

Shadow Dorset Council

Date of Meeting	7 June 2018
Subject of Report	Process and appointment of interim statutory officers to the Dorset Council Shadow Authority
Executive Summary	<p>The Structural Change Order requires that at the first meeting of the Shadow Authority, Members designate interim statutory officers for the shadow period, to include:</p> <ul style="list-style-type: none"> • Interim Head of Paid Service • Interim Monitoring Officer • Interim Chief Finance Officer <p>At its meeting on 21 March the Dorset Area Joint Committee agreed the recruitment the appointments process for the Shadow Authority to designate officers to these interim roles. The interviews for these roles will be completed by 7 June</p> <p>As interviews have not yet taken place at the time of writing this report, a verbal update will be given at the meeting on the selected appointees.</p>
Budget and risk implications	The cost of external HR advice is estimated at £5,000.
Recommendations	<p>That the Shadow Council:</p> <ol style="list-style-type: none"> 1. Approve the appointment of the selected interim statutory officers with immediate effect.
Appendices	<p>Appendix 1 - Extract from the minutes of the Joint Committee Meeting of 31 March 2018, Appointments Process of Interim Statutory Officers</p> <p>Appendix 2 - Role profiles/person specs for the three roles</p>
Background papers	<p>Dorset Area Joint Committee papers 21 February 2018:</p> <ul style="list-style-type: none"> • Shadow Authority Arrangements

	<ul style="list-style-type: none"> • Process to appoint interim and permanent statutory officers to Dorset Council <p>Dorset Area Joint Committee minute 21 March 2018</p> <ul style="list-style-type: none"> • Appointment Process of Interim Statutory Officers
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1. Background

- 1.1 On 21 February 2018, the Dorset Area Joint Committee received reports from the Dorset Monitoring Officers regarding Shadow Authority arrangements, including the appointment of interim statutory officers for the Shadow period to 1 April 2019.
- 1.2 The reports referenced the requirement, as stated in the Structural Change Order, that at the first meeting of the Shadow Authority, Members designate interim statutory officers for the shadow period, to include:
 - Interim Head of Paid Service
 - Interim Monitoring Officer
 - Interim Chief Finance Officer
- 1.3 The Structural Change Order also specifies that these interim roles be assigned to officers of the County Council or one of the District Councils.
- 1.4 On 21 March 2018, the Dorset Area Joint Committee agreed the appointments process for the interim statutory officers and that the six Leaders of the Dorset Area Councils would work with the Programme Director in line with this process in preparation for the first meeting of the Shadow Authority.
- 1.5 This report sets out the process that was undertaken for the Shadow Authority to meet the requirements of the Structural Change Order to designate interim statutory officers. This includes:
 - Defining the roles in the context of the Shadow Authority
 - Developing objective selection criteria
 - Designing a proportionate selection process, recognising that these are interim roles
- 1.6 Interviews for the three roles will take place week commencing 4 June, with the final interviews taking place on 7 June.
- 1.7 The substantive roles will be subject to separate recruitment processes, the first of which is the Chief Executive post which will commence as soon as the Shadow Council is in place.

2. Defining the roles

- 2.1 As required by the Structural Change Order, interim statutory roles for the Shadow Authority will be taken up by existing officers of the Dorset area councils. Once designated, the individuals will continue to operate in their substantive posts and it is envisaged that the amount of time needed for their interim responsibilities will vary throughout the duration of the programme.
- 2.2 The Structural Change Order references specific legislation and indicative responsibilities for each statutory role. These have been developed into detailed role profiles and person specs, as set out in Appendix 2 to this report.
- 2.3 The roles will be in operation from the establishment of the Shadow Authority to 1 April 2019 or until a person to perform those functions is appointed by the Council and takes up that appointment. The duration of individual interim roles will potentially

be longer in the case of the Monitoring Officer and Section 151 Officer than Head of Paid Service.

3. Selection Process

3.1 Expressions of interest were invited from potential external suppliers to support the process and South West Councils were appointed. It was made clear that these time limited roles are different from their substantive equivalents in the new council and that it should therefore not be assumed that any individual selected for an interim post will automatically be successful should they also apply for the substantive role.

3.2 It was agreed that current Chief Executives, Monitoring Officers and Section 151 Officers would be in scope for consideration and they were invited to express an interest in the roles on 15 May.

3.3 As they are all experienced local government managers, very capable of undertaking the respective interim roles a proportionate selection process was designed, recognising that these are interim roles of limited duration. The process consisted of:

- Expressions of interest submitted where applicants were asked which of the roles they wished to be considered for and answering the following questions:
 1. Why are you applying and what can you bring to the role(s)?
 2. How will you balance the demands of the interim role with your substantive role to ensure that you successfully contribute to both the formation of the new council and ensure business as usual within your existing authority?
- Panel interviews were set-up with membership consisting of 3-6 Leaders assisted by either Bryony Houlden, Chief Executive of SW Councils, or Ian Morgan, Head of HR Services for SW Councils, and Nicola Houwayek, Strategic HR Lead, LGR Programme, Dorset Area
- At the panel interview, candidates were also asked to give a presentation.

4. Successful Candidates

4.1 At the time of writing this report, the interviews have not taken place. The Chair will give a verbal update at the meeting to enable the final decision on appointments to be confirmed.

Minute from Dorset Area Joint Committee Meeting – 31 March 2018

Appointment process of interim statutory officers

- 23 The Joint Committee considered the process and timeline for the designation of interim statutory officers for Shadow Authority for the shadow period, including the use of external independent advice, HR support arrangements and the selection process which would be led by the leaders of the Dorset Area councils.

Clarification was provided in relation to the role of the Section 151 Officer designation which included powers for reporting to auditors in accordance with Section 114 of the Local Government Finance Act. Auditors could not be appointed for the new Council until the Shadow Authority had been formed, and arrangements would be considered in due course.

Resolved

1. That the process to designate officers as Interim Head of Staffing, Interim Monitoring Officer and Interim Section 151 Officer for the Shadow Authority be approved.
2. That the lead members to work with the Programme Director in line with the selection process in preparation for the first meeting of the Shadow Authority will be the leaders of the Dorset Area councils.

Interim Head of Paid Service

Job Description

Purpose

To ensure the smooth continuance and delivery of the LGR Programme for the Dorset Council area, enabling the successful transition to the new Council.

Key Responsibilities

1. Accountable for the delivery of the LGR Programme, acting as chair of the Programme Board.
2. Lead and manage the Dorset Implementation Team including the Interim Section 151 Officer, Interim Monitoring Officer and Programme Director.
3. Build effective working relationships with Elected Members and senior officers within the constituent authorities and national policy makers.
4. Exert influence at the most senior levels across the constituent authorities when necessary to overcome potential barriers/issues to ensure the delivery of the Programme.
5. Represent the Programme through a visible presence and be responsible for regular and appropriate communications to constituent authorities, Government, Local MP's and the Ministry for Housing, Communities and Local Government regarding the Programme's progress.
6. Establish options for potential operating models for the new Council in consultation with the constituent authorities.
7. Where he or she considers it appropriate, prepare a report to the Shadow Council setting out his or her proposal for:
 - The manner in which the discharge by the Shadow Council of their different functions is coordinated
 - The number and grades of staff required for the discharge of these functions
 - Organisation of the Shadow Council's staff
 - Appointment and proper management of the Shadow Council's staff

Person Specification

Qualifications

- Relevant degree or professional qualification.
- Evidence of work related continuing managerial and professional development.

Specialist Knowledge & Experience

- Substantial leadership and managerial experience and skills gained at a senior level, including contributing to the corporate management of an organisation.
- Track record of promoting, leading and managing change.
- Substantial experience of successfully working with Elected or Board Members on complex issues, and the ability to work productively and closely with Members, and provide clear advice on policy options.
- A successful track record in corporate performance management and participation in the formulation of corporate objectives, policies and strategies within a large multi-disciplined organisation with comparable scope, responsibilities, budgets and resources.
- Track record of operating strategically on corporate projects and policy development.
- The ability to think creatively and innovatively in developing, recommending and leading strategic initiatives and policies to assist in the achievement of organisational goals
- The ability to work corporately and manage resources effectively in a complex environment, including the ability to interpret and understand complex financial and budgetary information, and to negotiate and influence to direct resources
- Demonstrable experience of partnership working, including the ability to influence and lead corporate and multi-agency projects and initiatives effectively.
- Demonstrable experience of taking difficult or contentious decisions and the ability to constructively manage conflict
- In-depth knowledge and understanding of the statutory, policy, strategic and service delivery framework in which local government operates, and the major issues facing local government.
- Experience of influencing Government Departments and Ministers.

Personal Attributes

- A high degree of political awareness and sensitivity and commitment to working closely with all councillors, local organisations and communities
- Highly developed diplomatic skills, particularly in motivating, negotiating and persuading others outside the span of control, including partner organisations
- Actively promotes the need for change and acts as a role model for change.
- Positive, committed, adaptable, robust and confident approach.
- Ability to work under pressure and to motivate others to work quickly, without undue stress, and demonstrate a duty of care.
- Innovative and creative approach to change.
- Personal integrity.
- Drive and self-motivation – “can do” attitude.
- Sound judgement in devising and evaluating options and dealing with complex issues.

Interim Section 151 Officer

Job Description

Purpose

As a member of the Dorset Implementation Team, coordinate the work of the Finance Officers' workstream to establish proper arrangements for the administration of the new Council's financial affairs.

Key Responsibilities

1. Take overall accountability for the financial probity of the Shadow Council by carrying out the statutory responsibilities under S151 of the Local Government Act for the proper conduct of the Council's financial activities.
2. Provide the Shadow Executive Committee and Dorset Implementation Team with robust strategic financial analysis and advice on the effective allocation of resources.
3. Ensure the establishment of the new Council's Medium Term Financial Plan and Annual Budget for 2019/20.
4. Ensure that appropriate financial standards and processes for the new Council are in place and operational through the development of the following:
 - The Medium Term Financial Planning and Budget Setting Process
 - Financial Regulations and Procedures
 - Contract Management Framework
 - Procurement Strategy
 - Risk Management Strategy
 - Treasury Management Strategy
 - Anti-Fraud, Bribery and Corruption Policy
 - Money Laundering Policy
 - The Budget Management Framework
 - Annual Audit Plan
 - Debt Management Strategy
 - Council Tax Benefit Scheme
 - Business Rate Scheme
 - Capital Strategy
 - Corporate Debt Policy
5. Maintain a strategic overview of all aspects of the Dorset Pension Fund, including ensuring that the funding and investment strategy is monitored and

reviewed and that appropriate governance and quality assurance procedures are in place.

Person Specification

Qualifications

- Relevant degree or professional qualification.
- Evidence of work related continuing managerial and professional development.

Specialist Knowledge & Experience

- Extensive experience of managing, setting and monitoring budgets and financial management information, including developing and using management information.
- A successful track record in corporate performance management and participation in the formulation of corporate objectives, policies and strategies within a large multi-disciplined organisation with comparable scope, responsibilities, budgets and resources.
- Substantial leadership and managerial experience and skills gained at a senior level, including contributing to the corporate management of an organisation.
- Track record of promoting, leading and managing change.
- Significant experience of successfully working with Elected or Board Members on complex issues, and the ability to work productively and closely with Members, and provide clear advice on policy options.
- Track record of operating strategically on corporate projects and policy development.
- Demonstrable experience of partnership working, including the ability to influence and lead corporate and multi-agency projects and initiatives effectively.
- Understanding of Government Accounting with a demonstrable level of commercial acumen.
- Knowledge of effective and innovative financial planning and controls across a diverse organisation.
- In-depth knowledge and understanding of the statutory, policy, strategic and service delivery framework in which local government operates, and the major issues facing local government.

Personal Attributes

- Actively promotes the need for change and acts as a role model for change.
- Positive, committed, adaptable, robust and confident approach.
- Ability to work under pressure and to motivate others to work quickly, without undue stress, and demonstrate a duty of care.
- Innovative and creative approach to change.
- Personal integrity.
- Drive and self-motivation – “can do” attitude.
- Sound judgement in devising and evaluating options and dealing with complex issues.

Interim Monitoring Officer

Job Description

Purpose

As a member of the Dorset Implementation Team, coordinate the work of the Monitoring Officers' workstream to establish the constitutional arrangements for the new Council.

Key Responsibilities

1. Take overall accountability for the probity of the Shadow Council by carrying out the statutory responsibilities as Monitoring Officer, as follows:
 - (a) Decision-making: Ensures all decisions taken by members and officers are lawful.
 - (b) The Constitution: Responsibility for the design, implementation and maintenance of the Council's Constitution including the Full Council Procedural Rules, the schemes of delegation/scrutiny/ and partnership arrangements - in accordance with the requirements of the members, ensuring legal requirements are met.
 - (c) Proper Officer for access to information: Ensures that member decisions (and officer decisions where required), together with the reasons for those decisions (as required) and relevant Officer reports and background papers are properly recorded and made publicly available as soon as possible and retained for public access in accordance with legislative requirements.
 - (d) Provides high level advice and guidance to the Shadow Executive Committee and Dorset Implementation Team on the scope of powers and authority to take decisions, maladministration, financial impropriety (in conjunction with the Interim Section 151 Officer), standards and probity and Budget and Policy Framework issues.
2. Provides 'trouble shooting' expertise to the Shadow Executive Committee and Dorset Implementation Team as necessary where expert knowledge and sound interpretation of democratic processes, statutory guidance and/or Constitution of the Council is vital to the resolution of issues/problems.
3. Lead Officer for the management of the Council's Strategic Risk Register, its operational risk registers and ensuring that action to mitigate risk is taken across all services.

4. Lead officer for ensuring that appropriate impact assessments in support of decision-making are prepared and published ensuring that all statutory requirements are met.
5. Leads and manages the preparations for the new Council's first elections.
6. Leads and manages the Council's involvement in the review of the Council's electoral arrangements as required by the Local Government Boundary Commission for England ensuring that legislative requirements are met and that any resulting changes reflect the needs of the Council.

Person Specification

Qualifications

- Relevant degree or professional qualification.
- Evidence of work related continuing managerial and professional development.

Specialist Knowledge & Experience

- Extensive experience of providing strategic legal advice to a large and diverse organisation.
- A successful track record in corporate performance management and participation in the formulation of corporate objectives, policies and strategies within a large multi-disciplined organisation with comparable scope, responsibilities, budgets and resources.
- Substantial leadership and managerial experience and skills gained at a senior level, including contributing to the corporate management of an organisation.
- Track record of promoting, leading and managing change.
- Significant experience of successfully working with Elected or Board Members on complex issues, and the ability to work productively and closely with Members, and provide clear advice on policy options.
- Track record of operating strategically on corporate projects and policy development.
- Demonstrable experience of partnership working, including the ability to influence and lead corporate and multi-agency projects and initiatives effectively.
- In-depth knowledge and understanding of the statutory, policy, strategic and service delivery framework in which local government operates, and the major issues facing local government.

Personal Attributes

- Actively promotes the need for change and acts as a role model for change.
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