



Northumberland County Council

Your ref:

Our ref:

Enquiries to: Lesley Bennett

Email: Lesley.Bennett@northumberland.gov.uk

Tel direct: 01670 622613

Date: 14 February 2024

Dear Sir or Madam,

Your attendance is requested at a meeting of the **STAFF AND APPOINTMENTS COMMITTEE** to be held in **COUNCIL CHAMBER, COUNTY HALL, MORPETH** on **THURSDAY, 22 FEBRUARY 2024** at **9.00 AM**.

Yours faithfully

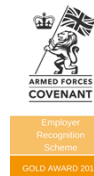
Dr Helen Paterson
Chief Executive

To Staff and Appointments Committee members as follows:-

G Sanderson (Chair), R Wearmouth (Vice-Chair), A Dale, S Dickinson, B Flux, I Hunter, M Purvis, E Simpson and J Watson



Dr Helen Paterson, Chief Executive
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AGENDA

PART I

It is expected that the matters included in this part of the agenda will be dealt with in public.

1. APOLOGIES FOR ABSENCE

2. MINUTES

(Pages 1
- 2)

Minutes of the meeting of the Committee held on Thursday, 8 February 2024, as circulated, to be confirmed as a true record and signed by the Chair.

3. DISCLOSURE OF MEMBERS' INTERESTS

Unless already entered in the Council's Register of Members' interests, members are required where a matter arises at a meeting;

- a) Which **directly relates to** Disclosable Pecuniary Interest ('DPI') as set out in Appendix B, Table 1 of the Code of Conduct, to disclose the interest, not participate in any discussion or vote and not to remain in room. Where members have a DPI or if the matter concerns an executive function and is being considered by a Cabinet Member with a DPI they must notify the Monitoring Officer and arrange for somebody else to deal with the matter.
- b) Which **directly relates to** the financial interest or well being of a Other Registrable Interest as set out in Appendix B, Table 2 of the Code of Conduct to disclose the interest and only speak on the matter if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain the room.
- c) Which **directly relates to** their financial interest or well-being (and is not DPI) or the financial well being of a relative or close associate, to declare the interest and members may only speak on the matter if members of the public are also allowed to speak. Otherwise, the member must not take part in discussion or vote on the matter and must leave the room.
- d) Which **affects** the financial well-being of the member, a relative or close associate or a body included under the Other Registrable Interests column in Table 2, to disclose the interest and apply the test set out at paragraph 9 of Appendix B before deciding whether they may remain in the meeting.
- e) Where Members have or a Cabinet Member has an Other Registerable Interest or Non Registerable Interest in a matter being considered in exercise of their executive function, they must notify the Monitoring Officer and arrange for somebody else to deal with it.

NB Any member needing clarification must contact monitoringofficer@northumberland.gov.uk. Members are referred to the Code of Conduct which contains the matters above in full. Please refer to the guidance on disclosures at the rear of this agenda letter.

4. APPOINTMENT OF ASSISTANT CHIEF FIRE OFFICER (Pages 3 - 8)

The purpose of this report is to confirm and set out to the Staff and Appointments Committee the outcome of the selection process for the Assistant Chief Fire Officer and to seek approval for the appointment of the preferred candidate. Attached to this report is a confidential (part 2) exempt Appendix 1 setting out the application of the preferred candidate.

5. PROPOSED RECONFIGURATION OF ROLE IN RESPONSE TO ENDING OF JOINT ARRANGEMENTS AND SELECTION PROCESS FOR VACANT DIRECTOR OF INTEGRATED COMMISSIONING AND PERFORMANCE - ADULTS, AGEING AND WELLBEING (Pages 9 - 24)

The report seeks approval for the increase to 1.0 FTE of the previously 0.5 FTE Director of Integrated Commissioning post, with the post being wholly employed by the Council and that the role be retitled Director of Integrated Commissioning and Performance. The proposed appointment process is outlined in the report.

6. INCREMENTAL PAY PROGRESSION FOR SENIOR MANAGERS (BANDS 14-17) (Pages 25 - 40)

The report outlines a proposed revised process for the handling of requests for incremental progression for senior managers i.e. those managers at Bands 14-17.

7. APPROVAL OF FLEXIBLE EARLY RETIREMENT REQUEST (Pages 41 - 48)

The report requests that the Committee considers and approves a request from the Director of Finance and Procurement to take flexible early retirement with effect from 31st March 2024.

8. URGENT BUSINESS (IF ANY)

To consider such other urgent business as, in the opinion of the Chair, should, by reason of special circumstances, be considered as a matter of urgency.

9. DATE OF NEXT MEETING

The next meeting dates are:

13 March 2024, at 3.00 pm
16 April 2024 at 3.30 pm

The meeting scheduled for 3 April 2024 has been cancelled.

PART II

It is expected that matters included in this part of the Agenda will be dealt with in private. Reports referred to are enclosed for members and officers only, coloured pink and marked "Not for Publication".

10. EXCLUSION OF PRESS AND PUBLIC

The Committee is invited to consider passing the following resolution:

- (a) That under Section 100A (4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of the following items on the agenda as they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the 1972 Act, and
- (b) That the public interest in maintaining the exemption outweighs the public interest in disclosure for the following reasons:-

Agenda Item	Paragraph of Part I of Schedule 12A
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11

1 and 2
Information relating to any individual and information which is likely to reveal the identity of an individual

AND

The public interest in maintaining the exemption outweighs the interest in disclosure because

11. APPOINTMENT OF ASSISTANT CHIEF FIRE OFFICER

To consider the attached Appendix 1 under Agenda item 3 in Part 1 of this agenda.

(Pages
49 - 54)

IF YOU HAVE AN INTEREST AT THIS MEETING, PLEASE:

- Declare it and give details of its nature before the matter is discussed or as soon as it becomes apparent to you.
- Complete this sheet and pass it to the Democratic Services Officer.

Name:		Date of meeting:	
Meeting:			
Item to which your interest relates:			
Nature of Interest i.e. either disclosable pecuniary interest (as defined by Table 1 of Appendix B to the Code of Conduct, Other Registerable Interest or Non-Registerable Interest (as defined by Appendix B to Code of Conduct) (please give details):			
Are you intending to withdraw from the meeting?		Yes - <input type="checkbox"/>	No - <input type="checkbox"/>

Registering Interests

Within 28 days of becoming a member or your re-election or re-appointment to office you must register with the Monitoring Officer the interests which fall within the categories set out in **Table 1 (Disclosable Pecuniary Interests)** which are as described in "The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012". You should also register details of your other personal interests which fall within the categories set out in **Table 2 (Other Registerable Interests)**.

"Disclosable Pecuniary Interest" means an interest of yourself, or of your partner if you are aware of your partner's interest, within the descriptions set out in Table 1 below.

"Partner" means a spouse or civil partner, or a person with whom you are living as husband or wife, or a person with whom you are living as if you are civil partners.

1. You must ensure that your register of interests is kept up-to-date and within 28 days of becoming aware of any new interest, or of any change to a registered interest, notify the Monitoring Officer.
2. A 'sensitive interest' is as an interest which, if disclosed, could lead to the councillor, or a person connected with the councillor, being subject to violence or intimidation.
3. Where you have a 'sensitive interest' you must notify the Monitoring Officer with the reasons why you believe it is a sensitive interest. If the Monitoring Officer agrees they will withhold the interest from the public register.

Non participation in case of disclosable pecuniary interest

4. Where a matter arises at a meeting which directly relates to one of your Disclosable Pecuniary Interests as set out in **Table 1**, you must disclose the interest, not participate in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest, just that you have an interest.

Dispensation may be granted in limited circumstances, to enable you to participate and vote on a matter in which you have a disclosable pecuniary interest.

5. Where you have a disclosable pecuniary interest on a matter to be considered or is being considered by you as a Cabinet member in exercise of your executive function, you must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter apart from arranging for someone else to deal with it.

Disclosure of Other Registerable Interests

6. Where a matter arises at a meeting which **directly relates** to the financial interest or wellbeing of one of your Other Registerable Interests (as set out in **Table 2**), you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

Disclosure of Non-Registerable Interests

7. Where a matter arises at a meeting which **directly relates** to your financial interest or well-being (and is not a Disclosable Pecuniary Interest set out in **Table 1**) or a financial interest or well-being of a relative or close associate, you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.
8. Where a matter arises at a meeting which **affects** –
- a. your own financial interest or well-being;
 - b. a financial interest or well-being of a relative or close associate; or
 - c. a financial interest or wellbeing of a body included under Other Registrable Interests as set out in **Table 2** you must disclose the interest. In order to determine whether you can remain in the meeting after disclosing your interest the following test should be applied
9. Where a matter (referred to in paragraph 8 above) **affects** the financial interest or well- being:
- a. to a greater extent than it affects the financial interests of the majority of inhabitants of the ward affected by the decision and;
 - b. a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest

You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise, you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation.

If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

Where you have an Other Registerable Interest or Non-Registerable Interest on a matter to be considered or is being considered by you as a Cabinet member in exercise of your executive function, you must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter apart from arranging for someone else to deal with it.

Table 1: Disclosable Pecuniary Interests

This table sets out the explanation of Disclosable Pecuniary Interests as set out in the [Relevant Authorities \(Disclosable Pecuniary Interests\) Regulations 2012](#).

Subject	Description
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain. [Any unpaid directorship.]
Sponsorship	Any payment or provision of any other financial benefit (other than from the council) made to the councillor during the previous 12-month period for expenses incurred by him/her in carrying out his/her duties as a councillor, or towards his/her election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract made between the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council — a. under which goods or services are to be provided or works are to be executed; and b. which has not been fully discharged.
Land and Property	Any beneficial interest in land which is within the area of the council. ‘Land’ excludes an easement, servitude, interest or right in or over land which does not give the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners (alone or jointly with another) a right to occupy or to receive income.
Licenses	Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer
Corporate tenancies	Any tenancy where (to the councillor’s knowledge)—

	<ul style="list-style-type: none"> a. the landlord is the council; and b. the tenant is a body that the councillor, or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.
Securities	<p>Any beneficial interest in securities* of a body where—</p> <ul style="list-style-type: none"> a. that body (to the councillor’s knowledge) has a place of business or land in the area of the council; and b. either— <ul style="list-style-type: none"> i. the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share capital of that body; or ii. if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the councillor, or his/ her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

* ‘director’ includes a member of the committee of management of an industrial and provident society.

* ‘securities’ means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

Table 2: Other Registrable Interests

You have a personal interest in any business of your authority where it relates to or is likely to affect:

- a. any body of which you are in general control or management and to which you are nominated or appointed by your authority
- b. any body
 - i. exercising functions of a public nature
 - ii. any body directed to charitable purposes or
 - iii. one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union)

NORTHUMBERLAND COUNTY COUNCIL

STAFF AND APPOINTMENTS COMMITTEE

At a meeting of the **Staff and Appointments Committee** held in the Conference Room 2, County Hall, Morpeth on Thursday, 8 February 2024 at 09:00 am.

PRESENT

Councillor R Wearmouth
(Vice Chair in the Chair)

MEMBERS

Dickinson, S.	Purvis, M.
Flux, B.	Simpson, E
Hunter, I.	Watson, J.

OFFICERS IN ATTENDANCE

Farnell, C.	Head of HR
Farrell, S.	Director of Workforce and Organisational Development
Gerrard, S.	Director of Law and Corporate Governance (MO)
Greally, R.	Assistant Democratic Service Officer
Isaacson, S.	Lawyer (Observer)
Paterson, H.	Chief Executive and Head of Paid Services
Sample, C.	Lawyer

31. APOLOGIES

Apologies were received from Councillors A. Dale and G. Sanderson.

32. MINUTES

RESOLVED that the minutes of the meeting of the Committee held on 5 December 2023, as circulated, be confirmed as a true record and signed by the Chair.

33. PAY POLICY STATEMENT 2024/2025

Members received a report seeking to confirm the amended Pay Policy Statement. The policy had been amended to improve the flow of information and provided additional clarity in some areas by removing unnecessary

Ch.'s Initials.....

information. The amendments in the policy were mostly academic but section 6 was highlighted which gave more transparency to the approval of new appointments with salaries over £100,000 which would now be brought to Full Council rather than Staff and Appointments Committee.

In response to a query, it was confirmed that SCP referenced in the report was spinal column points. It was confirmed that under the 23/24 pay policy incremental progression within the band was at the discretion of the Head of Paid Services whereas under the 24/25 policy objective criteria had been defined. The new process was detailed in another policy which could be brought to the committee.

Officers agreed to provide members with information regarding the number of staff who were employed on a band 1 salary and what service they were employed in. Members were assured that there were no Chief Officers who had notified the Authority of taking secondary employment.

RESOLVED that the report be recommended for approval at Full Council.

34. DATE OF NEXT MEETING

The next meeting will be held on 22 February 2024, at 9.00 am in the Council Chamber, County Hall, Morpeth.

CHAIR.....

DATE.....



Northumberland County Council

Staff & Appointments Committee

22nd February 2024

Appointment of Assistant Chief Fire Officer

Report of Responsible Officer : Chief Executive and Head of Paid Service

1. **Link to Key Priorities of the Corporate Plan**

- 1.1 This report is relevant to all areas of the Corporate Plan as it relates to ensuring that the Council is compliant with the constitution and is fulfilling its legal duties and requirements to ensure that there is an effective and fit for purpose staffing establishment.

2. **Purpose of report**

- 2.0 The purpose of this report is to confirm and set out to the Staff and Appointments Committee the outcome of the selection process for the Assistant Chief Fire Officer and to seek approval for the appointment of the preferred candidate. Attached to this report is a confidential (part 2) exempt Appendix 1 setting out the application of the preferred candidate.
- 2.1 The Committee will recall at its meeting on 5th December 2023, that arrangements for the permanent recruitment to the Assistant Chief Fire Officer role was agreed.
- 2.2 This report also reminds the Committee of the requirements under the Officer Employment Procedure Rules in relation to the appointment (or dismissal) of all Chief and Deputy Chief Officers. Accordingly, please note that the appointments referred to in this report are subject to no substantial and well-founded objections being notified to the Leader of the Council, in accordance with Part 4.3 of the Constitution (Officer Employment Procedure Rules).

3. **Recommendations**

To agree the following recommendations:

- 3.0 To accept the findings of the selection panel that the preferred candidate be appointed to the role of Assistant Chief Fire Officer. Details are set out in the attached confidential appendix 1.

- 3.1 To note that offers of employment will be subject to all necessary pre-employment checks.
- 3.2 To note that the effective date of commencement of employment can only be confirmed following the completion of all necessary pre-employment checks.
- 3.3 To agree that the Assistant Chief Fire Officer will align to the National Joint Council for Brigade Managers of Fire and Rescue Services terms and conditions (Gold Book) with remuneration aligning to NCC pay grade of Band 16, £103,133 SCP 65. This cost excludes employer's national insurance and employer's pension contributions.
- 3.4 To agree that in the event that any objection is received from the Leader and/or Cabinet that the appointment in question be referred back to this Committee for urgent consideration.
- 3.5 Subject to there being no objection from the Leader or Cabinet to the appointment, to recommend to full Council that the preferred candidate be appointed as Assistant Chief Fire Officer.

4. Background

- 4.0 At the meeting of the Staff and Appointments Committee on 5th December 2023 the appointment process for the role of Assistant Chief Fire Officer was agreed. Also agreed was the Job Description (and salary scale point), the indicative timetable for the recruitment process and the selection methodology.
- 4.1 The assessment and selection process for the single shortlisted candidate involved the following:
 - 4.1.1 Psychometric assessment using Lumina Spark, with full outcome report presented to interview panel.
 - 4.1.2 A staff panel question and answer session with 6 employees from Northumberland Fire and Rescue facilitated by Human Resources.
 - 4.1.3 A 10-minute presentation including question and answer session as well as a structured interview comprising the Portfolio Holder, Chief Fire Officer to whom the role reports to, Deputy Chief Fire Officer, Chief Fire Officer from Tyne & Wear Fire Brigade and a HR Manager.
 - 4.1.4 A summary session was conducted to discuss the outcomes of the earlier assessment centre exercises – Lumina Spark and Staff Panel.

5. Options open to the Council and reasons for the recommendations

- 5.0 Following completion of the assessment set out above, the interview panel identified the preferred candidate for the role, currently employed as Area Manager.
- 5.1 Conclusions were reached following a thorough assessment of the candidate's skills, knowledge and experience. The processes also considered the candidate fit

against the Council's values and the Nolan Principles. The candidate's application form (confidential) is attached at appendix 1.

5.2 The candidate has been informed that he is the preferred candidate for the role and has indicated his acceptance of the conditional offer of appointment. The offer has been made subject to the recommendation of this Committee and the Officer Employment Procedure Rules (as set out below).

5.3 **Officer Employment Procedure Rules**

5.3.1 The Local Authorities (Standing Orders) (England) Regulations 2001 (as amended) requires that, where a Council is operating a Cabinet and Leader model of governance, before any offer of appointment is made to a Chief or Deputy Chief Officer, the Proper Officer designated for that purpose, notifies the Leader and every member of the Cabinet of the intention to make the appointment, the name, salary and other relevant particulars of the post, and allows the Leader and Cabinet an opportunity to make any substantial or well-founded objections to that appointment, before the appointment is made. These provisions apply irrespective of whether the appointment is made by the full Council, a committee, or by an officer of the Council delegated to do so. The provisions are broadly set out in Part 4.3 of the Northumberland County Council Constitution.

5.3.2 Accordingly, for these purposes, appointment of the Assistant Chief Fire Officer is deemed to be a deputy chief officer.

5.3.3 The Proper Officer designated for this purpose is the Chief Executive/Head of Paid Service. Accordingly, the Council's Chief Executive and Head of Paid Service will discharge the functions as required under the Officer Employment Procedure Rules.

6. Implications

Policy	Oversight of HR Policies and Procedure
Finance and value for money	Permanent appointment is deemed to be appropriate in relation to finance and value for money. The cost of the appointment can be met from existing budgets as it will be a direct replacement.

Legal	<p>The functions of the Staff and Appointments Committee are as follows:</p> <ul style="list-style-type: none"> a. To discharge the Council's functions of the employer in relation to the Chief and Deputy Chief Officers. b. To consider, approve, or make recommendations to the County Council, in relation to any changes to the overall structure of the Council's workforce, and the number and designation of Chief Officer and Deputy Chief Officer posts. c. To determine the terms and conditions relating to employees of the County Council to include the remuneration and terms and conditions of employment for the Head of Paid Service and Chief and Deputy Chief Officers. <p>Section 2 (6) of the Local Government and Housing Act 1989 specifies that the chief officer of a fire brigade maintained under the Fire Services Act 1947 is a Statutory Chief Officer. The Assistant Chief Fire Officer reports to the Chief Fire Officer and is, therefore, classed as a Deputy Chief Officer</p>
Procurement	N/A
Human resources	The appointment will be made in line with appropriate employment recruitment processes. Relevant legal implications have been set out in the body of this report.
Property	N/A
The Equalities Act: is a full impact assessment required and attached?	<p>This process will be conducted in line with best practice in relation to promoting equality and diversity within the Council's employment processes.</p> <p>N/A</p>
Risk assessment	Consistent approved management restructure with Corporate Governance Review.
Crime and disorder	N/A
Customer considerations	N/A
Carbon reduction	N/A
Health and wellbeing	The recommendation will support the health and wellbeing of employees

Wards	Not related to any particular ward but cover the whole of Northumberland
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7. Background papers

N/A

8. Links to other key reports already published

StAC Report dated 5th December 2023.

9. Author and Contact Details

Authors must ensure that officers and members have agreed the content of the report:

	Full Name of Officer
Director of Law and Corporate Governance (Monitoring Officer)	Stephen Gerrard
Executive Director of Transformation & Resources (s151 Officer)	Jan Willis
Chief Executive (Head of Paid Service)	Dr Helen Paterson

This report has been prepared by Deborah Watson, HR Manager
Contact details: deborah.watson@northumberland.gov.uk

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STAFF & APPOINTMENTS COMMITTEE

22 February 2024

Proposed reconfiguration of role in response to ending of joint arrangement and selection process for vacant Director of Integrated Commissioning and Performance – Adults, Ageing and Wellbeing

Report of the Chief Executive and Head of Paid Service

1. Purpose of the Report

- 1.1 Following the ending of a joint arrangement with the Integrated Care Board (ICB) this report sets out the proposal that the currently established, shared cost 0.5 FTE Director of Integrated Commissioning be increased to 1.0 FTE, to be wholly employed by the Council.
- 1.2 It is also proposed that the role be retitled to 'Director of Integrated Commissioning and Performance'.
- 1.3 Should the above be agreed, the report also seeks to propose an appropriate appointment process for the role of Director of Integrated Commissioning and Performance vacancy in the Adults, Ageing and Wellbeing directorate. The most recent postholder has been deployed elsewhere within their host organisation (ICB) therefore the post became vacant on 30 June 2023.
- 1.4 This report aims to set out the proposed process to appoint a permanent, directly employed, full time replacement.
- 1.5 This report also seeks approval that at the conclusion of the selection process, the preferred candidate will be notified of their conditional appointment, subject to the approval of Staff and Appointments Committee and recommendation to full Council.
- 1.6 This report also reminds the Committee of the requirements under the Officer Employment Procedure Rules in relation to the appointment of all Chief and Deputy Chief Officers. Accordingly, please note that the appointment referred to in this report is subject to no substantial and well-founded objections being notified to the Leader of the Council, in accordance with Part 9 of the Constitution (Officer Employment Procedure Rules).

2. Recommendations

To agree the following recommendations be made to full Council on 20 March 2024:

2.1 that confirmed staffing budget be utilised to increase the establishment from 0.5 FTE by a further 0.5 FTE to create a 1.0 FTE role.

2.2 that the Band 16 (£100,157 - £109,081) job description and associated job evaluation established via the senior management review of summer 2023 continue to apply. The job description is attached at appendix 1.

2.3 that external advertisement of the post for the period 25 March 2024 – 6 April 2024 takes place following consideration at full Council. Shortlisted candidates will be required to attend an Assessment Day during w/c 10 April 2024. The assessment will include psychometric testing, staff panel comprising key employees, and a formal interview by a panel comprising senior managers and the relevant Cabinet Member.

2.4 accept the findings of the selection panel that the preferred candidate be offered the role of Director of Integrated Commissioning and Performance subject to the final approval of full Council.

2.5 agree that in the event that any objection is received from the Leader and/or Cabinet that the appointment in question be referred back to this Committee for urgent consideration.

2.6 note that offers of employment will be subject to all necessary pre-employment checks.

2.7 note that the effective date of commencement of employment is to be confirmed following completion of all the necessary pre-employment checks and following approval by full Council.

3. Link to Corporate Plan

3.1 This report is relevant to all areas of the Corporate Plan as it relates to ensuring that the Council is compliant with the constitution and is fulfilling its legal duties and requirements to ensure that there is an effective and fit for purpose staffing establishment.

4. Key Issues and Background

4.1 Vacancy

- 4.1.1 We had a relationship with the ICB whereby the previous incarnation of this post was jointly funded and undertook roles across both organisations. The individual in role was required to take on a wider suite of roles back in the ICB in late 2022 and in to 2023 which led to consideration of the ongoing viability of the shared position.
- 4.1.2 In addition, concerns were raised regarding capacity on the Council side to manage our largest revenue funded service with only one full time Service Director that was shared with the ICB.
- 4.1.3 It should be highlighted that this decision was in no way a reflection on the individual who performed strongly in the joint role. However, as the demands from the ICB and Council increased, it became clear this arrangement ceased to be viable for either organisation.

4.2 Salary and funding for the post

- 4.2.1 The funding for the additional 0.5FTE has been sourced from vacant posts within ASC and agreed and confirmed by Corporate Finance.
- 4.2.2 The job description (Appendix 1) has been evaluated through the LGE evaluation scheme as part of the changes to the senior management structure implemented on 1 July 2023.
- 4.2.3 Band 16 consists of 4 spinal column points (SCP):
 - 64 - £100,157
 - 65 - £103,133
 - 66 - £106,107
 - 67 - £109,081
- 4.2.4 The intention is to make an offer at the bottom of the scale (scp 64) but expertise, knowledge and experience may impact on the starting salary and is dependent on negotiation with the candidate.

4.3 Outline process/methodology

- 4.3.1 Psychometric Assessment will be undertaken to gain information on candidate personality and potential suitability against the role profile. Psychometric assessment will also allow the mapping of desirable values and behaviours against personality attributes and traits. The tool that is proposed to be used is called 'Lumina' and will be administered internally via our People and Culture service. This tool has been used to great effect in previous recruitment exercises across the senior management team.

- 4.3.2 An Assessment Centre will be delivered at County Hall. This will be designed to be delivered in-person, using a combination of in-house assessors and co-ordinators and will be supported by the People and Culture service. Elements to be included:
- o A structured interview with a panel of staff
 - o A 10-minute presentation to panel and a structured interview conducted by a panel comprising Executive Director, Adults Aging and Wellbeing, the relevant Cabinet Member for the service and another senior manager at Service Director level or above.

4.4 Timeline

- 4.4.1 The process has been structured to keep to tight timelines, keeping candidate interest and momentum, while affording the opportunity to ensure all constitutional approval requirements are fully adhered to.

4.5 The next steps

- 4.5.1 Once a preferred candidate has been identified, a further report will be prepared for the Staff and Appointments Committee to convene at a later date and consider recommendation to full Council for approval of the appointment.

5. Statutory Obligations and Pay Policy

- 5.1 There are certain statutory appointments which must be made. The Local Government and Housing Act 1989 section 4 requires that the Council designate one of its officers as Head of the Paid Service (usually the Chief Executive) who is responsible for preparing reports on the way the local authority's staff is organised, on the authority's staffing needs and on the coordination of the way in which the authority's functions are discharged.

- 5.2 In addition, by section 38 of the Localism Act 2011 the Council is required to produce a Pay Policy each financial year. Approval of the Pay Policy is a matter for full Council and cannot be delegated. The Council's 2024/2025 Pay Policy has been approved by the Staff and Appointments Committee and will be put to full Council for approval on 21 February 2024 and sets out details, amongst other things, of the payment to chief officers.

- 5.3 The Staff & Appointments Committee is therefore required to consider and approve the appointments of the roles of Chief and Deputy Chief Officers in line with the Council's agreed Pay Policy 2024/25. In addition, as the salary is over £100,000, the appointment must also be approved by a vote of full Council.

5.4 The terms of reference of the Staff and Appointments Committee also set out that it must approve and make recommendations to full Council in relation to any changes to the number of Chief and Deputy Chief Officers.

6. Officer Employment Procedure Rules

6.1 The Local Authorities (Standing Orders) (England) Regulations 2001 (as amended) requires that, where a Council is operating a Cabinet and Leader model of governance, before any offer of appointment is made to a Chief or Deputy Chief Officer, the Proper Officer designated for that purpose, notifies the Leader and every member of the Cabinet of the intention to make the appointment, the name, salary and other relevant particulars of the post, and allows the Leader and Cabinet an opportunity to make any substantial or well-founded objections to that appointment, before the appointment is made. These provisions apply irrespective of whether the appointment is made by the full council, a committee, or by an officer of the council delegated to do so. The provisions are broadly set out in Paragraph 6.3 of the Officer Employment Procedure Rules in Part 9 of the Northumberland County Council Constitution. These provisions also apply whether the appointment is permanent or interim.

Implications

Policy	Oversight of HR Policies and Procedure
Finance and value for money	Permanent appointment is deemed to be appropriate in relation to finance and value for money. The cost of the increase to the establishment can be met from existing staffing budgets.
Legal	<p>The functions of the Staff and Appointments Committee are as follows:</p> <ol style="list-style-type: none"> a. To discharge the Council's functions of the employer in relation to the Chief and Deputy Chief Officers. b. To consider, approve, or make recommendations to the County Council, in relation to any changes to the overall structure of the Council's workforce, and the number and designation of Chief Officer and Deputy Chief Officer posts. c. To determine the terms and conditions relating to employees of the County Council to include the remuneration and terms and conditions of employment for the Head of Paid Service and Chief and Deputy Chief Officers. <p>The role of Director of Integrated Commissioning and Performance will report into the Executive Director of Adults Ageing and Wellbeing, making the role a Deputy Chief Officer. Appointment to the role must be approved by the Staff and Appointments Committee. Because the salary is over £100,000, under section 40 of the Localism Act 2011, the appointment must also be approved by a vote of full Council.</p>

Procurement	N/A
Human Resources	The appointment will be made in line with appropriate employment recruitment processes. Relevant legal implications have been set out in the body of this report.
Property	N/A
Equalities (Impact Assessment attached) Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>	The recruitment process for this post will be in line with best practice in relation to promoting equality and diversity within the Council's recruitment processes.
Risk Assessment	Consistent with Independent Corporate Governance Review (Caller Report)
Crime & Disorder	N/A
Customer Consideration	N/A
Carbon reduction	N/A
Health and Wellbeing	The recommendations will support the health and wellbeing of Council Employees at varying levels within the organisation
Wards	The recommendations not related to any particular ward but cover the whole of Northumberland.

Report sign off.

Authors must ensure that officers and members have agreed the content of the report:

Role	Full Name of Officer
Director of Law and Corporate Governance (Monitoring Officer)	Stephen Gerrard
Executive Director Transformation & Resources (S.151 Officer)	Jan Willis
Chief Executive	Helen Paterson

Authors and Contact Details

This report has been prepared by Sarah Farrell, Director of People and Culture

Contact details: sarah.farrell@northumberland.gov.uk 07770 971861

NORTHUMBERLAND COUNTY COUNCIL

PART A: JOB DESCRIPTION

DIRECTORATE:	Adults, Ageing and Wellbeing
JOB TITLE:	Director of Commissioning and Performance
GRADE:	Band 16
JD REF:	H236
RESPONSIBLE TO:	Executive Director, Adults, Ageing and Wellbeing
RESPONSIBLE FOR:	Council Services within the portfolio. These may change to reflect need and maximise resources across the Council.
Service/ Functions:	Strategy direction, leadership and management of Council functions relating to Adults, Childrens and Public Health Commissioning, Adults Finance and Performance, and Adults Governance and Transformation services.
Employees:	This Directorate provides a variety of support and enabling services through a mix of professional, technical and advisory staff. Some program and project resources may be assigned which will vary depending on activities and priorities. The staff complement in the Directorate is circa 110 FTE.
Budget:	The postholder will support colleagues across Adults, Ageing and Wellbeing to maximise the use of resources across the whole directorate, taking account of the Council's overall budget. The postholder holds responsibility for the management of Adults Social Care budgets which amount to a gross budget of circa £5.5m and offers commissioning oversight of gross budgets of circa £170m.
Other Resources	As required to ensure that all normal and transformational activity is undertaken to keep Adults safe and well with appropriate supported and deliver resident focused and value for money services in line with the Council Vision and Corporate plan. A number of services and activities rely on close collaboration, alignment of effort and partnership working with other local and regional agencies especially Health and Care providers in order to provide a comprehensive and joined up service for vulnerable Adults, their families and carers.

JOB PURPOSE:

To lead, steer, develop and manage services relating to Adults' Social Care in order to deliver the Council's key corporate and partnership priorities that fall within the remit of the post and in line with the corporate plan - a council that works for everyone, to benefit the people of Northumberland.

Lead, on behalf of the Executive Director, the provision and delivery of services and initiatives that understand and address the needs of residents, their families and carers, and especially vulnerable adults and children. This includes the management, development and improvement of services in line with relevant strategies which need to be informed by data and insight and support Commissioning plans and intentions as well the work taking place across the Council regarding early help and prevention.

Support the Executive Director as the Council's Statutory Director of Adults' Social Services in advising the Chief Executive, Leader, relevant Cabinet Members, Senior Management Team and Council on Adults, Childrens and Public Health commissioning issues, and Adult services performance, finance and governance arrangements.

As requested by the Executive Director lead work with key partners across the health and care sectors to ensure efforts are aligned and operating cohesively to maximise the choices of adults, children and their families in relation to supporting them to live independently wherever possible whilst providing targeted services for people who need additional help. This work involves ensuring the infrastructure is in place to allow 'front door' services to operate effectively.

Lead the delivery of effective systems, processes and procedures to support the operation of services in relation to vulnerable groups, including complying with statutory requirements and working with partners.

Contribute to the Council's priority in relation to delivery of Best Value by ensuring the appropriate tools and infrastructure is in place for front line teams to make optimum decisions and have strategically commissioned solutions for supporting vulnerable clients and their families.

To play a full and positive role as a member of the Council's Senior Management Team ensuring the delivery of effective strategic direction, leadership and resource management (people, finance and other assets) to secure the delivery of public services across the locality. The postholder will be expected to deputise for the Executive Director if requested.

Work with wider Commissioning colleagues, other services within the Council, the Health sector, client and their families and care providers to develop optimum solutions for managing demand in relation to vulnerable adults and children.

Make the best use of Community based services and work with existing and potential new providers to develop and create high quality neighbourhood and home-based services.

Lead by example and foster a culture, both with the Directorate and across the Council,

which engages all staff and partners in the development and delivery of services which meet residents' needs and expectations. This will involve leading cross Council initiatives to make best use of individuals' strengths and foster collaboration across the whole organisation.

Ensure, as a senior executive, that effective governance and assurance processes are applied in all activity as set down in the Constitution and Council policies and procedures to safeguard the Council's financial and statutory duties and demonstrate public accountability and scrutiny of its decision-making processes.

Discharge the functions within the remit of the portfolio having regard to the decision-making framework and arrangements.

KEY FUNCTIONAL RESPONSIBILITIES:

In support of the Executive Director be the principal adviser on matters relating to Adults Social Care services and ensure timely advice to relevant Council bodies on all related matters of local and national policy and statutory requirements to enable the Council to make informed decisions regarding Adult safeguarding activities. To promote and support the development of Council policy and initiatives which keep Adults and their Carers at the centre of thinking and design and implementation of these activities.

Monitor Adults social care activity and trends to ensure delivery is at optimum strength to meet priorities and legislative requirements. This includes leading the work to respond to and address the Adult Social Care Outcomes Framework (ASCOF) in order to set priorities for care and support, measure progress and strengthen transparency and accountability.

Lead the development and application of best practice in adults, childrens and public health commissioning, performance, finance and governance to ensure the right resources are in place to meet current and future needs.

Support Members of the Council, the Executive Director and the Chief Executive in developing the vision and priorities for the County and ensure best advice is provided on the most appropriate response to internal and external pressures for change. This will involve providing specific advice in relation to the functions within the Directorate and effecting changes required from the regulatory frameworks affecting Adults Social Care. All strategies need to be designed collaboratively to ensure close collaboration takes place with colleagues across the Council, especially Education, Public Health, Housing, Northumberland Communities Together, Children's and Adults' Services.

Manage well the interface between Elected Members and Officers, maintaining and developing essential Member/Officer partnerships and processes which support and promote a positive and respectful relationship between Members and Officers.

Champion a coherent multi agency approach to service delivery and provide leadership, direction, and management of the team within the Directorate to ensure the delivery of the Council's priorities and provision of high-quality, cost-effective services based on community needs.

Participate and develop the Council's commitment to actively collaborate in major local and regional partnerships to achieve, within the overall strategy, maximum benefit for the Council and its communities as that relates to the care of vulnerable Adults and Children. These partnerships will be essential to deliver improvements across services that communities and residents need.

Contribute to successful management of the Council's reputation, ensuring that it always acts in the best interests of Northumberland and that its activities are explained to stakeholders in an open and transparent manner.

PRINCIPAL ACCOUNTABILITIES

Act as the Council's adviser on Adults Social Care services, ensuring that the Council implements all national and professional standards and requirements in a timely manner while recognising the interests of local communities.

Oversee the provision of timely and accurate advice to the Executive Director, Chief Executive, Council, Cabinet, Committees, and all Members, to ensure provision of high-quality professional support and advice on matters which will ensure all vulnerable adults, their carers and their families, can access the help and support they need.

Make sure that robust and timely performance management arrangements including systems and processes are in place to address concerns about performance and be in a good position to respond to external inspection at all times.

Act as a role model and exemplar in achieving a people-centred, collaborative, values based and inclusive organisational culture that promotes innovation and creativity, nurtures growth, and focuses on developing and maximises potential of the workforce to improve services.

Oversee the most effective utilisation, performance, and deployment of resources (Human, Physical and Financial) that puts at its heart the provision of high quality, value for money services and ensure that there is sufficient capacity within the directorate to deliver successfully against the Council's ambitions and priorities bearing in mind statutory requirements.

Actively demonstrate commitment and action to develop an inclusive, supportive, and constructive environment where everyone is treated with dignity and respect and diversity is valued in the workplace, in service delivery and communications.
Lead and monitor the efficient and effective implementation of major programmes and initiatives where the postholder is the Sponsor or Programme lead that are central to the achievement of the Council's objectives across and the effective deployment of Council resources.
Provide assurance that strategies and plans are in place to enable that appropriate levels of financial and governance control are in place across the postholder's portfolio and any other activities where they are the Lead Officer.
Oversee the scrutiny and advice on the plans and actions of Central Government and other external agencies to determine their impact on the development of local policies and priorities such as they relate to Adults Social Care services and position the Council as a decisive and influential organisation to maximise all available assets.
Ensure the promotion, development, and maintenance of good relationships with the media and public as an individual and across the Directorate and ensure effective communication and engagement strategies are applied to support delivery of services and change activities.
Ensure equality, diversity and cohesion principles are embedded across all services. Provide leadership around diversity and inclusion, ensuring that the policies and services of the Council reflect the changing needs of all our communities and workforce and that equality of opportunity is ensured, and diversity celebrated.
Represent and negotiate on behalf of the Council at local, regional, and national levels, promoting inter-authority working across the region and demonstrating flexibility and responsiveness to change. This work will particularly relate to the need to ensure appropriate measures are in place to protect Adults working closely with all Health and Care providers to secure the best possible quality of services.
Play a role in the Council's Corporate Emergency Planning arrangements (This includes a requirement to be available in the event of an emergency to perform the duties allocated to the post within the Emergency Plan).
To undertake functions in the event of local or National elections, supporting the Returning Officer ensure the democratic nature of such activities is undertaken efficiently and in compliance with all statutory requirements.
Ensure that all duties and responsibilities are carried out in accordance with Council's Constitution, governance arrangements, policies, and procedures.

Special Conditions:

This position has been identified as a politically restricted post under the Local Government and Housing Act 1989. Therefore, the post holder is restricted from undertaking or participating in any political activity.

NORTHUMBERLAND COUNTY COUNCIL**PART B: SENIOR MANAGERS CORE COMPETENCIES****Working with Partners**

- Work collaboratively across services and departments to deliver corporate excellence.
- Work collaboratively with external partners to deliver excellent service.
- Seek opportunities for partnership working at a local, regional, and national level.
- Clarify expectations, objectives and working arrangements of partnerships.
- Contribute effectively to multi-partner projects.

Serving our Community

- Promote the Community Plan.
- Seek and act on feedback from the community.
- Influence Service and Corporate plans to reflect community needs.
- Develop, deliver, and improve access to services based on an awareness and understanding of the diverse community.
- Promote equality of opportunity in service delivery

Working within the Political Arena

- Understand and actively support the role of Councillors.
- Understand and actively support the democratic process within Northumberland Council.
- Recognise the impact of Government and legislation on Council strategy and services.
- Consult, support, and keep Councillors informed.

Delivering Excellence

- Understand how corporate performance is measured.
- Monitor and evaluate services in relation to objectives and performance indicators.
- Establish a culture that embraces the agreed Vision and Values.
- Be positive ambassadors for the organisation.
- Contribute to strengthening corporate leadership capacity.
- Identify opportunities where organisational performance could be improved.

Focusing on the Future

- Scan the external environment, look ahead, assess strategic options, and develop the Council in the medium and long term.
- Lead the development and implementation of corporate policy at a strategic level.
- Challenge what we do and how we do it.
- Influence relevant national and regional organisations and partners.
- Connect plans, policies, strategies, and services to provide consistent service delivery.
- Generate innovative ideas.
- Translate strategy into action.
- Consider the implications of decisions across the Council and act in the overall interests of Council performance.

Building Shared Vision and Values

- Scan the internal environment and engage employees in compelling visions of the future.
- Create an environment in which a culture embracing our Vision and Values can thrive.
- Involve all stakeholders in building a vision for the future.
- Have a clear picture of the direction the organisation is taking and communicate it with insight, energy, and vision.
- Translate the Council's vision into practical and achievable plans.

Strengthening Corporate Leadership Capacity

- Continuously develop the political leadership and managerial interface.
- Operate with others as a cohesive senior managerial team.
- Create time with staff and other managers for discussion about their development rather than firefighting.
- Coach and mentor staff and other managers.
- Lead, delegate and empower others at a strategic level.
- Identify and develop potential senior managerial successors.

Promoting and Facilitating Change

- Critically evaluate the reasons that prompt change and take appropriate action.
- Proactively steer internal change.
- Proactively manage the exchange of information between the public and the organisation.
- Consider the resource implications of change.
- Anticipate and respond to emotional and morale issues brought about by change.
- Monitor and evaluate the change process to ensure aims are met.

NORTHUMBERLAND COUNTY COUNCIL

PART C: PERSON SPECIFICATION

DIRECTORATE:	Adults, Ageing and Wellbeing
JOB TITLE:	Director of Commissioning and Performance
GRADE:	Band 16

Qualifications/Professional Development
Educated to degree level or equivalent
Relevant qualification in commissioning, finance or accounting, or significant equivalent experience
Evidence of relevant up to date leadership and management training.
Evidence of recent relevant Continuous Professional Development.
Experience, Knowledge, and Skills
Proven achievement of leadership success across Commissioning and/or Adult Social Care with the ability to show broad scope of interpreting complex regulatory requirements whilst delivering services with strong social impact.
Ability to operate sensitively in a political environment, developing relationships with all members gaining respect, trust, and confidence and being accountable for effective delivery within a challenging financial environment.
Proven understanding of Commissioning activities in order to support development of services which create the best possible care for vulnerable adults and children, and provide best value.
Significant experience of the oversight and management of performance information systems, including strategic level presentation of data and outcomes to senior forums.
Experience of leading major change that challenges existing ways of working, and different service delivery models which provide better outcomes especially to vulnerable or potentially vulnerable individuals.
Evidence of personally leading within an organisational culture that models and embeds the practice of co-design and co-production and collaboration with people inside and outside the organisation.

Evidence of success in personally leading the development of external relationships and influential partnerships that have delivered tangible benefits and created a collaborative environment in addressing challenges facing a comparable service area.
Evidence of using strong option appraisal, analytical skills, and innovation to achieve organisational success in an environment of reducing financial resources.
Ability to develop long term strategic thinking and bring new ideas, approaches, and solutions.
Highly skilled communicator who communicates with clarity, conviction and enthusiasm and can demonstrate integrity, create rapport, and build trust and confidence to positively influence outcomes.
Ability to translate (both verbally and in writing) complex ideas and information into meaningful and 'user-friendly' information; 'tells the story' to bring people along and ensure all audiences understand the key messages.
Ability to develop strong relationships with senior leaders from a range of public and private sector organisations.
Personal and professional integrity and credibility that establishes respect, trust, and confidence.
Demonstrate personal resilience and ability to thrive in challenging circumstances.
Model and demonstrate organisational values and leadership behaviours, creating a shared purpose and positive permission culture that enables people to thrive through development, involvement, and well-being.
Motivation
Confident leader with a vision for Northumberland with high levels of energy, stamina, and resilience.
Fully committed to the principles and values underpinning the Council
Demonstrably strong corporate orientation and a commitment to tackling issues that inhibit organisational progress to high quality service delivery.
Personality, behaviour, conduct and credibility that engages and commands the confidence of Council Members, senior managers, staff, the public, external partners, and other stakeholders.

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STAFF & APPOINTMENTS COMMITTEE

22 February 2024

Incremental Pay Progression for Senior Managers (Bands 14-17)

Report of the Chief Executive

1. Purpose of the Report

1.1 This report outlines a proposed revised process for the handling of requests for incremental progression for senior managers ie those managers at Bands 14 – 17.

2. Recommendations

2 The committee are asked to approve the following:

2.1 the content and application of the proposed assessment process (appendix 1) with effect from 1 April 2024.

2.2 The transitional arrangements outlined at 4.5 (immediate access to the scheme for historic applications and those on static salaries for more than 2 years) and 4.6 (accelerated increment for those at the bottom of Band 14)

4. Key Issues and Background

4.1 The 2023/24 pay policy states:

All senior staff are appointed to a spot point within their salary range and there is no automatic incremental progression within the range. The default position is that there is no increment awarded, however, in exceptional circumstances the Head of Paid Service may consider awarding an increment following objective assessment of performance. in accordance with the Senior Manager Terms and Conditions of Employment. Any recommendations made by the Head of Paid Service should then be subject to the approval of the Staff and Appointments Committee. There is no "earn back" scheme in operation.

4.2 Despite this, historically, incremental progression has been awarded in an inconsistent way. In some past cases, increments have been awarded with little evidence of merit or objectivity and in other cases, rejected without justifiable reason or available recourse. This has caused consternation within the senior management population and a number of

challenges have been raised.

4.3 In order to allay concerns and to ensure fairness, consistency and objectivity a proposed assessment process has been developed (appendix 1).

4.4 The process is proposed as follows:

4.4.1 those members of staff on Bands 14-17 that wish to apply for incremental progression to satisfactorily fulfil their appraisal objectives two years in succession can submit an application form evidencing how they met the criteria.

4.4.2 Submissions can only be made during a designated timeframe (1-30 April) and will then be assessed by Executive Directors with support from HR (1-31 May).

4.4.3 Increments will be paid from April the same year of the application.

4.4.4 New submissions can only be made following a 2-year appraisal objective period.

4.4.5 A summary report detailing awarded increments will be submitted to this committee on an annual basis.

5. Transitional arrangements

5.1 In the absence of an agreed, standardised process for a number of years, it is proposed that previously denied, historic applications are considered retrospectively under the new scheme. If an eligible manager has remained 'static' on their current spinal column point (SCP) for 2 years or more, they will be permitted immediate access to the scheme ie from 1 April 2024.

5.2 It is also proposed that all managers currently occupying the bottom scp of Band 14 (scp 56) will be accelerated to the second point of Band 14 (scp 57) in recognition of the differentiation of the Head of Service role and responsibilities from that of senior managers at Band 13. The financial difference between scp 55 (top of Band 13) and scp 56 (bottom of Band 14) is currently approximately £5k. It is felt that this differential does not adequately compensate those being promoted from a Band 13 to a Band 14 for the loss of a significant benefit enjoyed by those at Band 13 and below – the flexi scheme. This increment will be backdated to the point that the revised senior management structure was implemented (1 July 2023).

Implications

Policy	This approach to handling of requests for incremental progression is referenced in the proposed 2024/25 Pay Policy
Finance and value for money	The cost of any increments awarded will be met from within existing staffing budgets.
Legal	The functions of the Staff and Appointments Committee include the following: <ul style="list-style-type: none"> a. To discharge the Council's functions of the employer in relation to the Chief and Deputy Chief Officers. b. (not relevant) c. To determine the terms and conditions relating to employees of the County Council to include the remuneration and terms and conditions of employment for the Head of Paid Service and Chief and Deputy Chief Officers.
Procurement	N/A
Human Resources	This process is designed to comply with employment legislation and enables a consistent and objective approach to handling requests for incremental progression
Property	n/a
Equalities (Impact Assessment attached) Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>	This provision is applicable to the entire senior management population and does not disproportionately affect any individual or group
Risk Assessment	N/A
Crime & Disorder	N/A
Customer Consideration	N/A
Carbon reduction	N/A
Health and Wellbeing	N/A
Wards	The recommendations are not related to any particular ward but cover the whole of Northumberland.

Report sign off.

Authors must ensure that officers and members have agreed the content of the report:

Role	Full Name of Officer
Director of Law and Corporate Governance (Monitoring Officer)	Stephen Gerrard
Executive Director Transformation & Resources (Section 151 Officer)	Jan Willis
Chief Executive	Helen Paterson

Authors and Contact Details

This report has been prepared by Sarah Farrell, Director of People and Culture

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Northumberland
County Council

HUMAN RESOURCES POLICIES AND PROCEDURES

SENIOR MANAGER INCREMENTAL PROGRESSION GUIDANCE

Version	1.0
Policy Sub-Group approval date	
Date ratified by Joint Consultative Committee	
Name of policy author	
Date issued	
Review Date	As required but no later than 1 year from adoption
Carbon Impact Assessment	
Health in all Policies	
Target audience	All Managers covered by the Senior Managers Terms and Conditions on Bands 14, 15, 16 and 17.

This Policy has been Impact Assessed against the Equality Act 2010
History of previous versions of this document:

Approved Where	Approved Where	Version	Issue Date	Review Date	Contact Person

Statement of changes made in most recent version:

Version	Date	Description
1.0	October 2023	New policy

NORTHUMBERLAND COUNTY COUNCIL – SENIOR MANAGER INCREMENTAL PROGRESSION GUIDANCE [HRP-XX-XX]

Contents

OBJ

[_Policy Aim](#)

[_Policy Summary](#)

[_Responsibilities](#)

[_Introduction](#)

OBJ

[_Eligibility](#)

[_Process](#)

[Assessment](#)

[Monitoring and Audit](#)

[_Training and Support](#)

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HUMAN RESOURCES POLICIES AND PROCEDURES

Title Senior Managers Incremental Progression

Reference Number: HRP-

1. Operational Summary

1.1 Policy Aim

The aim of this policy is to provide a framework for the application and assessment process to allow Senior Managers of the Council to progress through the Spinal Column Points within their pay band.

1.2 Policy Summary

This policy sets out the process and criteria for Senior Managers of the Council to enable progression through the spinal column points in their pay band via a objective and transparent review process.

1.3 Responsibilities

All Senior Managers

- Should ensure they are aware of the Council's approach in respect of incremental progression in their role.
- Work to outlined timescales and ensure they keep suitable records of anything that would support their application for progression.

Directors/Executive Directors

- Ensure that appraisals are undertaken promptly and regularly and that realistic, reasonable, measurable and achievable objectives are set as part of it.
- Review applications for progression within set time frames and objectively.

- Be available for assessment panels both as assessors and presenters as required.
- Establish housekeeping rules consistent with applicable Council standards.

Human Resources

- Set time frames for the process.
- Monitor applications in line with the guidelines to ensure consistency and eligibility.
- Oversee and arrange the review process.
- Communicate the outcome to applicant and payroll.

Payroll

- Process increments as directed in a timely manner.

2. Introduction

- 2.1** The County Council recognises that traditionally, those employees covered by the Senior Manager Terms and Conditions have not had a defined or consistent way of being able to progress through the spinal column points within their Pay Band.
- 2.2** This policy provides clear guidance around how and when Senior Managers can apply for increments and the assessment criteria that is applied to determine if one should be granted.

3. Eligibility

- 3.1** Senior Managers of the Council, covering by the NCC Senior Manager Terms and Conditions and whose job has been graded as NCC Band 14, 15, 16 or 17 are eligible to apply for increments. Centrally employed staff operating at a Head of Service or Director level covered by other terms and conditions of employment (i.e. Soulbury) should refer to their own terms with regard the possibility of progression.
- 3.2** Where employees have met their objectives set as part of the annual appraisal process, **2 years in succession**, then they will be able to apply for an increment by entering into the process as outlined below.

- 3.3 If successful in being awarded an increment, the employee will not be able to apply for another increment until a further 2 years' worth of objectives have been achieved.
- 3.4 In the event that an application is unsuccessful, there is no right of appeal, but an application can be submitted after 1 year provided the set objectives have been met.

4. Process

- 4.1 The window for applications for an increment is between 1 April – 30 April each year, with line managers expected to meet their requirements under the process by 31 May and final determinations reached by 30 June.
- 4.2 In the event that an application is successful, the increment will be awarded from 1 April that year.
- 4.3 The attached/electronic form should be completed including any relevant evidence as outlined below. Line managers will then add comments and submit for review.
- 4.4 A panel of 2 Executive Directors, with the support of an HR representative, will be assigned to hear applications and assess them to determine if they have met the criteria for progression. An Executive Director will not sit on the panel for any submissions from their area but Directors, or in the case of a submission from a Director, the Executive Director, will attend to present the applicant's case.
- 4.5 The panel will undertake a review of the submission as a paper-based exercise, though may seek comment from the applicants Executive Director should any points of clarity be required.
- 4.6 Following the assessment, the applicant will be formally notified by letter of the outcome of the process and in the event that they have been successful, payroll will be notified and asked to put the increment in place from 1 April.

5. Assessment

- 5.1 It is essential to ensure that realistic, measurable and achievable objectives are set as part of the annual performance appraisal. These should be

reviewed regularly in supervision and amended if necessary if they have become difficult or impossible to meet due to external factors.

5.2 When all objectives have been met for two years running, employees need to complete the TBC form fully evidencing how they feel they meet each of the criteria, providing evidence where available to support their narrative.

5.3 The criteria that will be assessed are as follows:

- 1) Evidential Impact of having met appraisal targets over the previous 2 years
- 2) Demonstrable ongoing commitment to the role/service and evidence of impact
- 3) Evidence of regional work representing the Council
- 4) Evidence of delivery of BEST and impact

5.4 To be successful applicants should demonstrate how they have achieved in each of the above categories over the previous 2 years, giving clear and evidenced examples. Guidance on what to include for each category is attached as appendix 1.

5.5 The assessment panel will determine if each criterion is sufficiently evidenced and will award it a 'met' or 'not met' status, with a narrative as to why that has been the decision. All 4 criteria need to be met to be successful in the application.

5.6 If the application is unsuccessful, there is no right of appeal.

6. Monitoring and Audit

6.1 Monitoring

The Council will monitor the application of this policy and review it through the appropriate consultation mechanisms as required and no later than 1 year after adoption. This will initially be reviewed by HR with input from the recognised trade unions, and any amendments will be considered by corporate audit. Thereafter, any significant changes will be considered by the Council's joint consultative committee.

6.2 Management Responsibility

Responsibility for the implementation, monitoring and development of this policy lies with the Director of Workforce and OD. Day to day operation of the policy is the responsibility of Executive Directors who will ensure this policy is adhered to.

7. Training and Support

Advice can be gained from the Human Resources department in relation to the implementation of this policy and associated procedure.

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Appendix 1

INCREMENT ASSESSMENT CRITERIA		
Area	Basic Description	Guidance
Evidential impact of having met appraisal targets over the previous 2 years.	This relates to those objectives reasonably set over the previous 2 years as part of your annual appraisal and where they have been met, or if not met, why they were unable to be?	<p>Each appraisal objective over the previous two years should be listed and supplementary evidence provided showing how they were met.</p> <p>This could include empirical evidence such as performance statistics or metrics associated with the objective, narrative around a particular project and the completion/success/impact of it, or links to a internal and external sites where a project has been launched.</p> <p>Where objectives have not been able to be met evidence should be provided showing why, i.e. a clear instruction to focus efforts on something else, cessation of a project due to external or financial factors or resources impacting on the ability to deliver.</p>
Demonstrable ongoing commitment to the role/service and evidence of impact.	What have you done to expand yourself and the service in the previous 2 years?	Evidence should be provided that shows how your own CPD has had a positive impact on the delivery of the service. This could be from attending leadership development and what changes you made following it to benefit the service/team(s), an issue or opportunity you identified and worked on to resolve or improve efficiencies, or where you were required to go 'above and beyond' to deliver for the service or Council as a whole on an important or escalating issue.

Page 36

Evidence of regional work representing the Council.	Where and how have you promoted or represented the Council?	Evidence could include regular attendance and contributions at regional or national groups for relevant sectors, submission of applications for regional/national awards, press releases about particular work or schemes or attendance and representation of the Council at public events.
Evidence of delivery of BEST and impact.	What has been the workstream you have been leading on for BEST and how you have succeeded in its delivery?	Evidence should include your workstream project plan and the progression of each point with a brief narrative of its inception (if not on the plan) and ultimate impact on the organisation as a result of it. Any points in progress or not started should be explained.

Appendix 2

INCREMENT APPLICATION

INCREMENT APPLICATION		
Name		
Employee Number		
Current Post Title		
Date Of Last Increment		
Date Appointed To Current Post		
Line Manager		
AREA	Evidence of contribution Word limit 250 words	Line manager's comments Word limit 250 words
Development		
Developing the Services		
Improving Standards		
Management & Administration		
Equal Opportunities		
Having discussed the above application, as the line manager of the application I submit the application to the PRG for their assessment. In putting this application forward my recommendation and rationale for this recommendation, for consideration of the panel is follows:		

Page 38

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Northumberland County Council

Staff and Appointments Committee

22 February 2024

Approval of Flexible Early Retirement Request

Report of the Chief Executive and Head of Paid Service

1. Purpose of report

- 1.1 This report requests that the Committee considers and approves a request from the Director of Finance and Procurement to take flexible early retirement with effect from 31st March 2024.

2. Recommendations

2.1 Members are asked to agree the following recommendations:

- 1) To approve the request of the Director of Finance and Procurement to take flexible early retirement with effect from 31st March 2024.
- 2) To approve the pension strain costs of £102,818.

3. Link to Corporate Plan

- 3.1 This report is relevant to the value for money priority of the NCC Corporate Plan.

4. Key issues

- 4.1 The Director of Finance and Procurement has submitted a request for Flexible Early Retirement and has expressed a wish to reduce their working hours to 85 hours per month with effect from 31st March 2024. Should their request not be approved they have indicated that it would be their intention to resign their role at that date. Written notice of resignation was submitted on 30 November 2023, but the Director has agreed to pause the processing of the resignation pending the outcome of consideration by this committee.
- 4.2 Employees who are over 55 and have at least 2 years membership of the LGPS or have retained their NHS pension rights can, with their employer's consent, reduce their hours and/or move to a lower grade and draw their pension benefits whilst continuing in employment and building up further benefits in the pension scheme. The Director meets these criteria.

- 4.3 If approval is given, the benefits are payable from the date of the reduction in hours or grade. The purpose of this provision is to enable employees to ease into retirement and it also allows employers to retain experienced staff.
- 4.4 The Council's Flexible Early Retirement policy (Appendix 1) states that there must be a clear business reason for approving flexible retirement, taking into account any financial implications. It is the view of the Director's line manager, the Executive Director of Transformation and Resources, that it would be in the Council's financial and managerial interests to approve their request for the reasons set out in the business case at Appendix 2.
- 4.5 A request for a reduction in hours must be based on a reduction of at least 40% of the employee's current contracted hours i.e. a request to work no more than 60% of current contracted hours. In situations where it would aid service delivery, for example, in response to a crisis, other variations could be considered. The Director has requested a reduction in hours of 43%.
- 4.6 The current post must not be temporary (or a secondment), or a post which provides for variations in hours of work. The Director is employed on a permanent, 37 hours a week contract.
- 4.7 The Council's normal policy is that applications which are a cost to the Council will not normally be approved, and there will be no additional sums paid into the pension fund to allow employees to receive unreduced benefits under this scheme. In exceptional circumstances where the granting of flexible retirement is in the financial and managerial interests of the Council, applications which are a cost to the Council may be approved. In this case, the strain on the fund would be £102,818 and this would be recoverable in 1.4 years, which is less than the 2 years required to demonstrate value for money. Thereafter, there would be annual savings of £73,511 (including employer's oncosts but excluding the 2024/5 pay award).
- 4.8 Approval of flexible early retirement requests is required by the Director of Workforce and OD and Chief Executive in conjunction with the relevant Manager with lead budget responsibility (in this case the Executive Director of Transformation and Resources). All three have indicated their support for the Director's request, however in view of the significant pension strain costs, the Committee's approval is also sought.

5. Pay Policy

- 5.1 Under the current Pay Policy, any appointment of a Chief Officer that attracts a salary package of £100,000 or more must be considered and approved by Full Council. In addition, redundancy payments and special severance payments of £100,000 or more must be approved by Full Council. However, the request for Flexible Early Retirement is not a dismissal nor is it an appointment on new terms. Instead, it is a change to terms and conditions, specifically a reduction in hours. As such the Pay Policy does not specify that the pension strain cost requires the approval of Full Council. In addition, the Localism Act 2011 and associated guidance does not require that the pension strain cost is approved by Full Council.
- 5.2 It is the Flexible Retirement Policy that sets out the requirements for approval (see above).

Implications

Policy	The process has followed the Council's Flexible Early Retirement Policy.
Finance and value for money	The 'payback period' in this case (i.e. the amount of time it will take for the savings made from a reduction in hours to cover the cost of the pension strain), would be 1.4 years. The Council's general rule is that anything under 2 years represents value for money. Thereafter there would be annual revenue savings of £73,511 p.a.
Legal	The functions of the Staff and Appointments Committee include the following: <ul style="list-style-type: none"> • To discharge the Council's functions of the employer in relation to the Chief and Deputy Chief Officers • To determine the terms and conditions relating to employees of the County Council to include the remuneration and terms and conditions of employment for the Head of Paid Services and Chief and Deputy Chief Officers.
Procurement	N/A
Human Resources	The process has followed the Council's Flexible Early Retirement Policy.
Property	N/A
Equalities (Impact Assessment attached) Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>	The proposal does not affect any other member of staff.
Risk Assessment	N/A
Crime & Disorder	N/A
Customer Consideration	N/A
Carbon reduction	N/A

Health and Wellbeing	N/A
Wards	The recommendations are not related to any particular ward.

Background papers:

None

Report sign off.

Authors must ensure that officers and members have agreed the content of the report:

	Full Name of Officer
Monitoring Officer/Legal	Neil Masson
Executive Director of Transformation and Resources (S151 Officer)	Jan Willis
Chief Executive	Helen Paterson

Author and Contact Details

This report has been prepared by Jan Willis, Executive Director of Transformation and Resources.

Contact details: jan.willis@northumberland.gov.uk 01670 623424

Appendix 2 FER Approval Business Case Submission

1) Position: Director of Finance and Procurement (Deputy S151 Officer)

2) Proposed Date of FER: 31/3/2024

3) Is the employee currently in their substantive role, or acting up into a higher graded post?

The employee's substantive post is Director of Finance and Procurement. The Director is not acting up into a higher graded post.

4) Have you seen the estimated pension strain costs and confirmed they are affordable and within payback?

Yes. The pension strain cost is £102,818 and annual savings from a reduction in working hours to 85 per month would be £73,511. The payback period is 1.4 years.

5) Will the work need to be covered elsewhere in the service? If so, is it able to be covered amongst current staff at a similar grade?

The remainder of the Director's work will be absorbed by the Head of Transactional Services, Head of Corporate Finance and finance managers within their current workload.

8) Is it the intention to increase the grade of any staff needing to cover the work? No, the work can be incorporated into existing workloads and at an appropriate grade.

9) If so, has that increase been discussed with finance and the extra cost factored into savings calculations? N/A

10) Please complete the below fully once you have agreed the 2023-24 salary budgets and any additional costs with your Finance Manager

2023-24 Salary Budget for redundant post including pay award

Salary	£131,580	
National insurance	£16,902	
Superannuation	£24,211	
Total (1.0 FTE)		£172,693
Revised salary (85 hours pcm)		
Salary	£75,570	
National insurance	£9,707	
Superannuation	£13,905	
Total (0.57 FTE)		£99,182
Annual saving		£73,511
Pension strain cost	£102,818	
Payback period (years)	1.4	

Business rationale for approving the request.

a) The Director of Finance and Procurement is an extremely experienced senior officer with unique knowledge of the Council and its corporate history having served as deputy S151 officer for many years and provided continuity during a period of high turnover of S151 Officers over the past decade. Should they leave at short notice this would have a detrimental impact on the work of the finance and procurement directorate at a time when the Council faces significant financial challenges and is undergoing large scale change.

b) There is a national shortage of candidates qualified to undertake the deputy S151 role. Given that there are no suitable internal candidates who could act up and the critical nature of the role, interim external cover would be required until such time as a permanent replacement could be appointed, at significant additional cost to the Council.

c) As part of the tier 3/4 restructure completed in 2023, senior management capacity in the finance and procurement directorate has been enhanced through the creation of two new Head of Service roles (Head of Transactional Services and Head of Corporate Finance). The reduction in hours can therefore be absorbed by the wider finance team. Spreading

these responsibilities across the wider finance team will offer career development opportunities and greater operational resilience.

d) Agreeing the Director's FER request will generate an annual revenue saving of £73,511 per annum.

Completed by Jan Willis Executive Director of Transformation and Resources

Date 12 February 2024

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By virtue of paragraph(s) 1, 2 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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