

Shadow Dorset Council

Executive Committee

Date: Monday, 18 June 2018
Time: 6.30 pm
Venue: South Walks House, Dorchester, Dorset DT1 1EE

Membership:

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

Proper Officer for the Dorset Council Shadow Authority: Debbie Ward

For more information about this agenda please telephone Democratic Services on or l.d.gallagher@dorsetcc.gov.uk

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AGENDA

Page No.

1 ELECTION OF CHAIRMAN

To elect a Chairman of the Shadow Executive 2018/19 shadow period. The Chairman will be the Leader of the Shadow Council.

2 ELECTION OF VICE-CHAIRMAN

To elect a Vice-Chairman of the Shadow Executive for the 2018/19 shadow period. The Vice-Chairman will be the Deputy Leader of the Shadow Dorset Council.

3 APOLOGIES

To receive any apologies for absence.

4 DECLARATIONS OF INTEREST

Councillors are required to comply with requirements of the Localism Act 2011 regarding disclosable pecuniary interests.

5 PUBLIC PARTICIPATION

To receive any public questions or statements on the business of the Shadow Dorset Council.

6 SHADOW EXECUTIVE OPERATING PRINCIPLES

1 - 10

To consider a report by the Interim Monitoring Officer.

7 SHADOW EXECUTIVE FORWARD PLAN

11 - 14

To consider the Forward Plan and Key Milestones for the Shadow Executive.

LOCAL GOVERNMENT REORGANISATION PROGRAMME

8 HIGH LEVEL IMPLEMENTATION PLAN FOR DORSET COUNCIL

15 - 48

To consider a report by the Programme Director.

9 PROTOCOL ON SPENDING AND COMMITMENTS

49 - 52

To consider a report by the Interim Section 151 Officer.

10 UPDATE ON PROGRESS IN RESPECT OF CONSEQUENTIAL ORDERS

To receive a verbal update from the Interim Monitoring Officer.

MATTERS FOR DECISION (REFERRED TO THE SHADOW EXECUTIVE BY DORSET COUNCILS)

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

11 DECISION MAKING ACTIVITY OF DORSET COUNCILS

For information only – the links below provide background information regarding the decision making of each of the Dorset area councils:-

Dorset County Council
East Dorset District Council
North Dorset District Council
Purbeck District Council
West Dorset District Council
Weymouth & Portland Borough Council

12 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

Date of Meeting	18 June 2018
Officer	Interim Monitoring Officer
Subject of Report	Consideration of proposed operating arrangements for the Shadow Executive Committee
Executive Summary	<p>Taking as its starting point the requirements set out in the Bournemouth, Dorset and Poole (Structural Changes) Order 2018 this report invites the Shadow Executive Committee to consider and approve the arrangements for Shadow Executive Committee meetings.</p> <p>In order to meet the timetable for publishing an agenda for the first meeting of the Shadow Executive Committee the Programme Board have approved an initial agenda structure for this meeting, recognising that the shape of future agendas will be for members themselves to decide.</p> <p>There are also important decisions to be made by the Shadow Executive Committee about the respective responsibilities of the existing councils and the Shadow Executive Committee and what in practice the duty upon existing councils to co-operate with the Shadow Council/Executive Committee means in practice.</p> <p>Members are invited to approve as a holding position the continuation of, as task and finish groups of the Shadow Executive Committee, the task and finish groups established by the Dorset Area Joint Committee.</p> <p>Members are also asked to:</p> <ul style="list-style-type: none"> • agree a delegation to enable the Shadow Executive Leader to appoint to vacancies on task and finish groups • Give initial consideration to whether the Shadow Executive Leader should be invited to designate portfolio leads (a matter for decision by the Leader). • agree a delegation to enable each of the interim statutory officers, (after consulting the chairman of the relevant task and finish group), to agree policies and procedures for the new Dorset Council where this involves making only minor changes to align existing council policies as single policies of the new council.
Impact Assessment:	Equalities Impact Assessment: None

	<p>Use of Evidence: Members are invited to consider this report alongside the requirements of the Structural Changes Order, the implementation plan and the developing forward plan.</p> <p>Budget: There are no direct financial implications.</p> <p>Risk Assessment: Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current LOW (Delete as appropriate) Residual Risk LOW (Delete as appropriate)</p> <p>Other Implications: None</p>
<p>Recommendation</p>	<p>Members are invited to:</p> <ol style="list-style-type: none"> 1. Consider the arrangements made for the first meeting of the Shadow Executive Committee as a starting point in deciding their future meeting arrangements. 2. Adopt the arrangements for decision making described in section 2.2 and that these be notified to the county and district councils. 3. Approve as a holding position the continuation of the Task and Finish Groups established by the Dorset Area Joint Committee as working groups of the Shadow Executive Committee. 4. Agree that the Shadow Executive Leader should appoint to any vacancies on Task and Finish Groups 5. Comment upon whether the Shadow Executive Leader should be invited to designate portfolio lead members from amongst the Shadow Executive. 6. Agree a delegation to enable each of the interim statutory officers, (after consulting the chairman of the relevant task and finish group) to agree policies and procedures for the new council where this will involve making only minor changes to align existing council policies as single policies of the Dorset Council.
<p>Reason for Recommendation</p>	<p>To ensure that meetings of the Shadow Executive are focused upon delivering the requirements set out in the Structural Changes Order and that they provide an appropriate framework within which the Shadow Executive can made decisions about the implementation of the Dorset Council and can make decisions about existing county and district council matters which will impact upon the new Dorset Council.</p>
<p>Appendices</p>	<p>Terms of reference of member task and finish groups</p>
<p>Background Papers</p>	<p>Bournemouth, Dorset and Poole Structural Changes Order 2018</p>

Officer Contact	Name: Jonathan Mair, Interim Monitoring Officer Tel: 01305 224181 Email: j.e.mair@dorsetcc.gov.uk
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1. Requirements of the Structural Changes Orders

1.1 At its first meeting (on 7 June 2018) the Shadow Council was required by the Structural Changes Order to create a Leader and Cabinet Executive within the meaning of part 1A of the Local Government Act 2000 (the Shadow Executive Committee). These arrangements are described in article 7 of the Constitution which was adopted by the Shadow Council at its meeting on 7 June.

1.2 The overall functions of the Shadow Council are:

- To prepare for the assumption, as Dorset Council, of local government functions and full local authority powers on 1 April 2019.
- To prepare any budgets or plans required by Dorset Council when these functions are assumed; and
- To liaise with the county and district councils for the purpose of ensuring continuity of the delivery of public services on and after 1 April 2019.

In order to enable these ends to be achieved the Structural Changes Order delegates the functions of the Shadow Council to the Shadow Executive Committee, including the function of preparing, keeping under review and revising as necessary an implementation plan.

1.3 The implementation plan is central to the Shadow Executive Committee's work in preparing for the new Dorset Council and must include:

- Such plans and timetables as are in your opinion necessary to secure the effective, efficient and timely discharge of your functions; and
- Such budgets and plans as you consider necessary or desirable to facilitate the economic, effective, efficient and timely discharge on or after 1 April 2019 of the functions that before that date were functions of the county or district councils.

It is therefore suggested that reporting on progress to deliver the implementation plan must be an essential element on every Shadow Executive Committee agenda.

1.4 The Structural Changes Order includes general transitional duties upon the county and the district councils, requiring those councils to take such steps as may be necessary to prepare for the transfer of their functions, property rights and liabilities to the Dorset Council (except those of the County Council relating to Christchurch or its inhabitants).

1.5 There are also requirements upon the county and district councils to consult and co-operate with one another and with the Shadow Council/Shadow Executive Committee. Specifically the county and district councils must each co-operate in the formation of the Dorset implementation team and must provide such information relating to their functions as any of the other councils or the Shadow Council/Shadow Executive Committee reasonably request.

- 1.6 Underpinning all of this is an obligation upon the county and district councils to co-operate with one another and with the Shadow Council/Shadow Executive Committee in ensuring a smooth transition to a new Dorset Council.

2 Suggested structure of agendas and proposed decision making responsibilities

- 2.1 In setting a suggested forward programme of meetings officers have utilised the monthly cycle of meeting dates previously set aside for meetings of the Dorset Area Joint Committee. As the work programme develops there may be a need for more frequent Shadow Executive Committee meetings but as a starting point members are invited to agree this monthly cycle of meetings.

- 2.2 Beyond standard agenda items (apologies for absence, minutes and actions from previous meetings, declarations of interest and public participation) officers propose that the agenda should be divided into two main categories, the second reflecting the changed responsibilities of councils and the role of the Shadow Council and its Executive during the transition period:

- Category 1 comprising activity to deliver the programme and central to this the monitoring of progress against delivery of the implementation plan.
- Category 2 dealing with matters for decision by the Shadow Executive Committee by the county or a district council. These are matters which would ordinarily be for decision by sovereign councils but which fall to be decided by the Shadow Executive Committee and not the county or district councils because either the decision will not come into effect until after 1 April 2019 or because the decision will have important consequences for the new Council.

A separate report on this agenda from the Interim section 151 officer recommends a protocol designed to ensure that decisions made in the county and district councils do not adversely impact upon the new Dorset Council. That protocol in effect defines what the county and district councils must do in order to satisfy the Structural Change Order duty to co-operate i.e. by referring to the Shadow Executive Committee for decision.

- any district council proposal with a financial impact of more than £100,000
- any county council proposal with a financial impact of more than £500,000

It is proposed that these matters referred for decision will be grouped separately on the agenda in category two.

3 Executive groups/panels and working group arrangements

- 3.1 The Dorset Area Joint Committee established the following task and finish groups to work towards establishing the new council and these are described in the appendix to this report.
- Communications and Engagement Task and Finish Group (formerly Wider member engagement)
 - Electoral boundary commission review
 - Disaggregation
 - Budget (revenue and capital)
 - Governance
 - Human Resources

- 3.2 Members are invited to approve as a holding position the continuation of the task and finish groups as working groups of the Shadow Executive Committee. The Programme Director will report to a future meeting with proposals for any changes to the existing Task and Finish Groups. It is also recommended that the Shadow Executive Leader be given authority to appoint to any vacancies as a result of changes in membership following transition from the Joint Committee to the Shadow Executive Committee.
- 3.3 Members are also invited to consider whether the Shadow Executive Leader should be invited to appoint individual members of the Shadow Executive Committee to lead on specific portfolio areas of responsibility (a matter for decision by the Leader).

4. Proposed delegation to statutory officers

- 4.1 As part of transition there will be a need to align a large number of policies and procedures of the existing councils and to create single Dorset Council arrangements to take effect from 1 April 2019. In some instances there will be significant policy differences where members will have to choose between options with important implications for the new Council. In other instances differences will be inconsequential and it will be more a matter of small changes or even only presentation in order to arrive at a single position.
- 4.2 Agreement is sought to a delegation to enable the interim statutory officers to make the changes needed to align policies and procedures. The delegation would be exercised only after consultation with the relevant task and finish group chairman, in circumstances where both agreed the changes to be minor in nature and necessary to arrive at a single policy or procedure for the new council.

Jonathan Mair
Interim Monitoring Officer

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Appointments to Task and Finish Groups

Contact details for the members named below can be found via the links below

[County](#) – [East](#) – [North](#) – [Purbeck](#) – [West](#) – [Weymouth & Portland](#)

Task and Finish Group	Remit	Members	Council(s) represented Max 2 from each council	Lead Officer
Communications and Engagement (formerly Wider member engagement)	A Task and Finish Group to scope and develop an engagement plan to involve and inform the wider membership of councils during Local Government Reorganisation.	KD Johnson Robin Cook Graham Carr-Jones (Lead Member) Audrey Burch William Trite Mike Lovell Jacqui Sewell Stella Jones John Ellis Anne Wearing Andrew Parry Mary Penfold	East Dorset East Dorset North Dorset North Dorset Purbeck Purbeck West Dorset West Dorset Weymouth & Portland Weymouth & Portland County Council County Council	Dorset Area Comms and Engagement Manager and Kirsty Riglar Democratic and Electoral Services Manager (Purbeck District Council)
Electoral Boundary Commission Review	A Task and Finish Group to oversee the Boundary Review and scope the work required following DCLG guidance as the lead for Boundary reviews in both Joint Committee areas.	Spencer Flower (Lead Member) Sherry Jespersen Barry Quinn Gerald Duke Alison Reed Paul Kimber Peter Wharf Mary Penfold	East Dorset North Dorset Purbeck West Dorset Weymouth & Portland Weymouth & Portland County Council County Council	Richard Jones, Monitoring Officer (East Dorset)
Disaggregation	A Task and Finish Group of members drawn from the Dorset Area Joint Committee to oversee the disaggregation work to help to provide drive and focus. Disaggregation will be of Dorset County Council's upper tier services in the Christchurch Borough Council area, in terms of service delivery, customer data, funding, expenditure, assets, liabilities, contracts, shared services, partnerships and staff.	Steve Butler Val Pothacary John Stayt Caroline Finch Mike Lovell Simon Christopher Jeff Cant (Lead Member) James Farquharson Deborah Croney Tony Ferrari	East Dorset North Dorset North Dorset Purbeck Purbeck West Dorset Weymouth & Portland Weymouth & Portland County Council County Council	Debbie Ward Chief Executive (Dorset County)

Budget (Revenue and Capital)	A Task and Finish Group to oversee the budget preparations and Medium Term Financial Plan for the new Dorset Council.	Peter Webb Gary Suttle Michael Roake Spencer Flower Ray Bryan Peter Barrowcliff Simon Christopher Jeff Cant (Lead Member) Rebecca Knox Tony Ferrari	Purbeck Purbeck North Dorset East Dorset East Dorset West Dorset West Dorset Weymouth & Portland County Council County Council	Steve Mackenzie Chief Executive Purbeck District Council
Page 8 Governance	<ol style="list-style-type: none"> 1. To exercise member oversight of the legal and democratic workstream (excluding those areas overseen by the Boundary Review Task and Finish Group) and the Information Governance Workstream 2. To review and make recommendations about the constitution of the Shadow Dorset Council 3. To ensure that the Shadow Dorset Council: <ol style="list-style-type: none"> (a) operates effectively and efficiently during the Shadow Period (b) is open and transparent in its activity and decision making; and 4. Taking as its starting point the Joint Committee’s vision for the Dorset Council, to formulate: <ol style="list-style-type: none"> (a) a proposed operating model; and (b) a draft Constitution for the Dorset Council. 5. To consider and make recommendations about the culture of the new Dorset Council which complement the emerging vision, and help accelerate the creation of an entirely new organisation. 	Anthony Alford (Lead Member) Graham Carr-Jones Sherry Jespersen Spencer Flower Simon Tong Rebecca Knox Daryl Turner William Trite Cherry Brooks Jeff Cant	West Dorset North Dorset North Dorset East Dorset East Dorset County Council County Council Purbeck Purbeck Weymouth & Portland	Jonathan Mair Head of Organisational Development (Monitoring Officer) Dorset County Council
Human Resources	A Task and Finish Group to oversee strategic level staffing matters in developing the new Dorset Council.	Sherry Jespersen Alison Reid Peter Wharf Steve Butler Robin Cook Andrew Parry	North Dorset Weymouth & Portland County Council County Council East Dorset East Dorset	TBC

		Cherry Brooks Caroline Finch Alan Thacker Mark Roberts	Purbeck Purbeck West Dorset West Dorset	
Pending Task and Finish Group activity				
Future Service Integration (shared services) (agreed on 13 December 2017) The work of this group has been paused until further notice	A Task and Finish Group to consider future service Integration, i.e. what work can the sovereign councils do together in advance of the 1 April 2019 to make sure that services are aligned wherever possible and practicable, recognising the challenges that exist, and utilising the skills and experience of established member forums where available.	Barbara Manuel Victor Fox Noc Lacey Peter Wharf David Budd Tim Yarker Tony Ferrari Kate Wheller Daryl Turner Pauline Batstone	East Dorset North Dorset North Dorset Purbeck Purbeck West Dorset Weymouth & Portland Weymouth & Portland County Council County Council	Keith Cheesman Programme Director – Local Government Reorganisation
Community Partners Engagement (agreed on 13 December 2017) The work of this group has been paused until further notice	A Task and Finish Group to consider the issue of engaging with Community Partners including Town and Parish Councils, including the offer from the Dorset Association of Parish and Town Councils at the first Joint Committee meeting in September 2017 to participate.	Simon Tong Gina Logan Sherry Jespersen (Lead Member) Andrew Kerby Wendy Meaden Beryl Ezzard Alan Thacker Nigel Bundy Christine James Ray Nowak Hilary Cox Byron Quayle	East Dorset East Dorset North Dorset North Dorset Purbeck Purbeck West Dorset West Dorset Weymouth & Portland Weymouth & Portland County Council County Council	Stephen Hill Strategic Director (Dorset Councils Partnership)
Area Based Decision Making (agreed on 13 December 2017) The work of this group has been paused until further notice	A Task and Finish group to explore and consider area based decision making and how the new unitary could use area based arrangements.	Toni Coombs Andrew Parry Sherry Jespersen Deborah Croney Barry Quinn (Lead Member) Cherry Brooks Robert Gould Matthew Hall Gill Taylor Richard Kosier Jill Haynes David Harris	East Dorset East Dorset North Dorset North Dorset Purbeck Purbeck West Dorset West Dorset Weymouth & Portland Weymouth & Portland County Council County Council	Rebecca Kirk General Manager, Public Health and Housing Services (Purbeck)

Completed Task and Finish Groups				
<p>Structural Change Order (agreed on 13 December 2017)</p>	<p>A Task and Finish Group to oversee and consider the key issues being raised within the draft Structural Change Order and to link with other Task and Finish Groups working on aspects of the Order. The Structural Change Order has been laid in Parliament and will complete parliamentary process in early June.</p>	<p>Spencer Flower Piers Brown Gary Suttle Anthony Alford (Lead Member) Tia Roos Ian Bruce Rebecca Knox</p>	<p>East Dorset North Dorset Purbeck West Dorset Weymouth & Portland Weymouth & Portland County Council</p>	<p>Dorset Monitoring Officers Group</p>
<p>Council Tax Harmonisation (agreed on 13 December 2017)</p> <p>Closed on 17 April 2018</p>	<p>A Task and Finish Group to build on initial work by finance officers across Dorset to align technical and political aspects of Council tax harmonisation as part of the Structural Change Order.</p>	<p>Ray Bryan Michael Roake Jane Somper Gary Suttle Caroline Finch Anthony Alford Jeff Cant (Lead Member) Colin Huckle Rebecca Knox Tony Ferrari</p>	<p>East Dorset North Dorset North Dorset Purbeck Purbeck West Dorset Weymouth & Portland Weymouth & Portland County Council County Council</p>	<p>Steve Mackenzie Chief Executive (Purbeck)</p>

Shadow Dorset Council Shadow Executive Committee - Forward Plan

Key Decision	Date of Shadow Executive meeting (1)	Matter for Decision (2)	Lead Councillor/ Officer (3)	On behalf of an individual council?	Consultees (4)	Means of Consultation (5)	Documents (6)
No <i>(Key decisions will be identified as separate items on the forward plan)</i>	All	Open Programme Highlight Report (including Programme Activities, Implementation Plan progress, Budget, Task and Finish Groups)	LGR Programme Director	No	-	-	None
No	All	Open Forward Plan/Work Programme	LGR Programme Director	No	-	-	None
No	As required	Open Consolidated Medium Term Financial Plan Update	Section 151 Officer	No	-	-	None
No	18 June 2018	Open High-level implementation plan for Dorset Council	LGR Programme Director	No	-	-	None
Yes	18 June 2018	Open Shadow Executive Operating Principles	Monitoring Officer	No	-	-	The Shadow Dorset Council Constitution
Yes	18 June 2018	Open Financial Commitments and Spend Protocols	Section 151 Officer	No	-	-	None
No	18 June 2018	Open Verbal update on progress in respect of Consequential Orders	Monitoring Officer	No	-	-	None
Yes	20 July 2018	Open Working with Town and Parish Councils	LGR Programme Director	No	-	-	None
Yes	20 July 2018	Open Service Disaggregation	LGR Programme Director	No	-	-	None

No	20 July 2018	Open Boundary Review submission on draft recommendations of LGBCE	Monitoring Officer	No	8-week Public Consultation by the Boundary Commission from 3 July 2018	Meeting with Town and Parish Councils on 11 June	None
No	20 July 2018	Open Civic Functions	Monitoring Officer	No	Governance Task and Finish Group Monitoring Officers Group	Meetings	None
Yes	21 August 2018	Open Making of Consequential Order relating to Staffing	Monitoring Officer	No	Governance Task and Finish Group Monitoring Officers Group	Meetings	None
Yes	21 August 2018	Open People Plan and TUPE arrangements	LGR Programme Director	No	-	-	None
Yes	21 August 2018	Open Service Mapping and review – Implementation plan identified service changes	LGR Programme Director	No	-	-	None
Yes	20 September 2018	Open Dorset Council Branding	LGR Programme Director	No	Communications Workstream	-	None
Yes	20 September 2018	Open Draft Budget 2019/20, Financial System and Baseline for Council Tax and Business Rates	Section 151 Officer	No	-	-	None
Yes	20 September 2018	Open Interim Operating Model and implementation Plan	LGR Programme Director	No	-	-	None
No	22 November 2018	Open Electoral Arrangements	Returning Officer and Monitoring Officer	No	Dorset Electoral Administrators Group	Meetings	None
Yes	22 November 2018 Shadow Council - February 2019	Open Policy Framework	Monitoring Officer	No	-	-	None
Yes	20 December	Open	Section 151	No	Public Consultation	-	None

	2018 Shadow Council - February 2019	Consolidated Medium Term Financial Plan	Officer				
Yes	20 December 2018	Open Making of Consequential Order relating to Civic Functions	Monitoring Officer	No	Governance Task and Finish Group Monitoring Officers Group	Meetings	None
Yes	16 January 2019 Shadow Council - February 2019	Open Constitution - Dorset Council	Monitoring Officer	No	Governance Task and Finish Group Monitoring Officers Group	Meetings	None
Yes	16 January 2019 Shadow Council - February 2019	Open Members' Allowances Scheme – Dorset Council	Monitoring Officer	No	Independent Remuneration Panel Governance Task and Finish Group	Meetings	None
Yes	16 January 2019	Open Transition Period Plan (Operating Arrangements and interim transition)	LGR Programme Director	No	-	-	None
Yes	16 January 2019	Open Legal and Democratic Operating Model	Monitoring Officer	No	Governance Task and Finish Group Monitoring Officers Group	Meetings	None
Yes	20 February 2018	Open Corporate Plan	Chief Executive/LGR Programme Director	No	-	-	None
Yes	20 March 2018	Open Weymouth Town Council Formation	LGR Programme Director	No	-	-	None
Yes	To be confirmed	Open Revenues and Benefits Partnership working	LGR Programme Director	No	-	-	None

Definition of Key Decisions

Key decisions are defined in the Shadow Dorset Council's Constitution as decisions of the Cabinet 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; 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."

In determining the meaning of "*significant*" for these purposes the Shadow Council will have regard to any guidance for the time being issued by the Secretary of State in accordance with section 9Q of the Local Government Act 2000 Act

How to complete this pro forma:-

- (1) The date for the decision or, if the exact date is unknown, the period within which the decision is to be made.
- (2) A brief description of the decision to be made, whether in public or private (if private see the extract from the Local Government Act on the next page and state which paragraph applies).
- (3) This will be the Shadow Executive.
- (4) Please list the principal groups or organisations who will be consulted before a decision is made.
- (5) This should describe the means of consultation.
- (6) This column should list the documents, including background papers, considered in preparing the matter for consideration.

N.B. Please avoid using acronyms

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.

Shadow Dorset Council

Date of Meeting	18 June 2018
Subject of Report	High-Level Implementation Plan for Dorset Council
Executive Summary	<p>This report provides the outline Implementation Plan for Dorset Council as required by the Bournemouth, Dorset and Poole (Structural Changes) Order 2018 which came into force on May 26 2018.</p> <p>The nature of the size, complexity and speed of this programme means that the 'Shaping Dorset Council Plan' is a live document and will be updated to reflect the data, information and issues that will be established and arise during the process.</p> <p>This plan describes the scope, planning process, organisation and resources of the programme, its governance and leadership and also sets out the high-level timeline, estimated budget, reporting process and risks identified.</p> <p>Finally, this paper details the proposed Implementation Team, required by the Structural Change Order, and seeks approval from Shadow Executive Committee that these arrangements described meet the obligation of the Order.</p>
Budget Implications	None directly for the Shadow Council.
Recommendation	<p>(1) The Shadow Executive Committee is asked to support the Shadow Dorset Council's decisions on 7 June 2018 to:</p> <ul style="list-style-type: none"> a) Adopt this plan and note that further iterations and updates on progress against this plan will be brought forward and overseen through the Shadow Executive Committee arrangements. b) Approve the proposed Implementation Team. <p>(2) To approve the plan's reporting intervals to the Shadow Executive.</p>
Appendices	June 2018 Highlight Report
Report Originator	<p>Name: Keith Cheesman, Programme Director Contact: 01305 221227</p>

Introduction

The Future Dorset Proposal set out a clear proposal to radically review and improve public services in Dorset and to deliver cost efficiencies from this. Benefits are expected to be realised throughout public services with more co-ordination strategically and operationally across health and care, infrastructure, housing and education sectors. New councils will be better placed to work with town and parish councils, embracing proposals to set up a new Town Council for Weymouth. 21st Century councillors will be digitally capable, strategic and connected with their communities.

The Local Government Reorganisation Programme – “Shaping Dorset Council” is setting out to deliver, as a minimum, the changes required to meet the requirements of the Bournemouth, Dorset and Poole (Structural Changes) Order 2018, inasmuch as the new Dorset Council is created in time to deliver its services safely, legally and without break in continuity from the 1st April 2019.

There is little time for the delivery of transformational change in this period and so the profile of the delivery of the savings will be adjusted, but here is no less ambition to achieve the fully expected savings set out in the proposal. A plan for the convergence of activity and the transformational change will be prepared during the life of this programme and forms a substantial part of the Phase 3 delivery described in more detail in this plan.

A core team has been recruited to plan and manage the process of understanding the changes required by the act of closing and decommissioning the six preceding councils in order to create a brand new council. Our collective workforce is providing much of the subject matter expertise to deliver the required programme and are being engaged through a wide range of activities.

This plan sets out the high level workplan, programme resources and team structure and provides for the required appointment of an Implementation Team, as prescribed by Article 38 of The Bournemouth, Dorset and Poole (Structural Changes) Order 2018.

Programme Approach

Planning has been organised around the three phases. While these are consistent with the Bournemouth, Christchurch and Poole programme approach, the work programme and some of the methodology is slightly different and reflective of the emerging culture and sense of the kind of organisation that the Dorset Council will aim to be, embracing the best of a culture born out of the 21st Century Council approach.

Phase 1 deals with the 'Creation of the new Council', largely delivered by the Central Programme team on behalf of both unitary areas and includes the work, now reaching an end, to prepare the content for the Parliamentary process, including:

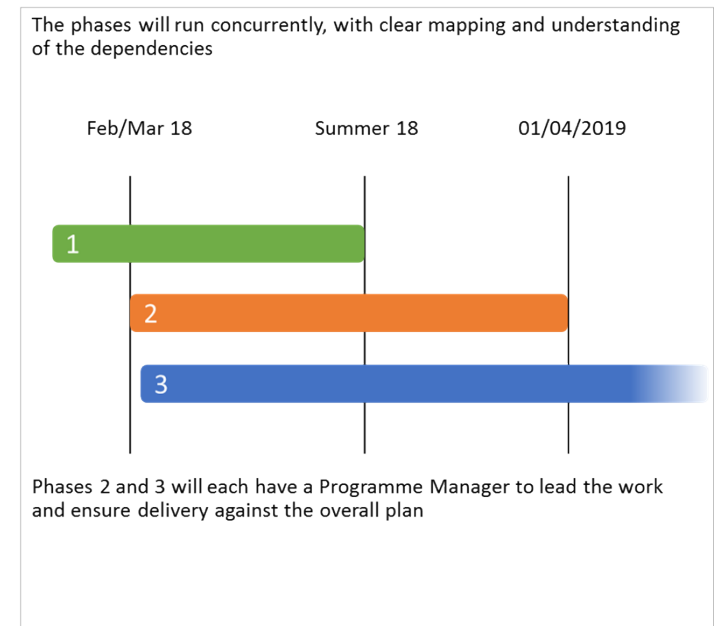
- Structural Change Order / Consequential Orders
- Disaggregation of Dorset Council Council's services in Christchurch
- Preparing the fall-back position ahead of the Boundary Commission Electoral Review
- Council Tax Harmonisation Strategy
- TUPE preparation

Phase 2 concentrates on the 'Delivery of services on 01 April 2019', and deals with the following:

- Create the Shadow Authority and the new Council – the constitution and structures necessary to be operating legally
- Budgets – revenue and capital, Council Tax setting and Harmonisation implementation
- Policy – review / adoption / creation
- Contract novation
- HR / Workforce / TUPE process (workforce in place with their contracts)
- Service continuity on day 1
- Decommission the preceding councils

Phase 3 focuses on the 'designing & building the new Dorset Council' and sets out either high level or interim steps towards a series of key components of how the new council will operate, such as:

- Future Vision / Operating Model
- Culture / Values / Organisational Design
- Communication & Community Engagement
- Capital Development Plan / Operational Plan



Programme Methodology

In terms of the methodology, most of the effort and work is focused on Phase 2. The approach, now that the initiation is nearing completion, is to work through a “Discovery” stage which is specifically designed to draw out the detail required to build the detailed plans that will support the delivery of the changes required. The ‘Discovery’ – ‘Detailed Planning’ – ‘Day 1 Preparation’ stages are iterative and progressive; they are designed to ensure that progressively more information is drawn out and feeding into the planning before the mobilisation work is started.

Phase 3 outputs will include certain elements such as the interim Design Principles for the new Council that will inform the detailed approach for delivering in phase 2.

Phase 1 Create New Unitary

2 Delivering Services on 1 April 2019

Initiation

Discovery

Detailed Planning

Day 1 Preparation

Mobilisation

3 Designing and Building Dorset Council

Interim Vision

Interim Target Operating Model

Culture, Values, Organisational Design

Development of new Corporate Plan

Phase 1: Creation of the new Council

- 1. Legal Workstream**
Sponsor: Debbie Ward
- 2. Finance Workstream**
Sponsor: Steve Mackenzie
- 3. HR & Workforce Workstream**
Sponsor: David McIntosh
- 4. Customer & Service Continuity Workstream**
Sponsor: TBC
- 5. ICT Workstream**
Sponsor: Matt Prosser
- 6. Information Governance Workstream**
Sponsor: Steve Mackenzie
- 7. Communication and Branding Workstream**
Sponsor: Matt Prosser

- 1.1 Create Shadow Authority
- 1.2 Election
- 1.3 Establishment and legal governance of the new council
- 1.4 Policies
- 1.5 Service safety
- 1.6 Statutory functions

- 2.1 Financial Management & Budgetary Control
- 2.2 Finance System
- 2.3 Feeder Systems
- 2.4 Revenues & Benefits
- 2.5 Financial Statements
- 2.6 Collection Fund
- 2.7 Budget Setting
- 2.8 Closedown 2018/19
- 2.9 Treasury Management
- 2.10 Governance
- 2.11 Disaggregation
- 2.12 Council Tax Harmonisation

- 3.1 People Plan delivery
- 3.2 Existing workforce and TUPE Process
- 3.3 Appointment to interim statutory roles
- 3.4 Appointment to new Chief Executive role
- 3.5 New workforce from day 1
- 3.6 Operational structure from day 1

- 4.1 Service Mapping and Review
- 4.2 Customer impact assessment
- 4.3 Equalities Duties
- 4.4 Web content review
- 4.5 Partnerships

- 5.1 Disaggregation
- 5.2 IT implementation Plan
- 5.3 Infrastructure
- 5.4 Applications and Data: Corporate
- 5.5 Applications and Data: Business
- 5.6 Service Delivery
- 5.7 Intranets
- 5.8 Public facing website infrastructure

- 6.1 General Data Protection Regulation (GDPR)
- 6.2 Information Commissioners Office

- 7.1 Communication and Engagement Strategy
- 7.2 Delivery plan
- 7.3 Branding for new authority
- 7.4 LGR media protocol
- 7.5 Communications partnership
- 7.6 Digital channels

Member Task and Finish Groups Purpose: Member led groups scoping specific tasks for the new council and making recommendations to Dorset Area Joint Committee

Scoping Workshops Purpose: To identify and map the activity required to deliver the required infrastructure for a new legal authority

Service Continuity Workshops Purpose: To identify what essential operational changes are to maintain continuity of service from 1 April 2019

- Development of target operating model
- Design a transformation programme to deliver the ambitions of the interim operating model
- Development of a new corporate plan
- Delivery of the People Plan

Workstream Plans – High Level

	Project	Scope	Key tasks	Timescale
Legal Workstream	1. Create and Manage Shadow Authority	To create and support the Dorset Council shadow authority, including the Executive and sub-committees	<ul style="list-style-type: none"> • Set up Shadow Authority governance arrangements and constitution. • Establish Member engagement plan. • Set up Shadow Authority operational arrangements, code of conduct, Members allowances, and insurances. • Identify policies and plans required • Manage Shadow Authority • Establish meeting arrangements, as follows: <ul style="list-style-type: none"> - set up agenda - Forward plan - Decision log • Set up the IRP 	June 2018 June 2018 to April 2019
	2. Boundary review	To support and contribute to the review carried out by the LGBCE	<ul style="list-style-type: none"> • Develop ward sizes and boundaries and submit to the LGBCE • Review and comment upon the LGBCE’s recommendations once published 	May 2018 to August 2018
	3. 2019 Elections	To prepare for the 2019 elections, including Dorset Council and Weymouth Town Council	<ul style="list-style-type: none"> • Register new Returning Officer • Create new electoral roll • Prepare for Dorset Council elections • Prepare for Weymouth Town Council elections • Prepare for Parish and Town council elections 	December 2018 to May 2019
	4. Establishment of legal governance of the new council	To establish the governance of the new council	Create the following: <ul style="list-style-type: none"> • A draft Constitution • Meetings • Website 	June 2018 to February 2019

	Project	Scope	Key tasks	Timescale
			<ul style="list-style-type: none"> • Committee Structure • Set up support arrangements for committees and full council 	
	5. Prepare policies for new council	To establish the legal policies, strategies and plans required for day 1, consider the legal requirements for all assets and confirm statutory functions and their policy requirements for day 1.	<ul style="list-style-type: none"> • Identify all plans/strategies that must be created by the New Council for Day 1 • Identify plans and strategies that must be reviewed within 12 months of the new authority • Identify responsible owners for creating new policies • Recommend a process and timetable for review for the new Council and the development of any sub-plan supporting this. 	May 2018 to December 2018
	6. Set up new Legal and Democratic function for Day 1	To clarify those functions requiring continuation and agree how this will take place.	<ul style="list-style-type: none"> • Create operational arrangements for Day 1 for all current L&D teams. • Identify transfer of casework 	June 2018 to March 2019
	7. 1 April 2019-6 May 2019	To prepare for the transition period between vesting day and completion of elections in 2019 and determine how to conduct regulatory and statutory business	<ul style="list-style-type: none"> • Confirm what business will need to be considered during that period • Confirm what business can be completed prior to 31st March • Agree dates for Committees which need to conduct business. 	September 2018 to January 2019
	8. Set up Weymouth Town Council	Set up of a new Town Council	<ul style="list-style-type: none"> • Confirming the extent of responsibility of Dorset Council in setting up Weymouth Town Council 	May 2018 to March 2019
	9. Civic functions	Set up civic functions and arrangements	<ul style="list-style-type: none"> • Identify what changes need to be made to support functions for ceremonial duties of <ul style="list-style-type: none"> ○ Lord Lieutenants ○ High Sheriff 	September 2018 to February 2019

	Project	Scope	Key tasks	Timescale
			<ul style="list-style-type: none"> Confirm if any changes need to be made to coats of arms 	
	10. Provide legal advice to other workstreams and services		<ul style="list-style-type: none"> Ongoing support provided as and when required 	May 2018 to May 2019
HR / Workforce	11. People Plan	To provide emotional support to the workforce of each existing council	<ul style="list-style-type: none"> Develop a Dorset Council innovation hub for organisation design 	Monthly
			<ul style="list-style-type: none"> Create a programme of communications for staff 	On-going
			<ul style="list-style-type: none"> Develop a method for assessing wellbeing within the workforce 	May 2018 Oct 2018 Feb 2019
			<ul style="list-style-type: none"> Provide training and information for staff to access information on resilience, mental health and well-being including a mentoring programme 	TBC
	12. Existing workforce and TUPE process	To TUPE existing workforce to the new Council.	<ul style="list-style-type: none"> Develop and implement the TUPE process 	1 April 2018 – 1 April 2019
			<ul style="list-style-type: none"> Consult with workforce 	Formal consultation commences Nov 2018
			<ul style="list-style-type: none"> Engage with Employee Trade Unions 	Formal consultation commences Sept 2018
			<ul style="list-style-type: none"> Engage with schools 	Formal consultation commences Nov 2018

	Project	Scope	Key tasks	Timescale
	13. Appointment to interim statutory roles	To appoint an interim CEX, Monitoring Officer and S151 Officer to the Shadow Council	• Agree recruitment process and specification	End May 2018
			• Invite applications and hold interviews	End May/Early June
			• Make appointments	7 June 2018
	14. Appointment to new Chief Executive role	To appoint a Chief Executive, to Dorset Council	• Recruitment process agreed	End March 2018
			• Consultants appointed and specs for key selection criteria developed	By 20 May 2018
			• Invite applications and hold interviews	Jun – Sep 2018
			• Make appointment	W/C 16 Sep 2018
	15. New workforce employed from day 1	To appoint new staff to Dorset Council on day 1.	• Agree new recruitment process	TBC
			• Agree documentation for new staff	TBC
			• Agree pay process	TBC
			• Agree learning and development outcomes	TBC
	16. Operational structure from day 1	To confirm Dorset Council operational structure from day 1.	• Confirm senior staffing structures and processes from day 1	TBC
• Confirm operational structure from day 1			TBC	
• Collate future options to feed into phase 3 innovation hub for transformation post day 1.			TBC	
Finance	17. Financial Management & Budgetary Control	To ensure that there is proper overall financial management & budgetary control in place for the new Authority by April 2019	<ul style="list-style-type: none"> • Chart of accounts • Organisation Structure (Finance Hierarchy) • Adult Social Care • Childrens Social Care • Budget Monitoring & Forecasting 	August 2018

	Project	Scope	Key tasks	Timescale
	18. Finance System	To make the transition from the existing six Councils to a single finance system for reporting on 1 st April 2019	<ul style="list-style-type: none"> • Training • Finance system development 	March 19
	19. Feeder Systems	To establish back office systems which fit with the new council's financial strategy and policies including contract management	<ul style="list-style-type: none"> • Income / debtors / cash receipting • Procure to pay / creditors / contracts • Feeder systems and integration 	End September 2018 September 2018 June 2018
	20. Revenues & Benefits	To clarify arrangements for Revenues & Benefits service from 1/4/19 and longer term. To align with other policies eg. Local Council Tax Support.	Revenues & Benefits	End March 2019
	21. Financial Statements	To ensure that existing accounting policies, arrangements and data are properly documented in line with international accounting standards and understood by all staff ready for 1/4/19	<ul style="list-style-type: none"> • Accounting policies harmonisation • Asset accounting • IFRS16 (leases) • IFRS9 (financial instruments) • IFRS15 • Group accounts 	January 2019 September 2018 September 2018

	Project	Scope	Key tasks	Timescale
	22. Collection Fund	To establish a unitary taxbase, surplus/deficit, likely year end position and a safety net and baseline levels on Business rates and Council tax.	<ul style="list-style-type: none"> • Council tax / collection fund • Business rates / collection fund 	August 2018
	23. Budget Setting	To ensure all budget information for the 2018/19 financial year is clearly laid out in a single place for the Dorset Council	<ul style="list-style-type: none"> • Fees and charging • Budget setting - Draft budget agreed • Consultation. • Approval by Shadow Authority Scrutiny • Finalise by • Medium Term Financial Planning <ul style="list-style-type: none"> ○ Programme Board approval 	26/9/2018. Oct/ Nov 18 Jan '19 March '19 July 2018
	24. Closedown 2018/19	To ensure the timely and accurate closedown, reporting and audit of the 2018/19 accounts for all current councils	Closedown 2018/19	By 31 st March 2019
	25. Treasury Management	To ensure all treasury arrangements and bank accounts across all the councils are documented and transferred in the name of Dorset Council	Budget / bank account management and transition Treasury Management	New bank account operational 1 st April 2019
	26. Governance	To ensure that all the new Dorset Council's financial arrangements are legally compliant	VAT Insurance Financial Governance / Constitution	August 2018 February 2019 August 2019

	Project	Scope	Key tasks	Timescale
			GDPR (Covered in Information Governance Workstream)	31st December 2019
	27. Disaggregation	Disaggregation and agreeing of the balance sheet with BCP Council	Disaggregation Schedule	
	28. Council Tax Harmonisation		Council Tax Harmonisation	June 18
Service Continuity	29. Service Mapping and Review	To identify and implement any operational arrangement changes required for each function delivered by current authorities to maintain continuity of service from 1 April 2019 under the new Council.	• Produce high level project plan	April
			• Produce RAID log	April
			• Service mapping	April
			• Portfolio structure for workshops	May
			• Service continuity workshops	June
			• Analysis of required changes	June
			• Full analysis of required changes and recommendations to service continuity group for review	June
			• Final recommended decisions to shadow executive/ programme board	June
			• Implementation workshops	July
			• Full implementation plan for all service functions	August
			• Assessment of full implementation plan and workstream dependencies/ requirements	August
			• Meet with lead officers to delegate tasks	August
• Map out required LGR programme team resource for implementation	August			
• Support infrastructure in place for implementation	August 19 – March 19			

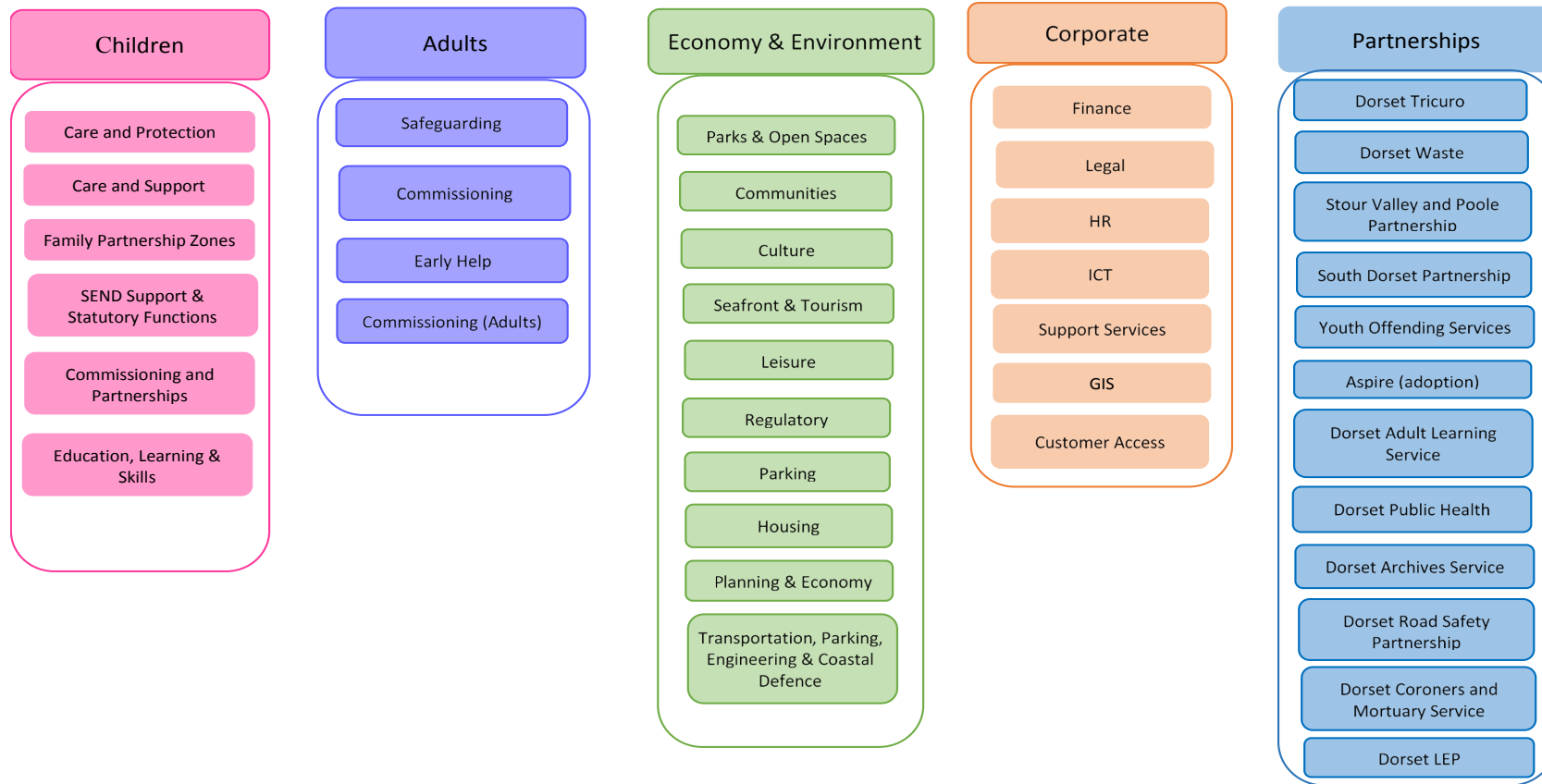
	Project	Scope	Key tasks	Timescale
	30. Web content review	Ensuring required web content changes are in place for day 1	<ul style="list-style-type: none"> Scope requirements for customer focus web content for day 1 	End of June
	31. Partnerships	To ensure partnerships continue to deliver their service on day 1.	<ul style="list-style-type: none"> To ensure appropriate governance arrangements are in place under the new Council 	TBC
ICT	32. Disaggregation	Identify and transfer ICT systems, data and equipment to BCP, Weymouth Town Council and Dorset Council	<ul style="list-style-type: none"> Identify ICT systems, data and equipment to be transferred from Dorset County Council to BCP. Identify ICT systems, data and equipment to be transferred to Weymouth Town Council. Identify ICT systems, data and equipment to be transferred from East Dorset and Christchurch to Dorset Council. Create implementation plans. Transfer ICT services 	<p>June to August 2018</p> <p>September 2018</p> <p>March 2019</p>
	33. Infrastructure	Understand the infrastructure landscapes across the partners and resolve any IP address conflicts to enable connectivity between sites. Support	<ul style="list-style-type: none"> Create one Microsoft Agreement for Dorset Council Create 'As is' infrastructure maps across the partners Create one domain to provide one address for all staff Resolve all network conflicts and create VPNS Develop options and recommendations for intranets and websites 	<p>May to July 2018</p> <p>July to March 2019</p> <p>September to October 2018</p> <p>September 2018</p>
	34. Applications	Identify all applications and contractual arrangements across the partners, resolve any issues to ensure	<ul style="list-style-type: none"> Create list of applications and contractual arrangements across the partners 	By August 2018

	Project	Scope	Key tasks	Timescale
		all staff have access to their relevant applications on day 1	<ul style="list-style-type: none"> • Resolve any issues and ensure support is in place for day 1 	September to March 2019
	35. Service Delivery	Ensure the Dorset Council ICT support and disaster recovery models are fit for purpose on day 1 of Dorset Council	<ul style="list-style-type: none"> • Identify partners current support models • Resolve any support issues identified • Create Dorset Council ICT support operating model for day 1 	By August 2018 September to March 2019

Service Critical Changes

Service continuity workshops are underway, to explore all the changes necessary with groups of subject matter experts for each of the service groupings illustrated below. These groupings do not represent corporate structure or form; they are common to both Unitary programmes in order to minimise confusion and complication across the services that are served in both council areas by Dorset County Council and Christchurch & East Dorset Councils. The workshop's aim is to drive out detail of services and functions:

- To identify whether there are any changes required
- To identify risks, issues and key decisions
- To enable services to continue from day 1



Task & Finish Groups

A number of Task and Finish Groups have been put into place, their purpose is essentially twofold - to ensure that Members have a clear place to lead the work required in areas of specific detail and to provide a means of engagement, both for elected members and wider partners, alongside the communications and engagement strategy.

Four of the groups – electoral arrangements, disaggregation, the Structural Change Order and council tax harmonisation – have focused on tangible outputs that have been required by Government to support the Parliamentary process. The council tax harmonisation group has now closed following successful completion of their task.

A further four groups – area based decision-making, community partner engagement, Future Service Integration (shared services) and wider member engagement – reflect values and aspirations and have broad, overlapping remits which are cross-cutting elements of the emerging programme plan.

Three Task and Finish Groups have been paused by Joint Committee to allow time for the Phase 3 work on the interim Operating Model and Design Principles to progress, allowing time to consider how these groups ensure their work best fits the model and broad principles of the new Council. These three are:

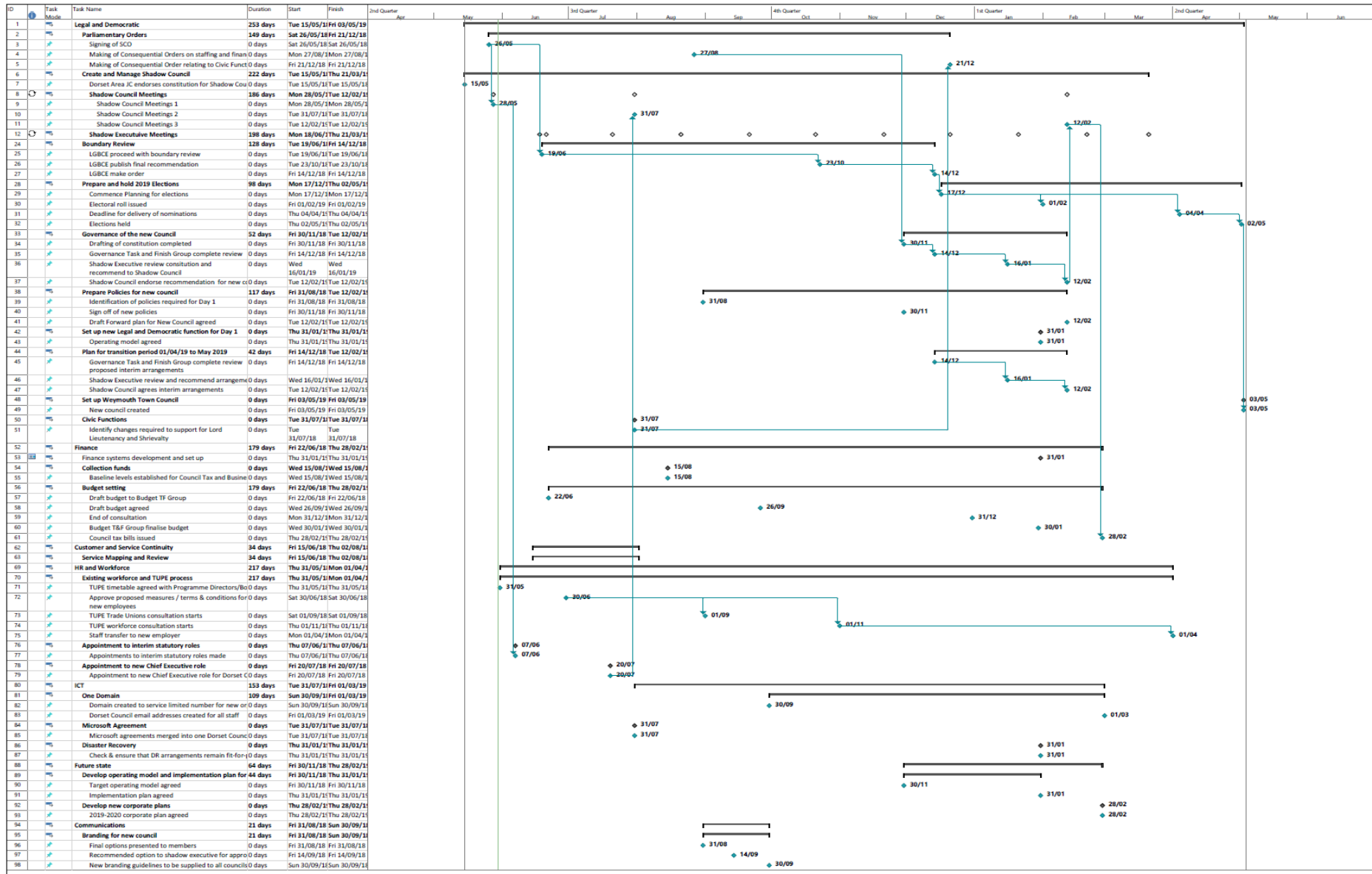
- Future State (Service Integration)
- Community Partner Engagement
- Area Based Decision-making



Key Programme Milestones

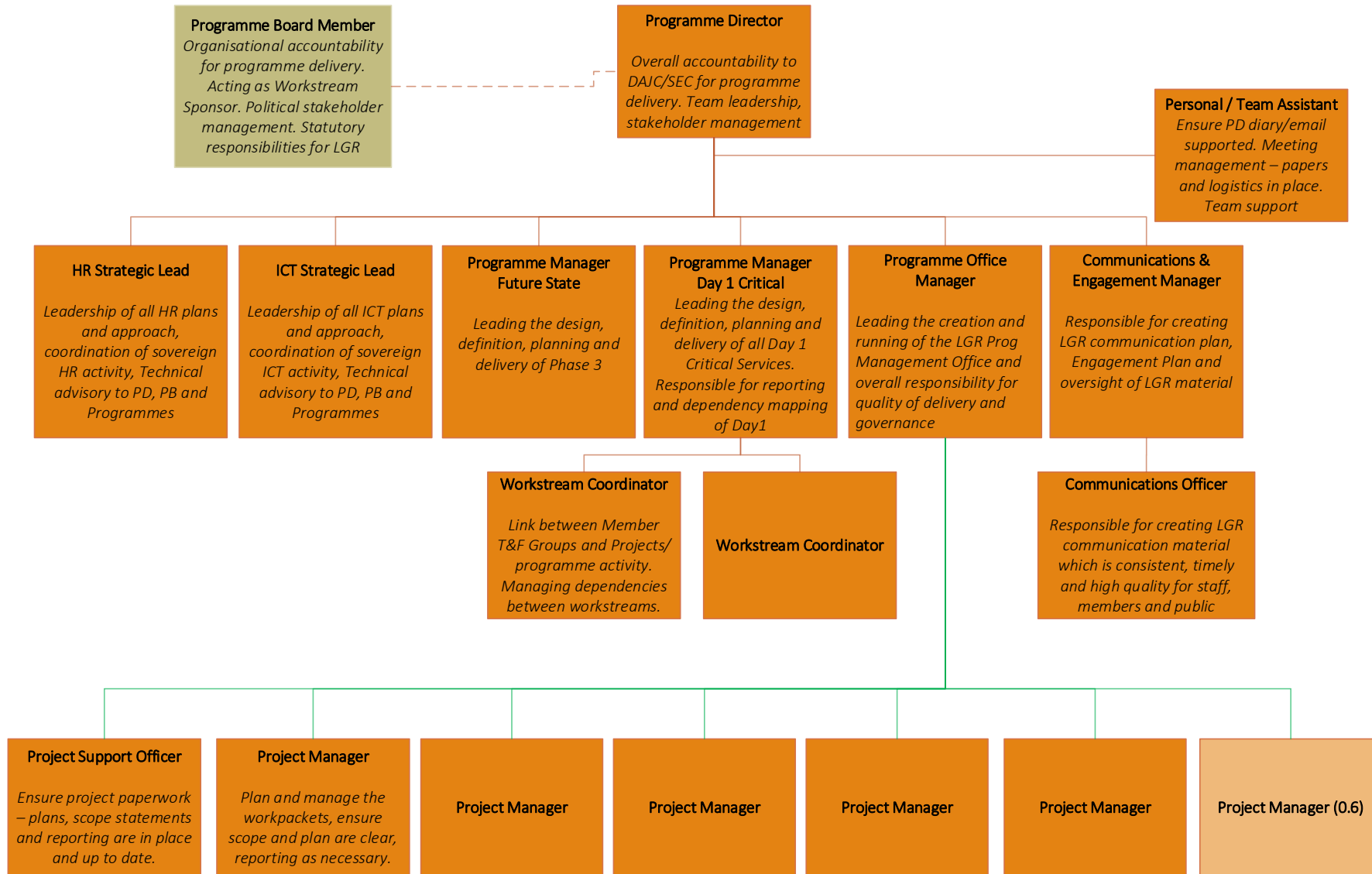
Expected Secretary of State Decision	26 February 18	✓
'Negative order' to cancel the Weymouth election	6 March 18	✓
Parliamentary Approval of Structural Change Order	25 May 18	✓
Shadow Authority Active	26 May 18	✓
Shadow Dorset Council Meeting, including the appointment of interim statutory officers	7 June 18	✓
Boundary Commission engaged	14 June 18	
Parliamentary Approval of Consequential Change Orders	27 July '18	
Draft Budget / Aggregation plan agreed	31 August 18	
Boundary Review Complete	23 October 18	
Boundary Order Approved	21 December 18	
New Council Budget finalised	January 19	
Budget Approved by Shadow Authority	20 February 19	
Council Tax bills issued	15 March 19	
Vesting Date	1 April 19	

Critical path



Resources and core structure

The current 'core' programme team structure, the roles and the respective responsibilities are illustrated as follows:



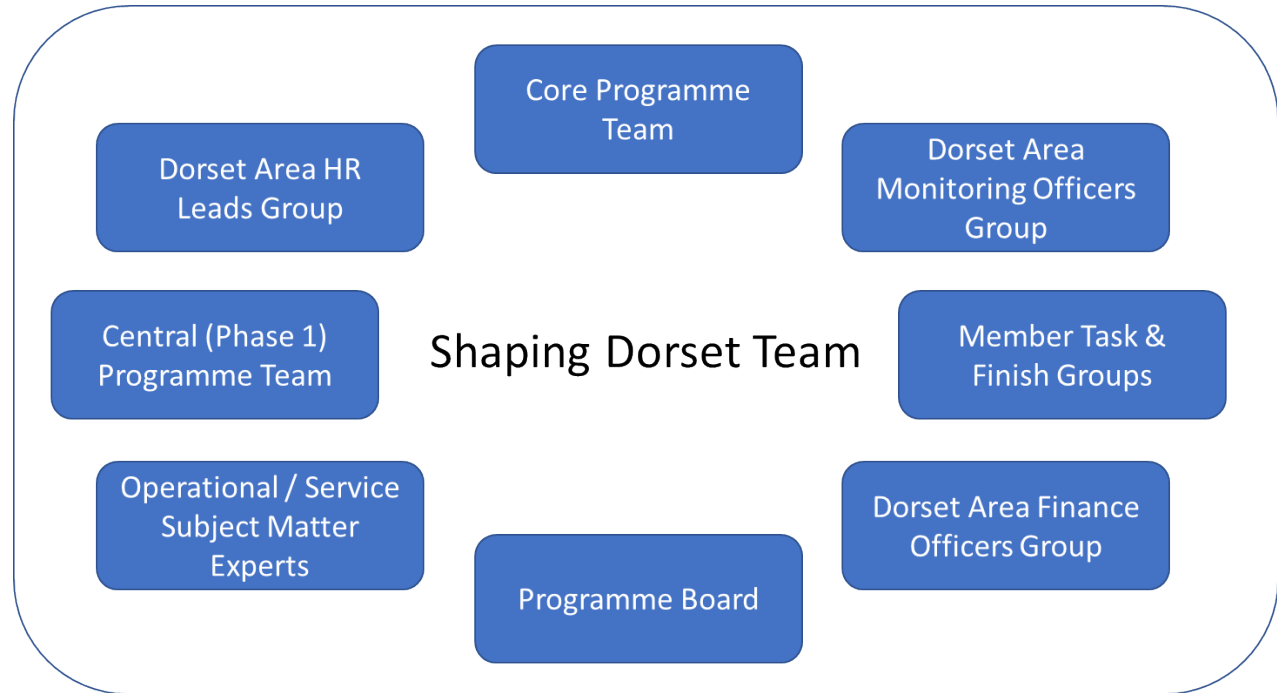
The full delivery team for this programme is far wider than just the core programme team; the enormity and complexity of the programme delivery task is such that many people will be drawn from across the organisations and from external support in order to ensure the delivery of a smooth transition of safe and legal services from day 1. As the programme develops further, changes to the level of resources will be considered.

The team is more properly represented as illustrated.

These groups are constituted from the various leads and key individuals from across the six preceding authorities and in some cases from the Bournemouth, Christchurch and Poole unitary area, thus meeting the requirement under Article 38 of the Change Order.

Meetings to progress activity and resolve issues happen on a routine and regular basis for each of these groupings, in their respective areas of expertise and routine responsibilities.

There is no expectation of these groups all meeting together at any point, the role of the core team is to ensure that outputs and activity of these expert groups is brought together.



Programme Board arrangements

The existing board arrangements are for a weekly meeting of the four Chief Executives, with the Programme Director to discuss progress, resolve issues, make operational decisions, manage risks and ensure full connection of their respective organisations to the programme of work. Once the Interim S151 and Monitoring Officers are appointed, they will also join the Board, with the Interim Head of Paid Service taking up the chair of the Programme Board. When appropriate, the Programme Board will be further extended to include the Service Directors and equivalent roles in each of the preceding councils, so that full accountability is built into board for the continuing services, functions and arrangements.

Shadow Dorset Council is asked to approve these programme and resource arrangements as appropriate.

Budget

The work undertaken by Local Partnerships envisaged the costs of creating two unitary councils would amount to approximately £25m. The majority of this cost (£22.5m) was expected to be incurred shortly after the new unitary councils are created. The balance of £2.5m represented Local Partnerships' assessment of the programme management costs to be incurred before April 2019. The Dorset Area proportion of this estimated is calculated to be £1.213m.

As the programme has developed, it has become clear that the delayed decisions from Secretary of State has compressed timescale which has implication on the deliverability. Also, the decision by Dorset Area Joint Committee to create a new council, rather than use the Continuing Authority model has, to an extent, also increased the amount of work in the programme needed to understand a greater number of services, processes, policies and contracts than was previously expected.

Therefore, with the vesting date being fixed and the absolute necessity for continuity of service required, the resources required to deliver some of the programme management costs will be greater than estimated previously.

The breakdown of costs currently incurred and estimated as required to reach 31 March 2019 is set out as follows:

Costs Jan 2018 – Mar 2019	£'000	
Staffing	1,863.3	
Contingency	278.7	
Bought in Consultancy / Services	237.0	
Technical Support	200.0	
Legal Support	50.0	
Set Up Costs	4.0	
		2,633.0
Provision for Operational Costs	400.0 *	
Potential duplicate costs	167.0 *	
		567.0
		<u>3,200.0</u>

In the schedule above, the costs marked * are not normally considered to be programme management costs and so these have been presented separately.

Communications plan summary and approach

The communications plan focuses on the creation of the Shadow Dorset Council. The current focus is on delivering clear, consistent and timely communications to all stakeholders, to raise awareness of the Dorset Shadow Council and ensure they understand it's role and remit.

The Communications plan is a 'live' document which is subject to regular revision throughout the programme and recognises the work that has already taken place and is still ongoing. This work is being developed through the Wider Member task and finish group, LGR Communications Group.

Branding

A microbrand has been established for the Dorset Shadow Council. This is not to be confused with the branding for the new authority which has yet to be developed.

Tactics

Tactics to support the Shadow Dorset Council are in progress. Activity is listed below:

Stakeholder	Activity
Elected Members	<p>Each council to use the following existing established mechanisms and channels to ensure members are fully briefed and able to access information. This will include:</p> <ul style="list-style-type: none">- Briefings as determined by leaders- Member newsletters- LGR members briefing (fortnightly)- Mod Gov extranet – library facility to hold briefings, newsletters & presentations.- Task and Finish groups <p>In addition new channels and opportunities for engagement will be created. This has been informed by the Wider Member Task and Finish Group:</p> <ul style="list-style-type: none">- Facilitated workshops – designing the new authority- Shared sharepoint site where members can access latest news and information.

	<ul style="list-style-type: none"> - LGR programme drop in sessions
Wider public	<p><u>DIGITAL</u> Social media accounts (twitter, facebook) to be kept current and well populated. This includes the 6 council's accounts, DACJ accounts & Dorset For You. Individual councils to post and engage with well known social media groups.</p> <p>A Shadow Dorset Council will replace the DAJC wordpress site. Ensure information is current. Maximise email & news channels to inform residents as decisions are taken to ensure maximum awareness of topics (e.g. council tax harmonisation, disaggregation, budgets)</p> <p><u>PRINT</u> Council magazine / enewsletter features (where applicable)</p> <p><u>MEDIA</u> The media across Dorset have an important role to play in reporting on the views of the public, workforce and stakeholders and supporting their discussions about local government reorganisation. They are recognised as a key partner. It is important that a way of working is established with the media which recognises their priorities, ways of working and supports the need to communicate accurate and up to date information. Meetings will be held with editors/reporters to explore how we can effectively work together.</p> <p>Priority will be given to using council channels to hold the latest information and news, to help prepare residents for the new council.</p>
Workforce	<p>Each council will use existing established mechanisms and channels to ensure the workforce is fully briefed and able to access information which include:</p> <ul style="list-style-type: none"> - New shared sharepoint site 'Shaping Dorset Council' which will include an area on the Shadow Dorset Council - Intranet - e-newsletters - emails - Blogs/ Vlogs · FAQs to be encouraged and updated regularly with the aim to have a consistent set of questions and answers across the programme - Programme Director blog - Regular briefings to be arranged

Town & Parish Councils	<ul style="list-style-type: none"> - Information to be supplied to DAPTC website and newsletter. - Provide updates at relevant points to ensure business and voluntary sectors remain informed and engaged throughout the process.
Dorset Area MPs	<ul style="list-style-type: none"> - Provide updates at relevant points to ensure MPs remain informed and engaged throughout the process
Business & voluntary sectors	<ul style="list-style-type: none"> - Provide updates at relevant points to ensure business and voluntary sectors remain informed and engaged throughout the process.

Resources & Budget

The LGR communications team for the Dorset Area consists of a Communications and Engagement Manager and two Communications Officers which are full time posts in the LGR Programme Team. They work closely with the Wider Member engagement task and finish group and the Dorset Area Communications group which is made up of communication leads from each Dorset Area council (see table below).

Campaign budgets and resources are being managed and controlled in line with Dorset County Council procurement rules. Expenditure and costs will be monitored against delivered benefits on an ongoing basis and will ensure money is spent wisely and secures best value.

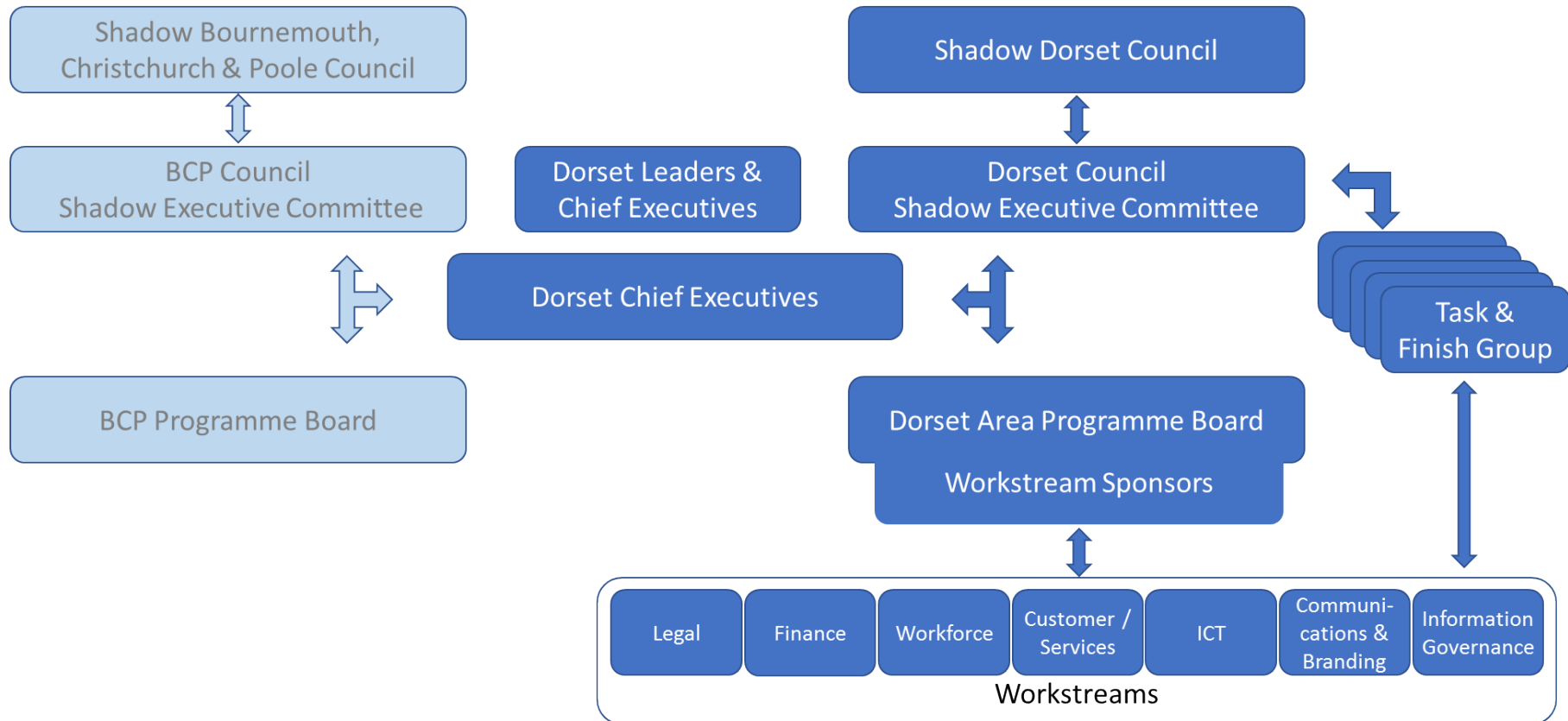
Dorset Area Communications Group

Lead	Communications Lead	Contact
LGR Programme Director, Keith Cheesman	Fiona Napier LGR Communications & Engagement Manager	T: 01305 224877 E: Fiona.napier@dorsetcc.gov.uk
Shadow Dorset Council Leader (tbc)	Fiona Napier LGR Communications & Engagement Manager	T: 01305 224877 E: Fiona.napier@dorsetcc.gov.uk
LGR Communications Leads		
Leaders / Chief Executives	Communications Lead	Contact

Dorset County Council Cllr Rebecca Knox, Leader Debbie Ward, Chief Executive	Sarah Johnstone Communications Manager Dorset County Council	E: s.l.johnstone@dorsetcc.gov.uk T: 01305 224734
East Dorset District Council Cllr Spencer Flower, Leader David McIntosh, Chief Executive	Ceri Lewis, Communications and PR Manager Christchurch and East Dorset Councils	E: CLewis@christchurchandeastdorset.gov.uk T: 01202 795455
North Dorset District Council Cllr Graham Carr Jones, Leader Matt Prosser, Chief Executive	Will Bradbury Communications Officer Dorset Councils Partnership	E: wbradbury@dorset.gov.uk T: 01305 838079
Purbeck District Council Cllr Gary Suttle, Leader Steve Mackenzie, Chief Executive	Claire Lodge Communications Officer Purbeck District Council	E: clairelodge@purbeck-dc.gov.uk T: 01929 557201
West Dorset District Council Cllr Tony Alford, Leader Matt Prosser, Chief Executive	Will Bradbury Communications Officer Dorset Councils Partnership	E: wbradbury@dorset.gov.uk T: 01305 838079
Weymouth & Portland Borough Council Cllr Jeff Cant, Leader Matt Prosser, Chief Executive	Will Bradbury Communications Officer Dorset Councils Partnership	E: wbradbury@dorset.gov.uk T: 01305 838079

Governance map

Governance of the programme will change from previous arrangements involving the Dorset Area Joint Committee as the Shadow Council comes into place and a Shadow Executive Committee is convened.



Programme Board Arrangements

With the appointment of the interim statutory officers, the existing Programme Board arrangements will change with immediate effect. To date, Board has comprised the four chief executives and the programme director, supported by the programme team. The Board will now be extended to include the interim finance and monitoring officers and the chair of the Board will pass to the interim Chief Executive.

Over the coming weeks, the Board format will increase further to include the senior management tier – strategic or corporate director level – to bring greater ownership of the changes and programme progress to this group, in readiness for the eventual transition to the new council. This will increase accountability, provide insight and stability to the service operation and increase knowledge of the preceding councils' arrangements to a wider forum, in order to minimise the risk of break in service continuity.

Risk Management

A risk workshop was held with the Joint Committee to give some thought to the Committee's appetite for risk taking. An awareness of risk appetite is an essential part of the decision-making process, in ensuring that appropriate risks are escalated, understood and ultimately managed to an acceptable level. A number of questions were posed to Committee members across a range of risk criteria to identify those areas where there was a higher appetite for risk. The output of this session can be viewed in the diagram:

This work highlights a very strong appetite for opportunity risk, and significantly less for compliance type risks (for instance, health and safety and legal). There is also relatively high appetite for reputational risk. From a financial perspective, based on the responses to the questions posed, any risk exposure above £500,000 would be deemed above the usual appetite for risk taking.

The workshop also took some time to consider the key strategic risks to successful delivery of the programme and this is covered below.



Risk Management Methodology

- The Committee approved in principle the risk management methodology at its meeting on 15th November 2017. In prioritising the key focus on risks, it is commonplace to consider both the impact of a risk occurring together with its likelihood. By scoring both factors and multiplying them together, a risk score can be applied. Priority focus should be given to risks that have a significant impact and are considered likely to occur based on current mitigation operated.
- The output from the risk appetite session helps us to refine the methodology to provide some clear escalation criteria for those risks that fall above our appetite for risk taking. In particular, the work informs how we gauge the level of impact. This is set out in the matrix included at Appendix A of this report, and provides a mechanism for scoring not only the threats to programme delivery, but also any opportunities presented.
- Appendix A also defines how likelihood of risk will be assessed, and how the multiplication of impact and likelihood provides a risk score for High (Red), Medium (Amber) or Low (Green) level risks.

Programme Risks

The second part of the February workshop focussed on an identification of the most significant risks that could potentially impact on the successful delivery of the programme. The chart below sets out the key risk themes discussed.

<p><u>Future State</u></p> <ul style="list-style-type: none"> • Inability to establish most effective management team; • Failure to agree corporate vision; • Failure to recognise the opportunities to streamline and modernise services to deliver a new Council vision for a new Authority; • Insufficient capacity/resources to deliver the programme within timescales (project slippage) <p><u>Finance / Disaggregation</u></p> <ul style="list-style-type: none"> • Delays in disaggregation work; 	<p><u>Workforce</u></p> <ul style="list-style-type: none"> • Failure to ensure due diligence during restructuring / staff transfer process; • Failure to agree a set of HR policies that dovetail; • Retention of key staff may be difficult during period of uncertainty and transition • Conflict of capacity between Shadow structure reps and their employing LA <p><u>Legal / Governance</u></p> <ul style="list-style-type: none"> • Failure to establish early decision-making processes;
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<ul style="list-style-type: none"> • Disaggregation of management / staffing / budgets structures across Shared Service arrangements; • Council Tax harmonisation strategy is not agreed (locally or nationally); • Interdependencies with other government bodies causes delays (HMRC PAYE Number etc); • Insufficient transformation to achieve the financial benefits set out in the business case; • Poor budget forecasting and control 	<ul style="list-style-type: none"> • Failure to understand full statutory responsibilities of merging authorities creates an exposure to legal challenge <p><u>Technology</u></p> <ul style="list-style-type: none"> • Failure to integrate systems and data sharing arrangements <p><u>Customer / Service Delivery</u></p> <ul style="list-style-type: none"> • Inadequate communication with the public / partners during transition; • Drop in service levels during transition
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The Programme Team are analysing these risks in more detail and are populating a risk register to include the mitigation being taken to reduce the level of risk to an acceptable level. From an escalation perspective, it is important that the Joint Area Committee remain sighted on those risks that are deemed above risk appetite, and using the scoring matrix in Appendix A this is defined as any risks scored as High/Red, or where the potential impact is scored as either a 4 or 5 (in recognition that whilst likelihood may be low, the potential impact is above the Committee's usual appetite for risk taking).

Future reporting of risk to Joint Committee will include those risks which fit the agreed profile described, with an indication of the mitigation being undertaken or in place. There will also be an indication of the confidence level in that mitigation successfully reducing risk to an acceptable level.

Wherever possible, risks will be mitigated or managed to levels scoring in the green or amber scales set out below. Exceptions to this will be reported, along with areas trending towards the reportable scale.

Risk Landscape for Dorset Council

In addition to the work carried out to date in relation to implementation risks, some preliminary work has been undertaken across the partner authorities to get a view of the current risk landscape for the new Dorset Council, based on the content and scoring within outgoing authority corporate risk registers.

This helps to provide an early indication of key risk exposures, which will develop further as Dorset Council's vision is defined. The Programme Team will map key risks associated with reorganisation to this output, and will report the findings in a future risk management update.

IMPACT - THREATS							IMPACTS - OPPORTUNITIES		
Score	Financial	Legal / Compliance	Strategic	Safety, Wellbeing & Safeguarding	Reputation	Service Delivery	Score	Financial	Service Improvement
5	Over £1 million	Non-compliance with legislation or regulatory breach	Complete failure of a strategic priority	Fatality or life-changing injury / illness; Significant safeguarding breach	Complete failure in confidence (local or national)	Complete failure to deliver critical services (safeguarding; urgent statutory responsibilities etc)	5	Over £1 million	Significant opportunity
4	£500k to £1 million	Significant regulatory impact	Major impact on a strategic priority	Major injury / illness; moderate safeguarding breach	Long term media attention (local or national)	Major impact on delivering critical services (safeguarding; urgent statutory responsibilities etc)	4	£500k to £1 million	
3	£300k to £500k	Moderate regulatory impact	Moderate impact on a strategic priority	Moderate injury / illness	Medium term negative impact on public memory	Serious disruption to less critical services	3	£300k to £500k	Moderate opportunity
2	£100k to £300k	Minimal regulatory impact	Minor impact on a strategic priority	Injury or illness requiring minimal intervention / treatment	Short term negative impact on public memory	Minor disruption to services	2	£100k to £300k	Minor opportunity
1	£100k or less	No legal or regulatory impacts	Negligible impact on a strategic priority	No health and safety impact	Minor complaints or rumours	Negligible disruption to service delivery	1	£100k or less	Negligible opportunity

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LIKELIHOOD	
5	Almost Certain Over 80% chance
4	Likely 61 – 80% chance
3	Possible 41 – 60% chance
2	Unlikely 21 – 40% chance
1	Rare 0 – 20% chance

		LIKELIHOOD				
		(1) Rare	(2) Unlikely	(3) Possible	(4) Likely	(5) Almost Certain
IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5

Keith Cheesman, Programme Director, June 2018

Programme Headline	<p>The first Shadow Council meeting was held, with huge thanks particularly to the Democratic Services Managers who brought forward all the preparation by two weeks and enabled a very smooth and professional run meeting. This followed the early completion of the passage through Parliament of the Structural Change Order. We continue to monitor the legal action now launched by Christchurch Borough Council which may still impact the overall timeline.</p> <p>Scoping and discovery work has completed its first phase and the content used to support the planning detail for each workstream.</p> <p>Interim Statutory Officers have been appointed and the High Level Implementation Plan agreed at Shadow Council; more work will be required to add much more detail over the next month or so.</p> <p>The overall status is described as Amber - not all work is on track, but the programme will recover the lost time without risk to the overall timeline.</p> <p>Disaggregation work is nearing completion, albeit still a little behind schedule.</p>	A
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Key Achievements This Period	<p>Discovery and service continuity workshops phase completed.</p> <p>Interim Statutory Officer selection process completed.</p> <p>Permanent Chief Executive Process underway - adverts and editorial content being prepared, following Shadow Dorset Council approval to proceed.</p> <p>First full Shadow Dorset Council Meeting held</p> <p>Shaping Dorset Council working brand established for the LGR Team</p>	Key Objectives Next Period	<p>A plan of works for each workstream to be clearly defined and resourced in a joined up approach from across the Councils.</p> <p>Disaggregation process outcomes approved by Joint Task & Finish Group</p> <p>Shadow Committees established</p>
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Workstream	Status	Status Summary	Activity Updates	Key Activity Complete	Overdue Activity	Next Steps	
Phase 1: Disaggregation Sponsor: Debbie Ward	A	The Disaggregation service reviews are complete with final meetings to agree the last 5 templates. Work ongoing on Balance Sheet and assets/liabilities which has delayed its completion. The final Joint Task and Finish group is scheduled for 25th June	Service Disaggregation	G	Templates Complete; final reviews underway		Sign off completion
			Balance Sheet and Funding Disaggregation	A	Positions being discussed and areas not yet agreed.		Balance Sheet sign off
			Reserves and Balances	A			Agree final details
			Assets	A			Agree final details
			Insurance	A			Agree final details
			Capital schemes	A			Agree final details
			Adult service historical debt	A			Agree final details
			Borrowing/investments/capital finance	A			Agree final details
			Aggregations of Budgets	G	Complete		
			Christchurch and East Dorset Dissolution of Partnership	G	Complete		
WS1. Legal Sponsor: Debbie Ward	G	The programme remains on track with the first meeting of the Shadow Council completed and the election of Chairman, Vice Chairman and interim Statutory Officers. Meetings scheduled for Shadow Executive with first meeting on the 18th June.	Create Shadow Authority	G	The Shadow authority is now in place with officers elected. The first meeting has taken place with the MHCLG to discuss the staffing and financial consequential orders and we await submission of their first draft and a confirmed timeline for local consultation leading to laying before Parliament. The LGBCs have completed briefings to the parish councils (11th June) on the process they will follow and inviting councillors to make comments once the proposal has been published on the 3rd July. Additional resource has been identified for the Shaping Dorset Council team to focus upon Policies, Contracts and Partnerships. Further work has been completed on the Governance Task and Finish Group Forward Plan.		A meeting will be held this week with the MOs and Democratic Services Manager to review the draft project plan, and to assign ownership. A briefing meeting will be held with Cllr Alford in advance of the next scheduled meeting of the Governance Task and Finish Group meeting planned for 21st June.
			Elections	G			
			Establishment of legal governance of the new Council	N			
			Policies	A			
			Service safety	G			
WS2. Finance Sponsor: Jason Vaughan	G	Jason Vaughan has taken over as Sponsor of this Workstream in line with his new position as Interim S151 Officer for the Shadow Council. Six startup meetings have been held to progress individual work packages and projects including Fees/Charging, Procure to pay, Chart of Accounts. Initial discussion has been held with IT colleagues to ensure dependencies with that Workstream are picked up in a timely manner. Finance officers in all departments across all 6 Councils are working together on one Sharepoint site to finalise the method statements for all finance projects and to inform the Finance	Bank Account	G	Initial discussions are being held with the different banks used by all the organisations to understand the requirements here and to refine the programme.		Decision by HMRC on what PAYE Reference numbers can be used – We are employing PSTax to assist and the pre-start meeting is held 12/6/18. This work will impact on the work required to migrate data. Mapping of dependencies to other Workstreams has started using information gathered from the workshops. Workshops on Banking/Treasury and Revs & Bens are booked in the next 2 weeks, and initial SAP demos have been arranged for both S151 officers and relevant staff. A meeting is planned on 19th June with Portfolio Holders on Partnership funding
			Integrated Finance System	G	Programme Board made a Decision to continue to use existing system but use SAP as the primary system for General Ledger information.		
			Budget Setting	G	Budget Task & Finish Group tasked Finance Officers with producing draft suggestions for balancing the 2019/20 budget from each sovereign council to bring back to them for discussion at their next meeting on 29/6/18.		
			Training	G	Training will be rolled out once changes have been made to the financial applications to be used - programmed for near the end of the financial year		
WS3. HR and Workforce Sponsor: David McIntosh	A	A HR Lead has been appointed for the workstream to manage the HR elements of the programme and to understand the key HR interdependencies with the other workstreams. TUPE plan has been developed with BCP alongside a monitoring process which includes consultation with trade unions. An agency has been appointed to manage the Chief Executive appointment process which has commenced following approval at the First Shadow Council meeting. Interim Statutory Officer roles now appointed to. TUPE methodology for assigning roles to TUPE lists agreed and signed-off. Designated Project Manager assigned to HR workstream	Existing workforce and TUPE process	A	TUPE milestones have been agreed. Dependencies have been mapped. T&Cs and policies have been collated across all authorities and analysis is underway for day 1 impact. Process for assigning roles to TUPE lists agreed. TUPE comms plan agreed and initial comms disseminated to workforce 11th June Terms and Conditions workshop held and draft measures for T&Cs have been identified.		Dorset area policies workshop being held on 27/06/18 to finalise policy analysis. Managers' TUPE briefings to be held w/c 18th and 25th June. School briefings for Head teachers and their SMTs being held w/c 25th June Workshop for HR employees being held early July.
			New workforce employed from day 1	A	T&Cs and policies collated and reviewed. Opportunities for day 1 considered.		Workshop to scope HR day 1 requirements being held 3rd July.
			Day 1 operational structures	R			Senior staffing structure to be agreed.
			Appointment to interim statutory roles	G	Appointments made and approved by shadow council 7th June		
			Appointment to new Chief Executive role	A	Process for new Council Chief Executive agreed and consultants engaged to manage recruitment. Microsite built and advert live w/c 11th June		EOI closing 6th July Final assessment scheduled mid-Sept Shadow council ratification by end Sept
			Trade Union Engagement	G	Fortnightly meeting schedule complete. New TOR drafted for phase 2, forward plan developed linked to TUPE milestones. Initial engagement undertaken on TUPE methodology Additional facilities time provided		TU relationship protocol to be discussed at next meeting 28th June EqIA for TUPE being shared Draft list of T&Cs and outline measures being shared

WS4: Customer and Services Sponsor: TBC (Programme Board)	A	<p>Service Continuity Workshops have been held, and information has been received from DCC for Adults and Children's Services. Information captured from the workshops has been drawn into a matrix structure for grouping key questions, decisions and dependencies between services to ensure continuity is maintained from day 1.</p> <p>Consolidation of key questions has been completed and responses will enable individual service areas to draft implementation plans in preparation for a Service Continuity Forum w/c 9th July.</p>	4.1 Service mapping and review	A	<p>13 x service workshops held over three week period to identify what is required to enable services to continue to function on Day 1.</p> <p>Output from all workshops collated, core questions consolidated</p>		<p>Responses to core questions to be provided to programme team by 15th June. Workshop for core workstreams to identify day 1 requirements will be held prior to the service continuity forum scheduled for w/c 9th July. Each service area to complete their respective draft implementation plan by 29th June. A full risk profile will be developed.</p>
		4.2 Customer impact assessment	A	EqIA recommendation provided for each service function.		<p>Liaising directly with EqIA team and services within implementation to ensure impacts and risks are captured, recorded and mitigated</p>	
		4.3 Equalities duties	A	As above			
		4.4 Web content review	A				
		4.5 Partnerships	A			<p>There will be an opportunity to meet with partnerships but this will follow the finance disaggregation work to understand the accountable authority. The Councils contract work will also inform the discussions required with Partnerships.</p>	
WS5. ICT Sponsor: Matt Prosser	A	<p>The Governance for the ICT Workstream has been agreed and the first ICT Strategic Board will take place on 12th June. ICT Lead officers and partner representatives have been identified for each work package. Scoping documents for each work package will be produced in time for the ICT Strategic Board meeting.</p>	ICT disaggregation	A	<p>ICT Lead officer and representatives from partners for this work package are now in place. Scoping of work package being progressed.</p>		<p>Create scoping document for the workstream. Create individual plans for each work package to feed into the overall ICT Workstream plan.</p>
		ICT implementation plan	A	In progress			
		ICT infrastructure	A	<p>ICT Lead officer and representatives from partners for this work package are now in place. Scoping of work package being progressed.</p>			
		ICT applications and data: corporate	A	<p>ICT Lead officer and representatives from partners for this work package are now in place. Scoping of work package being progressed.</p>			
		ICT infrastructure and data: business	A	<p>ICT Lead officer and representatives from partners for this work package are now in place. Scoping of work package being progressed.</p>			
		ICT service delivery	A	<p>ICT Lead officer and representatives from partners for this work package are now in place. Scoping of work package being progressed.</p>			
		Intranets	A				
Public facing website infrastructure	A						
WS6. Information Governance Sponsor Steve Mackenzie	A	<p>First meeting of the Board held Wednesday 13th June. Workshop to be organised to test the work packages identified.</p>	IG Framework	N			
		Information Security	N				
		Transparency/Openness/DP	N				
		Records Management	N				
WS7. Communications and branding Sponsor: Matt Prosser	A	<p>Two communications officers have been recruited to help develop and deliver communications and engagement activity with stakeholders through a variety of means to support the delivery of the LGR programme. LGR communication leads and their teams from across the Dorset Area councils are also continuing to support and assist.</p> <p>Work has commenced on scoping the branding requirements for the new authority. A project team and task and finish group are being set up to progress this work.</p> <p>Work has progressed on meeting the objective in the communications plan of delivering communications which people understand and support. A number of channels are in the process of being established or rescope. Meetings are taking place with key stakeholders to establish/build relationships, forward plan messaging and map out their channels and audiences.</p> <p>Essential to the next stage will be raising awareness of the programme and encourage people to actively find out more and have their say. To engage on a far reaching and complex programme, covering sensitive issues, is a significant challenge and stakeholder mapping is ongoing which will be used to refine the communications and engagement plan. An engagement calendar is being populated and key milestones mapped.</p>	Day 1 Communications	G			
		Branding a) Shadow Council b) Interim branding arrangements c) Branding for new authority	G	<p>a) Shadow Council branding complete b) LGR Programme Interim Branding Arrangements draft paper complete. c) Branding requirements for new authority currently being scoped.</p>		<p>Branding requirements for new authority report currently being prepared. Funding to be agreed.</p>	
		Digital channels for new authority (website, intranet, social media accounts)	G	Joint workstream between ICT & Communications		<p>Digital channels for new authority currently being scoped.</p>	
		Communications - service continuity	G	his work is currently being progressed through the LGR communications group which has lead communications officers from each Dorset Area council		<p>Scope to be agreed as part of customer & services workstream. Support services workshop taking place Friday 1 June</p>	
		Communications to support delivery of LGR programme	G				
		Internal communications & engagement (employees & members)	G	Being developed through wider member engagement task and finish group & LGR communications group		<p>Report to go to programme board - date tbc</p>	
		External communications & engagement strategy	G	Being developed through wider member engagement task and finish group & LGR communications group		<p>Report to go to programme board - date tbc</p>	
		Establish channels (see a-e below)	G	Ongoing			
		a) SharePoint (employees but accessible to members also)	A	Build commenced on sharepoint site. Content currently being populated.		<p>Go live W/C 18 June</p>	
		b) WordPress (wider public)	G	The website has been refocused for shadow council			
		c) modgov extranet (member briefings)	G	currently being created - there will be a library facility for LGR member briefings & newsletters		<p>Go live by mid-June</p>	
		d) social media (wider public)	G	Refocused for shadow council			
		e) newsletters fortnightly (employees & members)	R	2 editions have been issued.		<p>Next edition due</p>	
Phase 3: TBC (Keith Cheesman)	A	<p>The plan was designed to start delivery in May 2018 but only approved to proceed in June therefore is behind schedule. Reviewing schedule with supplier over next period.</p>	Development of target operating model	A	<p>Proposal in from supplier. Approval from board to proceed.</p>	<p>Contract with supplier</p>	<p>Make sure contract in place with supplier. Review initial dates proposed.</p>
		Design a transformation programme to deliver the ambitions of the interim operating model	N				
		Development of an interim corporate plan	N				
		Delivery of the People Plan activities	A	<p>Activities being loaded on to SharePoint site, SLA being developed with 'Steps 2 Wellbeing', 'Five ways to wellbeing' sessions booked and in events calendar on SharePoint (SP) site, wellbeing assessment ready to go out via site, conversations happening with Insights to get going.</p>	<p>General delay due to delayed papers at board (due to earlier than expected Shadow Council/ Shadow Executive meetings).</p>	<p>Manage activities when SP live. Identify 'inspire' presenters.</p>	

Risk & Issue Profile

Programme risks, issues, assumptions and dependancies is currently being drawn up by the Programme team. High level risks and mitigations below

Risk	Workstream	Owner	Unmanaged RAG	Mitigation	Current RAG	Further Action
Insufficient capacity/resources to deliver the programme within timescales (project slippage)	HR & workforce	Keith Cheesman		Programme team posts appointed into, include Programme Director. Project Management roles appointed and coming into place. Project Support Officer role has been appointed, awaiting a start date.		Partner authorities to ensure that any further support required by programme office is made available. PA role still to be appointed to. Scoping workshops will identify further resource requirements.
Failure to establish early decision-making processes	Legal & Democratic	Keith Cheesman		Joint Area Committee, Governance Task and Finish group established and working well.		Future consideration for Change Advisory Board
Failure to understand full statutory responsibilities of merging authorities creates an exposure to legal challenge	Legal & Democratic	MOs		Programme contains legal and governance workstream tasked with examining Corporate legal requirements. Service continuity workshops planned to identify service specific legalities		Service workshops will reduce risk exposure
Interdependencies with other government bodies causes delays (HMRC Paye Number etc)	Finance	Keith Cheesman		Appropriate advice agencies being sought		Decisions to be taken following receipt of advice
Failure to inform or consult meaningfully. Employers are liable for up to 13 weeks gross uncapped pay for EACH employee affected by the transfer	HR & workforce	Keith Cheesman		Trade Union and Employee communication and engagement established as part of the HR Workstream. TU forum in place. Fortnightly meetings booked.		
Drop in services levels during transition	Customer and Service continuity	Programme Board		Service Continuity workshops planned		Appropriate involvement of subject matter experts across all preceding councils will support the detailed work through each of the workshops and planning phases in order to minimise the risks

Support required from Shadow Executive Committee to enable delivery

None at this time

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Shadow Dorset Council

Date of Meeting	18 June 2018
Officer	Interim Section 151 Officer
Subject of Report	Protocol on Spending and Commitments
Executive Summary	<p>The report recommends a working protocol to enable a successful new unitary by ensuring that the financial activities undertaken in the existing councils do not adversely impact upon the new Dorset Council. It has been developed and recommended by the Budget Task and Finish Group.</p> <p>The protocol aims to set out the process for dealing with activities that could have an adverse financial impact upon the new Dorset Council.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>None</p> <p>Use of Evidence:</p> <p>This needs to be considered alongside the Local Partnership Business Case and the predicted 2019/20 budget.</p> <p>Budget:</p> <p>There are no direct financial implications.</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: LOW Residual Risk LOW</p> <p>Other Implications:</p> <p>None</p>
Recommendation	<ol style="list-style-type: none"> 1. That a Section 24 notice is not pursued. 2. That the Shadow Executive agree the protocol on spending and commitments.

Reason for Recommendation	The protocol aims to ensure that decisions taken before 1 April 2019 do not adversely impact on the budget of the future Dorset Council.
Appendices	None
Background Papers	None
Officer Contact	Name: Jason Vaughan Tel: 01305 838233 Email: JVaughan@dorset.gov.uk

Background

- 1.1 The business case produced by Local Partnerships identified that annual savings of £13.6m could be achieved with the implementation costs being slightly less than this. They also highlighted that capital receipts of around £25m across the two new unitary councils could be achieved from the disposal of surplus council offices. The business case made no assumptions concerning reserves.
- 1.2 With the new unitary councils coming into existence from April 2019 all of the financial resources and commitments from the predecessor councils will transfer to one of them at this date. It is important therefore that decisions and actions taken in the existing councils are made against the background of not adversely impacting upon the finances of the new unitary.
- 1.3 At the a finance officers' meeting on 8 March 2018 with the Ministry for Housing, Communities and Local Government (MHCLG) the issue of introducing a Section 24 notice to limit existing councils from entering into new expenditure commitments was raised. This generally was not in place for the previous round of reorganisations but did feature in the Cheshire East reorganisation. The introduction of a Section 24 notice could be a helpful tool in protecting the finances of the new unitary, however, it is a rather crude instrument and could capture things it was not intended to e.g. care packages; and not stop things that would have an adverse financial impact e.g. transfer of car parks to Town Councils. It was agreed by the Dorset Area Finance Officers Group that it would be better to develop a working protocol that would be more flexible to our local needs. This report represents the proposed protocol.
- 1.4 Each Council has a Section 151 Officer who has responsibility for the stewardship of the council's finances. Their duty is obviously to their employing council however they also have a wider fiduciary duty concerning public funds. An interim Section 151 Officer (Jason Vaughan) was appointed by the Shadow Dorset Council on 7 June 2018.

Spending

- 2.1 A key risk for the financial success of the new unitary is that the existing councils have structural problems with their base budgets and that these are not addressed and then adversely impact upon the new unitary. This could include such things as:-
 - Overspending in 2017/18 that is not addressed in the 2018/19 budget

- Use of reserves to fund on-going expenditure
 - “savings to be identified” within the 2018/19 budget
 - Savings in transformation programmes that have not been delivered
 - Staff establishment budgets being based upon high vacancy factors
 - Unrealistic estimates within the 2018/19 budget such as pay award, demand led budgets or income assumptions
 - Unrealistic estimates or provisions within business rates forecasts
 - Unrealistic estimates or provisions within council tax collection fund
 - Building one-off sources of funding into the base budget
- 2.2 The protocol requires the Section 151 Officer of each Council to confirm where their individual authority is in relation to these items, provide an affirmative statement on them and keep this under review. This will ensure that the interim Section 151 Officer has a clear understanding of the overall financial picture and associated risks. The summary of these will be reported to the Budget Task & Finish Group.
- 2.3 If there are any potential overspends or income shortfalls in the 2018/19 financial year the relevant Section 151 Officer must inform the interim Section 151 Officer as soon as possible and they will report them as appropriate.

Commitments

- 3.1 At present the existing councils are free to continue to run their affairs and make financial decisions without taking into account the impact upon the new unitary. The protocol requires any items that could have a financial impact upon the new unitary to be initially assessed by the interim Section 151 Officer and, if it has a significant financial impact, seek approval by the Shadow Executive. De minimis levels of £100,000 for each District and Borough and £500,000 for Dorset County Council are proposed in order to avoid the process becoming unmanageable. The spirit of this protocol is that a council should not be ‘breaking down’ items into parts in order that become lower than the de minimis levels.
- 3.2 The key areas covered by the protocol would include purchase, disposal and transfer of assets, new contracts with significant on-going financial commitments (but not routine items like care packages), new capital schemes with on-going financial commitments and use of reserves above those already approved.

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