



Establishment Committee

Date: WEDNESDAY, 3 MAY 2017

Time: 11.30 am

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

Members: Membership of the Committee will be approved by the Court of Common Council on 27 April 2017:

Randall Anderson
Sheriff & Alderman Peter Estlin
Deputy Kevin Everett
Deputy the Revd Stephen Haines
Deputy Edward Lord
Jeremy Mayhew
Deputy Joyce Nash
Barbara Newman
Deputy Richard Regan
Deputy Elizabeth Rogula
Philip Woodhouse
VACANCY
VACANCY
VACANCY
VACANCY
VACANCY

(The Finance Representative on this Committee is to be appointed).

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

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. **ORDER OF THE COURT OF COMMON COUNCIL**
To receive the Order of the Court of Common Council from 27 April 2017.

**For Information
(To follow)**
4. **ELECTION OF CHAIRMAN**
To elect a Chairman in accordance with Standing Order 29.

For Decision
5. **ELECTION OF DEPUTY CHAIRMAN**
To elect a Deputy Chairman in accordance with Standing Order 30.

For Decision
6. **MINUTES**
To agree the public minutes and summary of the meeting held on 14 February 2017.

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

**For Information
(Pages 9 - 10)**
8. **APPOINTMENT OF THE JOINT CONSULTATIVE COMMITTEE**
To appoint four Members, in addition to the Chairman, Deputy Chairman and representative of the Finance Committee, to the Joint Consultative Committee.

The Joint Consultative Committee will meet at 12.00pm on 19 June 2017.

For Decision

9. **MINUTES OF THE JOINT CONSULTATIVE COMMITTEE**
To note the minutes of the meeting held on 14 February 2017.
- For Information**
(Pages 11 - 14)
10. **APPOINTMENT OF SUB-COMMITTEE CHAIRMEN**
Resolution of the Policy and Resources Committee.
- For Information**
(Pages 15 - 20)
11. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN
2016-2019 PROGRESS REPORT AS AT 31 MARCH 2017**
Report of the Comptroller and City Solicitor.
- For Information**
(Pages 21 - 26)
12. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL RISK
MANAGEMENT REPORT**
Report of the Comptroller and City Solicitor.
- For Information**
(Pages 27 - 32)
13. **HUMAN RESOURCES DASHBOARDS**
The Director of Human Resources to be heard.
- For Information**
14. **OPERATION OF THE SCHEME OF DELEGATIONS**
Report of the Director of Human Resources.
- For Information**
(Pages 33 - 34)
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 14 February 2017.

For Decision
(Pages 35 - 38)

19. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

For Information
(Pages 39 - 40)

20. **NON-PUBLIC MINUTES OF THE JOINT CONSULTATIVE COMMITTEE**

To note the non-public minutes of the meeting held on 14 February 2017.

For Information
(Pages 41 - 42)

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

22. **REPORT OF ACTION TAKEN**

Report of the Town Clerk.

For Information

23. **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

24. **CONFIDENTIAL MINUTES**

To agree the Confidential minutes of the last meeting held on 14 February 2017.

For Decision

25. **SCHEME OF DELEGATIONS CONFIDENTIAL APPENDIX**

Report of the Director of Human Resources.

For Information

26. **MARKET FORCES SUPPLEMENT PAYMENT**

Report of the Town Clerk.

For Decision

27. **EMPLOYMENT TRIBUNAL SUMMARY**
Report of the Comptroller and City Solicitor.

For Information

28. **CHAMBERLAIN'S DEPARTMENT UPDATE**
Report of the Chamberlain.

For Decision

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

For Information

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ESTABLISHMENT COMMITTEE

Tuesday, 14 February 2017

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

Present

Members:

Deputy the Revd Stephen Haines
(Chairman)
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 Elizabeth Rogula
Philip Woodhouse

Officers:

John Barradell	-	Town Clerk and Chief Executive
Simon Latham	-	Town Clerk's Department
Kate Smith	-	Town Clerk's Department
Sacha Than	-	Town Clerk's Department
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

1. APOLOGIES

The Chairman explained that this would be Nigel Challis' final Establishment Committee meeting and thanked him on behalf of the Committee for all of his support.

Apologies for absence were received from Deputy Richard Regan and Angela Starling.

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

There were no declarations of interest.

3. MINUTES

RESOLVED – That the public minutes and summary of the meeting held on 17 January 2017 be approved as an accurate record.

Matters Arising

Former Officers As Members

In response to a Member's query on the accuracy of item nine, the Committee confirmed that the minutes were a correct record and summary of the meeting, but noted that the information discussed may have been incorrect.

4. **OUTSTANDING ACTIONS REPORT**

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

RESOLVED – That the Committee note the report.

5. **APPOINTMENT OF CHAIRMEN OF SUB-COMMITTEES**

The Committee considered a resolution of the Policy and Resources Committee concerning the appointment of Chairmen of Sub-Committees.

RESOLVED – That the Committee note the resolution.

6. **DRAFT HIGH LEVEL BUSINESS PLAN FOR TOWN CLERK'S CORPORATE AND MEMBER SERVICES**

The Committee received a report of the Town Clerk which provided the draft high level business plan for Town Clerk's Corporate and Members Services.

In response to a Member's query on editorial control of the intranet and internet, the Town Clerk confirmed that individual departments had responsibility for their relevant web pages. However, the Communications Department should have overall control of web content.

RESOLVED – That the Committee note the draft high level business plan.

7. **RISK - TOWN CLERK'S DEPARTMENT**

The Committee received a report of the Town Clerk which sought to provide assurance that there were satisfactory risk management procedures in place within the Town Clerk's Department.

Members asked that risks affecting the Establishment Committee be included within the report, such as the recent departure of Chief Officers.

In response to a Member's query on the amber rating of the Health and Safety risk, the Director of Human Resources explained that it was not possible to change the rating of the risk to green as there were a number of recommendations that would need to be put in place first.

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

8. **CORPORATE HUMAN RESOURCES HIGH LEVEL BUSINESS PLAN**
The Committee received a report of the Director of Human Resources which provided an overview of the draft high level Human Resources Business Plan.

In response to a Member's request to soften some of the wording within the report, the Director of Human Resources explained that those comments were not targeted at employees, but instead referred to departmental demands.

RESOLVED – That the Committee note the report.

9. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN 2016-2019 PROGRESS REPORT AS AT 31 DECEMBER 2016**

The Committee considered a report of the Comptroller and City Solicitor which provided a summary of progress toward achieving the aims and objectives of the Comptroller and City Solicitor's Departmental Business Plan 2016-2019. The report also asked that the Business Plan be reviewed by the Committee biannually rather than quarterly.

Members agreed that the Business Plan move to a biannual reporting basis, but asked that if any areas of concern arose, these be brought before the Committee sooner.

RESOLVED – That the Committee:

- a) agree that the Comptroller and City Solicitor's Business Plan be considered by the Establishment Committee biannually rather than quarterly; and
- b) note the report.

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

The Committee received a report of the Comptroller and City Solicitor which provided an update on the Comptroller and City Solicitor's departmental risks as at 31 December 2016.

RESOLVED – That the Committee note the report.

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

The Committee considered a report of the Director of Human Resources which sought to clarify the position of the inclusion of external parties and stakeholders in the recruitment of City of London staff.

The Committee noted that it had previously been agreed that Members had involvement in recruitment for posts at Grades I and J.

RESOLVED – That the Committee approve:

- a) 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;
- b) 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;
- c) that the nature of the inclusion of any stakeholder or 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; and
- d) that Officers be instructed to prepare amendments to the Recruitment and Selection policy to implement this decision.

12. **PAY POLICY STATEMENT**

The Committee considered a report of the Director of Human Resources which asked the Committee to agree the draft Pay Policy Statement 2017/18.

Members noted that there had been significant changes to the Pay Policy Statement and acknowledged that whilst these had been summarised in the covering report, it would be helpful for any changes to be highlighted within the Statement.

RESOLVED – That the Committee agree the draft Pay Policy Statement 2017/18 to ensure the City Corporation meets its requirements under the Localism Act 2011.

13. **DEVELOPMENTS IN EMPLOYMENT LEGISLATION**

The Committee received a joint report of the Director of Human Resources and the Comptroller and City Solicitor which updated Members on recent developments in employment and trade union law.

In response to a Member's query on the gender pay gap, the Director of Human Resources confirmed that the Human Resources Department had carried out work in this area and members of staff at senior levels were paid fairly. The Director of Human Resources explained that there had been difficulties recruiting women to senior grades, but a report would be brought before the Committee at a later date with new proposals in relation to recruitment.

RESOLVED – That the Committee note the report.

14. **HUMAN RESOURCES DASHBOARDS**

The Committee received a report of the Director of Human Resources which provided Members with information from the Corporate Human Resources Dashboard.

Members noted there was some information missing within the dashboards such as reference to e-learning courses and course cancellation costs. The Director of Human Resources agreed that this information would be circulated to Members via email.

In response to a Member's query on reducing the high number of unoccupied positions listed within the dashboards, the Director of Human Resources confirmed that work was being carried out in this area and departments had been asked to delete obsolete posts from the system, particularly when restructures had taken place.

In response to a Member's query on sickness caused by stress, the Director of Human Resources confirmed that the City of London Corporation has a number of measures in place to manage and help alleviate sickness caused by work-related stress.

During a discussion of whether other Committees should receive the relevant dashboards, the following comments were raised:

- Service committees in addition to the Establishment Committee should have the opportunity to view the dashboards for their areas in order to see what resources were available;
- the issue of confidentiality arose and it was noted that whilst the dashboards were public reports, if the dashboards were to be circulated to other committees, any information that could potentially identify individuals would need to be removed first;
- that in order for the data within the dashboards to be meaningful, comparison data should be available to provide context and for interpretation purposes; and
- a Member suggested that the frequency of dashboard reporting to the Establishment Committee be reduced from quarterly to biannual, but instead of the three dashboards currently provided, that dashboards for all 19 City of London Corporation departments be made available.

The Committee asked the Town Clerk to consider the comments raised by Members.

RESOLVED – That the Committee note the report.

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

There were no questions.

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

There were no urgent items.

17. **EXCLUSION OF THE PUBLIC**

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

Item	Paragraph
18,23	1,2,3
19	3
20	2
24	1

18. **NON-PUBLIC MINUTES**

The non-public minutes of the meeting held on 17 January 2017 were approved.

19. **OUTSTANDING ACTIONS REPORT**

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

20. **RESOLUTION OF THE MARKETS COMMITTEE**

The Committee noted a resolution of the Markets Committee.

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

Two questions were raised in respect of recruitment.

22. **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.

23. **CONFIDENTIAL MINUTES**

The confidential minutes of the meeting held on 17 January 2017 were approved.

24. **REORGANISATION OF A DEPARTMENT**

The Committee agreed a report of the Town Clerk in relation to the reorganisation of a department.

25. **TOWN CLERK'S UPDATE**

There were no matters for the Committee to be updated on.

The meeting closed at 3.14 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	<p><u>Accommodation and Ways of Working Programme</u></p> <p>The Committee requested that a report responding to the points raised at the September meeting regarding elements that should be in place for the programme to be delivered successfully, be submitted to the Committee prior to the implementation of the Scheme.</p> <p>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.</p>	Comptroller and City Solicitor	Autumn 2017	A report to be submitted in the autumn of 2017.

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
2.	14 February 2017, Item 14	<p><u>Human Resources Dashboards</u> A discussion arose in Committee on the Human Resources Dashboards where the following queries were raised.</p> <ul style="list-style-type: none"> a) Whether other service committees in addition to the Establishment Committee should have the opportunity to view the dashboards for their areas. b) Whether comparison data could be made available to help provide context to the data within the dashboards. c) Whether the frequency of dashboard reporting should be reduced from quarterly to biannual, but instead of the three dashboards currently provided, that all dashboards for the 19 City of London Corporation departments be made available. <p>The Committee asked the Town Clerk to consider their suggestions.</p>	Town Clerk	TBC	The Town Clerk has asked the Head of Corporate Strategy & Performance to review whether there are any opportunities for the dashboards to be included in the new business planning framework.

JOINT CONSULTATIVE COMMITTEE

Tuesday, 14 February 2017

Minutes of the meeting of the Joint Consultative Committee held at the Guildhall EC2 at 12.00 pm

Present

Members:

Randall Anderson
Deputy Jamie Ingham Clark
Deputy the Revd Stephen Haines
Edward Lord
Deputy Joyce Nash
Philip Woodhouse

Union Members

Guy Baker – GMB
Gary Carter – GMB
Sean Davidson – GMB
Colin Bull – UNITE
Pritesh Dattani – UNITE
Rose Keeping – UNITE
Mike Moore - UNITE

Officers:

Sacha Than	-	Town Clerk's Department
Chrissie Morgan	-	Director of Human Resources
Janet Fortune	-	Human Resources
Tracey Jansen	-	Human Resources

1. APOLOGIES

Apologies for absence were received from Angela Starling.

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

No declarations of interest were received.

3. MINUTES

RESOLVED – That the public minutes and non-public summary of the meeting held on 9 June 2016 be approved as an accurate record, subject to the following amendments:

Pg. 1: Pritesh Dattani – UNITE *to be added* to the list of attendees.

4. PAY AND REWARD STRATEGY

The Director of Human Resources gave a presentation to the Committee on the Pay and Reward Strategy.

The Director of Human Resources advised that an analysis had taken place on the current Pay and Reward Strategy which looked at the following areas:

- whether the current job evaluation scheme was fit for purpose, feedback demonstrated that the current system was too slow and greater

freedoms in relation to reward such as agile working or the purchase/sale of annual leave would be welcomed by staff;

- the current pay levels were deemed to be competitive and the City Corporation had committed to pay the London Living Wage to the apprentices, however feedback showed that Market Forces Supplements detracted from people accepting roles as they were thought to be temporary and were not accepted as part of mortgage applications therefore this area would not to be looked at further; and
- the benefits offered to staff were rated as excellent, but could be promoted more.

The Director of Human Resources explained that for a member of staff to reach the top level of the pay scale, a rating of outstanding would need to be achieved in the annual appraisal. However, the final decision to award this level of pay would be considered by the Senior Management Team for moderation. In response to a Trade Union Representative's query, the Director of Human Resources confirmed that whilst the moderators would be aware of the identity of the person, this would not affect the outcome of their decision as the moderators look at the objectives set in order to ensure rigor and parity.

In response to a Trade Union Representative's query on the grading of roles, the Director of Human Resources confirmed that the accountability of the role determines the grade. The Director of Human Resources further advised that when new roles were created, the benchmarking and job evaluation system had been used to determine grades and accountability. The Trade Union Representatives were assured of the transparency of this process as newly created roles at Grade I or above were brought before the Court of Common Council and the Establishment Committee for approval.

In response to a Trade Union Representative's request to see the findings of the audit, the Director of Human Resources agreed to follow this up outside of the meeting.

In response to a Trade Union Representative's query on whether a quality assessment had been carried out on the Job Evaluation Scheme, the Director of Human Resources confirmed that this had taken place and the findings of the scheme would be shared with the Trade Union Representatives at the next meeting of the Joint Consultative Committee.

RESOLVED – That the Committee note the update.

5. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

There were no questions.

6. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT

There were no items of urgent business.

7. **EXCLUSION OF THE PUBLIC**

RESOLVED – 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.

Item(s)
8-11

Paragraph(s)
4

8. **NON-PUBLIC MINUTES**

The non-public minutes of the last meeting were approved as an accurate record.

9. **JOINT GMB UNITE PAY DISCUSSION**

A discussion took place in relation to the 2017/18 pay claim.

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

There were no questions.

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

There was no other business.

The meeting closed at 12.45 pm

Chairman

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TO: ESTABLISHMENT COMMITTEE

Wednesday, 3 May 2017

FROM: POLICY AND RESOURCES COMMITTEE

Thursday, 16 March 2017

4. **APPOINTMENT OF SUB-COMMITTEE CHAIRMEN**

The Committee considered a report of the Town Clerk concerning the process for appointing chairmen of sub-committees.

The Chairman stated that the purpose of a sub-committee was to deal with matters referred to it by its parent committee. It was noted that whilst the Policy and Resources Committee was responsible for governance, without a change to standing orders, its recommendation regarding the appointment of chairmen of sub-committees was on the basis of the adoption of a convention only. Detailed discussion ensued during which the following comments were made:-

- The Chairman advised that the resolution to committees from the December meeting aimed to set a convention which enabled the Chairman of a grand committee who did not wish to chair a sub-committee to identify and nominate for the role another Member with the necessary experience and qualities, for approval of that Committee. In the interests of clarity the initial resolution would have benefited from being circulated with the substantive report.
- Members questioned the need for the convention particularly given the different nature of some committees, for example some were quasi-judicial and therefore required a different approach.
- As the intention of the convention was to clarify the process it might be better for grand committees to set out its approach to appointments in its terms of reference.
- Rather than seeking the adoption of a convention, Committees should be provided with some general guidance instead. Without being too prescriptive, could also include reference to the length of time a chairman could serve. Several Members supported this.

RESOLVED: that the following guidance be given to all Grand Committees:

1. **in the event of a Grand Committee having no prior arrangement or custom in place for the way in which the chairmen of its sub-committees are selected, it should be usual practice for the Chairman of the relevant Grand Committee, should they not wish to serve themselves, to nominate an individual to serve in that capacity for the approval of the Grand Committee; and**
2. **that the term of office of a chairman of a sub-committee would usually be no longer than the term of office of the Chairman of the Grand Committee e.g. three, four or five years, subject to the relevant Grand Committee being able to extend the term of the sub-committee's chairman on an annual basis.**

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Committee: Policy & Resources Committee	Date: 16 March 2017
Subject: Appointment of Sub-Committee Chairmen	Public
Report of: Town Clerk	For Decision
Report authors: Simon Murrells, Assistant Town Clerk	

Summary

This report concerns the process for appointing chairmen of sub-committees. There is no hard or fast rule and Members felt that the rather ad-hoc approach taken by the various Committees would benefit from greater consistency across the board. In light of this, the Policy & Resources Committee decided that when a Chairman of a Grand Committee does not wish to be the chairman of a sub-committee, a convention is adopted whereby the Chairman submits his or her nomination for chairman of the sub-committee to the Grand Committee for approval. Where no specific Member is nominated by the Chairman of the Grand Committee, the selection process would be by election from all eligible Members of the Grand Committee.

This proposal was promulgated to the various Committees and was met with a mixed response. It was also discussed at the all-Member informal meeting on 9 February, with differing views being expressed. The Policy Chairman agreed that the issue should be reconsidered. To assist Members, set out are several options for Members to consider, including retaining the status quo, implementing the convention proposed by this Committee for Grand Committee Chairmen to nominate the chairman of the sub-committees, election of chairmen of sub-committees by the Grand Committee and election of Sub Committee chairmen by the sub-committee itself.

At the informal meeting of all Members in February, it was suggested that the introduction of term limits for chairmen of sub-committees should also be considered and the views of Members are sought on that matter.

Recommendations

It is **recommended** as follows:

- a) that further consideration be given to the implementation of a new convention for the appointment of chairmen of sub-committees, namely, when a Chairman of a Grand Committee does not wish to be the chairman of a sub-committee a convention is adopted whereby the Chairman submits his or her nomination for chairman to the Grand Committee for approval. Where no specific Member is nominated by the Chairman of the Grand Committee, the selection process would be by election from all eligible Members of the Grand Committee;

- b) that consideration be given to the introduction of term limits for sub-committee chairmen.

Report

Background

1. This report concerns the recent review of the process for appointing chairmen of sub-committees.
2. The current arrangements for selecting the chairmen of sub-committees is for that to be determined by the relevant Grand Committee and quite often it can be the Chairman of the Grand Committee who takes on the responsibility, depending on circumstances. If not, it is usual practice for the sub-committee to decide, most often by election from amongst its membership. There is no hard or fast rule and Members felt that the rather ad-hoc approach taken by the various Committees would benefit from greater consistency across the board
3. In light of this, in December 2016 the Policy Committee proposed the introduction of a convention for the selection of sub-committee chairmen to ensure consistency across all Committees. The convention provides that, when a Chairman does not wish to be the chairman of a sub-committee and wishes a specific member to be appointed, the Chairman shall submit his or her nomination for chairman to the Grand Committee for approval. A resolution to that effect was circulated to all relevant Committees asking for the convention to be endorsed.
4. The Policy Committee based its decision on the following principles:
 - it should be accepted practice for the Chairman of a Grand Committee to chair any Sub-Committee appointed by it;
 - where the Chairman of a Grand Committee does not wish to chair a sub-committee, the Chairman should be able to nominate another Member of the Grand Committee with the necessary experience and qualities, for approval to fulfil that role; and
 - where no specific Member is nominated by the Chairman of the Grand Committee, the selection process would be by election from all eligible Members of the Grand Committee.
5. The Chairman of the Finance Committee was particularly supportive of the P&R recommendation. Under his Chairmanship of Finance, he has been able to propose and to gain support for some significant changes in the way sub-committees operate and who chairs them. These changes have enabled more Members to play a more valuable part in, and to contribute to, the Committee's overall work, whilst also recognising that sub-committees should be servants of the Grand Committee's policies and priorities. Any changes should not get in the way of these two objectives.

6. It was noted at the informal meeting that the Policy & Resources Committee would take another look at the position. In addition, several Members asked for consideration to also be given to whether terms limits should be introduced for Chairmen of sub-committees, as they are for Chairmen of Grand Committees.

Options for Chairmanship of sub-committees

7. There are several options open to Members to consider for how Chairmen should be selected for sub-committees, including the following:
 - i) Retain the status quo. Currently, a Grand Committee has the option of choosing who should take the chair of a sub-committee that it appoints. In a number of cases that is the Chairman of the Grand Committee but not always. Grand Committees can also decide to leave such matters to the sub-committee who usually select their Chairman through a process of election. This has been the position for a number of years.
 - ii) Adopt the convention agreed by the Policy & Resources Committee in December, as described in paragraphs 3 and 4 above. This provides for a process whereby the Chairman of a Grand Committee does not wish to chair a sub-committee and has instead identified another Member for that role with the necessary experience and qualities. In those circumstances, the Chairman would submit his or her nomination to the Grand Committee for approval. Where no specific Member is nominated by the Chairman of the Grand Committee, the selection process would be by election from all eligible Members of the Grand Committee who would nominate themselves.
 - iii) Grand Committees to appoint all sub-committee chairmen. In this case, when sub-committees are appointed (which they are annually), the Grand Committee would be asked to decide at that stage who should take the chair. This could be the Chairman of the Grand Committee or by inviting eligible Members of the Grand Committee to nominate themselves, followed by an election if there is more than one candidate.
 - iv) Sub-committees to appoint their own chairmen. In this case, the question of chairmanship would be left entirely to the sub-committee to decide, usually by election. Whilst this is an option, it should be noted that there are a number of sub-committees where Members may consider it appropriate, because of the nature of the business ie: it is sensitive or strategic, for the Chairman of the Grand Committee to be the chairman. In those circumstances, imposing such a rigid rule may not serve the City Corporation's best interests as it does not allow for any flexibility.
8. It should also be noted that the Chief Commoner automatically chairs several sub-committees including the Privileges Sub-Committee.

Term Limits

9. At the informal meeting of all Members reference was made to the possibility of introducing terms limits for chairmen of sub-committees. Currently there are no restrictions on the number of terms (or years) that a Member can serve as chairman of a sub-committee as there are for Grand Committees (there are, however, conventions affecting the chairmanship of the Property Investment Board, Financial Investment Board and Social Investment Board, all of which report directly to the Court of Common Council). Standing Orders provide for the Chairmanship of most Grand Committees to be no more than three years with three exceptions - the Policy & Resources and Finance Committees where the term is a maximum of five years and the Police Committee where the term is no more than four years.
10. Members' views are sought on whether term limits should be introduced for chairmen of sub-committees and, if so, what the term should be eg: three years. If Members decide to introduce a term limit, it would be prudent, where the Chairman of the Grand Committee chairs the sub-committee, for any limit to correspond with the term of chairmanship of the relevant Grand Committee.
11. Members should bear in mind that in a number of cases sub-committees are appointed to give more detailed consideration to certain topics and, over time, chairmen can develop an expertise and considerable knowledge of the area. This does, however, need to be balanced against the need for others to be given opportunities to serve and to bring fresh skills and experience to the work of the sub-committee. The loss, through the imposition of a term limit, of an experienced chairman does not necessarily mean that individual and their knowledge of a particular topic need be lost to the sub-committee.

Conclusion

12. The proposed convention agreed by the Policy & Resources Committee for appointing chairmen of sub-committees has been met with mixed views and at the recent informal meeting of all Members it was noted that the Committee would look again at the matter. This report asks Members to review the position and sets out some options that could be considered. It also asks Members for a view on whether a term limit should be introduced for chairmen of sub-committees and, if so, what that term should be.

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Committee	Date:
Establishment Committee	3 May 2017
Subject: Comptroller and City Solicitor’s Departmental Business Plan 2016-2019 Progress report as at 31 March 2017	Public
Report of: Comptroller and City Solicitor	For Information
Report author: Nick Senior – Comptroller & City Solicitor’s Department	

Summary

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

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

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

The department has remained within its local risk budget at the year-end including delivery of the 2016/17 Service Based Review (SBR) savings of £169k and on this basis has delivered the total required £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 given the high level of compliance with robust departmental risk management procedures.

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

The Information Management Project is has progressed to the stage of procurement but has been paused pending the deployment of the corporate ICT transformation programme. Implementing a replacement legal case management system 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. 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 progress toward achieving the strategic aims and objectives of the Comptroller and City Solicitor's Departmental Business Plan 2016-2019.

Current Position

2. The improvement objectives are:

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

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

The departmental SBR target for 2016/17 was £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 at the year end exceeded 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 in June 2016 resulting in re-accreditation with a high level of compliance and with many areas of good practice identified. Internal monitoring against the LEXCEL standard is on-going.

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

B1. Complete a major information management project.

Significant progress has been made toward procuring and implementing a replacement legal case management, the project has been paused to ensure that the technical implications of the corporate information technology transformation are fully understood and the requirements incorporated into the system specification. It is likely that case management system will be procured in 2017.

It is anticipated that the system 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 implemented.

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. The service effectively monitored and controlled expenditure to remain 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.

Conclusion

7. The department has on the whole achieved the 2016/2017 business plan objectives with the exception of the implementation of a major information management project which has been paused for sound business reasons to ensure that the system aligns with the corporate ICT transformation programme it is anticipated that the system will be procured in the third quarter of 2017.

Appendices

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

Nick Senior

Business Manager, Comptroller and City Solicitor's Department

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Appendix 1

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

Ref	Performance Indicator	Target and progress for 2016/2017	Position at 31 March 2017
PI 1	Responses of chairmen of committee to the client care survey give a 'high overall service' rating	Target 98%	<i>Achieved - 99% January 2017</i>
PI 2	Responses of departments to the client care survey give a 'high quality service' rating	Target 98%	<i>Achieved 99% January 2017</i>
PI 3	Responses of departments to the client care survey give a 'staff keep you well informed' rating	Target 93%	<i>Achieved 93% January 2017</i>
PI 4	Justified complaints against total caseload	Target – maximum of 5 per annum	<i>On target 0 complaints received</i>
PI 5	Maintain LEXCEL accreditation	LEXCEL accreditation achieved	<i>Accreditation achieved June 2016</i>
PI 6	File reviews completed in a timely fashion	Target - 90% within one month	<i>Achieved 91% 4th quarter</i>
PI 7	Inactivity on live files in 6 months	Target – Not more than 15%	<i>Achieved 10% at 4th quarter 5% above target</i>
PI 8	Inactivity on live files in 3 months	Target – Not more than 20%	<i>Achieved 17% at 4th quarter 3% above target</i>
PI 9	Overall chargeable hours target	Target 100%	<i>On target for 100%</i>
PI 10	Effectively managing short term sickness absence	Target – Below City short term average	<i>Below target CCS 0.63 days CoL average 0.32 days</i>
PI 11	Percentage of Foi requests responded to in under 20 days	Target 96%	<i>Above target 98.9%</i>

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Committee(s)	Dated:
Establishment Committee	3 May 2017
Subject: Comptroller and City Solicitor's Departmental Risk Management report	Public
Report of: Comptroller and City Solicitor	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 March 2017.

Recommendation(s)

The Committee is recommended to note the report.

Main Report

Background

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

Current Position

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

Conclusion

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

Appendices

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

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CCS Detailed risk register

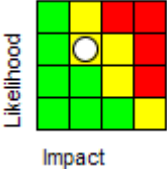
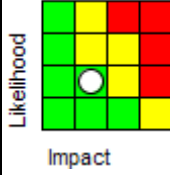
Report Author: Nick Senior

Generated on: 03 April 2017

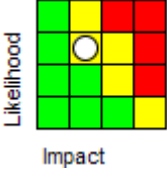
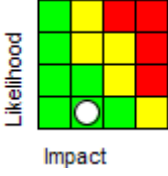


Risk no, Title, Creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CCS 001 Recruitment and retention of experienced legal staff 12-Feb-2015 Michael Cogher	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		6	Benchmark against Government Legal Service salaries in January 2017 found that City of London CCS salaries are competitive. 30 Mar 2017		4	31-Mar-2018	 No change

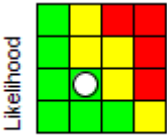
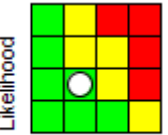

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CCS Salary Competitive?	Benchmark salary data against other local authorities to ensure salaries and market supplements are competitive	Salary competitiveness to be monitored 2017/18	Nick Senior	30-Mar-2017	31-Mar-2018

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
CCS 002 Loss of Information Assets 04-Mar-2015 Michael Cogher	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		6	DPA audit undertaken in September confirms good levels of data security compliance. 06 Oct 2016		4	31-Mar-2018	↔ No change

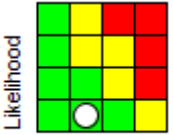
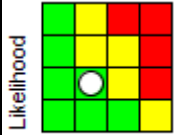

Action no, Title,	Description	Latest Note			Managed By	Latest Note Date	Due Date
CCS 002b Quarterly DPA audits	Quarterly DPA audits to be undertaken by CCS Information Team	Final DPA audit 2016/17 due April 2017			Michael Cogher	30-Mar-2017	31-Mar-2018

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
CCS 005 Ability to access critical systems - business continuity 04-Mar-2015	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.		6	Business continuity test undertaken in November 2016 - off site location LMA not suitable, alternative location to be identified. Key Officers have remote working capability but this limited to electronic data and records only. 30 Mar 2017		2	31-Mar-2018	↔ No Change

Action no, Title,	Description	Latest Note			Managed By	Latest	Due Date
CCS 005a BCP - critical systems test	IS to test access to critical systems at business continuity exercises	Further BCP test to be undertaken in 2017 dates to be advised			Nick Senior	30-Mar-2017	31-Mar-2018

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
CCS 003 Managing Legal Risk 04-Mar-2015 Michael Cogher	Cause - Lawyers not up to date with law, poor communication, lack of supervision, agreed procedures not followed, file reviews not completed Event - physical and intellectual property assets at risk, court hearings missed, high risk matters not reported, inadequate advice provided, cases not progressed in a timely fashion Effect - financial penalty, clients loss of confidence in the legal service, reputation	 Likelihood	4	Legal risk management procedures are robust and compliant with the Law Society LEXCEL standard following the annual audit on 13 June 2016. Compliance with these procedures tested internally. 30 Mar 2017	 Likelihood	4	31-Mar-2018	 Decreased Risk Score

Action no, Title, Page 31	Description	Latest Note	Managed By	Latest Note Date	Due Date
CCS 003a Staff undertake regular risk reviews	Each matter is risk assessed on receipt and marked as high risk where appropriate	Risk data reviewed	Michael Cogher	19-Aug-2016	31-Mar-2018
CCS 003c SMT review monthly High Risk reports	SMT reviews high risk reports and agrees future strategy	SMT reviewed risks on 31/03/2016	Michael Cogher	26-Apr-2016	31-Mar-2018
CCS 003d Review risk management procedures	Risk management procedures review and testing to ensure effectiveness and compliance	Procedures checked August 2016 and found to be robust and working effectively	Michael Cogher	22-Aug-2016	31-Mar-2018

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
CCS 004 Successful operation of Oracle OPN 04-Mar-2015 Nick Senior	<p>Cause - Oracle OPN replaced the Manhattan commercial property management and rent system</p> <p>Event - Continued operational difficulties caused by OPN</p> <p>Effect - If the application does not function as planned there is a risk that commercial income will not be invoiced on the due dates resulting in increased arrears</p>	 <p>Likelihood</p>	2	Rent runs operating effectively - no change to risk status 30 Mar 2017	 <p>Likelihood</p>	4	31-Mar-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
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	Pre-billing reports are checked to ensure accuracy of invoices.	Nick Senior	26-Apr-2016	31-Mar-2018
CCS 004d Assess performance following Q4rent billing	Continuing system performance assessment	Q4 rent bills generated effectively with very few errors	Nick Senior	06-Oct-2016	31-Mar-2018

Committee(s): Establishment Committee	Date: 3 May 2017
Subject: Operation of the Scheme of Delegations October 2016 – March 2017	Public
Report of: Chrissie Morgan - Director of Human Resources	For Information
Report author: Tracey Jansen – Human Resources, Town Clerks	

Summary

In line with the Scheme of Delegations the report provides information on any redundancies, early retirements (including those made under the '85 year rule') and ill health retirements in the reporting period 1 October 2016 to 31 March 2017. The report also provides information on total numbers in a rolling year. The Market Forces Supplements (MFS) approved by the MSF Board during this period are also reported.

Recommendation

Members are asked to:

- Note the actions taken under delegated authority.

Main Report

Background

1. In line with the Scheme of Delegations, the report provides information on redundancies, early retirements (including those made under the '85 year rule'), ill health retirements and MFS payments in the period October 2016 to March 2017.
2. There have been 2 redundancies in this reporting period.
3. There have been no ill health retirements.
4. 5 Market Force Supplements were agreed in the period.
5. In the last 12 months (April 2016 - March 2017) there have been 17 redundancies; no early retirements; and 3 ill health retirements.
6. Appendix 1 (within the confidential section of the agenda) provides a table summarising the information).

Conclusion

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

Appendices:

Appendix 1 (within the confidential section of the agenda) - table summarising information for the period October 2016 - March 2017.

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of the Local Government Act 1972.

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of the Local Government Act 1972.

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