6<sup>th</sup> June 2014 draft Appendix A

### SCHEME OF DELEGATION TO OFFICERS

### 1. Introduction

1.1 This scheme has been adopted by Bolsover District Council and North East Derbyshire District Council and sets out the extent to which the powers and duties of the Councils are delegated to officers under the Local Government Act 1972, the Local Government Act 2000 and all other powers enabling delegation to officers. It is adopted with the intention of giving a streamlined, clear and simple decision-making process. It should be interpreted widely.

- 1.2 Under this scheme officers must keep Members properly informed of action arising within the scope of these delegations. Officers must liaise closely with the relevant Portfolio Holder on executive functions and the relevant Chairman of the regulatory committee when the matter falls within the remit of that committee.
- 1.3 All references to legislation shall be deemed to include any subsequent amendments to such legislation.
- 1.4 Officers shall consult the local Ward Member(s) when they exercise any delegated powers specifically affecting their ward and when the matter is likely to be politically sensitive or contentious unless legal reasons prevent this.
- 1.5 Under section 101 of the Local Government Act 1972 the Council may authorise an officer of the authority to commission and monitor work for and on behalf of the Council by people who are not officers of the authority and such people will be bound by this scheme, and the obligations contained in it, at all times when engaged on Council business (for example Environmental Health).
- 1.6 References to powers of 'the Council' include functions of the executive.
- 1.7 Any reference to a function shall be deemed to include a reference to all statutory powers relating to that function and shall be deemed to include authority to exercise all such powers.
- 1.8 All delegations are intended to be cumulative. Each delegation may be read on its own unless it is specifically expressed to be subject to another.
- 1.9 All delegations to officers are subject to:
  - Statutory requirements
  - Contract Standing Orders
  - Financial Regulations/Finance Rules
  - Consideration of the policies and plans of the relevant Council
  - The Employee Code of Conduct and adopted protocols

- The requirements of the Strategic Alliance Management Team in relation to the overall management and co-ordination of the Councils affairs
- Any financial limits set out in any budget agreed by Council and in accordance with Financial, Contract and Property Procedure Rules
- The Budget and Policy Framework set by Council and any other Council policy having regard to any report by the Head of Paid Service, the Monitoring Officer or the Officer designated under section 151 of the Local Government Act 1972
- Any provision contained within this Constitution
- 1.10 Where an officer has delegated powers, the Council or the Cabinet/Executive or a Committee (as appropriate) can still exercise that power in a particular case if it considers it appropriate to do so. Equally it is always open to an Officer not to exercise delegated powers but to refer the matter up as appropriate.
- 1.11 The Chief Executive Officer, Executive Directors and Assistant Directors are all joint posts within the Strategic Alliance. However, the word "Joint" has been omitted from the scheme descriptions.

### 2. Exclusions

- 2.1 This Scheme does not delegate:
  - Any matter which by law may not be delegated to an officer
  - Any matter which is specifically excluded from delegation by this scheme, by a decision of the Council, the Cabinet/Executive or a Committee or Sub-Committee.

### 3 Authorisations to other Officers

Officers with delegated powers may in writing authorise another officer or officers to exercise those powers. Such authorisations may be subject to limitations and conditions. The officer with the delegated powers must keep a register of all authorisations granted. Copies must also be sent to the Governance Manager.

### 4 Reserve Delegations

- 4.1 The delegated powers held by a post may be exercised by the line manager of that post (or by their line manager) if:
  - that post is vacant
  - the post-holder is not at work for any reason

### 5 Consultation

5.1 Officers shall consult as appropriate and have due regard to the advice given. If for any reason it is not practical to consult a person required to be consulted in the exercise of a delegation then the person with the delegated

power must consult someone else whom he/she considers to be an appropriate substitute. In particular, consultation must take place with legal, finance and human resources as appropriate.

# Restriction on delegations to Assistant Directors and Heads of Service (BDC)

- 6.1 Each delegation to an Assistant Director/ Head of Service is subject to a limitation that it shall not be exercised if the Head of Paid Service, or a Executive Director, or the Monitoring Officer, or Section 151 Officer, has given a direction to that effect.
- 6.2 The Head of Paid Service, or an Executive Director, may exercise any delegated power possessed by an Assistant Director/Head of Service whilst a direction is in force with respect to that delegation.
- 6.3 An Executive Director may exercise any delegated power possessed by the Chief Executive if that post is vacant or the post holder is absent.
- 6.4 In the absence of an Executive Director, an Assistant Director/Head of Service within that Directorate may exercise any delegated power possessed by that Executive Director.

### 7 Transfer of Functions

- 7.1 Where the name of a post is changed, or its relevant functions become vested in a different post, any delegated powers possessed by the post shall be retained by the renamed post or transferred to the different post as the case may be. This includes any delegated powers vested in a post by resolution of the Council, the Cabinet/Executive or a Committee/Sub Committee.
- 7.2 Where a service is restructured, the Chief Executive shall have authority to re-allocate the delegated powers to other posts and shall give notice of this to the Assistant Director of Governance.

### 8 Proper Officers

- 8.1 In addition to the specific powers delegated to Chief Officers, local government legislation specifies that certain officers must have responsibility for a number of specific functions as set out in the various acts of parliament. Each officer with such responsibility is known as the "Proper Officer" in relation to that task. The list of Proper Officers is approved by the Council and is attached at Appendix One.
- 8.2 The Council is also required to appoint certain officers known as Statutory Officers to take responsibility for functions specified in local authority legislation. These functions are in addition to the Scheme of Delegation and are set out below.

# 9 General powers delegated to all Executive Directors and Assistant Directors

- 9.1 To exercise within approved budgets all matters of day to day administration and operational management of the services and functions for which they are responsible.
- 9.2 To take all necessary action to achieve and implement the objectives and actions set out in approved policies, strategies, plans and decisions of Council or committees.
- 9.3 To sign licences and notices relevant to their service areas subject to consultation with the Monitoring Officer.
- 9.4 To make decisions on any objection submitted which relates to a proposal, application or other matter within their service area, subject to Committee Terms of Reference.
- 9.5 Service of any statutory notices affecting their service area subject to consultation with the Monitoring Officer where appropriate.
- 9.6 To exercise the Council's powers to enter land and premises (and to authorise others to enter land and premises) for the purposes of any of the Council's functions which the officer has responsibility for enforcing or investigating.
- 9.7 To instruct the Council's Legal Service with respect to any legal matter concerning their department or services.
- 9.8 To exercise the Council's power to publish information about its services including deciding the content of any publication.
- 9.9 To decide the terms upon which services will be provided to the public (which may include providing services on different terms to different individuals or classes of individuals).
- 9.10 To exclude people from Council premises where they consider this to be warranted in the interests of health and safety or for the maintenance of order. The Chief Executive must be informed of any decision to exclude under this paragraph.
- 9.11 To deal with the following employment matters in accordance with Council procedures:
- 9.11.1 The employment of all employees below Assistant Director/ Head of Service level including determining the most appropriate means of recruitment and selection;
- 9.11.2 Formulation, review and revision of person specifications and job descriptions for posts within their service areas;

- 9.11.3 Application of conditions of service including the authorisation of leave of absence, purchase of annual leave (Bolsover District Council only) and payment of honoraria;
- 9.11.4 Suspension or dismissal of employees below Assistant Director level;
- 9.11.5 Re-grading of posts below Assistant Director/ Head of Service level following job evaluation;
- 9.11.6 Determination of job sharing applications;
- 9.11.7 Waive any part of the notice required to be given by an employee to terminate employment.
- 9.12 To authorise payments for overtime in accordance with Council procedures.
- 9.13 To deal with procurement matters acting at all times within the Council's Financial and Contract Procedure Rules.
- 9.14 To acquire, dispose of, grant and obtain rights in land and premises on such terms and conditions as considered appropriate.
- 9.15 To acquire, dispose of, grant and obtain rights in vehicles and other equipment and property.
- 9.16 To commission goods, services and works within approved budgets.
- 9.17 To deal with media enquiries and press releases in conjunction with the Communications Manager/Officer who will contact the relevant Members.
- 9.18 To represent the views of the Council in responding to consultations with the Council by any outside body where it is expedient to do so or where the period for a response does not allow the consultation paper to be reported to Members, subject to contacting the relevant Portfolio Holder or the Leader and Deputy Leader where the matter is politically contentious and where appropriate reporting to Executive/Cabinet/Council subsequently.
- 9.19 To work with partners to achieve and implement the objectives and actions set out in the approved Corporate Plan, Service Plans, Business Plans, policies, strategies or other plans.

# 10. Specific Delegations

10. Chief Executive Officer			
Delegations		Exceptions	
10.1	To act as Head of Paid Service for the Council in accordance with the duties set out in Section 4 of the Local Government Act 1989.	Suspension of Monitoring Officer and Section 151 Officer limited to suspension for a maximum of 2 months.	
10.2	To guide and where appropriate direct Executive Directors and Assistant Directors in the exercise of their delegated functions in order to achieve the overall corporate aims and objectives of the Council.		
10.3	To express the views of the Council with regard to Local Government and the functions associated with it, within the general policy laid down from time to time by the Council or its Committees and to act thereon.		
10.4	To take such action as he/she considers appropriate in an emergency following consultation with the Leader and/or Deputy Leader as he/she considers the circumstances will allow. Any decisions taken under this paragraph shall be reported by the Chief Executive Officer to the next meeting of Council explaining the reasons for the decision.		
10.5	If there is an urgent need for a commercial decision, the Chief Executive Officer, following consultation with the Leader and/or Deputy Leader shall make the decision and endorsement will be sought from the Executive or Council as appropriate.		
10.6	To act and perform all functions and duties of Electoral Registration Officer, Returning Officer, Deputy Returning Officer, Local Returning		

- Officer, Acting Returning Officer and Local Counting Officer in all elections and referenda.
- 10.7 To formulate and co-ordinate advice on strategic and corporate policy and value for money issues.
- 10.8 To authorise officers who are not solicitors to represent the Council in legal proceedings in the Magistrates' Court.
- 10.9 To consider and co-ordinate any investigation by the Local Government Ombudsman or the Housing Ombudsman.
- 10.10 To consider and report on any report of the Local Government Housing Ombudsman or the Ombudsman and to decide on and implement the action to be taken and to approve and make compensation payments on the recommendation of the Ombudsman whether or not a budget exists following consultation with the Leader and Deputy Leader up to a maximum of £5,000 in respect of each recommendation.
- 10.11 To progress the Strategic Alliance by taking any action necessary to facilitate it including but not limited to redundancies which may result from the implementation.

To implement shared services with other local authority or public sector bodies taking action by any facilitate the necessarv to arrangements including but not limited to redundancies which may result from the implementation.

10.12 To make authorisations of officers from other services at Bolsover District Council to carry out appropriate statutory powers within North East Derbyshire.

- 10.13 To make authorisations of officers from other services at North East Derbyshire District Council to carry out appropriate statutory powers within Bolsover District Council.
- 10.14 To issue/grant such authorisations as may be necessary to enable any employee to undertake with full legal force the full range of their duties subject to such authorisation remaining only in force until the next ordinary meeting of the Committee have authority to issue/grant such authorisations.
- 10.15 Following consultation with the relevant portfolio holder to select a substitute to represent the Council and Executive on outside bodies if the nominated representative is unable to attend.
- 10.16 To exercise any of the powers delegated to the Executive Director or Assistant Director.
- 10.17 To determine applications under the Regulation of Investigatory Powers Act 2000 and related legislation.
- 10.18 Following consultation with the Section 151 Officer, delegation in respect of points 1.3 and 1.4 of the LGPS transfers policy.
- 10.19 Following consultation with the Executive Director of Operations, if they see fit to accept transfers (in respect of an individual employees application to transfer in pension from a previous scheme), to the local government pension scheme outside the 12 month period, in those cases where the scheme member had not been informed of the time limit.

- 10.20 Following consultation with the Bolsover District Council Leader and Deputy Leader, to select Members to sit on any appeals hearing dealing with the hearing and determination of appeals relating to employment (including those relating to dismissal or other disciplinary action, sickness absence, pensions and grievance)
- 10.21 Following consultation with the Leader or Deputy Leader and on recommendation of the Monitoring Officer, to approve expenditure in pursuance or determination of any employment related disputes including settlement agreements.
- 10.22 Following consultation with the Leader and Deputy Leader to authorise the making of a compulsory purchase order pursuant to any of the statutory powers enabling the Council so to do and including the exercise by the Council of such powers on behalf of a Parish or Town Council where so requested.
- 10.23 To amend the Polling Place Scheme between reviews, following consultation with the Leader and Deputy Leader.
- 10.24 To exercise overall responsibility for corporate management and operational issues (including overall management responsibility for all staff);
- 10.25 (i) To determine all staffing matters.
  This includes determining
  matters relating to structure
  (additions, reductions and other
  changes to the establishment),
  the appointment, dismissal,
  suspension or discipline of staff
  save that in relation to the Chief
  Executive Officer, the Executive
  Directors and the Assistant
  Directors this does not include

the appointment and dismissal. For the avoidance of doubt this power includes secondments and temporary appointments of any staff.

- (ii) Where the decision of Chief Executive Officer taken under (i) above requires consideration of the financial/budgetary implications and a decision in that respect only, then the matter will be referred to the Executive/Cabinet, provided that the remit of the Executive/Cabinet shall be limited to decisions on financial matters only.
- 10.26 To authorise alcohol exclusion zones and incur necessary expenditure to create, manage or revoke an alcohol exclusion zone.

11. Ex	ecutive Director (Operations)	
Delega	ations	Exceptions
11.1	To guide and where appropriate direct Assistant Directors in the exercise of their delegated functions in order to achieve the overall corporate aims and objectives of the Council.	
11.2	To deputise for the Chief Executive Officer in his absence and exercise any powers delegated to him.	
11.3	To determine whether an employee who has left the employment of the Councils shall be granted early release of pension subject to Council approval of the budgetary implications.	
	To act as the Section 151 Officer for the Council in accordance with the duties set out in the legislation.	

- 11.4 After consulting with the Head of Paid Service and the Monitoring Officer, as Section 151 Officer to report to the Council Meeting (or Cabinet/Executive in relation to an Executive Function) and the External Auditor if they consider that any proposal, decision or course of action will involve incurring unlawful expenditure or is lawful and is likely to cause a loss or deficiency or if the Council is likely to enter an item of account unlawfully.
- 11.5 Have responsibility for the proper administration of the financial affairs of the Council.
- 11.6 After consultation with the relevant Portfolio Holder to authorise the write-off of bad debts up to an approval limit of £2,500. Larger debts will be included in a report for information to the Executive/Cabinet.

Following consultation with the Leader and Deputy Leader, to agree extended rent free periods up to 5 years where major building works are undertaken by tenants on Pleasley Vale Business Park.(Bolsover District Council only)

11.7 To determine applications under the Regulation of Investigatory Powers Act 2000 and related legislation.

12. Ex	ecutive Director of (Transformation)	
Delega	ations	Exceptions
12.1	To guide and where appropriate direct Assistant Directors in the exercise of their delegated functions in order to achieve the overall corporate aims and objectives of the Council.	
12.2	To deputise for the Chief Executive Officer in his absence and exercise any powers delegated to him.	
12.3	To determine applications under the Regulation of Investigatory Powers Act 2000 and related legislation.	

# **Growth Directorate**

13 Assistant Director of Governance and Monitoring Officer		
Delega	ations	Exceptions
13.1	To act as Monitoring Officer for the Council in accordance with the duties set out in Section 5 of the Local Government Act 1989.	
13.2	To institute, prosecute, defend, conduct, participate in, withdraw or settle any legal proceedings brought by or against the Council, to make any necessary applications and to take steps to enhance or protect the Council's legal position or interest.	
13.3	Authority to sign documents in legal proceedings, contracts, contracts in accordance with the Contract Procedure rules whether under seal or not, any document necessary in legal proceedings on behalf of the Council and Information and complaints, and lay them on behalf of the Council for the purpose of Magistrates' Court proceedings	

unless statute provides otherwise.

- 13.4 Instruction of Counsel and to retain the services of costs specialists, parliamentary agents or outside solicitors and to obtain expert advice on any matter affecting or likely to affect the interests of the Council.
- 13.5 To negotiate and settle claims and disputes without recourse to court proceedings.
- 13.6 To represent the Authority and secure the appearance of an advocate on the Authority's behalf in any legal proceedings.
- 13.7 To conduct, authorise and coordinate investigations into complaints under the Members Code of Conduct and make reports or recommendations about them to the Standards Committee.
- 13.8 To advise whether decisions of the Cabinet/Executive are in accordance with the Budget and Policy Framework.
- 13.9 To provide advice on the scope of powers and authority to take decisions, financial impropriety, probity and Budget and Policy Framework.
- 13.10 Monitoring and advising upon all aspects associated with the Regulation of Investigatory Powers Act (RIPA).
- 13.11 To monitor the use of the Gifts and Hospitality Registers and to maintain and sign acknowledgement of entries in the NEDDC Gifts and Hospitality Register.

Legislative Provision	Function	Proper Officer	
Local Government Act 1972			
S.83(1) to (4)	Witness and receipt of Declaration of Acceptance of Office	Chief Executive Officer	
S.84(1)	Receipt of notice of resignation of elected member	Chief Executive Officer	
S.88(2)	Arranging a Council meeting to appoint a Chair of the Council	Monitoring Officer	
S.89(1)	Notice of casual vacancy	Chief Executive Officer	
S. 96	Disclosure of Members Interests	Monitoring Officer	
S.100 (except 100(D))	Admission of public (including press) to meetings	Monitoring Officer	
S.100(B)(2)	The officer who may exclude from agendas any information which is likely to be dealt with in the absence of press and public	Monitoring	
S.100(B)(7)	The officer to supply copies of documents to newspapers	Monitoring Officer	
S.100(C)(2)	The officer to prepare a written summary of the proceedings at committees and sub-committees	Monitoring Officer	
S.100(D)(1)(a)	The officer to prepare a list of background papers for inspection.	Monitoring Officer	

S.100(D)(5)(a)	The officer to include in the list of background papers those documents which have been relied on.	Monitoring Officer
S.100(F)(2)	The officer to determine when a document should not be open to inspection because it discloses exempt information.	Monitoring Officer
S.115(2)	Receipt of money due from officers	Executive Director (Operations)
S.146(1)(a) and (b)	Declarations and certificates with regard to transfer of securities	Executive Director (Operations)
S.151 (and S.114 Local Government and Finance Act 1988)	The officer responsible for the proper administration of the Council's financial affairs	Executive Director (Operations)
S.151 (and S.114 Local Government and Finance Act 1988)	The officer responsible for the proper administration of the Council's financial affairs - Deputy	Assistant Director of Finance, Revenues and Benefits.
S.191	Officer to whom an application under S.1 of the Ordinance Survey Act 1841 will be sent	Executive Director (Operations)
S.225	Deposit of documents	Monitoring Officer
S.228(3)	Accounts for inspection by any member of the Council	Executive Director (Operations)
s. 234	The officer required to give, make or issue any notice, order or other document under any enactment and to sign the same.	Chief Executive Officer
S.229(5)	Certification of photographic copies of documents	Senior Principal Solicitor or Principle Solicitor
S.236(9) and (10)	Sending of copies of byelaws to parish councils, parish meetings and County Council	Senior Principal Solicitor or Principal Solicitor

S.238	Certification of byelaws	Chief Executive Officer	
S.248	Officer who will keep the Roll of Freemen	Chief Executive Officer	
Schedule 12 Government Act 1972		Local	
Para 4(2)(b)	Signing of summons to Council meeting	Monitoring Officer	
Para 4(3)	Receipt of notice about address to which summons to meeting is to be sent	Monitoring Officer	
Schedule 14			
Para 25	Certification of resolution passed under this paragraph	Chief Executive Officer	
Schedule 16			
Para 28	Deposits of lists of buildings of special architectural or historic interest	Chief Executive Officer	
Local Government Act 1974			
S.30(5)	To give notice that copies of an Ombudsman's report are available	Monitoring Officer	
Local Government (Miscellaneous Provisions) Act 1976			
S.41(1)	The officer who will certify copies of evidence of resolutions and minutes of proceedings	Monitoring Officer	

Local Authorities Cemeteries Order 1977			
Regulation 10	To sign exclusive rights of burial	Executive Director (Operations)	
Representations of the Ped	ople Act 1983		
S.8	Registration Officer	Chief Executive Officer	
S.8	Deputy Registration Officer	Assistant Director of Governance and Monitoring Officer Head of Elections (BDC) Elections Manager (NEDDC)	
S.35	Returning Officer for Local Elections	Chief Executive Officer	
S.35	Deputy Returning Officer for Local Elections	Assistant Director of Governance and Monitoring Officer Head of Elections (BDC) Elections Manager (NEDDC)	
S.24	Acting Returning Officer for a Parliamentary Election	Chief Executive Officer	
S.24	Deputy Acting Returning Officer for a Parliamentary Election	Assistant Director of Governance and Monitoring Officer Head of Elections (BDC) Elections Manager (NEDDC)	
S.82 and 89	Receipt of election expense declarations and returns and the holding of those documents for public inspection	Chief Executive Officer	
Local Elections (Parishes and Communities) (England and Wales) Rules 2006			
Rules 5	Officer to receive the request for election to fill a casual vacancy in a Parish Council.	Chief Executive Officer	

Local Government Act 2000			
	All references to the Proper Officer in the Local Government Act 2000 and subordinate legislation	Chief Executive Officer except as specifically provided in this scheme	
The Local Authorities (Exe (England) Regulations 2013	cutive Arrangements) (Meeting 2	gs and Access to Information)	
Regulation 3	Recording of Executive decisions made at meetings of the Executive or Cabinet.	Monitoring Officer	
Regulation 5	Inspection of documents following Executive decisions	Monitoring Officer	
Regulation 6	Inspection of background papers	Monitoring Officer	
Regulation 9	Individual Executive decisions	Monitoring Officer	
Regulation 11	Access to agenda and connected reports	Monitoring Officer	
Regulation 12	Publicity in connection with Key Decisions	Monitoring Officer	
Regulation 15	General exception relating to Key Decisions	Monitoring Officer	
Regulation 17	Members' rights of access to documents	Monitoring Officer	
Regulation 21	Confidential/exempt information and exclusion of public from meetings	Monitoring Officer	
Building Act 1984	•		
S.78	Signing of Notices	Building Property and Contracts Manager	
Public Health (Control of Disease) Act 1984			
S.31	Certification by officer of need for disinfection of premises	Assistant Director of Planning and Environmental Health.	
S.32	Certification by officer of need to remove person from infected house	Assistant Director of Planning and Environmental Health	

Public Health Act 1936			
S.85(2)	To serve notice requiring remedial action where there are verminous persons or articles	Assistant Director of Planning and Environmental Health	
Public Health Act 1961			
S.37	Control of any verminous article	Assistant Director of Planning and Environmental Health	
Localism Act 2011			
S. 81	Administration of Community Right to Challenge	Monitoring Officer	
S.87	Maintenance of List of Assets of Community Value	Monitoring Officer	
Freedom of Information Ac	t 2000		
S. 36	Qualified Person	Monitoring Officer	
Local Government and Hou	using Act 1989		
S.2(4)	Recipient of the list of politically restricted posts	Monitoring Officer	
S.3	Employers certificate for exemption from politically restricted posts	Monitoring Officer	
S.4	Head of Paid Service	Chief Executive Officer	
S.5	The Monitoring Officer	Assistant Director of Governance	
S. 5	Deputy Monitoring Officer	Governance Manager Principle Solicitor(BDC only)	
S.15	Officers to receive notices relating to membership of political groups	Monitoring Officer	

S. 19	Keeping the Register	Monitoring Officer
Local Government (Commi	ttees and Political Groups) Re	gulations 1990
	For the purposes of the composition of committees and nominations to political groups	Monitoring Officer
Local Authorities (Standing Orders) (England) Regulations 2001		
	Officer who will give written notice of appointment or dismissal of officers listed in Schedule 2, Part11, paragraph 3	Chief Executive Officer