordance with Standing Order 28.

47. **Shadow Executive Forward Plan**

The Committee received the latest draft Forward Plan, which included all decisions to be taken throughout the Shadow Dorset Council period until 1 April 2019.

Noted

48. **Programme Highlight Report**

The Committee considered a report by the Programme Director which provided an overview of the Local Government Reorganisation Programme including workstream activity, progress on Phase 2 in respect of Service Continuity Implementation Plans, the formation of Theme Boards, and the activity of the wider Programme Board. The progress so far was challenging and resource intensive, but assurance was provided that it was sufficient to meet the deadline of 1 April 2019 as day 1 of the new Council.

The formation of convergence plans was raised together with clarity regarding member and officer roles. It was confirmed that an Informal Shadow Executive Committee on 24

September 2018 would consider options for the convergence timeline, which had been accelerated from the original business case assumption of a two-year period. More detail would also be included in the Programme Highlight report to the next meeting on 15 October 2018.

Theme Boards would now be engaged to focus of Phase 3 transformation and convergence which needed to be closely linked to the activity of the Budget Working Group in relation to any achievable convergence savings. Further clarification was provided that any plans developed for convergence could not endanger processes such as TUPE, and also not to prevent any potential transformation at a later stage which would bring a greater benefit to the new Council.

Concern was expressed regarding stranded costs associated with the formation of the two new Dorset councils. It was clarified that there was no assumption of stranded costs in the original financial case prepared by Local Partnerships. The stranded costs currently amounted £5.4m which would change through effective vacancy management and would be addressed as part of convergence work.

Noted

49. **Risk Register**

The Committee considered a report by the Programme Director on the current status of the Programme risk management, together with the high impact risks. A consolidated risk register was currently being prepared to provide a corporate register, which would be available from October 2018 and would be brought to the Committee at its meeting on 12 November 2018. The Corporate Risk Register would provide a framework for all Shadow Council members to take moral collective responsibility for all risks.

The Leader of the Shadow Council indicated that she would engage with all Shadow Executive members outside of the meeting to ensure that all were receiving appropriate information to fulfil their lead member roles.

Decisions

1. That the Shaping Dorset Programme risk management process be agreed.
2. That the high impact (4 and 5) risks, description, rating and mitigating actions be approved.

Reason for Decisions

To report the current risks as agreed at the Risk Workshop on 22 August 2018.

50. **Local Council Tax Support Scheme**

The Committee considered a report by the Lead Member for Finance on the need for a Local Council Tax Support scheme for Dorset Council. An aligned scheme would be required from 2021/22, but this report outlined the benefits of having an aligned scheme for 2019/20 and the opportunities to help reduce customer confusion and local authority administration.

Decision

That the Committee agrees to undertake a review of the Local Council Tax Support scheme.

Reason for Decision

To help ensure that the Dorset Council Local Council Tax Support scheme treats claimants consistently, was clear to understand and easy to administer.

51. **Grants to Voluntary and Community Organisations**

The Committee considered a report by the Lead Member for Communities on a review of the grants to the voluntary and community sector to provide some certainty as to their future funding in advance of the budget setting process for Dorset Council. As part of the introduction of the report, the Lead Member asked for Recommendation 2 in the report be removed as there had not been an opportunity to gather enough information and assess the impact of a change in funding for Local Town Partnerships and that the funding for these bodies would roll forward in the same way as other funding. A robust review would then be undertaken of all grants early in the new financial year. Steve Mackenzie, Chief Executive of Purbeck District Council and lead officer for the report, summarised the remit of the exercise undertaken so far and also clarified that most of the funding arrangements were managed through Service Level Agreements which were due to end on 31 March 2019 except for East Dorset arrangements which were due to end on 31 March 2020. Further clarification was provided regarding the requested budget level which took account of an additional £52,698 in relation to the funding for the Citizen's Advice Bureau in North Dorset and Weymouth & Portland which had not been included in the figures. This increased the gross budget to £2,006,722 and the requested budget to £1,545,113.

On discussing the report, it was suggested that a caveat be added to the remit of the review of grants to ensure that there was a clear outcomes focus and evidence base for the continuation of funding. Reference also had to be made to the community benefits created as a result of the funding, together with an impact assessment of the additional income generated as a result of the use of the funding. All groups would be notified of the roll forward of funding and it would be made very clear that there would be a robust and fair review of all funding in the 2019/20 financial year.

Decisions

1. That grants which are given to organisations on a continuing basis are rolled forward for 2019/20, subject to the grants to pan-Dorset organisations being reduced to take account of the loss of Christchurch.
2. That comprehensive reviews of the grants be undertaken, to inform the budget setting process for 2020/21 and provide certainty to the sector.

Reason for Decisions

That there was a clear approach to grants to voluntary and community organisations in 2019/20, so that recipient organisations and Finance Officers could plan accordingly.

52. **Transfer of Services and Assets**

The Committee considered a report by the Leader of West Dorset District Council (WDDC) on "agreements in principle" established with Town and Parish Councils in West Dorset to take responsibility for discretionary services with a package of assets and money to facilitate the transfer in accordance with the principles for transfer of assets and services agreed by the Shadow Executive Committee on 20 July 2018.

Three questions were submitted by Cllr Cheryl Reynolds from WDDC as follows:

Will this committee confirm its commitment to localism and the devolution of services to local councils, to protect services and deliver long-term savings? Why are we making this so complicated? We must ask ourselves, can we afford not to accept proposals that clearly benefit the communities we represent?

In response to the questions, the Leader of the Shadow Dorset Council indicated that the Shadow Council was committed to working with local councils, but that proposals had to be in line with the agreed protocol and decisions would be taken in the best interest of all councils. Cllr Reynolds was thanked for her questions.

Cllr Alan Thacker, Portfolio holder for Community Safety and Access & Deputy Leader at WDDC, introduced the report and highlighted that this was a process which had started before Local Government Reorganisation to make more efficient provision of services and assets locally. As part of this, meetings had been taking place with Mayors and Clerks of Town Councils over the past year. The upfront cost and commitment was planned to come from WDDC reserves to implement proprietary work and to retain assets in the public sector.

The Interim Section 151 Officer confirmed that the value of the assets proposed to be transferred exceeded a financial threshold previously agreed by the Shadow Executive Committee. In the light of this the Interim Monitoring Officer advised that although the item appeared within the consultation part of the agenda, the value of the proposed asset transfers meant that they should not go ahead without the support of the Shadow Executive Committee. A proposal was tabled by Cllr Rebecca Knox, and seconded by Cllr Spencer Flower, not to support the proposed transfers.

Decision

That the proposals in relation to the transfer of assets and services considered by West Dorset District Council not be supported.

53. **Decision Making Activity of Dorset Councils**

The Committee received notification of the decision activity of Dorset councils. There were no matters raised in respect of decision making of Dorset Council.

Noted

54. **Shaping Dorset Council Programme - Operational Structures from Day 1 - Tier 2**

(Note: Jonathan Mair and Jason Vaughan withdrew from the meeting for this item.)

The Committee considered a report by the Leader of the Shadow Council and Lead Member for Human Resources on the recruitment of senior posts as a significant part of setting the culture of the new Dorset Council in accordance with design principles. A summary of the design principles, proposed structure, comments from consultation with officers, post requirements, salary ranges, timelines, and decision-making approach were provided. It was noted that the voluntary redundancy process would be reported to the next meeting on 15 October 2018.

Cllr Peter Wharf as the Lead Member for HR and Workforce explained that there had been differing views expressed by a range of officers including sovereign council Chief Executives to the proposed structure. He also explained that there may be some variation to the model depending on being able to secure the right people for the right roles. The role of Director of Public Health would not be included in the recruitment as this was a co-hosted position.

There was also an important need to ensure service continuity and it may therefore be necessary to use contractors or interims to ensure there were no vacancies. It was recognised that it may not be possible to attract ideal candidates to the roles such as those for Adult and Children's Services as they were for a Council which did not yet exist.

Reference was made to the need to be prepared to fully justify the reasoning for the roles being six times the Dorset average salary of £20k and to explain what tax payers would 'get for their money'.

At the end of the debate it was clarified that a report would be considered at the next Shadow Dorset Council meeting on 27 September 2018 to outline the member-led appointment process and to seek approval to make the necessary recruitment arrangements including confirmation of the salary ranges.

Decision

1. That the proposed tier 2 structure and one tier 3 post, for the purposes of engaging with employees be agreed.
2. That delegated authority be granted to the Interim Head of Paid Service, working in conjunction with the Leader of the Shadow Council and Shadow Executive Member Theme lead for HR and Workforce, to:
 - a. Finalise and agree the job titles, role profiles and the allocation of service responsibilities;
 - b. Arrange for the roles to be fully evaluated and to propose final salary recommendations to the Shadow Council at their meeting on 27 September 2018;
 - c. Run an engagement process with employees, enabling their views on the structure to be considered;
 - d. Agree the recruitment process and support to be made available to internal applicants; and,
 - e. Recruit and appoint an agency to support the selection centre process as set out in the report 4.1 to 4.3.
3. That the recruitment process be started from October 2018, once the employee engagement process is complete and appropriate comments/feedback have been taken on board.
4. That a report be considered at the 15 October 2018 Shadow Executive Committee on the Voluntary Redundancy principles and process.

Reason for Decisions

Not filling these posts would create high risk for the new council to operate effectively without statutory officer posts in place.

55. **Exempt Business**

Decision

That in accordance with Section 100 A (4) of the Local Government Act 1972 to exclude the public from the meeting in relation to the business specified below it was likely that if members of the public were present, there would be disclosure to them of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the public interest in disclosing the information to the public.

56. **Funding for Highway Maintenance - 2019/20**

The Committee considered a report by the Cabinet Member for Natural and Built Environment following activity to examine the current funding strategy in relation to the management of highway maintenance. A number of the recommendations within the report related to future revenue funding issues from 1 April 2019 and were for the Shadow Executive Committee to consider. The report was considered and approved by Dorset County Council's Cabinet on 5 September 2018.

Clarification was provided regarding the additional funding for highway maintenance in 2019/20 as a mixture of revenue and capital financing through the disposal of assets.

Recognition was given to the need to invest in highways maintenance and to commend the ongoing work of the Highways Team who worked incredibly hard with limited resources.

Decision

That the content of the Policy Development Panel's report be taken into account within future budget development work.

Reason for Decision

To address concerns about the current levels of maintenance and condition of the highway network.

57. **Urgent Items**

There were no items of urgent business pursuant to section 100B (4) b) of the Local Government Act 1972 considered at the meeting.

Duration of meeting: 4.00 - 5.30 pm

Chairman

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Shadow Dorset Council
DRAFT - Shadow Executive Committee - Forward Plan - November 2018

For the period 12 NOVEMBER 2018 to 31 JANUARY 2019
(publication date – 12 OCTOBER 2018)

Explanatory Note:

This Forward Plan contains future items to be considered by the Shadow Executive Committee. It is published 28 days before the next meeting of the Committee. The plan includes items for the meeting including key decisions. Each item shows if it is 'open' to the public or to be considered in a private part of the meeting.

Definition of Key Decisions

Key decisions are defined in the Shadow Dorset Council's Constitution as decisions of the Shadow Executive Committee which are likely to -

- (a) to result in the relevant local authority incurring expenditure which is, or the making of savings which are, significant having regard to the relevant local authority's budget for the service or function to which the decision relates (***Thresholds - Dorset County Council £500k and District and Borough Councils £100k***); or
- (b) to be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the relevant local authority."

When determining the meaning of "*significant*" for these purposes the Shadow Council will have regard to any guidance issued by the Secretary of State in accordance with section 9Q of the Local Government Act 2000 Act. Officers will consult with lead members to determine significance and sensitivity.

Private/Exempt Items for Decision

Each item in the plan above marked as 'private' will refer to one of the following paragraphs.

1. Information relating to any individual.
2. Information which is likely to reveal the identity of an individual.
3. Information relating to the financial or business affairs of any particular person (including the authority holding that information).
4. Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
5. Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
6. Information which reveals that the shadow council proposes:-
 - (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or
 - (b) to make an order or direction under any enactment.
7. Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

Subject / Decision	Decision Maker	Decision Due Date	Consultation	Background documents	Member / Officer Contact
Programme Highlight Report Key Decision - No Public Access - Open	Shadow Executive Committee	12 Nov 2018	<u>Consultees:</u> Members Services <u>Means of Consultation:</u> Task and Finish Groups Workshops Ongoing programme activity	None	Lead member - Leader of Shadow Dorset Council <i>Lead officer - Keith Cheesman, LGR Programme Director keith.cheesman@dorsetcc.gov.uk</i>
Risk Management Key Decision - No Public Access - Open	Shadow Executive Committee	12 Nov 2018	<u>Consultees:</u> Sovereign Councils Programme Board <u>Means of Consultation:</u> Meetings Correspondence	None	Lead member - Councillor Rebecca Knox <i>Lead officer - Matt Prosser, Chief Executive Designate matt.prosser@dorsetcouncil.gov.uk</i>
Forward Plan Key Decision - No Public Access - Open	Shadow Executive Committee	12 Nov 2018	<u>Consultees:</u> Shadow Executive Committee Dorset councils Programme Board <u>Means of Consultation:</u> Meetings	None	Lead member - Leader of Shadow Dorset Council <i>Lead officer - Lee Gallagher, Democratic Services Manager - Dorset County Council l.d.gallagher@dorsetcc.gov.uk</i>
Programme Gateway Review Process and Programme Budget Key Decision - Yes Public Access - Open	Shadow Executive Committee	12 Nov 2018	<u>Consultees:</u> Lead Members Task and Finish Groups Programme Board <u>Means of Consultation:</u> Correspondence Meetings	Programme Highlight Reports Programme Milestone Map	Lead member - Leader of Shadow Dorset Council <i>Lead officer - Keith Cheesman, LGR Programme Director keith.cheesman@dorsetcc.gov.uk</i>

<p>Policy Framework</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p> <p>Shadow Dorset Council</p>	<p>12 Nov 2018</p> <p>20 Feb 2019</p>	<p><u>Consultees:</u> Governance Task and Finish Group Dorset Monitoring Officers Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Spencer Flower</p> <p><i>Lead officer - Matt Prosser, Chief Executive Designate matt.prosser@dorsetcouncil.gov.uk</i></p>
<p>Dorset Council Branding</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>12 Nov 2018</p>	<p><u>Consultees:</u> Wider Member Engagement Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Rebecca Knox, Councillor Gary Suttle</p> <p><i>Lead officer - Keith Cheesman, LGR Programme Director keith.cheesman@dorsetcc.gov.uk</i></p>
<p>Disaggregation Update</p> <p>Key Decision - No Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>12 Nov 2018</p>	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>
<p>Future Operation of Leisure Facilities in Dorset</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>12 Nov 2018</p>	<p><u>Consultees:</u> None</p> <p><u>Means of Consultation:</u> None</p>	<p>None</p>	<p>Lead member - Councillor Mary Penfold</p> <p><i>Lead officer - Rebecca Kirk, General Manager, Public Health and Housing - Purbeck District Council</i></p>
<p>Future of the Public Health Partnership: Update and Key Issues under Local Government Reorganisation</p> <p>Key Decision - No Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>12 Nov 2018</p>	<p><u>Consultees:</u> Joint Public Health Board officers and portfolio holders from each member local authority.</p> <p><u>Means of Consultation:</u> Internal discussions, separately and jointly.</p>	<p>None</p>	<p>Lead member - Councillor Rebecca Knox</p> <p><i>Lead officer -</i></p>

<p>Peninsula Redevelopment Scheme</p> <p>Key Decision - Yes Public Access - Part exempt</p> <p>(Consultation referred from Weymouth and Portland Borough Council)</p>	Shadow Executive Committee	12 Nov 2018	<p><u>Consultees:</u> Harbour Management Board Weymouth and Portland Borough Council Management Committee and Full Council</p> <p><u>Means of Consultation:</u> Committee meetings Outline Planning Application Public Engagement</p>	Reports to Harbour Management Board, Management Committee and Full Council	<p>Lead member - Councillor Jeff Cant</p> <p><i>Lead officer - Martin Hamilton, Strategic Director</i> <i>mhamilton@dorset.gov.uk</i></p>
<p>Defining the Relationship Between the Local Authority, Schools and Academies</p> <p>Key Decision - Yes Public Access - Open</p> <p>(Decision/Consultation referred to Dorset County Council)</p>	Shadow Executive Committee	12 Nov 2018	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor Andrew Parry</p> <p><i>Lead officer - Nick Jarman, Interim Director for Children's Services</i> <i>nick.w.jarman@dorsetcc.gov.uk</i></p>
<p>Home to School Transport and Post 16 Transport Assistance Policy 2019/20</p> <p>Key Decision - Yes Public Access - Open</p> <p>(Decision referred from Dorset County Council)</p>	Shadow Executive Committee	12 Nov 2018	<p><u>Consultees:</u> All Schools, neighbouring local authorities, all town and parish councils, all County Council members, parents and carers</p> <p><u>Means of Consultation:</u> Email to stakeholders; all district/town/parishes; members; all schools Information on County Council Admissions webpages</p>	Home to School Transport Assistance Eligibility Policy for Children and Young People Attending School 2019/20 Dorset Post 16 Transport Support Policy 2019/20	<p>Lead member - Councillor Daryl Turner</p> <p><i>Lead officer - Debbie Ward, Chief Executive - Dorset County Council</i> <i>d.ward@dorsetcc.gov.uk</i></p>
<p>Making of Consequential Order relating to Civic Functions</p> <p>Key Decision - Yes Public Access - Open</p>	Shadow Executive Committee	10 Dec 2018	<p><u>Consultees:</u> Governance Task and Finish Group Monitoring Officers Group</p> <p><u>Means of Consultation:</u> Meetings</p>	None	<p>Lead member - Councillor Spencer Flower</p> <p><i>Lead officer - Jonathan Mair, Interim Monitoring Officer</i> <i>j.e.mair@dorsetcc.gov.uk</i></p>

<p>Local Area Arrangements</p> <p>Key Decision - Yes Public Access - Open</p>	Shadow Executive Committee	10 Dec 2018	<p><u>Consultees:</u></p> <p><u>Means of Consultation:</u></p>	None	<p>Lead member - Councillor Sherry Jespersen</p> <p><i>Lead officer - Stephen Hill, Strategic Director, Dorset Councils Partnership shill@dorset.gov.uk</i></p>
<p>HR Consultation Programme with Trade Unions</p> <p>Key Decision - No Public Access - Open</p>	Shadow Executive Committee	10 Dec 2018	<p><u>Consultees:</u> Programme Board Trade Unions</p> <p><u>Means of Consultation:</u> Meetings</p>	None	<p>Lead member - Councillor Peter Wharf</p> <p><i>Lead officer - Keith Cheesman, LGR Programme Director keith.cheesman@dorsetcc.gov.uk</i></p>
<p>Budget 2019/20 and Medium Term Financial Forecast - Update</p> <p>Key Decision - No Public Access - Open</p>	Shadow Executive Committee	7 Jan 2019	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	None	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>
<p>Council Tax Discounts, Long Term Empty Charges</p> <p>Key Decision - Yes Public Access - Open</p>	Shadow Executive Committee	7 Jan 2019	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	None	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>
<p>Business Rates Relief</p> <p>Key Decision - Yes Public Access - Open</p>	Shadow Executive Committee	7 Jan 2019	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	None	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>

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<p>Insurance Arrangements</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>7 Jan 2019</p>	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>
<p>Constitution - Dorset Council</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p> <p>Shadow Dorset Council</p>	<p>14 Jan 2019 20 Feb 2019</p>	<p><u>Consultees:</u> Governance Task and Finish Group Monitoring Officers Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Spencer Flower</p> <p><i>Lead officer - Jonathan Mair, Interim Monitoring Officer j.e.mair@dorsetcc.gov.uk</i></p>
<p>Members Allowances Scheme 2019/2020</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>14 Jan 2019</p>	<p><u>Consultees:</u> Independent Remuneration Panel Governance Task and Finish Group Monitoring Officers Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Spencer Flower</p> <p><i>Lead officer - Jonathan Mair, Interim Monitoring Officer j.e.mair@dorsetcc.gov.uk</i></p>
<p>Transition Period Plan (operating arrangements and interim transition)</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>14 Jan 2019</p>	<p><u>Consultees:</u> Governance Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Leader of Shadow Dorset Council</p> <p><i>Lead officer - Keith Cheesman, LGR Programme Director keith.cheesman@dorsetcc.gov.uk</i></p>
<p>Legal and Democratic Operating Model</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>14 Jan 2019</p>	<p><u>Consultees:</u> Governance Task and Finish Group Monitoring Officers Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Spencer Flower</p> <p><i>Lead officer - Jonathan Mair, Interim Monitoring Officer j.e.mair@dorsetcc.gov.uk</i></p>

<p>Weymouth Town Council</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>14 Jan 2019</p>	<p><u>Consultees:</u> None</p> <p><u>Means of Consultation:</u> None</p>	<p>None</p>	<p>Lead member - Leader of Shadow Dorset Council</p> <p><i>Lead officer - Keith Cheesman, LGR Programme Director keith.cheesman@dorsetcc.gov.uk</i></p>
<p>Corporate Plan</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p> <p>Shadow Dorset Council</p>	<p>11 Feb 2019</p> <p>20 Feb 2019</p>	<p><u>Consultees:</u> None</p> <p><u>Means of Consultation:</u> None</p>	<p>None</p>	<p>Lead member - Leader of Shadow Dorset Council</p> <p><i>Lead officer - Matt Prosser, Chief Executive Designate matt.prosser@dorsetcouncil.gov.uk</i></p>
<p>2019/2020 Budget</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p> <p>Shadow Dorset Council</p>	<p>11 Feb 2019</p> <p>20 Feb 2019</p>	<p><u>Consultees:</u> Public and Business Sector Councillors Budget Task and Finish Group Dorset Finance Officers Group</p> <p><u>Means of Consultation:</u> Meetings Public and Business Sector Consultation</p>	<p>None</p>	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>
<p>Capital Strategy</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>11 Feb 2019</p>	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>
<p>Treasury Management Strategy</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>11 Feb 2019</p>	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>

<p>Local Council Tax Support Scheme</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>11 Feb 2019</p>	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>
<p>Financial Regulations</p> <p>Key Decision - Yes Public Access - Open</p>	<p>Shadow Executive Committee</p>	<p>11 Feb 2019</p>	<p><u>Consultees:</u> Budget Task and Finish Group</p> <p><u>Means of Consultation:</u> Meetings</p>	<p>None</p>	<p>Lead member - Councillor Tony Ferrari</p> <p><i>Lead officer - Jason Vaughan, Interim Section 151 Officer jvaughan@dorset.gov.uk</i></p>

Shadow Dorset Council

Date of Meeting	15 October 2018
Officer	Keith Cheesman, Programme Director
Subject of Report	Programme Highlight Report
Executive Summary	This report provides an update on progress since the last meeting on 17 September 2018, including a request for a change control on convergence, and an update on the internal audit of the Programme Governance.
Impact Assessment:	<p>Equalities Impact Assessment: None in relation to the highlight report.</p> <p>If the change control is agreed, an EQIA will be developed as part of the detailed planning for the work.</p>
	<p>Use of Evidence:</p> <p>This report has been written in consultation with Project Managers, Subject Matter Experts, other members of the Programme Team, and information from the South West Audit Partnership’s Internal Audit of Programme Governance</p>
	<p>Budget:</p> <p>Subject to recommendation 2 below, convergence will become a new component of the Programme. The resources required will be identified once the baselining has been done and the scale of the work becomes clear.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: Amber</p>

	<p>Other Implications:</p> <p>There will be a significant impact on resources to deliver the convergence work both in terms of support functions (HR, Finance, Project Management) and managers in delivering restructuring change whilst enabling service continuity for day 1 of the new council.</p>
Recommendations	<p>That the Shadow Executive Committee:</p> <ol style="list-style-type: none"> 1. Notes the progress made as described below 2. Agrees the Change Control Request on convergence 3. Delegates responsibility to the Head of Paid Service, in consultation with the Convergence and Transformation Member Working Group, to agree the structure proposals for consultation purposes 4. Notes the SWAP Programme Governance Follow Up Report, and the Programme response
Reason for Recommendation	To provide assurance that the Programme is progressing properly, and change is controlled and managed
Appendices	<ol style="list-style-type: none"> 1. Programme highlight report 2. Change Control for Convergence – Scope and Initial Timeline 3. SWAP Programme Governance Follow Up Report (1 October 2018)
Background Papers	<ol style="list-style-type: none"> 1. SWAP Programme Governance Report 26 July 2. SWAP Programme Governance Follow Up Report 10 August
Officer Contact	<p>Name: Keith Cheesman Tel: 01305 221227 Email: keith.Cheesman@dorsetcc.gov.uk</p>

1. Programme Progress Summary

- 1.1 The highlight report attached at Appendix 1 is the second in the new format. It provides a more visual, summarized view of progress, with greater visibility both of the range of activity underway, and activity planned through to the end of the programme.
- 1.2 At the time of writing, overall progress remains at Amber. Work on the implementation plans continues, with theme boards making significant progress on developing the detailed service continuity plans. Due to the scale and complexity of the work, the plans are running approximately two weeks behind schedule.
- 1.3 The first gateway Review is due to take place from 15 October and will be reported to Shadow Executive Committee on 12 November. The objective of the first review will be:
 - To ensure that the discovery phase has been completed satisfactorily
 - To confirm that the implementation plans are sound and achievable with an appropriate level of resource in place

2. Change Control Request: Convergence

2.1 Background

2.1.1 The scope for the Shaping Dorset Council programme is focussed on ensuring that the new council can operate on a safe and legal basis from 1 April. As a result, apart from the Chief Executive and Tier 2 structure, the Programme has not yet included work on restructuring teams to take account of the fact that like-type teams will be coming together to deliver services from 1 April 2019.

2.1.2 The Budget and Medium Term Financial Report (below) provides details of the latest position in respect of the 2019/20 budget. It is recognised that work needs to be undertaken to identify savings from posts as teams converge, and for a process to be implemented to realise these savings as soon as possible after 1 April 2019. As a result of this requirement, a change control is proposed to enable this work to be fully scoped and implemented as part of the Shaping Dorset Council programme.

2.1.3 The proposed change control scope attached at Appendix 2 outlines an approach to restructuring for the new organisation in response to bringing teams together. It does not relate to transformational redesign that will be developed and implemented after vesting day. The following definitions (in the context of Shaping Dorset) describe the difference:

- **Restructure:** Restructuring of like-type teams from the existing six councils, based on existing structures, by bringing them together and removing duplication where this enhances operational effectiveness and does not put at risk service continuity. To be implemented post vesting day and to deliver savings for the financial year 2019/20 and beyond.
- **Redesign:** Transformational redesign of the organisation, including but not exclusively, relating to organisational structures and based on the operating principles designed and agreed by the Shadow Executive. At officer level, this will be led by the Chief Executive.

2.2 Scope

2.2.1 The scope of the work is attached at Appendix 2 and will be:

- To determine opportunities where like-type teams from different councils can be joined together as soon as possible post 1 April 2019 and where aligning designing structures will allow some posts to be deleted from the structure, following appropriate processes being followed.
- To focus on tiers 3 (those roles reporting into the agreed Tier 2 structure) and further team and service alignment below Tier 3 for some roles.
- A high level restructure design and consultation to commence before the 1 April but, in line with TUPE regulations, no changes to be implemented before the date of the transfer.

- Opportunities for Voluntary Release and Early Retirement to be explored, once the initial design work has been completed.

2.3 Risks & Issues

2.3.1 The following risks and issues will be taken into consideration and mitigated in implementing this change control:

- Compliance with TUPE legislation – whilst we can start consultation prior to the 1 April, all staff have the right to TUPE to the new organisation and no compulsory redundancies can be made until consultation with the new organisation has taken place, after 1 April 2019.
- Impact on motivation and service delivery - timing of any restructuring will be critical to minimise the impact on service continuity
- Resource impact – significant resources will be required from the programme team and service areas in order to design and implement new structures.
- The ongoing negative impact of successive restructuring (restructure and then transformational redesign).
- Potential loss of required resources and talent too early and which are needed to enable the transformation (can be mitigated by deferred redundancy agreements – voluntary release).
- Final design and appointments to new posts are dependent on the new pay and grading structure being agreed.
- Tier 2 appointments will not be confirmed until December and new appointees may not start until March. This may lead to limited, if any, involvement from Tier 2s in leading or signing-off the new structures.
- Requirements from the scheme of delegation and the requirement of statutory posts will need to be linked to this process.
- An agreed “Managing Change Process” will need to be agreed to enable appropriate consultation, selection and redundancy processes to be applied.

2.4 Key Milestones

2.4.1 The following key milestones and timeline are proposed:

Member Convergence Working Group Set-Up	w/c 1 October
High level design of restructuring proposals (Head of Paid Service, with programme and functional manager support)	Oct – December 2018
Design and agreement of single pay & grading structure for new staff in Dorset Council	September – December 2018
Detailed design work for Tiers 3 and 4	October – December 2018
Scheme of delegation confirmed	December 2018 – February 2019
Tier 2s in place	December – March (tbc) 2019
Start & finish consultation (subject to any agreement on priority/phased implementation)	January – May 2019

Initiate targeted and managed conversations about pre-transfer redundancy consultation or the option of voluntary release	January – April 2019
Selection process	March - May 2019
Notice given (1-3 months' notice depending on contract of employment)	May onwards 2019 (based on phasing)
Savings realised	From June 2019

3. SWAP Internal Audit

- 3.1 Programme Board commissioned a report from Internal Audit (SWAP) to provide a high-level review of the LGR programme governance, to form an opinion on the adequacy, design and integrity of the arrangements in place to deliver the intended outcomes of the programme. The initial report and first follow-up report are recorded as background papers. The latest follow-up report is attached at Appendix 3 in full to this report.
- 3.2 The latest SWAP report was published without consultation with the Programme Team. The headline findings, and Programme Board's response, are below:

SWAP Headline Conclusions	Programme Board Response
Programme governance has improved since our last assurance overview, with more clarity and rigour applied to the programme arrangements. The programme structure has been established and embedded, with greater clarity around roles and responsibilities	This finding is welcome
Programme planning and oversight of programme highlights and milestones has improved, although finalising service continuity implementation plans is likely to be slightly delayed beyond their end of September deadline; this will impact on the closure of Phase 1 of the programme	This finding is welcome
Programme decision-making, risk management arrangements and dependency mapping mechanisms and reporting have been developed, with more transparency and rigour now in place.	This finding is welcome
However, from a more detailed review of key programme documentation, we identified a range of errors, omissions or inconsistencies that could cause confusion or undermine oversight, management of risks & issues, and decision-making. [Evidence for this conclusion is on page 3 of the report which notes ' <i>we identified a number of omissions and inconsistencies when comparing the risks included in the workstream programme highlight reports, to those included on the risk appendix</i> '].]	The risks and issues and decision logs are dynamic documents that change daily. Frequent change to the control tools demonstrates that they are being actively used.
Since our previous assurance review, there has been further discussion and shift in relation to the agreed scope and timescales of Phase 3 of the programme. There is a need to ensure that these changes are appropriately captured through	Agreed. The formal change control request forms part of this report

<p>change control mechanisms; ensuring that all changes are formally agreed and documented at the appropriate levels</p>	
<p>Due to the very recent change in programme timescales regarding the acceleration of Phase 3 convergence, the risk profile of the programme, along with the corresponding workload in advance of April 2019 will significantly increase</p>	<p>Agreed. As soon as Shadow Executive Committee agree the change control, the risk register will be reviewed and is likely to change significantly</p>
<p>Resources and capacity to accommodate the original scope and timescales of the programme had been matched and implemented. However, due to the acceleration of original timescales for convergence, there are now likely to be significant short-term resource demands and potential shortages</p>	<p>Agreed. Resourcing for convergence was never within the original scope or resource plan of the Shaping Dorset Council Programme.</p>

OVERALL PROGRAMME STATUS – DATE:3 OCTOBER 2018

Overall status	↔	Scope	↔	Budget	↔	Time	↔	Resource	↔	Stakeholder	↔	Risk & Issue	↔
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Work on the implementation plans continues with Theme Boards making significant progress on developing the detailed service continuity plans. These plans, due to the volume and complexity are running a little later than planned, Programme Board now comprises all Tier 1 and Tier2 post holders. Appointment of the permanent Chief Executive (designate), completed in this period, is a major milestone for the programme and the new Council. Detailed work on the plans for Phase 3 is underway, to meet the requirement for both convergence and transformation at a pace accelerated by the increasing 2019/20 budget preparation. The programme remains at Amber

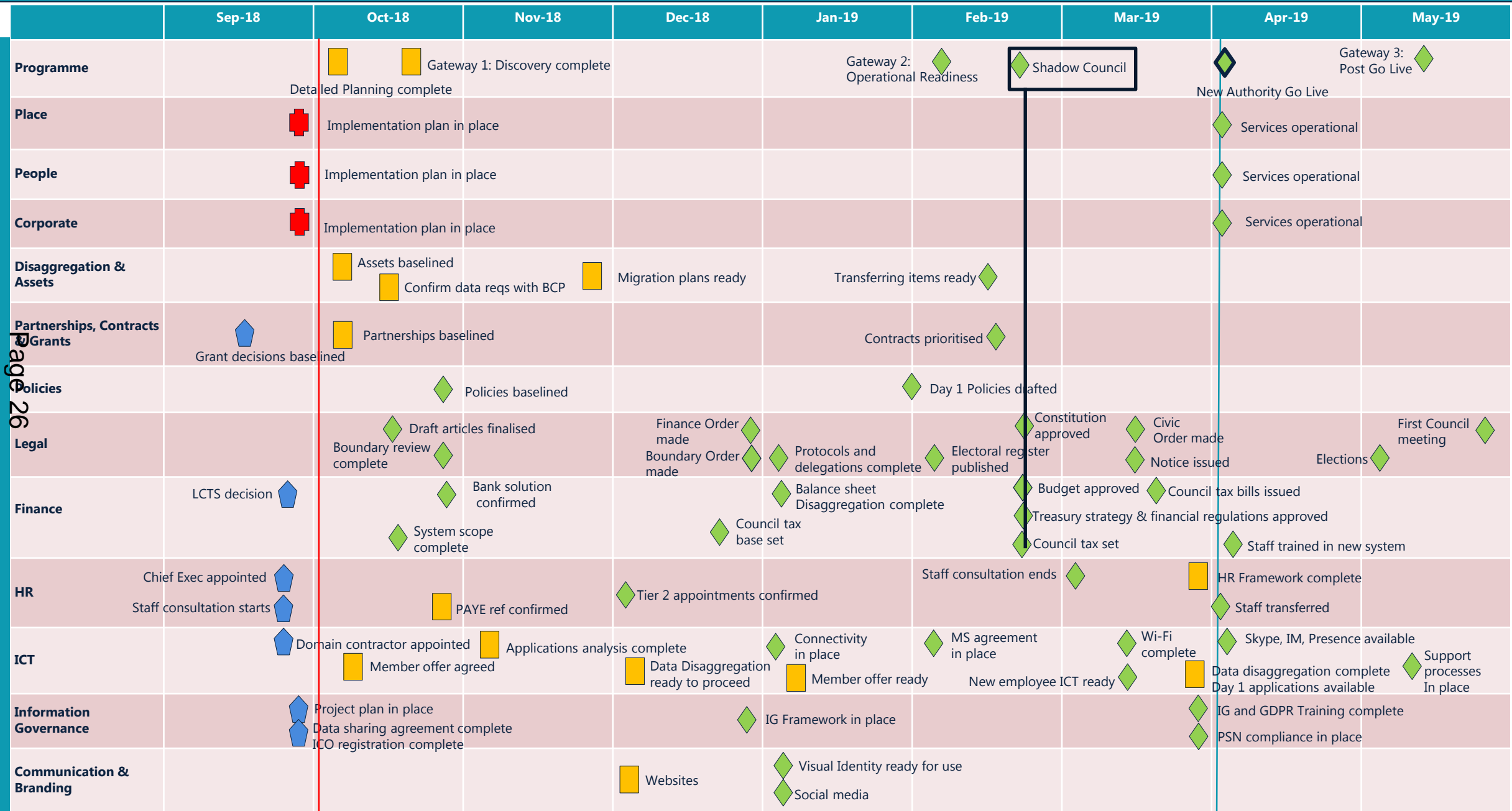
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Return to Green	↔	Resources and detailed plans from key service areas; Phase 3 Resources being agreed and in place; Agreement of the Convergence Plan.	
Change Requests	↔	Convergence Change Control 2 in progress – change in scope for early activity and areas in-scope	
Resources	↔	Phase 2 resource requirements almost entirely met now, Phase 3 resources is an issue set out below.	
Plan	↔	SWAP reviews will continue; Gateway review is delayed by a week or two due to delayed implementation plans	
Benefits	↔	Part of the Gateway process being introduced is to enable the baselining and assessment of services, both external and internal, to understand any impacts of the transition and to be clear about the measures and metrics being applied to that assessment.	
This week		Issue/Risk	Mitigation
Top Issue		Resources required to deliver the Phase 3 plan will greatly exceed those within the current programme; this requirement will need to be resourced	Plan needs to be created and agreed with appropriate resourcing plan formed around the planned workload and timetable. Suitable experience and skills will be a major factor in determining whether these are internal or externally sourced
Top Risk	5-4 20	Data disaggregation is of critical importance and decisions appear to being progressed separately in both SDC and BCP Programmes.	Without a coordinated approach to decision making, plans will likely be at counter point to one another and will not provide assurance to colleagues and customers of the continuity of service

Programme Milestone Plan – 1st October 2018

Workstreams

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KEY: ◆ Blue - Complete ◆ Green - On Track ■ Amber – plan variation or off track but recoverable without impact to the overall programme ■ Red – Late or off track or no agreed plan, significant risk to the overall programme

WS1: LEGAL AND DEMOCRATIC - STATUS UPDATE

Workstream Sponsor: Jonathan Mair
 Project Manager: Andy Norman

Date: 03/10/2018

Workstream RAG

G



Overall Workstream Summary

Considerable effort now being focused on drafting the constitution for Shadow Council approval, likely in December. This poses a significant challenge to the Legal and Democratic Services teams.

Key Initiative Achievements (This Week)

- Work continuing the constitution with questions issued to members around Procedural Rules, and drafting of protocols. Timeline for production of constitution by December planned, to be discussed with Governance Working Group on 1st October.
- Planning teams engaged in preferences for number of and areas covered by planning areas for discussion with the Governance Working Group.
- Specification for printing of electoral material drafted and sent to DCC Procurement.
- Location identified for single count venue for elections in May 2019.
- Agreement with the ICT workstream on the approach to the consolidation of Xpress electoral system by January 2019.

Key Initiative Activities (Planned Next Week)

- Further work on the constitution and confirmation of the timeline for the drafting of the constitution, with a likely Council meeting planned for December to approve the draft.
- Drafting of paper on the transitional governance arrangements for April to May 2019 to be submitted to the Governance Working Group on 24 October.

Next milestones

Milestone	RAG	Due Date	Target Date
Draft articles finalised	G	August 2018	24 October 2018
Boundary Review complete	G	October 2018	
Drafting of constitution completed	G	January 2019	
Finance Order made	G	December 2018	
Boundary order made	G	December 2018	
Electoral register published	G	February 2019	
Constitution approved	G	February 2019	
Notice of election issued	G	March 2019	
Civic Order made	G	March 2019	
Elections	G	2 May 2019	
First Dorset Council meeting	G	May 2019	

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	ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
	Top Risk	79			Judicial Review - Challenge by Mr.Somerville-Ford to the financial basis of the business case for the creation of the unitary authorities	This could potentially delay the programme or prevent it from continuing	5	3	15	We are continuing to press MHCLG to obtain a decision from the court on whether or not the review will be allowed and a hearing scheduled.	Jonathan Mair
Top Issue	ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan			Owner	Due Date
				There are no live issues at present							

WS2: FINANCE- STATUS UPDATE

Workstream Sponsor: Jason Vaughan
Project Manager: Rosie Dilke

Date: 03/10/2018

Workstream RAG

A



Overall Workstream Summary

Members in Budget Working Group & Shadow Exec have agreed to push forward convergence savings and savings to close the budget gap produced by stranded costs with BCP. No service reductions are planned for 19/20.

Key Initiative Achievements (Last Fortnight)

Convergence is now a new Workstream within the Shaping Dorset Programme, with Jason Vaughan as the sponsor. This is being resourced in collaboration with the HR lead Nicola Houwayek.
All member sessions were held on 19th September on the Budget.
Finance Officers Group made the decision to move as many processes as possible onto SAP for 1/4/19 and to, in parallel and working with the Transformation Workstream, look at what a future IT system for Dorset Council would look like.

Key Initiative Activities (Planned Next Fortnight)

Budget Working Group 10/10/18 will focus on Capital, DSG and Disaggregation with BCP
A principles paper is in production on Fees & Charges to be made available to Programme Board members and other Workstreams.
Collaboration leading to decisions on the process and applications to be used across the Dorset Council area for Ordering and Receiving goods.

Next milestones

Milestone	RAG	Due Date	Target Date
Internal auditors appointed	C	21/8/18	Done
Collection Fund: Local Council Tax support Scheme (LCTS) : Shadow Exec 17/9/18 agreed to undertake a review	C	End Sept '18	End Sept '18
Financial System harmonisation – setting scope for software changes	G	Mid Oct '18	Mid Oct '18
Bank solution confirmed	G	End Oct '18	End Oct '18
Council tax base set	G	Dec '18	Dec '18
Agreement of debt and reserve percentages between Dorset & BCP	A	Dec '18	Dec '18
Budget approved	G	20/2/19	20/2/19

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Top Risk

ID	Raised By	Date Raised	Risk Description	DSG	I	P	RS	Mitigation Plan	Owner	Date Due
106	Jason Vaughan	July '18	Financial impact of 'stranded' costs between BCP & Dorset Councils following TUPE	This is currently estimated (Sept 2018) to be £5.4m (net).	5	3	15	HR Workstream is looking to mitigate this which would reduce this by £2.444m. Vacancy control process in place. HR mitigation process	Jason Vaughan	Oct. '18
ID	Raised By	Date Raised	Issue Description	Impact Statement	S			Resolution Plan	Owner	Due Date
16	Jason Vaughan	June '18	Interdependencies with other government bodies causes delays.	The Finance Consequential Order is due to be laid in Parliament in November. If this is delayed the Finance Workstream will not be able to achieve a safe and legal position for 1/4/19.			M	Discussions are ongoing with MHCLG. Meeting set for 8 th November in London	Jason Vaughan	Nov. '18

Top Issue

WS3: HR WORKSTREAM - STATUS UPDATE

Workstream Sponsor: **Matti Raudsepp**
 Project Manager: **John Ferguson**

Date: 03/10/2018

Workstream RAG G 

Overall Workstream Summary

Key Initiative Achievements (This Fortnight)

Chief Exec appointment confirmed
 Tier 2 consultation started
 Key decisions for HR framework signed off by Programme Board

Next milestones

Milestone	RAG	Due Date	Target Date
Provisional TUPE lists completed	C	21st Sept	21st Sept
New Chief Exec appointed and confirmed	C	30th Sept	30th Sept
Formal TUPE consultation begins	G	1st Nov	1st Nov
TUPE Standstill begins	G	30th Oct	30th Oct
Tier 2 Appointments complete	G	10th Dec	10th Dec
TUPE consultation ends	G	18th Mar	18th Mar
HR Framework for new council	G	29th Mar	29th Mar

Key Initiative Activities (Planned Next Fortnight)

Tier 2 structure consultation closes and final structure agreed
 Agreement of consultation approach with the unions for Day 1 HR Framework
 Meeting with HMRC to agree PAYE approach

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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Top Risk

40	HR Board	May '18	Systems and processes not in place and operational in time to pay people on time and accurately in April 2019	Major impact on delivering services. Significant regulatory impact	4	3	12	Work underway to determine a pragmatic implementation approach with HMRC - external support being provided through PS Tax. Options analysis being completed pending HMRC response	Chris Matthews	Oct '18
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ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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Top Issue

150	Prog Board	July '18	Approach and timing of team convergence to be agreed	Supporting achievement of the 2019/20 budget whilst maintaining service continuity		Change Control to Shadow Executive 15 October	Nicola Houwayek	Oct '18
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WS4: CUSTOMER AND SERVICE CONTINUITY - CORPORATE THEME - STATUS UPDATE

Workstream Sponsor: Jason Vaughan / Jonathan Mair
 Project Manager: Emma Wood

Date: 03/10/2018

Workstream RAG R 

Overall Workstream Summary

Implementation Plans are nearing completion although will not be signed off by the agreed deadlines. Corporate Board schedule has been arranged and invites sent to board members

Key Initiative Achievements (This Week)	Next milestones			
Corporate Theme Board Schedule arranged and invites sent Implementation plan drafts completed and nearing final sign-off Customer Access Sponsor agreed and scope defined and signed off.	Milestone	RAG	Due Date	Target Date
	Chairs and board membership confirmed	C	01/09/2018	
	Project resource in place	C	30/09/2018	
	Project co-ordinators identified	C	31/08/2018	18/09/2018
	Plans refined	R	30/09/2018	10/10/2018
	Day one deliverables and scope confirmed	C	30/09/2018	
	Workstream milestones, dependencies, risks & issues mapped	R	30/09/2018	10/10/2018
Key Initiative Activities (Planned Next Week)				
Implementation Plans finalised and signed off Milestones logged and Dependencies mapped across workstreams Risks, Issues and dependencies reviewed and logged on PMO registers				

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
			Risks to be confirmed by theme board							

Top Risk

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
149	Emma Wood	27/09/18	Implementation plans, although completed in draft form, will not be finalised and signed off by COP of 28/09/18	Although plans have not been signed off, work on delivery within the workstreams has started so overall delivery milestones wont be affected. Gateway review maybe impacted .		Sign-off date for plans has been moved to 10th Oct. Will aim to sign-off as soon as possible though to reducer any impact on Gateway review	JV/ JM	10/10/18

Top Issue

WS4: CUSTOMER AND SERVICE CONTINUITY - PLACE THEME - STATUS UPDATE

Workstream Sponsor: Mike Harries and Bridget Downton

Project Manager: Emily Hallett

Date: 03/10/2018

Workstream RAG

R

A

Overall Workstream Summary

12 out of the 22 implementation plans are due to be complete by the gateway review deadline (28/09/2018). This deadline is for the plan to be complete with actionable tasks, leads, dates, milestones and risks.

These are; Beaches and Seafront, Building Control, Development Management, Engineering and Coastal Defence, Events, Fleet Management, Harbours, Land Charges, Network Development, Parking, Planning Policy, Tourism.

The following plans will not meet the gateway deadline, making the overall place theme red; Capital Project, Repairs and Maintenance, Countryside and Urban Greenspace, Economic Development, Estates and Assets, Network Management, Network Operations, Regulatory, Transport, Waste and Cleansing.

The Heritage Implementation Plan will not be ready until 17/10/2018 due to a coordinator being identified this week.

Key Initiative Achievements (This Fortnight)

Meetings have been held with all coordinators to ensure plans and service mapping are updated with all colleagues from across the Dorset Council authorities.

Key Initiative Activities (Planned Next Fortnight)

Implementation Plans finalised and signed off
 Scope and baseline documentation identified and signed off
 Milestones logged and Dependencies mapped across workstreams
 Risks, Issues and dependencies reviewed and logged on PMO registers

Next milestones

Milestone	RAG	Due Date	Target Date
Chairs and board membership confirmed	C	01/09/2018	
Project resource in place	C	30/09/2018	
Project co-ordinators identified	C	26/09/2018	26/09/2018
Plans refined	R	30/09/2018	12/10/2018
Day one deliverables and scope confirmed	R	30/09/2018	12/10/2018
Workstream milestones, dependencies, risks & issues mapped	R	30/09/2018	12/10/2018

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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Top Risk

Currently collating the risks for each of the 22 implementation plans. Once collated, will be able to populate top risk.

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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Top Issue

Currently collating the issues for each of the 22 implementation plans. Once collated, will be able to populate top risk.

WS4: CUSTOMER AND SERVICE CONTINUITY - PEOPLE THEME - STATUS UPDATE

Workstream Sponsor: Helen Coombes and Nick Jarman
 Project Manager: Ray Dales

Date: 03/10/2018

Workstream RAG



Overall Workstream Summary

Good progress has been made on reviewing, consolidating, and refining workstream implementation plans, and final pre-sign off checks are underway.. Confirmation has been received that BCP have chosen Mosaic as their Care Record system,, This remains the main risk until a plan has been agreed for system configuration and data transfer. Overall Theme status changed to Red as target date of 30th September will be missed. – now targeted for sign off at Theme Board meeting on 11th October.

Key Initiative Achievements (This Week) | Next milestones

All workstream coordinators have had follow up planning meetings.
 Workstream plans now have tasks defined, leads identified, and dependencies logged. Risks, Decisions, and Policies defined for 4 workstreams, the remaining to complete w/c 1st October
 All Day 1 "safe and legal" tasks identified.
 First draft of project documentation commenced.

Milestone	RAG	Due Date	Target Date
Chairs and board membership confirmed	C	01/09/2018	
Project resource in place	C	30/09/2018	
Project co-ordinators identified	C	31/08/2018	
Plans refined	A	30/09/2018	
Day one deliverables and scope confirmed	R	30/09/2018	03/10/2018
Workstream milestones, dependencies, risks & issues mapped	R	30/09/2018	05/10/2018

Key Initiative Activities (Planned Next Week)

Overarching implementation plan created and signed off, including Risk and Decision planning, Dependency mapping, and Policy and Procedure identification

 Project documentation completed and signed off

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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137	Cross Cutting	22/08/18	There is no agreed plan in place to disaggregate Social Services data	Capacity and capability to respond in a timely way to the agreed solution for safe data transfer	4	4	16	Awaiting development of plan for system integration and data transfer	ICT/ People	Early October
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ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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Top Risk

Top Issue

WS4: CUSTOMER AND SERVICE CONTINUITY – DISAGGREGATION - STATUS UPDATE

Workstream Sponsor: Jonathan Mair / Jason Vaughn
 Project Manager: James Howie

Date: 03/10/2018

Workstream RAG A 

Overall Workstream Summary

To identify and capture areas of disaggregation across all workstreams within the Dorset area where there is an element of disaggregation and confirm that the appropriate work streams and working groups are tasked with confirming that each item has been implemented.

Key Initiative Achievements (This Week) Next milestones

Disaggregation – Full scope and high level project plan being identified across all workstreams using implementation plans across all areas.
Disaggregated Contracts – Set of principles agreed by the DA procurement group and reviewed by the joint MOs working group.
Partnerships – List reviewed with joint MOs along with BCP draft decision records.

Milestone	RAG	Due Date	Target Date
Disaggregation scope finalised from implementation plans	A	30/09/2018	10/10/2018
Agree Partnership approach for all disaggregated Partnerships with BCP	G	30/10/2018	30/10/2018
Confirm Final list of asset to transfer	G	Feb 2019	Feb 2019
Day 1 Applications in place	G	April 2019	April 2019

Key Initiative Activities (Planned Next Week)

- Full scope for disaggregation to be agreed by corporate board 11th October.
- Agree with all working groups and teams which areas of the scope impacts them and that these are being covered by implementation plans
- List out dependencies for all groups and confirm timelines and impacts.
- Identification of all contracts containing Christchurch element and highlighted within Accord.
- Agree with BCP the decision records for partnerships

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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118	ICT		Data disaggregation is of critical importance and decisions appear to be progressed separately in both SDC and BCP Programmes.	Without a coordinated approach to decision making, plans will likely be at counter point to one another and will not provide assurance to colleagues and customers of the continuity of service	4	3	12	A Business Analyst has started within the SDC Programme, they will work with both DC and BCP to arrange joint meetings between the relevant business and ICT leads for each of the service areas where data disaggregation will need to take place. This work will deliver focussed decision request	James McMahan	28/08/2018
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ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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			<i>Describe the top issue for the workstream</i>		H			
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Top Risk

Top Issue

WS4: CUSTOMER AND SERVICE CONTINUITY – CONTRACTS, PARTNERSHIPS, SLAS, GRANTS - STATUS UPDATE

Workstream Sponsor: Jonathan Mair / Jason Vaughn
 Project Manager: James Howie

Date: 03/10/2018

Workstream RAG



Overall Workstream Summary

Develop a list of Contracts, partnerships and SLAs, categorise and prioritise, highlighting contracts where the end date is on or around day 1, joint agreement contracts and those that will novate to the new authority. Where there is joint agreement with BCP develop a strategy with BCP as to how each contract will be dealt with from day 1.

Key Initiative Achievements (This Week) | Next milestones

*Confirmed that all identified district contracts have been uploaded to accord
 Set of principles agreed by the DA procurement group and reviewed by the joint MOs working group.
 Teams identifying gaps within the contractual information
 Joint MOs working group provided guidance as to next steps with partnerships.*

Milestone	RAG	Due Date	Target Date
District & county contracts onto accord	C	31/08/2018	31/08/2018
Agree approach for all Partnerships	G	30/10/2018	30/10/2018
Complete Grants handover to phase 3	G	Nov 2018	Feb 2018

Key Initiative Activities (Planned Next Week)

- Identification of all contracts containing Christchurch element and highlighted within Accord.
- Communication to be created to update all working groups of the update for contractual work.
- Produce decision records as to the approach to be taken for each partnership
- Create business case for partnerships onto accord.

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
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Top Risk

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Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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			<i>Describe the top issue for the workstream</i>		H			
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WS5: ICT WORKSTREAM - STATUS UPDATE

Workstream Sponsor: Mike Harries
Project Manager: Chris Harrington

Date: 03/10/2018

Workstream RAG



Overall Workstream Summary

With the data migration work now well under way, the project's focus has shifted to shaping activity for four key infrastructure items (Telephony and Contact Directory, Print, Room Booking, and Door Entry); and for SharePoint requirements, in particular new DC intranet and new Office 365 functionality called Teams Site.

Key Initiative Achievements (This Week)

One domain supplier appointed
One domain kick off meeting complete
Work started on LLPG, Elections, Mod.gov day one business applications
Shaping activity started for four key infrastructure items and SharePoint design requirements – request for BAs to support made to programme management.
Data Migration decision note awaiting final input from ICT leads

Key Initiative Activities (Planned Next Week)

Receive PID, plan and budget monitoring model from one domain supplier
Progress the analysis for infrastructure, including taking the BA request forward
Schedule design workshop for SharePoint
Complete Plans for (currently known) Day One Applications
Start scoping activity for other potential Day One Applications

Next milestones

Milestone	RAG	Due Date	Target Date
Stage 1 - One domain solution implemented	G	December 18	
Skype IM and Presence available	G	January 19	
Day one wifi solution implemented	G	February 19	
Day one print solution implemented	A	February 19	
Day one door entry solution implemented	G	February 19	
Day One telephony solution complete	G	February 19	
LLPG Migration Complete	A	February 19	
ICT Day One Support processes and systems in place	A	March 19	
Day one applications in place	G	April 19	
DC Microsoft Agreement in place	G	May 19	

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
118	Karen Perrett		Data disaggregation is of critical importance and decisions appear to be progressed separately in both SDC and BCP Programmes.	Without a coordinated approach to decision making, plans will likely be at counter point to one another and will not provide assurance to colleagues and customers of the continuity of service	4	3	12	A Business Analyst has started within the SDC Programme, they will work with both DC and BCP to arrange joint meetings between the relevant business and ICT leads for each of the service areas where data disaggregation will need to take place. This work will deliver focussed decision requests and a clear plan.	James McMahon	28/9/18
ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan		Owner	Due Date	
			None							

Top Risk

Top Issue

PHASE 3 TRANSFORMATION - UPDATE

Workstream Sponsor: TBC (Keith Cheesman)

Project Manager: TBC (Keith Cheesman)

Date: 3/10/2018

Workstream RAG

R



Overview / Summary

The changes to scope of the programme to include convergence as well as transformation plans are now under further review following direction from Budget Working Group. Phase 3 deliverables for Detailed Design Principles and Vision are subject to ongoing work with Members and a further change control is included within the Programme Report. Resourcing to accommodate these changes is being sought and funding needs to be identified.

Activity

Members are being supported to develop an organisational design based on the vision for the new Council and Operating Model.
Member briefings have been held which outline the latest understanding of the new council budget position and detail some of the opportunities to resolve the gap
Convergence approach is still subject to a number of discussions; resourcing to support the changes is being sought

Next Steps

Finalise scope of the convergence
Agree outline plan for convergence
Agree Resources to support Convergence and Transformation
Continue with the Transformation Plan preparation

Next milestones

Milestone	RAG	Due Date	Target Date
Convergence plan draft	A	10/10/18	
Convergence resources in place, including funding	R	10/10/18	
Transformation plan draft	A	31/10/18	
Transformation resources in place	A	29/3/19	
Corporate Plan draft	R	TBD	

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ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
18	Interim S151 - Jason Vaughan		Financial Sustainability of Dorset Council	Preparation of draft 19/20 DC budget has identified a requirement for earlier and faster move towards convergence and transformation savings in order to achieve a balanced budget	4	3	12	Convergence plan is part of the Shaping Dorset Council Programme. scope Transformation Plan for Phase 3 to be developed and in place for the new council to implement.	Keith Cheesman	12/11/18

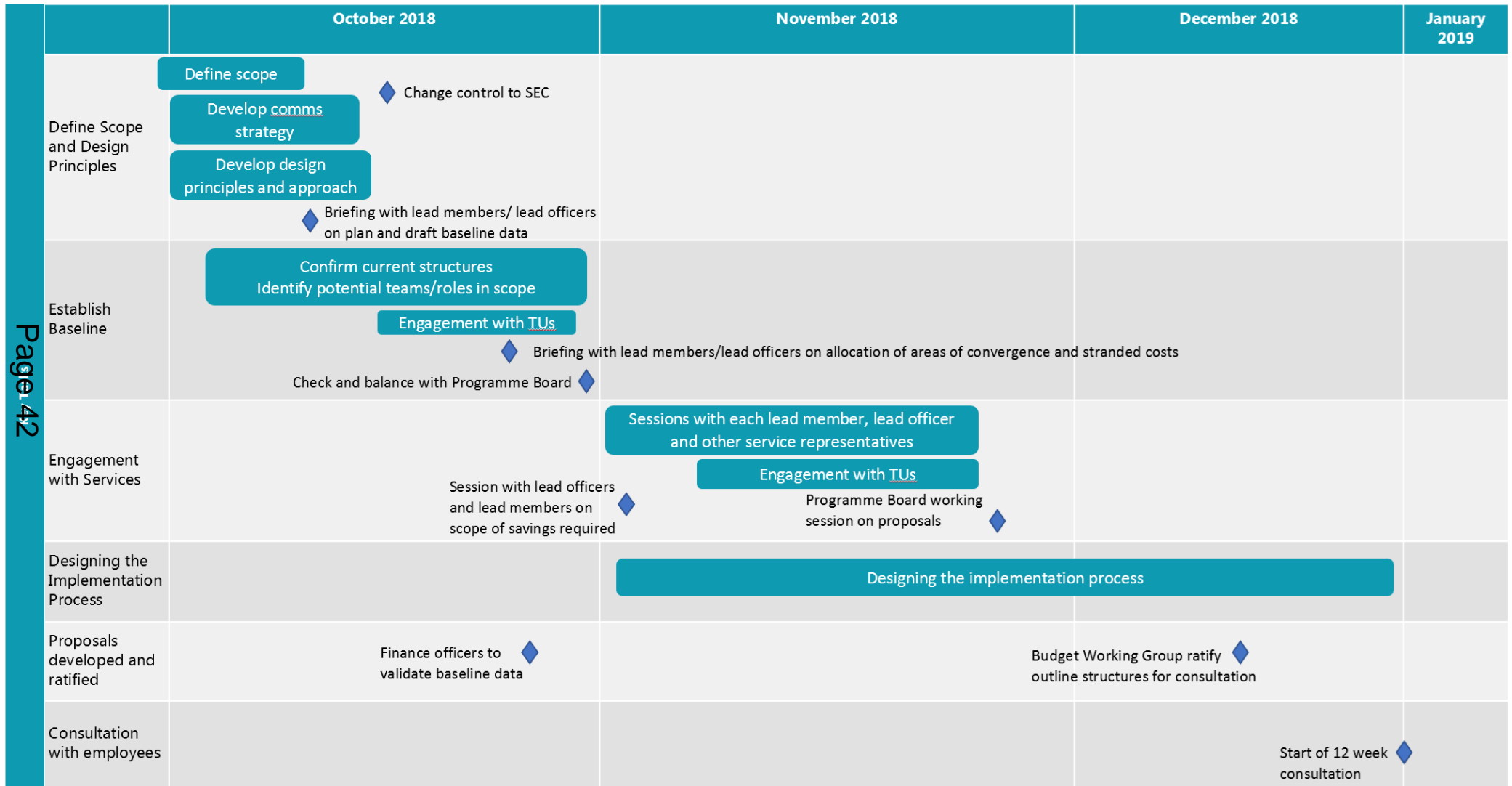
ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
n/a	Keith Cheesman	17/9/18	Resources for the Phase 3 plan not in place	Resources required to deliver the Phase 3 plan will greatly exceed those within the current programme; this requirement will need to be resourced	M	Plan needs to be created and agreed with appropriate resourcing plan formed around the planned workload and timetable. Suitable experience and skills will be a major factor in determining whether these are internal or externally sourced	Keith Cheesman	12/11/18

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Appendix 2. Scope for Convergence

<p>Project: 3.3 Operational structure from day 1 Work Package: 3.3.2 Convergence of existing teams</p>	<p>Project Lead: Nicola Houwayek Work Package Owner: Nicola Houwayek</p>
<p>Purpose/Objectives:</p> <ul style="list-style-type: none"> To ensure that Dorset Council has transitional operating structures from 1 April 2019 <p>Key Outcomes:</p> <ul style="list-style-type: none"> Enabling the savings from staffing budgets for 2019/20 Supporting the safe and legal service continuity Visibility of how stranded costs, relating to people are being mitigated Reviewing the impact of TUPE in terms of posts and stranded costs Converging teams to de-duplicate delivery Managing vacancies. <p>Key Outputs:</p> <ul style="list-style-type: none"> Definitions of transformational redesign and convergence Baseline of current service structures Definition of the process with clear design principles and approach Review of each team and an assessment of level of alignment required Structure charts effective from 1 April 2019 Implementation process Voluntary redundancy process. <p>Key Risks & Issues:</p> <ul style="list-style-type: none"> Potential limiting impact of convergence on the ability to transform Negative impact on retention and productivity of employees Non-compliance of TUPE legislation: Consultation can be initiated prior to 1 April, however all staff have the right to TUPE to Dorset Council with no compulsory redundancies until consultation with the new organisation has taken place, after 1 April 2019 Negative impact on motivation and service delivery. The timing of any restructuring is critical to minimise the impact successive restructuring. Potential loss of required resources too early and which are needed to enable the transformation (can be mitigated by deferred redundancy agreements). 	<p>Other Team Members:</p> <ul style="list-style-type: none"> Angie Twelves, Nina Coakley, Paul Loach, Sara Collinson, Mel Horton, Heather Williamson, Emily Garnam, Fiona Neville, Hannah Brown, Sarah Baker, Steve Hedges, Heather Lappin, Marc Goodman <p>Start Date:</p> <ul style="list-style-type: none"> 25 September 2018 <p>Proposed Completion Date:</p> <ul style="list-style-type: none"> Needs to be completed by 31 December to enable consultation to start from January 2019 <p>Intended Audience & Approx numbers:</p> <ul style="list-style-type: none"> All existing sovereign councils – Dorset Councils Partnership, Dorset County, East Dorset, Purbeck <p>Dependencies:</p> <ul style="list-style-type: none"> Implications of and relationship to BCP approach <p>Resources:</p> <ul style="list-style-type: none"> Project Manager Project Support Officer Communications Officer

Convergence Timeline (until start of consultation)



Shaping Dorset Council Programme – Programme Governance Audit

Introduction

SWAP has recently undertaken two pieces of high-level assurance work in relation to the Shaping Dorset Council (SDC) Programme Governance; this is now the third piece of work which we were commissioned to undertake following instruction from the Shaping Dorset Council Programme Board on the 5.09.18.

The scope of this work was confirmed to be the same as our first piece of work; assessing five key areas of programme governance, in order to form an opinion on the adequacy, design and integrity of the arrangements in place to deliver the intended outcomes of the programme. The five specific areas we have assessed are as follows:

- Programme purpose & clarity
- Programme structure, resources & capacity
- Programme and workstream planning, including interdependencies
- Programme decision-making and escalation arrangements
- Programme reporting and stakeholder management/ engagement

Our audit review has again consisted of meetings with programme stakeholders, as well as review and analysis of key programme activity. We have set out a full record of evidence reviewed as part of this audit, along with the meetings held in Appendix 1. Our conclusions are based on the documentation that was available at the time of our audit (up to 26.09.18).

Overall Assurance Opinion

PARTIAL

In relation to the areas reviewed and the arrangements in place at the time of our audit, some aspects require the improvement of processes and/ or controls to ensure the achievement of objectives.

Whilst there has been a clear improvement in programme governance since our last review, the acceleration of convergence prior to April 2019 has increased certain risks and issues, which now need to be mitigated.



Headline Conclusions

- Programme governance has improved since our last assurance overview, with more clarity and rigour applied to the programme arrangements. The programme structure has been established and embedded, with greater clarity around roles and responsibilities.
- Programme planning and oversight of programme highlights and milestones has improved, although finalising service continuity implementation plans is likely to be slightly delayed beyond their end of September deadline; this will impact on the closure of Phase 1 of the programme.
- Programme decision-making, risk management arrangements and dependency mapping mechanisms and reporting have been developed, with more transparency and rigour now in place.
- However, from a more detailed review of key programme documentation, we identified a range of errors, omissions or inconsistencies that could cause confusion or undermine oversight, management of risks & issues, and decision-making.
- Since our previous assurance review, there has been further discussion and shift in relation to the agreed scope and timescales of Phase 3 of the programme. There is a need to ensure that these changes are appropriately captured through change control mechanisms; ensuring that all changes are formally agreed and documented at the appropriate levels.
- Due to the very recent change in programme timescales regarding the acceleration of Phase 3 convergence, the risk profile of the programme, along with the corresponding workload in advance of April 2019 will significantly increase.
- Resources and capacity to accommodate the original scope and timescales of the programme had been matched and implemented. However, due to the acceleration of original timescales for convergence, there are now likely to be significant short-term resource demands and potential skill gaps.

Key Findings

1. Programme Purpose & Clarity

The defined scope and purpose of the programme has been clarified through a series of reports, as well as the relevant change control notice at the end of July in relation to convergence and restructure work. However, we understand that there have been very recent discussions regarding a further acceleration of the Phase 3 convergence and restructure work due to the significant financial pressures likely to be faced in the 2019/20 financial year. At the time of our audit work, formal change control documentation, along with the corresponding record of agreement to this, had not yet been produced and recorded, although we understand that this will be undertaken by the programme team shortly.

This shift in programme timing will now require additional short-term planning, programme resource, as well as timely communications to staff. This will help to improve clarity in relation to the timescales for any potential deletion of posts and/or voluntary redundancy opportunities.

2. Programme Structure, Resources & Capacity

The structure for the Shaping Dorset Council programme has continued to develop, with the various boards and workstreams now established and embedded into the overall programme structure. Roles and responsibilities have been clarified and a more consistent programme reporting rhythm has been established. SDC Programme Board meeting agendas are now consistently structured, with regular programme highlight reporting, as well as recently-introduced standardised papers covering key risks, decisions, and dependencies.

The SDC programme team have continued to recruit in order to match the resource demands of the programme. Whilst resource and capacity have now been matched to the requirements of the original scope of the programme, the acceleration of Phase 3 convergence (as detailed in Section 1 above), will place significant short-term resource demands on the programme team, as well as wider staff with the Dorset authorities. In our opinion, the risk of insufficient programme resource and capacity has therefore reverted to high. However, plans are already in place to start addressing the new resource requirements, and it is intended to address any resource and capacity issues imminently.

Resource dependency is likely to become increasingly important with the acceleration of Phase 3 convergence, with certain individuals increasingly likely to be leading on service continuity implementation, as well as assisting with convergence planning and design. This will present a challenge in relation to pinch points of resource and/or skills in the lead up to April 2019.

The programme gateway review process originally agreed has been slightly delayed, to ensure that Theme Board implementation plans are adequately agreed and finalised. This will then lead to an assessment as to whether Discovery Phase has been completed satisfactorily. The high-level assessment criteria for Gateway 1 has been established and reviewed at Programme Board.

3. Programme and Workstream Planning, including Interdependencies

Programme and workstream planning has been developed, agreed and documented. Project plans for service continuity are currently being drafted and finalised for the three Theme Boards of Place, People and Corporate. Whilst the target date for all of these plans to be in place is the end of September, this deadline is unlikely to be achieved. From our discussions, the delays to these plans are not thought to be significant at this stage, with the aim to finalise all plans in advance of the Gateway review planned in mid-October. If further delays are experienced in relation to service continuity project plans, this is likely to impact on overall programme timescales.

Programme highlight reports and milestone plan reporting is now established and embedded. This includes an overall one-page programme highlight report and milestone summary, as well as consistent one-page summaries for each workstream. Whilst these documents appear to provide an effective mechanism to capture and summarise the overall programme status, our review of the most recent highlight report (19.09.18) identified a number of omissions and errors. For example, the milestone plan presented did not identify any Red i.e. late, off-track or no agreed plan issues that could present a significant risk to the programme, despite these items being flagged and appearing on the individual workstream summaries. Similarly, there were items appearing on individual workstream summaries that did not appear at all on the milestone plan, despite these being significant. We would recommend that a full cross-check is carried out to ensure that highlight report documentation is accurate, consistent, and captures all key information.

Programme dependencies have begun to be captured and mapped, and from September 2018, significant dependencies have been reviewed fortnightly at Programme Board. The review and scoring of dependencies at Workstream Board level has been undertaken to a certain extent, however the SDC programme team have recognised that this is not yet embedded in practice and requires further attention to ensure that dependencies are managed effectively.

Following the finalisation of service continuity implementation plans, there are likely to be a large number of new dependencies identified and emerging. It will become increasingly important that programme dependencies are adequately captured, rated and managed to ensure that implementation plans can remain on track.

Whilst the fortnightly programme dependency highlight report brings an element of rigour to the dependency process, from our comparison of the latest programme dependency report (26.09.18) to the SDC SharePoint site, certain aspects did not appear to match – for example, the overall number of dependencies and scoring of certain dependencies. Whilst this is likely to be an administrative issue, without a consistent and accurate record of all programme dependencies going forwards, there is a risk of ineffective oversight of key dependency areas, with a subsequent impact of programme outcomes.

4. Programme Decision-Making and Escalation Arrangements

Programme decision-making arrangements have improved since our last review, with greater structure and rigour now applied to the decision-making process at various levels in the SDC programme. The revised decision-making arrangements were approved by the programme board on 29 August 2018, which included key mechanisms such as a fortnightly decision-making highlight report to programme board, helping to structure the record keeping of decision-making, as well as the criteria for making a decision and at what programme level this can be made. This has inevitably helped escalation arrangements as well.

From our review of recent decision-making highlight reports, these were clear in relation to the decisions required to be taken at the board to which the paper was to be presented, as well as a record of those decisions taken in the past reporting period. As part of our review, we noted that the decisions log contained a large number of 'Pending' decisions (83) dating back to June 2018, with no plan as to how to address and/ or prioritise this backlog. To ensure completeness, it would appear advisable to review, prioritise and clear historical pending decisions, in order to keep the decision-making process up to date.

Programme risk management arrangements are more developed and embedded since our last assurance review. Arrangements now include a regular risk management exception report presented fortnightly to SDC Programme Board, along with the corresponding full record of programme risks captured in a risk appendix. Risk highlight reports clearly detail new risks identified since the last report, as well as the top five risks thought to be worsening. Recent improvements to the risk appendix include capturing a direction of travel for each risk, as well as identified Accountable Risk Owners and Risk Leads for the vast majority of risks. From our audit review of risk documentation, in addition to the new and worsening risks, risk highlight reports could be enhanced through visually representing the top five overall programme risks in terms of combined impact & likelihood. This would help focus oversight and resource prioritisation and mitigation on key programme issues.

Although the above arrangements demonstrate an improvement in risk management, from our more detailed review of programme risk reporting we identified a number of omissions and inconsistencies when comparing the risks included in the workstream programme highlight reports, to those included on the risk appendix. These were flagged to the programme team at the time of the review and we would recommend that a full cross-checking exercise is undertaken to ensure that the record of programme risks is complete and consistent; especially those risks identified as high.

Although Theme Boards have started identifying their risks, further work will be required once implementation plans come together and are finalised, to effectively capture any emerging new risks. The SDC programme team have also recognised that although workstream boards are expected to review their risks at each meeting to ensure adequate mitigating controls in place, capacity issues at workstream and risk owner level have meant that there are some areas where this is not yet embedded.

5. Programme Reporting and Stakeholder Management/ Engagement

Programme reporting is now sufficiently embedded and stable; with a clear understanding of meeting schedules and associated papers, as well as Programme Board meeting notes being captured etc. The Shaping Dorset Council programme SharePoint site was significantly more populated, with consistency in key areas. However, as highlighted above, from our more detailed review of programme documentation, we identified a range of omissions or inaccuracies in key programme documentation. Whilst the extremely quick pace of the programme means that keeping programme documentation robust and accurate is a challenge, there is a risk that these gaps contribute to information or links being missed, the lack of a complete programme picture, and/ or stakeholder confusion. Due to the recent discussions regarding the acceleration of Phase 3 convergence, timely and effective communication to stakeholders (especially staff) will now present a significant challenge. Again, the programme team are currently revising plans to address this, but this will require adequate resources and coordination.

Recommended Actions from our Programme Assurance Review

Formally capture the full implications relating to the acceleration of Phase 3 convergence within programme change control; including the issues, risks and dependencies this creates, and ensure that this programme change is agreed and signed off at the appropriate levels
Linked to the above, ensure a communications plan for the acceleration of Phase 3 convergence is finalised and implemented
Carry out a full cross-check of the overall programme highlight report, milestone plan and workstream highlight documentation, to ensure that these are accurate, consistent, and capture all key information
Similarly, carry out a full cross-checking exercise of programme risks identified in the workstream highlight reports and risk appendix to ensure that the record of programme risks is complete and consistent; especially those risks identified as high
Review, prioritise and clear the backlog of historical pending programme decisions, in order to ensure the decision-making process is kept up to date and any new decisions required can be easily identified
Carry out a comparison of programme dependencies identified on SharePoint to those in the dependencies highlight report to ensure there is consistency and accuracy
Consider whether risk highlight reports could be enhanced through visually presenting the top five overall programme risks in terms of combined impact & likelihood. This would help focus oversight, resource prioritisation and mitigation on key programme issues

SWAP Internal Audit Services

1st October 2018

Evidence Reviewed

The following evidence was reviewed as part of this audit, along with the date of the evidence when applicable:

Programme Highlight Report – 19.09.18
Programme Milestone Plan – 19.08.18
Workstream and Theme status updates – 19.08.18
Programme Board Meeting Notes – August & September meeting notes
Programme Board Change Control Notice 25.07.18
Gateway 1 Review: Preparation – August 2018 Presentation
Shaping Dorset Council Phase 3 Plan – 24.08.18
Dependencies Highlight Report – 26.09.18
SDC SharePoint Dependency section
Risk Exception Report – 26.09.18
Risk Appendix – 26.09.18
SDC SharePoint Risk Section
Decisions Highlight Report – 26.09.18
Programme Board Actions & Decisions Log – 26.09.18
SDC SharePoint Decisions Log section
Level 3 and 4 Decision Request Form – 26.09.18

Meetings Held as part of this Review

The following meetings were held as part of this review (listed in alphabetical order):

Keith Cheesman x 2 – 11.09.18 & 26.09.18
Helen Coombes – 24.09.18
Bridget Downton – 17.09.18
Mike Harries – 17.09.18
Sarah Longdon – 27.09.18
Jonathon Mair – 18.09.18
Jim McManus – 27.09.18
Matt Prosser – 19.09.18
Jason Vaughan – 14.09.18
Debbie Ward – 17.09.18

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Shadow Dorset Council

Date of Meeting	15 October 2018
Officer	Jason Vaughan, Interim Section 151 Officer
Subject of Report	2019/20 Budget & Medium Term Financial Forecast
Executive Summary	The report sets out the latest position in respect of the 2019/20 budget and the approach for ensuring a balanced budget proposal in February 2019. It outlines the future financial forecast and the strategic approach being taken to ensure sustainable finances for the new council which will enable it to deliver sustainable services to the people of Dorset.
Impact Assessment:	<p>Equalities Impact Assessment: An EqIA will be undertaken as part of the budget process.</p>
	<p>Use of Evidence: The report has been built upon a variety of information from the 6 sovereign councils including the latest budget monitoring for 2018/19, internal and external audit reports, the medium term financial forecasting model, the Local Partnerships business case and the PWC Case for Change.</p>
	<p>Budget: It is a statutory requirement under the Local Government Finance Act 1992, as amended by the Localism Act 2011, for the Council to set a balanced revenue budget. The 2019/20 budget will be set by the Shadow Council in February 2019 and together with the Capital Investment Programme and Treasury Management Strategy it sets the resource framework and limits within which services must be delivered.</p>
	<p>Risk Assessment:</p>

	<p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: HIGH Residual Risk MEDIUM The key risk areas are around the delivery of convergence savings, reducing stranded costs and containing demand led services within the budget estimates,</p>
	<p>Other Implications: None</p>
Recommendation	<p>1. That the Shadow Executive notes the current financial forecast for 2019/20 and approves the strategy for balancing the budget of focusing on convergence savings.</p> <p>2 That the Shadow Executive notes the outline forecast for futures years and work being undertaken to ensure future financial sustainability.</p>
Reason for Recommendation	To enable the development of budget proposals for 2019/20 that will set the foundations to creating a financially sustainable council.
Appendices	None
Background Papers	Reports to the Budget Working Group
Officer Contact	Name: Jason Vaughan Tel: (01305) 838233 Email: jvaughan@dorset.gov.uk

1. Background

- 1.1 All Councils are under significant financial pressure and Dorset is no different. According to the National Audit Office, there has been a 49% real-term reduction in government funding for local authorities in the last six years.
- 1.2 Dorset has taken the proactive and nationally leading edge response of creating a new unitary council which comes into existence in April 2019. The new Dorset Council will replace the 6 existing councils and provide a platform for delivering significant efficiency savings from converging six councils into one. It will also provide a basis to enable significant transformational change in the way in which services are delivered going forward. This is essential in creating a financially sustainable council that can continue to deliver services to its residents.
- 1.3 The Shadow Council will set the 2019/20 budget for Dorset Council in February 2019. The finances of 6 existing councils will be combined on 1 April 2019. The position is further complicated with the disaggregation of the County Council functions for Christchurch and the creation of a new town council in Weymouth. The 6 sovereign councils are in very different financial positions in relation to budget gaps for 2019/20, reserves and future years' demands. The financial information is currently contained with the sovereign councils through 4 different finance systems, 4 separate finance teams in 4 different locations. Against the background of reduced resources, producing a single unified 2019/20 budget is going to be challenging.

2. Budget Working Group

- 2.1 Recognising the challenges ahead the Joint Committee set up a task and finish group of Councillors to assist with the development of the budget and to assist in identifying ways of closing the projected budget gap for the new Council. This has recently been renamed the Budget Working Group and is made up of councillors from each of the sovereign councils. The Budget Working Group has considered a range of financial issues and will continue to meet and help shape the 2019/20 budget proposals. It is the responsibility of the Shadow Executive to recommend a budget to the Shadow Council.

3. Financial Strategy

- 3.1 The Shadow Executive Committee approved the Financial Strategy in August. It set out some key financial principles which will be used in developing the 2019/20 budget proposals. They are:
 - To set a balanced budget for 2019/20 – This involves not using once off sources of funding to support on-going expenditure.
 - Adopting a Medium Term financial planning horizon – Not just focusing on one financial year but looking forward over the medium term and developing plans to address the resourcing gap. The Medium Term Financial Forecast shows the costs and funding from 2019/20 to 2024/25.
 - Setting solid financial foundations - Although 2019/20 presents some unique challenges the new council needs to ensure that it focuses upon creating a financially sustainable council that can deliver sustainable services to its residents.

- Convergence – Delivering the estimated £13.6m savings from the convergence of the 6 councils into one new organisation and delivering the benefits set out in the savings from the ‘convergence’ phase identified in the business case produced by Local Partnerships¹. Also ensuring that the £13.2m estimated implementation costs are provided for.
- Transformation - Ensuring there is enough resources and funding to carry out ‘transformation’ which will be required in order to deliver future years savings and increased income so that the budget is balanced to 2025.

4. **Medium Term Financial Forecast (MTFF)**

- 4.1 A key financial discipline for the new Council will be to plan its finances over the medium term rather than focusing on annual budgeting. It is recognised that there are significant practical difficulties in doing this for 2019/20 given our unique circumstances of bringing 6 organisations together in a short timeframe and the requirements to set a robust balanced budget by February 2019. However, this should remain the ambition as it is an essential part of creating a financially sustainable organisation. Once the 2019/20 budget has been set and the new organisation created in April 2019 it will be essential to develop financial forecasts and plans for future years. In order to help assess the picture going forward a Medium Term Financial Forecast (MTFF) has been developed which estimates and model resources to 2024/25. This timescale fits in with some of the national financial modelling that the LGA is currently producing and takes into account the 5 year term for the new council.
- 4.2 Forecasting resources over the medium term is always difficult but it does provide an outline of the resourcing envelope which then helps shape the pace and direction of the transformation plans. This will then ensure that the two are combined and dovetail in order to deliver the political vision developed for the new organisation.
- 4.3 The starting point for producing a financial forecast for Dorset Council is the individual forecasts made by the 6 sovereign councils as part of the budget setting process for the current year. These were based upon the individual councils continuing and therefore the individual council forecasts were produced using slightly different assumptions. These forecasts assume the maximum council tax increases allowed under the referendum principles and in line with government funding assumptions. They showed that the Budget Gap for 2019/20 was £19.113m and a further gap of £8.990m in the following year.
- 4.4 The issue of council tax harmonisation for the new Dorset Council needs to be agreed at both local and national level. The potential loss of council tax if the approach of maintaining the total amount of council tax collected from the individual councils is not adopted is estimated to be just over £6m to the on-going base budget. The situation is further complicated with the establishment of a Town Council for Weymouth which will have an impact upon council tax levels and yield for 2019/20.
- 4.5 The work on service disaggregation of the Dorset County Council budget has been completed is in line with the Local Partnership model. Work is continuing on the disaggregation of the balance sheet and the development of a TUPE list which has

¹ It is recognised that these figures are now 18 months old but still provide a useful reference

highlighted the issue of 'stranded' costs. These are costs that remain with the council but for which there is no funding. Currently these are estimated to be in the region of £6.2m which is made up of £5.7m staffing cost and £0.5m of other costs mainly from systems. Reducing these is a priority as they represent potential increased overheads upon the new council. The position with East Dorset is the reverse and it is estimated that this will reduce the total of stranded costs down to a total of £5.4m.

- 4.6 In setting their 2018/19 budget Dorset County Council built in significant savings from the Forward Together Programme. Some of these savings will not be delivered and some are delayed in achieving their savings targets. This has an adverse impact upon the 2019/20 budget for Dorset Council and estimates for their impact have been built in as part of the Known Commitments.
- 4.7 On 24 July MHCLG published a technical consultation on the 2019/20 local government finance settlement with a deadline of 18 September 2018. For Dorset Council the proposal to remove negative Revenue Support Grant (RSG) would have a financial benefit of £11m and the financial forecast has been built on this basis.

4.8 The table below summarises the latest financial forecast which is based upon information available in September. The figure will continue to change and the forecast updated as updated information becomes available.

	2019/20 £'000s	2020/21 £'000s	2021/22 £'000s	2022/23 £'000s	2023/24 £'000s	2024/25 £'000s
Base Budget	319,828.7	289,667.8	293,278.9	301,136.3	309,340.5	318,013.4
Disaggregation Adjustment for once offs/use of balances	(33,300.0)					
	(3,630.9)					
Adjusted base	282,897.8	289,667.8	293,278.9	301,136.3	309,340.5	318,013.4
Price Changes	6,039.2	2,410.1	2,515.4	2,627.9	2,728.7	2,835.6
Pay adjustments	6,135.7	4,334.2	4,454.5	4,512.1	4,585.8	4,698.9
Known Commitments	10,118.7	5,687.8	5,674.4	5,659.1	5,673.8	5,683.6
Stranded Costs (net)	5,400.0					
Efficiency Savings	(4,318.0)	(731.0)	(700.0)	(700.0)	(700.0)	(700.0)
Increased Income	(1,154.2)	(120.6)	(75.9)	(77.1)	(79.4)	(80.7)
	305,119.1	301,248.2	305,147.3	313,158.4	321,549.4	330,450.9
Funded by:						
Council Tax	240,970.1	248,143.2	255,529.8	263,136.3	270,969.2	279,035.3
Retained Business Rates	43,702.4	44,607.4	45,516.2	46,432.9	47,347.9	48,281.4
Tariff Adjustment	0.0	(3,100.0)	(3,100.0)	(3,100.0)	(3,100.0)	(3,100.0)
Rural Funding	1,892.3	1,892.3	1,892.3	1,892.3	1,892.3	1,892.3
New Homes Bonus	3,103.0	1,736.0	1,298.0	979.0	904.0	904.0
	289,667.8	293,278.9	301,136.3	309,340.5	318,013.4	327,013.0
Budget Gap	(15,451.3)	(7,969.4)	(4,011.0)	(3,817.8)	(3,536.0)	(3,437.9)

4.9 There is significant changes for councils in 2020/21 due to the Comprehensive Spending Review (CSR), introduction of 75% business rates retention scheme, business rates reset and the Fair Funding review. The MTFF assumes that the estimated funding of £48.235m in 2020/21 will be reduced by £3.1m per annum through a Tariff Adjustment over the period of the MTFF. There is also an estimate for a reduction in New Homes Bonus from £3.1m in 2019/20 to £904,000 in 2024/25. Council tax remains the strategically most important income source to the council and is predicted to increase from 83% to 85% of total funding by 2024/25.

4.10 The current focus is upon developing the 2019/20 budget but it will be essential to continue to focus upon future years. In terms of the budget process this will need to change once the new council is established to ensure that the process is outcome

focused and linked to the organisation's transformation plan. Part of this will require the significant areas of spend to be subject to a detailed review and rebased accordingly. The forecasts in future years does allow for demographic and demand changes but these will need to be reviewed and updated in the light of current years budget positions.

5. Developing the 2019/20 Budget

- 5.1 The Medium Term Financial Forecast has identified that the budget gap for 2019/20 is £15.451m at this stage having taken account of disaggregation, cost pressures, stranded costs, efficiency savings and increased income.
- 5.2 The Budget Working Group have been meeting regularly and considered a range of options to balance the 2019/20 budget. The clear focus is to protect frontline services by delivering the convergence savings from being one council and addressing the Stranded Costs. Local Partnerships estimated that £13.6m of annual savings could be achieved through convergence with the majority of this being delivered from reducing staffing. This comprised a reduction 30 Senior Managers, 127 Mid-Level Managers and 65 posts in corporate functions such as Finance, HR&OD, Legal, IT and Democratic Services. Their figures were produced in 2016 and assumed a 2 year implementation period at a once off implementation cost of £13.2m.
- 5.3 The Chief Executive has recently been appointed and the process for Tier 2 is underway. These are expected to deliver £1.590m of savings in a full year. Based upon an average costs of £50,000 per post (including on-costs) and implementing the reductions from July would yield savings of £4.763m from the 127 Mid- Level Management Posts. A further £1.706m could be delivered from the 65 Corporate posts if fully implemented by July. The Convergence Workstream will enable these estimates to be refined but for financial planning purposes savings of £6m to £8m can be reasonably built into the budget proposals. The Convergence Workstream will also look to reduce the £6.2m of stranded costs within Dorset County Council.
- 5.4 The Local Partnerships business case also identified savings from having a reduced number of members and from having one external auditor. At present it is estimated that savings of £400,000 could be built into the budget from these areas. The business case also identified that capital receipts of between £8.5m and £12.5m could be achieved from assets rationalisation and the recently set up Asset Working Group will review this.
- 5.5 As well as driving out efficiency savings work is progressing on increasing income to the new Dorset Council through Business Rates, Treasury Management and fees & charges. The council has submitted a bid to become a business rates pilot for the 75% rates retention scheme which could deliver £800,000 of additional income. Further modelling of business rates is being undertaken and it is estimated that additional income of £1m can be built into the budget proposals. Work has identified that the current treasury management portfolio is made up of external debt £255m (excludes internal borrowing) and investments £188m. Increased income of £1m to £2m could be achieved through treasury activities which will be set out in the Treasury Management Strategy for the new council.
- 5.6 Through the delivery of increased income, convergence savings and reductions of stranded costs the Council should be in a position to have a balanced budget for 2019/20 providing there are no significant changes in the 2018/19 budgets of the sovereign councils which impacts upon 2019/20.

- 5.7 The current approach to balancing the 2019/20 budget gap which is summarised in the table below:-

Item	Potential Savings
Reduction of Stranded Costs	£2m to £5.7m
Convergence Savings	
Reductions in Senior Managers, Mid- Level Managers & Corporate Posts	£6m to £8m
Democratic Savings	£200,000
Audit Savings	£200,000
Increased income	
Business Rates, Treasury Management and Fees & Charges	£2m to £4m

- 5.8 The budget figures will continue to be refined and updated over the next few months with the final budget proposals being considered by the Shadow Executive Committee on 11 February 2019 and the Shadow Council on 20 February 2019.

6. Capital Budget

- 6.1 Work is currently being undertaken to bring together existing programmes from each of the sovereign councils. Part of this process will be to identify future disposals and the level of capital receipts available. The options around flexible use of capital receipts to support transformation will be explored. Capital receipts flexibility is the permission that Government has granted, by regulation and on a time-limited basis, to apply capital receipts income to transformational activity that would otherwise fall to be funded from the revenue budget. The use of capital receipts has otherwise normally been constrained to funding capital expenditure only.
- 6.2 Work will also start on identifying any potential new schemes for Dorset Council. These will need to be prioritised and assessed against the level of funding available. It is important that during this period of substantial change schemes are assessed against the Committee priorities given the limited availability of funding.
- 6.3 The capital programme must be considered alongside the revenue budget: they both support the delivery of the Council's objectives and the consequences of borrowing for capital expenditure are a factor in the revenue budget.
- 6.4 During the autumn months, in preparation for the 2019/20 budget and MTF, further work will be undertaken in regard of ongoing commitments against capital receipts so that the Council can agree an appropriate strategy at the time of agreeing the forward year's budget.

7. Reserves

- 7.1 The availability and use of reserves and the revenue contingency is critical in being able to manage peaks in demand and costs incurred. This report recognises the need for such reserves and contingencies and aims to adopt a reasonable approach to maintaining both.
- 7.2 An initial estimate of the risk based assessment of the minimum level of general reserves has been undertaken and identified that the minimum level of reserves should be set at £20m for the new council. There is currently some work being undertaken on benchmarking the level of reserves held by unitary councils. This estimate will be reviewed and refined as part of the budget setting process and will need to reflect the risks within the final 2019/20 budget proposals.
- 7.3 As part of developing the budget proposals it would be prudent to allow for a contingency within the base revenue budget. This approach is designed to enable the risks associated with the uncertainty and process to be effectively managed. Currently there is just over £2.5m of funds held for this purpose.
- 7.4 The business case produced by Local Partnerships identified once-off costs associated with the convergence of the 6 Councils into one were in the region of £13.2m. This estimate will be reviewed in the light of the 2019/20 budget proposed. Some allowance for the convergence costs has been made within the sovereign council's plans and the current level of uncommitted reserves would mean that this could be fully funded.
- 7.5 In addition the PWC case for change identified that once-off costs of investing in transformation would be £18m to £27m. The initial analysis shows that there are not enough reserves to fully fund this. Consideration is therefore needed as to how the transformation programme could be funded.
- 7.6 The Council will also need to consider setting up invest to save / innovation funds that will enable investment to be made that deliver future on-going savings. A full review of all reserves including earmarked reserves such as the Dorset Waste Partnership equalisation reserve to allow for fluctuations in prices due to the volatile nature of the recycle market will be undertaken once the sovereign councils have closed their 2019/20 accounts.

8. Information still not finalised

- 8.1 There are a number of areas where significant financial information is not finalised. These include:-
 - Finance Settlement - The outcome of the technical consultation on negative RSG and New Homes Bonus funding as a part of the finance settlement for the new Dorset Council
 - Disaggregation – Finalising of the balance sheet items including debt with BCP and the disaggregation of services to the new Weymouth Town Council.
 - Stranded Costs – The updated position following the finalising of TUPE staff transfer list.
 - Convergence – Both the savings and estimated implementation costs (also still subject to change control approval, detailed elsewhere on this agenda).

9. **Member Engagement**

- 9.1 The formal budget setting process will involve members on the Shadow Executive and the Shadow Scrutiny Committee considering the budget proposals prior to them being considered by the Shadow Council in February 2019. The approval of the budget in February is the subject of a recorded vote and it is therefore vital that there is a good level of member understanding and engagement.
- 9.2 There is a series of 3 Budget Briefings which will be open to all members of the Shadow Council and the first of these was held on 19 September. Further sessions are planned for 12 December and 12 February with each briefing being repeated so that there is both a day time and evening event.

Shadow Dorset Council

Date of Meeting	15 October 2018
Lead Member	Cllr David Walsh
Officer	Hilary Jordan Corporate Manager, Planning (Community & Policy Development), Dorset Councils Partnership
Subject of Report	Future of Local Plans in Dorset
Executive Summary	This report raises to members' attention the significance of the decisions to be made by the new Dorset Council about the future progress towards the adoption of revised local plans. Existing adopted local plans will transfer to the new council on 1 April and will continue to form the statutory development plan. It is however essential to maintain progress in reviewing local plans, in order to meet the requirement for them to be reviewed every five years, and to ensure an adequate supply of land for housing, without which adopted policies cannot be given as much weight in planning decisions. The Consequential Orders specify that a new local plan covering the whole of the new council area must be adopted within five years of the reorganisation date. The options for moving to this position, and the risks involved, are considered within the report, but whatever the new council decides in future, continuing work on the local plan reviews in the meantime is recommended.
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>No EQulA has been carried out on this report: individual EQulAs are carried out on each local plan.</p>
	<p>Use of Evidence:</p> <p>Evidence has included the published programmes for each of the local plan reviews, and evidence of the actual time taken to complete recent reviews.</p>
	<p>Budget:</p> <p>Costs include staff time, consultancy work on developing the evidence base, and the cost of the public examination which is a significant element. The sovereign councils have each budgeted for the costs of their individual local plan reviews so far, though not all have reserved budgets for the examination stage.</p>

	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: HIGH Residual Risk MEDIUM The risks, as discussed further in the report, are those of failing to have up-to-date plans or a sufficient housing land supply, which would reduce the council's control over planning decisions and have reputational risks.</p> <p>Other Implications:</p> <p>Having up to date local plans in place is important in achieving sustainable development, enabling the meeting of economic, social and environmental needs.</p>
Recommendations	<p>That the Shadow Executive Committee:</p> <ol style="list-style-type: none"> 1) Agrees that the current work on local plan reviews should continue until any decisions are made by the new Dorset Council about the future of local plans; 2) Notes the continuing status of the existing adopted local plans after the formation of the new council; 3) Notes the essential need to progress local plan reviews in good time in future, and the risks associated with the various options for doing so, as outlined in the report.
Reason for Recommendation	To highlight the importance of maintaining progress on reviewing planning policy, and the decisions that need to be made by the new Council about how this is achieved.
Appendices	1) Indicative programme for local plan reviews
Background Papers	<p><u>Adopted Local Plans:</u> Christchurch and East Dorset Core Strategy Purbeck Local Plan North Dorset Local Plan West Dorset, Weymouth & Portland Local Plan</p> <p><u>Local Plan Review documents:</u> East Dorset Local Plan, Issues and Preferred Options document 2018 Purbeck Local Plan consultation documents 2017 North Dorset Local Plan Issues and Options document 2017 West Dorset, Weymouth & Portland Preferred Options document 2018</p>
Officer Contact	<p>Name: Hilary Jordan Tel: 01305 252303 Email: hjordan@dorset.gov.uk</p>

1. Background

- 1.1. A request was made in July 2018, by the Leader of East Dorset District Council, for a report on local plans in Dorset to be brought to this committee. This letter asked the Shadow Council to express its support for the continuation of the existing local

plan reviews to adoption, alongside the preparation of a new plan for the unitary council by 2024, in order to avoid any planning vacuum in the intervening years.

- 1.2. Local plans are statutory policy documents that are the primary consideration in making decisions on planning applications. They are now required to be reviewed every five years. It is important that they are kept up-to-date and particularly that they allocate sufficient land for housing development. Where there is not a five-year supply of housing land, or where housing delivery has fallen sufficiently below targets in the last three years, then relevant policies cannot be given their full statutory weight, and decisions must instead be based on national policy. Having up-to-date local plans in place is therefore vital to maintaining local control over planning decisions.

2. Local Plans and the Consequential Orders

- 2.1. The Consequential Orders set out the procedural matters for the transfer of functions to the new Council.
- 2.2. The existing adopted local plans will all transfer to the new unitary council and so will continue to be part of the statutory development plan for those areas, together with the adopted neighbourhood plans. This means that there will be no immediate policy 'vacuum', though there are still implications where local plans are more than five years old (as is already the case with the adopted Purbeck local plan), where there is no five-year housing land supply or where the 'delivery test' has not been met over the preceding three years. This is discussed more fully in the section on risks and issues below.
- 2.3. The Orders state that the new council '*must adopt a local development document under section 23 of the 2004 Act to apply to the whole of its area within a period of five years starting with the reorganisation date*'. Continuing with sub-area plans in the long term is not therefore an option. The Orders however allow for the separate reviews to be continued to adoption in the meantime, stating that the council '*may adopt, with or without modification, a document which was prepared but not adopted by a predecessor council before the reorganisation date*'.
- 2.4. The requirement for a plan covering the whole area accords with national legislation and policy, which states that the development plan must include '*strategic policies to address each local planning authority's priorities for the development and use of land in its area*' and that strategic policy-making authorities should '*establish a housing requirement figure for their whole area, which shows the extent to which their identified housing need (and any needs that cannot be met within neighbouring areas) can be met over the plan period*'.
- 2.5. While the Orders specify that the plan to be adopted by 2024 must cover the whole of the council's area, there are options for its format. These include: a single local plan for the whole Dorset Council area; a joint plan covering the Dorset Council and Bournemouth, Christchurch and Poole Council areas; or a statutory strategic plan covering both council areas, supported by separate plans including more detailed local policies. The latter two options would of course require the agreement of the Bournemouth, Christchurch and Poole Council.

3. Risks and Issues

- 3.1. The major risk, as identified in the request for this report to come to the committee, is that of loss of control over planning decisions as a result of being unable to give

full statutory weight to local plan policies. This can happen as a result of local plans being adopted more than five years ago (already the case with one of the adopted plans in the Dorset Council area); as a result of the council being unable to demonstrate the required five-year supply of land for housing development; or as a result of failure to meet the new 'housing delivery test' that was introduced in the 2018 revised National Planning Policy Framework.

- 3.2. It is therefore vital that work on local plan preparation is progressed as quickly as possible and without unnecessary delays. In considering the implications of the options, however, it is important to bear in mind that from 1 April 2019 any local plan reviews in the area will be the responsibility of the new Dorset Council. It is also likely that the five-year housing land supply and housing delivery test will be assessed on the basis of the whole Dorset Council area, rather than on the separate local plan areas, though details of this process are not currently certain and clarification is being sought as part of the Shaping Dorset Council service implementation work. Options must therefore be considered on the basis of whether they provide the best outcome for the Dorset Council area as a whole. The adoption of a new local plan for one area may not protect that particular area if the whole council area cannot demonstrate a five-year land supply or sufficient housing delivery, or when there is not complete coverage of plans that are less than five years old.
- 3.3. The housing delivery test is based on completions over the last three years. Where delivery has been below 95%, an action plan must be published. Where delivery is below 85%, a 20% buffer must be added to the five-year land supply, and where delivery is below 75% the presumption in favour of sustainable development comes into effect, meaning that relevant planning policies cannot be given full weight. There are transitional arrangements, starting at 25% rather than 75% in the first year, but the risk of being unable to give full weight to policies will increase in subsequent years.
- 3.4. Where local plans are more than five years old, the new housing requirements methodology (or for the years prior to 2018, the household forecasts) must be used to calculate the housing delivery test results, which are based on completions for the previous three years. Local plan figures should continue to be used up until five years after adoption, so the target for a particular three-year period may be based on a mix of the local plan and new methodology figures. How this would take effect on creation of the new unitary authority is not clear, but advice will be sought as part of the implementation work being undertaken for the new council. But as the new methodology figures are generally higher than the local plan figures, having plans more than five years old is likely to increase the risk of failing the delivery test.
- 3.5. Across the new council area, East Dorset and Christchurch, and Purbeck, currently have a five-year supply of housing land, but North Dorset and West Dorset, Weymouth and Portland do not (although at April 2018 both have over four years' supply, and West Dorset, Weymouth & Portland's total is very close to five years: the position will need to be reviewed when the government guidance is published this autumn). An estimate of the likely five-year land supply position for the new council, based on April 2018 figures and using the approaches proposed in the revised National Planning Policy Framework, needs to be undertaken in order to assess the level of risk to the new council.
- 3.6. In considering issues around the programme for local plan preparation, members need to bear in mind that it is not all within the council's control. Once the plan is submitted for examination, the process is in the hands of the inspector. Our

estimates of the local plan programmes are based on a straightforward examination process with no delays, but a number of circumstances can lead to delays. These can include changes in national policy that are introduced during examinations and need to be taken into account, and concerns raised by inspectors during the examinations that require further work to be undertaken.

- 3.7. Other risks include shortages of staff resources (there is a national shortage of planners so even with sufficient funding it may not be possible to resource the teams fully) and complications arising from the complexity of planning issues in the Dorset area. These include the need for strategic green belt reviews, the implications of the international nature conservation designations in Dorset, and issues around the duty to cooperate. It is likely that the Bournemouth, Christchurch and Poole Council will be unable to meet all of its housing requirements and that the Dorset Council will have to meet some of this unmet need, or make a strong case why this is not possible. We may also have to take account of unmet need from other surrounding councils. Plans will not be found sound unless they have satisfied the duty to cooperate.

4. Options for future progress with local plan reviews

- 4.1. Local plan reviews are currently under way in all the districts in the Dorset Council area, but these are at different stages. The Purbeck review is the most advanced, with the intention of submitting the plan for examination prior to 1 April 2019 and adopting at the end of 2019. The East Dorset local plan review, and the West Dorset, Weymouth and Portland local plan review, are both going through consultation on 'preferred options' (the final informal consultation stage before pre-submission consultation on a full draft plan) this summer/autumn, with the intention of submission in 2019. The North Dorset local plan review is likely to go through 'preferred options' consultation early in 2019.
- 4.2. The first option for the new council to consider, therefore, is ***continuing all of these reviews through to adoption, and then progressing immediately to work on a new plan for the whole new council area.*** Assuming that each individual team continues to work on the same area plan, staff resources could be moved onto the new plan as soon as work was concluded on each area plan, starting with the Purbeck team from the end of 2019. This would be achievable provided that the local plan reviews all stick to the envisaged programmes and that the new plan can be developed from start to adoption within four years, and a very indicative programme is set out in Appendix 1.
- 4.3. A clear advantage of this option is that staff can continue working as they are at present, and there would be no immediate delays in progress. There are however significant risks, as any delays to the individual plan reviews will have implications for our ability to meet the 2024 deadline for the new plan. It would be dependent on existing staff resources being maintained, with no early review of the planning policy function and no requirement for savings or staffing reductions.
- 4.4. Once plans have been submitted, the programme is not within our control. The current West Dorset, Weymouth & Portland local plan had a delay of nearly a year due to the inspector asking for further work to raise housing numbers: the Wiltshire local plan had a similar delay. Issues around the duty to cooperate can cause problems at examination, and the inspectors at each individual examination will need to be satisfied that the whole Dorset Council is meeting not only its own housing needs across the whole area, but also any unmet needs from adjoining areas that could be met within the Dorset Council area.

- 4.5. The indicative programme shows that the 2024 deadline could only be met if all the plans progress very quickly with no delays through the examination process. Looking at the last two new unitary councils to be established, Wiltshire and Cornwall, it can be seen that Wiltshire's first Core Strategy was adopted nearly six years after the formation of the unitary council, despite only one of the individual local plan reviews (that was at an advanced stage) being progressed to adoption alongside it. Cornwall adopted its first local plan seven and a half years after becoming a unitary council, despite not progressing any of the individual local plan reviews first.
- 4.6. This option therefore avoids delays early on, but has the greatest risk of failing to have an up-to-date plan later on. It would be important for the new council to agree the submission plans relatively early in its formation, and committee time would be needed for this.
- 4.7. The option that would potentially maximise the chance of meeting the 2024 deadline is not to complete any of the individual local plan reviews but instead, from April, **start immediately on the preparation of a new plan for the whole Dorset Council area**. This would not mean abandoning the work that has been undertaken: the individual plans would all have been taken to 'preferred options' stage and could then be combined into a new plan for the pre-submission consultation. The work undertaken so far, including research studies, site assessments and public consultation, would remain important inputs to the final plan whatever its form. Adoption of the combined plan would still be likely to be later than adoption of each individual plan, and this would be most significant for the Purbeck plan, as the most advanced – though as explained above, the adoption of the Purbeck plan would not necessarily protect that area if the new council as a whole did not have a five year land supply, meet the delivery test, or have complete coverage of plans that were less than five years old. The Christchurch and East Dorset local plan will also be more than five years old in April 2019.
- 4.8. This option would also be potentially more difficult to manage from the start, assuming that officers will still be working in separate teams for some time, though this would depend on the timing of decisions about service reviews and service convergence in Phase 3 of local government reorganisation for Dorset.
- 4.9. Another option would be a compromise between these two: to **progress the adoption of the Purbeck plan** (as the most advanced, and the only one that will have been submitted by 1 April), complete the analysis of the 'preferred options' consultations on the other plans, and then progress to the combined plan rather than adopting the remaining three plans.
- 4.10. Finally, another possibility would be to develop a **higher-level strategic plan covering both unitary council areas** (Dorset Council and Bournemouth, Christchurch and Poole Council), alongside more detailed local plans. This would focus on the key strategic issues including in particular the numbers and distribution of homes across the area. If this were completed by 2024 it would meet the requirement to have a plan in place based on the new geography, but would not require the same level of detailed work on site allocations or non-strategic policies. There would still have to be early decisions – and by both councils - about how it was managed and resourced, and it would still involve significant work on some challenging issues such as a strategic green belt review, and the potential for the Dorset Council area to provide for some of the unmet housing need from Bournemouth, Poole and Christchurch.

5. Conclusions

- 5.1. In conclusion, the Shadow Executive is invited to recognise the importance of the new Dorset Council making an early decision about how local plan reviews should be progressed, in order to avoid delays to progress. Existing adopted plans will remain as the elements of the statutory development plan for the new council on 1 April, but maintaining progress is essential in order to avoid a loss of control over planning decisions.
- 5.2. The decision about how to progress local plans after local government reorganisation will be for the new Dorset Council, but whatever approach is taken, the work currently being carried out on the individual local plan reviews will be an important input and should be continued in the meantime.
- 5.3. In considering the decision to be made by the new council, members should be aware of the need to consider what is best for the whole Dorset Council area, and the risks of the various different options outlined in this report, including the fact that much of the local plan preparation process, including the examination stage, is not fully within the council's control.

Appendix 1: Indicative programmes for local plan reviews

	Purbeck	West Dorset, Weymouth & Portland	North Dorset	East Dorset	Dorset Council – new plan
Jul-Sep 2018		CONSULT ON POs		CONSULT ON POs	
Oct-Dec 2018					
Jan-Mar 2019	SUBMIT		CONSULT ON POs		
Apr-Jun 2019				SUBMIT	
Jul-Sep 2019	EXAM	SUBMIT			
Oct-Dec 2019	ADOPT			EXAM	
Jan-Mar 2020		EXAM	SUBMIT	ADOPT	START PREPARATION
Apr-Jun 2020		ADOPT			
Jul-Sep 2020			EXAM		
Oct-Dec 2020			ADOPT		
Jan-Mar 2021					CONSULT ON I&Os
Apr-Jun 2021					
Jul-Sep 2021					
Oct-Dec 2021					
Jan-Mar 2022					CONSULT ON POs
Apr-Jun 2022					
Jul-Sep 2022					
Oct-Dec 2022					
Jan-Mar 2023					SUBMIT
Apr-Jun 2023					
Jul-Sept 2023					EXAM
Oct-Dec 2023					
Jan-Mar 2024					ADOPT

Shadow Dorset Council

Date of Meeting	Shadow Executive Committee - 15 October 2018
Officer	Chief Executive (designate) and Returning Officer – Matt Prosser
Subject of Report	Parish and Town Council Elections – recharging structure
Executive Summary	<p>There are currently 1834 parish and town council seats (this includes the new Weymouth Town Council) all of which will be elected to in May 2019. Additionally, during the past four years there have been 26 parish and town council by-elections held throughout the Dorset Council area, in addition to a number of parish polls.</p> <p>There is currently no standard formula used by the Dorset area councils with regards to the recharging for the administration of parish and town council elections within their areas. The current approaches are set out in section 1 below.</p> <p>In the light of the new Dorset Council being formed it is important that local councils are informed at an early stage about the likely costs that they will incur for both scheduled elections in 2019 and incidental by-elections to inform their budget-setting processes and decisions on the level of precept for 2019/20 and beyond.</p> <p>It is proposed that the Shadow Executive Committee consider the approach to be taken by Dorset Council in respect of recharging the parish and town councils in its area for the costs incurred in administering their scheduled elections, incidental by-elections and parish polls.</p>
Impact Assessment:	Equalities Impact Assessment: N/A
	<p>Budget:</p> <p>It is difficult to forecast the cost of running the parish and town councils in May 2019 as it is not possible to forecast the number of councils/wards that will be contested. In 2015, 33 parishes/parish wards were contested and approximately 89,000 electors (one third of the Dorset area electorate) were eligible to vote in parish elections. In 2019, there will be the addition of the new Weymouth Town Council and, as it is anticipated that all of its</p>

	<p>wards will be contested, up to 50% of the electorate could vote in both Dorset Council and parish or town council elections.</p> <p>It is difficult to advise each parish or town council individually of what the costs of their election may be as this will be dependent upon a number of factors e.g. the number of polling stations, the size of the electorate and the number of postal votes.</p> <p>To give an idea of costs, a recent by-election for a town council seat with an electorate of 6373 with 912 postal electors and 2 polling stations cost £4658.71. Obviously, the costs relating to the smaller parishes will be considerably lower, particularly if they are not contested.</p> <p>It is also important to remember that at by-elections the costs are rarely shared, but if the parish election takes place at the same time as a principal council or parliamentary election, many of the costs would be lower e.g. shared costs for polling stations and staff.</p> <p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR Programme risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p>
<p>Recommendation</p>	<p>It is proposed that the Shadow Executive Committee approve the implementation of the approach to recharging parish and town councils for the costs incurred by Dorset Council for administering their scheduled elections and by-elections set out in section 3 of this report with effect from 1 April 2019.</p>
<p>Reason for Recommendation</p>	<p>Parish and town councils need clarity about the likely costs that they will incur for both scheduled elections in 2019 and incidental by-elections to inform their budget-setting processes and decisions on the level of precept and beyond.</p>
<p>Appendices</p>	<p>Proposed recharging structure for a town or parish council election not combined with any other election</p>
<p>Background Papers</p>	<p>None</p>
<p>Officer Contact</p>	<p>Name: Jacqui Andrews – Corporate Manager (Democratic and Electoral Services), Dorset Councils Partnership Julia Duncan – Senior Elections Officer, Christchurch and East Dorset Councils</p>

	<p>Kirsty Riglar – Democratic and Electoral Services Manager, Purbeck District Council Tel: 01258 484325 / 01202 795078 / 01929 557221 Email: jandrews@dorset.gov.uk / j.duncan@christchurchandeastdorset.gov.uk / kirstyriglar@purbeck-dc.gov.uk</p>
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1. Background

- 1.1 The Dorset Area councils currently take a variety of approaches to recharging parish and town councils for the costs of administering of their elections. East Dorset District Council, Purbeck District Council and Weymouth and Portland Borough Council currently recharge local councils for all actual and necessary costs relating to any all-out elections or by-elections. If a parish election is held at the same time as another local government election for either the District/Borough or County Council then the majority of costs will be split 50/50 but those specifically relating to the parish are recharged at full cost. For example, if a combined election is held, the cost of the polling station and staff would be split 50/50 but the parish would pay the full cost of the ballot papers for their area issued at the polling station.
- 1.2 Currently North Dorset District Council only charge for by-elections but absorb the costs for all-out elections held alongside the District Council elections. West Dorset District Council currently make no recharge for any all-out or by elections. However, both councils have resolved to introduce recharges with effect from 1 April 2019. The parish and town councils in these areas have been informed of the introduction of these recharges.

2. Accounting for combination

- 2.1 It should also be noted that if a parish or town council election took place at the same time as a Parliamentary or other election paid for by the government, for example, that of the Police and Crime Commissioner, the government would also expect all costs to be split proportionately. Below is an excerpt from the Returning Officers Expenses Guidance for the 2017 UK Parliamentary Government Election:

Accounting for combination

- 8.6 Where two or more polls are combined, the costs attributable to the various electoral events need to be apportioned appropriately. For instance, where three polls are taking place in combination - the costs of any combined elements will need to be apportioned and divided by three. Where there are four polls, shared and divided by four etc.
- 8.7 Please explain clearly on all the forms how costs have been calculated with regards to the specific combination of elections. Advice is given under the various form headings regarding costs attributable to combination with instructions on how they should be apportioned.
- 8.8 Where a poll is taking place in only part of an area where another poll is taking place, costs will need to be apportioned in respect only of that area under combination. You must identify in your accounts and apportion correctly the elements of combined costs.

3. Proposed approach for Dorset Council

- 3.1 It is proposed that in order to recoup the costs incurred by Dorset Council in administering the elections for parish and town councils, an approach be implemented replicating that which would have been implemented by the Dorset area councils on 1 April 2019.
- 3.2 This assumes that for a combined election, such as that in May 2019, the cost of the shared elements, such as polling stations and staff, be split 50/50 but the local council be recharged for the full cost of those elements specifically relating to the parish election, such as ballot papers.
- 3.3 In relation to elections that are not combined with another election, officers have produced a proposed recharging structure to be implemented by Dorset Council with effect from 1 April 2019. This is set out in the Appendix to this report. Due to the number of by-elections held for parish and town councils, it is considered that this structure will aid local councils in understanding the costs and will enable the Elections Team to calculate the costs to be recharged more efficiently.
- 3.4 Any recharge will be made in the same financial year as the election or by-election.
- 3.5 In relation to parish polls, the Local Government Act 1972 specifically states that the expenses of any poll shall be paid by the Parish or Community Council. The recharge would be therefore be based on the actual cost of conducting the poll.
- 3.6 If this approach is agreed, local councils will be informed of the decision to enable them to budget for the 2019 elections and any subsequent by-elections.

APPENDIX – Proposed recharging structure for a town or parish council election not combined with any other election

ALL ELECTIONS – *This will apply to ALL by-elections whether contested or uncontested*

Nomination process – <i>This cost is for the first part of the election up to the end of the nomination period</i>	Cost
This includes a request from 10 electors calling the election, checking of the request to ensure all electors registered within the parish area, setting up of the election on system, production and circulation of timetable and notices, booking of polling stations and initial contact with staff, contact with printers including quantities, checking, processing and validation of nomination papers, liaison with parish clerks, information provided to candidates including expenses claims and production of Statement of Persons Nominated.	£50

CONTESTED ELECTIONS - *In addition to the above cost the following additional charges would apply*

General Administration - This includes the appointment of polling staff, confirmation of polling station bookings, extraction and sending of data to printers, provide information to candidates, proof checking of poll cards, ballot papers, postal votes, phone calls and enquiries from public following the despatch of poll cards, dealing with new registrations and absent vote requests including posting of confirmations, appointment of counting agents and documentation required for the count.	£50
Employment of casual staff to undertake printing and publication of statutory notices in the parish/town council area <i>Note: Assistance is requested from parish/town councils to undertake these tasks in their local areas and this will only be applicable in the event that the parish/town council is unable to do so.</i>	Actual and necessary cost
Printing and outgoing and return postage (1 st Class) of Postal Votes	Actual and necessary cost
Opening of postal votes including checking of personal identifiers	£7.50 per 50 (or part thereof) returned
Printing of Poll Cards and Postage <i>Note: Rates as at March 2018: 10p per card plus 27p per card for postage (Polling Station and Postal Poll Cards)</i>	Actual and necessary cost

Delivery and collection of polling booths	Actual cost up to a maximum of £50.00 per building
Printing of Ballot Papers <i>Note: Rates as at March 2018: £6.65 per book of 100</i>	Actual and necessary cost
Polling Station Sundries Packs and Notices <i>Note: Approximate cost as at March 2018: £18 per polling station</i>	Actual and necessary cost
Hire of Building as Polling Stations <i>Note: Up to a maximum of £1,000 per polling station</i>	Actual and necessary cost
Staff for polling stations <i>Note: These costs to align with Dorset Electoral Administrators Group scale of fees and charges</i>	£335 – £460 per station (dependent on number of poll clerks required to comply with Electoral Commission regulations) plus training fee of £50 per Presiding Officer and Poll Clerk for training costs. Staff mileage claims at 45p per mile. Returning Officer fee based on 8p per elector will apply if election is stand alone
Preparation of Ballot Boxes including ballot box specific printing	£5 per box
Count Station	Included within polling station hire charge.
Staff for counting stations <i>Note: Polling station staff will be used as count assistants where possible.</i>	£15 per hour for each count assistant

	<p>Cost dependent on number of hours taken and number of staff required</p> <p>£50 per hour for any election staff attending and running the count as Count Manager</p>
<p>Overtime</p>	<p>Any overtime incurred by election staff in relation to the election during the election period. For example office being manned from 6.15am to 10pm on polling day</p>

NB: All printing and postage costs vary according to the volume of papers/packs required; the higher the volume the lower the costs for both.

Shadow Dorset Council

Date of Meeting	15 October 2018
Officer	Nicola Houwayek
Subject of Report	Shaping Dorset Council Programme – Tier 2 Appointments Process, Voluntary Release
Executive Summary	<p>At its meeting on 17 September, the Shadow Executive agreed the Tier 2 and Statutory Posts structure and appointments process, subject to any amendments agreed from the consultation process. As part of this process, it was agreed that the option for requests for voluntary release to be considered should be included.</p> <p>As the six councils move towards becoming a single unitary authority, we are entering a period of significant change that will directly impact on our employees, who will need to make decisions about their future position. Whilst this will create exciting opportunities for many, there is also the reality that there will be fewer jobs available, particularly at the most senior levels within our organisations. As a result of this, once the new council is in place, we are likely to be in a position where posts become redundant on a compulsory basis.</p> <p>Ideally, compulsory redundancy should be a last resort and, as part of a fair redundancy procedure and through its consultation process, an employer may include the option of offering voluntary release.</p> <p>The Tier 2 employees of existing councils are at risk of redundancy and, as the recruitment process for the Tier 2 and statutory posts goes live, it is proposed that the option of applying for voluntary release should be made available to them. This offer will be made at the start of the recruitment process (mid-October) and again, when the appointments process has concluded (early December). It will also be offered as an option to existing Tier 2 employees, once the structure for Tier 3 has been confirmed and communicated (likely to be January 2019).</p> <p>Any requests will be made to the employee's current Head of Paid Service and decisions will be made against a consistent set of criteria which will be agreed by all the councils and the Chief Executive Designate for Dorset Council. Any terms will be agreed as part of a settlement agreement and, subject to the agreed criteria, will be made on the same basis as the terms that are currently on offer for compulsory redundancy, within the employing council.</p> <p>There will be no guarantee of agreement to any requests and, if confirmed, the agreed leaving day may extend beyond the 1 April 2019, on the compensation terms agreed with the current, sovereign council.</p>

	<p>Redundancy terms for the new council will be consulted on with the trade unions in November.</p> <p>The inclusion of voluntary release for the Tier 2 appointments process does not indicate that the same offer will be made for other employees, as the design of structures for the new council and appointments to them progresses. This is because of the number of employees directly affected at this stage of the process who may be made redundant, plus the fact that many would be made compulsorily redundant in due course, as a matter of law.</p> <p>There are currently 11 employees on the provisional TUPE lists for Dorset Council who are immediately affected by these proposals.</p>
<p>Impact Assessment:</p>	<p>Equalities Impact Assessment:</p> <p>An EQIA has been developed for the Tier 2 appointments process. The impact of voluntary redundancy requests will be monitored from an equalities perspective.</p> <p>Use of Evidence:</p> <p>Budget:</p> <p>Cost implications were reflected in the previous report to the Shadow Executive on the Tier 2 Structure and Appointments Process and further detail will be included in the November budget report</p> <p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: Medium Residual Risk: Low</p> <p>The risk of losing required skills and knowledge that will be required for the future council will need to be considered in the decision-making process</p> <p>Other Implications:</p>
<p>Recommendation</p>	<p>That the Shadow Executive agrees the approach to Voluntary Release, to be included as part of the Tier 2 Appointments Process and asks that sovereign councils include this approach to supporting Tier 2s in their organisations.</p>
<p>Reason for Recommendation</p>	<p>This approach will support the organisation in managing the reduction in senior manager posts in a way that includes individual considerations to be taken account of.</p>

Appendices	None
Background Papers	N/A
Officer Contact	Name: Matt Prosser Email: matt.prosser@dorsetcouncil.gov.uk Name: Nicola Houwayek Tel: 01305224497 Email: nicola.houwayek@dorsetcc.gov.uk

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Shadow Dorset Council

Date of Meeting	15 October 2018
Officer	Karyn Punchard - Director of Dorset Waste Partnership
Subject of Report	Delegation of Waste Function for Christchurch
Executive Summary	This paper sets out the proposal that a legal agreement be entered into by the two Shadow Authorities before 1 April 2019 to delegate the waste function of Bournemouth, Christchurch and Poole (BCP) Council for the Christchurch area to Dorset Council for a one-year period.
Impact Assessment:	Equalities Impact Assessment: n/a
	Use of Evidence: Officer discussions through the Shaping Dorset and BCP Programmes
	Budget: It is proposed that a fee is agreed between the two interim S151 officers based on the waste and cleansing disaggregation template and determined as part of the budget making processes of the two Shadow Authorities. On the basis of the disaggregation template no council should be financially disadvantaged.
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: HIGH Residual Risk MEDIUM</p> <p>The HIGH risk relates to criticality of service delivery on day one, financial, health and safety and reputation categories</p>

	<p>The risk of not entering into a transitional arrangement is that waste collection and/or disposal in the Christchurch area fails due to insufficient time to plan for alternative service arrangements.</p> <p>Other Implications:</p> <p>Reputational: Positive impact on reputation of Dorset and BCP Councils by ensuring day 1 continuity for a high-profile service</p> <p>Political: Arrangements to keep BCP members fully informed will need to be put in place</p> <p>Employee implications: Christchurch based staff may experience two TUPE transfers over a one-year period</p>
<p>Recommendation</p>	<p>That the Shadow Executive:</p> <p>(i) approves a delegation of function by agreement under Section 101 of the Local Government Act 1972 to allow waste services currently delivered by the Dorset Waste Partnership, to continue to be delivered in the existing Christchurch Borough area by Dorset Council on behalf of Bournemouth, Christchurch and Poole Council, for a period of one year from 1 April 2019.</p> <p>(ii) authorises the Director of the Dorset Waste Partnership, the Director of Environment Bournemouth Borough Council, and the Environmental Development Manager Borough of Poole, along with the two interim monitoring officers, to agree the terms of the legal agreement following discussion with lead members/portfolio holders for waste.</p> <p>iii) approves that a fee is agreed between the two interim S151 officers based on the waste and cleansing disaggregation template and determined as part of the budget making processes of the two Shadow Authorities. On the basis of the disaggregation template no council should be financially disadvantaged.</p>
<p>Reason for Recommendation</p>	<p>To ensure continuity of a high-profile service delivered to every household in Christchurch for a transitional period.</p>
<p>Appendices</p>	<p>Appendix 1 - Minutes of Dorset Waste Partnership Joint Committee 11 September 2018</p>
<p>Background Papers</p>	<p>Delegation of Waste Function for Christchurch: Report to Dorset Programme Board 15 August 2018 Report to BCP Programme Board 30 August 2018 Report to DWP Joint Committee 11 September 2018</p>

Officer Contact	Name: Karyn Punchard, Director of Dorset Waste Partnership Tel: 01305 225459 Email: k.punchard@dorsetwastepartnership.gov.uk
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1. Background

- 1.1 There are currently three different collection systems in Bournemouth, Christchurch and Poole - Christchurch currently using the Recycle for Dorset service delivered by the Dorset Waste Partnership (DWP). DWP will cease to exist as a partnership on 1 April 2019. Instead the functions currently discharged through the DWP Joint Committee for the geographic areas of the current councils of Dorset County, East, North and West Dorset, Purbeck and Weymouth and Portland will become functions of Dorset Council and functions for Christchurch would become functions of Bournemouth, Christchurch and Poole Council.
- 1.2 Waste collection is one of the most visible council services affecting all households and many businesses. The "day one" issue for waste for the new councils is how do we ensure service continuity – and that services are safe and legal.
- 1.3 This approach has been endorsed by both the Dorset and BCP Programme Boards, and this report will also be considered by the BCP Shadow Executive Committee (SEC). The proposal is that both Dorset and BCP SECs approve a delegation of function by agreement under Section 101 of the Local Government Act 1972 to allow waste services currently delivered by the Dorset Waste Partnership, to continue to be delivered in the existing Christchurch Borough area by Dorset Council on behalf of Bournemouth, Christchurch and Poole Council from 1 April 2019.
- 1.4 A delegation of function would enable Dorset Council to continue to provide services in Christchurch and transfer (under the Structural Change Order) DWP staff and assets serving Christchurch to Dorset Council instead of BCP, for the period of the agreement. This would mean all DWP staff and assets transfer to Dorset Council and that, for the duration of the agreement, there would be no change in staff management or contractual arrangements. Governance of waste services will be determined as part of the new committee structures for Dorset and BCP Councils. The legal agreement will also need to cover transitional reporting and governance, funding, duration of agreement, staffing and assets, and termination.
- 1.5 Alternative arrangements for the delivery of waste have been considered and rejected on the basis of the limited time available to put deliverable changes in place, including any complex contract management arrangements. This includes direct delivery of service from 1 April 2019 by BCP council, or a contractual arrangement between BCP and Dorset Council. Specific elements of service could be contracted out but as services in DWP are fully integrated there would be a significant risk to service delivery.

- 1.6 It is proposed that the duration of the delegation should be one year from 1 April 2019, with provision for termination or extension by both parties.

Karyn Punchard
Director of Dorset Waste Partnership
September 2018

Dorset Waste Partnership Joint Committee



Minutes of the meeting held at Purbeck District Council,
Westport House, Wareham on Tuesday, 11 September
2018.

Present:

Anthony Alford (West Dorset District Council) (Chairman)
Michael Roake (North Dorset District Council) (Vice-Chairman)

Members Attending

Daryl Turner (Dorset County Council), Ray Bryan (East Dorset District Council), Barbara Manuel (East Dorset District Council), Margaret Phipps (Christchurch Borough Council), Patricia Jamieson (Christchurch Borough Council), Barry Quinn (Purbeck District Council), Peter Webb (Purbeck District Council), Alan Thacker (West Dorset District Council) and David Walsh (North Dorset District Council)

Other Members in attendance

Cllr David Flagg attended the meeting as an observer.

Dorset Waste Partnership Officers Attending:

Karyn Punchard (Director), Paul Ackrill (Commercial and Finance Manager), Gemma Clinton (Head of Service - Strategy), Grace Evans (Legal Advisor), James Potten (Communications and Marketing Officer), Michael Moon (Head of Service (Operations)), Jim McManus (Treasurer) and Denise Hunt (Senior Democratic Services Officer).

- (Notes:(1) Publication In accordance with paragraph 8.4 of Schedule 1 of the Joint Committee's Constitution the decisions set out in these minutes will come into force and may then be implemented on the expiry of five working days after the publication date. Publication Date:- **Tuesday, 18 September 2018**
- (2) These minutes have been prepared by officers as a record of the meeting and of any decisions reached. They are to be considered and confirmed at the next meeting of the Joint Committee to be held on **Monday, 5 November 2018.**)

Apologies for Absence

39 Apologies for absence were received from Kevin Brookes (Weymouth & Portland Borough Council), David Budd (Purbeck District Council) and Tony Ferrari (Dorset County Council).

Substitute members who attended the meeting included Barry Quinn (Purbeck District Council), Andrew Parry (Dorset County Council) and Patricia Jamieson (Christchurch Borough Council).

Code of Conduct

40 There were no declarations by members of any disclosable pecuniary interests under the Code of Conduct.

Minutes

41 The minutes of the meeting held on 11 June 2018 were confirmed and signed subject to the amendment of an error in the recommendation 2 in paragraph 34.

Public Participation

Public Speaking

42 There were no public questions received at the meeting in accordance with Standing Order 21(1).

There were no public statements received at the meeting in accordance with Standing Order 21(2).

Petitions

There were no petitions received in accordance with the County Council's petition scheme at this meeting.

Forward Plan 2018

- 43 The Joint Committee considered its work programme and were advised that the following items in November 2018 would be submitted to the Joint Committee for information and comment rather than decision as the Dorset Shadow Executive Committee had responsibility for decisions:-

Delegation of Waste Function for Christchurch
Draft Budget 2019-20

Noted

Finance and Performance Report September 2018

- 44 The Joint Committee considered a report by the Director of the Dorset Waste Partnership (DWP) that outlined a projected adverse variance of £723k in 2018/19 based on the budget monitoring position at the end of July 2018.

The Finance and Commercial Manager explained that this overspend would be met by the Budget Equalisation Reserve, which contained funds of £1.2m.

He drew attention to the reduced variance with regard to the dry mixed recyclate, which had dropped from £1.086m to £798k, the reasons for which had been outlined in the report. The recyclate price had been considerably higher than the budget assumption of £0 per tonne in 2018/19 and was linked to changes in the international market and, in particular, China. Whilst the price was currently higher than budgeted, the overspend would be based on the projected yearly average, and forecasting with accuracy was extremely difficult with the inherent risk of change in the overspend.

Members asked whether the industry was currently looking at ways in which to solve this issue and were informed by the Director that the impact of changes in China was being felt in the waste industry as a whole and that infrastructure projects in the UK to address this would not be ready in the short term. If China continued with the tightened regulations that came into force at the end of March 2018, then Europe and the UK would need to respond and provide additional reprocessing and recycling facilities.

The Head of Service (Strategy) informed members that the Government was currently investigating revisions to packaging recovery notes. It was hoped that a new Waste and Resource Strategy, due in the coming months, would include a mechanism to allow local authorities to recover some money from packaging recovery notes, currently of most benefit to re-processors. The Government was trying to do more in relation to plastics generally, including an increase in the charge for plastic bags to 10p, but packaging recovery notes would be a key factor for local authorities. The Chairman asked members to bear this in mind if there were opportunities to talk to government ministers on this issue.

The Finance and Commercial Manager highlighted the £200k adverse variance with regard to the commercial waste service and assured members that the underlying performance of the service remained strong with continuing growth in the customer base.

The variance had arisen as a result of updated internal cost allocations arising from the type of waste rounds. A dedicated trade waste round was straightforward in accounting terms, however, there were rounds that were partly domestic and partly trade. In these cases, when the vehicle arrived at the weighbridge a formula was used that had recently been updated, resulting in greater costs being charged to the trade waste account that had previously been allocated to domestic waste. A supervisor rate of 5% for garden waste and 5% trade waste had also been applied. These updated measures took costs from one area of the business to another in order to provide a genuine reflection of practical arrangements on the ground.

Cllr Walsh asked about the new clinical waste obligations and the concerns around disposal of sharp objects.

In response, the Finance and Commercial Manager stated that it was likely that the liability would be met initially by continuing with the existing Clinical Commissioning Group (CCG) contractor.

Noted

Vehicle Replacement Programme

45 The Joint Committee considered a report by the Head of Service (Operations) which set out the waste vehicle requirements for North and East Dorset that required approval by the Shadow Dorset Executive Committee. It also outlined an option to procure vehicles for Christchurch for consideration by the Bournemouth, Christchurch and Poole (BCP) Shadow Executive.

The Joint Committee acknowledged that there would be a transitional phase for Christchurch and asked about the duration of service in this area.

The Director informed members that the BCP Programme Board had requested continuation of the service in Christchurch by the DWP for one year to be agreed in principle by both BCP Shadow Executive and Dorset Shadow Executive in October 2018. If this was agreed then a legal agreement would be drawn up accordingly.

In response to questions it was confirmed:-

- That there was sufficient space in some depots to accommodate mothballed vehicles.
- That mothballed vehicles would be usable in the short term with the best vehicles used in Christchurch. Some vehicles would be used for spare parts.
- There would be no round changes in the short term in North and East Dorset as a result of the procurement of new vehicles. A trial of one of the tri-stream rounds had shown a minimal timing difference.

Advice was sought as the Joint Committee had been asked to "note and support" the recommendations and the Legal Advisor explained that this would be helpful in informing the Shadow Executive that the recommendations had received general support by the Joint Committee.

Following this advice, members of the Joint Committee who were also members of the Dorset Shadow Executive Committee expressed a concern about participating in the debate and vote of this item, however, they were advised that this would not affect their consideration at the Shadow Executive Committee.

Members asked about the implications for vehicle procurement if the transition period was extended to 2 years and whether the asset value of newly purchased Christchurch vehicles would be transferred to the BCP Council.

The DWP Director advised that there was no requirement for the DWP to purchase the new vehicles for Christchurch, although this had been included as an option in the report and there would be a 12 month transitional period to commence a procurement exercise by either BCP or Dorset Councils. The Christchurch fleet had reached the end of its life sooner than expected and purchasing new vehicles would be a more economic way of managing the fleet, although the best of the older vehicles could be used in the meantime. In the event that the procurement was undertaken by the DWP this would result in an asset value on transfer to the BCP Council that would be agreed within the disaggregation principles, so that no one council was financially disadvantaged as a result. She confirmed that the detail of the arrangements for vehicles would be included in the legal agreements.

The Chairman commented that the planning for the transition had to commence at an early stage and that further information would be available in the November 2018 report.

Resolved

1. That the proposals for the vehicle replacements proposed for North and East Dorset be noted and supported; and
2. That the proposals for the vehicle replacements for Christchurch be noted and supported.

Reason for Decisions

Approval of expenditure greater than £500,000 was required by Joint Committee.

Delegation of Waste Function for Christchurch

46 The Joint Committee considered a report by the Director of the DWP which set out the proposal for the Shadow BCP Council and Shadow Dorset Council to enter into a legal agreement to delegate the waste function for the Christchurch area to the new Dorset Council for one year from 1 April 2019. The report sought comments on the proposal in order that these could be considered by the two Shadow Executive Committees.

The Director described the 3 different patterns for collections and HRC systems currently operating in Bournemouth, Christchurch and Poole as follows:-

- Christchurch - "Recycle for Dorset" provided by DWP;
- Bournemouth - a similar system to "Recycle for Dorset" in respect of in house residual waste and contracted out recycling with glass included in the recycle mix;
- Poole - contracted out collection system and in-house running of Household Recycling Centres.

She explained that the DWP would cease as a partnership on 1 April 2019 when waste would become an executive function of the new Dorset Council. As a high profile service, it was considered that a one year transition period for Christchurch would be appropriate in order to ensure service continuity. The proposal included a delegation of function that would allow staff and assets to be transferred to the Dorset Council for 1 year for an agreed fee, and thereafter transfer to the BCP Council who would take the service forward.

Officers had considered alternative options, however, these involved highly complicated arrangements that required too much work for officers and members to carry out in the required timeframe, as well as posing a risk to service delivery.

Further to a question in relation to wider partnership working in future, although too early to say at this stage, the Director advised that the DWP already shared a residual waste disposal contract with Bournemouth Borough Council that would remain open

and for the Borough of Poole to join this arrangement should it wish to do so. The collection side was more complex and there were many ways in which the new councils could work together that could be explored after 1 April 2019.

The Vice-Chairman expressed concern that a one year period would not be sufficient whilst also noting that there would be new members of the Dorset Council. He proposed that the timescale was "2 years or sooner" to allow greater flexibility and also having regard to the new facility at Blandford. This proposal was seconded by Cllr Margaret Phipps, as she considered that one year was not sufficient time and was concerned about possible impacts on Christchurch residents.

Some members were supportive of a two year transition period as this would provide more flexibility for the Dorset and BCP Councils and allow time for appropriate planning to take place by both members and officers. They did not consider that this could be achieved sooner. Others felt that either one or two years should be clearly specified in order to budget effectively.

It was further highlighted that waste services in Christchurch could be a political issue during the election in May 2019 when it would be important to convey the message that any action taken would not reduce service performance.

Members asked how the procurement of vehicles would be carried out under the transitional arrangements, particularly as the DWP would be using vehicles in the Christchurch area that were already at the end of their life.

They were advised that the total procurement time for vehicles was 9-10 months and that a transition period of one year had been proposed by the BCP Programme Board, partly due to financial considerations. The BCP Programme Board had acknowledged the need to bring forward its thinking about what happened to waste collection in Christchurch and did not want to be tied to making an upfront payment for more than one year.

Members wanted to have confidence that the Shadow BCP Council would consider this thinking at the earliest opportunity in order to correctly determine the transition period in terms of the practical arrangements involved.

The Director advised that such provisions could be built into the legal agreement and provide clarity on the stage at which an extension to the one year timeframe could be exercised and which Council would procure the new vehicles that were required in Christchurch.

There was a view that a strong public message was needed to reassure residents that the service would not be affected during the transitional period.

The budget estimate had been based on the agreed disaggregation template for waste services, and Christchurch represented 11.8% of total budget. On that principle, 11.8% would be the fee after setting next year's budget and a financial model would be built into the legal agreement including how any overspend or underspend was treated, and early termination of arrangements.

Following the discussion, some members felt that they could agree in principle to the report, subject to the legal agreement and financial considerations.

The Chairman stated that it had been useful to air opinions and that the comments of the members would be forwarded to the Shadow Executives through the minutes of this meeting, in order to assist in the discussions on this matter. The Committee was content with this way forward.

Noted

Questions from Councillors

47 No questions were asked by members under Standing Order 20.

Referring to the Finance and Performance Report earlier on the agenda, the Vice-Chairman asked for further clarity on the financial implications of closed landfill sites for the existing and the new councils.

The Finance and Commercial Manager stated that Dorset County Council currently owned a large number of closed landfill sites. These, as well as others that were currently looked after by the partner councils, would come together under the new Dorset Council and it was assumed that budgets in respect of these closed landfills would also merge.

Meeting Duration: 10.00 am - 10.54 am

RECOMMENDATIONS TO SHADOW EXECUTIVE COMMITTEE FROM SHADOW OVERVIEW AND SCRUTINY COMMITTEE

Shadow Overview and Scrutiny Committee - 31 July 2018

Town and Parish Councils – Principles for transfer and disposal of assets

Recommendation to the Shadow Executive Committee

That town and parish councils receive direct communication from the Shadow Dorset Council on a fortnightly basis.

Shadow Overview and Scrutiny Committee - 22 August 2018

Process for the appointment of a permanent Chief Executive for the Dorset Council

Recommendation to the Shadow Executive Committee

That any Senior Appointments Committee / Panel established for the purpose of undertaking the selection process for the recruitment of senior officers (below Chief Executive/Tier 1) is constituted with an odd number of members.

Programme Highlight report including Internal Audit report produced by SWAP

Recommendation to the Shadow Executive Committee

That the Programme Milestone Plan contained within the Shaping Dorset Council Highlight Report be amended to include the use of shapes in addition to colours, in order to identify progress in the different areas.

A copy of the full set of minutes of the Shadow Overview and Scrutiny Committee are attached for information and available on the Shadow Dorset Council website at:

<http://shadowcouncil.dorset.gov.uk/ieListMeetings.aspx?Committeeld=137>

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Shadow Dorset Council

SHADOW OVERVIEW AND SCRUTINY COMMITTEE

MINUTES OF MEETING HELD ON TUESDAY 31 JULY 2018

Present: Cllrs T Jones (Chairman), C Brooks (Vice-Chair), K Brookes, Ray Bryan, C Finch, B Goringe, N Lacey-Clarke, R Nowak, J Sewell, J Somper, J Tanner and M Wiggins

Apologies: None

Also present: Cllr A Alford, Cllr A Burch, Cllr D Elliott, Cllr M Gould, Cllr M Hall, Cllr M Lawrence, Cllr M Penfold, Cllr V Potheary, Cllr C Reynolds, Cllr P Shorland, Cllr Jackie Stayt, Cllr John Stayt, Cllr D Taylor, Cllr A Thacker and Cllr B Trite

Officers present (for all or part of the meeting):

Matt Prosser (Interim Head of Paid Service), Jason Vaughan (Interim Section 151 Officer), Keith Cheesman (LGR Programme Director), Lee Ellis (Scrutiny Officer), Mark Taylor (Group Manager - Governance and Assurance) and Lindsey Watson (Senior Democratic Services Officer)

8. **Declarations of Interest**

K Brookes declared a non-pecuniary interest in respect of agenda item 6 – Town and Parish Councils – Principles for transfer and disposal of assets – as Chairman of a community organisation in Littlemoor.

R Nowak also declared an interest in agenda item 6 as above, as the Chairman of Portland Town Council.

9. **Minutes**

The minutes of the meeting held on 20 June 2018 were agreed as a correct record and signed by the Chairman.

10. **Chairman's update**

The Chairman noted that the committee was on a learning curve and its workings would be reviewed as it progressed.

11. **Public participation**

There were no representations from members of the public.

12. **Town and Parish Councils - Principles for transfer and disposal of assets**

The committee reviewed a report that had been considered by the Shadow Executive Committee at their meeting on 20 July 2018. The Chairman

welcomed the following to the committee, who had been invited to join with the discussion:

- Hilary Trevorah, Chief Executive Dorset Association for Parish and Town Councils (DAPTC)
- Councillor Adrian Hibberd, Alderholt Parish Council and member of the DAPTC Executive Committee and Chairman of DAPTC Eastern Area Committee.
- Dr Martin Ayres, Swanage Town Clerk

The Chairman of DAPTC, Councillor John Parker had sent his apologies as he was unable to attend the meeting.

Hilary Trevorah provided a statement from the DAPTC which set out their role in supporting 160 parish and town councils across Dorset including providing information to the councils in respect of current changes in local government in Dorset. She noted that the link with local councils was now even more important as parish and town councils had an understanding of local needs and could be involved in helping to shape future services. DAPTC were keen to work as partners with the unitary organisation to support local councils to work for and provide services for local communities where appropriate.

Dr Martin Ayres, Swanage Town Clerk expressed a wish to break down barriers and improve partnership working between the tiers of local government. He provided some examples of work being undertaken in Purbeck.

Councillor Adrian Hibberd asked that smaller parishes be included in direct communication about changes in local government. He expressed a desire for parish councils to be part of the changes but appreciated the tight timescale that was being worked to. He asked for an indication of services and powers that may be passed down by the end of the year in order for the parish council to precept accordingly.

The committee was invited to ask the attendees questions and during discussion the following points were raised:

- The DAPTC was working with the Shaping Dorset Council's Programme Team and received newsletters from the team and could contact the team if there was information that was needed by DAPTC members e.g. information on the review by the Boundary Commission. The DAPTC was not part of any officer group and made their representations by attending Shadow Council committee meetings and making representations during public participation time. The DAPTC was not comprehensively integrated but could be contacted by the Programme Team if there was information that needed to be sent out
- In response to a question, Hilary Trevorah noted that it would be helpful if there could be a more formal link between the DAPTC and the Programme Team

- Members discussed the position with communications with parish and town councils and a number of members expressed the view that communications should come direct from the Shadow Council or Programme Team
- It was noted that the report which was considered by the Shadow Executive Committee on 20 July 2018 provided a high level summary of what each sovereign council was doing in relation to the transfer of assets to town and parish councils and other community groups. The report also set out a suggested set of principles for Dorset to ensure a consistency of approach to asset transfer that would not adversely impact on the new Council
- The Programme Team was working to ensure a 'safe and legal' Council on 1 April 2019. Decisions about asset transfer and devolution of powers would be considered at an appropriate time after this point. This position needed to be clear in communications with town and parish councils and other relevant bodies
- It was recognised that some councils would be keen to take on the opportunity of providing more services and that some would not want this or have the resources to be able to provide additional services
- The Interim Head of Paid Service provided an update in respect of those task and finish groups that had been paused and noted that their work had been incorporated into the work of other task and finish groups
- Dr Martin Ayres provided information in respect of the experiences in Swanage Town Council in previous local government reorganisation in Dorset
- Hilary Trevorah noted that DAPTC members were aware of the budgetary constraints for the unitary organisation but emphasised the important role for parish and town councils in providing the understanding of the local needs of communities. Councils wanted to be part of the solution as to how services were delivered in future. Councillor Adrian Hibberd commented that this would provide an opportunity for local councils to have a real influence in their area
- The Interim Head of Paid Service read out a statement that had been provided at the meeting of the Shadow Executive Committee on 20 July 2018 with regard to the appropriate timing of the conversation with parish and town councils. The new unitary authority needed to decide how it would operate before any decisions could be taken on how services would be delivered in future or the devolution of powers. It was recognised that there could be an opportunity for a piecemeal approach to discussions with parish and town councils based on the agreed principles. Budgets would be agreed in the normal timescale and responses sent out to town and parish councils as quickly as possible. There would be a further 3 years with no cap put on town and parish councils
- In addition, the Interim Head of Paid Service noted that there was no reason why the DAPTC could not be linked in with the appropriate decision making frameworks. He also noted that

communications could be sent direct to town and parish councils from the Shadow Dorset Council

- The Chairman asked the committee whether they wished to receive a report at the next meeting with regard to how DAPTC could be integrated with the Programme Team and the decision making structure of the new unitary authority? There was not general support from the committee for this proposal
- A point was made in respect of the need for clarity on the future of services such as provision of public toilets
- Although there would need to be discussion at an appropriate time in the future about issues such as these it was noted that the main concerns for the unitary organisation would be the provision of Adult Social Care and Children's Services. It was recognised that the provision of local services such as public toilets and tourist information were important to parish and town councils
- Councillor C Reynolds provided information on the positive experience with engaging with parish and town councils in West Dorset and in particular the experience in Lyme Regis
- There was a general level of feeling that parish and town councils should be receiving regular information direct from the Shadow Dorset Council in order to ensure that there was a clear line of communication
- The Interim Head of Paid Service noted that members of the Shadow Dorset Council received bi-weekly communications from the Programme Team. The DAPTC was also now receiving this information. A full communications and engagement proposal was to be considered by the Shadow Executive Committee at their meeting in August

It was proposed by C Brooks seconded by N Lacey-Clarke

Recommendation to the Shadow Executive Committee

That town and parish councils receive direct communication from the Shadow Dorset Council on a fortnightly basis.

13. Shadow Overview and Scrutiny Committee - Draft Purpose and Guiding Principles

The committee considered a draft document which set out the purpose, guiding principles and a supporting Modus Operandi to help ensure that the committee maintained an appropriate approach and focus on its key role and responsibilities.

In response to a question, the committee discussed the meaning and use of the term 'Whip' within the document. It was noted that information in respect of this was contained within the Shadow Dorset Council's Constitution and that information would be circulated to members following the meeting.

It was noted that the wording 'Views must be formed after listening to officers, members and visitors in the room considering an issue, not before...' would

stand as a point in its own right and therefore it was felt that the reference to 'Whips' could be removed.

The Interim Head of Paid Service noted that a current review of task and finish groups could see their title changed in future and therefore this may need to be reflected in the document. The importance of pre-decision scrutiny was also recognised.

It was proposed by C Brooks seconded by J Sewell

Decision

That the wording '...in particular, *'Whips' are undesirable and have to be declared*' is removed from the document.

14. Shadow Dorset Council Programme

The Chairman welcomed Matt Prosser (Interim Head of Paid Service), Jason Vaughan (Interim Chief Finance Officer) and Keith Cheesman (Shaping Dorset Councils Programme Director). The purpose of the session was to provide an overview of the Shaping Dorset Councils Programme including the Shadow Dorset Council arrangements and allow a discussion based on the key lines of enquiry which had been included within the agenda.

The Interim Head of Paid Service provided information to address each point:

1. How will you ensure that the new vision and culture for the council, as set out in the submission to the Secretary of State, will be achieved?

Information was provided in respect of the role of the Interim Head of Paid Service and the work of the Shadow Executive Committee. A set of Design Principles had been established and these were available for members comments before they were further considered at the Shadow Executive Committee.

Details of the different phases of work being undertaken were provided. The first phase had been to establish design principles for the Shadow Executive Committee to focus on. The next phase would be to put an operating model together which would be considered by the Shadow Executive Committee in October. Shadow Council would consider the appointment of the Chief Executive for the unitary council who would drive the work forward. Areas to be determined included consideration of the standards the council wanted to achieve and how performance would be measured. These could not be determined until the necessary structures were put in place. A Corporate Plan would be produced for the unitary council and there could be monthly reporting on performance.

2. What is being done to ensure that proactive communication, consultation and engagement is in place with key stakeholders (public, partners, voluntary/third sector and staff)?

A variety of communication methods were in place for staff and members (including monthly member briefings). Other work undertaken or to be done included the creation of a calendar of events, a new internet site, interim branding protocol, vision identity work including developing the new logo and a newsletter for stakeholders. The Shadow Executive Committee would be considering the Shaping Dorset Council Communications and Engagement Plan at their next meeting.

3. What is the process to identify and assess risk and how are these monitored and, where necessary, escalated to support informed decision making? For example, what is the mechanism for ensuring business continuity?

The Dorset Area Joint Committee had established a risk management framework and each work stream had identified risks which were reported on, on a regular basis. Senior Management had an oversight of business continuity as six councils were integrated into one. Reference was made to issues around the recruitment and retention of staff during this period.

Reference was made to the previous experience when West Dorset District Council and Weymouth and Portland Borough Council came together into partnership. In response it was noted that the change programme created risks and that these were monitored by the Programme Board. High level risks were reported to the Shadow Executive Committee and this had included an informal session for the committee where members were able to look in detail at the areas covered. The experience and knowledge from previous partnership formation had been captured and analysed and included a lot of learning from across Dorset. The Interim Head of Paid Service was accountable for the programme until the permanent Chief Executive for the unitary council was appointed.

The important role of internal auditors was referred to and assurance work was being undertaken by the South West Audit Partnership (SWAP) on a regular basis.

4. What is the mechanism for ensuring consistency in the transfer of assets and liabilities?

The transfer of assets had been part of the Disaggregation Workstream. This work was mainly complete and moving into the delivery phase.

Reference was made to the ability to get information required and the impact that this could have on the setting of the budget and this was linked to the risks around recruitment and retention of officers including senior positions.

Internal auditors reviewed risk information on a monthly basis and information would be considered by the Shadow Executive Committee.

5. How long did Cornwall and Wiltshire have to prepare and what are we doing to liaise with them to understand and capture the key risks and lessons learned from their own experiences?

Information was provided on the situations with Cornwall and Wiltshire. The Interim Head of Paid Service noted that a meeting had been held with the Chief Executive and Assistant Chief Executive of Cornwall Council to gain their experiences after a period of time. Some of the issues that the council faced were highlighted and lessons learned including where early work to converge processes would have been useful, for example in elections. The Wiltshire Structural Change Order had been used as a basis for the Dorset Structural Change Order but had been amended. Some work was being undertaken in Dorset to produce a template for others to use in the future.

6. We gather that a peer review of the programme between now and vesting day is being commissioned. Could you tell us more?

The South West Audit Partnership had been asked to undertake assurance work on behalf of the Shaping Dorset Council Programme Board and this would be considered by the Shadow Executive Committee at the meeting in August. The report would be available within the agenda in advance of the meeting and Shadow Dorset members including members of this committee could attend the meeting and provide comments. In response to a member request, the Interim Head of Paid Service noted that this report could also be brought to the Shadow Overview and Scrutiny Committee at the next meeting.

In response to a question, the Interim Chief Finance Officer noted that spending on the transformation programme was monitored on a monthly basis.

A point was raised that the meeting of the Shadow Overview and Scrutiny Committee was the day after the Shadow Executive Committee meeting. The Interim Head of Paid Service noted that the formal cycle of Shadow committee meetings would start in September where the Shadow Overview and Scrutiny Committee would meet before the Shadow Executive Committee.

7. In your view what are the key milestones that have to be met if the vesting day target is to be met and what therefore are the key dates. What ability do we have to say that “we are not ready” and request a postponement? What are the top priorities before the end of September?

Details of the key milestones were provided to the committee which included work around the Human Resources (HR) and TUPE processes with a list of staffing and where posts would be going, to be produced by the end of September, pay and grading work, ICT work including a single domain name which had already been agreed, creation of a global address list by the end of September and public Wi-Fi in place from December. The Interim Head of Paid Service did not believe that there was the ability to postpone the creation of the new council. Work was progressing on the creation of a safe and legal

council on 1 April 2019. A discussion was to be held with the Department for Communities and Local Government to discuss progress.

Work had not started in respect of accommodation for the new council and there would be limited change by 1 April 2019. In the interim period, South Walks House in Dorchester provided the home for the Shadow Dorset Council for the purpose of having an address for setting up a bank account etc.

A concern was expressed with regard to the potential loss of staff and the knowledge and experience that they would take with them. Particular reference was made to the S151 officers in each council. It was recognised that not all officers could be retained but that work was being undertaken with HR specialists to put the best processes in place to ensure service continuity and that employees were treated in the right way.

In respect of considerations by existing district and borough councils in respect of their assets, the Interim Chief Finance Officer could provide advice. There was no wish to prevent councils from operating their business but there was a need to consider any potential impact of their decisions on the new council.

The ambition for day 1 was to have a safe and legal council with a Chief Executive and second tier structures in place, a single email domain, telephony and no noticeable changes in services. The Shadow Council would remain in place until four days after the elections in May 2019 in order to take necessary decisions.

The current situation with the use of interim officers was considered. There was a need to consider the use of interim staff in areas where there were vacancies.

8. What is the experience to date with task and finish groups? Will some be rebooted, in particular the local decision making one?

Various task and finish groups had originally been established by the Dorset Area Joint Committee and these were currently being reviewed in consultation with the Leader and Deputy Leader of the Shadow Council. The Governance Task and Finish Group had recently looked at the groups that had been paused and had reallocated their work to other task and finish groups. A point was made that some disquiet had been expressed that meetings had been cancelled or had reached no conclusion. In response it was noted that there was a need to ensure that sovereign councils were committed to provide information in a timely manner.

The issue of local decision making had been incorporated into the Governance Task and Finish Group and a point was made that the role of parish councils needed to be recognised.

In response to a question, it was reported that the conversation around area based decision making was ongoing.

9. What was the process for the recruitment of the Interim posts? On reflection was this the right process and how would this influence the process for the recruitment of permanent positions in the new council?

The process for the appointment of the Interim posts was set out and had been led by the Leaders of the six councils with input from South West Councils. The procedure for the appointment of the permanent Chief Executive was also set out which included independent HR and recruitment advice. A decision to appoint a permanent Chief Executive would be taken by the Shadow Council at the meeting on 27 September 2018.

Councillor B Trite addressed the committee to raise concern with regard to the process used for the selection of the Interim posts. Due to the nature of the comments being made it was proposed by C Brooks seconded by T Jones

Decision

That under section 100A (4) of the Local Government Act 1972, the press and the public be excluded from the meeting for the following discussion on the grounds that they involve the likely disclosure of exempt information as detailed in paragraph 1 of part 1 of schedule 12a to the Act.

The Interim Head of Paid Service and Interim Chief Finance Officer left the room.

Councillor Trite provided his comments in respect of the process used for the selection of the Interim posts and members discussed the issues arising.

Following discussion it was proposed by T Jones seconded by C Brooks

Decision

That an item be included on the agenda for the next meeting of the committee to consider the process for the appointment of a permanent Chief Executive for the unitary authority and that the Chairman and Vice-chairman of the appointments panel and relevant external advisors be invited to the meeting.

It was proposed by T Jones seconded by C Brooks

Decision

That the committee return to open business.

10. Most meetings of the Shadow Executive are held in public, but some are not, why is this?

It was noted that some informal meetings of the Shadow Executive would be held and that these may be opened up to others depending on the discussion to be held. Some concern was expressed with regard to this and it was felt that there was a need for some clarity in respect of this.

15. **Shadow Executive Committee Forward Plan**

Item deferred to next meeting.

16. **Shadow Overview and Scrutiny Committee Work Programme**

Item deferred to next meeting.

17. **Meetings of the committee 2018/19**

Members considered a schedule of dates for the committee for 2018/19 and the following dates were agreed by the committee:

22 August 2018, 9.30am
12 September 2018, 6.30pm
8 October 2018, 9.30am
7 November 2018, 6.30pm
3 December 2018, 9.30am
8 January 2019, 6.30pm
4 February 2019, 9.30am
7 March 2019, 6.30pm

All meetings to be held at South Walks House, Dorchester.

18. **Urgent items**

There were no urgent items.

Duration of meeting: 9.30 am - 12.50 pm

Chairman

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Shadow Dorset Council

SHADOW OVERVIEW AND SCRUTINY COMMITTEE

MINUTES OF MEETING HELD ON WEDNESDAY 22 AUGUST 2018

Present: Cllrs T Jones (Chairman), C Brooks (Vice-Chair), S Bartlett, K Brookes, M Byatt, C Finch, S Gibson, B Goringe, N Lacey-Clarke, J Sewell, J Somper, J Tanner and M Wiggins

Apologies: Cllrs Ray Bryan

Also present: Cllr A Alford, Cllr J Andrews, Cllr S Flower, Cllr Jackie Stayt and Cllr John Stayt

Officers present (for all or part of the meeting):

Lindsey Watson (Senior Democratic Services Officer), Lee Ellis (Scrutiny Officer), Nicola Houwayek (HR Strategic Lead) and Mark Taylor (Group Manager - Governance and Assurance)

19. **Declarations of Interest**

The Chairman noted that members were not required to declare their membership of any bodies to which they had been appointed by their local authority. The Monitoring Officer clarified that members needed to declare any financial interests.

There were no declarations of interest.

20. **Minutes**

In respect of minute 12 with regard to Town and Parish Councils – Principles for transfer and disposal of assets and the bullet point with regard to the DAPTC working with the Shaping Dorset Council's Programme Team (page 2 of the minutes), it was noted that the DAPTC continued to work with the programme team.

The Chairman noted that the last meeting had been a difficult meeting with people getting to know each other and how people worked together. He asked members to bear with each other during this early period for the committee.

It was proposed by J Sewell seconded C Brooks

Decision

The minutes of the meeting held on 31 July 2018 were agreed as a correct record and signed by the Chairman subject to the note about the DAPTC above.

21. **Public participation**

There were no representations from members of the public.

Statement and advice to the Shadow Dorset Council Overview and Scrutiny committee

Stephen McNamara, a Consultant with VWV Solicitors attended the committee and provided a statement with regard to the discussion that had taken place at the meeting of the committee on 31 July 2018, with regard to the process for the appointment of the Interim statutory officers for the shadow period. The statement is attached at appendix A to the minutes.

Change to order of agenda items

The Chairman reported that he had agreed to change the order of the following two agenda items and that the item on the process for the appointment of a permanent Chief Executive for the Dorset Council would be taken as the next item at the meeting.

22. **Process for the appointment of a permanent Chief Executive for the Dorset Council**

Nicola Houwayek (HR Strategic Lead, Shaping Dorset Council) attended the meeting to provide a presentation with regard to the process for the appointment of a permanent Chief Executive for the Dorset Council. The presentation included background to the process, including the recruitment process timeline and detail of the membership of the Senior Appointments Committee.

In response to questions raised with regard to the composition of the Senior Appointments Committee it was noted that the members were acting in their role as Shadow Councillors and that it was a politically balanced committee. There were 8 members appointed to the committee which had been agreed by Full Council at its first meeting and it was noted that the Chairman would have a casting vote in the case of an equality of votes. A concern was noted that there should be an odd number of members on the committee.

Clarification was sought in respect of the members of the Senior Appointments Committee and which councils they were also members of. A concern was expressed in respect of the public perception of this. The Chairman confirmed the councillors' council membership as follows:

Councillor Anthony Alford – West Dorset District Council

Councillor Andy Canning – West Dorset District Council and Dorset County Council

Councillor Graham Carr-Jones – North Dorset District Council and Dorset County Council

Councillor Jeff Cant – Weymouth and Portland Borough Council

Councillor Spencer Flower – East Dorset District Council and Dorset County Council

Councillor Colin Huckle – Weymouth and Portland Borough Council
Councillor Rebecca Knox – Dorset County Council
Councillor Gary Suttle – Purbeck District Council

In response to a question, it was confirmed that the process for appointing tier 2 officers would be similar but with a lower level of stakeholder engagement. Further information on the tier 2 appointment process and timescale would be considered at the next meeting of the Shadow Executive Committee. It was agreed that a further presentation would be provided to the next meeting of the Shadow Overview and Scrutiny Committee with regard to this process.

Members considered the issues arising from the presentation and during discussion the following points were raised:

- The stakeholder involvement could include representatives of public sector partners that the council worked with including, health partners, housing associations, youth panel and the Local Enterprise Partnership as well as businesses. The stakeholder feedback to the panel would be important and properly considered
- In respect of the psychometric testing, members were informed that an occupational psychologist would attend to talk through the results with the panel. It was noted that psychometric testing was used widely for senior appointments
- In response to a question, organisational costs in respect of redundancies were noted which would be met by each council
- It was noted that the final approach to the Chief Executive salary had not been agreed and would depend on the successful candidate offered the appointment. A salary range had been agreed
- Terms and conditions such as amount of annual leave were standard terms offered to Chief Executives
- In response to a question as to whether councillors had a pecuniary interest in respect of the appointment process and the public perception of this, the Programme Director noted that the appointments process was about bringing together the best people for the job and that redundancy costs for existing chief executives was not a factor in the decision making process. The Interim Monitoring Officer noted that this was not about the pecuniary interests of the councillors involved but that the cost of any redundancies would come from the existing councils budgets that would no longer exist on 1 April 2019. It was also noted that the Structural Change Order set out the position with regard to the redundancy of existing chief executives
- In response to a comment about increasing the size of the Chief Executive Appointment Panel from 8 to 9 members, the Interim Monitoring Officer indicated that he would be troubled by that as the panel was half way through the process and it would not be appropriate to introduce a new person at this stage. It was noted that this advice must be accepted
- A comment was noted that the public perception needed to come second to the professional HR and Legal advice that had been

received for a technical exercise. The sole focus must be on appointing the best candidate

- In response to a concern raised, it was noted that it was standard practice to offer a salary range which would depend on the job and level of experience that a person was bringing into a role

It was proposed by J Sewell seconded by B Goringe that any Senior Appointments Committee / Panel established for the purpose of undertaking the selection process for the recruitment of senior officers (below Chief Executive/Tier 1) is constituted with 9 members rather than 8.

A comment was made that as arrangements for future processes had not yet been agreed, it would be clearer to state that any future appointments committee or panel was constituted with an odd number of members, rather than stating a specific number at this stage. The original proposer and seconder of the motion agreed with this approach and change of wording.

Recommendation to the Shadow Executive Committee

That any Senior Appointments Committee / Panel established for the purpose of undertaking the selection process for the recruitment of senior officers (below Chief Executive/Tier 1) is constituted with an odd number of members.

(Two member abstentions).

23. Programme Highlight Report including Internal Audit report produced by SWAP

In response to a request by the committee at the last meeting, members received a copy of the Highlight Report – August 2018, considered by the Shadow Executive Committee at their meeting on 21 August 2018, which included a Programme Governance Report and follow up report produced by South West Audit Partnership (SWAP). Sally White, representing SWAP, attended to provide an overview of the issues raised in the reports.

Detail of the ‘Headline Conclusions’ from the initial report was set out at page 21 of the agenda. In response to these points raised, the Programme Director had provided a detailed report on progress made in the areas and this had led to SWAP producing a follow up report. It was noted that the follow up report set out that the direction of travel was positive and identified key changes such as the formation of new themed boards and changes to previous task and finish groups. The report also recommended a schedule of further detailed audit work.

Members considered the issues arising from the reports and during discussion the following points were raised:

- Members were aware of the amount of work to be undertaken and the short time scale for undertaking the work required to meet the 1 April 2019 deadline

- It was noted that support could be provided by the Centre for Public Scrutiny and the Local Government Association
- Reference was made to comments made in the report with regard to Dorset County Council involvement and support in terms of their contribution to the Shaping Dorset Council programme and consideration was given to inviting representatives of Dorset County Council to the next meeting of the committee to discuss these issues with them
- The Programme Director provided information on the level of staffing within the team which currently stood at 21 people with recruitment ongoing. In addition nearly 200 people within the councils were engaged with the plans including an oversight of areas and work around service continuity. He felt that significant progress had been made since the first SWAP report had been produced. The SWAP report had been requested by the Programme Board to ensure that processes and capacity for the work was in place
- Members recognised that improvements had been made but some issues had been carried forward to the update report
- Further audit work was to be undertaken to look at the governance of the programme
- An externally run Gateway review towards the end of September 2018 would involve SWAP and a transformation consultant and would set out to confirm whether the discovery phase had been satisfactorily completed in readiness for the main implementation phase. A second Gateway review would take place towards the end of January 2019 and would confirm all work carried out along with any contingency plan for any areas not covered. The 'go live' date for the new Council could not be moved but there could be consideration as to what would be in place by 1 April 2019 and what plans needed to be put in place
- The Programme Team were working at full capacity to deliver the actions set out in the Programme Plan. The milestones were updated every week and were reviewed along with the detail that sat below the plan
- In response to a question, the Programme Director provided information on the composition of the Programme Board. The membership of the Programme Board had been widened to include the interim officers and other managers and would be meeting on a more regular basis moving forward
- A request was made for there to be a presentation in respect of the Gateway 2 process to the Shadow Overview and Scrutiny Committee at the appropriate time
- A comment was made with regard to the Programme Milestone Plan in the Highlight Report and whether shapes could be used in addition to colours to assist in reading the chart. The Programme Director noted that this could be considered
- In response to a question, the Programme Director confirmed that notes of the Programme Board meetings were available to members on the Sharepoint site

- Consideration was given to the resources available to the Programme Team to undertake the level of work that was required. It was noted that recruitment was still underway. There was a need for particular experience and skills in certain areas which may be about staff offering part of their time to the project rather than undertaking a wholesale secondment
- 173 members of existing council staff had been involved for a period of time in service continuity workshops. Staff would also be involved in making the changes necessary to bring services together. Other officers such as monitoring officers and finance officers had been formed into groups to undertake particular areas of work
- Although there was some concern with regard to the amount of work to be undertaken to prepare for the new Council to come into life on 1 April 2019 and the resources available to carry out this work, members recognised that the recruitment process for the Programme Team was still ongoing
- The Programme Director confirmed that he trusted that the team had the resources available in order to deliver the programme

Following consideration of all of the issues above it was proposed by C Brooks seconded by T Jones

Decision

That the Chief Executive and Leader of Dorset County Council be asked to attend the meeting of the Shadow Overview and Scrutiny Committee on 12 September 2018 to address the issues raised with regard to Dorset County Council in the Programme Governance Report produced by South West Audit Partnership (SWAP). The committee wish to seek assurance that action is in place by the county council to address the comments made by SWAP.

Recommendation to the Shadow Executive Committee

That the Programme Milestone Plan contained within the Shaping Dorset Council Highlight Report be amended to include the use of shapes in addition to colours, in order to identify progress in the different areas.

24. Shadow Executive Committee Forward Plan

The Shadow Executive Committee Forward Plan was considered alongside the item on the Shadow Overview and Scrutiny Committee Work Programme.

25. Shadow Overview and Scrutiny Committee Work Programme

The Scrutiny Officer noted that following a meeting with the Chairman and Vice-chairman of the committee and relevant officers, a draft work programme would be brought to the next meeting of the committee. From September, the cycle of meetings would see the committee meeting in advance of the Shadow Executive Committee. In future the Shadow Executive Committee

Forward Plan would be considered during the review of the committee's work programme.

Members considered issues for the work programme and during discussion the following points were made:

- There was a need for assurance with regard to the readiness of critical services and any contingencies in place
- The committee had a focus on 'Safe and Legal' from day 1
- A request was made to include a review of the future operation of leisure facilities in Dorset, which was to be considered by the Shadow Executive Committee on 17 September 2018
- The Chairman asked for there to be a presentation of services covered by each council to be held in the autumn

In response to a comment, the dates of future meetings of the committee would be recirculated to committee members.

26. Urgent items

There were no urgent items.

27. Appendix A

Statement and advice to the Shadow Dorset Council Overview and Scrutiny Committee

Chairman and members,

Intro

Thank you for giving me the opportunity of addressing you this morning on a matter of urgency. I intend to present to you the results of my investigation into the allegations made by Cllr Trite to the OS Committee on 31/7/18. He said that the selection procedure for the interim statutory positions was uneven, unfair and inappropriate. He said that the selection panel was "loaded in favour of certain candidates"

These are extremely serious allegation

I will set out my reasoning shortly but at the very start I want to make clear that my conclusion and professional advice Cllr Trite is mistaken. This selection was neither uneven, unfair nor inappropriate.

Who I am

I am Stephen Mcnamara, a consultant with VVV solicitors. I am a solicitor of over 35 years' experience including 24 years in local authorities and most

recently 16 years as HoLs at BCC. I have been a consultant with VWV for 6 years bar for one year in Myanmar where I was a consultant on a rule of law programme

Why an independent person was appointed

When Jonathan Mair learnt of the allegations he was of the view that this should be immediately investigated. Firstly because of the seriousness of the allegations and also because a selection process is being undertaken for the permanent positions.

He was rightly of the view that this had to be investigated by an independent person given that he has been appointed as the interim Monitoring Officer. He wanted there to be no possibility that he would be accused of bias

The allegations

I have not had the opportunity of meeting with Cllr Trite (he is now on holiday until 31/8), but on 15/8 he sent a detailed account of what he said at the meeting on 31/7 to Mr Mair. This explains his reasoning as to why he believes the selection process unfair and includes the text of the statement he made to you on 31/7. I have reached a definitive view on the merits on his allegations on the basis of his letter. I would have liked to have met him, as a matter of courtesy, before giving my advice but the urgency of the matter precludes this.

This is his statement

"Mr Chairman, thank you for allowing me to speak when I'm not a member of this Committee. I feel quite uncomfortable saying this, but I would feel more uncomfortable within myself if I didn't say it. My concern centres on the process recently used for the selection of an Interim Head of Paid Service and an Interim s.151 Officer.

"A senior serving council officer in Dorset has described the composition of the selection panel to me as, in practice, loaded in favour of certain candidates, and I regret to say that I have to agree. If each of the six council leaders who comprised the selection panel had had a separate chief executive and a separate s.151 officer, I would not be sitting here and I'd consider this process an example of the proverbial level playing field. But in fact three of these six leaders on the selection panel had the same chief executive and the same s.151 officer who were candidates for these Shadow Dorset Council positions.

"Given the close, supportive, empathetic and co-operative working relationship which normally exists between leaders and their most senior officers, I believe that the reasonable man or woman in the street would consider that this distinction between leaders within the panel would be wrongful and could, in practice, favour a particular candidate for each of these posts. (And the candidates who work with three of the leaders rather than with one were, indeed, duly appointed.)

"I want to make it absolutely clear here that I'm saying exactly nothing about the respective merits and qualities - or demerits if they have any -

of any of the candidates themselves. The personalities concerned are immaterial. It's the skewed realities behind the selection arrangement to which I point, and I know they concern others too. I have heard them described as corrupt. I would not go that far, but I cannot escape the belief that they were uneven, unfair and inappropriate - and something very similar is, I understand, intended for the selection of the actual Chief Executive and s.151 Officer of the new Council very shortly."

You will note that he refers to the view of others that the process was "corrupt". He seeks to distance himself from that allegation

If there had been evidence of corruption ie dishonest or fraudulent conduct by those in power, typically involving bribery, then my intention was to ensure that it was reported to the police

His accusation amounts to an allegation of a biased decision making process.

The investigation

My investigation was

- as to how the interim office holders were selected,
- whether there was any evidence that that process was flawed
- whether, in particular, there was any reason to believe that there might have been bias and
- whether there was any evidence of corruption

On 15/8 I interviewed Nicola Houwayek as the HR consultant supporting the establishment of the new council. She told me that she believed that the practice of the members at the selection panel was exemplary. She told me that, consistently with good practice, candidates were asked the same questions and marked. She had no concerns with the process at all

On 16/8 I interviewed Cllr Flower as chairman of the Selection Panel. He said that he believed it had been a fair and rigorous process and that he did not believe that there had been any bias

On 17/8 I interviewed Bryony Houlden (chief executive of sw council). She acted as independent advisor to the panel. She said that she had no concerns at all about the process. She was impressed by the rigour and care shown by all the members

I reviewed and read every the marking sheet. These were filled in a thoughtful and reflective fashion

There was no evidence of anything untoward in the behaviour of any of the members

There was no evidence of anything untoward in the behaviour of any of the officers

There was no evidence that any candidate had an unfair advantage

There was no evidence that the composition of the selection panel was loaded in favour of certain candidates

There was no evidence of any corruption

The law

My primary interest as a local government lawyer is in decision making. There is a considerable body of law which clarifies that when a local authority takes a decision it must act in a manner consistent with its statutory duties, that it must take into account what is relevant and discount what is irrelevant, that it must follow proper process etc

An unfair decision is an unlawful decision and a council must not take unlawful decisions

This simple principle bears repeating

An unfair decision is an unlawful decision and a council must not take unlawful decisions

A biased decision is an unlawful decision

There are requirements which precludes members or officers from taking part in a decision if they have a financial interest in the decision or if they have predetermined the issue or if they are biased.

Bias arises if the decision to be taken could engage with their personal interests, or with the personal interests of close family members or personal friends

Bias does not arise merely because there exists a professional relationship between individuals . That is not a recognised category of bias

Therefore, as an example, there is no bias if a manager interviews a temporary member of staff for a permanent position

Analysis

I have explained that bias does not arise because of a professional relationship. This means that the argument made in the statement of Cllr Trite is flawed. There is simply no basis for the allegation that the selection panel had some sort of bias built into it merely because some leaders shared a chief executive or s151 officer.

Therefore Cllr Trite is mistaken. There is no evidence that this was not a level playing field.. There is simply no ground for the assertion that the process was unfair

I will also argue this by a different route. If Cllr Trite were correct, then a council could not countenance any selection process where an interviewer had had a professional relationship with an interviewee.

Indeed, in respect of the permanent statutory positions the Cllr Trite argument would exclude any member being involved who had had any professional relationship with any of the candidates

And ,as noted before, a manager could not be involved in interviewed an internal candidate for a permanent position

This again shows that the Cllr Trite argument is flawed

Cllr Trite refer to the view of "the reasonable man or woman". Reference to a hypothetical observer is sometimes helpful in understanding the law. The reference is best construed as to an objective and fair minded observer who is not unduly cynical nor naïve who has some knowledge of law and practice and with familiarity with the law concerning lawful decision making.

I am afraid that the Cllr Trite "reasonable man or woman" is overly cynical

Conclusion

On occasion lawyers are accused of "sitting on the fence". I am not

My advice is definitive and couched in deliberately forceful terms. I make no apology for that

I am happy to answer any questions

Duration of meeting: 9.30 - 11.33 am

Chairman

.....

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Shadow Dorset Council

Date of Meeting	15 October 2018
Shadow Executive Lead Member/s	Cllr Andrew Parry, Lead Member, Education and Skills Cllr Steve Butler, Lead Member for Children’s Services
Subject of Report	Dorset County Council: Independent Special School Provision – Framework Tender and Award
Report For	Consultation/Decision
Executive Summary	<p>This report requests the Shadow Executive Committee support the participation of Dorset County Council in a sub-regional framework tender for the provision of independent and special school placements.</p> <p>It has come to the Shadow Dorset Council for consultation. The recommendation is being considered by Dorset County Council’s Cabinet on 17 October 2018.</p> <p>The aim of participating in the tender is twofold:</p> <ol style="list-style-type: none"> 1. To provide a broader range of independent special school and college placements that can deliver better outcomes for children and young people; and 2. To meet procurement regulations by opening access to a range of placements from a framework (and so avoiding spot-purchasing all placements). <p>Although membership of the framework is expected to offer economies of scale to the participating councils, there is no obligation to purchase from it.</p> <p>Expenditure will only be incurred when placements are made with providers on the framework. Current annual expenditure on independent special school and college placements is approximately £11,500,000. This tender will not result in net additional expenditure but will provide the means to secure better value for money and unit costs when independently provided special school and college placements are required.</p>
Recommendation	That Shadow Executive Committee approve the participation of Dorset County Council in a sub-regional framework tender for the provision of independent and special school placements.

Page 2 – Dorset County Council: Independent Special School Provision – Framework
Tender and Award

Reason for Recommendation	To improve the sufficiency and choice of independently provided school and college placements to meet the needs of children and young people with Special Educational Needs and Disabilities (SEND).
Officer Contact	Name: Tom Smith, Commissioning and Market Development Manager, Children's Services, Dorset County Council Email: tom.smith@dorsetcc.gov.uk

Cabinet

Dorset County Council



Date of Meeting	15 October 2018 – Shadow Executive Committee 17 October 2018 - Cabinet
<p><u>Cabinet Member(s)</u> Steve Butler – Cabinet Member for Cabinet Member for Safeguarding; Andrew Parry – Cabinet Member for Economic Growth, Education, Learning and Skills.</p> <p><u>Lead Director</u> Nick Jarman – Director for Children’s Services</p>	
Independent Special School Provision – Framework Tender and Award	
1. Subject of Report	<p>1.1 To approve the participation of Dorset County Council in a sub-regional framework tender led by Bristol City Council with a consortium of local authorities in South West and potentially Southern England for Independent Special School and Specialist Post 16 Institutions Placements.</p> <p>1.2 To delegate authority to the Monitoring Officer and Director of Children’s Services, as appropriate, to sign any framework agreement or call-off contract awarded under the framework.</p>
2. Executive Summary	<p>2.1 Independent special school and Specialist Post 16 Institutions placements are a vital part of the overall provision for children and young people with special educational needs and disabilities (SEND). They provide good quality educational placements where often complex needs cannot be met from local maintained schools.</p> <p>2.2 In accordance with the contract procedure rules for contracts with an estimated value of over £500,000 Cabinet approval is sought for children’s services to seek competitive tenders for a framework providing Independent Special School and Specialist Post 16 Institutions Placements.</p> <p>2.3 The aim of this tender is to support the implementation of the SEND Strategy 2018-2021 through providing a better range of independent special school and Specialist Post 16 Institutions placements that can deliver better outcomes for children and young people and their families.</p> <p>2.3 This tender will also achieve compliance with procurement regulations by being able to maximise our ability to source placements from a tender framework instead of spot-purchasing all placements. We will also work with the other local authorities on the framework when contract monitoring and working with service providers once the framework has been awarded. Importantly there is also the option of block-purchasing off this</p>

	<p>framework through mini competition to secure specific provision where required.</p> <p>2.4 This tender offers economies of scale to providers and greater bargaining power to the participating local authorities, so we expect to be able to make placements at more competitive rates than through current spot purchasing arrangements.</p> <p>2.5 Bristol City Council are leading this project and to date have invited all the local authorities participating in the existing South West residential framework to participate in this project. The other local authorities comprise: Wiltshire, Swindon, Gloucestershire, South Gloucestershire, North Somerset and Bath and North East Somerset. This tender will also be open for other local authorities in the South West and South Central areas to participate including Bournemouth and Poole.</p>
<p>3. Impact Assessment:</p> <p><i>Please refer to the protocol for writing reports.</i></p>	<p>3.1 Equalities Impact Assessment: This tender will not require a separate equalities impact assessment but will instead support the action plan for the existing equalities impact assessment for the SEND Strategy 2018-2021. The tender project will be aligned to the SEND Participation Plan for ensuring co-production and engagement with children and young people with SEND and their families. The project will also be linked to the SEND Strategy and will be visible to the SEND delivery group.</p> <p>3.2 Use of Evidence: The Special Educational Needs and Disabilities (SEND) Strategy 2018-2021, provides the evidence of the needs of Dorset’s children and young people with SEND and trends to support the requirement for this tender. To inform the approach to market and the structure of the service specification and contract, consultation will be undertaken with the independent special school and Specialist Post 16 Institutions provider market and the National Association of Special Schools (NASS) in the form of a questionnaire and a market engagement event. Parents and carers will also be consulted about this tender and their views will be taken account of when drafting the contract, specification and tender documents. The consortium of local authorities participating in this tender will also take account of the learning from other frameworks for independent special school and Specialist Post 16 Institutions placements.</p> <p>3.3 Budget:</p> <p>(a) Expenditure will only be incurred when we make placements with providers on the framework. Current annual expenditure on independent special school and Specialist Post 16 Institutions placements is approximately £10,100,000. This tender will not result in net additional expenditure but instead will provide the means to secure better value for money and unit costs when we require independently provided special school and Specialist Post 16 Institutions placements.</p> <p>(b) Where appropriate, we will seek advanced payment discounts and where offered shared volume expenditure threshold rebates from providers we use on this framework.</p>

	<p>(c) The option of securing block contracts via mini-competition from providers on this framework will also help secure discounted fees.</p> <p>3.4 Risk Assessment:</p> <p>Having considered the risks associated with this decision using the County Council’s approved risk management methodology, the level of risk has been identified as: Current Risk: MEDIUM Residual Risk LOW</p> <p>3.5 Outcomes:</p> <p>(Note: Explain how the content of the report and any decision incorporates Outcomes Based Accountability.)</p> <p>3.6 Other Implications:</p> <p>(a) The participating authorities will use this tender to scrutinise providers safeguarding policies, procedures and track record, thereby providing further assurance of the suitability of independently provided special school and Specialist Post 16 Institutions placements and promoting best practice safeguarding.</p>
<p>4. Recommendations</p>	<p>4.1 The Cabinet is asked to approve the participation of Dorset County Council in a competitive sub-regional framework tender for the provision of independent special school and Specialist Post 16 Institutions placements; and,</p> <p>4.2 To delegate authority to the Monitoring Officer and Director of Children’s Services, as appropriate, to sign any framework agreement or call-off contract awarded under the framework.</p>
<p>5. Reason for Recommendation</p>	<p>5.1 This tendered framework will improve the sufficiency and choice of independently provided special school and Specialist Post 16 Institutions placements to meet the needs of children and young people with Special Educational Needs and Disabilities (SEND), through supporting as more efficient and equitable way of accessing high quality value for money placements and ultimately better outcomes for young people and their families. The framework will also seek to stimulate the market to provide more placements in Dorset and close to Dorset.</p>
<p>Appendices</p>	<p>Appendix 1 - The Special Educational Needs and Disabilities (SEND) Strategy 2018-2021.</p> <p>Appendix 2 – Equalities Impact Assessment – Dorset Special Educational Needs and Disabilities Strategy.</p>
<p>Background Papers</p>	<p>The Special Educational Needs and Disabilities (SEND) Strategy 2018-2021</p>

Officer Contact	Name: Tom Smith Tel: Commissioning and Market Development Manager. Children's Services. Email: tom.smith@dorsetcc.gov.uk

Dorset Special Educational Needs and Disabilities (SEND) Strategy 2018 to 2021

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Executive Summary

This document describes how Dorset County Council and Dorset Clinical Commissioning Group (CCG), in partnership with schools, colleges and other educational settings, health providers, voluntary and community sector organisations, social care providers, children, young people and parents and carers will work together to meet the needs of children, young people with SEND and their families from birth through to adulthood.

It describes:

- our vision
- the commitments that all agencies and organisations make to deliver this vision
- the drivers for change
- our priorities and the things we will do to make a difference
- how we will monitor progress

Our vision

Children and young people in Dorset with SEND are happy and enjoy their education and social life. They and their families trust and have confidence in the support they receive.

○ We work together to give children and young people with SEND in Dorset the best chance to succeed; enjoy family life and go to school as close to home as possible.

○ Together we support children and young people with SEND to maximise their potential at home, in the early years, at school and at college and to prepare well for adulthood.

○ Our young adults with SEND have opportunities to work, live independently, participate fully in their community and live full, healthy lives.

Our commitments

We will:

- make it easier to get support
- put children, young people and families at the heart of what we do
- focus on making sure a positive difference
- work together as a single system
- work with children, young people, parents and carers
- provide inclusive education for children with SEND in mainstream early years settings, schools and colleges
- deliver a seamless pathway to adulthood and independence

Why do we need to change?

- Children and young people with SEND in Dorset don't achieve the same outcomes as other children across the county
- We all recognise the need to work better together to ensure that children and young people with SEND receive the support they need to reach their full potential
- We need to make sure that we fully implement national reforms and use our resources effectively to meet these needs as there are growing financial pressures on all organisations
- We are not doing well in meeting the required timescales for Education, Health and Care Plans
- There are more children and young people from Dorset living and attending school outside the county than we would like
- We need to be better at working with children, young people and parents and carers
- We need to make the cultural shift from providing support and services too late to early help and support
- We have some areas of promising practice that we can build upon and we need to share this across the county to improve the experiences and outcomes of children and young people with SEND from birth through to adulthood
- We need to get better at learning from each other and from other areas across the country

Making a difference: our priorities for change

Working together for joint outcomes

- services across education, health and social care are jointly planned
- services and professionals work together
- parents and carers trust and have confidence in the services and support they receive
- better early identification of need and early help
- a greater focus on preparing for adulthood
- improved educational attainment
- professionals are confident and effective

Timely joint assessment, planning and review

- information, advice and support is easy to access
- specialist assessments are timely
- assessments, plans and reviews are completed within statutory timescales
- plans are focused on making a difference
- professionals are confident and effective

Working with children, young people, parents and carers

- professionals listen to and respect the views of children, young people and parents/carers
- children, young people, parents and carers:
 - are involved in service design and development
 - have good experiences of services and support
- information is available in accessible formats

Monitoring and quality assurance

- a culture of accountability is created
- data and information are used well
- monitoring and quality assurance is improved
- sufficient provision is available locally to meet the needs of all children and young people
- services and support are value for money

Management of SEN funding

- benchmarking is used to inform spending decisions
- financial tracking systems are improved
- funding models meet the needs of children and young people
- costs are reduced

1. Introduction

This document sets out our strategy for improving outcomes and life chances for children and young people with special educational needs and disabilities (SEND) in Dorset. The strategy will be led by Dorset County Council and Dorset Clinical Commissioning Group working in partnership with schools, colleges and other educational settings, health providers, voluntary and community sector organisations, social care providers, children, young people and parents and carers.

Who are children and young people with SEND?

SEN	children or young people that require special educational provision because they:	have a significantly greater difficulty in learning than the majority of others of the same age; or
		have a disability which prevents or hinders them from making use of educational facilities of a kind generally provided for others of the same age in mainstream school or mainstream post-16 institutions
		if under compulsory school age they fall within the definitions above or would do so if special educational provision was not provided (Source: Children and Families Act, 2014)

Disability	children and young people are considered to have a disability if:	he or she is blind, deaf or dumb or suffers from a mental disorder of any kind or is substantially and permanently handicapped by illness, injury or congenital deformity or such other disability as may be prescribed (Source: Section 17 (11) Children Act 1989)
		he or she has a physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day to day activities (Source: Equality Act, 2010)

2. Our vision

Children and young people in Dorset with SEND are happy and enjoy their education and social life. They and their families trust and have confidence in the support they receive.

We work together to give children and young people with SEND in Dorset the best chance to succeed; enjoy family life and go to school as close to home as possible.

Together we support children and young people with SEND to maximise their potential at home, in the early years, at school and at college and to prepare well for adulthood.

Our young adults with SEND have opportunities to work, live independently, participate fully in their community and live full, healthy lives.

3. Our commitments

Our work will be shaped by a number of key commitments to make sure everything we do is in keeping with our vision, the SEND reforms and the Care Act. These commitments will be shared by all involved in our work and will drive our improvement programme:

We will:

- make it easier for children, young people and their parents and carers to get the support that meets their needs at the right time
- put children, young people and families at the heart of what we do and celebrate their individuality
- focus on making sure a positive difference for children, young people and their parents and carers

- work together as a single system, no matter what organisation we work for
- work with children, young people, parents and carers, rather than do things to or for them
- provide inclusive education for children with SEND in mainstream early years settings, schools and colleges underpinned by high quality teaching that meets their individual needs
- deliver a seamless pathway to adulthood and independence, beginning preparation for this early in life

This strategy has been developed using a range of sources of data, information, consultation and feedback from parents and carers and a range of professionals from education, health and social care. We will continue to involve and engage with a range of stakeholders in the delivery of the strategy.

Page 12 9. The strategic context

9.1 The national context

There have been significant changes to legislation and policy in recent years affecting how organisations should work together to support children and young people with SEND and their families from birth through to adulthood, recognising that successful preparation for adulthood starts in the early years.

4.1 **The Children and Families Act** (2014) offers simpler, more consistent help for children and young people with SEND and extending rights and protections by introducing integrated Education, Health and Care Plans (EHCPs) and extending provision to 25 years. These reforms require a cultural change in the way organisations work with each other and listen to and involve children, young people and families. The reforms also require:

- Improvements in the quality and range of information available for children, young people and their parents and carers enabling them to make informed choices.
- The county council to develop and publish a Local Offer and work closely with the NHS and education settings to use resources through joint commissioning to improve the range of support in our area.
- A more flexible model of joint commissioning to promote access to personal budgets, focuses on specific groups of children within the county and ensure children and young people's needs are met.
- Better commissioning of new provision to ensure needs are met in local educational settings and by local community services.
- Positive transitions at all key stages within the 0-25 age range, especially a more successful transition to adult life.

The Act also sets out the expectation that children and young people with special educational needs (SEN) should be included in the activities of mainstream schools, together with children who do not have SEN needs, so far as is reasonably practicable and is compatible with:

- the child receiving special educational provision called for by his/her SEN
- the provision of efficient education for the children with whom he or she will be educated, and:
- the efficient use of resources.

4.2 In 2013 the government made **changes to school funding** so that each school receives an additional amount of money for special educational provision to meet the needs of children with SEN. This has meant that there is increased delegation of funding to educational settings.

4.3 Schools have statutory duties under the **Equality Act** (2010) to ensure that they do not discriminate against children and young people with SEND. This includes admission arrangements; the way schools provide education and exclusion practices. This means that

the best early years settings, schools, colleges and post 16 providers will do what is necessary to enable children and young people to develop, learn, participate and achieve the best possible outcomes through reasonable adjustments; access arrangements and special educational provision.

4.4 The **Care Act** (2014) was introduced to improve choice and control over care and support for adults over the age of 18. This legislation also focuses on outcomes, personalisation and the integration of services. This means that the county council must ensure that there is cooperation between children's and adult's services and promote the integration of care and support with health services to ensure that young adults are not left without support as they transition between children's and adult's social care.

4.5 There is a national focus on **Transforming Care** (2015) for people with learning disabilities and/or autism who have a mental illness or whose behaviour challenges services through empowering people and families, ensuring care is in the right place, improving regulation and inspection and workforce development.

4.6 An independent Mental Health Taskforce published a **Five Year Forward View for mental health** (2016) that made recommendations for improving mental health services that have been accepted by the NHS. There are several strands of work including one that focuses on improving children's and young people's mental health through the delivery of a local transformation plan.

The local context

There a range of strategies and plans locally that will help support this strategy for children and young people with SEND. We will make sure that we make the links between these strategies when we are delivering this strategy to reduce duplication, avoid confusion and make the most of opportunities for working together where this makes sense.

4.7 The **Health and Wellbeing Board** is a partnership between local agencies that seeks to improve health and wellbeing and reduce health inequalities for residents of Dorset. The Board also plays an important role in the implementation of Dorset's **Sustainability and Transformation Plan** (2016), which seeks to ensure the affordability of health and social care. There is a strong focus on prevention and a programme of work focuses on children called **Starting Well**.

4.8 **The Children and Young People's Plan** sets out the vision for how partner organisations will work together to support children, young people and families locally that will be delivered by the Strategic Alliance for Children and Young People, a sub-group of the Health and Wellbeing Board that includes partners from children's services, including education, health, social care, and the voluntary and community sector.

4.9 The county council's children's services is facing two major challenges – increasing demand and a reducing budget. The county council is leading a programme of whole system transformation, **Forward Together for Children** that changes the way children are supported from cradle through to career by working with our partners and local communities to ensure that we support children, young people and families early and avoid the need for late interventions.

4.10 Dorset Clinical Commissioning Group (CCG) is implementing a programme of changes to local healthcare to help ensure high quality and sustainable services are available for future generations. Through this programme it is working to transform **Integrated Community Children's Health Services** to provide care closer to home and ensure that services work together to better meet the needs of children, including those with complex health needs.

4.11 The **Dorset Transforming Care Partnership** comprises of Dorset CCG, the county council, Borough of Poole, Bournemouth Borough Council and NHS England to develop a plan to avoid secure hospital admissions unless absolutely necessary and to bring people placed out of the area back to the county by commissioning community services.

4.12 The **Dorset Children and Young People's Emotional Wellbeing and Mental Health Strategy** (2016-2020) sets out the way that Dorset CCG, Public Health Dorset and three local councils (Dorset, Bournemouth and Poole) are working together with services in the area to help children and young people across the whole of Dorset to be happy, resilient and less likely to suffer mental ill health. Our **Local Transformation Plan** (2016) sets out how the area will transform mental health services to deliver the NHS Five Year Forward View.

5. Working together

5.1 We will make sure the right people are involved in the delivery of this strategy. This will include councillors, senior leaders, partners, schools, colleges and other educational settings, professionals, parents and carers and young people. Improvement work will be overseen by a joint SEND Improvement Delivery Group. This group will be accountable to the Dorset **Strategic Alliance for Children and Young People**, which is leading integration and partnership work between the county council, public health and NHS bodies. A diagram of the governance arrangements can be found in appendix 1.

5.2 Individual organisations will take responsibility for monitoring progress through appropriate governance arrangements.

5.3 The **Dorset Schools Forum** plays an important role in supporting the delivery of this strategy through the decisions it makes regarding the Dedicated Schools Grant, and the consultative role it plays with

regards to arrangements for SEN, early years provision and alternative education provision.

5.4 The **Dorset Health Forum** plays an important role in leading improvements across the health system. The Dorset **SEN 14+ Forum** will support the delivery of excellent education provision and transitions that prepare young people well for adulthood.

5.5 The **Dorset Parent Carer Council**, run by parents for parents, is essential to the development and implementation of this strategy. They provide a strong and united voice for families helping to inform what we do and challenge us to do better.

6. Dorset context

About Dorset

6.1 Dorset has a population of almost 420,000. Almost 60% of our residents live in urban areas, with 40% living in rural areas. Dorset is one of the healthiest places to live in the UK and outcomes are generally good. We have a large population of older people and correspondingly one of the lowest proportions of children in the country, with approximately 104,200 children and young people aged 0 to 24 years.

6.2 Our population is growing and is expected to continue to grow over the next 10 years primarily due to inward migration. The number of children aged 0-4 is likely to continue to grow. Dorset ranks amongst the least deprived areas of England but this masks significant pockets of deprivation, largely located in our urban areas. Over 14% of children in Dorset are considered to be living in poverty.

6.3 Children and young people from minority ethnic groups account for 6.5% of school children.

Children and young people with SEND

6.4 There is variation in the definitions of children with SEND so this strategy draws on several sources to estimate a range for the number of children and young people with SEND in Dorset.

- 3,680 children and young people claiming Disability Living Allowance¹ (3.8% of the population, 2014)
- 1,793 children and young people aged 0-19 with a statement of SEN or an EHCP (1.7% of the population)

6.5 Boys are almost twice as likely to be identified with SEN as girls. The gender split in Dorset is 74% male and 26% female. However, census data shows a more even burden of long term illness and disability between males and females, particularly those aged 15 to 24 years.

School Age children and young people

6.6 Pupils with SEN are categorised into two groups: those with a statement of SEN and/or EHCP and those receiving SEN support in schools without a statement. Around 16% of pupils in Dorset have SEN, most which are supported at school level without a statement or plan.

Table 1: Pupils with SEN (2017)

	Number	% of all pupils
Pupils with statements or EHC plans	1,568	2.6%
Pupils with SEN support	8,319	13.7%
All pupils with SEN	9,887	16.2%

Post 16 learners at FE College or Special post 16 institutions

6.7 In January 2017, there were 255 16 to 24-year-old Dorset residents with an Education Health Care plan and 49 who had a Section 139a Learning Disability Assessment learning at FE Colleges or Special post 16 institutions.

Nature of SEND

6.8 Available data on the nature of SEN and disability are limited, so gaining an accurate understanding of the prevalence of specific disabilities or needs is a challenge. The school census collects data by primary need type but determining a primary condition is not

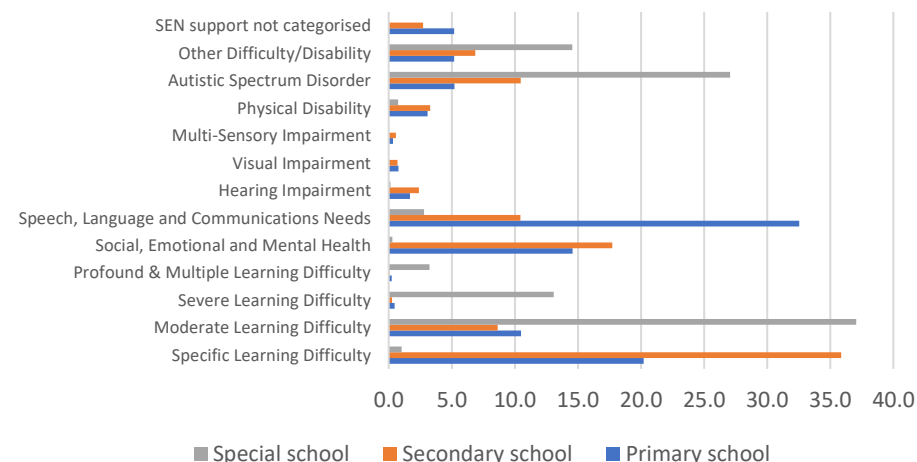
straightforward, particularly if children have complex needs or if learning needs are prioritised over a diagnosed condition.

Table 2: Nature of SEN - % of pupils with SEN

Type of Need	%
Autistic Spectrum Disorder (ASD)	28%
Social Emotional or Mental Health Difficulty	12%
Learning Difficulties - Moderate	18%
Learning Difficulties - Multiple and Profound	2%
Learning Difficulties - Severe	8%
Learning Difficulties - Specific (Dyslexia)	3%
Physical Difficulties	12%
Sensory Impairment	3%
Speech, Language or Communication Difficulty	12%
Unknown\Other	3%

6.9 Although ASD is the largest category of need across the population there are variations in categories of need across school phases.

Figure 1: Proportion of pupils with SEN by Primary Type of Need and type of school (2017)



¹ DLA has been replaced by Personal Independence Payments

6.10 The largest category of primary need in primary schools is speech, language and communication; in secondary schools, it is specific learning difficulty and in special schools it is moderate learning difficulty. Speech, language and communication needs are reported by educational professionals as increasingly challenging.

Predicting future demand

6.11 Due to the changing definitions and policy relating to SEND it is not easy to accurately predict future demand for services or support as trend information is not reliable. We do know that there are rising numbers of disabled children with complex needs and/or life limiting conditions who (with their families) are likely to need support from health, education and social care.

6.12 One way of predicting future demand is to apply current data to population projections; however, care should be taken when interpreting this data as there are many issues that could impact on this data.

6.13 The table below provides some crude modelling of future numbers of children and young people with SEND from now until 2030 based on projected population change. The model suggests that there will be an additional 599 children with SEND in 2030.

6.14 Further work is required to develop and test a more reliable model of forecasting.

Table 3: Predicting SEND using population projections

		2020	2025	2030
Projected population change (ONS)		+1.9%	+4.9%	+1.0%
SEND	Number (2017)	Forecast number based on projected population change only		
EHCPs	1568	1598	1676	1693
SEN Support	8319	8477	8892	8981
Total	9887	10075	10569	10674

Outcomes for children and young people with SEND

6.15 Research suggests that children and young people with SEND experience higher levels of poverty and personal and social disadvantage than their peers (Blackburn, 2010). Analysis in Dorset in 2014 (Borough of Poole, 2014) shows that the impact of deprivation is greater for those receiving SEN support and that certain types of primary need types tend to be concentrated in areas of deprivation than others: speech, language and communication needs; severe learning difficulties and social, emotional and mental health needs.

6.16 Children and young people with a statement of SEN or EHC plan tend to do less well academically than their peers across all phases of education. In Dorset, there are particular challenges at Key Stage 2. In 2017, 16% of Dorset pupils with SEN support achieved the expected standards in reading, writing and maths compared to 21% nationally. For those with a statement of SEN or EHC plan the Dorset figure was 7%, compared to 8% nationally.

6.17 Progress² between Key Stage 1 and Key Stage 2 is a challenge for pupils with a statement of SEN or EHC plan. Reading progress in 2017 was -4.8, compared to -3.7 nationally; writing progress was -5.9, compared to -4.3 nationally and maths progress was -5.4, compared to -4.1 nationally.

6.18 Achievement of children with SEND at Key Stage 4 also shows a gap in performance between those with SEN than those without. Progress 8 scores capture the progress a pupil makes between the end of Key Stage 2 and the end of Key Stage 4.

Table 4: Average Progress 8 scores at Key Stage 4 (2017)

	Dorset	South West	Statistical neighbour ave	National
Pupils with SEN support	-0.52	-0.54	-0.54	-0.43
Pupils with statement or EHCP	-1.01	-1.1	-0.98	-1.04
Pupils without SEN	-0.07	-0.03	-0.01	0.07

6.19 Research by the Department for Education (2011) states that disabled young people are less satisfied with their lives than their peers and that families with disabled children report high levels of unmet needs, isolation and stress.

6.20 Children with SEN are more likely than their peers to miss school, often due to illness or for medical appointments. Boys are less likely to be persistent absentees than girls (DfE, 2016).

6.21 Children and young people with SEND are more likely to be excluded from school than their peers. Boys are more likely than girls to be excluded and those with behaviour, emotional or social difficulties have the highest rates of exclusion (DfE, 2016).

² Progress is a relative measure, where the national average score is 0. Therefore, anything below zero is below average and anything above zero is above average.

Educational Provision for Children and Young People with SEND

6.22 Children and young people with SEND from Dorset are educated in a range of provision including early years settings; mainstream schools; post 16 provision (such as a college); special schools; learning centres (also known as pupil referral units); special resource bases in mainstream schools (providing targeted support for particular needs); and independent schools both within the county and outside the county.

Table 5: Educational Provision for Children and Young People with a statement or EHC (2016)

	Dorset	South West	England
Maintained mainstream schools	20.4	18.7	21.8
Resource based provision	3.4	3.1	3.8
Maintained special schools	29.5	26.4	28.3
Non-maintained and independent special schools	8.0	5.5	6.3
Other settings (early years, academies, hospitals, not in school, awaiting provision)	26.6	33.0	28.6

6.23 There is a greater proportion of children and young people from Dorset educated in non-maintained and independent special school provision in Dorset than regionally or nationally.

6.24 Most 16 to 18-year olds with SEN attend school sixth form or FE College. A small number are apprentices, traineeships or supported internships. Further work is required to support more employment based progression routes.

6.25 There is a greater proportion of SEN Year 11 leavers who progress into sustained post16 education, employment or training than nationally (DfE Destinations of 2014/15 leavers).

Social care provision for children and young people with SEND

- 6.26 Children with SEN are often more likely to be in receipt of support from statutory social care services. In Dorset over 8% of children with SEN are 'children in need', 5% are looked after children and 1.5% are subject to a child protection plan.
- 6.27 Early help and social care services work to help children who are disabled living with their families in their own homes and communities by providing support, advice and guidance.

Specialist health provision for children and young people with SEND

- 6.28 Children and young people in Dorset with SEND receive specialist assessment, diagnosis and support from a range of provision including:
- paediatric services at Poole Hospital Trust and Dorset County Hospital Foundation Trust, and:
community health services from Dorset Health Care Foundation Trust including: child and adolescent mental health services (CAMHs); learning disability services, speech and language services; and therapy services.

Support for children, young people and parents and carers

There are many service providers across the county that support children and young people with SEND and their families. This section provides some information on some of the most significant of these services but is not a definitive list.

- 6.29 Special Educational Needs and Disability Information, Advice and Support Service (SENDIASS) offers free and impartial advice to those who have SEND in their family.
- 6.30 The Dorset Parent Carer Council provides information to parents and carers of children with SEND as well as providing a voice to

inform agencies and services about the needs of disabled children and their families in Dorset.

- 6.31 Short break activities are available for children and young people to try new things and offer opportunities to families and carers to take a break from caring, spend time with each other and other children. There are also options for residential breaks for longer periods of time.
- 6.32 Portage Pre-school support service provides educational support to young children who have complex needs through the provision of regular visits to the home or early years settings.
- 6.33 The County Psychology service works with schools and other settings to ensure that children with SEND are happy and successful in their education setting as well as working with children to clarify their needs and explore their views.
- 6.34 Special Educational Needs Specialist Services (SENS) provide professional support to schools to help with specific learning difficulties as well as working with individual children and young people.
- 6.35 The Hearing and Vision Support Service works with children and young people with mild to profound visual and hearing impairments.
- 6.36 Ansbury guidance is commissioned by the county council to provide independent support and advice for young people with SEND to move on to training, further education, work and adult support services.

7 Summary of progress, promising practice and areas for development

From our own local intelligence and following a joint area inspection of progress in implementing the SEND Reforms, we know that we are making progress in some key areas, and have developed some positive practice that we can and will continue to build upon. We know that we can always improve and do better on these areas and need to work hard to share the learning from where these things are working across the county. We also recognise that we still have some significant challenges that we need to address through the delivery of this strategy.

Progress and Promising Practice	Areas of challenge
<ul style="list-style-type: none"> • the identification and support of: <ul style="list-style-type: none"> ○ children and young people with SEND in the early years ○ children with sensory and behavioural needs in schools • the introduction of Family Partnership Zones to coordinate how we provide early help; some of the parenting programmes we have on offer; coverage of the Healthy Child programme by health visitors • joint commissioning for children with complex needs • access to specialist equipment and training for families and school staff • CAMHS learning disability service • the range of short breaks provision on offer • careers advice and guidance commissioned by the county council from Ansbury Guidance • the range of provision and learning programmes for young people aged 19 to 25 years, including supported internships • quality of local special schools and the outreach support provided from special schools • the SEN Coordinator (SENCo) role for looked after children • educational progress between Key Stage 2 and Key Stage 4 • attendance at school by children with SEND • residential provision for children with complex needs • commitment of professionals to making improvements • commitment of the Parent Carer Council to working with us to make improvements • existing good practice in inclusive mainstream settings • some SEN Coordinators in mainstream schools • SENCo award scheme • inclusion network for information sharing and dissemination of good practice and school SENDCo networks • virtual school support • inclusion work in early years settings • SEN panel 	<ul style="list-style-type: none"> • responding to the increase in demand for statutory assessments of SEN and the length of time taken to assess SEN needs and issue EHCPs • how quickly we are converting statements of SEN to EHCPs • how well we are working together to strategically plan across the system • inconsistent approaches to performance management and use of data • awareness of and use of the SEND Local Offer web pages and information materials by parents and carers • lack of understanding by parents and carers on how to get help and support from a range of professionals including the service offer from CAMHS • inconsistency in the quality of EHCPs with some lacking information from all relevant professionals • parental dissatisfaction with the assessment and planning process resulting in complaints, appeals and tribunals • inconsistency in the implementation of the graduated offer across schools • high number of children educated out of the county • length of time taken for assessments of autism and ADHD • availability and accessibility of children's community nursing • educational achievement of pupils with SEND at Key Stage 2 • ensuring all professionals have the skills and knowledge required to identify and support children and young people with SEND • the experience of transition between schools and services, in particular between children's and adult's services • financial overspend in the high needs block of the dedicated schools block • responding locally to meeting the needs of the increasing numbers of children with social, emotional and mental health needs; speech, language and communication needs and autistic spectrum disorders • workforce development needs, capacity and the cultural shift required to move to a culture of early help rather than late intervention in a time of increased demand and reducing resources • change fatigue • funding challenges in schools and other educational settings • availability of training • affordability of traded services

8 How are we going to make a difference?

To realise our vision for children and young people with SEND in Dorset we have identified a set of priorities and activities that we will deliver together. This is our joint strategy.

Priority 1: A single system working together across education, health and social care for joint outcomes

What we are seeking to achieve:

- Better strategic planning of services results in improvements in quality, timeliness, accessibility and reliability of services.
- Children and young people with SEND and their families can trust and have confidence that services are working together – leading to improvement in outcomes and enables effective preparation for adulthood.
- Professionals and parents/carers work together to meet needs and contribute effectively to planning processes
- More consistent identification and assessment of need and offer of early help through graduated responses
- A greater focus on preparing for adulthood that results in improved experiences of entering adulthood and independence
- Improve educational attainment at Key Stage 2
- Ensure that professionals have the skills and knowledge they need to work together effectively

What we will do:

- Use this strategy to inform service development, commissioning and school improvement plans
- Implement a new operational model of joint working for children and young people with complex needs from birth to adulthood
- Review and redesign the Children's Community Nursing Service to provide greater accessibility and service delivery in the community

- Ensure that the roles and responsibilities of all health professionals are clear and all health providers understand their statutory responsibilities in relation to SEND
- Review our decision-making processes and commissioning panels to make sure we are planning services together
- Make sure that there is attendance at multi-agency planning meetings by all relevant professionals and/or written information is provided towards the EHC assessment
- Make better use of screening tools and data and information that might identify those that might need support early in [Family Partnership Zones](#)
- Provide support, guidance and training to universal settings including early years settings, schools, colleges and post 16 providers on identification of SEN and assessment of needs
- Further develop our health pathway of support for children in the early years
- Ensure all Year 9 reviews and annual reviews thereafter focus on preparation for adulthood outcomes
- Review transitions from child health services and identify areas for improvement
- Implement a Key Stage 2 Improvement Plan focusing on raising attainment of the most vulnerable
- Write a workforce development plan for all professionals working with children and young people with SEND
- Provide multi-agency training on personalisation and working together
- Promote the use of quality assured online training tools

Priority 2: Getting it right first time: appropriate, effective and timely joint assessment, planning and review of need that is personalised to the child or young person with SEND

What we are seeking to achieve:

- Children and young people with SEND and their families are easily able to access advice, information and support
- When specialist assessments are required, these take place in a timely way and lead to effective and personalised plans
- Assessments, conversions and reviews of children and young people's education health and care needs are completed within statutory timescales
- Plans are reviewed so they remain relevant to the changing needs of children and their families, leading to improved life chances
- Plans are outcomes focused and personalised
- Professionals have the skills and knowledge they need to contribute effectively to SEND assessment, planning and reviewing processes

What we will do:

- Ensure there is sufficient capacity in the SEND Assessment team to undertake this work
- Ensure that contributions from education, health and social care staff is timely
- Produce a toolkit for annual reviews and prioritise attendance by appropriate education, health and social care staff for pupils in maintained schools, academies and independent schools
- Jointly review pathways, information flows and paperwork to make it as easy as possible for everyone to contribute
- Monitor performance to ensure requirements are met
- Audit the quality of health and social care contributions to EHC planning

- Involve children, young people and families in identifying outcomes and reviewing progress towards these in reviews
- Ensure that personal budgets are offered as part of education, health and care plans where appropriate
- Appoint champions within education, health and social care organisations to improve communication and respect within their respective organisations
- Ensure all SEN assessment, planning and reviewing officers complete training to ensure they can deliver their roles effectively and extend this training to the wider workforce
- Introduce regular monitoring of complaints and tribunals to identify key trends and themes that will be addressed
- Consider how specialist staff can support and train the wider workforce to better identify need and offer support earlier
- Write and deliver a workforce development plan for all professionals working with children and young people with SEND and their families

Priority 3: Working with children, young people and parents and carers

What we are seeking to achieve:

- Children, young people and their parents and carers are listened to and their views and wishes are acted on and respected
- Children, young people and parent and carers' views are involved in service design and development
- Better information about help, support and provision are available in accessible formats
- Professionals have the skills and knowledge to put children, young people and families at the heart of what we do and celebrate their individuality
- There is a focus on making a positive difference for children, young people and their parents and carers
- Improve customer experience of EHC planning processes

What we will do:

- Write a joint communication plan to share the improvement work we are doing
- Ensure appropriate child/young person and parents/carer representation on key decision-making groups and forums
- Collect feedback on service satisfaction and customer experience
- Facilitate an annual conference for children and young people with SEND and professionals working across the SEND system
- Work with children, young people and families to review and improve our Local Offer
- Provide accurate and up-to-date information that enables children, young people and their families to make informed choices for adulthood
- Undertake further engagement work with children, young people and their families on proposed changes to health services

- Develop and implement a participation and engagement strategy
- Support children and young people with SEN to participate in school/youth forums
- Share the results of all our engagement work across the SEND system to contribute to service improvement and planning
- Ensure that children and young people have access to advocacy when having a transition assessment
- Clarify how short breaks are supported through Continuing Health Care (CHC) processes and share on the Local Offer
- Provide clear information on the service offer and pathways for access to CAMHs as well as referral criteria
- Ensure that professionals understand the local offer and can signpost effectively
- Provide mandatory customer care training for frontline SEND staff
- Develop and agree a joint approach with health providers on strength based assessments, personalisation and life-long outcomes
- Support educational settings to include the views of children and young people with complex learning and communication needs
- Write and deliver a workforce development plan for all professionals working with children and young people with SEND and their families

Priority 4: Use effective monitoring and quality assurance procedures to challenge, support and develop provision

What we are seeking to achieve:

- A culture of accountability that ensures all parts of the system focus on making life better for children, young people and their families
- Use of business intelligence to identify emerging needs and plan excellent services and settings that support children and young people to meet their aspirations
- Improved monitoring and quality assurance
- Data and information is shared appropriately to enable effective provision of support to individuals
- Sufficient local provision to meet the needs of children and young people with SEND
- Value for money across the system
- Local early years providers, schools and training providers develop their SEND provision and strengthen capacity to be able to meet the needs of all children and young people

What we will do:

- Implement regular management reviews of local authority and health SEND arrangements
- Carry out SEN reviews in priority schools where the achievement gap for children with SEN is the greatest
- Use school self-evaluation frameworks to monitor effectiveness of schools and education settings
- Introduce case file auditing systems to identify themes for improvement
- Undertake structured needs assessments to help plan services across the system

- Support local settings to increase capacity to meet the needs of more Dorset children with SEND to reduce demand for specialist provision
- Increase the availability of local provision for children with:
 - moderate and severe learning difficulties
 - complex communication needs and autistic spectrum disorders
 - social and emotional and mental health needs
- Reduce the number of children educated outside of the county
- Increase the availability and range of alternative education provision opportunities
- Support the development of employment options
- Complete the work on the implementation of the pathway for Behaviour and Development (ASD/ADHD) by agreeing a new model of working between CAMHs and Paediatrics
- Ensure that electronic systems are used to support information sharing
- Share and celebrate good practice across the system
- Track progress of children with SEND to identify opportunities for intervention that improve outcomes
- Ensure there are effective joint commissioning processes at individual and service levels including children's and adult's services and health services to ensure that money is well spent
- Explore options for joint commissioning of speech, language and communication support
- Carry out an audit of inclusive practice across all mainstream and special schools, early years settings and education and training providers, identifying and disseminating effective practice
- Conduct an annual audit of SEND training completed by staff in schools, educational and training settings to inform the ongoing SEND workforce development plan
- Implement a robust system for monitoring independent provision to ensure value for money

Priority 5: The effective and efficient management of SEN funding to ensure excellent quality, sufficiency and affordability of local SEN provision

What we are seeking to achieve:

- To make use of financial benchmarking information to inform the local area's spending decisions, to share this information efficiently across partner organisations to plan jointly for current and future demand
- To run an effective financial tracking system to better understand spend and to identify opportunities for refocusing investment on early help or more local provision
- To ensure that funding models for SEND provision are more directly related to pupils' needs and provides sufficient capacity to meet those needs
- To reduce costs to the Dedicated Schools Grant and associated council revenue budgets through the completion of Dorset's SEND Specialist Provision Sufficiency programme, in partnership with all stakeholders

What we will do:

- Collect accurate data about all pupils with SEND so that it can be analysed by school/setting, type and severity of need and from this, consider volume, cost and effectiveness of the range of SEND provision required
- Develop a new model of forecasting to better predict future demand for provision
- Make timely decisions on how funding is distributed taking account of demographic and other pressures
- Develop a transparent high needs funding system that is designed to support a continuum of provision for pupils and students with SEND, from their early years to 25 years of age

- Ensure greater collaboration between all partners and stakeholders to agree a child or young person's support package and timely agreement of funding, placements. Ensure contracting leads to more efficient and equitable ways of working and better outcomes for young people and their families
- Agree with settings their responsibilities in relation to the use and deployment of SEND funding, ensuring that these are affordable, well documented and accessible to all
- Ensure that schools and settings account for the expenditure of the delegated SEND funding, providing guidance to ensure a consistent approach
- Work together within and across partners, to secure cost-effective commissioning of places in schools outside the Dorset County Council boundary
- Complete the current review of children placed in independent special schools including Looked After Children with a view to a move home or to alternative local placements where appropriate to reduce costs to the High Needs Block
- Work with education partners and DCC Cabinet to apply for additional capital investment to provide sufficient local specialist provision places, and in so doing realise the full benefit of savings
- Continue to develop high quality local specialist resourced provision across the county for children with Complex Communication Needs (CCN) and Social Emotional and Mental Health (SEMH), and in so doing, reduce high costs for out of county independent placements and associated SEN transport budgets
- Develop further Learning Centre provision to provide short term/long term alternative provision to school and to ensure the buildings are conducive to a positive learning environment.
- Create a fair and consistent way of funding schools/settings where the number of high needs pupils attending cannot be reflected adequately in their formula funding.

9 Measuring our success

To understand if our SEND Strategy is working, we propose to introduce an Outcomes Based Accountability Score Card that enables us to understand progress. This outcomes framework has been developed to support a systems-wide approach in which all partners understand their role and make an effective contribution to improving outcomes for children and young people with SEND. A selection of indicators has been chosen to provide the focus for monitoring the impact of the strategy. There are other indicators that individual services, agencies and groups will continue to monitor for themselves. These will be subject to change depending on the availability of information and stages of delivery of the strategy.

	How much did we do?	How well did we do it?
Priority 1: A single system working together across education, health and social care for joint outcomes	<ul style="list-style-type: none"> Attendance at commissioning and decision-making meetings Number of early help interventions/graduated response offers Number of referrals to specialist services Number of early years developmental checks completed Attendance at Year 9 reviews Number of professionals attending training 	<ul style="list-style-type: none"> Customer experience survey to explore satisfaction with how well we are working together % of children and young people with SEND educated in mainstream provision % of young people satisfied with transition from children to adult's services (health and social care) Satisfaction with training
Priority 2: Getting it right first time: appropriate, effective and timely joint assessment, planning and review of need	<ul style="list-style-type: none"> Number of EHCP assessment requests Number of EHCP assessments Number of requests for information from health, education and social care professionals Number of conversions from statements to EHCPs Number of professionals attending training 	<ul style="list-style-type: none"> % of EHCP assessments completed within 6 weeks % of new EHCP completed within statutory timescales % of requests for information received within agreed timescales Number of complaints/tribunals/PALs contacts Waiting times for specialist services Satisfaction with training
Priority 3: Working with children, young people and parents and carers	<ul style="list-style-type: none"> Number of SEND champions identified by organisation Number of professionals completing training Number of children, young people and parents and carers attending participation events Use of the SEND Local Offer Website 	<ul style="list-style-type: none"> Customer experience survey - Satisfaction with process/support/services Awareness and quality of the SEND Local Offer Annual report on effectiveness of participation and engagement strategy
Priority 4: Use effective monitoring and quality assurance procedures to	<ul style="list-style-type: none"> Number of case audits completed Number of professionals completing training 	<ul style="list-style-type: none"> Quality of assessments, plans and reviews (case audits report auditing: outcomes focus,

	How much did we do?	How well did we do it?
challenge, support and develop provision	Number of joint funding agreements in place Number of inclusion self-evaluation frameworks completed Number of places available in Dorset special schools for children with complex SEND	personalisation, voice of child, focus on preparation for adulthood) Number of children placed out of county % of children with SEND attending a school that is good or outstanding Satisfaction with training
Priority 5: The effective and efficient management of SEN funding to ensure excellent quality, sufficiency and affordability of local SEN provision	Number of places available in SEN resource provision Number of places available in local special schools Number of places available in learning centres	Number of children placed out of county that can return to Dorset where appropriate Satisfaction of schools/settings with guidance and support they receive

Is anyone better off?

- % children and young people meeting goal-based outcomes (measured at review)
- Key Stage 2 attainment of children and young people with SEND
- Educational progress of vulnerable groups and the attainment gap between SEND pupils and other pupils
- Pupil absence rates of children with SEND
- Pupil exclusion rates of children with SEND
- Change in attitude/skills/confidence of workforce
- % of pupils with SEND educated in mainstream provision
- % of young people with SEND participating in education, employment or training
- % of young people with SEND living independently (where this is appropriate and they wish to)
- % of children, young people and young adults who say they enjoy life and feel part of their school/college/work and community (annual survey)
- Emotional wellbeing of children and young people with SEND (measure to be developed)
- % of parents and carers who say they trust and have confidence in the support and advice that they receive (measure to be developed)

10 Implementing the Strategy

- 10.1 This strategy sets out our vision, priorities, strategic objectives and goals over a 3-year period. It describes the **'what'** and the **'why'** of the activities we will undertake to deliver the strategy. It will be accompanied by an **implementation plan** which provides more detail on the **'who, where, when and how'**.
- 10.2 We will identify what we will do and where we expect to be at the end of Year 1, Year 2 and Year 3 and the SEND Delivery group will be responsible for the monitoring and reviewing the plan. Delivery of the implementation plan will use a project management approach that identifies constraints and dependencies as well as risks to successful delivery. The SEND Delivery Group will take responsibility for managing these risks.
- 10.3 We will develop a communication plan to ensure that there is both clarity and visibility of the implementation of the strategy for all stakeholders. This communication plan will seek to:
- Inform stakeholders about the plan, what it will deliver, and keep them updated about progress
 - Keep everyone informed about any changes made
 - Ensure those working with children, young people and families understand how the implementation plan will affect them and what they are being asked to do to support the changes
 - Ensure children, young people and families understand how the activities in the implementation plan will affect them
 - Ensure that everyone knows how to get involved

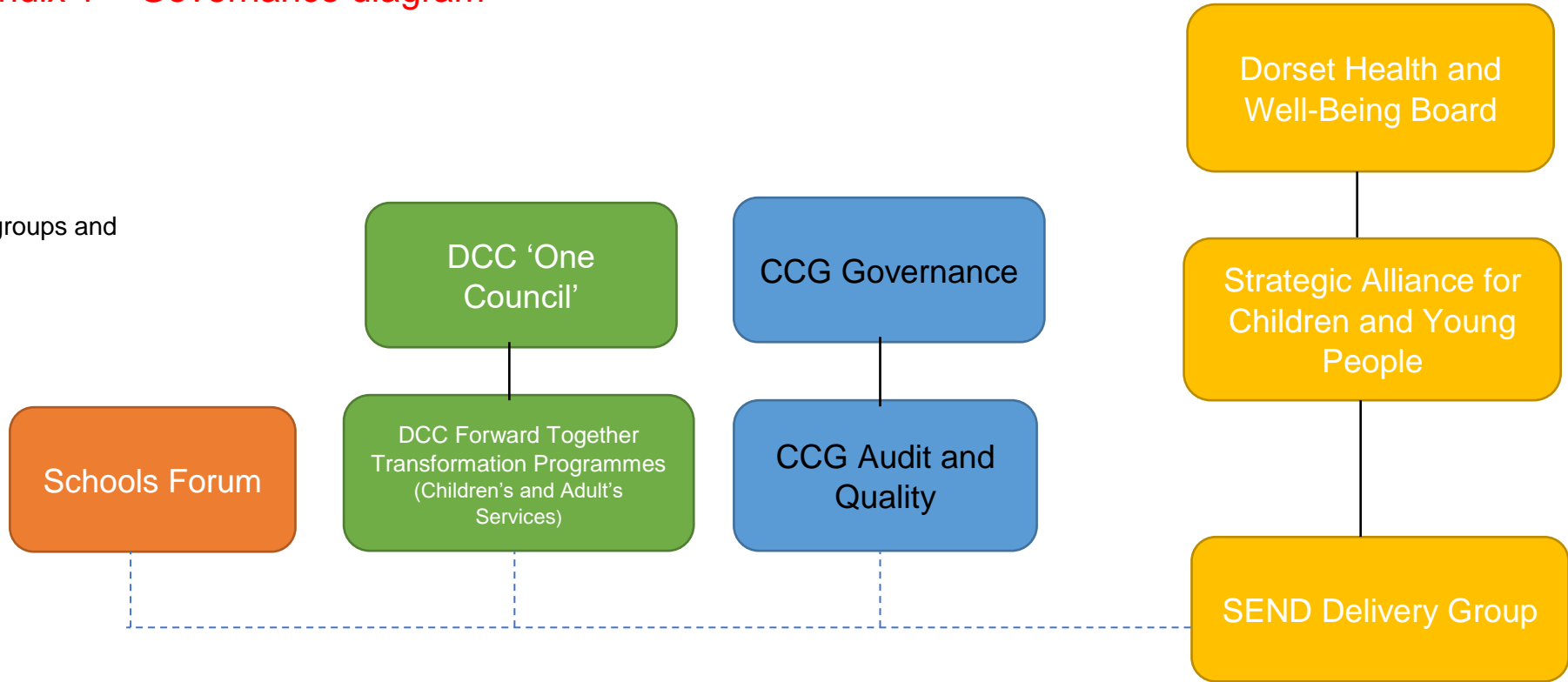
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Appendix 1 – Governance diagram

Governing groups and forums

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Supporting groups and forums



Equality Impact Assessment

Title	Dorset Special Educational Needs and Disabilities (SEND) Strategy 2018 to 2021		
Release	Date: 5.4.18	Version No.	2
Revision History	<i>To provide an audit trail please provide previous version dates and numbers</i> V1 – 9/4/18 V2 – 10/4/18		
Type of strategy, policy, project or service			
Existing	New Strategy (currently in draft)		
New or proposed			
Changing, update or revision			
Other			
Is this an internal or external Equality Impact Assessment (EqIA)	External		
Officers involved in the screening	Claire Shiels, Rick Perry, Gerri Kemp		

This report was created by	
Name	Claire Shiels
Email address	c.shiels@dorsetcc.gov.uk
Directorate or Service	Children's Services
Version No	1

Aims

What are the aims of your strategy, policy, project or service?

This strategy describes how Dorset County Council and Dorset Clinical Commissioning Group (CCG), in partnership with schools, colleges and other educational settings, health providers, voluntary and community sector organisations, social care providers, children, young people and parents and carers will work together to meet the needs of children, young people with SEND and their families from birth through to adulthood.

A copy of the strategy is attached to this EQiA. Data within the strategy has directly informed this EQiA.

What is the background or context to the proposal?

There have been significant changes to legislation and policy in recent years affecting how organisations should work together to support children and young people with SEND and their families from birth through to adulthood, recognising that successful preparation for adulthood starts in the early years. In addition, a recent Ofsted and CQC inspection identified that organisations need to work more closely together in order to implement the SEND reforms resulting in a Written Statement of Action (WSOA) that specifically identified the need for a joint strategy.

Intelligence and Communications**What data, information, evidence and research was used in this EqlA and how has it been used to inform the decision making process?**

A range of data on prevalence, needs, and performance relating to children and young people with SEND was used to inform the development of the strategy and this has been used to inform the EqlA.

What data do you already have about your service users, or the people your proposal will have an impact on?

The following types of data are available:

- Population data
- Identification of SEND (SEN support and EHC Plans)
- Prevalence of different types of SEND
- Outcomes for children and young people with SEND
- Educational provision for children with SEND
- Service provision for children with SEND (health and social care)

What engagement or consultation has taken place as part of this EqlA?

During the creation of the WSOA and the strategy there was engagement with a range of professionals, parents and carers. The development of the strategy also drew on completed consultations and engagements with parents/carers and children and young people with SEND. The strategy has also been consulted with the SEND Delivery Board which is made up of a cross section of professionals from health and education, as well as parent representatives and LA officers.

Is further information needed to help inform this proposal?

Further engagement and consultation will continue throughout the development of the strategy as this is a key area for development. The aims of the strategy will be delivered through an action plan; progress will be monitored through the SEND Delivery Board.

How will the outcome of consultation be fed back to those who you consulted with?

We have appointed a Participation and Engagement Officer, who will lead on co-production and dissemination throughout the life of the strategy, using accessible materials.

Assessment**Who does the service, strategy, policy, project or change impact?**

If your strategy, policy, project or service contains options you may wish to consider providing an assessment for each option. Please cut and paste the template accordingly.

For each protected characteristic please choose from the following options:
Positive Impact
Negative Impact
Neutral Impact
Unclear

Please note in some cases more than one impact may apply – in this case please state all relevant options and explain in the ‘Please provide details’ box.

Age	<i>Positive Impact</i>
What age bracket does this affect?	Children and young people up to the age of 25 years
Please provide details	The strategy seeks to improve outcomes for children and young people with SEND up to the age of 25 specifically, focusing on developing a seamless pathway to adulthood.
Disability	<i>Positive Impact</i>
Does this affect a specific disability group?	Children and young people with SEND
Please provide details	<p>The strategy seeks to ensure that we:</p> <ul style="list-style-type: none"> • make it easier for children, young people and their parents and carers to get the support that meets their needs at the right time • put children, young people and families at the heart of what we do and celebrate their individuality • focus on ensuring a positive difference for children, young people and their parents and carers • work together as a single system, no matter what organisation we work for • work with children, young people, parents and carers, rather than do things to or for them • provide inclusive education for children with SEND in mainstream early years settings, schools and colleges underpinned by high quality teaching that meets their individual needs • deliver a seamless pathway to adulthood and independence, beginning preparation for this early in life
Gender Identity	<i>Neutral impact</i>
Please provide details	

	No specific impacts identified
Pregnancy and maternity	Neutral impact
Please provide details	No specific impacts identified
Race and Ethnicity	Not clear
Please provide details	No specific analysis of race and ethnicity has been completed
Religion or belief	Not clear
Please provide details	No specific analysis of religion or belief has been completed
Sexual orientation	Neutral impact
Please provide details	No specific impacts identified
Sex	Neutral impact
Please provide details	No specific impacts identified – although boys are twice as likely to be identified with SEN as girls the burden of long term illness and disability between males and females across the life course is more even.
Marriage or civil partnership	Neutral impact
Please provide details	No specific impacts identified
Other Socially Excluded Groups For example: Carers, rurally isolated, low income, economically disadvantaged, single parents, armed forces.	Economically disadvantaged, single parents
Please provide details	Families with children with SEND can be more at risk of family breakdown and being economically disadvantaged due to caring responsibilities than other families. Providing high quality support is important to ameliorate these pressures.

Action Plan

What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts?

Objective/Outcome	Action to be taken	Lead Officer	Deadline
Understand if there are any impacts on race, ethnicity, religion or belief	Undertake an analysis of the school census – matching SEND identification with these categories	Claire Shiels	May 18
Ensuring council materials are produced in accessible formats	Develop a plan for production of key documents and offer advice to services on ensuring materials are produced in accessible formats.	Claire Eveleigh	May 18
Ensure that delivery of the strategy is informed by children, young people with SEND and their families	Develop a participation plan for ensuring co-production and engagement	Claire Eveleigh	May 18
Ensure that the strategy is delivered	Develop implementation plans and use robust Project Management techniques to ensure delivery	Rick Perry/SEND Delivery Group	On-going
	Monitor performance of deliver of the strategy through a joint performance management framework	Claire Shiels/SEND Delivery Group	On-going

EqIA Signatories

EqIA role	Name	Date
Lead Manager / Project Sponsor		
Directorate Chair on behalf of the Directorate Diversity Action Group		

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