Public Document Pack

Establishment Committee

Date: **TUESDAY, 14 FEBRUARY 2017**

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
Sheriff & Alderman Peter Estlin
Deputy Kevin Everett
Michael Hudson
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 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 17 January 2017.

   For Decision
   (Pages 1 - 8)

4. **OUTSTANDING ACTIONS REPORT**
   Report of the Town Clerk.

   For Information
   (Pages 9 - 10)

5. **APPOINTMENT OF CHAIRMEN OF SUB-COMMITTEES**
   Resolution of the Policy and Resources Committee.

   For Information
   (Pages 11 - 12)

6. **DRAFT HIGH LEVEL BUSINESS PLAN FOR TOWN CLERK'S CORPORATE AND MEMBER SERVICES**
   Report of the Town Clerk.

   For Information
   (Pages 13 - 18)

7. **RISK - TOWN CLERK'S DEPARTMENT**
   Report of the Town Clerk.

   For Information
   (Pages 19 - 26)

8. **CORPORATE HUMAN RESOURCES HIGH LEVEL BUSINESS PLAN**
   Report of the Director of Human Resources.

   For Information
   (Pages 27 - 34)

9. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN 2016-2019 PROGRESS REPORT AS AT 31 DECEMBER 2016**
Report of the Comptroller and City Solicitor.

For Decision
(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. **INVOLVEMENT OF EXTERNAL PARTIES IN CITY OF LONDON RECRUITMENT**
Report of the Director of Human Resources.

For Decision
(Pages 51 - 54)

12. **PAY POLICY STATEMENT**
Report of the Director of Human Resources.

For Decision
(Pages 55 - 66)

13. **DEVELOPMENTS IN EMPLOYMENT LEGISLATION**
Joint report of the Comptroller and City Solicitor and the Director of Human Resources.

For Information
(Pages 67 - 72)

14. **HUMAN RESOURCES DASHBOARDS**
Report of the Director of Human Resources.

For Information
(Pages 73 - 82)

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

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

17. **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

18. **NON-PUBLIC MINUTES**
To agree the non-public minutes of the meeting held on held on 17 January 2017.

For Decision
(Pages 83 - 84)

19. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.

For Information
(Pages 85 - 86)

20. **RESOLUTION OF THE MARKETS COMMITTEE**
Resolution of the Markets Committee.

For Information
(Pages 87 - 88)

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

22. **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

23. **CONFIDENTIAL MINUTES**
To agree the Confidential minutes of the last meeting held on 17 January 2017.

For Decision

24. **REORGANISATION OF A DEPARTMENT**
Report of the Town Clerk.

For Decision

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

For Information

ESTABLISHMENT COMMITTEE

Tuesday, 17 January 2017

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
Nigel Challis	Sylvia Moys
Sheriff & Alderman Peter Estlin	Deputy Joyce Nash
Deputy Kevin Everett	Deputy Elizabeth Rogula
Michael Hudson	Philip Woodhouse

Officers:

John Barradell	-	Town Clerk and Chief Executive
Simon Latham	-	Town Clerk's Department
Sacha Than	-	Town Clerk's Department
Scott Nixon	-	Town Clerk's Department
Peter Kane	-	Chamberlain
Matthew Lock	-	Chamberlain's Department
Michael Cogher	-	Comptroller and City Solicitor
Chrissie Morgan	-	Director of Human Resources
Janet Fortune	-	Human Resources Department
Tracey Jansen	-	Human Resources Department
Neil Davies	-	Town Clerk's Department

The Chairman welcomed Michael Hudson to the Establishment Committee following his appointment by the Court of Common Council on 12 January 2017.

1. **APOLOGIES**
Apologies for absence were received from Deputy the Revd Stephen Haines (Chairman), Mark Boleat, Barbara Newman, and Deputy Richard Regan.

2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
There were no declarations of interest.

3. **MINUTES**
In response to a Member's query on the accuracy of item five, the Committee confirmed that the minutes were a correct record and summary of the meeting, but noted that certain matters concerning this item had changed subsequently.

RESOLVED – That the public minutes and summary of the meeting held on 1 December 2016 be approved as an accurate record subject to the following amendment;
- that Deputy Elizabeth Rogula's attendance details be amended.

Matters Arising

Special Representative to Asia

(i) The Director of Human Resources informed Members that following the December meeting of the Establishment Committee, an appointment panel had been convened and following the interview, an offer of employment had been made for the post of Special Advisor (Asia) in the Economic Development Office. The details of the appointment had been circulated to all Members of the Court.

In accordance with Section 100(A) of the Local Government Act 1972, the Committee agreed to exclude the public at this point in order for further discussion to take place within the confidential session. With the exception of the Town Clerk and his officers, the Comptroller and City Solicitor, and the Director of HR and her representatives all officers and the public withdrew from the meeting during the discussion of this item.

Following consideration of this item, the public were readmitted to the meeting

(ii) In response to a Member's question on the existence of a register of gifts and hospitality for Chief Officers, the Director of Human Resources confirmed that a register of gifts is kept in the Town Clerk's Department and has been regularly audited by Internal Audit. It was also confirmed that the register was available to all Members for inspection. It was noted that the Audit and Risk Committee included this in the internal audit work programme.

4. **OUTSTANDING ACTIONS REPORT**

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

The Chairman advised Members that a communication on Member Development had been circulated to the Establishment Committee from the Town Clerk's Department.

The Director of Human Resources explained to Members that whilst recording devices are not used for Staff Appeals at the Corporation, they had been used in the past. The Director of Human Resources further explained that although the Corporation asked staff not to record formal meetings, it was to be noted that there was an increase in the workplace in general, not just the Corporation, in staff recording other staff in informal conversations as 'evidence'. The Corporation discourages this practice but it is difficult to ban it, and Employment Tribunals, are increasingly accepting such 'evidence'.

RESOLVED – That the Committee note the report.

5. **CITY OF LONDON CORPORATION STAFF SPORTS AND ACTIVITIES CLUB**

The Committee considered a report of the Town Clerk which asked that funding continue to be provided to the City of London Corporation Staff Sports and Activities Club for the next three years and that the next review of funding take place after three years.

In response to a Member's question on the disparity of funding amongst the sports clubs, the Town Clerk confirmed that the level of funding given to the sport clubs is connected to the costs they had incurred. For example, some sports clubs incur higher costs for reasons such as pitch hire whereas other activities take place within the Corporation's premises and as a result the costs and the level of funding received for those clubs had been lower.

RESOLVED – That the Committee:

a) Continue to provide funding to the City of London Corporation Staff Sports and Activities Club, at a reduced rate of £11,225 per year, for the next three years (2017-2019); and
b) Agree that the next review of the funding take place after three years.

6. **ACCOMMODATION AND WAYS OF WORKING**

The Committee received a report of the Comptroller and City Solicitor which provided an overview of work carried out to date on the Accommodation and Ways of Working (AWoW) programme and highlighted potential concerns. The report set out three options for future ways forward for decision by the Policy and Resources Committee and the Projects Sub-Committee.

The Comptroller and City Solicitor explained that at the September Establishment Committee Members had suggested that certain elements of the programme be looked at in more detail including IT and whether senior officers would be included. Following this a project board had been convened of which he was Chairman which would keep the programme under review. The Comptroller and City Solicitor explained that a further report would be submitted to the Establishment Committee in the autumn of 2017.

In response to Members' questions on the timeframe for this programme, the Comptroller and City Solicitor explained that the success of the programme was dependent on the IT provision and the project would only move forward when this was in place. The Director of Human Resources further advised the Committee that the project board would be looking at the versatile mobile technology already in place at the City Corporation and how this could be used with small pilot trials taking place. A Member, also the Chairman of the IT Sub Committee, assured Members that the IT provision was a core part of the IT Transformation Programme, which was the IT Sub Committee's highest priority.

RESOLVED – That the Committee note the report.

7. **APPRENTICESHIPS - EXPANSION OF THE APPRENTICESHIP PROVIDER SERVICE**

The Committee considered a joint report of the Director of Community and Children's Services and the Director of Human Resources which provided information on the apprenticeship provider service and asked that approval be given to the proposed staffing structure with the creation of additional supporting roles.

The Chairman advised Members that the recommendation to approve the proposed structure of the apprenticeship provider service and additional supporting roles had been brought before the Community and Children's Services Committee on 13 January 2017 where Members expressed their concerns about the cost of the proposed structure.

In relation to the staffing structure, the Director of Human Resources explained that the City Corporation funded roles would provide an opportunity for staff seeking redeployment and the proposed roles should be offered on a fixed-term basis. The Town Clerk advised the Committee that the apprenticeship scheme should provide benefits not only to young people, but also to the City Corporation.

In response to a Member's question on the purpose of the proposed roles, the Director of Human Resources explained that although the apprentices would be managed on a day-to-day basis by City Corporation staff, the proposed roles would provide additional support such as recruitment and training.

Whilst acknowledging the importance and value of the scheme, a Member, also the Chairman of the Finance Committee suggested that future reports of this nature should, at the point of seeking agreement in principle, include associated costs for the purpose of clarity. The Chairman suggested that this point might be best considered by the Resource Allocation (Policy and Resources) Sub Committee.

RESOLVED – That the Committee:

a) approve the proposed structure of the apprenticeship provider service; and
b) approve the additional supporting roles which would be offered on fixed-term contracts.

8. **REPORT OF ACTION TAKEN**

The Committee received a report of the Town Clerk which informed Members that in accordance with Standing Order. No. 41(a), approval had been given by the Town Clerk, in consultation with the Chairman and Deputy Chairman for the creation of the Grade I post of Strategic Education and Skills Director; and a Market Forces Supplement of £12,000 be recommended for the post.

The Chairman advised the Committee that the Grade I post of the Strategic Education and Skills Director had been approved by the Court of Common Council on 12 January 2017.

RESOLVED – that the Committee note the report.

9. **FORMER OFFICERS AS MEMBERS**

The Committee received a report of the Comptroller and City Solicitor which set out the main legal and governance issues which arise when former officers are elected as City Corporation Members.

The Chairman advised that the report before Members had been produced by the Comptroller and City Solicitor in response to the proposed Ward appointment of the recently elected Member of Walbrook Ward to serve on the Planning and Transportation Committee.

A Member expressed concerns about the imposition of restrictions on Members in order to prevent their appointment to committees. A discussion took place, during which the point was raised that when nominating or electing Members to serve on Committees, potential conflicts of interest should be taken into consideration. Members further added that it was the responsibility of all Members to decide, under the existing governance arrangements, whether a Member should be appointed to a Committee.

Members further considered the recent Ward Committee appointment and it was suggested that, had the Ward Deputy been aware of the Common Councilman job description, which specifies that former officers should not sit on committees to which they have previously reported for a period of two years, the motion to appoint the new Member to the Planning and Transportation Committee may never have been submitted.

A discussion took place about the onus being on Ward Deputies to be aware of this information and the Committee asked that this be brought to the attention of both the Members' Privileges Sub (Policy and Resources) Committee and the Standards Committee.

At the conclusion of the discussion it was noted that whilst the Committee was clear about the legal position, the appointment to committees was in essence a political decision and that Members needed to determine a policy which would ensure that appropriate restrictions on committee appointments and decision-making activities could be imposed when former officers became Members.

RESOLVED – That:

a) the Committee note the contents of the report and the legal position; and

b) the report and a summary of the discussion be sent to both the Members' Privileges Sub Committee and the Standards Committee.

10. **INVOLVEMENT OF EXTERNAL PARTIES IN CITY OF LONDON RECRUITMENT**

The Committee considered a report of the Director of Human Resources in relation to the inclusion of external parties in the recruitment of City of London staff, and which recommended that the Committee should resolve that external parties would not be part of future appointment processes.

The Chairman in introducing the report advised the Committee that the recommendation within the report to exclude external parties from recruitment processes was at variance with what was increasingly best practice to involve stakeholders informally in recruitment exercises. The Chairman therefore suggested the following alternative recommendations, and that subject to Members' approval, a revised report would be submitted to the February Establishment Committee:

1. That only City of London Elected Members, Co-opted Members, and Officers may take part as voting members of appointment panels for posts within the City of London Corporation.

2. That for appointments which have a substantially outward facing or stakeholder engagement function, the inclusion of stakeholders or external advisers in the assessment and appointment process is to be encouraged.

3. That the nature of the inclusion of any stakeholder or adviser should be agreed between the Chairmen of the service committees, the Town Clerk (or other relevant Chief Officers), and the Director of Human Resources, and might include:

(a) the inclusion of a non-voting adviser on the appointment panel; and/or

(b) the involvement of stakeholder representatives in the assessment centre process; and/or

(c) consultation with stakeholder representatives as to the nature of the role and the type of candidates to be sought;

4. that Officers be instructed to prepare amendments to the Recruitment and Selection policy to implement this decision.

RESOLVED – That:

a) the Committee approve the Chairman's recommendations; and
b) a paper be submitted to the February Establishment Committee, encompassing changes to the recruitment and selection policy.

11. **TEMPLATE FOR RESTRUCTURE REPORTS**

The Committee considered a report of the Director of Human Resources which set out a new template for use on reports that are submitted to the Establishment Committee in relation to restructures of departments.

The Committee agreed that in order to ensure future consistency of approach, the first two recommendations before them should be approved, but the third recommendation in relation to delegating decisions to officers was not supported.

RESOLVED – That:

a) the Committee recommend to agree the use of the template for Committee reports from their first Committee in 2017; and
b) the Committee agree the general process and definitions for reports coming to Establishment Committee.

12. **EQUALITY AND INCLUSION UPDATE**
The Committee received a report of the Director of Human Resources which provided an update on equality and inclusion initiatives and advised Members of plans to undertake a self-assessment against the Equality Framework for Local Government.

RESOLVED – That the Committee note the report.

13. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There were no questions.

14. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
There were no urgent items.

15. **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
16,17,20	1,2,3
21	1,2
22	1

16. **NON-PUBLIC MINUTES**
The non-public minutes of the meeting held on 1 December 2016 were approved.

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

18. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There were no questions.

19. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**
There were no items of urgent business.

20. **CONFIDENTIAL MINUTES**
The confidential minutes of the meeting held on 1 December 2016 were approved.

21. **TOWN CLERK'S UPDATE**
The Town Clerk provided the Committee with an oral update.

22. **IT DIVISION UPDATE**
The Committee agreed a report of the Chamberlain in relation to the IT Division.

The meeting ended at 2.59 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.	16 September 2016, Item 5	Accommodation and Ways of Working Programme 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. A report was provided to the Committee in January 2017 which provided an overview of work carried out to date and addressed potential concerns. A further report on the Programme would be submitted to the Committee in the autumn.	Comptroller and City Solicitor	Autumn 2017	A report to be submitted in the autumn of 2017.

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TO: **ESTABLISHMENT COMMITTEE** Tuesday, 14 February 2017

FROM: **POLICY AND RESOURCES COMMITTEE** Thursday, 15 December 2016

APPOINTMENT OF CHAIRMEN OF SUB-COMMITTEES
Members considered and approved a report of the Town Clerk and Comptroller and City Solicitor regarding the appointment of Sub-Committee Chairmen.

RESOLVED – that:-

- when a Chairman does not wish to exercise his/her right to be the Chairman of a Sub-Committee and wishes a specific Member to be appointed, Committees adopt a convention whereby the Chairman submits his/her nomination for Chairman and/or Deputy Chairman to the service committee for approval; and

- a resolution to this effect be circulated to all relevant Committees to endorse this convention.

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Committees	Dated:
Establishment Committee Policy and Resources Committee	14 February 2017 16 February 2017
Subject: Draft High Level Business Plan for Town Clerk's Corporate and Member Services	**Public**
Report of: The Town Clerk	**For Information**
Report author: Paul Debuse, Head of Business Support	

Summary

Business plans are reviewed annually and cover a three year period. This report presents, in draft, the high level goals and ambitions of the Town Clerk's Corporate and Member Services Division, covering the period 2017-2020. Corporate and Member Services incorporates the following functional areas:

- Committee and Member Support
- Corporate Strategy and Performance
- Media and Communication
- Leading and monitoring corporate programmes
- Elections
- Resilience and Community Safety
- Contact Centre
- Town Clerk's Office and Business Support

Revised departmental business planning documentation is being introduced to address Member concerns over the consistency of presentation across the organisation. Departments have been asked to produce a high-level departmental plan, to a standard template, for discussion with their Service Committees, prior to the Common Council elections in March. The template for these high-level plans has been developed through consultation so far to date with Chief Officers, their business planners, and Service Committee Chairmen. The format for these plans has not been finally determined; therefore Members are invited to comment on the high-level plan at Appendix 1. Officers will undertake further work and staff consultation on the draft business plans during the purdah period and will report back to your Committee in May.

Recommendations

Members are asked to:

- Note the draft high level business plan from the Town Clerk covering his Corporate and Member Services division and provide feedback on the format and content.

Main Report

Background

1. A new framework for corporate and business planning is currently being developed, led by the Corporation's the Head of Corporate Strategy and Performance. The aims of this new approach are:
   - To align departmental business plans with outcomes in the strategic corporate plan;
   - To lay a "golden thread", such that everything we do and develop is well thought through, aligned with the corporate plan, and included within a departmental business plan, team plan, or individual work plan;
   - To have corporate strategy driving business planning and resource allocation, and;
   - To support a culture of continuous improvement, challenging ourselves about the effectiveness of our services and the value they provide.

2. As this new approach involves in-parallel changes to a number of high-level processes, it will take 2-3 years to be fully implemented. Because of this, 2017/18 is very much a year of transition. Work has started on preparing the revised corporate plan, based on outcomes identified by the People, Place and Prosperity Strategic Chief Officer Groups. This will be brought to Members post-election for further development, leading to full Member approval of the plan before the start of the 2018/19 financial year. Revised departmental business planning documentation is being introduced to address Member concerns over the consistency of presentation across the organisation, and a desire to see a succinct statement of key ambitions and objectives for every department.

3. In the initial phase, departments have been asked to produce a high-level departmental plan, to a standard template, for discussion with their Service Committees, prior to the Common Council elections in March, where Committee meeting dates permit. The template for these high-level plans has been developed through consultation so far to date with Chief Officers, their business planners, and Service Committee Chairmen. As well as key information on ambitions, budget and planned outcomes, the template includes scope for departments to report key projects, development needs, and known a horizon-scan of future events that will influence shape future service delivery. It should be noted that the format for these plans has not been finally determined; therefore Members are invited to comment on the format of the high-level plans presented to you today, as well as the content.

4. Following the elections in March, Chief Officers have been asked to present the final draft of their high-level plans to their Service Committees for approval, supported by more detailed plans for 2017/18, in the previously used format. The departmental ambitions agreed at this time will then be used to inform budget setting for 2018/19, and for the development of the 2018-23 Corporate Plan. During 2017/18, consultation will also take place on the format of the more detailed departmental plans, with a view to a standard format being introduced for 2018/19 onwards.

Corporate and Member Services

A draft high level business plan has been produced to outline the ambitions and desired outcomes for Town Clerk's Corporate and Member Services during the coming business plan period, which can be found at Appendix 1. Corporate and Member Services incorporates the following functional areas:

- Committee and Member Support
- Corporate Strategy and Performance
- Media and Communication
- Leading and Monitoring corporate programmes
- Elections
- Resilience and Community Safety
- Contact Centre
- Town Clerk's Office and Business Support

Conclusion

5. This report presents an early draft of the high level business plan for the Town Clerk's Corporate and Member Services Division in order that Members can feed into the plans at an early stage, prior to the elections. The format for these plans has not been finally determined; therefore Members are invited to comment on the format as well as the content. Following the discussions at your Committee and further consultation with staff, revised plans will be submitted to your Committee in May.

Appendices

- Appendix 1 – Town Clerk's Corporate and Members Services Draft High Level Business Plan

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Town Clerk's Corporate and Member Services

We Co-ordinate and ensure the good governance and reputation of the City of London Corporation

Our ambitions are:

- That the City of London Corporation is known to be relevant, reliable, responsible and radical in how it goes about governing a thriving City, supporting a strong and diverse. London, within a globally-successful UK.

What we do is:

- Provide strategic direction and ensure alignment with corporate ambitions and outcomes.
- Deliver democratic services, which meet the needs of elected Members and the electorate.
- Lead and monitor cross cutting Corporate Programmes.
- Promote high standards of governance throughout the organisation.
- Create and deliver clear, consistent and confident media messages and ensure consistent messaging across the City Corporation.
- Prioritise and scrutinise the activity and delivery of the City of London Police through the statutory Police Authority function.
- Promote the resilience of the organisation through effective emergency and business continuity planning.
- Provide cohesive community safety in partnership with others.
- Provide one stop access to services through the Contact Centre.

Our 2017-18 budget is:

Section	£000
Com & Member Services (Inc. TC Office)	2,360
Corp Strategy and Performance	371
Media & Communication	1,076
Elections	305
Resilience and Community Safety	695
Contact Centre	585
Total net operational budget	**5,392**

Our top line objectives are:

Good Governance: The City Corporation delivers its corporate ambitions and desired outcomes

Safety: The City's communities live and work in a safe and resilient place.

Culture: The City Corporation optimises the quality of and access to its cutting edge cultural offer.

Programmes and Projects:

- Lead the development and delivery of the Cultural Hub programme.
- Lead the One Safe City programme, consisting of 3 major projects:
  - The Ring of Steel
  - The Joint Contact and Control Room
  - Enhanced Community Safety
- Refresh and enhance the City of London Corporate Plan.

What we'll measure:

- The aims of the Cultural Hub programme are met; the projects are delivered within the allocated resources and on time.
- The One Safe City Programme delivers the desired outcomes within planned resources and timescales.
- The Corporate Plan is enhanced and refreshed by March 2018. The new plan clearly describes the organisations vision and key ambitions.

DRAFT

Programmes and Projects:

- Develop the business planning process so that strategy becomes the main driver in the planning process
- Promote and deliver the 2017 Ward Elections.
- Deliver a comprehensive induction and Member development programme for newly elected and existing Members.
- Take back editorial control of the intranet and internet.
- Oversee a review of the security of the City of London Corporation's operational estate.
- Promote and co-ordinate good community safety.

How we plan to develop our capabilities this year

- Communicate and support former CHL staff through the change in moving to another department.
- Develop and enhance specialist support in Committee Services in particular in the area of the City's educational activities.
- Develop closer working relationships between the Police and our local authority community services to improve the effectiveness of response.
- Improve and enhance our management skills, particularly in the management of projects and business analysis.
- To enhance retention and improve succession planning, continue to ensure that talented staff are given professional development opportunities.
- Implement the City Corporation apprenticeship scheme across our services to deliver learning for participants and capacity for our teams.

What we'll measure:

- The Business Planning process is revised and is more strategic and forward looking by March 2018.
- The 2017 Ward Elections are delivered effectively in accordance with legislation.
- A satisfaction survey shows that Members feel the induction and development programme enables them to fulfil their roles effectively.
- The security review recommends best practice, improving security, which helps to make our operational property a safer place to visit and work.
- Surveys of representative groups demonstrate that people feel safer within the City.
- The advertising value equivalence of our print coverage achieved by the media team.

What we're planning to do over the following two years

- Continue to align business plans with the corporate plan and maintain, and where possible, enhance governance structures that enable the City Corporation to make decisions that support achievement of our corporate ambitions.
- Evaluate the use of emerging information technology to improve efficiency and innovation.
- Develop democratic services in line with the needs of the newly elected 2017 Membership to ensure that elected Members can carry out their roles effectively.

DRAFT

Committee	Dated:
Establishment Committee	**14 February 2017**
Subject: Establishment Committee Risk – Town Clerk's Department	**Public**
Report of: Town Clerk	**For Information**
Report Author: Paul Debuse	

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: Corporate and Member 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 October 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 October 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 implemented. 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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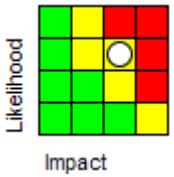
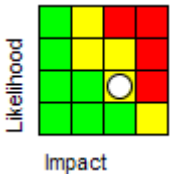
Town Clerk's Establishment Committee detailed risk register

Appendix 1

Report Author: Paul Debuse
Generated on: 30 January 2017

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 Carrissie Morgan	**Cause** - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management **Event** - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with. **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		**12**	This risk has been reviewed by the SMT on 10 January 2017, and there is no change to the assessment at this time **30-Jan-2017**		**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 on target to be achieved by March 2017. The new programme for 2017-18 is being developed and will be in place by the end of March 2017.	Justin Tyas	30-Jan-2017	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 has been developed by the Corporate Health and Safety Unit, and is being put in place by March 2017	Justin Tyas	30-Jan-2017	31-Mar-2017

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Appendix 2

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)

(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

Likelihood		Impact			
	X	Minor (1)	Serious (2)	Major (4)	Extreme (8)
	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	Dated:
Establishment Committee – For Information	14 February 2017
Subject: Corporate Human Resources High Level Business Plan	**Public**
Report of: Director of Human Resources, Chrissie Morgan	**For Information**
Report author: Chrissie Morgan	

Summary

This report is in response to the new approach to Corporate and Business Planning and to share for comment the draft high level Corporate Human Resources (HR) Business Plan, which can be seen at Appendix 1. This Business Plan has been developed following extensive data gathering into the HR service offering and organisation demands obtained from the Organisation Development project commissioned in 2016, workforce plans and further data analysis from the HR Dashboard. This document summarises HR's mission, ambitions, what services are provided, budget, service deliverables and deliverables within corporate programmes and projects. The HR's team high level objectives are listed and to underpin those capabilities planned to be developed this year. The plan also summarises the activities planned over the following two years.

Recommendation

Members are asked to note the report and are invited to comment on the content and format of the draft high-level Corporate Human Resources Business Plan.

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Main Report

Background

1. As some Members will be aware, a new framework for corporate and business planning is currently being developed, led by, the Head of Corporate Strategy and Performance. The aims of this new approach include:

    - To align departmental business plans with outcomes in the strategic corporate plan;

- To lay a “golden thread”, such that everything we do and develop is well thought through, aligned with the corporate plan, and included within a departmental business plan, team plan, or individual work plan;
- To have corporate strategy driving business planning and resource allocation, and
- To support a culture of continuous improvement, challenging ourselves about the effectiveness of our services and the value they provide.

2. As this new approach involves in-parallel changes to a number of high-level processes, it will take 2-3 years to be fully implemented. Because of this 2017/18 is very much a year of transition. Work has started on preparing the revised corporate plan, based on outcomes identified by the People, Place and Prosperity Strategic Chief Officer Groups. This will be brought to Members post-election for further development, leading to full Member approval of the plan before the start of the 2018/19 financial year. Revised departmental business planning documentation is being introduced to address Member concerns over the consistency of presentation across the organisation, and a desire to see a succinct statement of key ambitions and objectives for every department.

3. In the initial phase, departments have been asked to produce a high-level departmental plan, to a standard template, for discussion with their Service Committees, prior to the Common Council elections in March, where Committee meeting dates permit. The template for these high-level plans has been developed through consultation so far to date with Chief Officers, their business planners, and Service Committee Chairmen. As well as key information on ambitions, budget and planned outcomes, the template includes scope for departments to report key projects, development needs, and horizon-scan future events that will influence and shape future service delivery. It should be noted that the format for these plans has not been finally determined; therefore Members are invited to comment on the format of the high-level plan, as well as the content.

4. Following the elections in March, Chief Officers have been asked to present the final draft of their high-level plans to their Service Committees for approval, supported by more detailed plans for 2017/18, in the previously used format. The departmental ambitions agreed at this time will then be used to inform budget setting for 2018/19, and for the development of the 2018-23 Corporate Plan. During 2017/18, consultation will also take place on the format of the more detailed departmental plans, with a view to a standard format being introduced for 2018/19 onwards.

5. It is our aim to bring back to this Committee a final draft high-level HR Business Plan on the 3 May 2017 for approval.

Current Position

6. Many sources of feedback, data and information were explored to inform the deliverables and objectives included in the high level HR Business Plan for 2018/19. The Organisation Development project undertaken in 2016 provided extensive feedback from Chief Officers, senior manager and analysis. Summit

Group provided insight from the People, Place and Prosperity groups. Data analysis was also undertaken from the content of the departmental 2015/16 workforce plans and the HR Dashboard.

7. The whole HR team were also involved in an Away Day in August 2016 and in a detailed planning session in January 2017 to contribute to the content.

8. The HR mission, as seen in the high level plan and detailed below, was developed by the HR service and Chief Officers in 2014 and is considered still relevant to the end of the 2017/18 financial year:

   ‘To enable a skilled and committed workforce to work together to excel in maintaining high quality, accessible and responsive services.’

9. The HR service will work in parallel with the Corporate Planning process to revise the HR Strategy for the City Corporation for 2018/19 onwards. This will enable the service to identify the people implications arising from key projects, development needs, and known future events that will influence and shape future service delivery.

10. The ambitions included were developed from the HR service’s strategic aims 2014-18 and further developed to meet the current demands from the City Corporation. For reference these are listed below:

    Our ambitions are:

    1. For the City of London Corporation to be an employer of choice for high performing individuals, delivering excellent services
    2. To recruit, develop, reward and retain our talented workforce within a forward thinking, flexible and adaptable framework
    3. To drive down bureaucracy and increase empowerment to create a fast paced healthy and safe working environment increasing our capacity to add value
    4. To meet the challenges of the future workforce within the legal framework and upholding our values
    5. To be an exemplar for leadership, diversity, equality and inclusion

11. The ‘What we do’ section lists the functional areas of the HR service. This includes the occupational health, safety and wellbeing service, operational HR activity – including business partnering, recruitment, pay and grading, policy development, employee relations, operational HR services, equality & inclusion, advice and guidance. In addition it includes more corporate focused activity, such as learning and development, organisation development and workforce planning. This does not include the HR service provided to the Barbican Centre, Guildhall School of Music and Drama and the City of London Police who have their own dedicated HR teams and their own Business Plans.

12. The Departmental Objectives and HR Service Deliverables sections were developed by reference to the extensive feedback gained. Elements of this have previously been shared with the Establishment Committee, for example the Pay

and Reward strategy. The Business Plan brings together all planned activity in an easily accessible format.

13. The HR service contributes to and leads many corporate programmes and projects such as the apprenticeship scheme, Employability Group, the procurement Category Boards, the FM review and the Equality and Inclusion Board. This is in addition to the Health, Safety and Wellbeing board and those administered by HR, such as SARG, MFS and Honoraria boards. The inclusion of HR at cross cutting review boards is important to ensure that the impact of any projects on our employees can be identified at an early stage.

14. The HR service budget for 2017/18 is included and identifies the split between employee costs and other service costs. Income is also highlighted for the work undertaken by the service to external parties, for example London Councils.

15. The measures for HR underpin the deliverables and objectives. The measures are influenced by a number of activities and for people measures in particular cross referencing is important. For example turnover within the first 12 months can be influenced by the culture of the organisation, managerial support, opportunities for career development, available learning and development, how performance is managed and pay and benefits. It is often difficult to highlight one specific reason underpinning the measures therefore the measures will be analysed in detail regarding trends, benchmarking data where appropriate and segmenting the workforce to drill down further into specific cause and effect.

16. The costs of providing the HR service deliverables will be determined and will inform the setting of service standards. The use of technology will be explored to see how it can add value, such as SharePoint. The HR service will be exploring how the use of technology can both increase efficiency, measurement and enable managers to track their demands from the service.

17. Capability development for the HR team is included and is seen as essential over the next 12 months. The aim is to develop the team to ensure that the whole HR team is focused on providing professional expertise, being accurate and efficient and being known as forward thinkers.

18. The HR service has already identified activity and deliverables over the following two years 2019 – 2021. This is summarised in the plan and will be actively monitored. The HR service will also be reviewing planned activity across the City Corporation to influence the HR Business Plan for 2019 and beyond.

19. This high level HR Business Plan is supported and underpinned by a detailed implementation and resource plan.

Proposals

20. The proposed high level HR Business Plan can be seen at Appendix 1. This document summarises HR's mission, ambitions, what services are provided, budget, service deliverables and deliverables within corporate programmes and projects. The HR's team high level objectives are listed and to underpin those

capabilities planned to be developed this year. The plan then summarises the activities planned over the following two years. Members are asked to comment on the content of the plan as well as commenting on the format the information is presented in.

Corporate & Strategic Implications

21. The draft high level HR Business Plan has been developed to align to the City Corporation's 2015-2019 Corporate Plan and the six Key Policy Priorities. In addition it highlights the cross cutting corporate programmes and projects that the HR service will be involved in.

22. The HR service intends to revise the HR Strategy and accompanying HR Business Plan over the course of 2017/18 to align to and support the delivery of the 2018-2023 Corporate Plan. This will include a revised Workforce Planning process that will help guide corporate organisation development activity, in particular increasing capability.

Implications

23. The budget information is included in the draft high level plan.

24. One of the departmental objectives is to refresh the HR structure to align to the delivery of the Business Plan. There is no intention to further reduce staffing levels at this stage but to redirect resource as required. Increased resource is anticipated in the Learning and Development and Organisation Development teams.

Conclusion

25. In conclusion the HR service feels confident that in achieving the objectives and deliverables within the HR Business Plan the mission of enabling a skilled and committed workforce to work together to excel in delivering high quality, accessible and responsive services will start to be realised.

Appendices

26. Appendix 1 is the draft Corporate Human Resources' High Level Business Plan.

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DRAFT – January 2017 – version 6

CITY OF LONDON

Human Resources

Our mission is to enable a skilled and committed workforce to work together to excel in delivering high quality, accessible and responsive services

Our ambitions are:

1. For the City of London Corporation to be an employer of choice for high performing individuals, delivering excellent services
2. To recruit, develop, reward and retain our talented workforce within a forward thinking, flexible and adaptable framework
3. To drive down bureaucracy and increase empowerment to create a fast paced healthy and safe working environment increasing our capacity to add value
4. To meet the challenges of the future workforce within the legal framework and upholding our values
5. To be an exemplar for leadership, diversity, equality and inclusion

What we do is:

The HR team is proud to provide professional expertise, to be accurate, reliable and efficient and to be known as forward thinkers. Our services include:

- Organisational development, design, change support & workforce planning
- HR policy research, development and advice in line with the values of the organisation
- Recruitment, including leading on Chief Officer campaigns, Business Partnering, DBS screening, contract management and HR Operational services
- Occupational Health, Safety and Wellbeing
- Providing and maintaining frameworks for paying, rewarding and managing the performance of our employees, including benefits and the Employee Assistance Programme
- Developing and maintaining City People and providing HR management information
- Learning and development, including corporate induction, City Learning and My Mentor
- Leading on equality and inclusion, including staff networks and managing Employee Relations
- Generating income by providing HR services to external clients, including London Councils
- Corporate people events e.g. City Learning Live and Celebrating our People Awards

Our budget is:

	£000s
Employee	2738
Indirect Employee	23
Transport	2
Supplies and Services	96
Total Expenditure	2859
Total Income	323
Total Local Risk	2536

Our top line objectives are:

HR Service Deliverables

- Provide a responsive, forward thinking HR service to the City Corporation, ensuring the HR team is resourced to deliver business as usual activity and is agile enough to react to peaks in demand at pace
- Develop and implement a corporately responsive HR Business Plan
- Facilitate the development of departmental Workforce Plans to inform demand of resource, skills and talent
- Support managers to achieve their business plans, to include resource planning, achieving the optimal resource mix, job evaluation, providing expert advice on policy, pay and conditions, intelligent recruitment and induction
- Facilitate devolved accountability and empowerment by increasing manager and employee access to City People through 'self-serve' and supporting managers with robust employee management information, including the HR Dashboard
- Review the recruitment, talent, succession and performance management strategies
- Ensure a working environment where health and safety risk is managed and well-being is promoted to maximise attendance
- To provide competent health, safety and wellbeing advice, guidance, assurance and manage risk holistically

Deliverables within Corporate Programmes and Projects

- Provide a change framework to support managers in managing their people through change
- Manage and recruit to the graduate programme in support of employability and social mobility principles
- Update policies and procedures to support agile working
- Carry out the activities in the annual equality and inclusion action plan
- Provide an exemplar quality standard of recruitment, induction, training and support for the 100 apprentices due to join the City Corporation over the next 12 months and maximise opportunities for future employment
- Lead and contribute to corporate boards and groups, including SARG, MFS & Honoraria, Health, Safety & Wellbeing, Equality & Inclusion and cross cutting review boards, for example FM Support and Category Board

What we'll measure:

The People measures for the City Corporation:

- Sickness Absence
- Turnover (total and within 12 months)
- Pay Policy elements and gender pay differentials
- Compliance with the Public Sector Equalities Duty and the Equality Framework of local Government
- Wellbeing Charter standards
- Investors in People standards
- Disciplinaries and grievances
- Health, Safety and Wellbeing KPIs, including accidents, near misses and incidents
- Organisational spend on staffing
- Training course evaluation
- FOI responsiveness
- HR Service Standards

DRAFT – January 2017 – version 6

CITY OF LONDON

Human Resources

Departmental objectives

- Initiate reviews of the performance management framework, contribution based pay, awarding of MFS, recruitment, talent, succession planning and the employee benefits package, with the full involvement of our stakeholders
- Develop, implement and communicate the HR Service Standards to the City Corporation
- Refresh the HR structure to align to the delivery of the HR Business Plan and introduce new methods of service provision, for example SharePoint, instant chat, enhanced telephone support, increased visibility
- Deliver the HR actions linked to the apprenticeship and graduate programmes
- Develop and promote the Change Management Manual and provide proactive support to managers
- Working with our stakeholders review the learning and development strategy, to include a new leadership programme
- Update the Employee Relations Framework and deliver the Equalities and Inclusion Plan
- Working with our Chief Officers design and implement a new workforce planning process
- With City Procurement undertake a review of the contracts owned by HR, including the provision of agency staff
- Continue the timetable to review policies and procedures to drive down bureaucracy, maximising the use of City People
- Providing assurance to the City Corporation on health and safety
- Fulfilling the Occupational Health Service role of advising on the management of health risks and maximising attendance
- Embedding wellbeing within the City Corporation

How we plan to develop our capabilities this year

- Implement the City HR Level 3 Development Programme and support Continuous Professional Development for all HR staff
- Up skill the HR team in supporting and managing change and equip them with the skills and knowledge required to work with their departments more effectively
- City HR's One Team will continue to progress the initiatives previously highlighted around improved communication, team working, engagement and improving service standards
- Increasing connection of HR staff with the business
- Implement and monitor the One Team communication process
- Extend the use of the HR Portal
- Increasing capacity for process re-engineering, programme and project management
- Implement a corporate health, safety and wellbeing learning and development programme, including mental health first aid for line managers

What we'll measure

- HR's KPIs, to include the City HR's Service Standards
- Achievement of the HR Business Plan and aligning resource within budget constraints
- The costs of HR Service deliverables
- Equality and inclusion, including gender pay differentials
- Satisfaction with the HR Service by survey
- HR Dashboard measures and the impact and influence of policies and procedures on these, including sickness absence, disciplinary and grievance cases, accidents, near misses and incidents
- Investors in People, Equality and Inclusion, Wellbeing and Health and Safety action plans
- Health, safety and wellbeing KPIs
- CIPFA and London Councils Human Capital Metrics Benchmark Surveys

What we're planning to do over the following two years

- Following appropriate consultation with stakeholders the Pay and Reward Strategy will be implemented in full, including a revised contribution based pay scheme
- Explore further synergy with the payroll department to increase efficiency
- Have in place a clear talent and succession plan for the whole City Corporation
- Provide clearly identified career paths for apprentices and graduates entering the organisation
- Continue to be forward thinking and be ready for changes to employment legislation resulting from any changes, including as a result of leaving the European Union
- Communicate a comprehensive benefits package and use this to support the developments in the City Corporation's external branding to attract talented applicants
- Achieve the Mayor of London's Gold Healthy Workplace Award
- Support the City Corporation's Social Mobility and Employability programmes
- Working towards the Safe Effective Quality Occupational Health Standards (SEQOHS) standards
- Proactively respond to the demands identified for the City Corporation workforce through the revised comprehensive Workforce Planning process

Committee	Date:
Establishment Committee	14 February 2017
Subject: Comptroller and City Solicitor's Departmental Business Plan 2016-2019 Progress report as at 31 December 2016	**Public**
Report of: Michael Cogher	**For Decision**
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. It is proposed that in future the Business Plan is reviewed by the Committee biannually rather than quarterly.

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

a) <u>To manage resources effectively to provide efficient and high quality legal services.</u>

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) <u>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"</u>

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

1. It is proposed that in future the Establishment Committee considers the Comptroller & City Solicitors Business Plan biannually rather than quarterly as at present. There are sound business efficiency reasons for this particularly as the department is an effectively managed and controlled service which scores a high level of compliance with the Law Society's LEXCEL quality standard. The key reasons are that the service business objectives are annual or relate to long-term projects which require infrequent assessment at committee level and that the KPI performance is consistently very good due to effective management and monitoring on a monthly basis by the Comptroller and City Solicitors Senior Management Team.

2. 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) <u>To manage resources effectively to provide efficient and quality legal services</u>

   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 9 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) <u>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"</u>

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 CCS004 Successful operation of Oracle OPN has 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

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Appendix A

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 January 2017*
PI 2	Responses of departments to the client care survey give a 'high quality service' rating	Target 98%	*Achieved – 99% (December 2015) next survey January 2017*
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 January 2017*
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 93% 3rd quarter On target*
PI 7	Inactivity on live files in 6 months	Target – Not more than 15%	*Achieved 10% at 3rd qtr 5% above target*
PI 8	Inactivity on live files in 3 months	Target – Not more than 20%	*Achieved 18% at 3rd qtr 2% above 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 3rd qtr C&CS 0.28 days CoL average 0.48 days*

Committee(s)	Dated:
Establishment Committee	**14 February 2017**
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 31 December 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 CCS004 Successful operation of Oracle OPN has been reduced to the target risk rating of 2 on the basis that the qurtarely rent runs have been generated successfully with minimal manual intervention.

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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CCS Strategic Risk Management Report

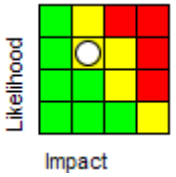
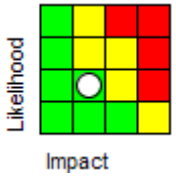
2016/17 Quarter 3

Code	**CCS 001**	**Title**	**Recruitment and retention of experienced legal staff**

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

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 an improving our efficiency
Department	Comptroller & City Solicitors	**Committee**	Establishment Committee

Current Risk Assessment, Score & Trend Comparison	 **6** ⬌ No change	**Target Risk Assessment & Score**	 **4**
Likelihood	Possible	**Likelihood**	Unlikely

Impact	Serious
Risk Score	6
Review Date	06-Oct-2016

Impact	Serious
Risk Score	4
Target Date	31-Mar-2017

Latest Note	No change in risk rating - related actions on-going

Actions related to this risk:

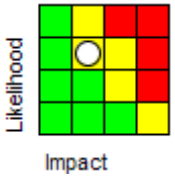
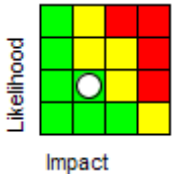
Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 001a	Monitor market conditions	Review workforce reports to monitor staff turnover	Michael Cogher	31 March 2017	100%	Benchmark of local authority salaries indicates that CoL salaries with the option of market supplements are 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	Nick Senior	31-Mar-2017	75%	Review on-going based on current market conditions

Code	CCS 002	Title	Loss of Information Assets

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

Category	Financial	**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	 **6** ⬌ No change	**Target Risk Assessment & Score**	 **4**
Likelihood	Possible	**Likelihood**	Unlikely
Impact	Serious	**Impact**	Serious
Risk Score	6	**Risk Score**	4
Review Date	06-Oct-2016	**Target Date**	31-Mar-2017
Latest Note	DPA audit undertaken in September confirms good levels of data security compliance.		

Actions related to this risk:

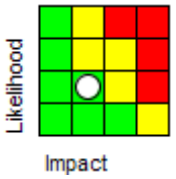
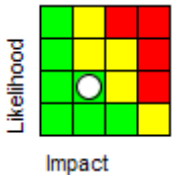
Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 002a	Carry out periodic DPA audits	Undertake periodic DPA audits to test compliance levels.	Michael Cogher	31-March 2017	100%	Further DPA audits undertaken with high levels of compliance.

Code	CCS 003	Title	Managing Legal Risk

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 client loss of confidence in the legal service, reputation.

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	 **4** Decreased Risk Score	**Target Risk Assessment & Score**	 **4**
Likelihood	Unlikely	**Likelihood**	Unlikely
Impact	Serious	**Impact**	Serious
Risk Score	4	**Risk Score**	4
Review Date	19-Aug-2016	**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.

Actions related to this risk:

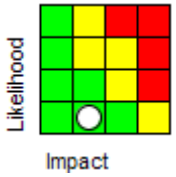
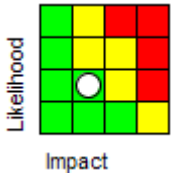
Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 003a	Staff undertake regular risk reviews	Each matter is risk assessed on receipt and marked as high risk where appropriate	Michael Cogher	31 March 2017	100%	Risk data reviewed
CCS 003b	SMT reviews risk data quarterly	SMT reviews quarterly legal risk and performance data to ensure legal matters are progressed in a timely fashion	Michael Cogher	31 March 2017	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	31 March 2017	100%	SMT reviewed risks on 07.12.2016
CCS 003d	Review risk management procedures	Risk management procedures review and testing to ensure effectiveness and compliance	Michael Cogher	31 March 2017	75%	Procedures checked December 2016 and found to be robust and working effectively

Code	**CCS 004**	**Title**	**Successful operation of Oracle OPN**

Description	**Cause** - Oracle OPN replaced the Manhattan commercial property management and rent system **Event** - Continued operational difficulties caused by OPN **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

Category	Financial	**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	 **2** ⬌ No change	**Target Risk Assessment & Score**	 **4**
Likelihood	Rare	**Likelihood**	Unlikely
Impact	Serious	**Impact**	Serious
Risk Score	2	**Risk Score**	4
Review Date	13-Dec-2016	**Target Date**	31-Mar-2017

Latest Note	Rent runs now operating effectively with very few errors hence likelihood downgraded to Rare.

Actions related to this risk:

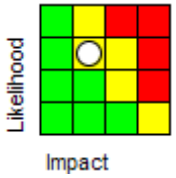
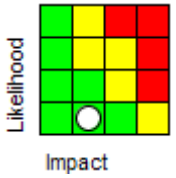
Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 004a	Migrated data needs significant cleansing	Migrated data was poor in quality and impacted on accurate billing and reporting	Nick Senior	31-Mar-2016	100%	Some data was reprocessed to ensure that accurate OPN reports are 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 agreements	Nick Senior	01-Oct-2015	100%	Pre-billing reports are checked to ensure accuracy of invoices.
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-2017	60%	First draft of documentation has been completed. Further information will be added as processes are developed.
CCS 004d	Assess system performance following Q3 rent billing	Continuing system performance assessment	Nick Senior	31-Dec-2016	100%	Q3 rent bills generated effectively with very few errors

Code	**CCS 005**	**Title**	**Ability to access critical systems at disaster recovery site**

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.

Category	Legal	**Approach**	Transfer (To a third party or insurer)
Risk Level	Departmental	**Risk Owner**	Business Continuity Team

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	 **6** ⬌ No change	**Target Risk Assessment & Score**	 **2**
Likelihood	Possible	**Likelihood**	Rare
Impact	Serious	**Impact**	Serious
Risk Score	6	**Risk Score**	2
Review Date	19-Aug-2016	**Target Date**	31-Mar-2017

Latest Note	2016 Business Continuity test date in November 2016 no access to ICT systems. Access to ICT systems from mobile devices of increasing significance and use to be further extended to further mitigate this risk.

Actions related to this risk:

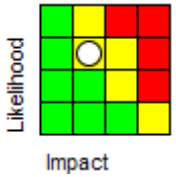
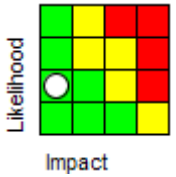
Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CCS 005a	BCP - access to critical systems test	IS Division to test access to critical systems at business continuity exercises	Nick Senior	31-Oct-2016	100%	BCP test to be undertaken in November 2016 date to be advised

Code	**CCS 006**	**Title**	**Access to fully functioning office environment in the event of displacement**

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

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	 **6** ⬌ No change	**Target Risk Assessment & Score**	 **2**
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	ICT/Office facilities and 2016 business continuity arrangements offsite tested in November 2016 office facilities available but ICT systems not work due to lack of Wifi. Access to hard copy files critical to service delivery hence the major impact rating.

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, clarification required via corporate business continuity planning process.

Committee(s):	Date:
Establishment Committee	**14th February 2017**
Subject: Involvement of external parties in City of London Recruitment	**Public**
Report of: Director of Human Resources	**For Decision**
Report author: Janet Fortune	

Summary

This paper seeks to clarify the position of the inclusion of external parties and stakeholders in the recruitment of City of London staff.

Recommendation(s)

- That only City of London Elected Members, Co-opted Members, and Officers may take part as voting members of appointment panels for posts within the City of London Corporation.
- That for appointments which have a substantially outward facing or stakeholder engagement function, the inclusion of stakeholders or external advisers in the assessment and appointment process is to be encouraged.
- That the nature of the inclusion of any stakeholder of adviser should be agreed between the Chairman of the service committees, the Town Clerk (or other relevant Chief Officers), and the Director of Human Resources, and might include:
- the inclusion of a non-voting adviser on the appointment panel; and/or
- the involvement of stakeholder representatives in the assessment centre process; and/or
- consultation with stakeholder representatives as to the nature of the role and the type of candidates to be sought.
- That Officers be instructed to prepare amendments to the Recruitment and Selection policy to implement this decision.

Main Report

Background

1. The recruitment of City of London employees is the responsibility of the Chief Officer for Grades A to J. The Chief Officer will usually delegate this

responsibility to the line manager of the post. There have been a number of requests for external parties to be involved in the recruitment, this paper seeks to clarify the position.

Current Position

2. The Recruitment and Selection Policy is intended to promote best practice in the recruitment of new staff. It is currently silent on the make up of panels or assessment groups, as it is assumed that these will only be City of London employees or Members. This policy will be reviewed in 2017. In the meantime there is a need to clarify the position of external parties.

3. External parties are defined as any person or organisation who is not an employee of the City of London, this includes those on School Boards who are not Members, and members of other Boards or Groups which may be wholly or jointly run by City of London, stakeholders or other interested parties.

4. It also includes any person who is working at the City of London, but is not employed by the City, i.e. as a consultant/contractor and includes anyone who may be employed by the City of London on an interim contract who is either currently filling the role or associated with it.

5. These groups or individuals are not responsible for the management of the service but they may be partners, or recipients, or represent recipients of the service. School Boards are an exception and ex officio members can be on the final appointment panels but the proportion of non-Members cannot outvote the Members.

6. In City of London only full members of the recruitment panel can make the final selection of the successful candidate. However the interview process alone is known to have a low success rate and the City of London encourages final panels to have gathered a range of information about candidates which could include technical assessments, personality profiles, written exercises or group meetings with other members of the team or stakeholders.

7. None of these parties or exercises alone can determine the final decision. Only the recruitment panel can make that decision, but they can and should take into account the structured feedback from other parts of the assessment.

8. Where Members are involved in the final assessment their inclusion is by definition of their role, i.e. as Chairman of the relevant committee. Members of relevant sub committees or boards can be included by invitation of the Chairman of the Recruitment Panel. However if they have a conflicting external interest, they should declare this and would normally be excluded, but might be by it.

9. Where there are parties with a genuine interest, but who would be excluded from the assessment process, it would be acceptable for them to be consulted on the content of the job description / person specification and/or a summary of the candidates, anonymised.

Implications

10. There are no financial or legal implications to these proposals, other than it is essential that any involvement by external parities is structured and clear as to how this relates to the requirements for the role and the selection criteria and how this information will be relayed to the final panel for consideration. This will be set out clearly in the revised policy and guidance.

Conclusion

11. The Interview process on its own is known to have low levels of success, this can be improved by additional, structured information gathered about candidates from other assessments, such as technical assessments, personality profiling and other exercises. To gain a range of views a number of different parties, stakeholders or officers should be included and their feedback given to the final interview panel.

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Committee(s):	Date:
Establishment Committee Decision Policy & Resources Committee Decision Court of Common Council Decision	14th February 2017 16th February 2017 9th March 2017
Subject: Draft Pay Policy Statement 2017/18	**Public**
Report of: Director of HR	**For Decision**
Report author: Janet Fortune	

Summary

The Localism Act 2011 requires the City of London Corporation to prepare and publish a Pay Policy Statement setting out its approach to pay for the most senior and junior members of staff. This must be agreed each year by the full Court of Common Council.

Your committee has now received the pay policy statements since 2012 The statement has now been updated for 17/18 and is being presented for consideration by this committee prior to submission to Policy and Resources Committee on and the Court of Common Council on 9th March 2017.

Apart from updating the information on the pay award for 2016 there are three other significant changes. Two posts have been removed from the Senior Management Group, the adjustments to Grade A have been included and the changes to payments for Apprentices to London Living Wage are also detailed.

Recommendation(s)

Members are asked to:

- agree the attached draft Pay Policy Statement 2017/18 to ensure the City Corporation meets its requirements under the Localism Act 2011

Main Report

Background

1. Under Section 38(i) of the Localism Act 2011 (the Act), all local authorities are required to produce and publish a statement setting out their pay policies. The aim of the Act is that authorities should be open, transparent and accountable to local taxpayers. Pay statements should set out the authority's approach to

issues relating to the pay of its workforce, particularly senior staff (or chief officers on the Senior Management Grade) and its lowest paid employees.

2. The Department for Communities and Local Government has published guidance and the City Corporation must have regard to this guidance in formulating a pay policy statement. In addition, the Secretary of State has published a Code of Recommended Practice for Local Authorities on Data Transparency which is also of relevance in complying with the Act.

3. The pay policy statement must be agreed and published by 31st March each year. The statement must be also agreed, each year, by the full Court of Common Council in open session. Should any changes to the pay statement arise during the course of the year, a revised statement must come before the full Court.

Current Position

4. Attached to this report is an updated draft pay policy statement for 2017/18 for consideration by Members. Subject to any comments from either Establishment Committee or Policy & Resources Committees, the draft statement will be placed before the Court at its meeting in March to enable the City Corporation to meet the deadlines specified in the Act.

5. In addition to updating the statement for the 2016 pay award there are a number of other changes to note in the statement. The policy statement has not been amended to reflect changes that may arise from the Government's intention to introduce restrictions on exit pay packages for employees leaving public-sector jobs. This is because the proposed restrictions have not been finalised and the statement is dated as being written in January 2017. Regulations have now (on 24 January) been laid before Parliament putting into law from 1 February the power of the Government to issue further regulations making restrictions on exit pay packages, which suggests that this may be moving higher up the Government agenda. Members may wish to note that any such restrictions may require some amendment to our severance packages for high-earning employees, and give rise to considerations about how we deal with the pension provision for employees aged 55 or over who are dismissed for reasons of redundancy or business efficiency (see paragraphs 32 and 34 of the statement). However, until the actual Regulations prescribing this have been issued it is not possible to make firm policy commitments on it. Members should note that the Localism Act enables the Pay Policy Statement to be amended at any time when statute or internal policy requires it, and so any required revisions to the Statement will be put to Members when or if the requirement for them is clear.

Conclusion

6. In order to meet the requirements of the Localism Act, the City Corporation must agree and publish a pay policy statement which has been agreed in open Court of Common Council. Members are asked to consider and agree the draft statement as presented.

Appendices

- Appendix 1 – The Draft Pay Policy

Background Papers

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CITY OF LONDON CORPORATION

PAY POLICY STATEMENT 2017/18

Introduction

1. Section 38(i) of the Localism Act 2011 (the Act) has required local authorities since the financial year 2012/13 to produce a pay policy statement for each financial year. This applies to the City of London Corporation in its capacity as a local authority and this document meets the requirements of the Act for the City of London Corporation for the financial year 2017/18.

2. We are required to set out our approach to a range of issues, particularly those relating to remuneration for the most senior staff and our lowest-paid staff. These provisions do not apply to staff of local authority schools or teaching staff in the three City Schools.

3. The provisions of the Act require that authorities are more open about their local policies and how local decisions are made. The Code of Recommended Practice for Local Authorities on Data Transparency enshrines the principles of transparency and asks authorities to follow three principles when publishing data they hold: responding to public demand; releasing data in open formats available for re-use; and, releasing data in a timely way. This includes data on senior salaries and the structure of the workforce.

4. All decisions on pay and reward for senior staff must comply with this statement. The statement must be reviewed annually and agreed by the Court of Common Council.

5. The Localism Act applies to the City of London only in its capacity as a local authority. In general, and in keeping with the spirit of openness, this statement does not try to distinguish between information which applies to the City as a local authority and that which applies to it in any of its other capacities. However, insofar as the Act specifically excludes police authorities from its remit, this statement does not include information about Police Officers. The Act does not require authorities to publish specific numerical data on pay and reward in their pay policy document. However, information in this statement should fit with any data on pay and reward which is published separately. The City Corporation operates consistent pay policies which are applied across all of our functions. Further details of the grade structures and associated pay scales can be found on our website at:

   http://www.cityoflondon.gov.uk/about-the-city/who-we-are/Pages/senior-officer-and-general-salary-scales.aspx

   This information is reviewed, updated and published on a regular basis in accordance with the guidance on data transparency and by the Accounts and

Audit (England) Regulations 2011. It should be noted that all Police Officer pay scales are nationally determined and as such do not form part of the City of London's Pay Policy.

6. The Act's provisions do not supersede the City Corporation's autonomy to make decisions on pay which are appropriate to local circumstances and deliver value for money for local taxpayers. We seek to be a fair employer and an employer of choice - recognising and rewarding the contributions of staff in an appropriate way. We set pay fairly within published scales and, in doing so, have regard to changing conditions in differing occupational and geographic labour markets.

Background

7. All pay and terms and conditions of service are locally negotiated with our recognised trade unions or staff representatives. In 2006/07 extensive work was undertaken on a review of our pay and grading structures. As a result, the principles set out in the guidance to the Act have already generally been addressed although the Act set out some additional requirements which are covered by this statement.

8. In 2007 we implemented a number of core principles, via collective agreement, to form the City Corporation's pay strategy. This moved the pay and reward strategy from one based entirely on time-served increments to one which focusses on a balance between incremental progression, individual performance and contribution to the success of the organisation. A fundamental element of the strategy is that achievement of contribution payments is more onerous and exacting the more senior the member of staff.

9. There has been a pay award of 1.5% on basic salaries agreed for all staff commensurate with the Government's pay policy. This was agreed by delegated authority from the Court of Common Council in July 2016 and was effective from 1 July 2016. A 1.5% increase was also added to the London Weighting allowance rates for all staff. London Weighting allowance rates do not differ between Grades of staff.

10. As at January 2017, no directly employed member of staff was paid below the London Living Wage (Apprentices being paid in proportion to this). Casual staff and agency workers have also been paid the London Living Wage since 2014. However, it was agreed during the latter part of 2016 to extend this policy to Apprentices and those on work experience from April 2017.

Staff below Senior Management

11. All staff employed by the City Corporation below the Senior Management Grade have been allocated to one of 10 Grades (Grades A-J), other than in a very small number of exceptional cases, such as apprentices. All such posts were reviewed under Job Evaluation, ranked in order and allocated to a Grade following the Pay & Grading Review in 2007. The evaluation scheme was independently equalities-

impact-assessed to ensure that it was inherently fair and unbiased. New posts and any existing posts that change their levels of responsibility etc. continue to be evaluated and ranked under the scheme. The scheme, how it is applied, the scoring mechanism and how scores relate to Grades are published on our Intranet so staff can be assured that the process is fair and transparent. In addition, there is an appeal mechanism agreed with the recognised trade unions and staff representatives.

12. The lowest Graded and paid staff are in Grade A as determined by the outcomes of the job evaluation process. In 2016 the bottom two incremental points of this Grade were removed and an additional point was added to the top of it. The current lowest point on Grade A is now £19,760, including a London Weighting allowance for working in Inner London. The current pay range for Grades A - J is £19,760 to £94,260 inclusive of Inner London Weighting of £5,580 for non-residential employees.

    - Grades A-C are the lowest grades in the City Corporation. They have up to 6 increments which can be achieved subject to satisfactory performance. There is no Contribution Pay assessment. However, employees in these Grades have the opportunity if they have undertaken exceptional work to be considered for a Recognition Award up to a maximum level set corporately each year (this has been £500 in each year since 2010).

    - Grades D-J have 4 'core' increments and 2 'contribution' increments. Progression through the 4 'core' increments is subject to satisfactory performance. Progression into and through the 2 'contribution' increments requires performance to be at a higher than satisfactory level. Once at the top of the scale, for those who achieve the highest standards of performance and contribution, it is possible to earn a one-off non-consolidated Contribution Payment of up to 3% or 6% of basic pay depending on the assessed level of contribution over the previous year.

    - The Senior Management Grade comprises the most senior roles in the organisation. As these are distinct roles, posts are individually evaluated and assessed independently against the external market allowing each post to be allocated an individual salary range within the Grade. Any increase in salary (whether through incremental progression or a cost-of-living award) is entirely dependent on each individual being subject to a rigorous process of assessment and evaluation, and is based on their contribution to the success of the organisation.

13. The City of London operates a distribution curve to advise on a fair and consistent distribution of Contribution Payments for staff in Grades D-J. This ensures that, in any one year, limitations are placed on the number of eligible staff who progress to the two highest increments on the relevant Grades or receive a Contribution Payment. For the appraisal year ending March 2016, 71% of eligible staff were allowed to move into the two higher contribution increments and 63% of eligible staff received a one-off non-consolidated contribution payment.

Senior Management

14. The term Senior Management incorporates the following posts:

- Town Clerk & Chief Executive
- Chamberlain
- Comptroller & City Solicitor
- Remembrancer
- City Surveyor
- Director of the Built Environment
- Managing Director of the Barbican Centre
- Principal of the Guildhall School of Music & Drama
- Director of Community & Children's Services
- Director of the Economic Development Office
- Private Secretary & Chief of Staff to the Lord Mayor
- Director of HR
- Director of Markets & Consumer Protection
- Director of Open Spaces

15. The Head Teachers of the City of London School, City of London School for Girls and City of London Freemen's School are not part of the Senior Management Group for the purposes of pay (their pay is governed by a separate teaching pay scale). The pay of the post of Remembrancer is aligned to Senior Civil Service pay scales.

16. It should be noted that not all of the costs of the above posts are funded from public resources. The City of London is not an ordinary local authority, in that it has private and charitable functions which receive funding through income from endowment and trust funds.

17. Following the principles outlined above, the pay ranges for the Senior Management Group were set with reference to both job evaluation and an independent external market assessment. The principles of this were agreed by the Court of Common Council in 2007 and, subsequently, the specific unique range for each senior management post was agreed by the Establishment Committee in October 2007. Current Senior Management salary scales are published on our website at:

http://www.cityoflondon.gov.uk/about-the-city/who-we-are/Pages/senior-officer-and-general-salary-scales.aspx

18. Each Senior Management post is allocated a range around a datum point. There is a maximum and minimum (datum plus 9% and datum minus 6% respectively) above and below which no individual salary can fall. Where a pay increase for a member of staff would take them above the maximum in a given year, the excess amount above the maximum may be paid as a non-consolidated payment in that year. This does not form part of basic salary for the following year and will, therefore, have to be earned again by superior performance for it to be paid.

19. Each year the datum point advances by a percentage equivalent to any 'cost of living' pay award. Individual salaries would move according to the table below:

Contribution Level	Salary Change
A Outstanding	Datum % change + up to 6%
B Very Good	Datum % change + up to 4%
C Good	Datum % change
D Improvement Required	0.0 %

20. The average payment based on contribution alone has been 3.24% for the appraisal year ending in March 2016. The payments have been largely non-consolidated i.e. they have to be re-earned each year based on superior performance.

21. All pay increases for any staff in the Senior Management Group are agreed by a Senior Remuneration panel comprising the Chairmen of Policy & Resources, Finance and Establishment Committees supported by either the Town Clerk and Chief Executive or the Director of HR. The Town Clerk & Chief Executive deals with all salary discussions for senior staff other than in relation to himself. The Director of HR deals with any pay discussions in relation to the Town Clerk & Chief Executive.

22. The Act specifies that in addition to senior salaries, authorities must also make clear what approach they take to the award of other elements of senior remuneration including bonuses and performance-related pay as well as severance payments. This should include any policy to award additional fees for Chief Officers for their local election duties.

23. The scheme for pay increases and contribution pay for the Senior Management Group is set out above. Staff in the Senior Management Group do not have an element of their basic pay "at risk" to be earned back each year. Progression is, however, subject to successful performance assessed through the application of the performance-appraisal scheme. No one in the Senior Management Group receives any additional payments or fees for City of London Corporation electoral duties.

24. Set out below are the broad pay ranges for the Senior Management Group, with the numbers in each band, excluding London Weighting. Each member of staff will have an individual salary scale within these broad ranges.

£80,340 - £111,200	(4)
£107,990 - £145,090	(7)
£153,960 - £183,810	(2)
£206,870 - £239,840	(1)

25. The Act requires authorities to set their policies on remuneration for their highest-paid staff alongside their policies towards their lowest-paid staff, and to explain what they think the relationship should be between the remuneration of their highest-paid staff and other staff. The City Corporation's pay multiple - the ratio

between the highest paid and lowest paid staff - is approximately 1:13. The ratio between the taxable earnings for the highest paid member of staff and the median earnings figure for all staff in the authority is 1:7.

Other Payments

26. In addition to basic salary, all Graded staff are paid a London Weighting allowance which varies depending on where they are based and whether they are supplied by the employer with residential accommodation. This is to assist staff with the higher cost of living and working in London. Current levels of London Weighting for non-residential staff are £5,580 for those based in inner London and £3,350 in outer London.

27. Being based in the City of London, there are some types of posts which are difficult to recruit to e.g. lawyers, IT staff etc. Accordingly, there is often the need to use market supplements to attract, recruit and retain highly sought-after skills. Any request for a market supplement must be supported by independent market data and is considered by a panel of senior officers and the Establishment Committee where appropriate.

28. All market supplement payments are kept under regular review and reported to Members. No member of staff in the Senior Management Group receives a market supplement.

Transparency

29. The Act requires the pay policy statement to make reference to policies in relation to staff leaving the authority, senior staff moving posts within the public sector, and senior staff recruitment.

Recruitment

30. New staff, including those in the Senior Management Group, are normally appointed to the bottom of the particular pay scale applicable for the post. If the existing salary falls within the pay scale for the post, the appointment is normally appointed to the lowest point on the scale which is higher than their existing salary provided this gives them a pay increase commensurate with the additional higher level duties. In cases where the existing salary is higher than all points on the pay scale for the new role, the member of staff is normally appointed to the top of the pay scale for the role.

For posts where the salary is £100,000 or more, the following approvals will be required:

i) in respect of all new posts - the Court of Common Council.
ii) in respect of all existing posts - the Establishment Committee.

Payments on Ceasing Office

31. Staff who leave the City Corporation, including the Town Clerk & Chief

Executive and staff on the Senior Management Grade are not entitled to receive any payments from the authority, except in the case of redundancy or retirement as indicated below.

Retirement

32. Staff who contribute to the Local Government Pension Scheme who retire from age 55 onwards may elect to receive immediate payment of their pension benefits on a reduced basis in accordance with the Scheme. Unreduced benefits are payable if retirement is from Normal Pension Age, with normal pension age linked to the State Pension Age from 1 April 2014, unless protections in the Pension Scheme allow for an earlier date. Early retirement, with immediate payment of pension benefits, is also possible under the Pension Scheme following redundancy or business efficiency after age 55 onwards and on grounds of permanent ill-health at any age.

33. Whilst the Local Government Pension Scheme allows applications for flexible retirement from staff aged 55 or over, where staff reduce their hours or Grade, it is the City Corporation's policy to agree to these only where there are clear financial or operational advantages to the organisation. Benefits are payable in accordance with Regulation 27 of the Local Government Pension Scheme Regulations 2013. Unless there are exceptional circumstances, the City does not make use of the discretion allowed by the LGPS Regulations to waive any actuarial reduction in pensions awarded under the flexible-retirement provisions.

Redundancy

34. Staff who are made redundant are entitled to receive statutory redundancy pay as set out in legislation calculated on a week's pay (currently a maximum of £479 per week). The City Corporation currently bases the calculation on actual salary. This scheme may be amended from time to time subject to Member decision. The authority's policy on discretionary compensation for relevant staff under the Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006 is published on our website.

Settlement of potential claims

35. Where a member of staff leaves the City Corporation's service in circumstances which would, or would be likely to, give rise to an action seeking redress through the courts from the organisation about the nature of the member of staff's departure from our employment, such claims may be settled by way of a settlement agreement where it is in the City Corporation's interests to do so based on advice from the Comptroller & City Solicitor. The amount to be paid in any such instance may include an amount of compensation, which is appropriate in all the circumstances of the individual case. Should such a matter involve the departure of a member of staff in the Senior Management Group or the Town Clerk & Chief Executive, any such compensation payment will only be made following consultation with the Chairman of Policy & Resources and Establishment Committees and legal advice that it would be legal, proper and reasonable to pay it.

Payment in lieu of notice

36. In exceptional circumstances, where it suits service needs, payments in lieu of notice are made to staff on the termination of their contracts.

Re-employment

37. Applications for employment from staff who have retired or been made redundant from the City Corporation or another authority will be considered in accordance with our normal recruitment policy.

Publication of information relating to remuneration

38. The City Corporation will seek to publish details of positions with remuneration of £50,000 or above in accordance with the Accounts and Audit Regulations 2015 and the Local Government Transparency Code issued by the Secretary of State for Communities and Local Government.

39. This Pay Policy Statement will be published on our public website. It may be amended at any time during 2017/18 by the resolution of the Court of Common Council. Any amendments will also be published on our public website.

40. This statement meets the requirements of the: Localism Act 2011; the Department for Communities and Local Government (DCLG) guidance on "Openness and accountability in local pay: Guidance under section 40 of the Localism Act" (including any supplementary Guidance issued); "The Local Government Transparency Code 2015"; and the Accounts and Audit Regulations 2015.

Jan 2017

DRAFT

Committee(s)	Dated:
Establishment Committee	14 February 2017
Subject: Developments in Employment Legislation	**Public**
Joint Report of: Director of HR and the Comptroller and City Solicitor	**For Information**
Report authors: Tracey Jansen, Town Clerks HR Jillian Bradbeer, Comptroller and City Solicitors	

Summary

The purpose of this report is to update Members on recent developments in employment and trade union law and to advise on how those developments will affect the City of London Corporation.

The main areas of change include:

- Reform of exit payments for public sector employees. This includes the introduction of a cap of £95,000 on exit payments, repayment in case of a move to another public sector employer for senior officers within certain time limits and a framework for calculating exit payments.
- The introduction of annual gender pay gap reporting.
- The introduction of minimum thresholds for ballots for industrial action.
- Limitation of salary sacrifice arrangements.

Recommendation(s)

Members are asked to note the report.

Main Report

1. Public sector exit arrangements

1.1 The government undertook consultation in early 2016 on public sector exit payments with the aim of securing greater consistency between public sector redundancy compensation schemes and value for money for the taxpayer.

Alongside a number of high value pay-outs attracting damaging publicity, there have also been notable examples of former senior officials returning very quickly to public service in other roles or as consultants. The government has adopted a three pronged approach to addressing this.

1.2 The first is a cap on all public sector exit payments at £95,000. Section 41 of the Enterprise Act 2016, in force from 1 February 2017, amends the Small Business, Enterprise and Employment Act 2015 by giving the Secretary of State the power to issue regulations capping exit payments made to public sector workers on leaving employment. The Regulations will specify which payments are in scope. These could include payments made by reason of redundancy, any payment on voluntary exit, the cost of awarding added years on early retirement and payments made in lieu of contractual benefits. If mandatory and discretionary payments towards premature retirement compensation are to be included in the calculation of the exit payment, the impact of the cap is likely to extend to junior staff.

1.3 The Government has also committed to provisions for 'clawback' of redundancy compensation when a highly-paid individual returns to the public sector shortly after receiving an exit payment. Draft Regulations set out a requirement that employees with annual earnings above £80,000 repay exit payments if they return to work in the public sector within one year, including those who return 'off-payroll', as an individual consultant or as an employee of a consultancy firm. There are also draft provisions for the application of waivers in limited circumstances.

1.4 Lastly, there will be a framework for determining an appropriate level for exit payments made to employees leaving public sector jobs, whether on a mutually agreed or voluntary basis due, for example, to an impending redundancy situation, or through compulsory redundancy. This will extend beyond employees in local government to encompass civil servants, NHS staff, teachers, armed forces personnel, police officers and firefighters.

1.5 Government departments have been tasked with producing proposals for reform for each workforce, which will need to be consistent with the framework, which incorporates the following terms:

- a maximum tariff for calculating exit payments of three weeks' pay per year of service

- a ceiling of 15 months on the maximum number of months' salary that can be paid as a redundancy payment
- a maximum salary of £80,000 (to include any contractual bonus payments) on which an exit payment can be based
- a taper on the amount of lump sum compensation an individual is entitled to receive as they get closer to their normal pension retirement age (ranging from 65 – 67 depending upon date of birth)
- action to limit or end employer-funded early access to pension as an exit term.

1.6 It is understood that Government departments are expected to produce proposals promptly, with the aim of having full implementation by the end of June 2017.

1.7 We will report back with the implications on our current arrangements as soon as the detail is known.

2 Gender pay gap reporting

2.1 The Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 are due to come into force on 31st March 2017. These have the effect of extending the duty to publish annual gender pay gap data to public sector employers with over 250 employees.

2.2 Obligations include the publication of:

- The mean and median gender pay gap.
- The difference in bonus payments paid to male and female staff.
- The proportion of male and female staff who receive a bonus.
- The number of female and male staff in each quartile of the employer's pay distribution

2.3 The data is to be based on a pay period containing a specific date, which is 31st March for the public sector, each year. This is known as the 'snapshot date'. The first calculation date is 31st March 2017. The data must be published on the employer's website by 30th March 2018, remaining there for three years.

2.4 The Regulations also formalise publication requirements, with all public bodies now required, by 30th March 2018, to prepare and publish its equality objectives. This should comprise one or more objectives it thinks it should achieve in order to exercise its functions in accordance with its Public Sector

Equality Duty. More specifically, the matters set out at s149(1) Equality Act 2010, which include eliminating discrimination, advancing equality of opportunity and fostering good relations in the course of exercising public sector functions.

3 Minimum threshold - ballots for industrial action

3.1 The Trade Union Act 2016 amended the Trade Union and Labour Relations (Consolidation) Act 1992 ("the 1992 Act") so as to introduce thresholds that must be satisfied in ballots for industrial action. These provision in the Act are not yet in force, but are expected to come into force on 1 March 2017.

3.2 Once in force, these provisions will require a vote for industrial action to have:-

- a 50% turnout from those members of the trade union who are eligible to vote; and,
- if the strike will affect "important public services", then at least 40% of those eligible to vote must vote in favour.

3.3 Six separate areas have been identified as 'important public services' and draft statutory instruments have been issued for five of the six. These include health, fire, transport, education and border security. The direct effect on the Corporation will be limited, in the main, to the education sector in the event of any ballots for industrial action by teaching staff in a maintained school.

3.4 It had been expected that restrictions on the deduction of trade union subscriptions from wages ("check off") would come into force this year. Section 15 of the Act provides for such restrictions on public sector employers, but this remains in abeyance for the time being.

4. Salary Sacrifice Limitation

4.1 The government plans to legislate in the Finance Bill 2017 to remove the Income Tax and employer NICs advantages of certain salary sacrifice schemes. Schemes for pensions saving, employer provided pensions advice, childcare and Cycle to Work are unaffected.

4.2 Some Corporation staff currently benefit from salary sacrifice arrangements for school fees. This group of staff will be affected by the change, which is due to take effect from 6 April 2017. There is limited protection for staff who

are already in salary sacrifice arrangements at that date: the new rules will not take effect for those staff until the earlier of an end, change, modification or renewal of their salary sacrifice arrangement or 6 April 2021.

5. Corporate & Strategic Implications

5.1 There remain a number of unknowns regarding public sector exit payments and the Trade Union Act. In particular the impact of the exit payments cap could have significant impact and as soon as the detail is confirmed a further report will be made to the Committee. The gender pay gap reporting requirement is unlikely to change significantly and work is already in hand to trial the requirement in advance of formally reporting.

6. Conclusion

6.1 This report outlines the forthcoming legislation that will have varying impact on us as an employer. The exit payments cap will impact on individuals particularly but not exclusively on higher earners. The gender pay gap reporting will enable us to have useful benchmarking data and will inform talent management and succession planning. Given that we have a history of generally good employee relations with our recognised trade unions, balloting requirements for industrial action is likely to have less immediate impact but will provide clarity about the proposed new voting requirements.

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Committee:	Date:
Establishment Committee	14th February 2017
Subject: Human Resources Dashboards	**Public**
Report of: Director of Human Resources	**For Information**
Report author: Janet Fortune	

Summary

This report informs the Committee of the 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 general trend in the dashboards is very similar levels of turnover, recruitment and sick absence as in previous reports. The number of staff seems to have increased in some departments and we are liaising with departments on these figures.

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 December 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

Current Position

Highlight Information
Based on the December 16 figures the following should be noted at the Corporate level:

a) Full Time Equivalent (FTE) has increased by 63 from the December 2015 figure. This is not matched by any reduction in overtime or agency costs, and is broadly in line with the number of starters over leavers. This would suggest that these are new posts rather than filling existing vacancies, however there could be a number of explanations so we are liaising with Departments and will bring a more detailed report on this to the next Committee.

b) Turnover has increased slightly but not significantly from 14% to 14.8%

c) Occupied positions at 3792 is higher than the current staff at 3771 due to various consultants being included in our reporting structure who may have some line manager responsibility. This figure will increase in the coming weeks as we register consultants on the system in preparation for the IR35 legislation (putting consultants on the payroll).

d) Unoccupied positions, should be an indication of the number of vacancies but this figure of 1349 is too high for this to be the case. The City People team are removing positions which have been unfilled for more than 6 months so we should see this figure drop.

e) Sickness since the December 2015 remains fairly static at 0.44. We are encouraged that this has not reduced since the middle of last year when manager self service was introduced for sick absence. This indicates that there has not be an increase non reporting. Since the self service module was introduced the reasons for absence have been changed which has seen a reduction in 'other' as a category. The top three reasons for absence, which account for about a third of the absences are; Stress/Anxiety and Depression, Gastrointestinal , and Colds and Flu.

f) Recruitment continues to be at a high level with 375 people being appointed in the last year, many of these from multiply recruitment campaigns from restructures or new structures.

g) Costs over and above base salary (including overtime and unsocial hours) for the financial year to date are £4,703,158.67. The costs at the same point in 2015/16 were £4,733,142.23. As before the split of these costs vary across the Corporation and are largely the same as previous reporting, with the Service Departments accounting for just over half of the costs and the Corporate Departments (mainly Surveyors and Central Criminal Court) accounting for 25%. Institutions and the Police civilian staff make up the other percentages.

h) Reported accidents year to date are 384. This is an increase in the last year of 131 accidents. 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.

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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City of London - December 2016

3,846 **Current Staff** - Headcount

3,630.29 **Current Staff** - FTE

Dec-2015 Levels

- Headcount	3,773
- FTE	3,567.7

12.78% **Turnover in the current rolling year**

Starters	**563**
Leavers	**486**
- Voluntary	9.65% (367)
- Involuntary	3.13% (119)

Previous rolling year's turnover **14.87%**

Monthly Sickness Level **0.44**

Short-Term	**0.24**
Long-Term	**0.20**

Previous Levels

Nov-2016	**0.53**
Dec-2015	**0.45**

5,337 **Total Positions**

3,854 **Occupied Positions**

1,362 **Unoccupied Positions**

121 **Positions Being Recruited To**

398 **Number of recruitment campaigns closed in the current rolling year**

Applications	**8,987**
- Interviewed	1,443
- Appointed	379

Average Days From Requisition Start to Appointment/Closure **83**

Disciplinaries
in the last year **14** currently open **7**

Grievances
in the last year **11**
currently open **7**

Sickness Cases
in the last year **292** currently open **156**

£304,203.13
Monthly Overtime

Monthly Additional Hrs	**£289,191.88**
Monthly Casual Costs	**£538,065.65**
Monthly Agency Costs	**£795,008.26**

YTD Overtime
YTD Additional Hours

Health & Safety

384 Accidents in the rolling year

Incidents in the rolling year

Incidents of which were near misses **88**

Accidents in the previous rolling year **41**

9,488
Completed courses in the rolling year

of which were e-learning

Total Cancellations

Cancellation Costs

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Town Clerks Department - December 2016

240 **Current Staff -** Headcount

230.34 **Current Staff -** FTE

- HC vs COL **6.24**
- FTE vs COL **6.34**

Dec-2015 Levels

- Headcount **216**
- FTE **207.4**

17.14% **Turnover in the current rolling year**

12.78% **CoL Turnover**

Starters	**59**
Leavers	**39**
- Voluntary	11.87% (27)
- Involuntary	5.27% (12)
Previous rolling year's turnover	**24.83%**

Monthly Sickness Level **0.63**

CoL **0.44**

Short-Term	**0.27**
Long-Term	**0.36**

Previous Levels

Nov-2016	**0.65**
Dec-2015	**0.35**

302 **Total Positions**

241 **Occupied Positions**

46 **Unoccupied Positions**

15 **Positions Being Recruited To**

38 **Number of recruitment campaigns closed in the current rolling year**

Applications	**591**
- Interviewed	118
- Appointed	43

Average Days From Requisition Start to Appointment/Closure **81** **(83)** CoL

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

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

Sickness Cases
in the last year **14** currently open **7**

£5,300.39
Monthly Overtime

Monthly Additional Hrs	**£991.98**
Monthly Casual Costs	**£2,213.92**
Monthly Agency Costs	**£144,576.10**
YTD Overtime	£29,931.29
YTD Additional Hours	£7,542.68

Health & Safety

17 Accidents in the rolling year

Incidents in the rolling year

Incidents of which were near misses **5**

Accidents in the previous rolling year **0**

951 **Completed courses in the rolling year**

of which were e-learning

Total Cancellations

Cancellation Costs

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Comptroller & City Solicitor's Department - December 2016

54 **Current Staff -** Headcount

49.06 **Current Staff -** FTE

- HC vs COL **1.40**
- FTE vs COL **1.35**

Dec-2015 Levels

- Headcount **57**
- FTE **52.06**

7.21% **Turnover in the current rolling year**

12.78% **CoL Turnover**

Starters	**1**
Leavers	**4**
- Voluntary	7.21% (4)
- Involuntary	0.00% (0)
Previous rolling year's turnover	**8.85%**

Monthly Sickness Level **0.20**

CoL **0.44**

Short-Term	**0.10**
Long-Term	**0.10**

Previous Levels

Nov-2016	**0.58**
Dec-2015	**0.31**

62 **Total Positions**

54 **Occupied Positions**

6 **Unoccupied Positions**

2 **Positions Being Recruited To**

6 **Number of recruitment campaigns closed in the current rolling year**

Applications	**62**
- Interviewed	13
- Appointed	5

Average Days From Requisition Start to Appointment/Closure **77** **(83)** CoL

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

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

Sickness Cases
in the last year **4** currently open **2**

£360.52
Monthly Overtime

Monthly Additional Hrs	**£-**
Monthly Casual Costs	**£394.80**
Monthly Agency Costs	**£3,225.55**
YTD Overtime	£2,165.53
YTD Additional Hours	£-

Health & Safety

1 Accidents in the rolling year

Incidents in the rolling year

Incidents of which were near misses **0**

Accidents in the previous rolling year **1**

163 **Completed courses in the rolling year**

of which were e-learning

Total Cancellations

Cancellation Costs

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of the Local Government Act 1972.

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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By virtue of paragraph(s) 2 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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