



Establishment Committee

Date: TUESDAY, 25 OCTOBER 2016
Time: 1.45 pm
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

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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 16 September 2016.

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

For Information
(Pages 9 - 10)
5. **CITY OF LONDON CORPORATION MARATHON TEAM**
Report of the Town Clerk.

For Decision
(Pages 11 - 14)
6. **CHAMBERLAIN'S DEPARTMENT ORGANISATION STRUCTURE**
Report of the Chamberlain.

For Information
(Pages 15 - 20)
7. **TOWN CLERK'S OFFICE BUSINESS PLAN PROGRESS REPORT**
Report of the Town Clerk.

For Information
(Pages 21 - 26)
8. **TOWN CLERK'S RISK REGISTER**
Report of the Town Clerk.

For Information
(Pages 27 - 34)

9. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN
2016-2019 PROGRESS REPORT**
Report of the Comptroller and City Solicitor.
- For Information**
(Pages 35 - 38)
10. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL RISK
MANAGEMENT REPORT**
Report of the Comptroller and City Solicitor.
- For Information**
(Pages 39 - 50)
11. **PROTOCOL ON MEMBER OFFICER RELATIONS**
Report of the Director of Human Resources.
- For Decision**
(Pages 51 - 58)
12. **NEW APPRENTICESHIP SCHEME AND PAID WORK EXPERIENCE**
Report of the Director of Human Resources.
- For Decision**
(Pages 59 - 78)
13. **FAMILY FRIENDLY POLICIES - AMENDMENTS TO PROMOTE PARITY**
Report of the Director of Human Resources.
- For Decision**
(Pages 79 - 84)
14. **EQUALITY AND INCLUSION UPDATE**
Director of Human Resources to be heard.
- For Information**
15. **HUMAN RESOURCES DASHBOARDS**
Report of the Director of Human Resources.
- For Information**
(Pages 85 - 94)
16. **OPERATION OF SCHEME OF DELEGATIONS**
Report of the Director of Human Resources.
- For Information**
(Pages 95 - 96)

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

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

19. **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

20. **NON-PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on 16 September 2016.

For Decision
(Pages 97 - 98)

21. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

For Information
(Pages 99 - 102)

22. **RECRUITMENT ADVERTISING AND PUBLIC NOTICE ADVERTISING -
PROCUREMENT STAGE 2/3**

Report of the Chamberlain.

For Information
(Pages 103 - 116)

23. **CITY OF LONDON POLICE CHANGE PROGRAMME**

Report of the Commissioner of Police.

For Information
(Pages 117 - 120)

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

25. **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

26. **CONFIDENTIAL MINUTES**

To agree the Confidential minutes of the last meeting held on 16 September 2016.

For Decision

- 27. **OPERATION OF SCHEME OF DELEGATIONS APPENDIX**
Report of the Director of Human Resources.
For Information
- 28. **STAFF APPEALS COMMITTEE REPORT**
Report of the Comptroller and City Solicitor.
For Information
- 29. **TRIBUNAL UPDATE**
Director of Human Resources to be heard.
For Information
- 30. **TOWN CLERK'S UPDATE**
Town Clerk to be heard.
For Information

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ESTABLISHMENT COMMITTEE

Friday, 16 September 2016

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

Present

Members:

Edward Lord (Deputy Chairman)	Deputy Jamie Ingham Clark
Randall Anderson	Jeremy Mayhew
Mark Boleat	Sylvia Moys
Nigel Challis	Deputy Joyce Nash
Deputy Billy Dove	Barbara Newman
Alderman Peter Estlin	

Officers:

John Barradell	-	Town Clerk and Chief Executive
John Galvin	-	Town Clerk's Department
Simon Latham	-	Town Clerk's Department
Simon Murrells	-	Town Clerk's Department
Sacha Than	-	Town Clerk's Department
Tim Young	-	Town Clerk's Department
Steve Telling	-	Chamberlain's Department
Michael Cogher	-	Comptroller and City Solicitor
Freya Noyle	-	Comptroller and City Solicitor's Department
Chrissie Morgan	-	Director of Human Resources
Janet Fortune	-	Human Resources Department
Chris Formosa	-	Human Resources Department
Tracey Jansen	-	Human Resources Department
Amanda Mays	-	Human Resources Department
Oliver Sanandres	-	Human Resources Department

(With the Committee's consent, the order of business was amended as follows).

1. APOLOGIES

Apologies for absence were received from Deputy Stephen Haines (Chairman), Deputy Richard Regan, Deputy Elizabeth Rogula, and Angela Starling.

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

There were no declarations of interest.

3. MINUTES

RESOLVED – That the public minutes and summary of the meeting held on 12 July 2016 be approved as a correct record.

4. **OUTSTANDING ACTIONS REPORT**

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

The Deputy Chairman informed the Committee that a Member's briefing on unconscious bias had taken place on 7 September 2016. In response to a Member's query, the Town Clerk agreed to look into scheduling a second briefing on unconscious bias.

RESOLVED – That:

- a) the Committee note the report; and
- b) a future briefing on unconscious bias be scheduled.

5. **ACCOMMODATION AND WAYS OF WORKING**

The Committee considered a report of the Town Clerk which provided the Committee with information on the Accommodation and New Ways of Working Programme.

This Committee having been asked to consider the impact on the Corporation's workforce, Members referred to two matters which they believed had to be in place for the programme to be delivered successfully: significantly improved IT provision and the role of leadership in the delivery of the programme.

Members therefore asked that the following be looked at in more detail:

- the Corporation's IT infrastructure, and whether it could deliver the agile working environment envisaged in the report;
- the location of Chief Officer accommodation and whether they would be part of the open environment;
- that lessons from other organisations had been considered;
- the definition of agile working;
- that legal minimum spaces had been considered; and
- that the health benefits referenced in the paper were defined.

With a further report to come back to this Committee responding to the points raised, prior to implementation of the Scheme.

Members agreed that the benefits of such a programme were enormous if carried out properly.

A Member stated that his employer had implemented an agile working scheme and invited Members to a site visit.

RESOLVED – That the Committee:

- a) note with approval the Accommodation and New Ways of Working Programme;
- b) records its views on the implications for the City of London Corporation Workforce; and

- c) instructs officers to report back to this Committee on the points raised during discussion.

6. COMPTROLLER AND CITY SOLICITOR'S BUSINESS PLAN Q1 UPDATE

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

The Committee congratulated the Comptroller and City Solicitor's Department on the re-accreditation of the Law Society's LEXCEL quality assurance standard.

RESOLVED – That the Committee note the report.

7. COMPTROLLER AND CITY SOLICITORS' 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 August 2016.

Members highlighted that the report contained details of IT issues which had impacted the results and acknowledged the importance of a functioning IT infrastructure.

Members congratulated the Comptroller and City Solicitor on the reduced risk rating.

RESOLVED – That the Committee note the report.

8. REVENUE OUTTURN 2015/16

The Committee considered a joint report of the Town Clerk, Chamberlain and the Comptroller and City Solicitor which provided an update on the revenue outturn for 2015/16.

RESOLVED – That the Committee note the report and budgets.

9. STAFF APPEAL COMMITTEE

Members considered item nine after item ten.

Members considered a joint report of the Comptroller and City Solicitor, the Director of Human Resources, and the City Surveyor which explained the current practices of the Staff Appeal Committee.

The report presented the Committee with two options to present information from Staff Appeal Committee meetings; a case summary to be included in the decision letter or a free standing report. The Comptroller and City Solicitor expressed a preference for the second option of the free standing report.

Members queried the appropriateness of continuing to receive information from individual Staff Appeal Committee meetings, but confirmed that they would like to maintain a role in the Staff Appeal Committee.

Members endorsed the second option of the free standing report to be submitted to the Establishment Committee, following Staff Appeal Committee meetings.

RESOLVED – That:

- a) the Committee considered the report; and
- b) a free standing report be submitted to Establishment Committee following Staff Appeal Committees.

10. CORPORATION'S DISCIPLINARY PROCEDURE

Members considered item ten before item nine.

Members considered a joint report of the Comptroller and City Solicitor and the Director of Human Resources which set out the Corporation's Disciplinary Procedure.

Members asked that the security of any technology used during interviews be scrutinised with regards to recording meetings and discussions.

RESOLVED – That the Committee considered the report and in noting with approval the Disciplinary Procedure, invited Officers to review time scales for submission and review of documents and ensure that the paragraph numbering was correct.

11. MEMBER / OFFICER PROTOCOL

The Director of Human Resources gave an oral update to the Committee on Member/Officer protocol. A query had been raised at the July Court of Common Council on whether the Member/Officer protocol training that had been offered to all Members had also been offered to Officers.

The Director of Human Resources informed the Committee that Member/Officer protocol had not been part of the Employee Code of Conduct and would subsequently be added into it, relevant information would also feature in the Corporate Induction and online training would be provided. The Director of Human Resources added that briefings would be offered to staff who worked closely with Members.

Members confirmed that this had been covered by the Standards Committee Chairman in the Annual Report to the Common Council.

RESOLVED – That the Committee note the oral update.

12. ATTRACTING TALENT

The Committee considered a report of the Director of Human Resources which outlined the Attracting Talent programme. The programme aimed to review and

update the City of London Corporation's employer brand, reduce barriers to entry and support workforce plans and succession planning.

The Director of Human Resources informed the Committee that as part of their review, Human Resources had conducted an exercise whereby a sample of recently recruited to positions were re-shortlisted by a panel of HR Staff experienced in shortlisting and interviewing but with the removal of personal information from the application forms. This included the removal of names, addresses, and educational establishments. The exercise found that the chances of BME candidates being shortlisted increased by around 40%. Further roles were being re-examined, but so far the review indicated a need to address the potential for unconscious bias in the recruitment process. The Director of Human Resources confirmed to the Committee that there would be a move from mandatory training to nudge behaviour in order to mitigate the effects of unconscious bias.

RESOLVED – That the Committee note the report, and commend the steps being taken by Officers to eliminate unconscious bias in the recruitment process.

13. **OPERATION OF THE SCHEME OF DELEGATIONS**

The Committee considered a report of the Director of Human Resources which provided information on redundancies, early retirements and ill health retirements from 1 April to 30 June.

The Committee noted that the appendix had been included with the public papers and should in fact be considered as a confidential item. The appendix would therefore be considered during the confidential section of the meeting.

RESOLVED – That the Committee note the actions taken under delegated authority.

14. **CORPORATE HEALTH & SAFETY MANAGEMENT SYSTEMS EXTERNAL AUDIT**

The Committee considered a report of the Director of Human Resources which provided information on the external audit that had been carried out by the British Safety Council.

The Committee praised the audit rating of four stars that had been achieved by the City of London Corporation.

RESOLVED – That the Committee note the findings of the report.

The Committee noted that this would be the final meeting attended by Oliver Sanandres who would shortly be moving to New Zealand. The Committee thanked him for his contribution to the Corporation, in particular in improving its approach to health and safety.

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

There were no questions.

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

There were no urgent items.

17. **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
18, 23	1,2,3,4
19, 22	1,2,3
20	3
22	1,2,3
24	1,2,3,5
25	1,2

18. **NON-PUBLIC MINUTES**

The non-public minutes of the meeting held on 12 July 2016 were approved.

19. **OUTSTANDING ACTIONS REPORT**

The Committee noted a report of the Town Clerk which provided details of non-public outstanding actions from previous meetings.

20. **MANAGED SERVICE OF TEMPORARY AGENCY RESOURCE PROCUREMENT STAGE 1 REPORT**

The Committee noted a report of the Chamberlain which sought approval at the July Finance Committee for the recommended evaluation criteria to be used in the selection of a preferred supplier for the provision of Temporary Agency Resources.

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

There were no questions.

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

An item of urgent business was raised by the Director of Human Resources.

23. **CONFIDENTIAL MINUTES**

The confidential minutes of the meeting held on 12 July 2016 were approved.

24. **EMPLOYMENT CASES AND SETTLEMENTS**

The Committee noted a report of the Comptroller and City Solicitor which provided information on Employment Tribunal cases from March 2016.

25. OPERATION OF THE SCHEME OF DELEGATIONS CONFIDENTIAL APPENDIX

Following a discussion at Item 13, the Committee considered and noted the confidential appendix.

26. TOWN CLERK'S DEPARTMENTAL RECONFIGURATION: UPDATE

The Town Clerk provided the Committee with an oral update on the reconfiguration of the Town Clerk's Department.

The meeting closed at 3.50 pm

Chairman

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Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	12 July 2016, Item 6	<u>Local Authority Designated Officer Role</u> The Committee requested that the Member Development Steering Group set up a training session on the Local Authority Designated Officer Role.	Town Clerk	October 2016	The Town Clerk's Department to liaise with Community & Children's Services to arrange a briefing in October.
2.	16 September 2016, Item 4	<u>Unconscious Bias Training</u> The Committee requested that the Member Development Steering Group consider whether equality and inclusion training, including training on unconscious bias, should be mandatory for all Members.	Town Clerk	October 2016	A Member Development training session took place on 7 September 2016. Eight Members attended, two Members cancelled in advance of the training. The Town Clerk will contact HR to see whether it would be possible to schedule a second briefing.
3.	16 September 2016, Item 5	<u>Accommodation and Ways of Working Programme</u> 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.	Town Clerk	January 2017	A report to be submitted in January 2017.

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Agenda Item 5

Committee:	Date:
Establishment Committee	25 October 2016
Subject: City of London Corporation Marathon team	Public
Report of: Town Clerk	For Decision
Report author: Scott Nixon, Town Clerk's Department	

Summary

In March 2016, the Policy and Resources Committee agreed that all on-going funding commitments from the Finance Grants Sub-Committee would be transferred to the most appropriate Committee for on-going administration. In this instance the administration of the marathon team grant payment was transferred to the Establishment Committee.

For all grants that had no set review date, it was requested that the funding commitment be reviewed and reported back no later than December 2016 to the Policy and Resources Committee via its managing Committee.

The annual grant payment made to the marathon team is currently £3,500. This report requests that Establishment Committee Members review the outcomes of the marathon team in relation to the annual grant awarded and make a recommendation to the Policy and Resources Committee as to whether the grant payment should be continued at the same level.

The Establishment Committee recommendations will be passed to the Policy and Resources Committee for final approval of the grant payment.

Recommendations

- To note the outcomes of the marathon team.
- To 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.
- To note that the Chief Grants Officer will be requested to approve the charities to be supported by the marathon team on an annual basis.

Main Report

Background

1. In March 2016, the Policy and Resources Committee received a report on the Effectiveness of Grants review.
2. Following the principle of committees having responsibility for grants relating to areas within their remit, it was agreed that the existing Finance Grants Subcommittee (FGSC) funding commitments be reallocated (as the terms of

reference of the FGSC no longer allowed the issue or management of grant payments).

3. In the report submitted to the Policy and Resources Committee, a review process for each of the activities was built-in. The Committee agreed that all activities with no set review date must be reviewed by December 2016 by its managing committee and the outcomes reported back to the Policy and Resources Committee no later than December 2016.
4. The administration of the City of London Corporation grant was transferred to the Establishment Committee. No changes are proposed to the Officers currently responsible for administration, management and reporting in respect of the marathon team.

Current Position

1. The 23-Mile Running club was first established to prepare a team of City of London Corporation (CoLC) Marathon runners for the first London Marathon on 29 March 1981. The running club has submitted a team to every London Marathon since this date.
2. The running club currently has 50 members, all of whom pay an annual membership fee of £30. The income generated through membership is used to affiliate the running club with English Athletics. This affiliation formally allows running club members to enter competitions such as the Virgin Money London Marathon and provides the required insurance cover for all participating members.
3. The Virgin Money London Marathon supports the running club with an annual grant award of £150. This grant subsidizes a training/preparation run for running club members, prior to the main Marathon event.
4. All marathon participants are responsible for their own £30 marathon registration fee and the raising of charity sponsorship money.
5. In terms of in kind contributions, CoLC Officers undertake the following activities in their own time:
 - Annual management of the affiliation with English Athletics and insurance for all members.
 - Scheduling of training runs and bi-annual team meetings.
 - Kit purchase and its distribution to running club members.
 - Team selection and formal registration with the Virgin Money London Marathon.
 - Development and management of the 'Just Giving' sponsorship website and the hardcopy sponsorship form.
 - Liaison with the Communications department to highlight the success of the marathon team, generate publicity and attend an annual photo call with the Lord Mayor.

- Approximately 80 volunteers are sourced annually from within the CoLC and through running club friends and family to man the Marathon water stations outside the Dowgate Fire station that is along the route past mile marker 23.

Current grant expenditure

6. The marathon team currently receives an annual payment of £3,500 from City's Cash (previously issued through Finance Grants Sub-Committee).
7. On an annual basis the following items are purchased by the running club to support their Marathon entrants:

Details	Annual cost
60 high quality hi-vis running jackets for training purposes.*	£1,900
60 running tops for the day of the marathon event.*	£600
55 pairs of gloves.	£740
10 Running vests.	£40
Delivery charges.	£20
Total	£3,300

*Items branded with the City of London Corporation crest.

Note: 60 kits are purchased, and 60 runners will commence training, however, through the course of the year injury and the limited availability of marathon places will reduce the final number of marathon participants.

Marathon team outcomes

8. In 2016, the CoLC Sports Development department allocated 28 marathon places to the 23-Mile Running Club; however, on occasion additional marathon places do become available through other sources (e.g. – Under the international running places quota and the private ballot entries scheme).
9. In 2016, a total of 24 runners from the CoLC marathon team participated and successfully completed the course. The fastest staff time was produced by Timothy Wright in 3.29hrs from City of London Freemans School and the fastest woman was 4.28hrs from Rachael Sambells from Markets & Consumer Protection.
10. In 2016, a total of £7,700 was raised in sponsorship. Historically, the main proportion of sponsorship funds are donated to the Lord Mayor's appeal fund. The running club also identifies a second charity through an annual running club ballot. In 2016 the second charity selected was M.T.R Smith Children's

Haven, Port Elizabeth South Africa (a children's orphanage at Ugie in the North-Eastern Cape).

Note: An informal 'twinning' relationship with Port Elizabeth was established with the marathon team over 20 years ago, when the then CoLC Lord Mayor received the Mayor of Port Elizabeth. Every year Marathon places are offered to runners from Port Elizabeth local authority in order to maintain the relationship.

11. On an annual basis the marathon team will request the Chief Grants Officer to approve the charities to be supported by the marathon team

12. Should the funding for the marathon team be reduced;

- The quality of the kit provided to the marathon team would be reduced.
- The training kits would not be branded with the CoLC crest.
- Fewer volunteers for the water station would be recruited.
- Less sponsorship money would be raised for charity.

13. Should funding for the marathon team be withdrawn, the running club would cease to operate as currently it only exists to train its members for the Marathon.

Strategic links

14. The aims of the marathon team align closely with the objectives of CityWell, the CoLC's employee health and wellbeing strategy. This strategy aims to establish a resilient health and wellbeing programme focusing on; Mental Health, Physical Activity and Social Wellbeing.

Background Papers

- Policy and Resources Committee, March 2016, 'Implementation of Grants Review'

Scott Nixon

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Committee(s)	Dated:
Finance Committee – For Information Establishment Committee – For Information	18 October 2016 25 October 2016
Subject: Chamberlain’s Department Organisation Structure	Public
Report of: Chamberlain	For Information
Report author: Matt Lock, Chamberlain’s Department	

Summary

A number of organisational changes have been made within the Chamberlain’s department over the past 12-18 months. These changes have been implemented to secure operational efficiencies, speed up decision making processes within the department and contribute towards our departmental Service Based Review (SBR) savings.

This report provides Members with an overview of the current staffing structure of the Chamberlain’s department.

Recommendation(s)

Members are asked to:

- Note the report.

Main Report

Background

1. There have been a number of changes made to the staffing structure within the Chamberlain’s department over the past 12-18 months.

Current Position

2. Members of Establishment Committee requested this update report to provide an overview of the current staffing structure of the Chamberlain’s department, the report is also provided to Finance Committee for completeness.

Rationale

3. In early 2015, having been in post for a year, the Chamberlain conducted a review of of the departmental Senior Leadership Team. The primary motivation for this was to increase the effectiveness and speed of decision making by reducing management layers and bureaucracy with a secondary consideration towards meeting the department’s 15/16 Service Based Review (SBR) savings proposals.

4. A cascade of incremental change followed this as the newly formed Senior Leadership Team reviewed their own requirements in accordance with amended operational responsibilities. The focus on operational effectiveness has been maintained throughout and this will continue for the foreseeable future.

Current Structure

5. The department comprises three main Divisions; Financial Services Division, IT Division and City Procurement, headed by the Deputy Chamberlain, IT Director and Commercial Director respectively, which, together with the Chamberlain, forms the departmental Senior Leadership Team. Also reporting directly to the Chamberlain are the Internal Audit & Risk Management and Directorate teams. Appendix 1 shows in diagrammatical form the overall structure of the Chamberlain's department and the management teams of the Senior Leadership Team.
6. There are no plans at present to make further change to the organisation structure of the Chamberlain's department, although the Senior Leadership Team will continue to review this to ensure that the department is positioned to provide effective finance, IT and procurement services. Attention is focussed on securing improvements to the IT service, examining the balance of resources between the internal team and our partner organisation Agilisys; this may impact some operational elements of the IT Division.

Conclusion

7. This report provides Members with an overview of the staffing structure of the Chamberlain's department. While there are no current plans for further change, the departmental Senior Leadership Team will continue to monitor operational requirements and take steps as necessary to ensure that the workforce is in alignment with these.

Appendices

- Appendix 1 – Chamberlain's Department Organisation Chart

Matt Lock

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Chamberlain
Peter Kane

Internal Audit

Directorate

Deputy Chamberlain
Caroline Al-Beyerty

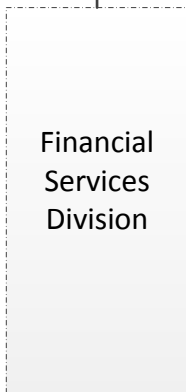
Commercial Director
Chris Bell

IT Director
Simon Woods

Financial
Services
Division

City
Procurement

IT Division



Deputy Chamberlain
Caroline Al-Beyerty

Deputy Financial Services Director

Corporate Treasury

Head of Finance – Cultural Services

Head of Finance – City Surveyors

Head of Finance – Community Services

Head of Finance – Built Environment

Head of Finance - Projects

Head of Finance - Charity

Chamberlain's Court



IT Director
Simon Woods



Committees	Dated
Establishment Committee Policy and Resources Committee	25 October 2016 17 November 2016
Subject: Town Clerk's Office (Policy and Democratic Services) Business Plan Progress Report (1 July to 30 September 2016)	Public
Report of: Town Clerk	For Information

Summary

- This report provides an activity update as at 30 September 2016 on progress towards achieving the objectives set out in the Town Clerk's Business Plan.
- Objectives due for delivery within this reporting period such as elements of the One Safe City Programme have been completed.
- Major pieces of work scheduled for the rest of the year such as the continuing programme of work associated with the Cultural Hub and the 'Increasing the Business Vote' project are proceeding according to plan.
- Performance within the division is mostly at or above the performance level standards set within the Business Plan.
- A financial monitoring statement that covers the period 1 April 2016 to 30 September 2016 can be found at paragraph 14.
- It is expected that the Division will remain within its local risk resources in this financial year.

Recommendation

That Members note the content of this report.

Main Report

Introduction

1. 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, Resilience and Community Safety, the Contact Centre and a Business Support Unit.

Key Developments

2. Satisfactory progress has been made towards achieving the actions detailed in the plan. Some of the highlights are listed below.

Leadership, Policy and Strategy

3. **One Safe City Programme** – A working party comprising of the Chairmen of relevant Committees and Chief Officers was created in June to provide oversight of this significant programme of work. Additional funding of £567k was agreed to resource the work until the end of the 2016-17 financial year. The programme consists of 3 main projects:
 - The Ring of Steel
 - Safer Communities
 - Joint Contact and Control RoomEach of these projects comprises of a number of sub-projects which are being managed individually within the Gateway Process.
4. **The Cultural Hub** – The work to develop the complex program of work related to this project is progressing well. The City has developed a vision for the Cultural Hub along with its four partners the Barbican, Guildhall School, London Symphony Orchestra and Museum of London, which states: „The City of London Cultural Hub – the creative heart of the Square Mile – is an internationally renowned, distinctive, vibrant and welcoming centre of arts, heritage and learning.” That vision is now being developed with a branding and identity project to give the public communication of the Hub a clear focus, and this will inform the look and feel initiative. The Cultural Hub initiative comprises three main strands; Creative Content, Property and Public Realm; each will contribute to the public impact of the Hub. A ‘Look and Feel’ Strategy was approved by the Planning and Transportation Committee on October 4.
5. **Business Planning Review** – A review of the corporate and business planning process is currently being undertaken. This will deliver a refreshed, fit for purpose framework that supports and is aligned to appropriate audiences (including Members) and the new Chief Officer corporate governance groups, with medium to long term planning horizons, ensuring that strategy drives business planning. A meeting is planned with a small group of Members to establish what they would like to see within the framework. The new Head of Corporate Strategy and Performance will lead the delivery of this review.

Corporate Governance and Democracy

5. **Increasing Diversity in the Court of Common Council** - In July 2015, the Policy and Resources Committee agreed that improving communication about elections to the Court of Common Council might help to increase the diversity of the Court’s membership. A number of measures have been introduced to ‘reach out’ to potential candidates for election, these include:
 - Engaging with Staff Networks
 - Creation of an informal Member level Diversity Group
 - Welcome Pack for New City Business

- Engaging with External Networks in the City

A special event was held at Guildhall on October 13 to encourage greater participation.

5. **Voter Registration** – A budget of up to £90,000 for initiatives to improve voter registration was approved by the Policy and Resources Committee in January this year. To date, the impact of the additional resources has been as follows: For residents, just over 300 more properties have returned their first set of registration forms this year compared to 2015. The response rate has increased from 27% in 2015 to 32% in 2016. Overall and at the time of writing, the number of firms registered so far has increased to 1,174. This is compared with 845 firms that had registered at the same point in 2015. The number of businesses that have registered online is over 650, which is an increase of 150 compared to the total number of businesses using this method in 2015.
6. **2017 Ward Elections** – Plans for the delivery of the 2017 Ward Elections are well underway. Work related to the booking of venues is almost complete, early engagement with print contractors has taken place. Candidate Briefing sessions have been scheduled for November and an elections FAQ sheet has been produced. The website has been launched, currently the focus is on registration, but more content will be added related to the Election nearer the date.

Communications

7. We have taken major steps forward in our objective of creating and delivering clear, consistent and confident media messages. We have followed the creation of short core messages about the City of London Corporation with increased training for media officers in how to proactively promote positive media stories and engage with journalists. We now have a working media grid so interventions can be coordinated and monitored.
8. However most importantly we have secured the resources to significantly increase the number of media officers. Four new media officers are in the process of being recruited with the aim of getting the new team in place by mid-November. We have also increased our administrative support to focus the work of media officers on delivering positive coverage. While the present team responded well to the pressures placed on them by the European Referendum the increased capacity will give us the ability to keep delivering the right messages for the City Corporation in the months to come.

Organisational and Departmental Development

7. **Performance Development Reviews** –A review of the systems which would link the appraisal form to iTrent found that the systems are less flexible and likely to increase bureaucracy not reduce it. In addition managers were comfortable with the current behavioural framework. The Corporate Values are being embedded through induction and other Corporate Learning. A new on line and corporate induction programme was rolled out in September incorporating all of these. New processes for Market Forces Supplements have been agreed and Chief Officers want to keep the current contribution pay scheme in the short term.

8. **Pay and Reward Structure** – A review of the pay and reward structure has been undertaken with the aim of achieving a system more aligned with the business. The review is almost complete and a report with the findings and recommendations is planned to be submitted to the Establishment Committee in early 2017.

Resilience

9. **Security Review** – A review of the organisation’s security procedures is currently being undertaken to ensure that they are consistent and appropriate for the threat level. Implementation of the review findings will take place over the coming year.
10. **Business Continuity** – The City of London Corporation’s own business continuity is heavily dependent on resilient IT. A successful test has recently been conducted to establish whether an identified single point of failure in the Guildhall Justice Rooms has been rectified. Further testing is planned to be complete by the end of October.
11. **The Lord Mayors Show** – Extensive planning has been undertaken by City of London Corporation Officers and the City of London Police to ensure that the Lord Mayor’s Show runs smoothly. A multi-agency exercise has been conducted to test preparedness and a number of learning points were identified that will be addressed before the show in November.

Other Issues

12. **Performance Monitoring** – The Town Clerk’s Office has performed at or above most of the performance level standards that were identified within the Business Plan. One area that has recently been under review is the level of sickness absence across the department. The latest figures available (August 2016) indicate that there has been an improvement in the level of sickness absence from 0.61 working days lost per employee in August 2015 to 0.32 in August 2016. This compares favourably to 0.47 for the CoL as a whole, and the CoL target of 0.5. All sickness absence is actively managed.
13. **Business Risk** – The assessment of business risk is integrated into the business planning process, the major risks that the Town Clerk is responsible for under this business plan have been reassessed as part of this update process. Currently, there are no changes in the scoring of these risks. A report considering the Town Clerk’s Department business risks in more detail is on the agenda of this Committee meeting
14. **Resources** - A summary of Policy and Democratic Services’ budgetary position, for the quarter ended 30 September, is provided below. It is expected that the division will remain within its local risk resources in this financial year.

Town Clerk's Office – (Policy and Democratic Services)

Local risk budgetary statement for the period ended 30 September 2016

Section	Latest 2016/17 £000	Budget for Year to Date £000	Actual £000	Variance YTD Ad/(Fav) £000
Town Clerk's Office (Committee & Corporate HR)	6,802	3,580	3,523	(57)
Communications	1,714	798	744	(54)
Resilience and Community Safety	704	317	263	(54)
Total	9,220	4,695	4,530	(165)

Paul Debuse

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Town Clerk's Department

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Committee	Dated:
Establishment Committee	25 October 2016
Subject: Town Clerk's Risk Register	Public
Report of: Town Clerk	For Information

Summary

This report has been produced to provide the Establishment Committee with assurance that risk management procedures in place within the Town Clerk's Department are satisfactory and meet the requirements of the corporate Risk Management Strategy.

Risk is reviewed regularly by the Departmental Leadership Team, and the Senior Leadership Teams of the separate business planning units within the Department, as part of the on going management of the operations of the Department.

The Town Clerk's Department currently has one corporate risk related to its Establishment Committee activity, which is:

- CR09 Health and Safety Risk (Amber)

Recommendation

Members are asked to:

- Note the report and the actions taken in the Town Clerk's Department to monitor and manage effectively risks arising from our operations.

Main Report

Background

1. The Risk Management Strategy of the City of London Corporation requires each Chief Officer to report regularly to Committee the key risks faced in their department. The Establishment Committee has determined that it will receive the Town Clerk's risk register on a quarterly basis with updates on RED related risks at the intervening Committee meetings.
2. Each of the separate business planning units within the Town Clerk's Department maintains its own risk register: Policy & Democratic Services; Economic Development Office; City Bridge Trust and Central Criminal Court. The latter two do not report to this Committee.
3. These registers are regularly reviewed by the Senior Leadership Teams of each unit, and presented by the relevant Director or senior officer to the Departmental Leadership Team, in accordance with the Review and Reporting Framework in the Corporate Risk Management Strategy.

4. At the Departmental Leadership Team, any risks that emerge from the Divisional updates on key issues given by each of the Directors are discussed, ensuring that adequate consideration is given to operational risk.
5. Reports on the Town Clerk's Departmental Corporate and key risks were last presented to the Establishment Committee in April 2016.

Identification of New Risks

6. New and emerging risks are identified through a number of channels, the main being:
 - Directly by Departmental Management Team or Senior Management Teams as part of the regular review process.
 - In response to reports on the delivery of the each section's Business Plan.The risk register may be refreshed over and above the stated process for review and oversight, in response to emerging issues or changing circumstances.
7. No risks have been added to the Town Clerk's Risk Register since the previous report to the Establishment Committee in April 2016.

Summary of Key Risks

8. In respect of the Establishment Committee, the Town Clerk's Department is responsible for one Corporate Risk, listed below; this is reviewed and reported regularly to the Audit and Risk Management Committee:

CR09 – Health and Safety (Current Risk: AMBER)

The recent external audit of the City of London's Occupational Health and Safety Management system by the British Safety Council resulted in 4 star accreditation. Some recommendations were made during this process and an implementation strategy is currently being formulated. Once complete, this work may lead to a lowering of the risk score, although this will be dependent on local implementation of the enhanced corporate system.

Detail of this risk is contained in Appendix 1.

Conclusion

9. Members are asked to note that risk management processes within the Town Clerk's Department adhere to the requirements of the City Corporation's Risk Management Strategy. Risks identified within the operational and strategic responsibilities of the Town Clerk's Department are proactively managed.

Appendices

- Appendix 1 – Town Clerk’s Department Risk Register for the Establishment Committee
- Appendix 2 – City of London Risk Matrix

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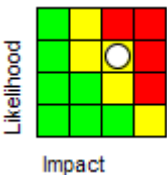
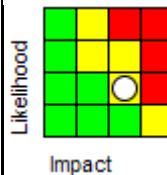

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Town Clerk's Establishment Committee detailed risk register

Appendix 1

Report Author: Paul Debusse

Generated on: 10 October 2016

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR09 Health and Safety Risk 22-Sep-2014 Prissie Morgan	<p>Cause - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p>Event - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p>Effect - Possible enforcement action/ fine/prosecution by HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs</p>		12	This risk has been reviewed by the SMT on 1 October 2016, and there is no change to the assessment at this time 05 Oct 2016		8	31-Mar-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR09C Compliance Checks 2016-17	Annual Programme of compliance checks	The programme for this year is currently on target to be achieved by March 2017	Oliver Sanandres	05 -Oct-2016	31-Mar-2017
CR09D Implementing external verification recommendations	Develop a series of actions that will help to implement the best practice recommendations contained in the recent external verification of the CoL's Occupational Health and Safety Management Systems	An implementation strategy is currently being developed by the Corporate Health and Safety Unit	Oliver Sanandres	05-Oct-2016	31-Mar-2017

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City of London Corporation Risk Matrix (Black and white version)

Note: A risk score is calculated by assessing the risk in terms of likelihood and impact. By using the likelihood and impact criteria below (top left (A) and bottom left (B) respectively) it is possible to calculate a risk score. For example a risk assessed as Unlikely (2) and with an impact of Serious (2) can be plotted on the risk scoring grid, top right (C) to give an overall risk score of a green (4). Using the risk score definitions bottom right (D) below, a green risk is one that just requires actions to maintain that rating.

(A) Likelihood criteria

	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)
Criteria	Less than 10%	10 – 40%	40 – 75%	More than 75%
Probability	Has happened rarely/never before	Unlikely to occur	Fairly likely to occur	More likely to occur than not
Time period	Unlikely to occur in a 10 year period	Likely to occur within a 10 year period	Likely to occur once within a one year period	Likely to occur once within three months
Numerical	Less than one chance in a hundred thousand (<10-5)	Less than one chance in ten thousand (<10-4)	Less than one chance in a thousand (<10-3)	Less than one chance in a hundred (<10-2)

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(B) Impact criteria

Impact title	Definitions
Minor (1)	Service delivery/performance: Minor impact on service, typically up to one day. Financial: financial loss up to 5% of budget. Reputation: Isolated service user/stakeholder complaints contained within business unit/division. Legal/statutory: Litigation claim or find less than £5000. Safety/health: Minor incident including injury to one or more individuals. Objectives: Failure to achieve team plan objectives.
Serious (2)	Service delivery/performance: Service disruption 2 to 5 days. Financial: Financial loss up to 10% of budget. Reputation: Adverse local media coverage/multiple service user/stakeholder complaints. Legal/statutory: Litigation claimable fine between £5000 and £50,000. Safety/health: Significant injury or illness causing short-term disability to one or more persons. Objectives: Failure to achieve one or more service plan objectives.
Major (4)	Service delivery/performance: Service disruption > 1 - 4 weeks. Financial: Financial loss up to 20% of budget. Reputation: Adverse national media coverage 1 to 3 days. Legal/statutory: Litigation claimable fine between £50,000 and £500,000. Safety/health: Major injury or illness/disease causing long-term disability to one or more people objectives: Failure to achieve a strategic plan objective.
Extreme (8)	Service delivery/performance: Service disruption > 4 weeks. Financial: Financial loss up to 35% of budget. Reputation: National publicity more than three days. Possible resignation leading member or chief officer. Legal/statutory: Multiple civil or criminal suits. Litigation claim or find in excess of £500,000. Safety/health: Fatality or life-threatening illness/disease (e.g. mesothelioma) to one or more persons. Objectives: Failure to achieve a major corporate objective.

(C) Risk scoring grid

		Impact			
		Minor (1)	Serious (2)	Major (4)	Extreme (8)
Likelihood	X				
	Likely (4)	4 Green	8 Amber	16 Red	32 Red
	Possible (3)	3 Green	6 Amber	12 Amber	24 Red
	Unlikely (2)	2 Green	4 Green	8 Amber	16 Red
	Rare (1)	1 Green	2 Green	4 Green	8 Amber

(D) Risk score definitions

RED	Urgent action required to reduce rating
AMBER	Action required to maintain or reduce rating
GREEN	Action required to maintain rating

This is an extract from the City of London Corporate Risk Management Strategy, published in May 2014.
 Contact the Corporate Risk Advisor for further information. Ext 1297
 Version date: December 2015

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Committee	Date:
Establishment Committee	25 October 2016
Subject: Comptroller and City Solicitor’s Departmental Business Plan 2016-2019 Progress report as at 30 September 2016	Public
Report of: Michael Cogher	For Information
Report author: Nick Senior – Comptroller & City Solicitor’s Department	

Summary

The purpose of this report is to provide a summary of progress toward achieving the aims and objectives of the Comptroller and City Solicitor’s Departmental Business Plan 2016-2019.

Progress toward achieving the strategic aims and objectives are as follows:

- a) To manage resources effectively to provide efficient and high quality legal services.

It is anticipated that the department will remain within its local risk budget at the year-end including delivery of the 2016/17 Service Based Review savings of £169k and on this basis will deliver the total £377k SBR savings.

Following an external full assessment on 13-15 June 2016 the department was re-accredited with the Law Society’s LEXCEL quality assurance standard. The assessment identified a high level of compliance and many areas of excellent practice.

The department’s strategic risks are regularly reviewed and updated. The risk relating to the management of legal risk has been reduced from amber to green due to level of compliance with robust departmental risk management procedures.

- b) To tailor our services so as to meet the needs of, and add value to the transformation and modernisation agenda and be an exemplar of innovative good practice so as to combine “the best of the old with the best of the new”

The Information Management Project has progressed toward procuring and implementing a replacement legal case management system which it is anticipated will deliver smarter leaner processes, improved client information and communication and facilitate a significant shift to paper light working.

Lean system reviews have been undertaken, recommended process improvements agreed and the proposals are currently being implemented.

Recommendation

Members are asked to note the report.

Main Report

Background

1. The Establishment Committee approved the Business Plan on 19 April 2016 this report provides an update on the current status of and progress toward achieving the strategic aims and objectives of the Comptroller and City Solicitor's Departmental Business Plan 2016-2019.

Current Position

2. The improvement objectives are:
 - a) To manage resources effectively to provide efficient and quality legal services

A1. Achieve the Service Based Review (SBR) target.

The departmental SBR target for 2016/17 is £169k out of a total of £377k for the period 2014-2018. Due to the increased demand for legal support and advice it was not possible to achieve the allocated £49k saving in staffing costs and this saving was instead loaded into the external income target. The 2016/17 income projection at period 6 is forecast to meet the 2016/17 £169k savings target and the service will therefore meet the overall SBR target of £377k.

A2. Achieve re-accreditation to the Law Society re-structured LEXCEL standard version 6.

The service undertook a full assessment against the LEXCEL standard resulting in re-accreditation with a high level of compliance and with many areas of good practice identified. Internal LEXCEL monitoring against the standard is on-going.

- b) To tailor our services so as to meet the needs of, and add value to the transformation and modernisation agenda and be an exemplar of innovative good practice so as to "combine the best of the old with the best of the new"

B1. Complete a major information management project.

Significant progress has been made toward procuring and implementing a replacement legal case management and electronic records management systems, the project is on course to meet the target timescale.

It is anticipated that the systems will facilitate smarter leaner processes and will deliver improved client information and communication, excellent standards of records management and will facilitate paper light working.

B2. Undertake an in-depth review of our work processes in order to maximise efficiency.

Lean system reviews have been undertaken, recommended process improvements agreed and tabulated and the proposals are currently being implemented. An efficiency success evaluation will be undertaken.

Corporate & Strategic Implications

3. The service provides effective legal advice and support to enable service departments to achieve specific corporate and strategic aims and to protect the City's interests. The Business Plan aligns to the City's key policy priorities as follows:-

KPP1 – Supporting and promoting the UK financial based services sector throughout the world for the benefit of the wider UK economy.

KPP2 – Improving the value for money of our services within the constraints of reduced resources.

4. The Departmental Performance Indicators (and current position) are listed in Appendix A.

Finance

5. Based on the current income forecast the service will keep within its Local Risk budget at the year end.

Strategic Risk Management

6. Strategic and Operational Risks are reviewed by the Department's Senior Management Team on a monthly basis. The latest strategic risk report is included in a separate report.
7. It should be noted that risk CCS003 Management of Legal Risk been reduced to green status.

Conclusion

8. The department has made significant progress toward achieving the 2016/2017 business plan objectives.

Appendices

- Appendix 1 – Comptroller & City Solicitor – Performance Indicators 2016/17

Nick Senior

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Appendix 1

Comptroller & City Solicitor - Performance Indicators (2016/2017)

Ref	Performance Indicator	Target and progress for 2016/2017	Position at 30 June 2016
PI 1	Responses of chairmen of committee to the client care survey give a 'high overall service' rating	Target 98%	Achieved - 100% (December 2015) next survey December 2016
PI 2	Responses of departments to the client care survey give a 'high quality service' rating	Target 98%	Achieved – 99% (December 2015) next survey December 2016
PI 3	Responses of departments to the client care survey give a 'staff keep you well informed' rating	Target 93%	Achieved - 96% (December 2015) Next survey December 2016
PI 4	Justified complaints against total caseload	Target – maximum of 5 per annum	On target 0 complaints received
PI 5	Maintain LEXCEL accreditation	LEXCEL accreditation achieved	Accreditation achieved June 2016
PI 6	File reviews completed in a timely fashion	Target - 90% within one month	Achieved 90% 2 nd quarte On target
PI 7	Inactivity on live files in 6 months	Target – Not more than 15%	Achieved 11% at 2 nd qtr) 4% above target
PI 8	Inactivity on live files in 3 months	Target – Not more than 20%	Achieved 22% at 2nd qtr 2% below target
PI 9	Individual chargeable hours target	Target 100%	On target for 100%
PI 10	Effectively managing short term sickness absence	Target – Below City short term average	Target exceeded at 2 nd qtr C&CS 0.24 days CoL average 0.47 days

Committee(s)	Dated:
Establishment Committee	25 October 2016
Subject: Comptroller and City Solicitor's Departmental Risk Management report	Public
Report of: Michael Cogher	For Information
Report author: Nick Senior – Comptroller & City Solicitor's Department	

Summary

The purpose of this report is to provide an update on the Comptroller and City Solicitor's departmental risks as at 30 September 2016.

Recommendation(s)

The Committee is recommended to note the report.

Main Report

Background

1. The Audit and Risk Management Committee require departments to maintain a risk register using the Covalent risk management system and provide a quarterly risk management report to their respective committee.

Current Position

2. The departmental risks are summarised in Appendix 1.
3. Strategic and operational risks are reviewed by the C&CS Senior Management Team on a monthly basis.
4. The Committee are requested to note that the risk rating for Risk CCS003 Managing Legal Risk has been reduced to the target risk rating of 4 on the basis that the risk management procedures in place were audited during the LEXCEL (Law Society quality standard) assessment in June 2016 and were found to be highly compliant with the standard required.

Conclusion

5. The Establishment Committee is requested to approve this report.

Appendices

- Appendix 1 – Comptroller and City Solicitor’s Departmental Risk Register

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Appendix 1

CCS Strategic Risk Management Report



Generated on: 06 October 2016

Code	CCS 001	Title	Recruitment and retention of experienced legal staff
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Description	Cause - Private sector legal firms and other local authorities may offer more attractive remuneration packages Event - Loss of critical expertise and competence Effect - Delivery of legal advice and documentation delayed, loss of income, assets exposed to higher risks		
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Category	Legal	Approach	Accept (the costs of mitigation outweigh the benefits)
Risk Level	Departmental	Risk Owner	Michael Cogher

Strategic Aim	SA2 - To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2 - Maintaining the quality of public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee

Current Risk Assessment, Score & Trend Comparison	<p>6 ↔ No change</p>
Likelihood	Possible
Impact	Serious
Risk Score	6

Target Risk Assessment & Score	<p>4</p>
Likelihood	Unlikely
Impact	Serious
Risk Score	4

Review Date	06-Oct-2016	Target Date	31-Mar-2017
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Latest Note	No change in risk rating - related actions on-going
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 001a	Monitor market conditions	Review workforce reports to monitor staff turnover	Michael Cogher	30-Sep-2016	100%	Benchmark of local authority salaries indicates that CoL salaries with the option of market supplements are competitive
CCS 001b	Review MFS	MFS will be reviewed by HR at the next corporate review.	Michael Cogher	01-Apr-2017	100%	Market Forces Supplement review now complete market supplements increased. CoL Market forces supplements considered sufficient to attract staff.
CCS 001c	Review Salary Competitiveness	Benchmark salary data against other local authorities to ensure salaries and market supplements are competitive	Michael Cogher	31-Mar-2017	34%	Review on-going based on current market conditions

Code	CCS 002	Title	Loss of Information Assets
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Description	Cause - Inadequate checking of content before despatch, lack of adequate supervision, failure to follow agreed procedures Event - Loss of personal data and /or COL hardware Effect - severe financial penalty, reputation damaged, breach of confidentiality		
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Category	Financial
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Michael Cogher

Strategic Aim	SA2 - To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.
Department	Comptroller & City Solicitors

Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Committee	Establishment Committee

Current Risk Assessment, Score & Trend Comparison	<p>6 ↔ No change</p>
Likelihood	Possible
Impact	Serious
Risk Score	6
Review Date	06-Oct-2016

Target Risk Assessment & Score	<p>4</p>
Likelihood	Unlikely
Impact	Serious
Risk Score	4
Target Date	31-Mar-2017

Latest Note	DPA audit undertaken in September confirms good levels of data security compliance.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 002a	Carry out periodic DPA audits	Undertake periodic DPA audits to test compliance levels.	Michael Cogher	31-May-2016	100%	Further DPA audits undertaken with high levels of compliance.
CCS 002b	Undertake quarterly DPA audits	Quarterly DPA audits to be undertaken by CCS Information Team	Michael Cogher	31-Mar-2017	0%	Next DPA audit to be undertaken October 2016 with report on findings to CCS SMT and corrective action plan.

Code	CCS 003	Title	Managing Legal Risk
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Description	Cause - Lawyers not up to date with law, poor communication, lack of supervision, agreed procedures not followed, file reviews not completed Event - physical and intellectual property assets at risk, court hearings missed, high risk matters not reported, inadequate advice provided, cases not progressed in a timely fashion Effect - financial penalty, clients loss of confidence in the legal service, reputation		
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Category	Legal	Approach	Reduce (By appropriate remedial action)
Risk Level	Departmental	Risk Owner	Michael Cogher

Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee

Current Risk Assessment, Score & Trend Comparison			
Likelihood	Unlikely		
Impact	Serious		
Risk Score	4		
Review Date	19-Aug-2016		

Target Risk Assessment & Score			
Likelihood	Unlikely		
Impact	Serious		
Risk Score	4		
Target Date	31-Mar-2017		

Latest Note	Legal risk management procedures assessed as robust and compliant with the Law Society LEXCEL standard following the annual audit on 13 June 2016. Compliance with these procedures tested internally. Likelihood reduced to unlikely on this basis.		
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 003a	Staff undertake regular risk reviews	Each matter is risk assessed on receipt and marked as high risk where appropriate	Michael Cogher	30-Sep-2016	100%	Risk data reviewed
CCS 003b	SMT reviews risk data quarterly	SMT reviews quarterly legal risk and performance data to ensure legal matters are progressed in a timely fashion	Michael Cogher	30-Sep-2016	100%	SMT quarterly review of high risk matters on-going
CCS 003c	DMT review monthly High Risk reports	SMT reviews high risk reports and agrees future strategy	Michael Cogher	30-Sep-2016	100%	SMT reviewed risks on 31/03/2016
CCS 003d	Review risk management procedures	Risk management procedures review and testing to ensure effectiveness and compliance	Michael Cogher	31-Mar-2017	25%	Procedures checked August 2016 and found to be robust and working effectively

Code	CCS 004	Title	Successful operation of Oracle OPN
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Description	<p>Cause - Oracle OPN replaced the Manhattan commercial property management and rent system</p> <p>Event - Continued operational difficulties caused by OPN</p> <p>Effect - If the application does not function as planned there is a risk that commercial income will not be invoiced on the due dates resulting in increased arrears</p>
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Category	Financial	Approach	Transfer (To a third party or insurer)
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Risk Level	Departmental	Risk Owner	Nick Senior
Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee
Current Risk Assessment, Score & Trend Comparison	<p>8 ↔ No change</p>	Target Risk Assessment & Score	<p>4</p>
Likelihood	Unlikely	Likelihood	Unlikely
Impact	Major	Impact	Serious
Risk Score	8	Risk Score	4
Review Date	06-Oct-2016	Target Date	31-Mar-2017
Latest Note	16/17 Q2 rent bills generated successfully but OPN system functionally flawed.		

Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 004a	Migrated data needs significant cleansing	Migrated data was poor in quality and impacted on accurate billing and reporting	Nick Senior	31-Mar-2016	100%	Some data was reprocessed to ensure that accurate OPN reports are published
CCS 004b	Adjust migrated accounts to ensure accurate billing	Certain billing information requires changing to ensure that accounts are billed in accordance with the legal	Nick Senior	01-Oct-2015	100%	Pre-billing reports are checked to ensure accuracy of invoices.

		agreements				
CCS 004c	Document procedures to generate knowledge base	Very little documentation exists as user manuals. New documentation needs to be produced to act as a definitive user guide and single reference point	Nick Senior	31-Mar-2016	100%	First draft of documentation has been completed. Further information will be added as processes are developed.
CCS 004d	Assess system performance following Q2 rent billing	Continuing system performance assessment	Nick Senior	31-Oct-2016	100%	Q2 rent bills generated effectively with very few errors

Code	CCS 005	Title	Ability to access critical systems at disaster recovery site
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Description	Cause - critical system (KMX) was not available during last business continuity exercise Effect - key officers unable to identify current legal work and access key legal documents.
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Category	Legal	Approach	Transfer (To a third party or insurer)
Risk Level	Departmental	Risk Owner	Nick Senior

Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee

Current Risk Assessment, Score & Trend Comparison	<p>6 ↔ No change</p>
Likelihood	Possible

Target Risk Assessment & Score	<p>2</p>
Likelihood	Rare

Impact	Serious
Risk Score	6
Review Date	19-Aug-2016

Impact	Serious
Risk Score	2
Target Date	31-Mar-2017

Latest Note	2016 Business Continuity test date in November 2016. Access to ICT systems from mobile devices of increasing significance and use to be further extended to further mitigate this risk.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 005a	BCP - access to critical systems test	IS Division to test access to critical systems at business continuity exercises	Nick Senior	31-Oct-2016	0%	BCP test to be undertaken in November 2016 date to be advised

Code	CCS 006
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Title	Access to fully functioning office environment in the event of displacement
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Description	Cause - Disaster resulting in inability to use the North Block Event - immediate inability to continue to use the North Block as offices Effect - legal work would not be progressed or completed, delays for clients and delivery of projects and other services
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Category	Legal
Risk Level	Departmental

Approach	Transfer (To a third party or insurer)
Risk Owner	Michael Cogher

Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee

Current Risk Assessment, Score & Trend Comparison		Target Risk Assessment & Score	
Likelihood	Possible	Likelihood	Unlikely
Impact	Serious	Impact	Minor
Risk Score	6	Risk Score	2
Review Date	22-Aug-2016	Target Date	31-Mar-2017

Latest Note	<p>Details of ICT/Office facilities and 2016 business continuity arrangements and testing required.</p> <p>Access to hard copy files critical to service delivery hence the major impact rating.</p>
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 006a	Office space if North wing vacated	The CCS requires allocated office accommodation if the North Wing were not accessible for more than two working days	Michael Cogher	31-Mar-2017	0%	The current BCP is limited to short-term accommodation. CCS has been allocated 4 workstations at the London Metropolitan Archive. Longer-term arrangements for office accommodation are unclear.

Committee(s)	Dated:
Establishment Committee	25 October 2016
Subject: Protocol on Member Officer Relations	Public
Report of: Director of Human Resources	For Decision
Report author: Tracey Jansen Human Resources, Town Clerks	

Summary

This report asks Members of the Committee 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.

Recommendation(s)

Members are asked to:

- Endorse the recommendation of the Standards Committee to amend the Protocol on Member/Officer Relations for onward approval by the Court of Common Council as outlined in paragraph 4 below.

Main Report

Background

1. A query was raised at the July Court of Common Council on whether the Protocol on Member/Officer Relations training that had been offered to all Members had also been offered to Officers. This Committee was informed in September 2016 that the Protocol would feature in the corporate employees' induction and online training. Briefings would also be offered to staff who worked closely with Members. Members of this Committee were informed that Protocol was not part of the Employee Code of Conduct but in the interests of transparency would be appended to the Employee Code of Conduct.

Current Position

2. The Standards Committee at its meeting on 6 October were informed of the position.
3. The Policy and Resources Committee at its meeting in April 2016 considered a report on Increasing Diversity in the Court of Common Council. As part of my annual report to the Standards Committee on the Protocol on Member/Officer it was recommended that it would be appropriate to align the Protocol to the commitments made in the report to the Policy and Resources Committee by including specific reference to equality diversity and inclusion. This would also

reflect the wider commitments that have been made to developing and embedding equality and inclusion in the workplace and in service delivery.

Proposals

4. The Standards Committee agreed the following additional points to be added to the Protocol's Expectations subject to approval by the Court of Common Council.

Expectations

- 1) Members have a right to expect from Officers:
(m) Commitment to equality, diversity and inclusion in their relationship with Members and colleagues
- 2) Officers have a right to expect from Members
(i) Commitment to equality, diversity and inclusion in their relationship with Officers and colleagues

Corporate & Strategic Implications

5. As outlined above this update and proposal supports the City Corporation's wider commitment to equality diversity and inclusion in its membership, role as employer and in service delivery.

Conclusion

6. This report addresses the issues that were raised at the Court of Common Council at its meeting in July 2016 and makes recommendations to amend the Protocol on Member/Officer Relations.

Appendices

- Appendix 1 – Protocol on Member/Officer Relations

Background Papers

Report to Standards Committee 6 October 2016 - Annual review of the Protocol on Member/Officer Relations 2015-6

Report to Policy and Resources Committee April 2016 – Increasing Diversity in the Court of Common Council.

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PROTOCOL ON MEMBER / OFFICER RELATIONS

1. Introduction

- (1) The purpose of the Protocol, which was approved by the Court of Common Council on 13 April 2006, is to provide a guide to working relationships between Members of the Court (including co-opted Members) and Officers, and is in addition to any statutory requirements governing such relationships. The Protocol applies whether such relationships are in the context of the City's role as a local authority, police authority, port health authority or in any of its other roles.
- (2) Although it does not form part of the Members' or Employees' Codes of Conduct, the Protocol should be viewed in conjunction with those documents.
- (3) Responsibility for upholding the Protocol rests with the Chief Commoner and, when necessary, the Standards Committee in relation to Members, and with the Town Clerk in relation to Officers.

2. Principles Underlying Member / Officer Relations

- (1) Good administration and effective decision-making are dependent upon the maintenance of successful working relationships between Members and Officers, based on mutual trust, respect and an understanding of respective roles and responsibilities. These relationships, and the trust which underpins them, should not be abused or compromised.
- (2) Whilst it is acceptable for Members, particularly Committee Chairmen as part of their leadership role, to offer guidance to Officers, they must 'not do anything which compromises or which is likely to compromise the impartiality of those who work for, or on behalf of, the authority' (Code of Conduct). It is the responsibility of Officers to provide clear, impartial advice upon which Members may make decisions.
- (3) In addition to avoiding actual impropriety, Members and Officers should also seek to avoid situations which might give rise to the suspicion and/or appearance of improper conduct.

3. Role of Members

- (1) Members are subject to:-
 - (a) the Corporation's Code of Conduct; and,
 - (b) Standing Orders of the Court of Common Council.
- (2) Members have four main areas of responsibility:-
 - (a) determining the policy and strategic direction of the Corporation
 - (b) monitoring and reviewing the performance of the Corporation in implementing that policy and delivering services
 - (c) representing the Corporation externally
 - (d) representing their constituents and stakeholders

- (3) It is not the role of Members to involve themselves in the detail of day to day management of the Corporation's services.
- (4) Members are required to take the advice of Officers into account in reaching a decision on a matter and must respect the Officers' responsibility to provide impartial advice, guidance and information.
- (5) The power to make decisions for the discharge of the authority's functions lies with the Court of Common Council and the properly constituted committees and sub-committees. A Member acting in an individual capacity cannot exercise any lawful authority and Members in general must operate through the Court of Common Council and its committees and sub committees. Members acting individually may not legally commit the Corporation.
- (6) Whilst individual Chairmen are in the same constitutional position as all other Members, having no legal authority to make executive decisions, they have certain other powers (eg. the control and conduct of meetings) as well as a broader leadership role. Chief Officers are required to consult Chairmen (and Deputy Chairmen) before certain delegated powers are exercised.
- (7) Leading Members ie. the Lord Mayor, the Chairman of the Policy & Resources Committee, the Chief Commoner and other Committee Chairmen (or Deputy Chairmen with the agreement of, or in the absence of, the relevant Chairman) can speak for the Corporation on matters appropriate to their roles and in accordance with the policy of the Corporation. Arrangements for media interviews and the issue of press releases will be made through or in agreement with the Public Relations Office.
- (8) Whilst all other Members have opportunities to promote the work of the Corporation with the people they meet and when entertaining on behalf of the Corporation, they cannot act as spokesmen for the Corporation.

4. Role of Officers

- (1) Officers are subject to:
 - (a) the Corporation's Code of Conduct;
 - (b) Standing Orders of the Court of Common Council;
 - (c) Financial Regulations; and,
 - (d) other instructions and professional guidelines relevant to their duties.
- (2) The primary role of Officers is to provide impartial advice, guidance and information to Members, and to implement promptly and efficiently the policies determined by the Court of Common Council and its various committees. Certain Officers have specific statutory responsibilities.
- (3) Officers must recognise the right of Members, as elected representatives, to determine the policy of the authority and must not act in any way to undermine that right.

- (4) Officers serve the Corporation as a whole and must carry out the work of the Corporation under the direction and control of the Court of Common Council and the properly constituted committees and sub-committees.

5. Expectations

- (1) Members have a right to expect from Officers:-
 - (a) commitment to the Corporation as a whole
 - (b) a working partnership
 - (c) an understanding of, and support for, respective roles, workloads and pressures
 - (d) timely response to enquiries and complaints and the efficient execution of decisions
 - (e) impartial, professional advice and guidance
 - (f) regular, up to date information on matters appropriate and relevant to their needs, having regard to any individual responsibilities that they have and positions they hold
 - (g) respect, dignity and courtesy
 - (h) integrity, mutual support and appropriate confidentiality
 - (i) not to have personal issues raised with them outside the agreed procedures
 - (k) that they will not use their relationship with Members to advance their personal interests or to influence decisions improperly
 - (l) compliance at all times with the relevant Code of Conduct
- (2) Officers have a right to expect from Members:-
 - (a) a working partnership
 - (b) an understanding of, and support for, respective roles, workloads and pressures
 - (c) leadership and policy direction
 - (d) respect, dignity and courtesy
 - (e) integrity, mutual support and appropriate confidentiality
 - (f) not to be subject to bullying or to be placed under undue pressure and, in this respect, Members should have regard to the seniority of Officers in their dealings with them ie. they should not engage junior officers in discussions and requests more properly directed at senior officers
 - (g) that they will not use their relationship with Officers to advance their personal interests or to influence decisions improperly
 - (h) compliance at all times with the relevant Code of Conduct

6. Members in the Ward Role

Members will, through their work with their electorate and stakeholders, need to contact Officers to obtain information on behalf of their constituents and others. This is perfectly in order and from time to time it may be appropriate for Officers to reply to constituents etc. on behalf of, or at the request of, Members.

7. Correspondence and Communications

Members may contact (ie. by letter, e-mail, fax, telephone) Officers to seek advice, guidance or information. Whatever method of communication is used,

Members should receive an acknowledgement as soon as possible, but in any event within 2 working days, and a full response as soon as possible thereafter within 10 working days of receipt of the request. If for any reason this is not possible, a holding reply setting out the reasons for the delay should be sent as soon as possible following the acknowledgement, but in any event before the expiry of the 10 working days.

8. Limitations on Behaviour

The separate roles of Members and Officers necessarily impose limitations upon behaviour. By way of illustration:-

- (1) personal relationships between Members and Officers going beyond normal working relationships can confuse/obscure the separate roles and interfere with the proper discharge of the authority's functions, not least in creating the perception in others that a particular Member or Officer may secure advantageous treatment;
- (2) the need to maintain and recognise the separate roles means that there are limits to the matters on which Members may seek the advice of Officers;
- (3) relationships with particular individuals should not be such as to create a suspicion/perception that an Officer favours a particular Member above others.

9. Reports

- (1) Chairmen of committees or sub-committees may, on behalf of the committees or sub-committees concerned, make reasonable requests to Chief Officers or other Officers to prepare written reports on matters relating to the authority for consideration at Member-level. Such requests should not seek confidential information (eg. relating to case work or personal details of applicants for services).
- (2) Any disagreement relating to such a request (eg. if the Chief Officer concerned considers that the cost of providing the information or the nature of the request is unreasonable) should be referred to the Town Clerk.

10. Members' Access to Documents and Information

- (1) Members' rights of access to documents and information are governed by the common law and statute. Members have such access to documents and information that is reasonably necessary to enable them properly to perform their duties as elected representatives.
- (2) Generally, information should, therefore, be made available to Members on request unless there is a justifiable legal or other reason for declining access.
- (3) Standing Order No. 42 sets out the detail on Members' access to documents.

- (4) If the information is not readily available or will require significant resources to produce, Officers should seek the guidance of their Chief Officer before taking steps to provide information that has been requested.

11. Other Members of Corporation Committees

Co-opted Members of the various committees, the Verderers serving on the Epping Forest & Commons Committee and the Independent Members of the Standards Committee are entitled to receive documents and information relating to their appointments in the same way as if they were elected Members.

12. Dispute Procedures

- (1) The overriding objective in any dispute is to achieve a satisfactory resolution through informal channels. However, it has to be recognised that this might not always be possible.

- (2) Procedure for Members:-

- (a) If a Member is dissatisfied with the conduct, behaviour or performance of an Officer, the matter should be raised with the appropriate Chief Officer.

- (b) If the employee concerned is a Chief Officer, the matter should be raised with the Town Clerk. (In the case of the Town Clerk there is a separate procedure.)

- (c) If the matter cannot be resolved informally, it may be necessary to resort to the Corporation's Disciplinary Procedure.

- (3) Procedure for Officers:-

If an Officer is dissatisfied with the conduct or behaviour of a Member, the matter should be raised with the appropriate Chief Officer or the Town Clerk.

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Committee(s)	Dated:
Establishment Committee	25 October 2016
Subject: New Apprenticeship Scheme and Paid Work Experience	Public
Report of: Director of Human Resources	For Decision
Report author: Tracey Jansen Town Clerk's Department	

Summary

This report updates Members on the work of the Apprenticeship Task and Finish Group, which was set up earlier this year to address the Government's new policy on the Apprenticeship Levy. The City of London Corporation has already agreed to a target of 100 apprentices and this group has been tasked with: identifying apprenticeship starts with departments; considering how we can make our offer attractive and one which meets our wider strategic objectives; the appropriate levels of pay; and how the service will be provided and funded.

The report asks Members to endorse the commitment to paying the London Living Wage to apprentices and those undertaking paid work experience.

The report makes recommendations for funding additional pay and service costs in providing an expanded service.

The report also notes the review of paid work experience including trainees and interns and recommends aligning pay with that of the apprentice Level 2 rate of pay.

Recommendation(s)

Members are asked to:

- approve the pay of Apprentice Level 2 and 3 be increased from £10920 and £12480 per annum to the London Living Wage rate of £17155 and £17498 (the current London Living Wage plus 2%) respectively with effect from 1 April 2017.
- note that the London Living Wage rate is expected to be uplifted on 31 October 2016.
- 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.
- endorse revisions to the City Corporation's Pay Policy Statement to reflect this change for onward approval by the Court of Common Council.
- agree in principle the additional costs (£251500) of providing an expanded service subject to a further report outlining the detailed proposals.

- approve the pay for all paid work experience in line with Level 2 apprentice pay rate (London Living Wage).

Main Report

Background

1. The report to this Committee in June 2016 outlined the government proposal to introduce an Apprenticeship Levy of 0.5% of gross payroll and a proposed target for apprenticeship starts for local authorities equivalent to 2.3% of the workforce. The Town Clerk has, in consultation with Chief Officers, set a target of 100 apprenticeships across all of our functions not just the local authority ones. A Task and Finish Group has been looking at: how the target for apprenticeship recruitment can be met; pay rates; funding; and proposals for the delivery and implementation of a new scheme from April 2017.
2. The opportunity has also been taken to analyse expenses and/or pay for those undertaking work experience and internships across departments. This review identified that a range of opportunities such as: basic work shadowing and observation; exposure to basic skills and tasks; actual duties and work similar to that of first year apprentices; work undertaken as part of a course of formal qualification training; covering the full duties of an established post. Length of work experience can vary from a few days to several months.

Current Position

3. The Task and Finish Group has developed a Delivering Apprenticeship Implementation Strategy attached as appendix 1 which has been approved by the Strategy and Resources Group. Officers on behalf of the Task and Finish Group have been working with departments to identify where suitable opportunities can be made available using two criteria - opportunities that can or are already funded from within the departments or opportunities that could be created subject to additional funding being made available. Departments have indicated that, without the allocation of additional funding, it will not be possible to achieve the target of 100 apprentice starts in 2017-18.
4. As a consequence of the government proposals, demand and competition for apprentices is expected to increase significantly as public sector bodies act to meet the government's target, and larger levy paying employers seek to draw on their levy to meet their skills needs.
5. In order to reach our target we need to be attractive in the market by offering exciting and high quality opportunities at competitive pay. Departments have been working over the summer to identify a range of apprenticeship opportunities. These range from business administration to equine grooming. The plan is to recruit apprentices over the course of the financial year in 4 cohorts.
6. As Members will be aware the City Corporation currently provides an apprenticeship service which was rated 'Good' by Ofsted in July 2016. The

intention is to register under the new arrangements as an apprenticeship 'Employer-Provider' to build on the current experience that we already have in sourcing and supporting apprentices and their managers. This will be partially funded through the levy but not in its entirety if we are to provide a high quality service to a large number of apprentices (we currently employ around 25 a year from the current apprenticeship service).

7. The second major element to being an attractive employer is fair and reasonable pay. Currently our Pay Policy states that apprentices are paid a proportion of the Living Wage Foundation's, London Living Wage. There are 6 apprenticeship levels, however our initial focus will be on Level 2 and Level 3. Level 2 is the entry level (intermediate) apprenticeship, delivering a skills level equivalent to five GCSE's but offering a far broader range of work based competencies. Level 3 offers an advanced apprenticeship in which a higher level of skills/qualification and experience is gained. The Living Wage Foundation recommends that employer's pay the Living Wage to apprentices where they can afford to do so. When the City Corporation became accredited by the Living Wage Foundation in 2012, it fixed the rates for apprentice pay at 70% and 80% of the London Living Wage for Level 2 and 3 apprentices. It is recommended that in order to meet our wider commitments to the living wage that Apprentice pay is uplifted in line with the London Living Wage. Not all apprentices will necessarily be appointed on these rates; if there are higher level apprentices (e.g. Level 4 and above) they are likely to be appointed on one of the established grades.

Implementation

8. The Apprentice Implementation Strategy (see appendix 1) sets out key principles and how the City Corporation will achieve its target of 100 apprentices in 2017/18.
9. Apprentices will be recruited in 4 cohorts across the year to ensure effective induction and support for new starts. The initial focus will be recruitment of apprentices at Levels 2 and 3, to provide entry-level opportunities.
10. The City Corporation will initially deliver or broker all training of apprentices in-house as an "employer-provider". A commitment to quality of provision and support, and the achievement of high level outcomes, will help ensure the City Corporation is a destination that attracts talent from schools, including from our academy, independent and local schools, and from our surrounding communities.

Options

11. A review of the current rates and arrangements for both apprentice pay and paid work experience has identified that rates have not been reviewed for some time and with regards to work experience there are inconsistencies in the remuneration and expenses currently paid. It is therefore not considered appropriate to retain the current pay arrangements.
12. Alternatives have been considered such as applying the current national living wage (£7.20 per hour) or to uplift the apprentice pay to 70% and 80% of the

current London Living Wage (£6.58 and £7.52 per hour), but it is considered more appropriate for the reasons set out in this report to pay apprentices and individuals in paid work experience in accordance with the London Living Wage rate of pay.

Proposals

Apprentice and paid work experience salary levels and costs

13. The current starting levels of apprentice pay are set at £10,920 (£6 per hour) for Level 2 and £12,480 (£6.85 per hour) for Level 3, and have remained unchanged since 2012. The Living Wage Foundation's UK and London Living Wage are £15056 (£8.25 per hour) and £17155 (£9.40 per hour) respectively. At the meeting of Summit consideration was given to the appropriate level of pay for our apprentices and paid work experience and it has recommended that the London Living Wage is paid as a minimum. As the Task and Finish Group recommends retaining two apprentice rates of pay for Level 2 and 3 to reflect progression it is proposed that a second pay rate of the London Living Wage plus 2% is also created.
14. Members will be aware that as part of this year's pay award we removed the bottom two scale points from Grade A. It is proposed that 2 scale points are created for apprentices to match the London Living Wage for Level 2 apprentices and London Living Wage plus 2% for Level 3 apprentices for 2017-8. This will ensure that apprentice pay is reviewed regularly as part of the annual pay discussions for all staff.
15. Setting salaries at these levels will enable to the City Corporation to:
 - demonstrate its commitment to being a leader on this agenda
 - attract and secure the number and quality of apprentices it seeks
 - better support the ambition to attract apprentices from all backgrounds
 - addresses concerns such as the affordability of travel
16. The cost of funding these revised salary levels includes the additional net cost for increasing the salaries that are already planned for but budgeted at existing apprentice salaries, and the additional gross salary cost of apprentices that are recruited in addition to those planned.
17. The full year additional salary cost based on the current London Living Wage rate is estimated to be £1.4m, although it is anticipated that the appointment of apprentices will be phased throughout the year and so the actual cost to the City Corporation in 2017/18 will be lower. It should be noted that the London Living Wage rate is likely to increase on 31 October 2016.
18. It is acknowledged that increased salary levels, alongside significantly increased numbers, will increase the cost to the City Corporation of delivering apprenticeships. It should be noted that departments have identified new apprentice opportunities on the basis that additional central funding may be available. Summit has agreed that additional funding will be provided to meet the new posts identified up to the target 100 apprenticeships. As there is still further work to be done with departments to develop new apprenticeship positions, the

additional funding for 2017/18 will be requested as a ring-fenced fund, it is anticipated that in subsequent years, this will be apportioned fully as an increase to departmental staffing budgets.

19. With regards to paid work experience the review of pay rates has identified a number of different arrangements currently exist and it is appropriate to apply the same rates agreed for those undertaking paid work experience for more than two weeks placements or the equivalent in hours. This will ensure a clear rationale, transparency and fairness across all paid work placements. Individuals undertaking work experience do have a contract of employment for the duration of their placement and as such will be entitled to statutory benefits such as holiday pay which, depending on the duration of the placement, may be paid up at the end of their placement. Placements are discretionary and will continue to be funded by the employing department.

Levy income and Apprentice service cost

20. It is estimated that the City Corporation's annual levy contributions will be £720,000. Levy income can be drawn down by the City Corporation's Apprenticeship Service and used to fund training, education and the end point assessment of apprentices. The levy can also meet some other costs – such as administration related to the delivery of the apprenticeships. If unspent after 18 months they are lost.

21. The City Corporation's declared approach to apprenticeships - in terms of the quality and depth of support to apprentices, and the breadth of the Apprenticeship Service's role will require additional resourcing for elements that cannot be funded by the levy. These include:

- apprentice recruitment
- outreach work with schools and communities
- wages of the apprentice
- travel
- wages for line managers or other colleagues supporting the apprentice training and support to managers and supervisors

22. It is also proposed to establish a post to act as the strategic commissioner with oversight of the performance and delivery of the City Corporation's Apprenticeship Service. Such a role will allow for performance monitoring and management, and were it necessary, or exceptionally, the commissioning of services from an alternative provider.

23. The estimated costs of the enhanced service is approximately £251,500. However, it should be noted that there are many uncertainties that may impact on the City Corporation's future plans. These include the level of future demand and competition for apprentices in the local and wider economy, and changing attitudes among applicants, parents, schools and employers to apprenticeships. A further report outlining the detail of the apprenticeship Employer-Provider model will address any issues identified.

Corporate & Strategic Implications

24. As well as complying with its statutory obligations, having an attractive offer and comprehensive service will enable us to better support other City Corporation commitments including the Corporate Plan; the Employability Framework and commitments set out in The City's Business; the Education Strategy and Children and Young People Strategy; our commitment to having a more diverse workforce; and a desire to be an example of best practise to our partners other local authorities and within the wider City. There is added reputational potential for the City Corporation as a model practitioner and change leader across London by implementing this policy.
25. We have recently been awarded silver Work Experience Quality Standard by Fairtrain and as part of this commitment it is considered appropriate to apply the same rates for paid work experience as those agreed for apprentices and this will go some way to the City Corporation achieving Gold Standard in the future.

Implications

26. Departments have identified 30 planned apprenticeships based on existing salary levels and a further 70 new roles that are deliverable with additional salary funding. The net increase to salary costs based on proposals within this report is approximately £1.4m, which will need to be met by the allocation of additional funding to departments.
27. This is an important initiative and one which the City Corporation would wish to support and therefore central funding has been identified.
28. There is no increase to the City Corporation's substantive pay bill in relation to the provision of internships and related work experience schemes as these are discretionary schemes.
29. With regards to the apprenticeship service costs of £251,500, it is recommended that in principle necessary additional costs of the service which are not already provided and cannot be appropriately met by the levy should be met centrally but a further report detailing the proposal with full costings and staffing structure is referred back to this Committee for decision.

Conclusion

30. Delivering an outstanding apprenticeship service will require funding for additional services that cannot be funded by the Apprenticeship Levy. Meeting the scale and breadth of apprentice employment the City Corporation aspires to will require a more competitive salary offer, and the resourcing of increased salary costs.
31. Aligning all paid work to the Living Wage Foundation rates demonstrates the City Corporation's commitment to pay all individuals fair pay and meets the expectations of the Living Wage Foundation accreditation, eliminating any reputational risk associated with this issue. Applying the Living Wage Foundation rates as a minimum across all entry routes to the City Corporation will ensure

consistency in approach across the organisation helping to ensure equality and limit any reputational risk to our wider agendas.

Appendices

- Appendix 1 – Apprentice Implementation Strategy and Plan'

Background Papers

New Apprenticeship Levy and Target – Report to Establishment Committee June 2016

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City of London Corporation

Delivering apprenticeships –

An implementation strategy for the City of London Corporation

Exec Summary

- The City of London Corporation has a target to employ 100 apprentices by the end of 2017/18.
- It will sustain this level in subsequent years through progression of existing apprentices to higher levels, or recruitment of new, apprentices.
- The initial focus will be recruitment at levels 2 and 3, to provide entry level opportunities.
- The scheme will offer outstanding quality and opportunity for many, including those in our academy, independent and local schools, and young people and adults in our surrounding communities.
- Every department is expected to provide opportunities that will enable the Corporation to reach and sustain its target.
- The distribution of apprentices will reflect the relative size of departments – an approach that is both fair and allows for a proportionate share of the support and management of these roles.
- The Corporation will deliver its own apprenticeship scheme as an “employer-provider”, whereby it will provide or broker all of the off-the-job training and education, and secure the independent end point assessment.
- It will aim to deliver outcomes for completion and progression that outperform national and London levels.

1 Vision for apprenticeships

- 1.1 The City of London Corporation aims to deliver and sustain 100 apprenticeships within the organisation every year from 2017/18. In doing so it will seek to be an exemplar and role model in the recruitment, training and development of apprentices. These apprenticeships will deliver high quality training, education and experience across the range of our departments and functions. They will provide opportunities to acquire skills and to progress to employment for individuals from our schools and local communities.

2 Introduction

- 2.1 The City of London Corporation shares the commitment of the Government to increasing the quantity and quality of apprenticeships, and recognises the significant role apprenticeships can play in providing both opportunities to individuals, and skills for employers.

- 2.2 Apprenticeships are distinct from schemes such as internships and traineeships. They provide a real job, during which an apprentice must work towards achieving an approved apprenticeship. The duration of the apprenticeship must be at least 12 months, and an apprentice must spend at least 20 per cent of their time on off-the-job training.
- 2.3 The City Corporation's recent guide *The City's Business* – co-produced with a range of City institutions - articulates the Corporation's commitment to being an exemplar and a role model among its City peers, and other local authorities, in the delivery of, and outcomes gained, through such apprenticeships.
- 2.4 This commitment dovetails with the ambition of government policy, and underpins a target to deliver and sustain 100 apprenticeships annually within the City Corporation from 2017-18. As an existing employer of apprentices, and an accredited apprenticeship training agency, this target builds on a commitment and track record of delivery that stretches over five years.
- 2.5 This document sets out the principles and details of implementation that will ensure both the delivery of the City Corporation's target, and the achievement of the wider principles and ambitions that are integral to it. Its focus is internal - sitting alongside those other employability initiatives and strategies that focus on the Corporation's outward-facing ambition, partnerships and delivery.

3 Strategic context - national

- 3.1 In December 2015 the Government published *English Apprenticeships: Our 2020 Vision* setting out its aim to increase the quality and quantity of apprenticeships in England. Further guidance has been published in August 2016, with some proposals subject to consultation, but key details are already available.
- 3.2 The Government's vision is underpinned through legislative and regulatory change. The Enterprise Act 2016 will enable the Government to put in place measures to ensure apprentices make up more than 2.3% of the workforce in public bodies in England.
- 3.3 In addition, a mandatory "apprenticeship levy" will come into effect in April 2017, and will be payable by all large employers across all sectors. Payment of the levy, set at 0.5% of the gross pay bill, will create an employer account to fund apprenticeship training, education and assessment. This moves away from the current funding model in which training cost are two thirds funded by government and one third by employers.
- 3.4 An employer's levy contributions cannot be used to pay for apprentices' wages or other costs such as travel or recruitment costs. Neither can the levy fund time spent by managers supporting apprentices. The levy will be available for use by employers to fund apprenticeships from May 2017, and if an employer spends more than they

have paid into the levy, the government will meet 90 per cent of any additional expenditure.

- 3.5 The Government's reforms also include radical changes to the delivery of apprenticeships. Providers will switch from the delivery of apprenticeships against approved "Frameworks" to new "Standards". Many standards are already in use, with more in development, and they will replace frameworks completely by 2020.
- 3.6 Standards will be designed by employers for specific occupations within their relevant sectors – a movement away from multi-occupational frameworks. Standards and frameworks will be allocated funding bands that will set a maximum funding available for them. Both can be funded by the levy. As the full range of standards is still being developed, these will initially be limited in number and frameworks will predominate. However, it should be noted that apprenticeship standards (as the preferred model) will be allocated higher funding relative to equivalent frameworks.

4 Strategic context - local

- 4.1 The opportunities and outcomes secured through apprenticeships deliver across the strategic aims of the City Corporation - from those of the *Corporate Plan* to the commitments of strategies such as the *Education Strategy* and *Children and Young People's Plan*. The Corporation's ambitions for its role in supporting employment and employability have been most clearly set out in *The City's Business*, and the outcomes below that are identified (with Member support) in the forthcoming *Employability Framework*:
 - greater diversity in the City workforce
 - City has the skilled workforce it needs
 - widened access to entry level jobs
 - better prepared Londoners secure more jobs
 - Corporation as a model practitioner and change leader
- 4.2 Delivering apprenticeships is also part of a strategic approach to talent management (Right People, Right Place, Right Time) agreed by Summit Group. The first phase of this approach is entry level recruitment – of which delivering apprenticeships is a significant part.
- 4.3 There is also potential for the City Corporation to grasp changes in apprenticeship delivery, to meet its ambition to deliver for London and the nation. Future apprenticeship standards will be designed by employer led "trailblazer" groups to ensure their relevance. The City Corporation is well placed to convene public sector and other partner groups to form trailblazer groups to design new apprenticeship standards.

5 Operational context

- 5.1 The City Corporation is already committed to recruiting and delivering apprenticeships. It has had an apprenticeship scheme since 2011, and currently employs 27 apprentices across seven departments.
- 5.2 Over the last five years, the City Corporation has supported more than 300 apprentices across 18 different programmes - ranging from Business Administration to Marine Engineering - for organisations connected to the City. Just over one hundred of these apprenticeships were completed within the City Corporation itself.
- 5.3 As an employer the Corporation delivers a unique range of roles and opportunities. It is this breadth and diversity that sets it apart from most other organisations employing apprentices.
- 5.4 The apprenticeship ambition is also proportionate to the Corporation's size and staff turnover. As at 31 March 2016, the City Corporation (excluding City Police) employed a total of 3,362 employees across its departments and functions. Of these roles, just over 1,500 are at grades A-C. In the year 2015-16 there were 506 starters and 515 leavers.
- 5.5 Early engagement with departments across the Corporation has identified wide-ranging interest to deliver apprenticeships. It confirmed that departments already have plans to fund 31 existing apprenticeships in 2017/18. A further 73 apprenticeship roles have been identified, but these are not funded within department's future budgets and therefore subject to additional resourcing. There is a broadly between level 2 and level 3 apprenticeships – whether existing roles or potential ones.
- 5.6 Many departments have identified more opportunities for apprentices, than a distribution of the total by relative size would require. Such a distribution based on staffing levels would mean that no department will be required to have more than **ten** [check] roles.

6 Future ambition

- 6.1 The City Corporation is committed to employing and sustaining 100 apprenticeships across its functions and departments. This means building to a level of 100 apprenticeships during 2017/18, and then maintaining this level through a rolling programme of new starts replenishing the number who exit from the apprenticeship programme. This approach recognises that some apprenticeships will last only the minimum 12 months and some will be longer, where some apprentices will progress to a higher level.
- 6.2 Meeting this target will complement existing schemes (such as the graduate scheme), and as apprenticeships embed, and individuals progress beyond the initial levels, they may replace current higher level training programmes.
- 6.3 The initial focus will be recruitment at levels 2 and 3, to provide entry level opportunities. However, our commitment to progression, and delivering apprenticeships that are a pathway to successful careers, means that our offer will

deepen to ensure those wishing to progress to higher apprenticeship levels in future will have the opportunity to do so.

- 6.4 The expansion of City Corporation’s employment of apprentices will offer outstanding quality and opportunity for many, including those in our academy, independent and local schools, and young people and adults in our surrounding communities. Its success will be measured not only by the number of apprenticeship starts each year , but also by the proportion of completions, and progression to full time employment (whether inside or outside of the Corporation) or further employment based training.
- 6.5 The Corporation will reach out to and ensure that those from disadvantaged backgrounds are attracted and able to take up our apprenticeships. This aim will be supported through the marketing of the scheme, by attracting applicants through the quality of our offer and reputation, and by offering terms and conditions that maximise rather than narrow opportunity.
- 6.6 The apprenticeship programme will also support the delivery of the organisation’s future skills needs and workforce management – including providing new skills opportunities for supervisors and managers.

7 Approach to delivery

- 7.1 Every department is expected to provide opportunities that will enable the Corporation to reach and sustain its target. The initial approach has been to give departments the opportunity to extend their existing apprenticeship offer. Where this does not deliver enough roles, or opportunities within all departments, the distribution of apprentices will reflect the relative size of departments – an approach that is both fair and allows for a proportionate share of the support and management of these roles.
- 7.2 The target of 100 apprentices will be met through a phased recruitment of apprentice cohorts throughout the year. Each cohort will provide an opportunity to recruit a range of apprentices to meet the changing needs of the organisation.
- 7.3 There will be four cohorts recruited each year, and departments will have the flexibility to recruit to any or all of the cohort stages in order to accommodate local needs and issues, and allow a planned and managed approach.
- 7.4 This staged approach will also accommodate the fact that some more specialist standards are in development – or have yet to be developed – and may not be available from the outset.
- 7.5 As stated previously the City Corporation is an accredited apprenticeship training agency, providing a current programme for internal and external customers. As such the Corporation is already an “employer-provider”, whereby it provides or commissions the off-the-job training element of an apprenticeship for its own staff.

- 7.6 The government is very supportive of employers who deliver this role or who are planning to do so. As an employer-provider the Corporation is able to directly design and deliver the content of training for our own apprentices, has greater control and oversight of the quality of that training and education provision, and can ensure our programme provides greater levels of support before, during and after apprenticeships.
- 7.7 Using an employer-provider model means the Corporation is able to ensure that the levy payments it makes are not spent on an external third party organisation, but invested back into the Corporation to maximise the value and benefit of the programme.

8 Identifying need

- 8.1 A preliminary exercise between May – July 2016 has been undertaken with departments to identify the number and roles of existing, planned and potential apprenticeships at levels 2 and 3. These figures identify potential to employ over 100 apprentices in more than forty apprenticeship roles – although for some roles there is currently neither a current Framework nor Standard. Thirty-one of these roles are already planned as part of department’s pre-existing commitment to apprentices.
- 8.2 A further stage will refine this provisional information in order to finalise departmental commitments and needs, the apprenticeship roles that will be offered, and set out the process of recruitment and training.

9 Apprenticeship Service role

- 9.1 The Corporation’s Apprenticeship Service will be integral to achieving and sustaining the Corporation’s ambition. The training, education and assessment of Corporation apprentices, and the administration of those elements, will be funded through the Corporation’s monthly levy payments via the new Digital Apprenticeships Service (DAS). However, a number of other aspects of this service’s role cannot be funded through the levy.
- 9.2 The Apprenticeship Service will identify the relevant framework or standard, secure training and, where necessary, the required independent approved assessor. The provider will confirm the apprenticeship length associated with a given standard or framework.
- 9.3 As the provider, the Apprenticeship Service will market our apprenticeship opportunities within the Corporation. This approach will build on the existing profile and relationships the Corporation has with its academy, independent and local schools, local communities in our fringe boroughs, City tenants and the wider community. It will secure a brand identity for City of London apprenticeships that builds on success and the quality of offer. Initiatives may include milk round style

recruitment events, specific initiatives to reach out to target groups, and former apprentices promoting opportunities in schools and communities.

- 9.4 In conjunction with HR (see below), the Apprenticeship Service will run four recruitments each year – in April, July, October and January. Each stage requires an eight-week lead in period. During this period the Apprenticeship Service will market the role, create a long list of applicants, and undertake an initial assessment of those applicants to provide a shortlist for the departments/service areas. Candidates are interviewed by the appointing department, and HR will support formal recruitment and “on boarding” of candidates.
- 9.5 The Apprenticeship Service will also provide additional support to apprentices and managers. For apprentices this will consist of pastoral support delivered through weekly welfare support meetings. The service will also support apprentices through buddying and mentoring schemes.
- 9.6 Those supervising and managing apprentices will also receive support. The service will deliver specific training for managers and supervisors, and provide for weekly face-to-face support where required.
- 9.7 The apprenticeship service will also support the Corporation and individual departments to help apprentices to progress to higher levels of qualification and/or employment. This may be progression to more specialised higher level apprenticeships to meet operational needs, or a higher level of their current apprenticeship. Where progression opportunities are not available in the Corporation, the Service will support apprentices to identify opportunities elsewhere.
- 9.8 Some apprentices will wish to progress to employment rather than seek further qualifications. The Service will support this ambition during the apprenticeship period, and afterwards through coaching, employability sessions and mentoring. The Service will also conduct post-apprenticeship monitoring at six month intervals for two years, to identify medium terms outcomes.
- 9.9 The Apprenticeship Service will also provide specialist support to those, such as the City Corporation’s looked after children and care leavers, who may have additional needs for support with English language and other skills.
- 9.10 Some people are not ready to start an apprenticeship, but instead need a period of support to improve basic skills and gain some experience to improve their readiness and suitability for work. To support these candidates the Apprenticeship Service will develop a proposal for pre-apprenticeship traineeship programme which would provide up to twelve weeks of basic skills training and experience.

10 Human Resources role

- 10.1 The employment and management of apprentices cannot be done without the support of the Corporation’s Human Resources (HR) division. HR will both provide

significant support to departments throughout this process, and work with the Apprenticeship Service to ensure delivery.

- 10.2 HR will take responsibility for recruitment from the point where the Apprenticeship Service provides a short list of candidates. HR will also develop specific terms and conditions as appropriate for apprentices, and guidance and support for their managers.
- 10.3 For apprentices HR will develop a specific City of London induction programme and organise networking opportunities. At the end point of apprenticeships, HR will support and encourage the recruitment of apprentices to suitable temporary and permanent opportunities that departments have identified.

11 Meeting and sustaining target

- 11.1 Many departments are already employing apprentices, and nearly all have plans for additional roles in 2017/18. Meeting the target of 100 will mean the delivery of, and recruitment to, approximately 70 additional apprenticeship roles.
- 11.2 The duration of an apprenticeship varies. The minimum will be 12 months – and many will last longer. Apprenticeship duration, progression to higher level apprenticeships, staff turnover and changing business needs will determine the number of, and planning for, new apprentices in subsequent years.
- 11.3 Where an apprentice joins the Corporation, or progresses from one apprenticeship level to another, or begins a new apprenticeship, this counts as a “start”. These starts will be reported to the government as part of the monitoring requirements in relation to their public sector apprenticeship target.

12 What will success look like?

- 12.1 A number of measures will identify the success of this strategy, and the outcomes it seeks. These are:
- securing 100 apprenticeship starts in 2017/18 [are there any existing apprentices that will continue into next year]
 - the proportion of apprenticeship completions
 - the proportion of completions passing end point assessment and associated exams
 - post apprenticeship destination (higher level apprenticeship, education, full-time employment) at six, 12, 18 and 24 months.
- 12.2 Currently it is expected that a minimum of 65 per cent of apprentices successfully complete their apprenticeship. The City Corporation will expect to outperform the national and London level for completions and progression.

12.3 The City Corporation will also monitor the diversity and source routes (schools, local communities, target groups) of candidates and apprentices, to ensure the Apprenticeship Service is delivering the wider ambitions of diversity, social mobility, relevance to our local communities, and change leadership.

13 Resourcing

13.1 The training, education and assessment of the City Corporation's will be funded by the organisation's levy contributions. The levy can also meet the costs for use of premises where these are used for the apprenticeship, administration related to the delivery of the apprenticeships, and the wages and associated costs (such as pension and National Insurance contributions) for employees directly involved in the delivery of the apprenticeship.

13.2 The levy income available to the Corporation's Apprenticeship Service will be determined by the type of apprenticeship, and whether it is available as a standard (and therefore subject to a higher funding gap) or will be delivered in the interim through a framework.

13.3 However, several costs cannot be met by the levy. These include:

- wages of the apprentice
- travel
- cost of line managers or other colleagues supporting the apprentice
- apprentice recruitment
- pastoral support for apprentices.

13.4 Some salary on-costs have been limited by the government through its abolition of Secondary Class 1 National Insurance Contributions abolished for apprentices under the age of 25 since April 2016

13.5 Additional funding of £1,000 per individual will be available to the Corporation's Apprenticeship Service to help with the extra costs of training 16 to 18 year olds, or 19-24 year olds leaving care or with Education and Health Care Plans. A further £471 is available for supporting apprentices to achieve a level 2 standard in English and Maths. Additional funding is also available to support apprentices with learning difficulties.

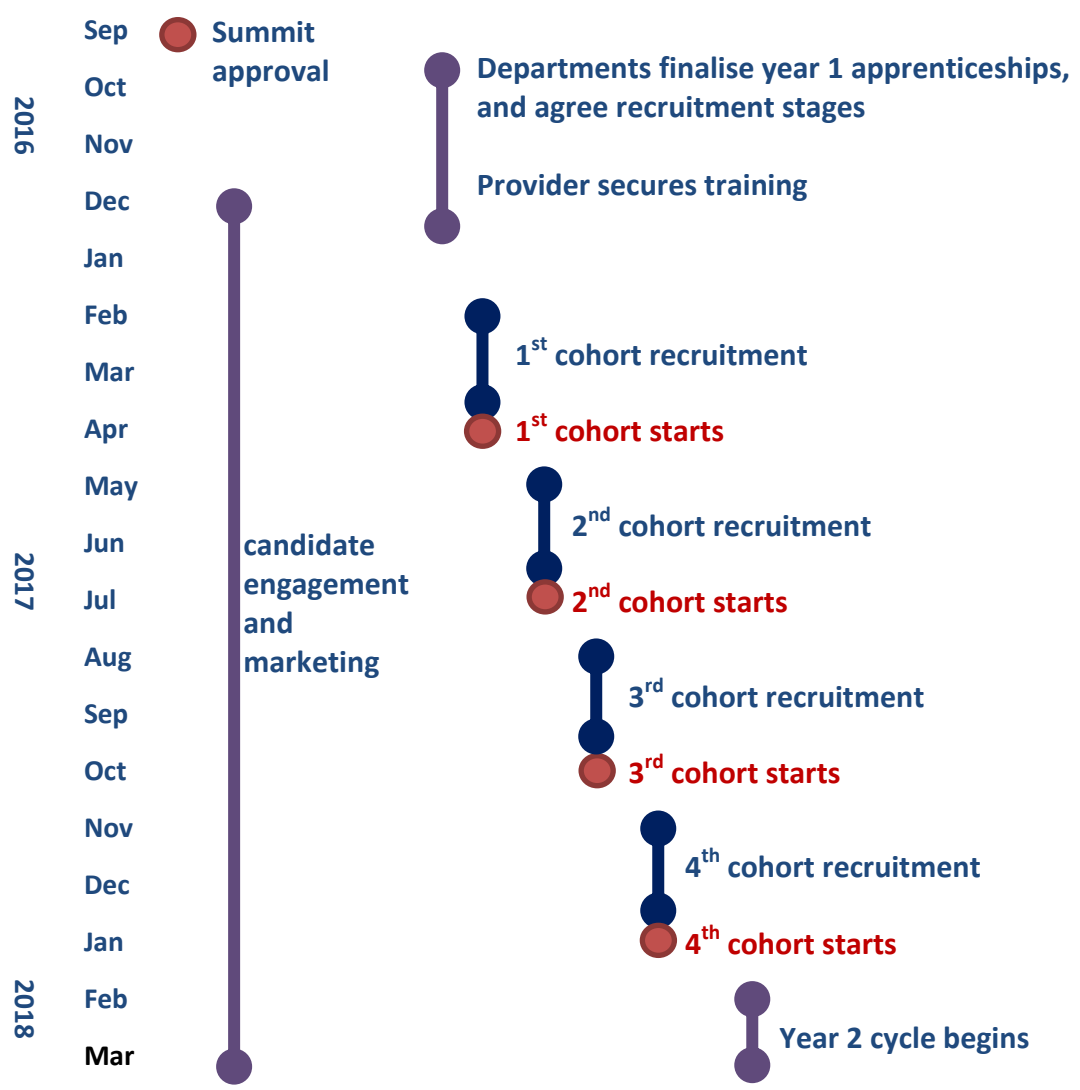
13.6 The costs to the Corporation will be determined by the salary level paid to apprentices, and the funding of those aspects of the Apprenticeship Service that are not funded by levy income.

14 Timescale and implementation

14.1 An implementation plan setting out the approach in year 1 (2017/18) is below. A more detailed delivery plan will be developed in the light of actions set out in sections 8 and

9 above, which will in turn determine the scale and timing of apprenticeship recruitment in the following year.

Implementation plan



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Committee(s)	Dated:
Establishment Committee	25 October 2016
Subject: Family Friendly Policies - amendments to promote parity	Public
Report of: Director of Human Resources	For Decision
Report author: Aniki Applewhite- Corporate HR Town Clerk's Department	

Summary

This report requests that Members consider a number of minor amendments to current family friendly policies to provide greater parity for employees. These relate to Paternity Leave, Adoption Leave and Shared Parental Leave.

Recommendation(s)

Members are asked to endorse the proposed changes to the Paternity Leave, Adoption Leave and Shared Parental Leave Policies as follows:

- Continuous local government service be included when considering eligibility for Paternity Leave and Pay.
- the second week of Paternity Pay is increased from Statutory Paternity Pay (£139.58) to a normal week's pay
- Continuous local government service be included when considering eligibility for Adoption Pay.
- Adoption Pay is increased to Statutory Adoption Pay (£139.58) plus 50% average pay during week 7 to 18 of adoption leave.
- 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.

Main Report

Background

1. The City of London Corporation has a range of family friendly policies which aim to support employees wishing to have a work life balance as well as meeting our statutory requirements. The policies that this report relate to are Paternity, Adoption and Shared Parental Leave. These policies provide employees with provisions including leave and pay.

2. The review of these policies has identified a number of discrepancies between similar provisions and this report highlights those differences and seeks to make amendments to these policies to provide a level of parity between them.
3. When the Shared Parental Leave Policy was adopted in March 2015 it was agreed that a further report would be made to the Committee to determine whether any enhancements or changes to the Policy would be recommended.

Current Position

4. The amount of entitlement to leave and pay are determined by either the length of continuous service with the City Corporation or other public bodies covered by the Local Government Modification Order as detailed in each policy.
5. In relation to Adoption and Shared Parental Leave Policies the intention is to create a degree of parity in the pay received, by enhancing the statutory pay entitlement with occupational half pay to mirror the pay in the Maternity Leave Policy.
6. In relation to Paternity Leave and Adoption Leave Policies the intention is to allow for continuous local government service to be taken into account in the same way that it is for other provisions including Maternity Leave.
7. In relation to the Paternity Leave Policy the intention is that the second week of Paternity Leave is increased to normal pay in the same way as it is during the first week.

Paternity Leave Policy

8. Employees who are the biological father, or are the mother's husband or civil partner and have responsibility for the child's upbringing can take paternity leave as long as they meet the eligibility criteria. At present the statutory provisions require that employees have to be continuously employed by the City Corporation for at least 26 weeks at the 15th week before the expected week of childbirth in order to take Paternity Leave and receive Statutory Paternity Pay. They cannot take into account any previous service with other public bodies covered by the Local Government Modification Order, as applies in the Maternity Leave Policy.
9. Eligible employees may choose to take either one week or two consecutive week's Paternity Leave. During the Paternity Leave employees have no statutory right to be paid their normal wages or salary during their leave period but are entitled to receive Statutory Paternity Pay (currently £139.58). However at the City Corporation, the first week is paid at normal pay and the following week at the Statutory Paternity Pay rate.

Adoption Leave Policy

10. The Employment Rights Act 1996 (ERA) was amended as a result of the Children and Families Act 2014 so that from 5 April 2015, there was no longer a 26 week qualifying period to take Statutory Adoption leave. At this time Statutory Adoption Pay was increased to the higher rate of 90% of average pay for the first 6 weeks

which brought it in line with Statutory Maternity Pay for employees with at least 26 weeks continuous service. From week 7 to 39, the lower rate of Statutory Adoption Pay is paid (currently £139.58).

11. The City Corporation currently makes no enhancement to adoption pay for weeks 7 to 18, which is contrary to the provision it offers for the maternity pay of employees with at least 52 weeks continuous service. The enhancement for these weeks for those employees equates to Statutory Maternity Pay and 50% of average pay.
12. At present employees have to be continuously employed by the City Corporation for at least 26 weeks at the point when the adoption agency advises of the expected week of placement to receive Statutory Adoption Pay. Previous service with other public bodies covered by the Local Government Modification Order is not taken into account.

Shared Parental Leave Policy

13. The Children and Families Act 2014 introduced the entitlement for employees who are parents to take Shared Parental Leave from April 2015. This allowed, subject to meeting the eligibility criteria, for an employee to curtail maternity or adoption leave so that both the employee and their partner could use the rest of the entitlement to take as Shared Parental leave.
14. The review has identified that the expected take up is low and this is reflective of the national position. The review was also planned to consider the possible legal challenge that could be raised in relation to parity with Maternity Pay. The recommendation in this report will address this area of concern.
15. Shared Parental leave is paid at the current statutory rate of £139.58 and is payable up to 39 weeks reduced by the number of weeks maternity or adoption pay taken.

Options

Option 1

16. For the City Corporation to allow continuous local government service to be counted as opposed to just City of London Corporation service when considering eligibility for paternity leave and pay and adoption pay.
17. To increase the second week of Paternity Pay to a normal week's pay.
18. For the City Corporation to enhance adoption pay and shared parental pay to bring them in line with the maternity pay provisions currently offered to employees taking maternity leave. This could equate to up to 12 weeks half pay during weeks 7 – 18 on the leave period.

Option 2

19. To retain the current Paternity leave, Adoption Leave and Shared Parental Leave Schemes without any further enhancements.

Proposals

20. Members are asked to approve changes to the current family friendly policies, which have been endorsed by Summit Group, to bring them in line with the Maternity Leave Policy as follows:

- Continuous local government service be included when considering eligibility for Paternity Leave and Pay.
- the second week of Paternity Pay is increased from Statutory Paternity Pay (£139.58) to a normal week's pay
- Continuous local government service be included when considering eligibility for Adoption Pay.
- Adoption Pay is increased to Statutory Adoption Pay (£139.58) plus 50% average pay during week 7 to 18 of adoption leave.
- 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.

Implementation plan

21. If the recommendations are agreed, transitional arrangements and the details around calculations, notification and HMRC requirements will be put in place in collaboration with the Pay Office and formal implementation dates and revised policies will be communicated to employees.

Corporate & Strategic Implications

22. The City Corporation is committed to equality and inclusion, wellbeing, improving working life and work life balance for its employees. The proposals put forward will allow more employees to benefit as a result of the eligibility being widened or the provision being improved.

23. The City Corporation has a number of staff diversity networks whose views and ideas along with those of the trade unions can feed into policy development and key decisions. The proposals send a positive message to employees and are responsive to feedback received around reviewing some of the family friendly policies and their provisions. They also provide an opportunity to support the Equality and Inclusion agenda at projected low cost.

Implications

24. There were 46 occurrences of paternity leave in 2015/2016. The total amount of paternity pay paid out was £34,438. However 92% of the statutory payment which amounted to £9,760 was reclaimed through the HMRC. The proposal to increase the second week of Paternity Pay would have been an additional £26,062 to the pay bill. However given the stated purpose of this report, and the recommended improvements to the Adoption and Shared Parental Leave Policies, it is considered appropriate to take the opportunity to enhance the current rate of Paternity Pay during week two of Paternity Leave at the same time.
25. With regards to the recommendation that eligibility is based on continuous local government service and not the City Corporation start date, as there have been only 2 known cases in the past 2 years this improvement is unlikely to have a significant impact on costs or service delivery.
26. In 2015/2016, 56 women started their Maternity Leave, no staff took adoption leave, and 3 employees took Shared Parental Leave.
27. Between January 2010 and 31 March 2015, a little over 5 years, only 1 employee took Adoption Leave. Of the 135 instances of Paternity leave between 1 April 2011 and 11 November 2014, only 2 were as a result of an Adoption.
28. The Shared Parental Leave Policy has been in operation since April 2015. Between then and 31 March 2015, 3 members of staff have taken shared parental leave and were in receipt of Shared Parental Pay. It is generally thought that this provision is unlikely to increase significantly and Acas estimate that general take up will be no more than 1%.
29. Overall voluntary enhancements to Adoption Pay, and Shared Parental Pay and the proposed changes to the continuous service requirements at the City Corporation could result in a higher take up, but it is considered to be unlikely. The cost of voluntarily enhancing the second week of Paternity Leave is outlined in paragraph 22 above.

Conclusion

30. The extent of the impact of the changes is unknown although it is expected to be fairly low across all three policies. The recommended changes will however give employees and their family options and more choice in determining how they care for their children. To those that are able to benefit, the changes will be welcomed and of great value. Take up and issues arising will be monitored during the first year following the amendment.

Appendices

- Appendix 1 –None

Background Papers

Shared Parental Leave Report 19 March 2015

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Committee: Establishment Committee	Date: 25 October 2016
Subject: Human Resources Dashboards	Public
Report of: Director of Human Resources	For Information
Report author: Janet Fortune	

Summary

This report facilitates to the Committee data from our Corporate HR Dashboard. It also specifically provides the dashboards for the two Departments to which Establishment Committee is Service Committee to (the Town Clerk's Department and the Comptroller and City Solicitor's Department).

The full electronic version of the dashboard will be available at the meeting and will provide the opportunity for members to 'drill down' into each specific area, to obtain greater detail and undertake further analysis. Please note that while this report is in the public part of the agenda, it may be necessary for the meeting to move into non-public for some detailed analysis.

Recommendation

The Committee is recommended to note the report.

Main Report

Background

1. The HR Dashboards help support the Town Clerk, Chief Officers and Managers through the provision of monthly data on key "people" metrics.
2. Copies of the front page of the HR Dashboard for the Corporation as a whole, the Town Clerks Department and the Comptrollers and City Solicitors Department are attached to this this report. These show the nine key corporate metrics currently for August 2016, which are:
 - Current Full Time Equivalent Headcount
 - Percentage staff turnover
 - Monthly sickness level
 - Total establishment v opportunities / unfilled vacancies
 - Number of recruitment campaigns closed (running total)
 - Formal Processes (Disciplinary, Grievance and sickness cases totals)
 - Monthly overtime running total
 - Health Safety Accident statistics
 - Total Training statistics

3. At the meeting you will have the opportunity to see the full version of the HR dashboard on the interactive electronic display.

Current Position

Highlight Information

Based on the August 2016 figures the following should be noted at the Corporate level:

- a) Full Time Equivalent (FTE) has remained fairly static compared to last year. Currently sitting at 3564.10 FTE, headcount currently at 3,762 staff, which shows a slight reduction of 21 staff . This is being monitored as part of the Service Based Review budget monitoring.
- b) Turnover remains fairly constant at 14%, increasing slightly by 0.55% in the last year.
- c) Occupied positions at 3772 is higher than the current staff at 3762 due to various consultants being included in our reporting structure who may have some line manager responsibility.
- d) Unoccupied positions which should be an indication of the number of vacancies has increased to 1650 this does not reflect vacancies but shows the scale of reorganisations where new positions have been created but the existing position has yet to be deleted. This data is currently being cleansed and the next report should show a more realistic figure.
- e) Sickness since the last reporting period has increased from 0.41 to 0.47 and although this is below our target of 0.50. You will note the categorisation of the largest reason for sickness is “other”. The Wellbeing strategy recently launched in HR will seek to review the categorisations and tighten up the procedures to ensure meaningful reasons for sickness are recorded to enable us to identify causes and offer support more effectively to prevent or manage absence even further. This overall figure will be tracked closely and compared to our recently populated Wellbeing Dashboard.
- f) In addition we launched the absence self service module in July which supports the Wellbeing strategy. The reasons for absence have be recategorised and there was a reduction in using this category in August, but the full results of this will become more evident as the year progresses.
- g) 353 recruitment campaigns have been closed in the last rolling year of which 343 were successful. The average days from requisition to start is deceiving as it includes the notice of the individual appointed.
- h) Reported accidents year to date are 333. This is an increase from the same point in time last year. The total last year was at 280. It is important to note this is a positive for the organisation and not an indicator of it becoming more dangerous. We are seeing this increase as a result of the simpler enhanced reporting

mechanisms and better engagement with the corporate accident reporting system by the Departments.

- i) The key KPI for our accident metrics is on investigation (accidents being investigated within a 14 day period) as this demonstrates the effective behaviour required in understanding, rectifying and preventing a recurrence of accidents as required by law. This is at 71%, however the total investigation return rate is 86%. This is increasing month on month and is an overall positive sign. This figure is also being tracked closely by the Health, Safety & Wellbeing Committee and the Town Clerk.

Corporate & Strategic Implications

The HR Dashboards provide a key information source for tracking performance and undertaking Workforce Planning both at a Departmental and Corporate level.

Conclusion

Members are asked to note this report.

Appendices

- Appendix 1 – Corporate Dashboard April 2016
- Appendix 2 – Town Clerks Dashboard April 2016
- Appendix 3 – Comptrollers and City Solicitors Dashboard April 2016

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3,762 Current Staff - Headcount

3,564.10 Current Staff - FTE



Aug-2015 Levels

- Headcount **3,786**
- FTE **3,581.16**

14.21%

Turnover in the current rolling year



Starters 533
Leavers 537
- Voluntary 10.40% (393)
- Involuntary 3.81% (144)

Previous rolling year's turnover 14.58%

Monthly Sickness Level

0.47

Short-Term **0.22**
Long-Term **0.26**

Previous Levels
Jul-2016 **0.46**
Aug-2015 **0.35**



5,585 Total Positions

3,772 Occupied Positions

1,650 Unoccupied Positions

163 Positions Being Recruited To



353

Number of recruitment campaigns closed in the current rolling year

Applications 9,234
- Interviewed 1,266
- Appointed 343



92

Average Days From Requisition Start to Appointment/Closure

Disciplinarys

in the last year **23** currently open **10**

Grievances
in the last year **13**
currently open **7**



Sickness Cases
in the last year **299** currently open **136**

£241,177.98

Monthly Overtime



Monthly Additional Hrs **£283,613.19**

Monthly Casual Costs **£351,579.06**

Monthly Agency Costs **£587,888.46**

YTD Overtime **£1,114,798.69**
YTD Additional Hours **£1,419,330.06**

Health & Safety

333 Accidents in the rolling year

165 Incidents in the rolling year

Incidents of which were near misses

77



Accidents in the previous rolling year

114

6,538 Completed courses in the rolling year

1,906

of which were e-learning

Total Cancellations **135**

Cancellation Costs **£ 6,875**





Current Staff is as at report end date. Headcount refers to employees against position, those with multiple positions would be counted against each position. FTE is Full Time Equivalent. Figures are based on permanent staff, and does not include casual staff, agency workers or consultants/contractors.



Turnover is calculated as the number of leavers divided by the average number of staff as a percentage. Average staff numbers are calculated using employee numbers at the beginning and end of the reporting period. Voluntary leavers are organisation leavers who have resigned, involuntary leavers relates to all other leavers.



Overall monthly sickness levels are measured against the corporate target of 6 days per year (divided by 12 for a monthly level of 0.5). CoL values are for the same reporting month.



Disparity between the number of unoccupied positions and positions being recruited to could be representative of inaccuracies in your structure and may need reviewing.



A recruitment requisition is only closed once a successful applicant starts in their position. This can obviously impact on average days from requisition start to appointment where long notice periods are in effect. **Please Note:** These recruitment figures don't



Disciplinary, Grievances and Sickness Cases are based on formal casework, informal values are not included. Grievances may also be referred to as Complaints. In the last year refers to the rolling year.



Monthly agency costs are based on Comensura values only. Additional staff costs outside of Comensura and normal payment streams are not included. Year to date values relate to the financial year beginning the 1st of April.



Health & Safety incidences could include occurrences which do not relate to department staff, but which occurred in areas under the department's control.



Training values include department specific and mandatory courses.

227 Current Staff - Headcount

217.94 Current Staff - FTE

- HC vs COL **6.03%**
- FTE vs COL **6.11%**



Aug-2015 Levels

- Headcount **221**
- FTE **211.54**

22.27%

Turnover in the current rolling year

14.21%

CoL Turnover

- Starters 51**
- Leavers 50**
- Voluntary 16.04% (36)
- Involuntary 6.24% (14)



Previous rolling year's turnover **22.37%**

Monthly Sickness Level

0.32

CoL

0.47

- Short-Term **0.32**
- Long-Term **0.00**

Previous Levels

- Jul-2016 **0.29**
- Aug-2015 **0.61**



327 Total Positions

228 Occupied Positions

78 Unoccupied Positions

21 Positions Being Recruited To



33

Number of recruitment campaigns closed in the current rolling year

Applications **1,169**

- Interviewed 168
- Appointed 42



Average Days From Requisition Start to Appointment/Closure

102 (92)
CoL

Disciplinarys

in the last year **0**

currently open **0**

Grievances

in the last year **1**
currently open **0**



Sickness Cases

in the last year **19**

currently open **8**

£1,898.77

Monthly Overtime



Monthly Additional Hrs **£600.33**

Monthly Casual Costs **£3,604.80**

Monthly Agency Costs **£87,337.42**

YTD Overtime **£15,775.69**

YTD Additional Hours **£3,488.69**

Health & Safety

9 Accidents in the rolling year

4 Incidents in the rolling year

Incidents of which were near misses

4



Accidents in the previous rolling year

1

899

Completed courses in the rolling year

200

of which were e-learning

Total Cancellations

21

Cancellation Costs

£ 400





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Disciplinary, Grievances and Sickness Cases are based on formal casework, informal values are not included. Grievances may also be referred to as Complaints. In the last year refers to the rolling year.



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Health & Safety incidences could include occurrences which do not relate to department staff, but which occurred in areas under the department's control.



Training values include department specific and mandatory courses.

55 Current Staff - Headcount

50.26 Current Staff - FTE

- HC vs COL 1.46%
- FTE vs COL 1.41%



Aug-2015 Levels

- Headcount 55
- FTE 50.06

7.27% Turnover in the current rolling year

14.21% CoL Turnover

- Starters** 3
- Leavers** 4
 - Voluntary 7.27% (4)
 - Involuntary 0.00% (0)



Previous rolling year's turnover 7.34%

Monthly Sickness Level **0.24**

CoL **0.47**

- Short-Term 0.24
- Long-Term 0.00

- Previous Levels**
- Jul-2016 0.25
- Aug-2015 0.03



59 Total Positions

55 Occupied Positions

3 Unoccupied Positions

1 Positions Being Recruited To



6 Number of recruitment campaigns closed in the current rolling year

- Applications** 64
- Interviewed 20
- Appointed 6



Average Days From Requisition Start to Appointment/Closure **96** **(92)** CoL

Disciplinarys in the last year **0** currently open **0**

Grievances in the last year **0** currently open **0**

Sickness Cases in the last year **5** currently open **2**



£- **Monthly Overtime**

Monthly Additional Hrs £-

Monthly Casual Costs £1,305.30

Monthly Agency Costs £-

YTD Overtime £1,805.01
YTD Additional Hours £-



Health & Safety

1 Accidents in the rolling year

0 Incidents in the rolling year

Incidents of which were near misses

0



Accidents in the previous rolling year

1

169 Completed courses in the rolling year

Total Cancellations

1

23 of which were e-learning

Cancellation Costs

£ 56





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Training values include department specific and mandatory courses.

Committee(s)	Dated:
Establishment Committee	25 October 2016
Subject: Operation of the Scheme of Delegations July – September 2016	Public
Report of: Director of Human Resources	For Information

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'), ill health retirements and Market Forces Supplements (MFS) awarded in the reporting period 1 July to 30 September 2016. The report also provides information on total numbers in a rolling year.

Recommendation

Members are asked to note the actions taken under delegated authority.

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 have been 4 early retirements in total and 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; 6 early retirements; and 6 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.

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