



# **Comptroller & City Solicitor**

## **Draft Business Plan 2017 – 2018**

**Responsible Officer:- Michael Cogher**

**Contact:-**  
**Nick Senior**  
**020 7332 1668**  
[nick.senior@cityoflondon.gov.uk](mailto:nick.senior@cityoflondon.gov.uk)



## Index

	Page
Service purpose	3
Key issues and challenges	3
Objectives 2017/18	4 - 6
Performance Indicators 2017/2018	7
Establishment Chart	8
C&CS Local Risk Budget	9
C&CS Strategic Risk Register Summary	10
Background sources	11

## **Service purpose**

To deliver high quality cost-effective commercially focused legal advice, governance and support that protects the City of London Corporation's interests.

The law is integral to all public authority functions and this is particularly the case in the City Corporation which has a unique and diverse range of functions and interests far beyond those of other local authorities. It is therefore essential that the Corporation has access to high quality, commercial and effective legal services to enable it to achieve its policy objectives.

The coming years are likely to present further challenge and change for the Corporation and the Department must ensure that it is able to continue to support the Corporation's corporate agenda together with the operational needs of its client departments and external organisations. This is likely to involve further significant property, employment, procurement and public law advice and support. The need for advice to support changes in services and new ways of working is also expected to increase across these and other areas.

In addition to supporting projects and organisational change, the challenge of continuing to provide a high quality legal service to meet the day to day needs of members and clients, particularly in a time of fewer resources and a difficult economic climate for public services but with undimmed ambitions and expectations and "the need to do more with less" should not be underestimated.

These challenges must also be seen in the context of continued legislative change and the ever present risk of challenge, particularly in areas such as equalities, procurement and employment.

## **Key Issues and challenges 2017/18**

- To provide governance and legal advice to support corporate projects and programmes to enhance the City e.g. Multi Academy Trust, Museum of London re-location, Central London Forward, Centre for Music
- Provide legal support, advice and transactional work to support the City Surveyor in the management and development of the City's investment portfolio to achieve increased rental income
- Continue with the First Registration programme in order to comply with the proposed target date for completion of August 2018
- Continue to deliver support to the City of London Police in dealing with suspected Ponzi schemes
- Ensure that the City of London is prepared for compliance with the General Data Protection Regulation when it comes into force on 25 May 2018 and any related amendments to the Data Protection Act 1998
- Deliver governance and support to the Agile Ways of Working Programme
- Achieve re-accreditation to the Law Society's LEXCEL quality standard
- Implement a transformational departmental information management project to achieve greater effectiveness and a significant shift to paper light working

## Comptroller & City Solicitor Business Plan 2017-2018

<b>Strategic Aim</b>	<b>To deliver high quality cost-effective commercially focused legal advice, governance and support that protects the City of London Corporation's interests.</b>			
<b>Objective:</b>	<b>1. Achieve re-accreditation to the Law Society's LEXCEL quality standard</b>			
<b>Corporate Plan</b>	Innovation, always looking for ways to deliver more and add value through new technologies and smart approaches	<b>Rationale</b> C&CS compliance with the LEXCEL quality standard demonstrates innovative good practice and ensures that processes are embedded to minimise legal risk are in place.		
<b>Aligns to Key Policy Priorities</b>	KPP2 – Improving the value for money of our services within the constraints of reduced resources			
<b>Actions/Milestones</b>	<b>Measure of Success</b>	<b>Responsible Officer</b>	<b>Target Date</b>	<b>Resources</b>
Office procedures are reviewed	All policies, plans and procedures are reviewed	Business Manager	30/04/2017	Existing
SMT agree policies, plans and procedures	SMT sign off policies, plans and procedures	SMT	01/05/2017	Existing
Quality and Procedures Manual is updated and re-published	Staff are made aware of any changes and workshops arranged if required	Business Manager	01/06/2017	Existing
LEXCEL external assessment	External assessor recommends re-accreditation to the standard	Business Manager	17/06/2017	Existing
Risk	Major non-compliances are unlikely due to the level of preparatory work undertaken therefore the risk is low.			
*1 The LEXCEL standard includes strategic planning, financial management, information management, people management e.g. equalities, operational support and case management and client care.				

## Comptroller & City Solicitor Business Plan 2017-2018

<b>Strategic Aim</b>	<b>To deliver high quality cost-effective commercially focused legal advice, governance and support that protects the City of London Corporation's interests.</b>			
<b>Objective:</b>	<b>2. Complete a transformational Information Management project</b> – this project commenced in February 2016 This project is currently paused at the procurement stage to ensure that the system purchased achieves a good technical fit with the new IT infrastructure being deployed corporately during 2017.			
<b>Corporate Plan</b>	Innovation, always looking for ways to deliver more and add value through new technologies and smart approaches	<b>Rationale</b> Legal case management, including court work, is increasingly electronic. The department is seeking to deploy new technology and best practice to deliver effective Electronic Information /Document Management.		
<b>Aligns to Key Policy Priorities</b>	KPP2 – Improving the value for money of our services within the constraints of reduced resources			
<b>Actions/Milestones</b>	<b>Measure of Success</b>	<b>Responsible Officer</b>	<b>Target Date</b>	<b>Resources</b>
Approval by the corporate project Board	Approval	Project Lead	04/02/2016 Completed	Existing
Evaluate best practice in some other authorities	Visits completed	Project Lead	01/10/2016 Completed	Existing
Review market products	Market reviewed	Project Lead	30/11/2016 Completed	Existing
Draft detailed specification	Clear and unambiguous document	Project Lead	30/11/2016 Completed	Existing
Procurement of system	Within budget	Project Lead	30/08/2017	Existing
Testing / Defect resolution	Tests passed to BAU	Project Lead	31/10/2017	Existing
Training	Proficient users	Project Lead	30/11/2017	Existing
Go Live	Benefits realised	Project Lead	31/01/2018	Existing
Risk(s)	Staff may not engage in the cultural shift to new ways of working.			

## Comptroller & City Solicitor Business Plan 2017-2018

<b>Strategic Aim</b>	To deliver high quality cost-effective commercially focused legal advice, governance and support that protects the City of London Corporation's interests.		
<b>Objective:</b>	3. Undertake a business analysis at each quarter e.g. of work types and volumes an combine with horizon scanning to effectively plan and deploy resources and develop change management initiatives		
<b>/Corporate Plan</b>	Innovation, always looking for ways to deliver more and add value through new technologies and smart approaches	<b>Rationale</b> In order to develop greater agility in the development of skills and resources in depth business analysis of work volumes and types combined with horizon scanning is necessary in order to inform change management initiatives	
<b>Aligns to Key Policy Priorities</b>	KPP2 – Improving the value for money of our services within the constraints of reduced resources		
<b>Actions/Milestones</b>	<b>Measure of Success</b>	<b>Responsible Officer</b>	<b>Target Date</b>
Quarterly reports generated for SMT discussion	Recommendations for change discussed and agreed	Business Manager	31 March 2018
Change initiatives planned and implemented	Change initiatives delivered	Business Manager	31 March 2018
Analysis of the success of change management initiatives undertaken	Analysis undertaken and outcomes measured and reported on	Business Manager	31 March 2018
Risk	Resistance to change and resource availability to implement		

## Comptroller & City Solicitor Business Plan 2017-2018

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

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

# Comptroller & City Solicitor Business Plan 2017-2018

## Comptroller and City Solicitor – Function Chart

### Comptroller & City Solicitor

Michael Cogher

#### Property Division Assistant City Solicitor Alan Bennetts

High profile commercial deals  
Leases  
Sales  
Acquisitions  
Property management matters  
Residential Conveyancing

#### Litigation & Contracts Division Assistant City Solicitor Richard Jeffrey

Procurement  
Contracts  
Intellectual property  
Civil litigation  
Employment law  
Prosecutions  
Licensing

#### Corporate Information Team

Data protection  
Fol

#### Public & Corporate Law Division Assistant City Solicitor Deborah Cluett

Planning  
Highways  
Markets  
Open Spaces  
Information  
Education  
Charities & Trusts  
Electoral Law & Governance  
Economic Development

#### Business Support Division Business Manager Nick Senior

Human Resources  
Finance  
Business planning & development  
Procurement  
Commercial rents  
Systems support  
Information & records management  
Quality Assurance  
PA & WP services



## Comptroller & City Solicitor Business Plan 2017-2018

### Our Financial Information:

	2015/16	2016/17	2016/17		2017/18
	Actual	Revised	Forecast	Outturn	Original
	£000	£000	£000	%	£000
Employees	3504	3639	3617	99	3792*
Supplies & Services	250	377	249	66	245
Third Party Payments	0	0	0	0	0
Contingencies	0	1	1	0	1
Unidentified Savings	0	0	0	0	0
Total Expenditure	3757	4016	3866	96	4037
Total Income	-1400	-832	-954	113	-832
Total Local Risk	2357	3184	2912	91	3205

\* increased employee costs 2017/18 due to Corporate Information Team transferring from Town Clerks Department to CCS

### Key Staffing issues:

- Headcount – 52 FTE
  - Gender – male 44% female 56%
  - City of London Service – 10yrs+ 63%
  - Gender by age 50+ 42%
- Turnover 7%

### Notes on Key Staffing Issues

A number of staff are likely to retire over the next three years and effective succession planning will be implemented.

## Comptroller & City Solicitor Business Plan 2017-2018

<b>C&amp;CS – Strategic Risk Register Summary</b>		
<b>Risk Key</b>	<b>Status</b>	<b>Risk and Commentary</b>
CCS SMT 001	Green	<p><b>Ability to recruit and retain competent legal staff</b>                      This risk arose out of the need to ensure that high grade legal staff with commercial experience can be recruited. More recently, it has been noted that legal salaries for some London boroughs and counties either match or exceed current COL legal salaries (including Market Forces Supplements).                      A recent recruitment campaign for a planning lawyer was unsuccessful and HR are assisting with a further recruitment campaign.</p>
CCS SMT 002	Amber	<p><b>Loss of Information Assets</b>                      The C&amp;CS handles high volumes of information. Staff are aware of the need to protect information internally and ensure that hard copy and electronic information shared with external sources is appropriate and secure.                      All staff have been trained and regular departmental Data Protection audits are completed and will continue in the future.</p>
CCS SMT 003	Green	<p><b>Managing legal risk</b>                      The department endeavours to maintain high standards in case management, communication and learning and development. The department undergoes an external annual assessment each year which audits the internal procedures and has held the Law Society's quality award LEXCEL since 2005.                      The case management system provides management reports of high risk matters and managers have close visibility of matters.                      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.</p>
CCS SMT 004	Green	<p><b>Successful Implementation of Oracle OPN</b>                      Oracle OPN is the system which replaces the commercial property management system Manhattan. The project and implementation was complex and very challenging which resulted in the red status in the corporate risk register.                      Although there are a few defects still to be resolved OPN is now working more consistently and rent runs operating effectively therefore our departmental risk has been reduced to green.</p>
CCS SMT 005	Amber	<p><b>Ability to access critical system at disaster recover site</b>                      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</p>

## Comptroller & City Solicitor Business Plan 2017-2018

### **Background Sources**

Business Plan 2016/2018

KMX management and workflow reports

Client Care 2016 Survey

CBIS/R12 budgetary control reports

City People reports/dashboards

Law Society LEXCEL accreditation report