

## Report of the Corporate Director (Resources)

Council – 20 April 2017

### CHIEF EXECUTIVE ARRANGEMENTS

<b>Purpose:</b>	To ensure continuity in respect of the post of Chief Executive following the end of temporary arrangements which lapse on 31 <sup>st</sup> May 2017 and to allow the Council elected in May 2017 to decide on the appointment of a permanent Chief Executive.
<b>Policy Framework:</b>	JNC Appointments Rules as set out in the Constitution (Pages 283 to 291)
<b>Consultation:</b>	Legal, Finance, Human Resources, WLGA and Welsh Government
<b>Recommendation:</b>	It is recommended that:  1) Council is asked to approve the appointment of Mr Phil Roberts to the post of Chief Executive until 31 <sup>st</sup> October 2017
<b>Report Author:</b>	Mike Hawes
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Tracey Meredith
<b>H.R. Officer:</b>	Steve Rees

#### 1. Background and context.

- 1.1 On 28<sup>th</sup> January 2016 Council approved a report appointing Mr Phil Roberts to the post of Chief Executive for a period of one year from 1<sup>st</sup> June 2016 to 31<sup>st</sup> May 2017.
- 1.2 That decision was made in accordance with the Local Authorities (Standing Orders) (Wales) Regulations 2006 as amended.
- 1.3 In accordance with these Regulations, it is a requirement that any vacancy relating to the post of Chief Executive (Head of Paid Service), where the remuneration is above £100,000 p.a., is advertised externally unless such appointment is made for a period of no more than twelve months. The Council constitution contains similar requirements relating to any Chief Officer post where remuneration is £100,000 p.a. or above.
- 1.4 Given the impending Council elections, it is important that the Council maintains stability at Chief Executive Level in the immediate post-election

period and that the new Council elected in May 2017 is able to approve the appointment of a permanent Chief Executive.

- 1.5 It is therefore proposed that Mr Phil Roberts is appointed to the post of Chief Executive for the period 1<sup>st</sup> June 2017 to 31<sup>st</sup> October 2017, allowing Council to put in place arrangements for the recruitment and appointment of a Chief Executive on a permanent basis following elections in May 2017.
- 1.6 Welsh Government Officers, through the Welsh Local Government Association, have been consulted on this proposal and have no objection to extending the interim appointment.

## **2. Legal implications**

- 2.1 It is a legal requirement for a Local Authority to have a Head of Paid Service. In City and County of Swansea Council the Head of Paid Service is the Chief Executive.
- 2.2 The statutory position in relation to the Head of Paid Service/Chief Executive is as set out in paragraph 1.3 above.

## **3. Financial implications**

- 3.1 There are no financial implications arising from this report.

## **4. Equalities and Engagement Implications**

- 4.1 There are no equality or engagement implications associated with this report

**Background Papers:** None

### **Appendices:**

Appendix 1 – Job Description and Person Specification – Chief Executive



**ROLE PROFILE**

<b>POST TITLE:</b>	Chief Executive
<b>FAMILY:</b>	Corporate Management and Leadership
<b>REPORTING TO:</b>	Council
<b>SALARY</b>	£142,814 per annum
<b>POST NO:</b>	CX0001
<b>DATE:</b>	April 2017

**PURPOSE**

Responsibility for providing leadership to the Council’s Management Team and all employees; securing the staff and other resources needed to deliver high quality, cost effective services to the people of Swansea; working closely with elected members to ensure the realisation of the Council’s vision, policies and programmes; working with partners and others to realise Swansea’s full potential.

**KEY RESPONSIBILITIES**

**Strategy & Leadership**

- Act as principal advisor to the Council
- Provide clear leadership to Elected Members in shaping and delivering a manageable strategic direction and corporate plan for the Council
- Lead the Corporate Management Team to ensure the Council’s agenda is met
- Lead the Council through periods of significant change
- As Head of Paid Service focus on matters of strategic significance, leading and managing the relationships with internal and external stakeholders
- Understand the needs of stakeholders, enabling the effective prioritisation of service delivery
- Promote the profile of Swansea locally, regionally, nationally and internationally
- Act as an advocate within the Council ensuring clarity, understanding and commitment
- Ensure the effective governance of the Council and the legality, probity, integrity, proper accountability and scrutiny of decision making processes

**People & Resource Management**

- Manage the Council’s key resources: human resources; financial resources, information and assets, to secure efficiency and value for money
- Foster a culture of initiative, mutual support and improvement as the natural working environment
- Ensure that new initiatives are managed in line with the capacity of the organisation
- Ensure that a sound system of internal control is in place, understood and applied in practice.

### Performance Management

- Ensure arrangements are in place to deliver the Council's objectives and achieve continuous improvement
- Ensure the Scrutiny function demonstrates rigour and challenge in the decision making process
- Set and review the objectives and standards of performance for the Corporate Management Team.

### Local Democracy

- As the Council's Returning Officer ensure that arrangements are in place to conduct local elections
- Ensure community engagement and consultation enabling the citizens of Swansea to express opinions and choices
- Demonstrate an open commitment to actively celebrate the rich diversity of the city

### Service Delivery

- Drive the delivery of quality services which meet the needs of customers
- Ensure effective multi-functional working across the Council and with Partners

ROLE ACCOUNTABILITY	END RESULT
<b>Leadership</b>	
To provide strategic leadership on Corporate Plans, Strategies and priorities and to lead internal portfolios, programmes and external partnerships and initiatives	<ul style="list-style-type: none"> <li>➤ Strategic leadership for the Council's portfolios, programmes and projects</li> <li>➤ The Council's view is effectively represented on national and regional fora and partnerships</li> <li>➤ Leadership on corporate change and transformation</li> </ul>
<b>Corporate Management</b>	
To provide lead on corporate decision making fora to ensure sustainable delivery of the services	<ul style="list-style-type: none"> <li>➤ Participation in Corporate Management decision making</li> <li>➤ Completed strategic corporate and business plans</li> <li>➤ Clear aims and objectives disseminated across all services</li> <li>➤ Local, regional and national plans considered in future corporate planning</li> </ul>
<b>Policy</b>	
Develop and oversee the implementation of Corporate strategies and policies. Influence and contribute to regional and national strategies, policies and plans on behalf of the Council.	<ul style="list-style-type: none"> <li>➤ Statutory and legislative requirements effectively translated into Corporate and Service policies and strategies</li> <li>➤ Regional and national policy across the public sector influenced</li> <li>➤ Council policies developed and implemented</li> </ul>
<b>Professional advice and guidance</b>	
Support and provide advice to Chief Officers, Members and other internal and external stakeholders in area of expertise and context of business requirements	<ul style="list-style-type: none"> <li>➤ Members supported</li> <li>➤ Chief Officers/Heads of Service/Senior Managers supported</li> <li>➤ Stakeholders supported</li> </ul>

<b>Resources &amp; Financial Management</b>	
<p>Lead, set, monitor and control the budgets and resources</p> <p>Overall responsibility for budget and resourcing to meet Authority objectives</p>	<ul style="list-style-type: none"> <li>➤ Corporate financial probity is maintained.</li> <li>➤ Effective financial, asset and resource management</li> <li>➤ Resource planning is effective</li> <li>➤ Budget targets planned and met, variances identified and remedial action taken</li> <li>➤ All resources effectively employed/ deployed</li> <li>➤ Contracts outcomes achieved to plan</li> </ul>

<b>ROLE ACCOUNTABILITY</b>	<b>END RESULT</b>
<b>Compliance</b>	
<p>Ensure appropriate legislative and regulatory compliance mechanisms are in place</p>	<ul style="list-style-type: none"> <li>➤ Statutory and regulatory compliance on behalf of the Council is met</li> <li>➤ Professional and regulatory standards monitored and met</li> <li>➤ Council risk is identified and mitigated</li> </ul>
<b>Customer and Citizen Focus</b>	
<p>Provide an environment that supports the development of new ways of working and support innovation that focuses on the customer/citizen; ensure customer/citizen satisfaction</p>	<ul style="list-style-type: none"> <li>➤ New models of delivery considered/ supported to achieve value for money and efficiencies</li> <li>➤ Customer/Citizen needs prioritised and met</li> </ul>
<b>Performance Management</b>	
<p>Ensure Authority KPIs and standards are set in place for each service and responsible officers have adequate resources to deliver performance outcomes</p>	<ul style="list-style-type: none"> <li>➤ Performance targets met</li> <li>➤ Outcomes identified and met</li> <li>➤ Key risks mitigated and issues resolved</li> <li>➤ Corrective actions implemented</li> <li>➤ Statutory requirements and external standards satisfied</li> <li>➤ Improvements identified and planned</li> </ul>
<b>People Management</b>	
<p>Lead, manage, develop and motivate the services and teams within the Authority, and support cross functional/cross agency teams.</p> <p>Support regular Authority workforce planning activities to ensure the sustainability of the workforce.</p>	<ul style="list-style-type: none"> <li>➤ Positive climate</li> <li>➤ Capable and knowledgeable staff</li> <li>➤ Directorate Workforce and Training Plans in place</li> <li>➤ Appraisal mechanisms maximised to ensure optimal performance</li> <li>➤ Council and HR policies/procedures met</li> </ul>
<b>NATURE OF CONTACTS</b>	
<ul style="list-style-type: none"> <li>➤ Represent the Council</li> <li>➤ Substantial knowledge and experience of navigating the political environment at regional and national level.</li> <li>➤ External organisations including government bodies, local and regional partnerships.</li> <li>➤ Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions.</li> <li>➤ Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions.</li> <li>➤ External providers and suppliers – Outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level.</li> </ul>	

<b>ROLE ACCOUNTABILITY</b>	<b>END RESULT</b>
<ul style="list-style-type: none"> <li>➤ Colleagues, management, Directors, Members and external organisations -supporting future corporate planning, reporting and presenting options to assist and inform decision making</li> </ul>	
<b>WORKING ENVIRONMENT</b>	
<p>Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites.</p>	
<b>PROCEDURAL CONTEXT</b>	
<p>The role's impact will be on Authority issues, and may include compliance with legal and statutory frameworks, and will extend to influence on matters of corporate or national importance. Role will also include:</p> <ul style="list-style-type: none"> <li>➤ Influencing the development of external policy frameworks, national and regional initiatives and programmes; taking the lead role in interpreting them in the Council context.</li> <li>➤ Supporting the Council in delivering corporate strategies/plans and policies</li> <li>➤ Leading the development of plans, policies and systems - integrating these plans into business planning for short, medium and longer term situations.</li> <li>➤ Lead/support the implementation of Corporate Change Programmes and Projects.</li> </ul>	
<b>KEY FACTS AND FIGURES</b>	
<p>Responsible for budget and strategic planning and control – overall responsibility for budget monitoring and deployment of resources for the Directorate.</p>	
<b>INDICATIVE QUALIFICATIONS</b>	
<ul style="list-style-type: none"> <li>➤ A relevant degree is desirable and/or Chartered membership of an appropriate professional body (CCAB) is mandatory.</li> <li>➤ Post graduate level professional qualification</li> <li>➤ Relevant Degree</li> </ul>	
<b>WORK KNOWLEDGE</b>	
<ul style="list-style-type: none"> <li>➤ Proven track record in public sector organisations, with significant political acumen at the regional and national level.</li> <li>➤ In depth technical, professional and legislative knowledge across specific areas of expertise – ability to present on specific areas at highest levels to influence policy and decision making</li> <li>➤ In depth management experience, including extensive project / programme management/sponsoring experience.</li> <li>➤ Thorough understanding of the Council, and the wider local, Regional, National and international context to develop and implement strategies, policies and standards.</li> </ul>	
<b>EQUIPMENT AND ASSOCIATED SKILLS</b>	
<ul style="list-style-type: none"> <li>➤ Standard Office equipment.</li> <li>➤ ICT literate in standard office software.</li> <li>➤ Associated professional software applications where appropriate.</li> </ul>	



## COMPETENCIES

### A NOTE ON COMPETENCIES

Mandatory competencies have been designed to ensure that officers in the Corporate Management and Leadership family are fully aware of their responsibilities in these areas.

### COMPULSORY REQUIREMENTS FOR HEALTH AND SAFETY COMPLIANCE

All members of the Corporate Management Team have statutory duties under Health and Safety Legislation and responsibilities placed on them in the Authority's Corporate Health and Safety Policy.

1. The Chief Executive shall, while at work, take reasonable care for the health, safety and wellbeing of themselves and of other persons who may be affected by their acts or omissions
2. The Chief Executive shall comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act relevant to their work activities
3. The Chief Executive shall fulfil their responsibilities for health and safety as detailed in the City and County of Corporate Health and Safety Policy and its arrangements and additionally be responsible collectively for delivering the responsibilities of CMT.
4. The Chief Executive shall take action to ensure that all persons delivering work under their direction comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act, and that employees fulfil their responsibilities for health and safety as detailed in the City and County of Swansea Health and Safety Policy.

### COMPULSORY REQUIREMENTS FOR EQUALITY AND DIVERSITY (EQUALITY ACT 2010)

The City and County of Swansea, as a public body, has legal obligations under the Equality Act 2010 and Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 that includes the Public Sector Equality Duty.

#### The Chief Executive must:

1. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance.
2. ensure that all corporate work (including priorities, strategies and plans) fully complies with the requirements of all equality legislation

### COMPULSORY REQUIREMENTS FOR THE WELSH LANGUAGE ACT

The authority has obligations to meet the requirements of the Welsh Language Act 1993 and the Welsh Language (Wales) Measure 2011. This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

#### The Chief Executive must:

1. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
2. ensure that all corporate strategies and plans fully comply with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

### COMPULSORY REQUIREMENTS FOR INTRODUCING CHANGE AND NEW WAYS OF

## **WORKING**

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

### **The Chief Executive must:**

1. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens
2. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

## **SAFEGUARDING**

All members of the Corporate Management Team are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.





## ROLE PROFILE SPECIFIC BEHAVIOURS

### A NOTE ON BEHAVIOURAL COMPETENCIES

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure for 2013. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

### BEHAVIOUR 1

#### Job Knowledge and Professionalism

<b>Purpose</b>	Corporate Management Team have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

### BEHAVIOUR 2

#### Planning and Organising

<b>Purpose</b>	Corporate Management Team are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/ Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

<b>BEHAVIOUR 3</b>	
<b>Decision Making</b>	
<b>Purpose</b>	Corporate Management Team demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
<b>BEHAVIOUR 4</b>	
<b>Building Working Relationships</b>	
<b>Purpose</b>	Corporate Management Team work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
<b>BEHAVIOUR 5</b>	
<b>Communicating and Influencing</b>	
<b>Purpose</b>	To ensure the Corporate Management Team communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.
<b>BEHAVIOUR 6</b>	
<b>Customer and Citizen Focus</b>	
<b>Purpose</b>	Corporate Management Team demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery

3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.

**BEHAVIOUR 7**  
**Delivering the Service**

<b>Purpose</b>	Corporate Management Team understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda

**BEHAVIOUR 8**  
**Information, Finance and Resources**

<b>Purpose</b>	Corporate Management Team understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

**BEHAVIOUR 9**  
**Programme and Project Management**

<b>Purpose</b>	Corporate Management Team are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are

	achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
<b>BEHAVIOUR 10</b> <b>People and Performance</b>	
<b>Purpose</b>	Corporate Management Team understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources