

## OVERVIEW & SCRUTINY COMMITTEE MEETING

27 APRIL 2021

10:30AM - 12:30PM

### Invited Attendees:

- Chair: Councillor Lawrence Williams
- Independent: Aaron Lawes (Deputy Chair), May Palmer
- DLEP: Lorna Carver (Director), Sara Uzzell (Board Member), Corrina Osborne (Head of Governance & Operations), Daniela Doncakova (Senior Programme Manager), Finn Morgan (Dorset LEP Business Engagement & Dorset Gateway Manager)
- BCP: Councillor Paul Hilliard
- Dorset Council: Councillor Jon Andrews, Councillor Dave Bolwell

### AGENDA

Item	Subject/ Title	Presenter	Actions / Recommendations	Documents / web resources
1.	Welcome Apologies and Declarations of Interest	Lawrence Williams	To record Declarations of Interest	-
2.	Agree draft minutes	Lawrence Williams	To approve minutes	
3.	Actions from last meeting	Lawrence Williams	All actions involved further information on various subjects – all of which will occur in this meeting	Minutes from last meeting
4.	Managing Conflicts of Interest	Corrina Osborne	-	Conflicts of Interest paper
5.	SMEs Engagement in the Business Support Offer	Finn Morgan	-	
6.	Project Lifecycle: Case Study Example	Daniela Doncakova	-	
7.	Project Pipeline: Themes	Lorna Carver	-	
8.	Support Provided to Dorset Council Area	Lorna Carver		
9.	Future Work Programme	Lawrence Williams	To determine the content of the next meeting, from the Future Work Programme or add to this.	Future Work Programme paper
10.	Highlights for Board update	Corrina Osborne	To establish the salient points from the meeting to be included in the Board update	
11.	AOB	All		

Date of next meeting: 6 September 2021

## DRAFT MINUTES

### DORSET LOCAL ENTERPRISE PARTNERSHIP (LEP) OVERVIEW & SCRUTINY COMMITTEE

15 FEBRUARY 2020 (10am-12pm)

#### MS Teams Video Conference

#### MINUTES

##### Committee Attendees:

Sara Uzzell (SU) (Dorset LEP Board member)  
 Aaron Lawes (AL) (independent member)  
 Cllr Jon Andrews (JA) (Dorset Council)  
 Cllr Paul Hilliard (PH) (BCP Council)  
 Cllr Lawrance Williams (BCP Council)  
 Cllr Dave Bolwell (Dorset Council)

##### Also Present:

Dr Corrina Osborne (CO) (Dorset LEP)  
 Daniela Doncakova (DD) (Dorset LEP)

##### Apologies

Lorna Carver (LC) (Dorset LEP)  
 Rebecca Davies (RD) (Dorset LEP)  
 May Palmer (MP) (private sector representative)

Item	Welcome, Apologies and Declarations of Interest	Action
1.	<p>SU chaired the meeting and welcomed all. The meeting started with a round of introductions.</p> <p>Apologies were noted.</p> <p>SU welcomed Cllr Lawrance Williams who will be joining the future meetings on behalf of BCP Council as Cllr Phil Broadhead will no longer be able to attend this Committee.</p> <p>SU provided a summary overview of Dorset LEP Board and its role and an overview of Dorset LEP's reach, remit and aims; explaining how this Committee fits into the structure. She provided an update on Dorset LEP Board membership and key areas of activity.</p> <p>SU gave an overview on the Investment Prospectus and Dorset sectors and how they are aligned to transform the Dorset economy.</p> <p>Declarations of interest were received from LW. He is a Member of Arts Council for England – South West Member, Governor of Kings Park School Bournemouth, Trustee and Chair of one charity and a Trustee of another in the charitable sector</p>	
Item	Chair nomination	Action
2.	LW volunteered and was appointed as the Committee Chair.	
Item	Actions from last meeting	Action
3.	All actions from the previous meetings have been addressed. Minutes from the September 2020 meeting were approved by the Committee members.	
Item	Overview of Governance & Assurance Arrangements	Action

<p>4.</p>	<p>CO gave a presentation on the overview of Dorset LEP assurance and governance. She gave a background to LEPs across England and highlighted the role of the National Assurance Framework. She stated that the Board is the governing body of the Dorset LEP and is tasked with developing localised strategies, setting priorities and supporting delivery teams. The Board is made up of public and private sector volunteers from across the Dorset area and from a wide range of industries and led by a business Chair. Dorset LEP is established as a company and Board members are company directors.</p> <p>CO detailed the LEP accountability through government departments and informed the committee that LEPs are subject to regular review by government in order to assure they are fit for purpose, acting within the governance policies and sufficiently well-resourced to deliver their objectives, particularly in relation to the industrial strategy. She shared the reviews of LEPs which had recommended best practice, which Dorset LEP had implemented.</p> <p>CO stated that the Local Assurance Framework covers governance and decision making, transparency, accountability, strategic ambition and direction, roles and responsibilities, policies and procedures, decision making and ensuring value for money and effective programme delivery.</p> <p>She provided an overview of Committees and working groups are highlighted that these are made up of Board members and industry professionals and the Dorset LEP Board is the ultimate decision-making function. She also explained the decision-making structure of the Committees and Board.</p> <p>The Dorset LEP Board is the ultimate decision-making function. Board members are Dorset LEP company directors and are bound by Articles of Association and they must complete adhere by policies such as Local Assurance Framework, Code of Conduct, Conflict of Interest etc.</p> <p>CO highlighted that the Board is private sector led (80%) and that there is a dedicated Equality and Diversity member of the Board and SME member of the Board. Membership is 3 years with the option to extend for a further three and all roles other than that of Chair are not remunerated.</p> <p>She stated that all members are recruited through an open and transparent process and the most recent recruitment round was November 2020 following which we now have a strong pipeline of members. All new Board members undergo an induction process.</p> <p>The role of the Accountable Body was outlined and these 2 key functions:</p> <ul style="list-style-type: none"> <li>• Finance: holding public funds paid by Government on behalf of the Dorset LEP and processing payments.</li> <li>• Oversight: includes an oversight function of processes such as Dorset LEP governance and transparency arrangements, compliance with the Framework and agreement on scrutiny arrangements, to ensure that the checks and reporting requirements of the Section 151 Officer are met; this includes retaining appropriate documentation on decisions around funding.</li> </ul> <p>CO explained that Aidan Dunn is the Section 151 Officer and this role ensures oversight of the proper administration of financial affairs with the Dorset LEP is carried out throughout the year and provides documentation to government to confirm this annually. The Section 151 Officer invited to all Board meetings but is not entitled to vote or otherwise make LEP decisions.</p>	
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Item	Strategy: the impact of COVID-19 on Dorset LEP strategic direction	Action
5.	<p>CO highlighted that the key strategic document is the Local Industrial Strategy which is a plan for the place, based on an extensive evidence base and the work to create this was conducted with stakeholders over a year long period and completed in December 2019. She shared an extract of the Dorset LEP Delivery Plan which was published in March 2020 and recognises Covid-19 had just started to emerge in the UK.</p> <p>CO shared with the committee that in July 2020 Dorset LEP commissioned research in order to test the LIS evidence base in light of Covid-19 in order to understand the mechanisms by which the pandemic will affect the Dorset economy. She stated this research analysed risk and resilience factors that will drive local economic outcomes, and how these could play out in Dorset, the medium and longer-term implications of the Covid-19 crisis for key business sectors, clusters and sub-geographies – the challenges and the opportunities; to identify potential for local action and influence over outcomes. CO stated that the research confirmed existing strategic objectives and action plans did not need to be re-assessed.</p> <p>CO shared that the Dorset Investment Prospectus is currently being written and is a plan for the place, based on the ambition of the Local Industrial Strategy and will address Covid-19 recovery. This document has been created since last summer and is anticipated to be published in March 2021.</p>	
Item	Risk Management Framework	Action
6.	<p>CO outlined the Dorset LEP Risk Management Framework which ensures that key risks to Dorset LEP's delivery are identified, managed, monitored and escalated effectively across project, programme and corporate levels. She stated that this covers the approach to risk management and process and activities adopted for identifying and managing risk across corporate, programme and project level and identifies the roles and responsibilities for employees in active risk management.</p> <p>She highlighted the key principles of risk management and how risk is evaluated. CO also shared the risk management process, reporting, risk impact scoring, evaluation criteria and key responsibilities.</p>	
Item	Project Lifecycle	Action
7.	<p>DD gave an overview presentation on key policies, decision making, due diligence and monitoring and evaluation processes across capital programmes.</p> <p>She explained three key stages of due diligence and decision-making processes that are in line with the National and our Local Assurance Framework. Dorset LEP Board is involved and informed throughout every stage to ensure effective and transparent decision making. Furthermore, DD explained Dorset LEP rigorous evaluation and monitoring mechanisms that are in place and gave an overview on project management reporting stages and delivery evaluation processes; ensuring value for money.</p> <p>All relevant due diligence and decision-making policies and documents are published on Dorset LEP website and are in a public domain.</p> <p>SU stated that a case study example of a project lifecycle would be a useful example.</p>	

	<b>Action: DD to create a case study for the April meeting.</b>	<b>DD</b>
<b>Item</b>	<b>Future Work Programme discussion</b>	<b>Action</b>
8.	<p>LW stated he would like to see a thematic list of pipeline projects.</p> <p><b>Action: DD to provide a list in the next meeting.</b></p> <p>DD</p> <p>AL stated he would like to see how SMEs are engaged in the business support on offer.</p> <p><b>Action: Finn Morgan to be invited to the April meeting to give a presentation.</b></p> <p>DD</p> <p>AL stated he would like to learn more about how conflicts of interest are managed.</p> <p><b>Action: CO to present on how this is managed at the next meeting.</b></p> <p>CO</p> <p>JA stated he would like to know how much support has been given to West Dorset.</p> <p><b>Action: CO to present on how this is managed at the next meeting.</b></p> <p>CO</p>	
<b>Item</b>	<b>Any other business</b>	<b>Action</b>
9.	No other business was discussed.	

**Note: Date of Next Meeting – 27 April 2021**

## OVERVIEW & SCRUTINY COMMITTEE

<b>Meeting Date</b>	27.04.21		
<b>Security Level:</b>	<b>Confidential</b> <input type="checkbox"/>	<b>Commercially Sensitive</b> <input type="checkbox"/>	<b>Unclassified X</b>
<b>Paper Title</b>	Management of Conflicts of Interest		
<b>Papers are provided for:</b>	<b>Decision</b> <input type="checkbox"/>	<b>Discussion</b> <input type="checkbox"/>	<b>Information X</b>

### 1. PURPOSE

This paper gives an overview of how Conflicts of Interest (Cols) are managed at Dorset LEP.

### 2. SUMMARY/BACKGROUND

Our [Local Assurance Framework](#) demonstrates our commitment to transparency and accountability; this document contains information regarding the arrangements for managing Cols in section 31. We also have the [Articles of Association](#), a [Staff Col Policy](#) and a [Board Member Col Policy](#) and arrangements for dealing with Cols in Committees is outlined in their Terms of Reference, as detailed later in this paper.

We use the National Audit Office's report into Conflicts of Interests to inform our policies. Our published policies outline the processes for Board Members and Dorset LEP staff to declare and report interests, ensuring impartiality and the avoidance of perceptions of bias. They provide guidance on the pecuniary and nonpecuniary interests individuals must declare, outline the process that Board Members and Dorset LEP follows for declaring interests and explains the process for requesting an exemption.

The policies cover commercial, actual and potential Cols and we state that this policy applies to any/all involvement with the work of Dorset LEP. The policies cover details of how scenarios of potential Cols of local councillors, private sector and other Board Members will be managed whilst ensuring input from their areas of expertise in developing strategies and decision making, without impacting on good governance. We keep a record of action taken in response to any declared interest within meeting minutes.

We also have a [Board Member Expenses Policy](#), a [Hospitality & Anti-Bribery Policy](#) and a [Hospitality Register](#), all published online. This ensures we have clear processes for declaring expenses and hospitality received, enabling individual Board Members and staff to declare expenses and gifts received, in addition to a register for gifts and/or hospitality provide to Dorset LEP and/or Dorset LEP Board as a whole.

#### **Board Members**

The Articles of Association details that whenever a Director finds himself or herself in a situation that is reasonably likely to give rise to a Col, they must declare their interest to the Directors. If any question arises as to whether a Director has a Col, the question shall be decided by a majority decision of the other Directors. Whenever a matter is to be discussed at a meeting or decided and a Director has a Col in respect of that matter then, they must remain only for such part of the meeting as in the view of the other Directors is necessary to inform the debate; not be counted in the quorum for that part of the meeting; and withdraw during the vote and have no vote on the matter.

When a Director has a Col which he or she has declared to the Directors, he or she shall not be in breach of his or her duties to the Company by withholding confidential information from the Company if to disclose it would result in a breach of any other duty or obligation of confidence owed by him or her.

The Articles of Association also cover Directors power to authorise a Col. This is permitted provided:

- in relation to the decision to authorise a Col, the conflicted Director must comply in authorising a Col, the Directors can decide the manner in which the Col may be dealt with and, for the avoidance of doubt, they can decide that the Director with a Col can participate in a vote on the matter and can be counted in the quorum;
- and the decision to authorise a Col can impose such terms as the Directors think fit and is subject always to their right to vary or terminate the authorisation

They also state that a Director shall not be accountable to the Company for any benefit which he or she derives from any matter, or from any office, employment or position, which has been authorised by the Directors. The Directors must also ensure that a register of Directors' interests is kept and maintained and a Director must declare the nature and extent of any interest, direct or indirect, which they are in a proposed transaction or arrangement with the Company or in any transaction or arrangement entered into by the Company which has not previously been declared.

Each Board Member must review their individual register of interests before each Board meeting and committee meeting, submitting any necessary revisions to Dorset LEP at the start of the meeting, which is a standing agenda item. This is evidenced in the meeting minutes and by producing and updating their register as soon as practically possible if new interests arise.

Our policies state that all Board Members, Sub-Board Members and co-opted members adopt our bespoke proforma register of interests. Individual registers of interest for all Board Members, Sub-Board Members, Co-opted Members and the Director are completed and signed within 28 days of taking up post and before advising or participating in any decision making. These registers are published on our [Board Member webpages](#).

### **Committee Members**

All Committees have a Terms of Reference and within section 4.4 it is stated that:

- The Committee shall ensure that all Cols are fully disclosed.
- The Secretariat shall maintain a Register of Members' Interests. Members shall supply information to the Secretariat for inclusion in the register, or a nil return, on joining the Committee, in response to any request for an update and on becoming aware of any new interest. The Secretariat will circulate a request for information about interests annually.
- Should a member's interests change, s/he shall inform the Secretariat at the earliest opportunity. Should an issue be discussed by the Committee which presents a Col to a member, the member shall declare the conflict of interest, regardless of whether s/he has previously declared the interest in the Register of Members' Interests. Such declarations shall be minuted.



- Members shall not vote or participate in discussions on any issues on which they have registered an interest.

All members are asked to complete a Col form upon joining a Committee, this is checked and signed by the Director as well as the Section 151 Officer at Dorset Council. Any changes would require an updated form to be completed and Director and Section 151 Officer approval again.

The first agenda item in all Committee meetings is Declarations of Interest which covers Cols. Should an item on the agenda be relevant to the Col, it is most likely the member will be asked to leave the meeting for that item, depending on its nature. For instance where a decision on a funding application is needed, the members with the Col would leave the meeting and re-join after this. When members leave in such circumstances, this is noted in the meetings,

#### **Dorset LEP Staff Members**

At the point of a job offer being made, candidates are asked to declare any Cols as some conflicts would be unacceptable given the nature of the work. All Dorset LEP staff must complete a Col Form upon joining the company and these are all made publicly available on our [Team webpage](#).

All staff must adhere to the Staff Col Policy and they are informed in the Staff Handbook that they must declare any change of circumstances that may pose a Col. In addition, staff are contacted every 6 months to ask if any changes have occurred and their form updated if this is the case.

### **3. RECOMMENDATIONS**

None – for information only.



## Overview and Scrutiny Committee

### Draft Work Programme

Meeting Date	Subject	Details
<b>January 2021</b>	Risk	An overview of how this is managed
	Strategy	The impact of Covid-19 on Dorset LEP strategic Direction
	Governance	Overall assurance arrangements, committees and reporting into Board and constitution of Board.
	Delivery	Project Lifecycle
<b>April 2021</b>	Governance	How Conflicts of Interest are managed
	Delivery	How SMEs are engaged in the business support offer
		Case study example project lifecycle
		Project pipeline themes
		Support given to West Dorset

## Future meetings?

Subject	Details	Origin of Item	Comments	Date of Meeting
Engagement	Review how Dorset LEP engages with the business community and how this could be strengthened, including potential funding applications.	-	Presentation on the current strategies to be provided along with key data as required to evidence engagement.	
	Review of public engagement and promotion activity to identify opportunities to maximise this.	-	Presentation on the current strategies to be provided along with key data as required to evidence engagement.	
Transparency	Review and advise the Dorset LEP Board on matters of transparency, ensuring that the LEP is meeting the highest standards of transparency and, in particular, the required standards as set down by the Central Government.	Terms of Reference	Presentation on the requirements laid out in the Local National Assurance Framework and how they are being fulfilled.	
	Funding allocation process			
Best Practice	To liaise with other LEP's over the development and dissemination of best practice. Best practice sharing via BEIS.	<a href="#">Strengthened Local Enterprise Partnerships.</a>	Paper on the Peer Review of the Dorset LEP with the Humber LEP and key documents.	
Delivery	Review how entire programmes of activity are evaluated and how assurance of its delivery can be best provided.	-	Review of requirements of documents such as the <a href="#">Dorset Growth Deal</a> and Dorset LEP current practice.	
	Review barriers to on-time project delivery to ascertain if controllable measures can be implemented by the Dorset LEP to reduce this.	-	Presentation of barriers as provided by delivery partners and overview of management controls, project management and reports.	

	Arrangements for delivery of Enterprise Zones			
Strategy	Review end-to-end processes regarding opportunities for funding in terms of transparency. Advise on any measures to be implemented in the future where Dorset LEP may wish to issue calls for specific strategic projects linked to the Local Industrial Strategy objectives.	-	Presentation on the end-to-end processes, key paperwork and potential strategic areas for future funding calls.	
	Review of activity around energy and digital connectivity			
	MP engagement and alignment with Dorset LEP strategy.			