



Establishment Committee

Date: THURSDAY, 1 DECEMBER 2016

Time: 11.00 am

Venue: COMMITTEE ROOM - 2ND FLOOR WEST WING, GUILDHALL

Members: Deputy the Revd Stephen Haines (Chairman)
Edward Lord (Deputy Chairman)
Randall Anderson
Mark Boleat
Nigel Challis
Deputy Billy Dove
Sheriff & Alderman Peter Estlin
Deputy Kevin Everett
Deputy Jamie Ingham Clark
Jeremy Mayhew
Sylvia Moys
Deputy Joyce Nash
Barbara Newman
Deputy Richard Regan
Deputy Elizabeth Rogula
Angela Starling
Philip Woodhouse

Enquiries: Sacha Than
tel. no.: 020 7332 3419
sacha.than@cityoflondon.gov.uk

Lunch will be served in the Guildhall Club at 1pm
NB: Part of this meeting could be the subject of audio or video recording

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES**
To agree the public minutes and summary of the meeting held on 25 October 2016.

For Decision
(Pages 1 - 8)
4. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.

For Information
(Pages 9 - 10)
5. **STRENGTHENING THE CITY CORPORATION'S REPRESENTATIVE AND PROMOTIONAL WORK IN ASIA**
Report of the Director of Economic Development.

For Decision
(Pages 11 - 14)
6. **TERMS OF REFERENCE AND FREQUENCY OF MEETINGS**
Report of the Town Clerk.

For Decision
(Pages 15 - 18)
7. **REGISTER OF INTERESTS FOR CHIEF OFFICERS**
Report of the Director of Human Resources.

For Information
(Pages 19 - 42)
8. **REVENUE BUDGETS 2017/18**
Report of the Town Clerk, the Chamberlain, and the Comptroller and City Solicitor.

For Decision
(Pages 43 - 54)
9. **PAY AND REWARD STRATEGY**
Director of Human Resources to be heard.

For Information

10. **SCHEME OF DELEGATIONS**
Report of the Director of Human Resources.

For Information
(Pages 55 - 56)

11. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

12. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

13. **EXCLUSION OF THE PUBLIC**

MOTION - That under Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act.

For Decision

Part 2 - Non-Public Agenda

14. **NON-PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on 25 October 2016.

For Decision
(Pages 57 - 58)

15. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

For Information
(Pages 59 - 60)

16. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

17. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

Part 3 - Confidential Agenda

18. **CONFIDENTIAL MINUTES**

To agree the confidential minutes of the last meeting held on 25 October 2016.

For Decision

19. **SCHEME OF DELEGATIONS CONFIDENTIAL APPENDIX**

Report of the Director of Human Resources.

For Information

20. **CULTURE, HERITAGE AND LIBRARIES UPDATE**
Report of the Town Clerk.

For Decision

21. **TOWN CLERK'S UPDATE**
Town Clerk to be heard.

For Information

ESTABLISHMENT COMMITTEE

Tuesday, 25 October 2016

Minutes of the meeting of the Establishment Committee held at the Guildhall EC2 at 1.45 pm

Present

Members:

Deputy the Revd Stephen Haines (Chairman)	Deputy Jamie Ingham Clark
Edward Lord (Deputy Chairman)	Jeremy Mayhew
Randall Anderson	Sylvia Moys
Mark Boleat	Deputy Joyce Nash
Deputy Billy Dove	Barbara Newman
Sheriff & Alderman Peter Estlin	Philip Woodhouse

Officers:

John Barradell	-	Town Clerk and Chief Executive
Neil Davies	-	Town Clerk's Department
Paul Debus	-	Town Clerk's Department
Scott Nixon	-	Town Clerk's Department
Sacha Than	-	Town Clerk's Department
Peter Kane	-	Chamberlain
Matthew Lock	-	Chamberlain's Department
Michael Cogher	-	Comptroller and City Solicitor
Chrissie Morgan	-	Director of Human Resources
Aniki Applewhite	-	Human Resources Department
Janet Fortune	-	Human Resources Department
Tracey Jansen	-	Human Resources Department
Steve Sheldon	-	Human Resources Department
Barbara Giles	-	City of London Police
Jack Joslin	-	The City Bridge Trust
Shegufta Rahman	-	The City Bridge Trust

[The Chief Commoner Michael Welbank was in attendance]

1. APOLOGIES

Apologies for absence were received from Mark Boleat, Deputy Richard Regan, Deputy Elizabeth Rogula and Angela Starling.

The Chairman advised that former Establishment Committee Member Janet Owen had passed away and the Committee's thoughts were with her family.

The Chairman conveyed good wishes on behalf of the Committee to two Members who were currently unwell.

2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**

There were no declarations of interest.

3. **MINUTES**

In response to a Member's request for an update on how the use of personal recording devices during disciplinary interviews had been addressed, the Director of Human Resources explained that there had been an increase in the use of recording devices by staff and the best way to manage this was being considered. The Director of Human Resources agreed to provide an update to the Committee at a later date.

RESOLVED – That the public minutes and summary of the meeting held on 16 September 2016 be approved as an accurate record.

4. **OUTSTANDING ACTIONS REPORT**

The Committee considered a report of the Town Clerk which provided details of outstanding actions from previous meetings.

The Town Clerk informed the Committee that the Member Development Briefing on the Local Authority Designated Officer Role had been cancelled due to a lack of interest. The Town Clerk advised that it would be unlikely for a second session to be arranged on Unconscious Bias in the near future.

Members asked for a summary of information relating to Member Development training with details on courses scheduled, attendance levels and costs. Members added that it would be useful to know of their obligations in relation to undertaking training.

RESOLVED – That:

- a) the Town Clerk look into the points raised with regards to Member Development; and
- b) the Committee note the report.

5. **CITY OF LONDON CORPORATION MARATHON TEAM**

The Committee considered a report of the Town Clerk which asked Members to make a recommendation to the Policy and Resources Committee on the level of payment for the annual grant awarded to the marathon team.

Members suggested that in future it would be useful to set specific objectives for projects like this and the level of funding awarded could be linked to performance against those objectives.

RESOLVED – That the Committee:

- a) note the outcomes of the marathon team;
- b) agree to provide the current level of funding to the marathon team for three years and for a review to take place between years two and three; and

- c) note that the Chief Grants Officer would be requested to approve the charities to be supported by the marathon team on an annual basis.

6. CHAMBERLAIN'S DEPARTMENT ORGANISATION STRUCTURE

The Committee considered a report of the Chamberlain which provided an overview of the organisational changes within the Chamberlain's Department over the past 12-18 months.

In response to a Member's question on future work planned, the Chamberlain confirmed that although there were no further changes anticipated in the Department at present, areas such as IT were fast moving and could require changes in the future.

Members raised the importance of the role of risk management and asked for further information on what consideration had been given to this area. The Chamberlain confirmed that the Internal Audit and Risk Management Team reported directly to him, that consideration had been given to create a risk management culture within the Corporation and that the work of the Internal Audit and Risk Management Team was given high priority.

The Chamberlain informed the Committee that the October Court of Common Council had recommended the re-designation of the position of Financial Services Director to Deputy Chamberlain.

RESOLVED – That the Committee note the report.

7. TOWN CLERK'S OFFICE BUSINESS PLAN PROGRESS REPORT

The Committee considered a report of the Town Clerk which provided an activity update at 30 September 2016 on progress towards achieving the objectives set out in the Town Clerk's Business Plan.

RESOLVED – That the Committee note the report.

8. TOWN CLERK'S RISK REGISTER

The Committee considered a report of the Town Clerk which provided assurance of satisfactory risk management procedures within the Town Clerk's Department.

RESOLVED – That the Committee note the report and the actions taken in the Town Clerk's Department to monitor and manage risks.

9. COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN 2016-2019 PROGRESS REPORT

The Committee considered a report of the Comptroller and City Solicitor which provided a summary of progress toward achieving the aims and objectives of the Comptroller and City Solicitor's Departmental Business Plan 2016-19.

The Committee congratulated the Comptroller and City Solicitor on achieving all targets that had been set.

RESOLVED – That the Committee note the report.

10. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL RISK MANAGEMENT REPORT**

The Committee considered a report of the Comptroller and City Solicitor which provided an update on the Comptroller and City Solicitor's departmental risks as at 30 September 2016.

Members noted that a test within Information Services was due to be undertaken in November 2016 to test access to critical systems and asked for confirmation on who the results would be sent to. The Town Clerk advised that the results should be presented before the Audit and Risk Management Committee.

RESOLVED – That the Committee note the report.

11. **PROTOCOL ON MEMBER OFFICER RELATIONS**

The Committee considered a report of the Director of Human Resources which asked Members to consider a recommendation from the Standards Committee to amend the Protocol on Member/Officer Relations to better reflect corporate initiatives in relation to equality, diversity, and inclusion.

RESOLVED – That the Committee endorse the recommendation of the Standards Committee to amend the Protocol on Member/Officer Relations for onward approval by the Court of Common Council.

12. **NEW APPRENTICESHIP SCHEME AND PAID WORK EXPERIENCE**

The Committee considered a report of the Director of Human Resources which provided an update on the work of the Apprenticeship Task and Finish Group which was set up to address the Government's new policy on the Apprenticeship Levy.

In response to Members' questions on the financing of the Apprenticeship Scheme, the Chamberlain explained that the Government had not yet confirmed all the details of the scheme therefore it was not possible at this stage to set out the all the different financial rates.

The Director of Human Resources confirmed to Members that as part of the scheme, individuals undertaking work experience would have a contract of employment for the duration of their placement and as such would be entitled to statutory benefits. Members raised the point that it was likely that those undertaking work experience would be minors or vulnerable adults, but asked that checks be carried out and adequate training be given for the mentors involved in the scheme.

Members asked that when advertising the scheme, the opportunities be presented before young people not in education, employment or training and that within the scheme there be opportunities for non-academic candidates.

The Director of Human Resources confirmed that the Human Resources Department was in the process of writing guidance and producing a report on the scheme and these issues would be addressed in the report which would be submitted to the Establishment Committee at a later date.

RESOLVED – That:

- a) the Committee approve the pay of Apprentice Level 2 and 3 be increased from £10,920 and £12,480 per annum to the London Living Wage rate of £17,155 and £17,498 (the current London Living Wage plus 2%) respectively with effect from 1 April 2017;
- b) the Committee note that the London Living Wage rate is expected to be uplifted on 31 October 2016;
- c) the Committee agree that these rates are established as pay scales for apprentices and paid work experience and in future reviewed as part of the annual pay considerations;
- d) the Committee endorse revisions to the City Corporation's Pay Policy Statement to reflect this change for onward approval by the Court of Common Council;
- e) the Committee agree in principle the additional costs (£251,500) of providing an expanded service subject to a further report outlining the detailed proposals;
- f) the Committee approve the pay for all paid work experience in line with Level 2 apprentice pay rate (London Living Wage); and
- g) a report be submitted to the Committee at a later date with further details of the scheme.

13. FAMILY FRIENDLY POLICIES - AMENDMENTS TO PROMOTE PARITY

The Committee considered a report of the Director of Human Resources which asked Members to consider a number of minor amendments to current family friendly policies to provide greater parity for employees.

RESOLVED – That the Committee endorse the proposed changes to the Paternity Leave, Adoption Leave and Shared Parental Leave Policies as follows:

- a) continuous local government service be included when considering eligibility for Paternity Leave and Pay;
- b) the second week of Paternity Pay be increased from Statutory Paternity Pay (£139.58) to a normal week's pay;
- c) continuous local government service be included when considering eligibility for Adoption Pay;
- d) adoption Pay be increased to Statutory Adoption Pay (£139.58) plus 50% average pay during week 7 to 18 of adoption leave for employees with at least 52 weeks continuous local government service; and
- e) employees taking Shared Parental Leave with at least 52 weeks continuous local government service have their Shared Parental Pay increased to Statutory Shared Parental Pay (£139.58) plus 50% of average pay during weeks 7 to 18 of the Shared Parental Leave period.

14. **EQUALITY AND INCLUSION UPDATE**

The Director of Human Resources provided the Committee with an update on the recruitment of senior staff; nine appointments had been made of which four were female and five were male.

The Committee was provided with advance copies of the Annual Report which was now available on the intranet.

The Director of Human Resources confirmed that a report on equality and inclusion would be submitted to the Committee in December.

RESOLVED – That the Committee note the update.

15. **HUMAN RESOURCES DASHBOARDS**

The Committee considered a report of the Director of Human Resources which provided Members with data from the Corporate HR Dashboard.

In response to a Member's question on the inclusion of data relating to sexual orientation, the Director of Human Resources explained that staff had been asked to provide this information but it was not compulsory and is protected information.

RESOLVED – That the Committee note the report.

16. **OPERATION OF SCHEME OF DELEGATIONS**

The Director of Human Resources asked that this report and the confidential appendix at item 27 be deferred to the next meeting of the Establishment Committee.

RESOLVED – That the report and confidential appendix be submitted to the December Establishment Committee.

17. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

There were no questions.

18. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

There were no urgent items.

19. **EXCLUSION OF THE PUBLIC**

RESOLVED – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

Item	Paragraph
20, 26	1,2,3,4,5
21	1,2,3
22	3
23	4

27, 28, 29, 30	1,2
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20. **NON-PUBLIC MINUTES**
The non-public minutes of the meeting held on 16 September 2016 were approved.
21. **OUTSTANDING ACTIONS REPORT**
The Committee noted a report of the Town Clerk which provided details of non-public outstanding actions from previous meetings.
22. **RECRUITMENT ADVERTISING AND PUBLIC NOTICE ADVERTISING - PROCUREMENT STAGE 2/3**
The Committee noted a report of the Chamberlain which provided information on the appointment of a Recruitment Advertising and Public Notice Advertising Service.
23. **CITY OF LONDON POLICE CHANGE PROGRAMME**
The Committee considered and noted a report of the Commissioner of Police which provided information on the City of London Police Change Programme.
24. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There were no questions.
25. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**
There were no items of urgent business.
26. **CONFIDENTIAL MINUTES**
The confidential minutes of the meeting held on 16 September 2016 were approved.
27. **OPERATION OF SCHEME OF DELEGATIONS APPENDIX**
Following discussion at item 16, the Committee agreed to defer the confidential appendix.
28. **STAFF APPEALS COMMITTEE REPORT**
The Committee noted a report of the Comptroller and City Solicitor which provided a summary of the Staff Appeal Committee on 16 September 2016.
29. **TRIBUNAL UPDATE**
The Director of Human Resources provided the Committee with an oral update on current tribunal cases.
30. **TOWN CLERK'S UPDATE**
The Town Clerk provided the Committee with an oral update on the reconfiguration of the Town Clerk's Department.

The meeting closed at 2.52 pm

Chairman

Contact Officer: Sacha Than
tel. no.: 020 7332 3419
sacha.than@cityoflondon.gov.uk

Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	16 September 2016, Item 5	<p><u>Accommodation and Ways of Working Programme</u></p> <p>The Committee requested that a report responding to the points raised at the September meeting regarding elements that should be in place for the programme to be delivered successfully, be submitted to the Committee prior to the implementation of the Scheme.</p>	Town Clerk	January 2017	A report to be submitted in January 2017.
2.	25 October 2016, Item 3	<p><u>Use of Personal Recording Devices During Disciplinary Procedures</u></p> <p>The Committee requested an update be provided on the use of technology during disciplinary interviews and whether any measures would be put in place to address this.</p>	Director of Human Resources	TBC	TBC
3.	25 October 2016, Item 4	<p><u>Member Development Training</u></p> <p>The Committee requested a summary of information on Member Development to include details on courses scheduled, attendance levels and costs. The Committee would like to be reminded of their obligations in relation to undertaking training.</p>	Town Clerk	December 2016 / January 2017	An update will be circulated to the Committee following the December meeting of the Member Development Steering Group.

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Committee(s)	Dated:
Policy and Resources Committee – for decision Establishment – for decision Court of Common Council – for decision	Thursday 17 th November 2016 Thursday 1 st December 2016 Thursday 8 th December 2016
Subject: Strengthening the City Corporation’s Representative and Promotional Work in Asia	Public
Report of: Director of Economic Development	For Decision
Report author: Damian Nussbaum, Director of Economic Development	

Summary

In the aftermath of the EU referendum result, the City Corporation has continued to work with international partners to maintain the City of London’s role as the world’s leading financial centre and encourage inward investment to the UK. The recent Fraser Review assessed the effectiveness of our overseas offices as part of the City Corporation’s wider trade and investment activities, concluding that the work being undertaken to support financial and related professional services in the City Offices in Shanghai, Beijing and Mumbai could be strengthened and enhanced.

It is now proposed that the City Corporation’s international engagement would benefit significantly from the creation of a new Special Representative for Asia, similar to the one currently in place for Europe. It is envisaged that this new post will engage senior officials and regulators in Asia to influence policies, developing long-term relationships for the City. This will entail frequent travel across Asia to in order to maximise the City’s impact and achieve right level of engagement on behalf of the UK financial and professional services industry.

The additional resources required for the appointment of the Special Representative to Asia can be met from within the £2.55m uplift to the Corporation for promotional activity agreed by the Committee in July 2016 and charged to City’s Cash.

Recommendation

Members are asked to:-

- (i) To approve the creation of a new fixed-term post of Special Representative to Asia for the purposes and on the terms set out in the Report.
- (ii) To approve the recruitment process set out in paragraph 8 of the Report.

Main Report

Background

1. The City of London Corporation has three offices in Asia –in Shanghai, Beijing, and Mumbai. The offices opened in 2010 and have since engaged with a wide

range of financial and professional services firms, supporting the work of the Lord Mayor and Policy Chairman including overseas visits.

2. In the aftermath of the EU referendum result, the City Corporation has continued to work with international partners to maintain the City of London's role as the world's leading financial centre and encourage inward investment to the UK. Growing and initiating relationships with countries outside of the EU has never been more important. The City of London is home to the UK's pre-eminent financial and professional services firms and is a launch pad for two-way cross border trade in these sectors – the single most significant contributor to the UK's services balance of trade.

Proposal

3. The recent Fraser Review assessed the effectiveness of our overseas offices as part of the City Corporation's wider trade and investment activities, concluding that the work being undertaken to support financial and related professional services in the City Offices in Shanghai, Beijing and Mumbai could be strengthened and enhanced. In light of this, it is now proposed that the City Corporation's international engagement would benefit significantly from the creation of a new Special Representative for Asia, similar to the one currently in place for Europe. The post will be a three-year fixed term contract.
4. The Special Representative to Asia would be the lead policy and trade and investment ambassador of the City to Asia, supporting the work of the Lord Mayor and Policy Chairman in the region. This is a strategic role that will be integral in engaging business to shape policy asks and conversely to share with industry and UK Government Asia's policy and priorities in the areas of financial and related professional services.
5. It is envisaged that this new post will engage senior officials and regulators in Asia to influence policies, developing long-term relationships for the City. This will entail frequent travel across Asia in order to maximise the City's impact and achieve right level of engagement on behalf of the UK financial and professional services industry. The proposal is in line with the arrangements of the Special Representative to the EU, which Members agreed at the Court of Common Council in July 2015, and will be at a similar cost.
6. The role will:-
 - a. engage with Asian governments and regulators at a senior level to influence policy, determine prioritised efforts for collaboration, and provide opportunities to insert UK industry opportunities into Asia's economic plans;
 - b. advise the wider City of London team working in partnership with HM Treasury, Department for International Trade, Foreign and Commonwealth Office, Department for Exiting the EU and other partners across Government to identify UK Government and financial and related professional services' needs for the benefit of the wider UK economy; and

- c. facilitate joined-up development of strong relationships with senior international stakeholders, Government and financial and related professional services on matters affecting UK and Asian economic activity to create more jobs and growth.
7. The work will include:-
- a. Asia-wide travel to engage with senior policy makers, opinion formers and business leaders;
 - b. Participation in the financial services dialogues with China and India;
 - c. Developing and maintaining contacts at senior level including relevant ministers and senior officials in India and China;
 - d. Delivering key messages and policy positions on behalf of UK based financial and professional services industry to key policy makers and officials in Asia;
 - e. Keeping abreast through formal and informal channels of policy positions of Chinese and Indian institutions to inform the work of the City Corporation and UK based financial and professional services;
 - f. Making speeches, participating in conference programmes and giving media interviews;
 - g. Influencing and informing the work of the China and India Advisory Councils, whose members are senior leaders of financial and professional services firms;
 - h. Informing strategy on Asian engagement by the City Corporation, and where relevant, TheCityUK;
 - i. Close working with government and also industry bodies including TheCityUK, CBBC, UK-India Business Council, IMA, ABI, ICMA, ASIFMA, AIMA, etc.
 - j. Inform the wider City of London teams engaged on policy and innovation and commercial relationships in exports and investment.
8. The specialist nature of the role and particular skillset sought mean that an individual would be appointed to the role on the basis of a targeted recruitment campaign in consultation with the Chairman and Deputy Chairman of the Committee.

Financial Implications

9. The cost of the special representative will be up to £525,750 per annum for the three years, broken down as follows:-
 - a. £250,000 FTE in salary for the individual (up to £320,750 including on-costs)
 - b. Up to £43,000 FTE on the support function for the Special Representative (up to £55,000 including on-costs)
 - c. Up to £150,000 on travel and accommodation from the Economic Development Office's existing local risk budget.
10. The additional resources required for the appointment of the Special Representative to Asia can be met within the £2.55m uplift that was granted for additional promotional work by the Corporation in July 2016 by the Policy and Resources Committee. Thus, any expenditure on the post will be charged to City's Cash.

Conclusion

11. Growing and initiating relationships with countries outside of the EU has never been more important as the City seeks to maintain its place as the world's leading financial centre, thereby ensuring that the UK's pre-eminent financial and professional services firms continue to be a launch pad for two-way cross border trade. The Special Representative to Asia would help the City Corporation to build long-term policy links with key stakeholders in a wide range of Asian markets, opening doors for increased bilateral and pan-Asia engagement on trade and investment, and continue the work to promote inward investment to the UK in partnership with HM Government and relevant industry bodies.

Damian Nussbaum
Director of Economic Development
Economic Development Office
T: 020 7332 3605
E: damian.nussbaum@cityoflondon.gov.uk

Committee: Establishment Committee	Date: 1 December 2016
Subject: Terms of Reference and Frequency of Meetings of the Establishment Committee	Public
Report of: Town Clerk	For Decision
Report author: Sacha Than, Committee and Member Services, Town Clerk's Department	

Summary

1. As part of the post-implementation review of the changes made to the governance arrangements in 2011 it was agreed that all Committees/Boards should review their terms of reference annually. This will enable any proposed changes to be considered in time for the reappointment of Committees by the Court of Common Council.
2. The terms of reference of the Establishment Committee are attached as an appendix to this report for your consideration.
3. There are some minor word changes to the Terms of References underlined in Appendix 1 at sections 4 (a), (d), (e), (f), (k) and (o).
4. In section three under Membership, the representative of the Finance Committee is no longer referred to as ex-officio.
5. Human Resources have advised the following minor amendments and/or updates to the Terms of References:
 - a. In section four (e), *the learning and employee development scheme* and *the staff suggestion scheme* be removed as they are not contractual. In addition the reference to harassment can be removed as it is now referenced within the new grievance and disciplinary procedures.
 - b. In section four (n), the following be removed as these ceased being reported a number of years ago and are part of standard processes; *the Professional Fees and Annual Subscriptions; the Long Services Awards; the extension of sick leave of an officer whether on full or half pay*. In addition, *the extension of service of an officer who has reached retirement age* is no longer applicable.
 - c. In section four (n), the following be removed; *the payment to an officer of an honorarium, gratuity, or payment for extra services*, this is because the provision predates the establishment of the MFS board and as Committee approval is sought for those that are more than £5000 or the officer is Grade H or above.

- d. In section four (o), *equal opportunities* be removed as this is included in section four (p).
6. In December 2015, the Establishment Committee agreed to move to a six-weekly cycle of meeting to better fit with the workload of the Committee. The Committee also agreed to move away from meeting on Thursdays in order to avoid clashes with other substantial meetings. Members are asked to consider whether they would like to retain this frequency of meetings going forward.

Recommendations

The Committee is recommended to:

- a) subject to any comments, approve the terms of reference of the Committee for submission to the Court as set out in the appendix; and
- b) consider the frequency of their meetings going forward.

Appendices

Appendix 1 – Terms of Reference

Contact:

Sacha Than

Telephone: 020 7332 3419

Email: Sacha.than@cityoflondon.gov.uk

ESTABLISHMENT COMMITTEE**1. Constitution**

A Non-Ward Committee consisting of,

- one Alderman nominated by the Court of Aldermen
- 15 Commoners elected by the Court of Common Council at least two of whom shall have fewer than five years' service on the Court the time of their appointment
- a representative of the Finance Committee (Deputy Jamie Ingham Clark)

2. Quorum

The quorum consists of any four Members.

3. Membership 2016/17**ALDERMAN**

2 Peter Estlin

COMMONERS

7 (3) The Revd. Stephen Decatur Haines, M.A., Deputy (Chairman)

8 (3) Charles Edward Lord, O.B.E., J.P. (Deputy Chairman)

4 (4) William Harry Dove, O.B.E., J.P., Deputy

3 (1) Mark Boleat.

8 (4) Sylvia Doreen Moys

6 (4) Angela Starling

4 (3) Kevin Malcolm Everett, D.Sc., Deputy

2 (2) Randall Anderson, *for three years*

4 (2) Nigel Kenneth Challis

4 (2) Richard David Regan, O.B.E., Deputy

6 (2) Elizabeth Rogula

2 (2) Philip John Woodhouse

4 (1) Jeremy Paul Mayhew, M.A., M.B.A., *for three years*

30 (1) Joyce Carruthers Nash, O.B.E., Deputy

20 (1) Barbara Patricia Newman, C.B.E.

together with the ex-officio Member referred to in paragraph 1.

4. Terms of Reference

- (a) The Establishment Committee has specific authority to deal with or make recommendations to the Court of Common Council where appropriate on all matters relating to the employment of City of London Corporation employees where such matters are not specifically delegated to another Committee. These matters include:-

Conditions of employment;

Local Government Pension Scheme Superannuation (apart from investments);

Workforce planning;

Wages, salaries structure, job evaluation, staff grading and remuneration of Senior Officers;

Organisation reviews;

Employee relations;

Joint consultation;

Learning and employee development;

Recruitment and selection;

Discipline, dismissal, redundancies in line with the appropriate stages in policy etc;

Occupational health, safety and well-being fare;

NB. The exception to this rule is, whilst the support staff in the City of London Police come within the purview of this Committee, the uniformed Police come under the Police Committee.

- (b) To approve:-

(i) Reports of Heads of Departments recommending changes to senior management posts of Grade I and above which need the approval of the Court.

(ii) The structure and application of Job Evaluation Schemes and any amendments thereto.

- (c) To approve and promulgate Human Resources policies and practices so that the City of London Corporation can recruit, retain and motivate its employees and carry out its functions to the highest standards of quality and cost effectiveness;

- (d) To instigate and promulgate organisational reviews of departments and to approve their reports and comments on proposed changes in organisation to ensure that ~~staff-manpower~~ resources are deployed in an efficient and effective manner.
- (e) To make amendments to:-
- (i) the general terms and conditions of employment which are contained in the employee handbook, such as working hours, annual leave, ~~pensionsuperannuation~~, leave of absence, allowances, ~~family friendly parental leave~~ provisions, and sick pay;
 - (ii) those procedures which form part of the contract of employment to include the grievance, disciplinary, capability, ~~harassment~~, and appeals procedures, ~~the learning and employee development scheme~~, motor car, and motorcycle assisted purchase scheme ~~and the staff suggestion scheme~~.
- (f) To appoint seven members (including the representative of the Finance Committee):-
- (i) to act as the Employer's side of the Joint Consultative Committee when meeting 8 members of the recognised unions, ~~UNITE AMICUS~~ and GMB for the purpose of collective consultation and negotiation on general matters relating to salaries and terms and conditions of service etc. of City of London Corporation employees up to and including Grade G but excluding teachers and City Police Officers;
 - (ii) to act as the Employer's side of the Senior Management Joint Consultative Committee when meeting representatives of senior management of grades H and above, including High and Table Officers, for the purpose of collective consultation and negotiation on general matters relating to salaries and terms and conditions of service, etc;
- (g) To increase Judges' salaries if they follow the recommendations of the Top Review Board and are approved by the Lord Chancellor.
- (h) To increase the salary of the Coroner if it follows the recommendations of the Joint Negotiating Committee for Coroners.
- (i) To consider submissions of the Board or Boards of Governors relating to teaching staff, which, inter alia, may have to be finally submitted to the Court of Common Council.
- (j) To approve any increase in the salaries for teachers at the three City Schools if they are in excess of that recommended by the School Teachers' Review Body and any proposed changes to the basic salary structure or restructuring of the common pay spine for teachers.
- (k) To approve:-
- (i) the learning and employee development policy, strategy and budget;
 - (ii) the Health and Safety and Occupational Health ~~and Wellbeing~~ policies and strategies.
- (l) To be the service Committee for the following Departments:-
Town Clerk's (Policy and Democratic Services, including Corporate HR)
Comptroller and City Solicitor's
- (m) To be responsible for the appointment of the Coroner (and see (h) above).
- (n) In accordance with the Scheme of Delegation, to receive details of:
- i) ~~redundancies and early retirements~~
 - ii) ~~Professional Fees and Annual Subscriptions~~
 - iii) ~~Market Forces Supplements~~
 - iv) ~~Long Service Awards~~
 - v) ~~payment to an officer of an honorarium, gratuity or payment for extra services~~
 - vi) ~~the extension of service of an officer who has reached retirement age or for an extension of sick leave of an officer whether on full or half pay~~
- (o) To be responsible for the monitoring and control of overtime, sickness absence, ~~recruitment and retention~~ changes to staffing resources, ~~workforce profile equal opportunities~~, job evaluation and the termination of employment.
- (p) To have oversight of the City of London Corporation's policies and practices in respect of equality and inclusion, including the implementation of the Equality Act 2010 and other relevant legislation.
- (q) dealing with requests for grants to support staff welfare initiatives from funds under the Committee's control, as allocated by the Resource Allocation Sub (Policy and Resources) Committee

Committee(s): Establishment Committee	Date: 1 December 2016
Subject: Register of Interests for Chief Officers	Public
Report of: Director of HR	For Information
Report author: Jacqui Cover, Corporate HR Unit, Town Clerk's Department	

Summary

To provide Members with an updated Register of Interests for Chief Officers as at November 2016.

Recommendation(s)

It is recommended that Members receive this report which is for information.

Main Report

Background

1. In July 1997, the Negotiating Sub Committee decided that they wished the following recommendations to be implemented.
 - The existing list of outside voluntary work carried out by Chief Officers should be extended to include a list of all paid outside work;
 - Where a Chief Officer wishes to take on new work, this should be approved by their employing committee and the Establishment Committee;
 - The setting up of a register of interests should be carried out by the Corporate HR Unit.
 - A report should be tabled to the Negotiating Sub Committee on an annual basis to update Members on the state of the register of interests.
2. The Committee agreed that each Chief Officer should be forwarded their own record to update on an annual basis.
3. The Establishment Committee on the 21 March 2002 agreed a revision to the information that Chief Officers were required to register. Reports from Chief Officers are now only required to include activities that affect their work.

4. In January 2012, Chief Officers were sent a copy of their existing record and asked to update it where necessary in accordance with the revised criteria.
5. The guidelines attached at Appendix A were sent to Chief Officers to ensure consistency of approach.

Current Position

6. The returns from Chief Officers were used to update their individual register of interests and are provided at Appendix B.

Conclusion

7. We recommend that Members receive this report which is provided for information.

Appendices

- Appendix A – Guidance to Chief Officers
- Appendix B – Chief Officer Register of Interest

T: 020 7332 1415

E: Jacqueline.cover@cityoflondon.gov.uk

GUIDELINES ON THE DECLARATION OF INTERESTS

FOR THE CHIEF OFFICERS' REGISTER

There are two main categories of interests that should be declared:-

- (i) Outside Voluntary Work and Interests
- (ii) Outside Paid Work and Interests

These should include employment related interest.

Below are listed examples of interests that have been declared.

Local Government Associations

Archives & Records Association
 Thames Chase Community Forest Joint Committee
 UK Superannuation Committee
 Society of London Treasurers
 Society of Local Authority Chief Executives (SOLACE)
 Public Sector People Managers' Association (PPMA) (formerly known as SOCPO)
 London Councils
 Chartered Institute of Public Finance and Accountancy (CIPFA)
 Association of Chief Estates Surveyors and Property Managers in the Public Sector (ACES)
 Association of Directors of Adult Social Services
 Association of Directors of Children's Services

National Associations / Bodies

National Association of Pension Funds
 National Criminal Intelligence Service
 Serious Organised Crime Agency
 The English National Stadium Trust
 Duke of Edinburgh's Award

London Bodies

Central London Partnership
 London First
 City Fringe Partnership
 Transport Committee for London
 Livery Companies
 London Chamber of Commerce and Industry
 London Walking Forum
 Association of London Chief Librarians

Professional Bodies

Headmasters' and Headmistresses' Conference
Girls' School Association
Institute of Horticulture
Royal Institution of Chartered Surveyors
Institution of Civil Engineers
Fishmongers' and Poulterers' Institution
Association of Chief Police Officers

Charitable Organisations

Gardeners' Royal Benevolent Society
Royal British Legion
Help The Homeless
British Red Cross
Metropolitan Public Gardens Association

Public Service

Justice of the Peace
Board of Visitors H.M. Prisons
School Governor
Lecturer

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER **ADE ADETOSOYE****DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS**

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
Coram (voluntary)	Children's Charity – development of national policies relating to adoption and children's services –key benefit to the city is the opportunity to contribute to national social care policy issues	20 hours per annum – board meetings are normally between 5.30 and 7.30pm
Voice (voluntary)	Advocacy service for children in care – development of policies relevant to care leavers. –key benefit to the city is the opportunity to contribute to national social care policy issues	10 Hours per annum and additional volunteering work on Saturdays.
Holibrook (voluntary education)	Education related charitable organisation linked to developing countries	5 days intensive programme supporting children in need over the Christmas period – annual leave used to cover this.

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER Town Clerk + Chief Executive

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
Sir Simon Milton Foundation Trust	Chairman of Trustees. Local, Westminster-based charity for children + elderly.	1 day per annum
Epilepsy Society (National Society for Epilepsy)	Trustee	10 days per annum
SOLACE	Member	/

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
None		

NOTES

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER **PRIVATE SECRETARY**

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
Sion College	Educational charity for London clergy, including City clergy. Bp of London a supporter - indeed , the charity's Visitor. Benefit: Good networking opportunities among City clergy and prominent City supporters of the College	50-60 hours
McDonald Centre for the Study of Theology, Ethics and Public Life; Oxford University	The name is self explanatory. No obvious benefit for the CoLC except that there is some tangential read across to the focus on improving ethical behaviours in the City.	12 hours

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
N/A		

NOTES

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER

MICHAEL COGHER – COMPTROLLER & CITY SOLICITOR

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
	None	

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
	None	

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CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER **REMEMBRANCER**

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
St. Nicholas Parish Church Chislehurst	Sidesman / Reader	See below
Holy Trinity Church Coleman's Hatch	Reader	See below
Statute Law Society	Member; professional	See below
Sutton's Hospital in Charterhouse	Governor; philanthropy	15 hours
Magna Carta Trust	Trustee; major City Corporation interest in Charter	6 hours
Halsbury's Laws of England	Consultant Editor	None in working hours
Agincourt Trust	Trustee	None in working hours
Global Law Summit Limited (from September 2013)	Director; representing City Corporation's interest in Legal Forum as promoter of London Legal Services	10 hours None since May 2015
Financial Markets Law Committee	Representing City Corporation's interests on Financial Markets Legislation	15 hours (in working hours)

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
Nil		

NOTES

The Chief Officer reports that his outside interests are related to societies and Church activities and as a Governor of Charterhouse and are undertaken in his own time, except to the extent specified (38 hours).

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER **CAROLYN DWYER**

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
Shoreham Port Authority	Board Member *	6 days*
Scottish Futures Trust	Board Member *	6 days*
Planning Advisory Service	Board Member	Twice yearly
Resource London (the delivery branch of the Mayors London Waste and Recycling Partnership)	Board Member	Quarterly

* time taken as Annual Leave

NOTES

<p><u>Membership:</u> Chartered Institute of Logistic & Transport (CILT) Chartered Institution of Highways & Transport (CIHT) Society of Local Authority of Chief Executive (SOLACE) Worshipful Company of Paviers Member of Association of Directors of Environment Planning & Transport (ADEPT) London Environment Directors NETWORK (LEDNET)</p>
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CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER Commissioner of Police.

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
NATIONAL POLICE CHIEFS COUNCIL	MEMBER BY DEFAULT AS CHIEF OF HOME OFFICE FORCE, HEAD OF INFORMATION MANAGEMENT COORDINATING COMMITTEE.	2 DAYS PER MONTH
TRUSTEE OF CROSS SECTOR COMMUNICATIONS CHARITY. (CSSC)	INTEGRAL TO CITY POLICE WORK IN CIVIL EMERGENCIES	1 DAY PER QUARTER
TRUSTEE OF INSTITUTE OF BUSINESS ETHICS,	EDUCATIONAL CHARITY PROMOTING ETHICAL PERFORMANCE IN BUSINESS AND PUBLIC SECTOR.	2 DAYS PER QUARTER
FREGMAN OF GLOVERS LIVERY COMPANY	PART OF GL CITY CIVIC LIFE	MINIMAL
HONORARY FREGMAN OF SECURITY PROFESSIONALS LIVERY	" —	MINIMAL

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
NIL	NIL	

NOTES

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER *Head Teacher, CLS*

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
<i>The Worshipful Company of Joiners & Carpenters</i>	<i>Liveryman</i>	<i>10 hours.</i>
<i>HMC</i>	<i>Member</i>	<i>6-7 days.</i>

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
	<i>N/A.</i>	

NOTES

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER

ENA HARROP, CITY OF LONDON SCHOOL FOR GIRLS

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
Headmasters' and Headmistresses' Conference (HMC) Member of Professional Development Committee,	Attendance at regional meetings and Annual Conference (mandatory) in order to exchange good practice and attend CPD lectures discussions/seminars with peers. Involvement in shaping the Professional Development of teachers	4 days 3 x 2 hour meetings
Girls' School Association	Attendance at regional meetings and Annual Conference in order to exchange good practice and attend CPD lectures discussions/seminars with peers	3 days
St Thomas of Canterbury School	School Governor	2 days

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum

NOTES

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER *Principal, GSMD*

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
<i>freelance</i>	<i>lecturing and consultancy - reputational gain</i>	<i>2-3 days</i>

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
<i>-</i>	<i>-</i>	<i>-</i>

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CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER

DIRECTOR OF OPEN SPACES – SUE IRELAND 2016

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
The Compton Academy, Barnet	School Governor. Understanding of the challenges facing young people and schools; employment, recreation etc. which I can use in better performing my duties as Director. I also learn from the way the school is managed – leadership team.	5 days but mostly after work hrs. Ended 12/10/16
The Compton MAT	Nominate to Board as part of proposal to DfE, not operating yet.	Nil
London Parks and Green Space Forum (LPGSF), Charitable Trust.	Chairman of Board. Understanding of the challenges facing all London Boroughs, Trusts and Friends groups in the Parks and Green space sector. I am able to advise and encourage new ideas, approaches and raise awareness of the sector and the Corporation's role across London.	5 days, mainly during working day. (Completing term by Feb2017)
The Parks Alliance	Vice Chair of Board. Knowledge of the challenges facing all UK local Authorities, private sector and NGOs in the Parks and Green space sector. I am able to raise awareness of the sector and the Corporation's role across London. I will be offering support to the Board during transition period Nov 16 – Feb 17.	3 days, mainly during the working day. Resignation from Board 29/11/16.
Oak Processionary Moth Advisory Group for London, Forestry Commission	Chairman. Knowledge of the challenges facing local authorities, charitable trusts and private landowners. Opportunity to influence government resourcing and policy through FC/ DEFRA for London. Recognition of the 7,000 acres of woodland we manage in London area and the ability to act swiftly, with early knowledge of changes. Raising awareness of CoL's work.	4 days mainly during the working day.
London Forestry and Woodland Advisory Committee, Forestry Commission	Member of Committee. Opportunity to influence FC policy and strategic planning for London on trees and woodland.	2 days mainly during the working day.
Worshipful Company of Gardeners	Liveryman. Opportunity to share horticultural interests with people working in the industry or having an interest in this field. Raising money for charitable objectives.	Not in work time 2 days
SOLACE	Member	Nil

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
NIL		

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER Peter Kane

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY TEE CITY OF LONDON CORPORATION	Approx. time per annum
Society of London Treasurers	Member as FD, CoL – input into London wide policy	9 meetings x2 hours
CIPFA	Council Member – shaping and influencing professional body / important profile for Corporation	6 meetings x 3
Community Links	Trustee of community based organisation. Understanding of challenging facing Londoners and	8 meetings x 2 hours

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum

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CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER *Managing Director, Barbican Centre*

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
Arts Council England	Council Member	6 x 4 hours
North Music Trust	Board Member. Major relevant arts organisation (Sage Gateshead)	4 days
Worshipful Company of Musicians	Member	

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
National Newspapers & BBC Radio	Occasional freelance writing and reviewing for Observer etc	
Lecturer	Various talks about the Barbican, music and architecture	

NOTES

My role at Arts Council England is subject to strict conflict of interest rules and I do not participate in discussions related to Barbican development.

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER ROLAND MARTIN, HEADMASTER, CITY OF LONDON FREEMEN'S

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
Society of Heads	Member (2011 -), Committee Member and Chair of The Futures Group Benefits: professional development; networking opportunities; status for school; early understanding of national educational picture through Future's Group and influence through that Committee into the ISI Political Working Group on educational matters. Training for other staff: this year, my Academic DH will benefit from a training programme on developing future Headteachers.	10 days
HMC	Member (2012 -). Benefits: professional development; weekly newsletter on wide-ranging educational matters pertinent to leading independent schools; networking opportunities both for Head and for other Senior and Middle Leaders at the School; status for School – significant for prospective parents. Support regarding examination disputes – not least last year regarding CIE English Language IGCSE. Last year, I was able to take one of our Academy Heads, Richard Bannister, as a guest to an HMC Conference on Mental Health in Schools which benefitted us both.	5 days

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
ISI (Independent Schools' Inspectorate)	(Paid in that inspectors receive a £100 honorarium for their work) Gives a strong insight into the way that independent schools are inspected and first-rate training on lesson observations which is very helpful in a school context when observing colleagues.	4-5 days

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER

DIRECTOR OF HR

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
	Nil	

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum

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CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER **DAMIAN NUSSBAUM – DIRECTOR OF ECONOMIC DEVELOPMENT**

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
	nil	nil

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
	nil	nil

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CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER DIRECTOR OF CULTURE, HERITAGE & LIBRARIES

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
The Bibliographical Society	Chairman, Publications Committee Leading UK learned society for the study of book and manuscript history; relevant, therefore, to many of the City's research –focused collections. My involvement helps with profile-raising and networking with users.	12 hours
British Library	Chairman, Panizzi Selection Council Responsibility for selecting the speaker for an annual high profile lecture series. Having formal involvement with the BL is potentially useful for networking and influence	5 hours
National Trust	Member of Collections & Interpretation Advisory Group This comprises a group of experts in fields represented in the Trust's collections, to advise on developments in the properties that might affect the artistic and heritage assets. There are obvious synergies with CoL heritage collections/properties and this is a useful group of professional contacts	14 hours
University College London	Member of the Centre for the Digital Humanities Advisory Panel UCL is one of our leading UK universities and they do a lot of leading-edge work around the application of new technology to the arts and humanities, and to public engagement in that area. This is relevant to a number of CHL's activities and is a useful forum for cross-fertilisation of ideas.	5 hours

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum

NOTES

CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER -- David Smith

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
Worshipful Company of Cooks of London	<ul style="list-style-type: none"> • Renter Warden of the Company • Trustee of the Company Charity • Governor of the Company's Apprentice Programme 	Variable
King William IV Naval Foundation	<ul style="list-style-type: none"> • Chairman of Governors 	1 day/year
Royal Maritime Club Charity	<ul style="list-style-type: none"> • Trustee • Director of the Charity's trading arm 	1 day/year

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
	Nil	

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CHIEF OFFICERS REGISTER OF INTERESTS

CHIEF OFFICER

DETAILS OF OUTSIDE VOLUNTARY WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT AND BENEFIT DERIVED BY THE CITY OF LONDON CORPORATION	Approx. time per annum
	NIL	

DETAILS OF OUTSIDE PAID WORK AND INTERESTS

ORGANISATION	NATURE OF INVOLVEMENT	Approx. time per annum
	NIL	

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Agenda Item 8

Committee(s)	Dated:
Establishment Committee	1 December 2016
Subject: Revenue Budgets 2017/18	Public
Report of: The Town Clerk, the Chamberlain, the Comptroller and City Solicitor	For Decision
Report Author: Ray Green, Chamberlain's Department	

Summary

This report is the annual submission of the revenue budgets overseen by your Committee. In particular it seeks approval to the provisional revenue budget for 2017/18, for subsequent submission to the Finance Committee. The budgets have been prepared within the resources allocated to the Town Clerk and the Comptroller and City Solicitor.

	Original Budget 2016/17 £'000	Latest Approved Budget (LAB) 2016/17 £'000	Proposed Original Budget 2017/18 £'000	Movement 2016/17(LAB) to 2017/18 £'000
Town Clerk				
Expenditure	8,889	9,797	8,498	(1,299)
Income	(901)	(1,683)	(916)	767
	7,988	8,114	7,582	(532)
Comptroller and City Solicitor				
Expenditure	4,202	4,460	4,301	(159)
Income	(1,032)	(1,032)	(1,032)	0
	3,170	3,428	3,269	(159)
Total Net Expenditure (recharged as support services across the City Corporation's activities)	11,158	11,542	10,851	(691)

Income and favourable variances are presented in brackets

Overall, the 2017/18 proposed revenue budget totals £10.851m, a decrease of £0.691m compared with the budget for 2016/7. The main reasons for this net reduction are:-

- the budget for 2016/17 includes one-off provisions for expenditure of £447,000 (Town Clerk £247,000 and Comptroller and City Solicitor

£200,000) funded from underspends brought forward from 2015/16, as detailed to, and agreed by, your Committee in September 2016;

- the budget for 2016/17 includes one-off provisions for expenditure of £100,000 to fund employees contribution pay in that year;
- a reduction of £405,000 for service based review savings in 2017/18 for the Town Clerk; partly offset by
- the budget for 2017/18 includes an increase in the accommodation charges for the Guildhall Complex of £160,000 reflecting the anticipated phasing of the Additional Works Programme and Cyclical works Programme;
- £96,000 for the 1.0% allowance towards pay and prices agreed by the Policy and Resources Committee.

The Town Clerk's business priorities for the forthcoming year include delivery of the 'One Safe City' and 'Cultural Hub' programmes and ensuring that the 2017 Ward Elections are held successfully. Priorities for the Comptroller and City Solicitor include achieving the Service Based Review savings target through maximising income, continuing to deliver a high quality legal service in response to increasing demand for legal support and to deliver the initial stage of a transformational information management project.

Recommendations

The Committee is requested to:

- Critically review the provisional 2017/18 revenue budget to ensure that it reflects the Committee's objectives and, if so, approve the budget for submission to the Finance Committee; and
- authorise the Chamberlain to revise these budgets to reflect any further implications arising from the Service Based Reviews and other corporate efficiency projects.

Main Report

Introduction

1. This report sets out the proposed revenue budget for 2017/18 covering expenditures and incomes attributable to the Town Clerk's and the Comptroller and City Solicitor's Departments.
2. The Town Clerk's Office lies at the centre of the City Corporation's strategic management processes, helping to shape the development of corporate policy and strategy. It provides corporate leadership and co-ordination at officer level. The Town Clerk's Office is also responsible for promoting high standards of corporate governance and providing support to Members and Committees.

3. The Comptroller and City Solicitor is responsible for providing all legal services required by the City. This includes providing legal advice to Committees, Departments of the City, to the Commissioner of Police for the City, and to other organisations for whom the Comptroller and City Solicitor is required to act as legal adviser (e.g. the Museum of London).

Service Based Review

4. The Policy and Resources Committee agreed savings proposals totalling £1.893m for the Town Clerk's Department (of which £0.899m related to your Committee) and £0.377m for the Comptroller and City Solicitor's Department (wholly related to your Committee). The third and final tranche of the savings relating to the Establishment Committee are included within the budgets before you today. The Town Clerk has identified the final £405,000 in 2017/18 (£494,000 in previous years); the Comptroller and City Solicitor £377,000 in previous years.
5. The Service Based Review process is monitored by the Efficiency and Performance Sub-Committee.

Business Planning Priorities

6. The Town Clerk's priorities include:
 - delivery of the 'One Safe City' programme;
 - continuing the development and delivery of the 'Cultural Hub';
 - planning and delivering the 2017 Ward Elections; and
 - leading the transformation agenda.
7. The Comptroller and City Solicitor's priorities include:
 - working towards the department's Service Based Review target through maximising income;
 - improving information management systems; and
 - continuing to deliver a quality accredited legal service in response to increasing demands for legal advice and support.

Proposed Revenue Budget for 2017/18

8. The proposed Revenue Budget for 2017/18 is analysed between:
 - Local Risk budgets – these are budgets deemed to be largely within the Chief Officer's control.
 - Central Risk budgets – these are budgets comprising specific items where a Chief Officer manages the underlying service, but where the eventual financial outturn can be strongly influenced by external factors outside of his/her control or are budgets of a corporate nature (e.g. interest on balances and rent incomes from investment properties).

- Support Services and Capital Charges – these cover budgets for services provided by one activity to another. The control of these costs is exercised at the point where the expenditure or income first arises as local or central risk.
9. The provisional 2017/18 budgets, have been prepared in accordance with guidelines agreed by the Policy & Resources and Finance Committees and are within the resources allocated to the Town Clerk and the Comptroller and City Solicitor, which include a 1.0% cash limit increase of £96,000 for pay and prices increases.
 10. The overall budget for this Committee is set out in Appendix 1. Further details at a departmental level, including service overviews, are set out in Appendices 2 (Town Clerk) and 3 (Comptroller and City Solicitor). Income and favourable variances are presented in brackets. Only significant variances (generally those greater than £100,000) are commented on.
 11. Overall there is a reduction of £691,000 between the 2016/17 latest approved budget and the 2017/18 original budget. This movement is explained by the variances set out in the following paragraphs. Where reference is made to savings from the Service Based Review, the details are not included here as they have been the subject of separate reports.
 12. A decrease in employee expenditure of £349,000 mainly a result of anticipated savings as part of the Town Clerk's Service Based Review target, the deletion of one-off provisions for 2016/17 contribution pay and items, funded from resources brought forward from the previous year; partly offset by the inclusion of a provision for pay awards.
 13. There is a net decrease in the local risk budget for supplies and services of £483,000. The 2016/17 budget includes a number of one-off items, various consultancy works and IS projects, funded from resources brought forward from the previous year.
 14. There is a net reduction in the central risk budget for supplies and services of £791,000 The 2016/17 budget includes a number of one-off allocations to the Town Clerk's Office, from the Transformation Fund to implement the cross cutting changes needed for the Service Based Review and service transformation (there is also a corresponding reduction in income from other funds as this expenditure is recharged to all funds, see paragraph 16 below).
 15. There is an increase in the accommodation charges for the Guildhall Complex of £160,000 reflecting the anticipated phasing of the Additional Works Programme and Cyclical works Programme.
 16. There is a decrease in income of £801,000 from other funds, mainly as a result of the reduction in the central risk budget for supplies and services detailed in paragraph 14 above.

17. A summary of manpower and related staff costs is shown in Table 1 below.

Table 1 - Manpower statement	Latest Approved Budget 2016/17		Proposed Original Budget 2017/18	
	Manpower Full-time equivalent	Estimated cost £000	Manpower Full-time equivalent	Estimated cost £000
Town Clerk	126.0	6,659	120.6	6,380
Comptroller and City Solicitor	51.5	3,637	50.4	3,567
TOTAL	177.5	10,296	171.0	9,947

Potential Further Budget Developments

18. The provisional nature of the revenue budgets particularly recognises that further revisions may arise from the necessary realignment of funds resulting from such items as:

- corporate efficiency projects.
- support service apportionments.

Revenue Budget 2016/17

19. The forecast outturn for the current year is in line with the latest approved budget of £11.542m (Town Clerk £8.114m and Comptroller and City Solicitor £3.428m).

Appendices

- Appendix 1 – Committee budgets.
- Appendix 2 – Town Clerk’s budgets and service overview.
- Appendix 3 – Comptroller and City Solicitor’s budgets and service overview.

Contact Officers:

Ray Green, Chamberlain’s Department
020 7332 1332
ray.green2@cityoflondon.gov.uk

Paul Debuse, Town Clerk’s Department
020 7332 3431
paul.debuse@cityoflondon.gov.uk

Nick Senior, Comptroller and City Solicitor’s Department
020 7332 1668
nick.senior@cityoflondon.co.uk

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ESTABLISHMENT COMMITTEE SUMMARY Analysis of Service Expenditure	Local or Central Risk	Actual 2015-16 £'000	Latest Approved Budget 2016-17 £'000	Original Budget 2017-18 £'000	Appendix 1	
					Movement 2016-17 to 2017-18 £'000	Paragraph Reference
EXPENDITURE						
Employees	L	10,152	10,115	9,926	(189)	12
Employees (see note i)	C	232	181	21	(160)	12
Premises Related Expenses	L	7	0	0	0	
Transport Related Expenses	L	8	5	5	0	
Supplies & Services (see note ii)	L	1,506	1,358	875	(483)	13
Supplies & Services (mainly Transformation Fund)	C	42	831	40	(791)	14
Private Contractors (mainly dental service - see note iii)	L	47	51	51	0	
Childcare vouchers	C	49	40	45	5	
Committee Contingency	C	0	16	16	0	
Total Expenditure		12,043	12,597	10,979	(1,618)	
INCOME						
Charges for specific services (see note iii)	L	(2,045)	(1,544)	(1,578)	(34)	
Charges for specific services (mainly commercial property fee income)	C	(545)	(200)	(200)	0	
Total Income		(2,590)	(1,744)	(1,778)	(34)	
TOTAL EXPENDITURE BEFORE SUPPORT SERVICES		9,453	10,853	9,201	(1,652)	
SUPPORT SERVICES CHARGED TO THIS COMMITTEE (see note iv)		1,631	1,660	1,820	160	15
SUPPORT SERVICES CHARGED BY THIS COMMITTEE (see note v)		(149)	(971)	(170)	801	16
TOTAL NET EXPENDITURE RECHARGED AS SUPPORT SERVICES		10,935	11,542	10,851	(691)	
BY DEPARTMENT:						
Town Clerk		8,054	8,114	7,582	(532)	
Comptroller and City Solicitor		2,881	3,428	3,269	(159)	
		10,935	11,542	10,851	(691)	

Notes - Examples of types of service expenditure:-

(i) Employees (central risk) – includes Chief Officers recruitment advertising, long service mementoes

(ii) Supplies and Services – Equipment, furniture, materials, uniforms, printing, stationery, professional fees, grants & subscriptions.

(iii) Charges for specific services – commercial property fee income, corporate recruitment, HR services to London Councils, dental charges recovered from employees.

(iv) Support services reflect the share of the Guildhall complex costs and IS charges.

(v) Transformation Fund expenditure reallocated across all funds

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TOWN CLERK - SERVICE OVERVIEW

The Town Clerk's Department provides a wide range of services and activities reporting to a number of spending committees including Economic Development Office and Public Relations Office which report to the Policy and Resources Committee and the City Bridge Trust which reports to the City Bridge Trust Committee. The following divisions are included within this committee's estimates:

Town Clerk's Office

The Town Clerk's Office lies at the centre of the City Corporation's strategic management processes, helping to shape the development of corporate policy and strategy. It provides corporate leadership and co-ordination at officer level. The Town Clerk's Office is also responsible for promoting high standards of corporate governance and providing support to Members and Committees. The section consists of Committee and Member Services, Corporate Policy and Performance, Corporate HR, the Contact Centre.

The Town Clerk is responsible for servicing the Court of Common Council, the Court of Aldermen, and all the committees, sub-committees and working parties which have been created. The Town Clerk is also responsible for Democratic Services.

The core activity of the committee staff is to prepare and collate agendas, produce reports for the Town Clerk, ensure that meetings are conducted smoothly, produce minutes and monitor the implementation of the decisions reached.

Corporate HR Division

The Corporate HR Unit of the Town Clerk's Department provides services to other departments in the following areas: HR Policy Development, Pay & Reward, Employee Relations, Equalities, Learning & Development, Health & Safety, Occupational Health, Trent (computerised HR/Payroll system) and Performance Monitoring. There are two business units providing operational HR support for the organisation.

TOWN CLERK Analysis of Service Expenditure	Local or Central Risk	Actual 2015-16 £'000	Latest Approved Budget 2016-17 £'000	Original Budget 2017-18 £'000	Movement 2016-17 to 2017-18 £'000	Paragraph Reference
EXPENDITURE						
Employees	L	6,610	6,478	6,359	(119)	12
Employees (see note i)	C	232	181	21	(160)	12
Premises Related Expenses	L	7	0	0	0	
Transport Related Expenses	L	7	3	3	0	
Supplies & Services (see note ii)	L	1,311	981	631	(350)	13
Supplies & Services (mainly Transformation Fund)	C	42	831	40	(791)	14
Private Contractors (mainly dental service - see note iii)	L	47	51	51	0	
Childcare vouchers	C	49	40	45	5	
Committee Contingency	C	0	16	16	0	
Total Expenditure		8,305	8,581	7,166	(1,415)	
INCOME						
Charges for specific services (see note iii)	L	(1,245)	(712)	(746)	(34)	
Charges for specific services (printing & stationery income)	C	(45)	0	0	0	
Total Income		(1,290)	(712)	(746)	(34)	
TOTAL EXPENDITURE BEFORE SUPPORT SERVICES		7,015	7,869	6,420	(1,449)	
SUPPORT SERVICES CHARGED TO THIS COMMITTEE (see note iv)		1,188	1,216	1,332	116	15
SUPPORT SERVICES CHARGED BY THIS COMMITTEE (see note v)		(149)	(971)	(170)	801	16
TOTAL NET EXPENDITURE RECHARGED AS SUPPORT SERVICES		8,054	8,114	7,582	(532)	
BY DEPARTMENT:						
Town Clerk		8,054	8,114	7,582	(532)	
		8,054	8,114	7,582	(532)	

Notes - Examples of types of service expenditure:-

- (i) Employees (central risk) – includes Chief Officers recruitment advertising, long service mementoes
- (ii) Supplies and Services – Equipment, furniture, materials, uniforms, printing, stationery, professional fees, grants & subscriptions.
- (iii) Charges for specific services – corporate recruitment, HR services to London Councils, dental charges recovered from employees
- (iv) Support services reflect the share of the Guildhall complex costs and IS charges.
- (v) Transformation Fund expenditure reallocated across all funds

COMPTROLLER AND CITY SOLICITOR - SERVICE OVERVIEW

The Comptroller & City Solicitor is responsible for providing all legal services required by the City. This includes providing legal advice to Committees, Departments of the City, to the Commissioner of Police for the City, and to other organisations for whom the Comptroller & City Solicitor is required to act as legal adviser (e.g. the Museum of London). The office deals with important high profile matters such as several major City property developments schemes, service delivery initiatives, issues relating to the City's Markets and Open Spaces, advice on elections, constitutional, public and corporate law, planning and highways, and matters affecting the public realm and well-being of those who live and work in the City.

The Comptroller also advises London Councils and the three Academy Trust companies and is a member of the City's Summit Group. He is also lead officer for the Sickness Absence Review Group and Project Board Chairman for the Corporate AM and FM Review and Alternative Ways of Working Projects and Senior Information Risk Owner (SIRO) for the Corporation.

The legal department is divided into four divisions, namely:-

Contracts and Litigation Division

This division deals with all aspects of contract preparation including, data sharing, funding (e.g. Police National Lead Force) international theatre and art exhibitions, intellectual property including disputes, licensing and publishing; complex procurement including the new collaborative procurement and framework agreements; civil litigation including debt collection, squatters housing repossessions and homelessness, insolvencies and winding up actions; employment law , discrimination and TUPE; local authority prosecutions and licensing, Judicial Reviews, inquests, Proceeds of Crime Act recovery and child care actions.

Property Division

This division deals with all aspects of property work, including high profile commercial developments, the grant and taking of leases, sales and purchases, property management matters, housing issues, residential conveyancing, open spaces, and other legal matters concerning property. Their work particularly helps the City to maximise capital receipts and income from property assets which is very important particularly at this time.

Public & Corporate Law Division

The Public & Corporate Law Division deals with planning, traffic and highways law; open spaces matters; charity and trusts associated with the City; advising on corporate law and providing company secretarial support in respect of companies associated with the City or external clients; privacy and information law; public law and constitutional issues for both the City and London Councils; ecclesiastical law, electoral law, education matters (both as local authority and as academy sponsor in respect of the three Academy Trust companies); advice on economic development issues and joint working arrangements with other local authorities and bodies.

Office Services Division

This division provides comprehensive support to the CCS service on HR related matters, budget management and finance, commercial rent collection, IT development, procurement, information management, risk management, quality assurance and secretarial services.

COMPTROLLER & CITY SOLICITOR Analysis of Service Expenditure	Local or Central Risk	Actual 2015-16 £'000	Latest Approved Budget 2016-17 £'000	Original Budget 2017-18 £'000	Movement 2016-17 to 2017-18 £'000	Paragraph Reference
EXPENDITURE						
Employees	L	3,542	3,637	3,567	(70)	12
Transport Related Expenses	L	1	2	2	0	
Supplies & Services (see note ii)	L	195	377	244	(133)	13
Total Expenditure		3,738	4,016	3,813	(203)	
INCOME						
Charges for specific services (commercial property fee income)	L	(800)	(832)	(832)	0	
Charges for specific services (commercial property fee income)	C	(500)	(200)	(200)	0	
Total Income		(1,300)	(1,032)	(1,032)	0	
TOTAL EXPENDITURE BEFORE SUPPORT SERVICES		2,438	2,984	2,781	(203)	
SUPPORT SERVICES CHARGED TO THIS COMMITTEE (see note iv)		443	444	488	44	15
TOTAL NET EXPENDITURE RECHARGED AS SUPPORT SERVICES		2,881	3,428	3,269	(159)	
BY DEPARTMENT:						
Comptroller and City Solicitor		2,881	3,428	3,269	(159)	
		2,881	3,428	3,269	(159)	

Notes - Examples of types of service expenditure:-

(ii) Supplies and Services – Equipment, furniture, materials, uniforms, printing, stationery, professional fees, grants & subscriptions.

(iv) Support services reflect the share of the Guildhall complex costs and IS charges.

Committee(s): Establishment Committee	Date: 1 December 2016
Subject: Operation of the Scheme of Delegations July – September 2016	Public
Report of: Chrissie Morgan - Director of Human Resources	For Information
Report author: Tracey Jansen – Human Resources, Town Clerks	

Summary

In line with the Scheme of Delegations the report provides information on any redundancies, early retirements (including those made under the '85 year rule') and ill health retirements in the reporting period 1 July to 30 September 2016. The report also provides information on total numbers in a rolling year. The number of Market Forces Supplements approved by the Market Forces Supplement (MFS) Board during this quarter is also reported.

Recommendation(s)

Members are asked to:

- Note the actions taken under delegated authority.

Main Report

Background

1. In line with the Scheme of Delegations the report provides information on redundancies, early retirements (including those made under the '85 year rule'), ill health retirements and MFS payments in the period July to September 2016.
2. There have been 8 redundancies in this reporting period.
3. There has been 1 ill health retirement.
4. 17 Market Force Supplements were agreed in the period.
5. In the last 12 months there have been 42 total redundancies; 1 early retirement; and 5 ill health retirements.
6. Appendix 1 (within the confidential section of the agenda) provides a table summarising the information).

Conclusion

7. The Establishment Committee is asked to note the actions taken under delegated authority.

Appendices

8. Appendix 1 (within the confidential section of the agenda) - table summarising information for the period July - September 2016.

Tracey Jansen
Head of Corporate HR and Business Services
T: 020 7332 3289
E: tracey.jansen@cityoflondon.gov.uk

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