



## Establishment Committee

**Date:** WEDNESDAY, 28 OCTOBER 2015  
**Time:** 11.30 am  
**Venue:** COMMITTEE ROOM - 2ND FLOOR WEST WING, GUILDHALL

**Members:**

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

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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 September 2015.  
**For Decision**  
(Pages 1 - 6)
4. **OUTSTANDING ACTIONS REPORT**  
Report of the Town Clerk.  
**For Information**  
(Pages 7 - 8)
5. **CHIEF OFFICER AND SENIOR OFFICER APPOINTMENT PROCESS**  
Report of the Director of Human Resources.  
**For Decision**  
(Pages 9 - 22)
6. **TRADE UNION BILL**  
Report of the Remembrancer.  
**For Information**  
(Pages 23 - 24)
7. **LOCAL AUTHORITIES DESIGNATED OFFICER ANNUAL REPORT**  
Report of the Director of Community and Children's Services. This report was referred to the Establishment Committee by the Community and Children's Services Committee, as per the resolution enclosed within the agenda.  
**For Information**  
(Pages 25 - 42)
8. **SOCIAL MEDIA POLICY**  
Report of the Director of Human Resources.  
**For Decision**  
(Pages 43 - 58)
9. **FUTURE FUNDING OF THE PENSIONERS' ANNUAL LUNCH**  
Report of the Town Clerk.  
**For Decision**  
(Pages 59 - 66)
10. **TOWN CLERK'S QUARTERLY BUSINESS PLAN UPDATE**  
Report of the Town Clerk.  
**For Information**  
(Pages 67 - 72)

- 11. **TOWN CLERK'S DEPARTMENTAL RISK REGISTER**  
Report of the Town Clerk.  

**For Information**  
(Pages 73 - 78)
- 12. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN 2015-2018 - PROGRESS REPORT AS AT 30 SEPTEMBER 2015**  
Report of the Comptroller and City Solicitor.  

**For Information**  
(Pages 79 - 84)
- 13. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL RISK REGISTER**  
Report of the Comptroller and City Solicitor.  

**For Information**  
(Pages 85 - 94)
- 14. **OPERATION OF THE SCHEME OF DELEGATIONS - QUARTERLY UPDATE**  
Report of the Director of the Human Resources.  

**For Information**  
(Pages 95 - 96)
- 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 17 September 2015.  

**For Decision**  
(Pages 97 - 100)
- 19. **OUTSTANDING ACTIONS REPORT**  
Report of the Town Clerk.  

**For Information**  
(Pages 101 - 102)
- 20. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

21. **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**

22. **CONFIDENTIAL MINUTES**  
To agree the Confidential minutes of the last meeting held on 17 September 2015.

**For Decision**

23. **OPERATION OF THE SCHEME OF DELEGATIONS - QUARTERLY UPDATE - CONFIDENTIAL APPENDIX**  
Members' only appendix to the report of the Director of Human Resources.

**For Information**

24. **CALCULATION OF REDUNDANCY PAYMENTS**  
Report of the Director of Human Resources.

**For Decision**

## ESTABLISHMENT COMMITTEE

Thursday, 17 September 2015

**Minutes of the meeting of the Establishment Committee held at the Guildhall EC2 at 11.30 am**

### **Present**

#### **Members:**

Deputy the Revd Stephen Haines (Chairman)	Wendy Mead
Edward Lord (Deputy Chairman)	Sylvia Moys
Randall Anderson	Deputy Joyce Nash
Nigel Challis	Deputy Richard Regan
Deputy Kevin Everett	Angela Starling
Deputy Jamie Ingham Clark	Philip Woodhouse
Jeremy Mayhew	

#### **Officers:**

Peter Lisley	Assistant Town Clerk
Christopher Braithwaite	Town Clerk's Department
Caroline Al-Beyerty	Chamberlain's Department
Michael Cogher	Comptroller and City Solicitor
Peter Bennett	City Surveyor
Sue Ireland	Director of Open Spaces
Janet Fortune	Human Resources Department
Tracey Jansen	Human Resources Department

The Chairman advised the Committee that the Director of Human Resources was unable to attend the meeting following a death in her family. The Committee asked the Town Clerk to convey to the Director their sympathy for her loss and offered their support to her at this difficult time.

#### **1. APOLOGIES**

Apologies for absence were received from Deputy Billy Dove, Alderman Peter Estlin and Barbara Newman.

#### **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 16 July 2015 be approved as an accurate record.

#### **4. OUTSTANDING ACTIONS REPORT**

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

The Town Clerk clarified that the application of the Corporate Transport Policy to Members would be considered by the Member Privileges Sub (Policy and Resources) Committee, not this Committee. He advised that the report to the Sub-Committee had been completed in time for the meeting of the Sub-Committee that was due to be held the following week, and would be available for consideration at the Sub-Committee's subsequent meeting.

**RESOLVED** – That the Committee notes the report.

5. **EQUALITY AND INCLUSION UPDATE**

The Committee considered a report of the Director of Human resources which updated Members on progress with staff-related equality and inclusion initiatives since the last update to the Committee in June 2015.

It was noted that the Committee had oversight of the Corporation's policies and practices in respect of equality and inclusion. The Committee therefore requested that the Equality and Inclusion Board submit a report to a future meeting of the Committee providing an overview of wider equality issues, such as those relating to service provision, residents and Members.

**RESOLVED** – That the Committee:

- a) notes the report; and
- b) requests that Equality and Inclusion Board submit a report to a future meeting of the Committee providing an overview of wider equality issues, such as those relating to service provision, residents and Members.

6. **CALCULATION OF REDUNDANCY PAYMENTS**

The Committee considered a report of the Director of Human Resources which proposed the reintroduction of a fixed formula for enhanced redundancy payments for a period of two years.

Members asked questions regarding the relationship between this proposed policy and the Service Based Review (SBR), the proposed duration of the policy, the financial impact of the proposed policy on SBR savings, whether this proposed policy would be subject to negotiation with the Joint Consultative Committee and the business case and rationale for the proposed policy.

The Director of Human Resources advised the Committee that the policy was proposed to provide a better position for officers who were subject to redundancy from the SBR, and therefore it was intrinsically linked to the SBR. The policy was therefore proposed to last for the remaining two year duration of the SBR. The Chamberlain informed the Committee that it had previously been agreed that redundancy costs arising from SBR proposals would be met from a central reserve.

The Committee requested that the Director of Human Resources provide a further report to the next meeting of the Committee to provide further information in relation to the likely financial impact, the business case and the overall rationale for the proposed policy.

**RESOLVED** – That the Director of Human Resources provides a further report on the proposed fixed formula for enhanced redundancy be submitted to the Committee’s next meeting, providing further information in relation as to the likely financial impact, the business case and the overall rationale for the proposed policy.

7. **SOCIAL MEDIA POLICY**

The Committee considered a report of the Director of Human Resources which sought endorsement of the implementation of a Social Media Policy in accordance with Advisory, Conciliation and Arbitration Service (ACAS) best practice.

Members discussed the difficulty of establishing specific rules in this area, as Social Media continued to be an emerging issue. Members expressed concern that the Policy should not be seen as the Corporation positioning itself to make moral judgements as to the conduct of staff on Social Media where this had no impact on their work with the Corporation. Members also requested that the Policy should give further consideration to the fact that the Corporation was a political body led by elected Members, and therefore the Policy should reflect that it was not appropriate for Corporation staff to publicly comment upon elected Members or their actions on Social Media.

The Committee agreed that the Director of Human Resources should provide the Committee with a revised proposed version of the Social Media Policy which took account of Members’ comments.

It was noted that Alderman Matthew Richardson was one of the foremost authorities in Social Media law in the UK, and it would be beneficial if the Director of Human Resources consulted with Alderman Richardson in the redrafting of the policy.

**RESOLVED** – That the Director of Human Resources provide an updated version of the proposed Social Media Policy to the Committee’s next meeting, taking account of the comments made by Members.

8. **REPORT OF ACTION TAKEN UNDER URGENCY PROCEDURES SINCE THE LAST MEETING**

The Committee considered a report of the Town Clerk which advised Members of action taken by the Town Clerk since the last meeting of the Committee, in consultation with the Chairman and Deputy Chairman, under urgency procedures in accordance with Standing Order 41(a).

**RESOLVED** – That the Committee notes the report.

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

There were no questions.

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

There were no urgent items.

11. **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
12, 25	1, 2, 3, 4
13, 16, 19, 23, 24	1, 2, 3
14	3
15	1, 2, 3, 5
20	1, 2
21	1, 2, 4
22	5

12. **NON-PUBLIC MINUTES**

The non-public minutes of the meeting held on 16 July 2015 were approved.

13. **OUTSTANDING ACTIONS REPORT**

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

14. **POST TERMINATION OF EMPLOYMENT RESTRICTIONS ON OFFICERS**

The Committee considered a joint report of the Comptroller and City Solicitor and the Director of Human Resources which provided information on the steps which could be taken to restrict the activities of senior officers following their retirement.

15. **EMPLOYMENT TRIBUNAL CASE SUMMARY - SIX MONTHLY UPDATE**

The Committee noted a report of the Comptroller and City Solicitor which provided an update on Employment Tribunal cases since the last report to the Committee in March 2015.

16. **REPORT OF ACTION TAKEN UNDER URGENCY PROCEDURES SINCE THE LAST MEETING**

The Committee noted a report of the Town Clerk which advised Members of action taken by the Town Clerk since the last meeting of the Committee, in consultation with the Chairman and Deputy Chairman, under urgency procedures in accordance with Standing Order 41(a).

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



One question was asked regarding the process for amending employment contracts of existing staff.

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

There were no urgent items.

19. **CONFIDENTIAL MINUTES**

The confidential minutes of the meeting held on 16 July 2015 were approved.

20. **STAFF APPEALS COMMITTEE MINUTES**

The minutes and summary of the Staff Appeals Committee held on 28 July 2015 were noted.

21. **OPEN SPACES DEPARTMENT - REVIEW OF A SERVICE**

The Committee considered and approved a report of the Director of Open Spaces which requested approval to explore redeployment and redundancy options for a supervisor of a service within the Open Spaces Department, which the relevant Service Committee had determined should cease trading.

22. **OPEN SPACES DEPARTMENT - SERVICE BASED REVIEW 2015/16**

The Committee considered and approved a report of the Director of Open Spaces which requested approval for the Human Resources aspects of the Open Spaces Department's Service Based Review savings proposals for 2015/16, subject to the approval of the relevant Service Committees.

23. **CITY SURVEYOR'S DEPARTMENT**

The Committee considered and approved a report of the City Surveyor which requested approval for an additional payment to two Officers within the Department.

24. **RESTRUCTURING OF A DIVISION WITHIN THE CHAMBERLAIN'S DEPARTMENT**

The Committee considered and approved a report of the Chamberlain which requested approval for the appointment of an additional post within the Chamberlain's Department and the reorganisation of the structure of the Department.

25. **COMPLETION OF THE RECONFIGURATION OF THE TOWN CLERK'S DEPARTMENT**

The Committee noted a report of the Town Clerk which provided an update on the progress made towards the reconfiguration of the Town Clerk's Department. The Committee requested that a review be undertaken of the appointment process for Senior Officers.

**The meeting closed at 1.20 pm**

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Chairman

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## Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	17 September 2015, Item 5	<u>Equality and Inclusion</u> The Equality and Inclusion Board to a report to a future meeting of the Committee providing an overview of wider equality issues, such as those relating to service provision, residents and Members.	Town Clerk	November 2015	Report to be submitted following the next meeting of the Equality and Inclusion Board (scheduled for 27 October 2015)
2.	17 September 2015, Item 6	<u>Calculation of Redundancy Payments</u> The Director of Human Resources to provide a further report on the proposed fixed formula for enhanced redundancy be submitted to the Committee's next meeting, providing further information in relation as to the likely financial impact, the business case and the overall rationale for the proposed policy.	Director of Human Resources	October 2015	Report included on agenda for this meeting.
3.	17 September 2015, Item 7	<u>Social Media Policy</u> The Director of Human Resources provide an updated version of the proposed Social Media Policy to the Committee's next meeting, to reflect the comments made by Members.	Director of Human Resources	October 2015	Report included on agenda for this meeting.
4.	17 September 2015, Item 25	<u>Chief Officer and Senior Officer Appointment Process</u> Town Clerk and Director of Human Resources provide a report to a future meeting to allow the Committee to review the appointment process for Chief Officers and Senior Officers.	Town Clerk and Director of Human Resources	October 2015	Report included on agenda for this meeting.

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
5.	16 July 2015, Item 6	<u>Town Clerk's Departmental – Restructure of a Team</u> A confidential, Members-only report providing an update on the consultation within the Town Clerk's Department to be submitted to the next meeting.	Assistant Town Clerk	October 2015	Report will now be submitted to November 2015 meeting as the consultation process remains ongoing.
6.	16 July 2015, Item 8	<u>Corporate Transport Policy</u> A further report to be submitted to the Committee (and the Members Privileges Sub-Committee) to determine whether the Policy should apply to Members.	Director of Human Resources	December 2015	Report to be submitted to the next meeting of the Members Privileges (Policy and Resources) Sub-Committee.
7.	30 April 2015, Item 18	<u>Town Clerk's Departmental Business Plan</u> a) The Town Clerk to ensure that KPIs in relation to housing, the cultural hub, employee engagement and staff attrition are included within the six-monthly Business Plan update report. b) The Town Clerk to ensure that all KPIs within the Business Plan are SMART (Specific, Measurable, Assignable, Realistic and Time-Related)	Assistant Town Clerk	October 2015	Information regarding updated KPIs is provided in October 2015 report. In some cases, it is not possible to provide SMART targets due to the nature of the objectives within the Town Clerk's Departmental Business Plan.

<b>Committee:</b> Establishment Committee	<b>Date:</b> 28 October 2015
<b>Subject:</b> Chief and Senior Officer Recruitment	<b>Public</b>
<b>Report of:</b> Director of Human Resources	<b>For Decision</b>

## Summary

This report summarises the current position on the recruitment of Chief Officers and Senior Officers and puts forward options to Member for greater involvement.

## Recommendations

Members are asked to consider this report and recommend how they wish to proceed in terms of the appointment of Senior Officer Roles.

## Main Report

### **Background**

1. Following a question at the Establishment Committee on the 17<sup>th</sup> September the Town Clerk and Director of Human Resources were asked to provide a report to allow the committee to review the appointment process for Chief Officers and for Senior Officers at the level below Chief Officer.
2. The Chief Officer Appointment Procedure was last reviewed in 2008 and a full copy of the procedure is included as Appendix 1. The terms of reference for Committees include 'to be responsible for the appointment of the Director'.
3. The most recent Chief Officer appointments have been Chamberlain, Head of City of London School, Head of City of London School for Girls, Head of City of London Freemans School and Director of Built Environment
4. All of these appointments have been Member led and details of the panels involved in these appointments are included as Appendix 2.
5. As can be seen from the Chief Officer Appointment Procedure there is quite a heavy commitment from the Members involved and the logistics of organising the diaries of up to seven Members is often very challenging and very difficult to co-ordinate.
6. In most cases we will have a reasonable amount of notice that a Chief Officer is proposing to leave and the planning of the timetable, advertising the role and organising the assessment and interview panels can be organised well in advance of their departure.

### **Background-Senior Officer Appointment**

7. All appointments below Chief Officer are currently the responsibility of the relevant Chief Officer. The scheme of delegation to Chief Officers states at

Para. 19 (Chief Officer acting alone), ' To appoint casual and agency workers and temporary staff subject to appropriate use of these types of workers in line with legal and corporate requirements and procedures, and within local risk budgets. To appoint to existing and new posts on a permanent or fixed basis in line with the recruitment and selection policy and guidelines in the Employee Handbook and subject to any approval process in place at the time.'

8. It was agreed by the Establishment Committee that it is the appointment of posts below Chief Officer which should be reviewed, as Members were concerned that some roles are of particular significance to Members and they would want greater involvement in the appointment. The recent appointment of the Director of Economic Development and the Communications Director were highlighted as examples where perhaps Members could have been more involved in the appointment. The Committee agreed in principal, subject to reviewing this report, that in particular all posts which reported directly to the Town Clerk should be appointed via a Member-led panel.
9. It should be noted that the Member involvement in the above appointments was as follows:
  - Communications Director
    - i. The Chairman of Policy and Resources Committee; Mark Boleat was on the final interview panel
    - ii. Mark Boleat, David Wootton, Jeremy Mayhew and Deputy Catherine McGuinness were involved in the assessment centre
  - Director of Economic Development
    - i. Mark Boleat and Douglas Barrow were on the final interview panel.
10. The terms of reference for the Establishment Committee do not include the responsibility for any appointments. The involvement of Establishment Committee is included in the Chief Officer's Appointment Procedure. If the responsibility for any posts apart from Chief Officer were to be the responsibility of a Committee, it would require a change to the Standing Orders of some Committees, a change to the Scheme of Delegation to Officers and a new Appointments Procedure.
11. The new Appointments Procedure may or may not be the Chief Officer appointment process extended to certain posts. It may not be, as this procedure includes the Members of Establishment Committee making up panels of up to 7 Members. Service Committees may wish to have a different make up of panels.
12. Any formal change to Members being the "lead" for the appointment of Senior Officers would require each relevant committee to:

- Identify which senior roles Members would lead on for future appointments.
  - Agree a formal change to their Committee Terms of Reference.
  - Undertake a regular review of the Senior roles to ensure any changes to departmental structure have not impacted on the agreed Terms of Reference.
13. As part of this Committee's consideration of the involvement or lead of Members in appointments, the Committee might wish to consider the following factors
- There are currently 42 roles graded J and I across the organisation. At an average turnover of 10% we would predict 4 of these being vacated in any one year (Appendix 3).
  - The Chairman of the appointments panel has to commit to approximately 5 days, and Members of the appointment panel approximately 3 days.
  - Members would need to consider the scope of the application of the policy, would this for example affect the appointment of temporary staff to these positions?
  - Would Members want to name specific posts or to set the criteria, such as all posts which are paid more than £100K or all posts which report direct to the Director of the Department?
  - There would have to be manual intervention in the electronic recruitment system as it is designed for authorisations and reports to go to the line manager. This is something we do now for the Chief Officer recruitments.

## Options

14. Members could consider two options if they wish there to be more formally recognised Member involvement in the appointment of officers below the Chief Officer
- **Option 1** would be to propose a new process or a change to the existing Chief Officer process, for the Appointment Procedure for some or all Senior Officer Roles.
  - As discussed at paragraph 12 this would require a formal change to each relevant committees' terms of reference and agreement at the outset which senior officer roles would be captured under a new formal process, this would then have to be agreed by the Court of Common Council. Even if Members decided to include all posts which report to the Chief Officer, each Committee would have to consider which roles this involves as many departments have at least one middle manager on their Senior Management Team.

- **Option 2** would be to propose a formalisation of the current approach where member involvement is considered at the outset of a recruitment and arrangements made accordingly.

### **Conclusion**

15. Members are asked to consider the options available and recommend the approach they would like to pursue.

**Contact:**

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## **CHIEF OFFICER APPOINTMENT PROCEDURE**

### **1. Report Vacancy**

All Chief Officer vacancies must be reported to the Town Clerk and the employing Committee for information. In the cases of the vacancies of Town Clerk, Chamberlain, Commissioner of Police, Comptroller and City Solicitor and Remembrancer, the employing Committee should inform the Court of Common Council immediately. A report setting out the resignation/retirement should go to the next appropriate Court of Common Council.

### **2. The Appointment Panel**

The panel for Chief Officer appointments should normally consist only of the following; the Chairman and Deputy Chairman of the Employing Committee or of each Employing Committee if more than one, the Chairman of the Establishment Committee and the Town Clerk. In addition, however, it may be appropriate for the panel to be supplemented by up to 3 further trained members, making the panel up to a maximum of 7. The Chairman of the employing committee and of the Establishment Committee and the Town Clerk would be members of this panel. The administration of the appointment should be undertaken by a qualified employee in Corporate HR (referred to below as the Administrator). For appointments where specialist knowledge is needed to guide the panel, external experts should be drafted on to the panel in an advisory capacity only. All members on the panel must have undertaken the City of London Corporation's recruitment and selection training or the e-learning recruitment and selection module. For the Commissioner of the City of London Police and the Recorder of London appointments, the composition of the panels has to be supplemented by appropriate external representatives as dictated by statute. The appointment procedure for these two posts may vary from these guidelines

### **3. Preliminary Meeting**

The Administrator arranges the preliminary meeting for the panel and in advance sends them drafts of the following; a job description, a competency based person specification and an advertisement. The panel will decide if these are satisfactory and may make amendments.

If the responsibilities of the post have changed to a significant extent then the Senior Management Job Evaluation panel will determine the appropriate grade before the post is advertised.

### **4. Advertising**

The panel will decide how to fill the vacancy. If the panel decides that there is an obvious choice then they may make an appointment without further advertising. If there is more than one strong internal choice then the panel may opt to advertise the vacancy within the City of London Corporation only.

The panel may wish to gauge the strength of internal applicants against external applicants and decide that a vacancy should be advertised externally as well as internally. If a vacancy is to be advertised externally, then the panel should agree in advance dates for advertising, closing date, shortlisting, selection testing and interviews.

### **5. Recruitment Administration**

If the panel decides to advertise a vacancy externally and have agreed the documents named in 3. above, then the preparation of the recruitment literature for applicants and the choice of media in which to advertise should be delegated to the Administrator. The recruitment literature is of a standard format with minor variations only required for each post and the Administrator should collate this. All applications will be recorded on a control sheet and numbered in order so that a record is kept of the stage reached with each applicant.

## **6. Preliminary Shortlisting**

As responses to external advertisements can be high, the Administrator should undertake a preliminary shortlist to discount those applications that obviously do not meet the criteria in the person specification. The Administrator should list the discounted applications and specify why they have not been shortlisted. These should be brought to the shortlisting meeting (see below) and be available for the panel to examine if required.

## **7. Shortlisting**

The panel should receive in advance of the shortlisting meeting copies of the applications that have passed the preliminary shortlisting. The applications should be numbered clearly for the panel for ease of comparison when shortlisting. The Employing Committee Chairman is the Chairman of the Panel. If there is more than one Employing Chairman involved then the Chairman of the Establishment Committee will be the Chairman of the Panel. The Panel will go through the applications and each panel member will express a view on each one. These will be sorted into 'Yes', 'No' and 'Maybe' piles. The 'Yes' pile are those applications that are unanimously agreed by the panel, the 'No' pile those that are unanimously rejected by the panel and the 'Maybe' pile those where there is majority support for inclusion but this is not unanimous. If there are sufficient applications in the 'Yes' pile, then these will be invited for interview. If not, then the panel can supplement these with the agreed best of the 'Maybes'.

## **8. Assessment Methods**

Interviewing alone is now widely recognised as inadequate for making selection decisions. An assessment centre approach should be used which also includes psychometric tests and other job related tests and exercises such as an in-tray exercise, a written exercise and a verbal presentation.

## **9. Selection Testing**

Before the interviews, a day should be arranged for the interviewees to either attend a consultant or the City of London Corporation's trained testers in order to undertake personality and job related psychometric tests. The results of these tests will be given to the panel in advance of the interviews. The tests may highlight areas about which the panel can ask supplementary questions at the interview stage.

## **10. References**

References should be taken up prior to interview unless interviewees specify otherwise. Should there be any concern over the content of a reference then the Administrator will attempt to obtain further clarification from the referee preferably before the interview.

## **11. Interview Preparation**

The Administrator will prepare an interview schedule and devise interview questions which the panel will discuss and agree in advance of the interviews. The schedule should allow for at least 15 minutes before the first interview in order that the panel can decide who is to ask which questions and any supplementary questions arising from the selection tests. 45 minutes should be allowed for each interview and the schedule should incorporate lunch and refreshment breaks and time after the interviews for the panel decision.

Applicants for interview should be written to advising them of the time, the date and the location of the interviews. Applicants should also be advised of the subject of any written exercise/oral presentation which may be required and confirm that they are going to attend the interviews.

## **12. Interviews**

Applicants should be asked the same core questions as devised by the Administrator and as amended by the panel. Supplementary questions relating to answers given to the core questions or issues

arising from the selection tests can be added but questions of a personal nature (e.g. are you married, do you have any children, what does your partner do, etc) must not be asked as these are not relevant to the selection and may give rise to claims of discrimination. Interview performance should be scored on the assessment forms provided by the Administrator either during or after each interview. There is room on these forms for the panel member to make notes but again care must be taken to avoid any comment of a discriminatory nature.

At the end of the interviews, the panel members should discuss their notes on the interviewees and reach a consensus on whom to appoint. This decision is subject to medical clearance and it is advised that a reserve interviewee should be selected as a back up in case the first choice can not be appointed on medical grounds.

Once medical clearance and satisfactory references have been received, and an offer has been made and accepted, then the employing Committee should be advised of the panel's decision.

The law and standing orders lay down rules for the appointment, discipline and dismissal of staff. Members must ensure that they observe these scrupulously at all times. Special rules apply to the appointment of assistants to political groups. In all other circumstances, if Members are called upon to take part in appointing an officer, the only question they should consider is which candidate would best serve the whole council. Members should not let their political or personal preferences influence their judgement. Members should not canvass the support of colleagues for any candidate and should resist any attempt by others to canvass their support.

### **13. Employing Committee Interviews**

The practice of interviewees attending for final interviews before the employing Committee will cease. The panel's decision is final and this should be reported for information only to the Court of Common Council.

The reason for this is that only those who have been party to the whole selection process are in a position to make a valid assessment.

## **14. Court of Common Council Appointments**

In the cases of appointments to the posts of Town Clerk, Chamberlain, Commissioner of Police, Comptroller and City Solicitor and Remembrancer the current procedure of the final applicants appearing before the Court of Common Council should continue.

## **15. Appointment Letter, Employment Contract and Start Arrangements**

The Administrator is responsible for preparing the provisional offer letter and employment contract in line with the standard documents in the Policies and Procedures Manual. The Comptroller's department should be consulted where appropriate on contractual terms and the documents signed by the Town Clerk or the Director of HR acting on his behalf. Similarly, the Administrator is responsible for ensuring that pay and pension forms are completed, as well as bank or building society account details, tax forms and details of next of kin.

Once the signed employment contract has been received, the Administrator should obtain Freedom of the City forms from the Chamberlain's Court and consult the Town Clerk and the Employing Committee Chairman about sponsoring the appointee for the Freedom.

The Administrator should also notify the Invitations Officer in Mansion House, the Remembrancer's Department and Public Relations of the appointment.

The Administrator should arrange for the newly appointed Chief Officer to meet the Town Clerk, the Chamberlain and the Comptroller and City Solicitor, and other relevant senior managers soon after commencing with the City of London Corporation.

**Chief Officer Recruitment carried out within the last 2 years**

**Chamberlain – 2013**

*(Court of Common Council attendance required)*

**Final Panel Interview**

- Roger Chadwick (Chairman, Finance Committee)
- Catherine McGuinness
- John Barker (Chairman of Establishment Committee)
- Wendy Hyde
- Jeremy Mayhew (Deputy Chairman, Finance Committee)
- Alan Yarrow
- John Barradell
- Chrissie Morgan (advisory)

**Assessment Centre included:-**

- Peter Bennett & Peter Lisley
- Michael Cogher & Paul Double
- John Barradell & Chrissie Morgan
- Susan Attard plus 5 Members of Summit Group

**Head CLS - 2013**

**Final Panel Interview**

- Giles Shilson, Chairman
- Ian Seaton, Deputy Chairman
- Christopher Martin
- Dame Mary Richardson
- Edward Lord
- Stephen Haines

**Assessment Centre included:-**

- Michael Cogher & Peter Lisley
- John Barradell & Janet Fortune
- Gary Griffin & Marion Afoakwa
- PPA's

**Head CLSG – 2013**

**Final Panel Interview**

- Sir Michael Snyder, Chairman
- Clare James, Deputy Chairman
- John Barker
- Mary Robey
- Virginia Rounding
- John Barradell
- Chrissie Morgan

**Assessment Centre**

- Michael Cogher, Ade Adetosoye & Janet Fortune
- John Barradell & Chrissie Morgan

## **Head CLFS - 2014**

### **Final Panel Interview**

- Stuart Fraser, Chairman
- Roger Chadwick, Deputy Chairman
- John Bennett, Chief Commoner
- John Barker, Chairman of the Establishment Committee
- Elizabeth Rogula, Board of Governor
- John Barradell, Town Clerk
- Chrissie Morgan, Director HR (Advisory)

### **Assessment Centre**

- Peter Lisley & Sarah Fletcher
- John Barradell & Chrissie Morgan
- Written Exercise
- PPA's

## **Director of Built Environment – 2015**

### **Final Panel Interview**

- Michael Welbank
- Rev Stephen Haines
- Wendy Meade
- John Barradell
- Chrissie Morgan

### **Assessment Centre**

- CPA Q & A with Peter Bennett
- Interview with Chairman of Policy and Mr Cassidy
- Meet Directors /AD's with Susan Attard & Jonathan Swain
- John Barradell & Chrissie Morgan
- Written test
- PPA's



## SENIOR OFFICER ROLES (GRADE I AND J Only)

BARBICAN CENTRE	Director of Arts	Grade I
	Director of Audiences and Development	Grade I
	Director of Operations and Buildings	Grade I
	Chief Operating & Financial Officer	Grade J
CENTRAL CRIMINAL COURT	Secondary and Under Sheriff of London	Grade I
CHAMBERLAIN'S DEPARTMENT	Head of City Procurement	Grade I
	Chief Information Officer	Grade J
	Financial Services Director	Grade J
CITY SURVEYOR'S DEPARTMENT	Assistant Director Development	Grade I
	Corporate Property Group Director	Grade J
	Investment Property Director (PE)	Grade J
	Operations Group Director	Grade J
	Projects Director	Grade J
COMMUNITY & CHILDREN'S SERVICES DEPARTMENT	Assistant Director (People)	Grade I
	Assistant Director Housing & Neighbourhoods	Grade I
	Assistant Director Partnerships & Commissioning	Grade I
COMPTROLLER & CITY SOLICITOR'S DEPARTMENT	Assistant City Solicitor	Grade J
	Assistant City Solicitor	Grade J
	Assistant City Solicitor	Grade J
CULTURE & HERITAGE & LIBRARIES	Consultant Director	Grade I
	Director of London Metropolitan Archives	Grade I
GUILDHALL SCHOOL OF MUSIC & DRAMA	Director of Acting	Grade I
	Director of Creative Learning	Grade I
	Director of Technical Theatre	Grade I
	Vice Principal & Director of Academic Affairs	Grade I
	Vice Principal & Director of Music	Grade I
	Vice Principal & Director of Drama	Grade I
MARKETS & CONSUMER PROTECTION	Port Health & Public Protection Director	Grade J
OPEN SPACES DEPARTMENT	Superintendent (Res)	Grade I
	Superintendent (Res)	Grade I
REMEMBRANCER'S OFFICE	Director of Remembrancer's Affairs	Grade J
THE BUILT ENVIRONMENT	District Surveyor	Grade I
	Policy & Performance Director	Grade I
	Planning Services & Development Dir.	Grade J
	Transportation & Public Realm Director	Grade J
TOWN CLERK'S DEPARTMENT	Assistant Director (Corporate HR)	Grade I
	Assistant Director of Economic Development	Grade I
	Director of City Bridge Trust	Grade I
	Assistant Director of Economic Development	Grade J
	Assistant Town Clerk	Grade J
	Assistant Town Clerk	Grade J
	Director of Communications	Grade J

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<b>Committee:</b>	<b>Date:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Trade Union Bill	<b>Public</b>
<b>Report of:</b> Remembrancer	<b>For Information</b>

## Summary

This Report advises the Committee of the provisions of the Trade Union Bill currently before Parliament. The principal measure in the Bill is the introduction of a fifty per cent minimum turnout for industrial ballots, with an additional requirement for forty per cent of eligible members to have supported action in certain key public sectors (not including local government). Other measures of interest to the Committee are new powers for the Government to require the publication of information about, and to place restrictions on, 'facility time' afforded to union representatives in public sector bodies.

## Recommendation

It is recommended that the Committee notes this report.

## Main Report

1. The Trade Union Bill was introduced in Parliament shortly after the Summer Recess and is presently being considered in the Commons. It would give effect to the Conservative Party's manifesto commitments about industrial action. The Bill looks set to be one of the most contentious measures of the present parliamentary session, and has provided an early opportunity for Jeremy Corbyn's Labour Party to unite against the Conservative Government.
2. The principal measure in the Bill, and the one which has attracted the greatest public attention, is the introduction of voting thresholds for ballots on industrial action. A requirement for fifty per cent of eligible union members to have voted will apply to all ballots. In certain key public sectors, there will be a further requirement that forty per cent of eligible members vote in favour of industrial action. Those sectors include health, education, fire and transport, but not local government.
3. Other measures of interest to the Committee are two new powers for the Government to make regulations about union representatives employed in the public sector, and in particular about the paid 'facility time' afforded to such representatives. First, public sector employers may be required to publish information about the number of union representatives employed by them, the amount spent paying such representatives for facility time (and the proportion of the employer's total pay bill this represents), the proportion of facility time devoted to particular categories of union business, and any facilities provided

by the employer in connection with facility time. Second, the Government may restrict the facility time afforded by public sector employers to union representatives, by reference either to the proportion of working time spent by representatives on union business or to the proportion of an employer's total pay bill attributable to facility time. The definition of "public sector employer" is currently uncertain, and discussions are taking place with departmental officials in order to make clear that it would only apply to the Common Council in its capacity as a local authority, police authority or port health authority.

4. In its capacity as a local authority, the Common Council is already required by the Local Government Transparency Code to publish information about facility time. There is a large degree of overlap between this information and that covered by the Bill. The new provisions are thus unlikely to add much of substance, if anything, to the existing requirements. Any binding restrictions on facility time would be novel. The Government has however indicated that this approach will only be used as a "last resort," if publication requirements do not succeed in discouraging what it considers to be bad practice.
5. Any developments of interest as the Bill passes through Parliament will be reported to the Committee as necessary.

**Sam Cook**

Assistant Parliamentary Affairs Counsel, Remembrancer's Office

020 7332 3045

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# Agenda Item 7

**From: Community and Children's Services Committee Friday, 9 October 2015**

**To: Establishment Committee  
Culture, Heritage and Libraries Committee  
Board of Governors for the City of London School  
Board of Governors for the City of London School for Girls  
Board of Governors for the City of London Freeman's School  
Board of Governors for the Guildhall School for Music and Drama  
Barbican Centre Board**

The Committee received a report of the Director of Community and Children's Services regarding the Local Authorities Designated Officer (LADO) activity for the period of April 2014 to March 2015, which is contained in the annual report for the City and Hackney Safeguarding Children's Board.

In response to a query, Members were advised of the activity that had taken place to raise the profile of this role and the recommendations for 2015/2016 in relation to multi-agency training.

**RESOLVED** – it was moved by the Chairman, seconded by the Deputy Chairman and unanimously agreed by the Committee that the report be circulated for information to the following Committees:

- Establishment Committee
- Culture, Heritage and Libraries Committee
- Board of Governors for the City of London School
- Board of Governors for the City of London School for Girls
- Board of Governors for the City of London Freeman's School
- Board of Governors for the Guildhall School for Music and Drama
- Barbican Centre Board

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<b>Committees:</b>	<b>Dates:</b>
Safeguarding Sub Committee	25 September 2015
Community and Children's Services Committee	9 October 2015
Board of Governors for the City of London School for Girls	22 October 2015
Establishment Committee	28 October 2015
Chief Officers Group	4 November 2015
Board of Governors for the Guildhall School for Music and Drama	16 November 2015
Board of Governors for the City of London Freeman's School	23 November 2015
Culture, Heritage and Libraries Committee	25 November 2015
Board of Governors for the City of London School	2 December 2015
Barbican Centre Board	9 December 2015
<b>Subject:</b>	<b>Public</b>
Local Authorities Designated Officer Annual Report	
<b>Report of:</b>	<b>For Information</b>
Director of Community and Children's Services	

### Summary

This report will give Members information about the Local Authorities Designated Officer (LADO) activity for the period of April 2014 to March 2015, which is contained in the annual report for the City and Hackney Safeguarding Children's Board. During this period there have been a total of five LADO referrals from various sources, which is lower than the City of London's statistical neighbours.

Members will be advised of the activity that has taken place to raise the profile of this role and the recommendations for 2015/2016 in relation to multi agency training. Outlining the progress that has already been made with these recommendations and how this has increased the number of referrals for this period from five the previous year to six, within a five month timeframe.

### Recommendation

Members are asked to note the Report

### Main Report

#### Background

#### 1. Local Authorities Designated Officer (LADO) Role

The responsibilities of the LADO are set out in the statutory guidance, Working Together to Safeguard Children (2015) and the London Child Protection Procedures (5<sup>th</sup> edn. 2015, Chapter 17). All allegations made against staff, including volunteers, that call into question their suitability to work with or be in a

position of trust with children, whether made about events in their private or professional life, need to be formally reported to the LADO.

In the City of London the LADO work is carried out by the Safeguarding and Quality Assurance Service Manager who reports directly into the Assistant Director People. Guidance and training on professional allegations is available through the City and Hackney Safeguarding Children Board website and agencies have access to consult with the LADO in the City of London.

The LADO would become involved when a professional or volunteer;

- Behaved in a way that has harmed a child or may have harmed a child;
- Possibly committed a criminal offence against or related to a child;
- Behaved towards a child or children in a way that indicates he or she would pose a risk of harm if they work regularly or closely with children.

## **Current Position**

### **2. LADO Activity for April 2014 to March 2015**

There have been concerns raised by the City and Hackney Safeguarding Children's Board about the low number of referrals to the LADO, which has been scrutinised within the quality assurance sub group of the board. In total there have been five referrals during the period of 2014 to 2015. Two were historical allegations, with one relating to a historical allegation against a teacher currently working in the City, which was unsubstantiated. The other relating to an incident that occurred in the late 50's and early 60's, which was investigated by the City of London Police.

Due to the number of referrals it is difficult to discern any particular themes, but there has been an increase in the number of historical allegations, which reflects a wider national picture. Despite efforts to raise awareness around the LADO role there continues to be a low referral rate of professional allegations from school's nurseries, voluntary agencies and commissioned services in the City of London.

For 2014 to 2015 the key priorities have been to raise the profile of the LADO role with staff across the City of London Corporation and with external partners. This has been achieved by;

- working closely with agencies around their safeguarding responsibilities.
- offering advice and support around individual case concerns.
- assisting agencies with the referral process to the LADO.
- providing support and guidance to maintained and independent schools in the City through the Education Forum in regard to the referral process and criteria re professional allegations.
- raising awareness with partner agencies who attend the Children's Executive Board.



- introducing a Corporate Safeguarding Policy for Children and Adults in January 2014 which clearly sets out the guidance for professionals allegations.
- working with safeguarding champions across the City of London Corporation as to the role of the LADO.
- explaining the role of the LADO in briefing within the wider safeguarding campaign, “Notice the Signs”.

The priorities for 2015 to 2016 will be to continue raising awareness; this will be achieved by;

- Ensuring that all professionals who work with children, from the statutory, voluntary and independent sectors, are engaged and understand the LADO process. Training events will also be held.
- A Safeguarding Conference was to be arranged in the City; this has now taken place and has been well attended by partner agencies.
- Quality assurance of in-house and independent safeguarding training will be taken to ensure that it is to an appropriate standard.
- There will be a review of how agencies ensure that parents feel confident and able to raise safeguarding concerns about professionals.
- A peer review of City of London LADO cases will be completed by another local authority.

## **Conclusion**

3. It has been concerning that there have been a low number of LADO referrals in the City of London, despite efforts to increase awareness. One of the recommendations from the annual LADO report was to increase awareness around professional allegations by delivering multi-agency training. Training sessions were commenced in August 2015 and further training is planned for October 2015 and February 2016.

Since April 2015 there has been a significant increase in the number of LADO referrals. For 2014 to 2015 there were a total of five referrals for the whole year and since April of this year there have been six. It is not clear at this stage whether the increase in the number of referrals is due to professionals having increased awareness, however this will be reviewed and the findings will be incorporated in the annual report for 2015 to 2016. Guidance on Local Authorities Designated Officer role is now on the City and Hackney Safeguarding Children’s Board web site.

## **Appendices**

Local Authorities Designated Officers Annual Report for 2014 /2015

## **Background Papers**

Working Together to Safeguard Children (2015)

[https://www.gov.uk/.../Working Together to Safeguard Children.](https://www.gov.uk/.../Working_Together_to_Safeguard_Children)

London Child Protection Procedures 5<sup>th</sup> edition, 2015, Chapter 17

[www.londonscb.gov.uk/procedures/](http://www.londonscb.gov.uk/procedures/)

City of London Local Authorities Designated Officer Guidance

[www.chscb.org.uk](http://www.chscb.org.uk)

Pat Dixon

Safeguarding and Quality Assurance Service Manager, DCCS

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## **City of London Local Authority Designated Officer (LADO) Annual Report 2014 - 15**

### **1. Introduction**

This report to City and Hackney Safeguarding Children Board provides an overview of the work of the Local Authority Designated Officer (LADO) in the City of London between April 2014 and March 2015. The report will review the progress that has been made to raise awareness around the safeguarding role during the year, as part of a wider safeguarding campaign. Identifying what action has been taken and the referral figures and outcomes.

### **2. LADO role**

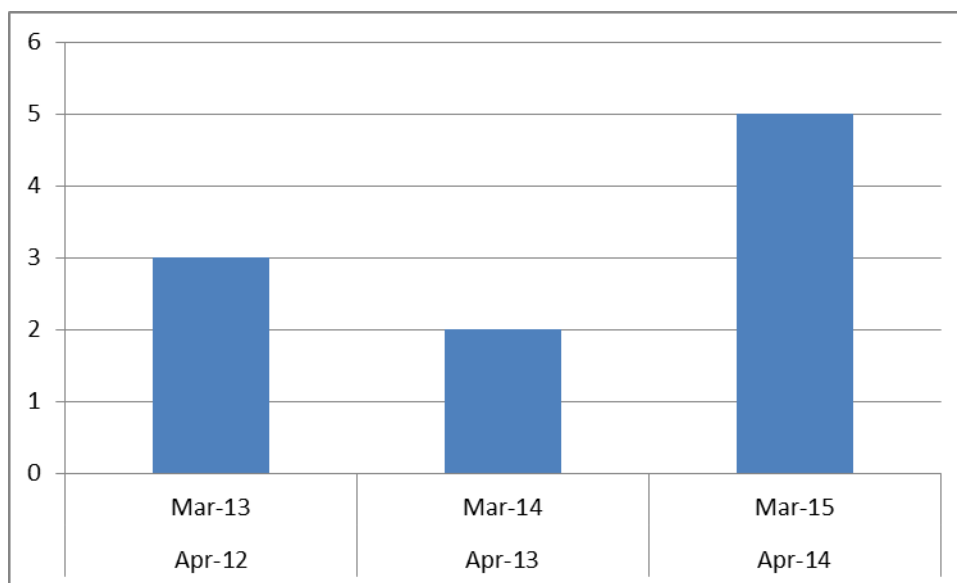
The responsibilities of the LADO are set out in “Working Together” to safeguard children, March 2015 and the London Child Protection Procedures 5<sup>th</sup> edition, 2015, Chapter 17. All allegations made against staff (including volunteers) that call into question their suitability to work with or be in a position of trust with children, whether made about events in their private or professional life, need to be formally reported to the LADO.

In the City of London the LADO work is carried out by the Safeguarding and Quality Assurance Service Manager who reports directly into the Assistant Director People. Guidance and training on professional allegations is available through the City and Hackney Safeguarding Children Board website and agencies have access to consult with the LADO in the City of London.

### **3. Referrals**

Since the Safeguarding and Looked After Children Ofsted Inspection in March 2012 there have been concerns raised around the low level of referrals to the LADO. Fig 1 shows the number of referrals received for each year since 2012. In Fig 2 there appears to be an increase in referrals for 2014 to 2015, two were historical allegations, with one of the historical allegations referring to a teacher at the school. One was a LADO referral from the Substance Misuse Partnership and two were contacts from other Local Authorities.

Fig 1 Referrals from 2012 to 2015



Significant efforts have been made to raise awareness of the LADO role since March 2012. Following the Ofsted inspection the LADO has visited nurseries, schools and youth service providers, speaking with agencies about the role of the LADO and the pathways for making referrals. There is still further work required in working with voluntary agencies, police and probation to ensure that all we engage with all agencies in the City.

City of London has one maintained primary school and five Independent Schools. Out of the five schools, two are secondary, one is a specialist music and drama school, catering for children from 8 to 18 years and two are preparatory schools, the majority of children attending these schools come from other borough's. There has also been an independent review of safeguarding in the schools that come under the governance of the City of London, which consists of four in the City and one based in Surrey. This was completed in 2013 and recommendations around safeguarding training were acted on by the school, which was evidenced by a follow up review in 2014.

There are also six private nurseries and one children's centre, which is attached to the maintained primary school. These settings have also been visited as part of the raising awareness of the LADO role. Safeguarding training has also been offered to these settings and has taken place at the weekend to maximise attendance, this training was well attended across the nursery settings. Recently there has been a safeguarding awareness campaign called "Notice the Signs", 477 City of London employees and external agency staff were spoken to during this campaign about the role of the LADO. A key message of these briefing's taking place was to raise awareness around the corporate safeguarding policy, which outlined professionals responsibilities in regard to professional allegations.

Fig 2 Referral Sources for LADO referrals 2014 to 2015

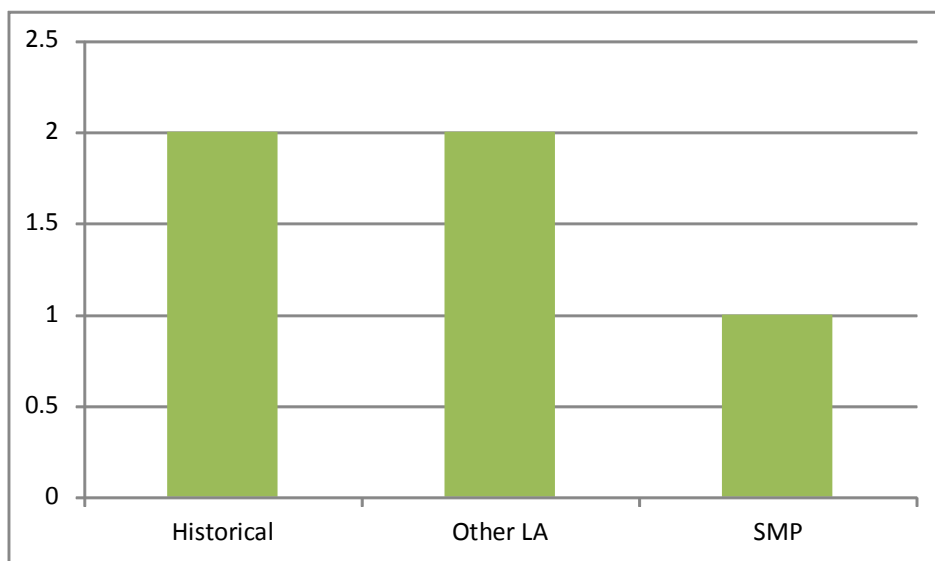
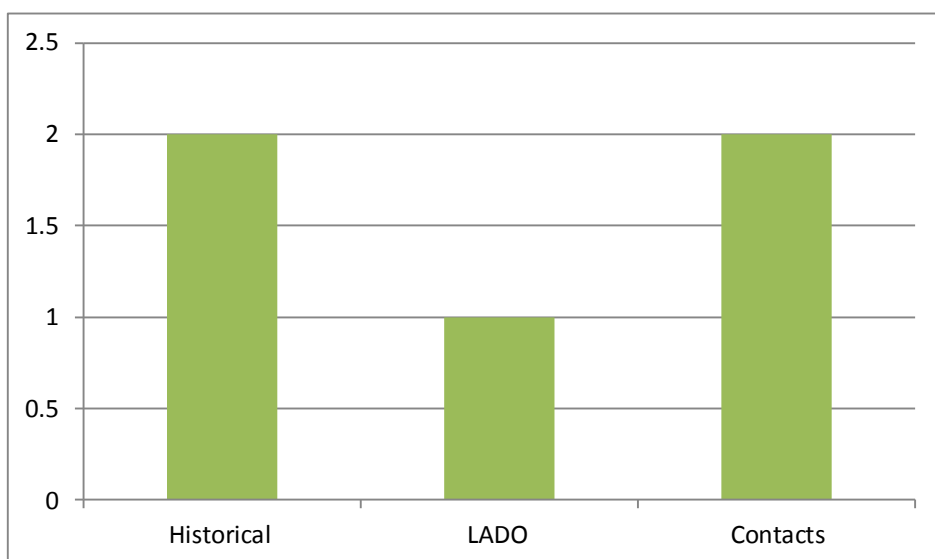


Fig 3 Referral type



This report identifies that there has been, and continues to be a sustained effort to raise awareness around the LADO role and professional allegations. When looking at the low referral rate from the Police and Probation Service it is comparable with other local authorities for the year 2013 to 2014.

Hackney - 0 from Probation Services	- 1 from the Police
Camden - 0 from the Probation Services	- 4 from the Police
Enfield - 0 from the Probation Services	- 0 from the Police
Haringey - 0 from the Probation Services	- 0 from Police

As for health, the City and Hackney Safeguarding Children's Board is requesting information from health providers as to the low referrals rate from health visitors and this is currently being progressed.

#### **4. Emerging themes**

Due to the number of referrals it is difficult to discern any particular themes, but there has been an increase in the number of historical allegation, which reflects a wider national picture. As previously identified despite efforts to raise awareness around the LADO role there continues to be a low referral rate of professional allegations from school's nurseries, voluntary agencies and commissioned services in the City of London.

When analysing our data in comparison to other Local Authorities the City does have a low referral rate in relation to the numbers of referrals per percentage of educational establishments. When compared to other Local Authorities the City has two referrals less than the lowest cohort and approximately six referrals less than the highest.

A thematic review of the LADO referrals received has shown that parents have sometimes been reluctant to raise concerns around problems with staff. This has been due to their concerns that it may have implications on their child's place at the establishment. This is especially prevalent at the more prestigious independent establishments, when this has been raised as a factor, assurances have been given to parents.

Further scrutiny of the low referral rate has been undertaken through the s11 auditing process. This audit identified that there was full compliance around the handling of professional allegations by those agencies who completed the audit. However this does not prevent the need for continued scrutiny and training around professional allegations, which will be progressed during 2015/2016.

#### **5. Multi-agency working**

The City of London works closely with partners, schools and nurseries, who are represented on the City of London Executive Safeguarding Children's Board and the Education Forum, where safeguarding issues are discussed. As part of the LADO role support and advice is offered to partners around their safeguarding duties, policies and procedures and individual case advice on potential referrals to social care. Training provided by the City and Hackney Safeguarding Board has been taken up by agencies in the City as can be seen by the information below. The schools have also commissioned in their own safeguarding training. A key area for development for 2015 to 2016 will be to scope and quality assure the training that is taking place within the schools and nurseries.

**Data collated from CHSCB on the 26<sup>th</sup> February 2015 has identified that;**

**Six attended from the City:**

Two members of staff- Guildhall School of Music and Drama  
One member of staff – Charterhouse Square School  
One Member of staff – St Pauls Cathedral School  
Two members of staff- The Prince’s Drawing School

**10 October 2014 – five attended**

One member of staff – London Islamic School  
One member of staff– Outward Housing  
One member of staff – Respect  
One member of staff – St Pauls Cathedral School  
One member of staff – Windsor Fellowship

**6 May 2014 - seven attended**

Four members of staff – Cass Child & Family Centre  
One member of staff – Guildhall School of Music & Drama  
Two members of staff – London Islamic School

In January 2014, the Department of Community and Children’s Services developed a corporate-wide safeguarding policy, which aimed to ensure that all areas of the organisation had a clear understanding of the shared legal duties around safeguarding for children at risk of harm. A key area for development for 2015 to 2016 will be to evaluate whether this has had an impact on increasing awareness across the corporation. This will be achieved by ascertaining whether there has been an increase in the number of contacts with the safeguarding champions across the City of London Corporation.

The LADO continues to develop positive working relationships with partner agencies, from the City of London Police, Community Paediatricians, Adult Safeguarding, HR, and Commissioning. The LADO also represents the City on City and Hackney Safeguarding Children Boards, Training and Development Sub Group and Quality Assurance Sub Group.

## **6. Increasing awareness of the Managing Allegations process**

As can be seen by this report there have been initiatives to raise awareness around the role of agencies in managing professional allegations. This has been achieved through face to face meetings with the LADO and through safeguarding briefings, with City of London staff, schools and nurseries. In February/March 2013 the City of London’s Town Clerk commissioned an independent review of safeguarding arrangements which was undertaken by an independent consultant. This review involved

four of the independent schools who came under the governance of the City of London.

Recommendations from this report identified that one of the School's needed to have a designated Child Protection lead who had received safeguarding training commensurate with the role. Further safeguarding training was also identified for teaching staff and Governors within the organisation. The City of London supported the commissioning of safeguarding training and eLearning modules for staff, which when reviewed in 2014 had been completed. There is also a safeguarding lead who has received training on professional allegations by the City and Hackney Safeguarding Children's Board by employees.

## **7. Links in London and nationally**

The City of London LADO is a member of the pan-London LADO group which meets on a quarterly basis. This is a sub-group of the London Safeguarding Children Board.

## **8. Police Notifications – Notifiable Occupational Scheme (NOS)**

Between April 2014 and March 2015 there was one referral to the LADO, which came through the MARAC forum, relating to a young male who came to police attention for a matter related to an allegation of harm to a child, and his occupation met the criteria under this scheme.

Where the employer can be identified, the information received in the notifications is passed to the employing organisation to address, but the employing organisation is not always clear from the referral, and in these cases no further action can be taken.

It would add to the effectiveness of the Scheme if at the point when the police officer asks for the nature of the employment in order to assess whether to refer in relation to NOS, the officer also asks the name of the employer.

## **9. Update on 2014- 15 Development priorities**

Worked closely with agencies around safeguarding responsibilities

- By offering advice and support around individual case concerns;
- Assisting agencies with the referral process;
- Support and guidance provided to maintained and independent schools in the City through the Education Forum;



- Partner agencies attend the Children’s Executive Board where safeguarding priorities and initiatives within the Department Business Plan are reviewed;
- The City of London introduced a Corporate Safeguarding Policy for Children and Adults in January 2014;
- Safeguarding Champions were identified across the City of London Corporations to support employees;
- A safeguarding awareness campaign called “Notice the Signs” was launched to raise awareness about safeguarding, including the LADO role. This campaign targeted all City of London employees and residents.

#### **10. Service Development Priorities 2015/16**

- Ensure that all professionals who work with children, from the statutory, voluntary and independent sectors, are engaged and understand the LADO process.
- Review independent safeguarding training, in relation to quality and frequency.
- Safeguarding Conference to be arranged in the City.
- Training events for City of London employees and partner agencies around safeguarding and professional roles and responsibilities.
- Meet with Safeguarding Champions on a quarterly basis to review referrals.
- Review of how agencies will ensure that parents feel confident and able to raise safeguarding concerns about professionals.
- Peer review to be undertaken on LADO cases.

Pat Dixon, LADO  
Safeguarding and Quality Assurance Service Manager

**ALLEGATIONS AGAINST PEOPLE WHO WORK WITH CHILDREN IN**  
**Date: April 2013-March 2014**

<b>1. Total number of Referrals to the Local Authority Designated Officer</b>			
<b>Local Authority</b>	<b>City of London</b>	<b>Number of referrals regarding allegations and matters of concern</b>	<b>5</b>
<b>2. Number of Referrals about each or organisation</b>			
<b>Agency</b>	<b>Number</b>		
<b>1.Social Care</b>	<b>2 Two contacts made from other LA</b>		
<b>2.Health-hospital staff</b>	<b>0</b>		
<b>3.Health-community</b>	<b>0</b>		
<b>4.Education</b>	<b>1 Historical Allegation relating to a current employee.</b>		
<b>5.Early Years-Child-minder</b>	<b>0</b>		
<b>6.Early Years-Nursery Staff</b>			
<b>7. Foster Carer-IFA with other LA children or other LA in house carers living in City.</b>	<b>0</b>		
<b>8.Police</b>	<b>0</b>		
<b>9.Probation</b>	<b>0</b>		
<b>10.CAFCASS</b>			
<b>11.Voluntary Organisations</b> Include sports clubs, scouts, brownies, dance clubs and charitable organisations	<b>0</b>		
<b>12.Faith Groups</b>	<b>0</b>		
<b>13.Immigration/Asylum Support services</b>	<b>0</b>		
<b>14.Transport</b> Transport provided to services through a contract	<b>0</b>		
<b>15.Care Agency</b>	<b>0</b>		
<b>16.Other Dept. in City of London</b>	<b>1 LADO referral from substance misuse partnership</b>		
<b>17 Other</b>	<b>1 Historical allegation from alleged victim.</b>		
<b>18. Leisure Services</b>	<b>0</b>		
<b>19.Adult Services</b>	<b>0</b>		
<b>20.Housing Associations/ Providers</b>	<b>0</b>		

<b>3. Who made the Referral</b>	
	<b>Number</b>
<b>1.Social Care</b>	<b>2 Islington and Luton LADO's contact</b>
<b>2.Health-hospital staff</b>	<b>0</b>
<b>3.Health-community</b>	<b>0</b>
<b>4.Education</b>	<b>1 Historical allegation which came through School via an email in relation to current member of staff.</b>
<b>5.Early Years-Child-minder</b>	<b>0</b>
<b>6.Early Years-Nursery Staff</b>	<b>0</b>
<b>7.Foster Carer-IFA with City of London children</b>	<b>0</b>
<b>8.Police</b>	<b>0</b>
<b>9.Probation</b>	<b>0</b>
<b>10.CAFCASS</b>	<b>0</b>
<b>11.Voluntary Organisations</b> Include sports clubs, scouts, brownies, dance clubs and charitable organisations	<b>0</b>
<b>12.Immigration/Asylum Support services</b>	<b>0</b>
<b>13.Transport</b> Transport provided to services through a contract	<b>0</b>
<b>14.Care Agency</b>	<b>0</b>
<b>15.Other Dept's City of London</b>	<b>1 Referral from Substance Misuse Partnership.</b>
<b>16. Other</b>	<b>1 self-referral from alleged victim of historical abuse.</b>
<b>17.Leisure Services</b>	<b>0</b>
<b>18.Adult Services</b>	<b>0</b>
<b>19.Housing Associations/Housing Providers.</b>	<b>0</b>

**Number of referrals about an adult within specific employment/volunteer sector which reached a multi-agency strategy discussion and/or meeting and primary reason(s) for referral.**

Employer	Physical <i>state whether concern arose from authorised physical intervention restraint or arrest</i>		Emotional	Sexual	Neglect	Behaviour which called into question person's suitability
	Yes	No				
<b>Social Care</b>						1 LADO referral SMP
<b>Health-hospital staff</b>						
<b>Health-community</b>						
<b>Education-teaching staff</b>				1 LADO referral from school, historical allegation-not proven		
<b>Education-non teaching staff</b>						
<b>Early Years-child-minders</b>						
<b>Early Years-nursery staff</b>						
<b>Foster Carers-IFA with City children</b>						
<b>Police</b>						
<b>Probation</b>						
<b>CAFCASS</b>						
<b>Voluntary Organisations</b>						
<b>Faith Groups</b>						
<b>Armed Forces</b>						
<b>Immigration/Asylum Support Services</b>						
<b>Care Agencies</b>						
<b>Transport</b>				1 Historical allegation, self-referral to		

				LADO, forwarded to Police for investigation		
Other						
Leisure Services						
Adult Services						
Housing Associations/Provider						
<b>4. Number of referred cases that resulted in: <i>please note there could be more than one outcome</i></b>						
Being Substantiated	2					
Being Unsubstantiated	3					
Being Unfounded	0					
CSM held	2					
Met the threshold for LADO input but not for a Complex strategy meeting	Of the five referral received by the LADO, two were historical allegations, one of which was relating to a current member of staff at the school. Two were contacts where the City was not the primary LADO involved, and one was a LADO referral from the substance misuse partnership.					
Criminal investigation/joint work with CAIT	0					
Criminal prosecution	0					
Caution	0					
Conviction	0					
Acquittal	0					
Initial inquires by employers						
Disciplinary investigation	0					
Disciplinary meeting/hearing	0					
Suspension	0					
Dismissal	0					
Cessation of use	0					
Deregistration	0					
Training needs identified for member of staff or the agency.	1 - Concerns around the delay in referring to LADO, employee who reported incident appeared unclear as to his role.					
Risk Assessment completed by Employer	1					
Referral to DBS	1 referral made to DBS by LADO of lead LA, as he had misled employers' in regard to have a previous conviction. Agency in City seen by City LADO re there role					

	<b>responsibility in checking DBS.</b>
<b>Referral to regulatory body e.g. GMC /Ofsted etc...</b>	
<b>5. At the point of conclusion, the number of cases that were resolved within the following timeframes</b>	
<b>1 month</b>	<b>4</b>
<b>3 months</b>	<b>1</b>
<b>6 months</b>	

# Agenda Item 8

<b>Committee:</b>	<b>Date:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Social Media Policy	<b>Public</b>
<b>Report of:</b> Director of Human Resources	<b>For Decision</b>

## Summary

Resulting from Committee's review of the draft Social Media Policy in September 2015, a follow up report and updated version of the Social Media Policy is submitted for review in light of comments received by Members at the September Establishment Committee.

## Recommendations

Members are asked to:

- a) Note the revisions to the Social Media Policy outlined within the report.
- b) Approve the Social Media Policy attached as Appendix 1.

## Main Report

### Background

1. The draft Social Media Policy was submitted for review to Establishment Committee in 2015 seeking endorsement to launch. Members shared comments on areas for review and the policy has now been updated to reflect these comments.
2. The comments are summarised as follows:
  - Members discussed the difficulty of establishing specific rules in this area, as Social Media continued to be an emerging issue. Members expressed concern that the Policy should not be seen as the Corporation positioning itself to make moral judgements as to the conduct of staff on Social Media where this had no impact on their work with the Corporation.
  - Members also requested that the Policy should give further consideration to the fact that the Corporation was a political body led by elected Members, and therefore the Policy should reflect that it was not appropriate for Corporation staff to publicly comment upon elected Members or their actions on Social Media.

3. In line with Members recommendations, Alderman Matthew Richardson, as an expert in Social Media law, has been consulted on the content of the revised policy. As at the time of writing, comments have been received. Any comments provided by Alderman Richardson will be provided to the Committee at the meeting.

## **Revisions**

4. Revisions to the Social Media Policy and Employee FAQs are highlighted within the attached documents. These are summarised as follows:
  - i) Paragraph 10 - Amended to include that the City of London is a political body led by elected Members, with employees working as public servants. An additional guiding principle has been added to remind employees that conduct online should be consistent with the City Corporation's Code of Conduct.
  - ii) Para. 21 – Amended to make clear that employee's off duty hours are their personal concern.
  - iii) Para. 27 – An additional paragraph has been added to reflect the Social Media Policy's relationship with the Code of Conduct.
  - iv) Question 3 within the Employee FAQ's has been expanded to remind employees that the City of London is a politically neutral organisation and of their responsibility to act like a public servant at all times, specifically providing the example to not criticise the actions of the organisation, its elected Members or colleagues over Social Media.
  - v) An additional FAQ has been included, outlining how a City of London resident may use social networks to lobby constructively and within acceptable boundaries of the policy.

## **Conclusion**

5. In conclusion, the proposed Social Media Policy takes into consideration the current best-practice, learning from case-law and comments received from Members.
6. The Social Media Policy aims to mitigate the risk of exposure to social media misuse which current policies may not necessarily provide sufficient coverage for.

## **Appendices**

- Appendix 1 – Revised Social Media Policy
- Appendix 2 – Revised Employee FAQ Document

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# Social Media Policy

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## Table of Contents

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Statement of Intent.....	2
Scope .....	2
Purpose .....	3
Guiding Principles .....	3
Professional Use.....	3
Personal Use .....	4
Inappropriate Use .....	5
Monitoring .....	7
Social media in the recruitment process.....	7
Definitions .....	8
Links / Other resources .....	8

## Statement of Intent

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1. This Social Media policy has been developed as part of the City of London Corporation's commitment to provide employment policies that are relevant for a modern workforce.
2. The move for organisations to use social media as platform to connect with their stakeholders is prevalent. In this respect, the City Corporation is no different and already operates corporate social media accounts to engage and interact with specific audiences.
3. While recognising the benefits and new opportunities these communication platforms bring, given the reach and relative permanence of social media, this policy sets out the principles that City Corporation employees, contractors, agency and casual staff and volunteers are expected to follow when using any social media platform.
4. The City Corporation recognises an individual's right to freedom of expression, and while there is no specific regulation of social media, existing criminal law, and defamation, employment and data protection laws apply.
5. The Director of Human Resources will be responsible for the interpretation, advice and management of the policy and procedure on behalf of the City of London Corporation.

## Scope

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6. This policy applies to all employees, contractors, volunteers, agency and casual workers at the City Corporation, including teaching staff in the three City Schools and support staff in City of London Police. Reference to employee in this policy refers to all those in scope as described above.
7. This policy may be supplemented by local social media policies for example within Schools and the Barbican Centre where local policies already act as an extension to this policy.
8. This policy applies to the use of social media in both professional (i.e. in the course of your duties and on behalf of the City Corporation) and personal capacities (i.e. your own personal accounts) regardless of whether that use takes place on City Corporation premises, while travelling for business, while working from home, including use outside of normal working hours. It also includes where employees use their own personal electronic devices to use social media, and where the employee or the City Corporation and/or its **partner organisation(s)** may be identifiable.

## Purpose

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9. The purpose of the policy is to:
- provide employees with a framework that outlines appropriate use of social media
  - protect employees and preserve the City Corporation and partner organisations reputation
  - protect the City Corporation against liability for the actions of its employees

## Guiding Principles

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10. **The City of London is a political body led by elected Members. Employees are public servants and should therefore act accordingly.** Consistent with the City Corporation's values of Lead, Empower, Trust; the following Guiding Principles should be adhered to when using any form of social media.
- Do not mix the professional and personal in ways likely to bring the City Corporation into disrepute.
  - Do not act in a way that may diminish or undermine your own or your colleagues' reputation and/or effectiveness at work.
  - Do not imply City Corporation endorsement of your personal views when using social media.
  - Do not disclose or misuse confidential information obtained through work.
  - **Conduct online should be consistent with the City Corporation's Code of Conduct.**

## Professional Use

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11. Whilst employees are encouraged to explore social media for work purposes, only authorised officers of the City Corporation may broadcast from official accounts. Partner organisations are not allowed this access unless expressly provided by the Digital Communications Manager.
12. The City Corporation actively encourages the creation of social media accounts for appropriate business use. Permission from the departmental Chief Officer and Digital Communications Manager must be sought and approved beforehand and while experimentation is encouraged and rarely refused, the Chief Officer's decision will be final. Refer to the [BARCelona guidelines](#) for guidance on appropriate use for any professional account.

13. Employees using social media accounts for work purposes should be mindful to always act like a public servant and in the best interests of the community we serve.
14. City Corporation social media accounts must not be used to share or spread inappropriate content, or take part in any activities that could bring the City Corporation into disrepute. When sharing content, employees should always thoroughly review any content to ensure its suitability and appropriateness before sharing with their network.
15. Social media usage must adhere to all internal and local style protocols. For further information see the [BARCelona Guidelines](#).
16. Respect copyright and credit where required. Employees must have copyright permission before using any text, images or video created by another party and need to be credited. Where possible include a link to the source, but for further specific advice refer to the BARCelona Guidelines.
17. If using a photograph that you have taken yourself, ensure that you obtain permission from any recognisable people in it before publishing. Also, photos of children cannot be used unless specific permission has been granted by parents / guardians or teachers.
18. During a 'crisis' or emergency, all Corporate social media will stop and local feeds should just follow @cityoflondon until given clearance to start up again. Employees may retweet the main City of London feed, Police, TfL and other official sources.
19. Officers must refer all requests for Contractor references to City Procurement who will issue a response after consultation with the appropriate Contract Manager. Officers must also refer all requests for the promotion and marketing of City Contractors to City Procurement who will decide whether the request should be approved.

## Personal Use

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20. Personal social media use should take place during designated breaks and before or after work.
21. **Employees' off-duty hours are their personal concern** but even when used in a purely personal capacity, employees should be mindful that they may still be perceived as a representative of the organisation by their network and by others who may be able to see what they write, whether or not they identify themselves as someone who works for the City Corporation. Behaviour should therefore be in line with the Guiding Principles and City Corporation's general Code of Conduct.
22. Personal accounts must not include City of London Corporation or any variation thereof in the name or username fields of the profile, regardless of **privacy settings**.

23. Personal accounts must also not intentionally use the City's crest, or coat of arms, or any trademarked logos such as the Barbican Centre or City of London Police logos. This is acceptable where this might be automatically populated by the social network; Facebook or LinkedIn for example.
24. Employees should be mindful that anything posted on the Internet is within the public domain, which may be accessible to customers and colleagues. Whilst recognising everyone's right to freedom of expression, employees should always assume that all of their social media communication is visible to anyone, anywhere, at any time and act accordingly, regardless of privacy settings. Please also note that anything which could be interpreted as business conducted on behalf of the City Corporation could fall within scope of the Freedom of Information Act 2000.
25. Where employees have taken steps to conceal their identity and employer – either in part or more fully – employees should be mindful that it is unlikely this would remain hidden in all circumstances.

## Inappropriate Use

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26. This section outlines how breaches of the "Guiding Principles" will be addressed.
27. In accordance with the Code of Conduct, employees are expected to conduct themselves in a way that, in the reasonably held belief of the City Corporation, is not likely to fundamentally undermine the required relationship of trust and confidence between themselves and the organisation.
28. Employees are individually responsible for any content they publish on social media sites, including anything shared (or retweeted).
29. Employees should be aware that deliberate or even inadvertent misuse of social media (in either a professional or personal capacity) in breach of the 'Guiding Principles' or Code of Conduct may lead to disciplinary action under the City Corporation's [Disciplinary Procedure](#).
30. Serious breaches of the 'Guiding Principles', for example incidents of bullying individuals / colleagues or social media activity causing (or with the potential to cause) serious damage to the City Corporation, may constitute gross misconduct and may lead to action under the disciplinary procedure up to and including dismissal.

31. Examples of inappropriate conduct that may constitute a disciplinary offence.

Any communications that employees make in a professional or personal capacity through social media that:

**Bring the organisation into disrepute, for example by:**

- criticising or arguing with customers or colleagues;
- making defamatory comments about colleagues and/or individuals, customers, partner organisations or other associated groups; or
- making offensive or derogatory comments relating to sex, gender reassignment, race (including nationality), disability, sexual orientation, religion or belief or age;
- posting images that are inappropriate or links to inappropriate content;

**Breach confidentiality, for example by:**

- revealing confidential information owned by or in relation to the City Corporation;
- giving away confidential information – such as personal information or information about associated organisations (such as another Local Authority or local business); or
- discussing the City Corporation’s internal workings (such as its future business plans, proceedings of committee meetings that have not been expressly authorised for sharing or already communicated to the public);
- failing to comply with section 14 of the Employee Data Protection Policy.

**Do anything that could be considered discriminatory against, or bullying or harassment of, another colleague, for example by:**

- making offensive or derogatory comments relating to sex, gender reassignment, race (including nationality), disability, sexual orientation, religion or belief or age;
- using social media to bully, harass, threaten or victimise a colleague
- posting images that are discriminatory or offensive (or links to such content).

32. Employee’s personal social media profiles will not be routinely monitored. However, the City Corporation may monitor employee’s internal and external communications at work in line with the [Employee Data Protection Policy](#). The City Corporation considers that valid reasons for checking an employee's internet usage include suspicions that the employee has:

- been spending an excessive amount of time using social media websites for non-work-related activity; or
- acted in a way that is in breach of the ‘Guiding Principles’ set out in this policy.

33. Employees who work with pupils or other vulnerable persons are responsible for their own actions and behaviour and should avoid any conduct which may lead any reasonable person to question their motivation and intentions. Appropriate professional boundaries must be maintained at all times, and under no circumstances should employees who work with vulnerable persons “friend” or “follow” that person online. If you have any concerns around an individual’s behaviour you can contact

either the Designated Safeguarding Lead (DSL) in the first instance, or the Local Authority's Designated Officer (LADO) within Department of Community & Children's Services.

34. Access to social media websites from premises, computer equipment or electronic devices belonging to the City Corporation may be withdrawn in the case of misuse.

## **Monitoring**

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35. Internet usage will be monitored corporately in accordance with the [Communications & Information Systems Use Policy](#).
36. Employees who see social media content that disparages or reflects poorly on the City Corporation should inform their line manager and the Digital Communications Manager as soon as possible.

## **Social media in the recruitment process**

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37. Recruiting managers should not screen prospective employees via social media channels, unless there is a justifiable reason in connection with a requirement of the role (for example, marketing or communications jobs where communication via social media is fundamental to the role) and/or where the candidate has expressly provided the content they wish to be viewed.
38. Employees involved in the recruitment process, or recruitment agencies acting on behalf of the City Corporation should be mindful of the City Corporations commitment to promoting Equal Opportunities and the Equality Act 2010. Employees or partner organisations involved in recruitment should therefore pay particular attention to avoid the presumption that an applicant's protected characteristics (for example, sexual orientation and/or religious beliefs) played a part in any recruitment decision, and ensure the principles of the Recruitment and Selection Policy are followed.

## Definitions

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39. **Social media** is the collective of online communications channels or social networks dedicated to community-based input, interaction, content-sharing and collaboration. Websites and applications dedicated to forums, micro-blogging, social networking , social bookmarking and wikis are among the different types of social media. This includes but is not limited to online social forums such as Twitter, Facebook and LinkedIn, YouTube and Flickr. Employees should be aware that this list is not exhaustive and there are many more examples, but should follow the guidelines in relation to any social media that they use.
40. **Privacy settings** refer to the controls available on social networking websites that allow users to limit other users access to their profile or information contained within.
41. **Partner** organisations refers to any contractors, agency staff or organisations working on behalf of the City Corporation.

## Links / Other resources

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- [Social Media FAQ's](#)
- [Code of Conduct](#)
- [Disciplinary Procedure](#)
- [Recruitment and Selection Policy](#)
- [Employee Data Protection Policy](#)
- [BARCelona Guidelines](#)
- [Communications & Information Systems Use Policy](#)



## Social Media - FAQ's

[Why does the City of London need a policy on social media?](#)

[I don't use social media as part of my job so how does the Social Media Policy affect me?](#)

[If I use social media to share thoughts about work, will I be breaching the Social Media Policy?](#)

[My settings are set to private, does this still apply to me?](#)

[Will my personal activity on social network sites be monitored?](#)

[I am a City of London resident, can I participate in social media lobbying about decision making of the City?](#)

[My manager, colleagues or customers have requested to add me as a "friend", should I accept?](#)

[Can I leave endorsements or recommendations for colleagues on social networking sites, for example LinkedIn?](#)

[I'm aware a colleague has acted inappropriately on social networking websites, what should I do?](#)

[I run a blog, or am thinking of developing a blog to share my professional experiences– is this OK?](#)

[I've posted something in the past that I think might be inappropriate or not in accordance with the Social Media Policy – what should I do?](#)

[Who can I speak to for further information?](#)

**Q. Why does the City of London need a policy on social media?**

Social media has now become a major part of many people's lives and has changed both the way we work and communicate with each other.

Through social media, it's possible to engage and interact with a global audience almost instantaneously, opening a number of opportunities for us as an employer and you as an employee in your personal and professional life.

As the world has embraced social media, it's important we have a Social Media Policy to define how we will act when using social media both professionally and in our own time, in order to

- ensure that we uphold the City of London Corporation's values and reputation at all times;
- help employees understand the do's and don'ts when using social media;
- safeguard employees from unintentionally using social media inappropriately in a way they may affect the City Corporation, its partners and our colleagues.

**Q. I don't use social media as part of my job so how does the Social Media Policy affect me?**

The City of London recognises that social media forms a big part of many people's lives and social networks provide a platform for anyone to broadcast their thoughts, feelings and opinions to a global audience in a matter of seconds. Due to the reach and relative permanence of social media, care needs to be taken about what you say and you should familiarise yourself with the "Guiding Principles" outlined in the Social Media Policy. You should be mindful that your behaviour online does not breach any of these principles.

- Do not mix the professional and personal in ways likely to bring the City Corporation into disrepute.
- Do not act in a way that may diminish or undermine your own or your colleague's reputation and/or effectiveness at work.
- Do not imply City Corporation endorsement of your personal views when using social media.
- Do not disclose or misuse confidential information obtained through work.

See the BARCelona guidelines for further information on Professional and Personal Use. Essentially, your conduct online should not differ from the conduct expected of you offline.

**Q. If I use social media to share thoughts about work, will I be breaching the Social Media Policy?**

We hope that you would want to share positive things about where you work. While, we recognise everyone's right to freedom of speech, talking negatively about your employer (whether that's your work, colleagues or managers) is rarely a good idea, and can be damaging.

We realise you may want to let off some steam from time to time, but be mindful of how this might be viewed and reflect on the City Corporation or colleagues, as often things can be misinterpreted or misrepresented. **Also remember that while the City of London is a politically neutral organisation, you should take care to act like a public servant at all times. This might include taking care not to criticise the actions of the organisation, it's elected Members or your colleagues**, but if you have an opinion related to your work, you should seek to discuss this with your line manager or colleagues directly.

Even if you do not specifically say that you work for the City of London, remember that it might be possible to find out where you work through online search engines. As a matter of best practice, from time to time you should try searching for yourself to see what results come up, and aim to remove any content that you no longer feel is appropriate.

**Q. My settings are set to private, does this still apply to me?**

Remember that once something is posted on the Internet, it's in the public domain, regardless of whether your settings have been set to "private". Always assume that all your social media communication is visible to anyone, anywhere and at any time, and act appropriately.

Social networking sites also alter their terms and conditions and privacy settings from time to time, so it's wise to review your settings every so often.

**Q. Will my personal activity on social network sites be monitored?**

No, your personal activity on social networking sites will not be monitored unless it has been brought to our attention that:

- You are misusing the internet during times when you should be working
- You've broadcast something online that reflects badly on the City Corporation, our partners or colleagues

Internet usage will be monitored as normal in accordance with the [Communications & Information Systems Use Policy](#).

If you've acted in a way that might breach the Guiding Principles, we will request that you remove the content. If you breach the Guiding Principles e.g. (by making defamatory comments about the City, sharing confidential information, or by offending

/ harassing another colleague and/or individual), this will be dealt with as a disciplinary issue.

**Q. I am a City of London resident, can I participate in social media lobbying about decision making of the City?**

We hope that you will usually be supportive of the City in the provision of its services and projects but if you are a resident we recognise that you may have genuine cause to be concerned about decisions and activities affecting you as a resident.

As with any use of social media you should not be rude or disrespectful, make unfounded comments or act in a way that might be breach of the Code of Conduct. If as a City of London resident you do participate in social media lobbying or comment on the City Corporations decisions, services or activities via social media channels, you should ensure that you are mindful of the overall principles of the Social Media Policy.

If you are unsure please ask you manager.

**Q. My manager, colleagues or customers have requested to add me as a “friend”, should I accept?**

This is your personal choice and might depend on the type of social network, but you should not feel, or be pressured into accepting a request you might not be comfortable with.

If you have been friend requested by a colleague and are not sure whether to accept, it's OK to politely decline the invitation as you might want to keep your professional and personal life separate.

If you are a manager, you should also consider how inviting or accepting requests can be perceived by other colleagues and staff who work for you.

**Q. Can I leave endorsements or recommendations for colleagues on social networking sites, for example LinkedIn?**

Endorsing others is a great way to recognise your colleagues for the skills you've seen them demonstrate. Recommendations are OK too, but remember they should be factual and respectful and you should not suggest that your comments are made on behalf of the City Corporation. You cannot provide employment references on behalf of the City of London Corporation through social media channels. All such enquiries should be made by prospective employers direct to the City Corporation and the relevant manager will be asked to provide information as appropriate.

LinkedIn also helpfully provide some [Community Guidelines](#) for reference.

**Q. I'm aware a colleague has acted inappropriately on social networking websites, what should I do?**

If you think that a colleague has used social media inappropriately, you should inform our Digital Communications Manager in Public Relations (Gavin Simpson) and your line manager as soon as possible. Where possible, we will work to contain any damaging posts and address the issue with the employee.

If the matter is a potential safeguarding issue, then the Designated Safeguarding Lead (DSL) in a School, or the Local Authority Designated Officer (LADO) in Department of Community & Children's Services should also be made aware.

We understand that you might not want your colleague to know that you have brought the issue to management attention, and where possible we will work to ensure confidentiality.

**Q. I run a blog, or am thinking of developing a blog to share my professional experiences– is this OK?**

We recognise that some staff might want to develop their personal brand by self-publishing material by blogging online. It's possible to do this through various social networking sites, for example LinkedIn provides a platform for professionals to share their experiences or views. While we don't want to limit your use of social media, just be mindful that your posts do not breach any of the Guiding Principles contained within the Social Media Policy.

**Q. I've posted something in the past that I think might be inappropriate or not in accordance with the Social Media Policy – what should I do?**

In the first few months, we expect to take a softer approach to most instances of potential misconduct while our employees get accustomed to the new policy. If you have any concern about something you may have posted which might contravene this policy, it is advisable that you go over any previous postings that you think might now be inappropriate and remove them accordingly.

However, for more serious instances of misconduct (i.e. racist or homophobic postings) that is brought to management attention, it would be inappropriate to overlook this and would need to be dealt with formally.

**Q. Who can I speak to for further information?**

If you require further information on the content of the policy, contact your HR Business Unit.

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# Agenda Item 9

<b>Committee</b>	<b>Date:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Future funding of the Pensioners' Annual Lunch	<b>Public</b>
<b>Report of:</b> The Town Clerk	<b>For Decision</b>

## Summary

The purpose of this report is to provide options for the future funding of the City of London Pensioners' Annual Lunch. In September 2014 the Policy and Resources Committee was asked to consider a Service Based Review saving proposal of £42k to be achieved by stopping the grant funding for the annual City of London Pensioners' Lunch. The total budget of £42k has been underspent in recent years, with the total cost to hold the dinner for 2015 was approximately £33k, with Pensioners' contributions of around £3k reducing the net spend to approximately £30k. Officers were asked by the Policy and Resources Committee to reconsider this saving, because of the potential reputational damage it may cause to the organisation, and report back to the Establishment Committee with alternative options. A series of potential cost saving ideas were put to the Pensioners' Lunch Organisation Committee during consultation. These included:

- Linking the Pensioners' lunch with the Staff Annual Lunch
- Altering the format of the lunch
- Limiting numbers by holding a smaller function
- Altering how the event is managed

A formal response has been received from the Pensioners' Lunch Organisation Committee. They propose to reduce the overall cost of the event by increasing the contribution by pensioners from £5 to £10 (increasing the total income from approximately £3k to £6k). This will reduce the overall City Corporation contribution to the event to £27k (£33k cost to hold the dinner minus the £6k in pensioners' contributions). This will provide an overall saving of £15k against the current budget, but allows the event to continue in its current format.

In addition, two alternative models are suggested; the first brings the grant in line with the cost per head subsidy provided for the Staff Annual Lunch. This option will achieve savings of £26.85k, but will have a significant impact on the nature of the event. The second offers Members the opportunity to set a fixed grant that they feel appropriate, based on the information contained in this report and the response from the Pensioners' Lunch Organisation Committee.

If Members choose one of the alternative proposals, substitute savings will need to be found from an alternate budget within City's Cash to cover any shortfall.

## Recommendations

Members are asked to:

- Consider the response from the Pensioners' Lunch Organisation Committee following the consultation exercise.
- Agree one of the funding options, which are:
  - **Option 1** -Endorse the original budget reduction of £42k and remove the grant budget for the annual Pensioners' Lunch.
  - **Option 2** - Adopt the model proposed by the Pensioners' Lunch Organisation Committee, which suggests an increase in the cost for attending the lunch from £5 to £10, making an overall saving of £15k by reducing the total net grant to £27k.
  - **Option 3** - Adopt a grant in line with the Staff Annual Lunch cost per head subsidy, achieving a saving of £26.85k by reducing the total net grant to £15.15k.
  - **Option 4** - Adopt a fixed grant of an amount Members feel appropriate taking into account the facts in this report and the response from the Pensioners' Lunch Organisation Committee

## Main Report

### Background

1. One of the Service Based Review budget reductions submitted to the Policy and Resources Committee for approval in September 2014 related to the removal of the grant given to fund an annual lunch for City of London Pensioners, saving £42k per annum (the total budget). This saving is due to commence during the 2016/17 financial year.
2. There was concern amongst the Members of the Committee that this particular saving represented a significant reputational risk to the organisation. The Committee agreed to refer the saving back to officers to establish whether the savings could be achieved without completely removing the grant and report back to the Establishment Committee with further options.
3. A consultation meeting was held with the Pensioners' Lunch Organising Committee (Organising Committee) at which notice was given of the intention to remove the grant. At this meeting they were also asked to consider potential changes to the way that the event is organised and delivered to make savings. These included:
  - Linking the event to the Staff Annual Lunch event to achieve greater economies of scale
  - Altering the format of the lunch such as the type of meal, the number of courses, venue etc.
  - Altering how the event is managed by utilising City of London Corporation staff instead of volunteers.
  - Limiting the number of attendees by holding a smaller function.



4. The Organising Committee have given consideration to the proposed reduction and the alternatives suggested to reduce the overall cost of the event. They have provided a formal response (The response can be found at Appendix A).
5. The Organising Committee recognises the need to make savings but makes a case to retain the character and nature of the event. They propose to reduce the cost by increasing the contribution made by pensioners from £5 to £10.

### Current Position

6. The existing grant budget used to fund the Pensioners Lunch is £42k. The overall cost of the event has been significantly less than this for a number of years. In 2014/15 the total spend on the event was as follows:

Type of expenditure	Amount
Organising committee expenses	169
Event catering	28,281
Event expenses	945
Honoraria	1,675
Printing and postage	789
Income	(3,030)
<b>Total Expenditure</b>	<b>28,829</b>

These differ slightly from the cost estimates provided in Appendix A. The figures in Appendix A are estimates for the 2015/16 dinner.

7. The Organising Committee consists mainly of City of London Corporation pensioners. Some are given an honoraria payment to recognise the amount of work involved in organising the event.
8. The income is the £5 per head contribution from the pensioners (total attendance last year 606). The event is generally over-subscribed.
9. The event expenses include a church service, flowers, a toast master and Red Cross attendance on the day.

### Options

10. Following the receipt of the formal response from the Organising Committee and some analysis of the costs of the Pensioners' Lunch in comparison to the staff annual lunch, the following options are suggested.
11. **Option 1** – Proceed with the original savings proposal and completely remove the budget of £42k. This option will deliver the previously agreed savings requirement but will stop this annual event completely from 2016.
12. **Option 2** - The Organising Committee have proposed in their response that no changes are made to the nature of the event, which they claim will preserve the integrity of the experience for the pensioners that attend. They have offered to increase the contribution per person from the existing £5 to £10, generating an additional income of approximately £3k, assuming that the attendance remains at

current levels. Allowing for the additional income, the net grant will need to be £27k, giving a total saving of £15k. For the reasons outlined in their response they have chosen not to include any of the measures suggested at the consultation meeting to help reduce the cost of the event.

13. **Option 3** – The Staff Annual Lunch is also subsidised by a grant in a similar fashion to the Pensioners' Lunch. The net cost of the Staff Annual Lunch in 2014/15 was £46,650. In total 1,865 staff attended over the 3 days that the event was held, which means the subsidy per head was £25.00. Using the same method to calculate the subsidy per head for the pensioners lunch results in a subsidy of £47.57 per head. The staff currently contribute £11 per head towards the event. If the grant per head that is made to the staff lunch were applied to the pensioners lunch, the total grant would be £15,150, which would give a revised saving of £26,850. To achieve this level of saving, significant changes would need to be made to the nature of the event in line with the suggestions made during the consultation with the Organising Committee.
14. **Option 4** – Members might wish to consider an alternative, fixed level of grant that they feel appropriate, taking in to account the submission from the Organising Committee and the information within this report about the similar staff annual lunch event.

### **Corporate & Strategic Implications**

15. If Members do not choose option 1, alternative, compensating savings will need to be found from other budgets in City's cash to achieve the previously agreed £42k.

### **Conclusion**

16. The Policy and Resources Committee had some concerns over the impact of this proposed Service Based Review saving, particularly the reputational risk to the organisation that taking the full saving might have. The Committee asked officers to reconsider the saving and present alternatives to this Committee for decision. The options offered in this report provide alternative choices, based upon consultation with the Organising Committee and comparison with the Staff Annual Lunch, which is a similar event. Members are asked to review the options and decide which to adopt.

### **Appendices**

- Appendix A – Response letter from the Pensioners' Lunch Organising Committee

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**To Peter Lisley, Assistant Town Clerk**

**Response from the Organising Committee for the City of London Pensioner's Lunch to consultation on the possible removal of the budget.**

1. As promised, we are responding to the points raised about the possible removal of the budget for the pensioner's lunch arising out of the recent meeting that we were asked to attend with you and Mr Debus.
2. The Organising Committee, who oversee this annual event on behalf of the Establishment Committee, fully understand the need for the City Corporation to make budget reductions. We, therefore, wish to assist in that process and the Committee has met to consider how best to respond positively whilst wishing to continue to oversee a truly valued event to a standard expected of the City Corporation and Guildhall.
3. The City Corporation Pensioner's lunch has been held annually for 52 years and is greatly appreciated by 550-600 people who attend. It is open only to those individuals who retire from the City Corporation's employment and who take-up their pension on retirement. The popularity of the lunch is such that it is mostly oversubscribed.
4. It is a very special occasion for former colleagues enabling them to get together in the grandeur of their former HQ to enjoy each other's company and keep abreast of what's happening in the City. The lunch is preceded by a special service for retirees in St Lawrence Jewry.
5. The City Corporation's pensioners appreciate that they are privileged to have worked for an organisation that continues to recognise their worth and the contribution they made after they have retired. We believe that this commitment on the part of the City Corporation reflects well upon it as an institution and an employer. The fact that Members of Common Council are prepared to give up their time to attend the lunch reinforces that link and again, this is greatly appreciated.
6. It also provides an opportunity for some current staff to support and meet their former colleagues as the wine is served by existing City Corporation employees. They do this without payment (although there is an out-mess) and this has been a tradition for many years and appreciated greatly by the guests.

7. It would be a sad loss to the pensioners if the lunch was to be abandoned but also we believe a loss to the City Corporation as this type of now virtually unique commitment sets it apart and adds to its special qualities.

8. The organising committee has looked in some detail at the current funding position and how that might be improved in order to retain the event.

9. The current budget for the lunch (and, therefore, the required saving) is £42,000. It is a generous budget and the total cost of the lunch, which includes a modest pre-lunch drink reception and brief post-lunch coffee in the Old Library, is nowhere near that sum. We are very keen to see the cost of the lunch kept to a minimum wherever possible and we always seek competitive tenders for catering from the City's approved list, which is the biggest element of expenditure. In addition, the guests all make a contribution from their pensions of £5 each which raises approximately £3,000. This goes towards keeping the City Corporation's costs down.

10. In 2014, the £42k budget provided by the City Corporation plus the income from the contribution from the pensioners attending the lunch of £3,000, was underspent by approximately £15,000. The total cost of the function (including postage etc) was approximately £30,000. The actual cost to the City Corporation in 2014 was, therefore, approximately £27,000.

11. We have also reviewed carefully the outgoings associated with the event which last year came to £3,735. These include items such as postage, very modest flowers (top-table only), Church fees, a contribution to the Red Cross for first aid, a toastmaster, etc.

12. As requested, we looked at the various proposals that you put forward as possible options and our response is as follows:

#### **Linking the lunch with the staff annual lunches**

13. This would involve linking the pensioner's lunch to the staff annual lunches held annually in late December (so making the lunch for the pensioners one of four on consecutive days). The committee felt that, bearing in mind the ages and sometimes the mobility and fragility of a number of the guests, an event in December, with the strong potential for inclement weather and travelling home in darkness, was not a viable option. Hence the lunch for the pensioners is usually held in the autumn and for 2015 is planned for 4 September. We did not see a lunch in December as a viable option simply because of its impracticality for the more elderly, less mobile guests and those with special needs.

**Altering the format of the lunch (ie the reception arrangements, the type of meal the number of courses, post dinner coffees, venue)**

14. We could, of course, make a variety of changes to the format by cutting out certain elements of the function. For some of the guests, due to their age, mobility and general health, being able to sit at a table to eat is very important. This is especially so for those accompanied by carers or with other special needs, where a great deal of thought is put into the seating arrangements. If the lunch was simply a buffet reception we feel that this would appeal less and possibly only to the more able-bodied. The current format enables pensioners to meet informally over a brief pre-lunch drink and then to be seated with their chosen former colleagues wherever possible.

15. The lunch is currently three courses which could be reduced to say, two. However, it must be remembered that some pensioners travel often long distances to attend (ie Scotland, Devon and even Spain!) and appreciate the care and attention that goes in to the preparation and presentation of the meal which goes to make it a very special occasion. The pensioners also now make a contribution towards the cost.

**Limiting numbers by holding a smaller function**

16. Limiting the number of pensioners who traditionally attend the lunch could reduce the cost. However, as stated above, the lunch is always oversubscribed and this would serve to increase the disappointment on the part of those who are not lucky enough to attend.

**Altering how the event is managed**

17. We understand that the suggestion is to possibly bring the arrangements in-house to be run by an events team in the City Corporation. This would largely make the need for an organising committee redundant. Whether this would achieve any significant savings is questionable as there would be an increased cost to the City Corporation through extra staff time in organising the event. For example, over 1,200 invitations are dispatched to eligible pensioners (for 600 places) and the organising committee goes to great lengths to accommodate, wherever possible, pensioners sitting with requested individual former colleagues and friends. The amount of work that goes into the seating plan is quite detailed and very time-consuming.

18. It should be noted that because of the amount of work involved, honoraria (totalling £1,675 in 2014) has, for a number of years, been paid to some of the committee members (mostly the retirees) to recognise their contribution, particularly to those who prepare invitations, place cards, table plans and guest lists and also for posts of the Secretary and Finance Officer. This sum is

contained within the outgoings referred to in paragraph 11 above. If the work was taken in-house, these payments would cease but it is likely that the staff costs involved would far exceed this expenditure.

### **The Organising Committee's response**

19. Whilst fully appreciating the need for savings, the organising committee hopes very much that the City Corporation will continue to make available funding for an annual lunch for its pensioners. The budget of £42,000 has been consistently underspent and could, therefore, be reduced substantially.

20. In addition, the organising committee feels confident in increasing the contribution towards the lunch from the pensioners from £5 to £10 per person, which, based on existing numbers, would increase income to £6,000. This may deter some pensioners, especially those on more modest pensions, but we feel it would be an acceptable and reasonable increase in the contribution for a City lunch with wine, hosted in the Guildhall.

21. The estimated actual cost of catering in 2015 is £29,170. Add to this the additional expenditure in administering the event plus essential things such as the Red Cross which amount to £3,905. This brings the total estimated expenditure in 2015 to £33,075. Reducing the City Corporation's financial contribution to say, £27,000 plus the enhanced contribution from the pensioners should provide a budget to pay for a lunch to the same or similar standard to that currently enjoyed.

<b>Committees</b>	<b>Dated:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Town Clerk's Office (Policy and Democratic Services) Business Plan Progress Report - 1 July to 30 September 2015	<b>Public</b>
<b>Report of:</b> Town Clerk	<b>For Information</b>

## Summary

This report provides an activity update as at 30 September 2015 on progress towards achieving the objectives set out in the Town Clerk's Business Plan.

Objectives due for delivery within this reporting period such as the work associated with the IIP assessment have been completed. Major pieces of work scheduled for the rest of the year such as the continuing program of work associated with the Service Based Review and the Re-configuration of the Town Clerk's Department are proceeding according to plan.

Performance within the division is mostly at or above the performance level standards set within the Business Plan.

A financial monitoring statement that covers the period 1 April 2015 to 30 September 2015 can be found at paragraph 19.

It is expected that the Division will remain within its local risk resources in this financial year.

## Recommendation

That Members note the content of this report.

## Main Report

### Introduction

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

## Key Developments

2. Satisfactory progress has been made towards achieving the actions detailed in the plan. Some of the highlights are listed below.
3. At the meeting of this Committee in April, Members asked for KPIs in relation to housing, the cultural hub, employee engagement and staff attrition to be within the six monthly Business Plan update report. Information has been included within this report in relation to these areas of activity. However, the strategic nature of the work that this business unit delivers makes the use of SMART KPIs difficult, although every effort will be made to include them, where possible, within the 2015/16 Business Plan.

## Leadership, Policy and Strategy

4. **Reconfiguration of the Town Clerk's department** – The new Director of Communications has been appointed. Bob Roberts joins us on 2 November. He was previously Director of Communications to Labour leader Ed Miliband and the political editor of the Daily Mirror.
5. His appointment will coincide with a few changes to the structure of the department. The newly-created Communications Team - comprising media, digital and filming - will be located on the 2nd Floor of the West Wing. The Corporate Affairs Team are joining Economic Development to help to integrate the work promoting the City and our partnerships with communities across London. The internal communications, publishing and website functions will join our evolving Customer Services function. The City Occupiers Database team will join the Democratic Services team and the City Bridge Trust will move to the 1st Floor in the West Wing.
6. **The Cultural Hub** – The work to develop the complex program of work related to this project has progressed, here are some of achievements and planned activity over the coming period:

Objective	Progress	Completion by
Successful establishment and embedding of Programme Structure	The Structure is now embedded within the work of key departments, coordinated by lead officers.	Autumn 2015
Recruitment of Cultural Hub Property Director	Successfully completed with the Property Director now in post for a two-year fixed term	Spring 2015
Recruitment of Communications Consultant to work on narrative and place of the hub within overall Cultural Strategy	Communications consultant, Rebecca Driver, appointed to work with the Town Clerk's Department and cultural partners in drawing together the key communications narrative for the Cultural Hub. The Narrative is now drafted and agreed by cultural partners + COL. It will be reviewed by the Cultural Hub Working Party on 1 October. Work on a new Cultural Strategy for the Square Mile is also included in the brief and is due to commence later this month.	Feb 2016



Objective	Progress	Completion by
Successful procurement of a Property Master plan for the Cultural Hub	Draft master plan has been procured...	Autumn 2015
Exploration of property options along Beech St.	An outline vision for Beech Street has been drafted by the Cultural Hub Property Director for consideration by Members. The next step will be to draft a brief for a substantial feasibility study. The study will explore the opportunities for opening up Beech St, creating more light, a welcoming and pleasant environment and unlocking latent value along the street's frontages.	June 2016

7. **Affordable Housing** -.Housing shortage in London is one of the most pressing economic and social issues that the capital faces. Led by the Director of Community and Children Services, the City Corporation’s vision is to deliver an ambitious programme of housing development, providing homes of mixed tenures for those on a range of incomes. Within our social housing estates this programme will be funded through planning gain receipts, grant funding, borrowing within the Housing Revenue Account and cross subsidy from market sale of some new homes. On development sites outside of the HRA the City will explore the potential of private financing, joint ventures, borrowing or disposal to support the development of new homes.
8. The City Corporation will use its close relationship with the finance sector and stability to enable partnership across the private and public sector. The City Corporation will also work to shape and influence policy change that will enable supply and unlock opportunities. By 2025 the City Corporation will deliver 3,700 new homes on sites across the capital.

### **Corporate Governance and Democracy**

9. **Enhancing the Common Council Meetings** – Good progress has been made with this project; proposals will be presented to the November informal meeting of the Members of the Common Council detailing enhancements to the Court agenda and the physical layout of the Court for the meetings. A report is also planned for the agenda of the November Policy and Resources Committee proposing changes to the way that the Chief Commoner is elected.
10. **Report Writing** – The project to improve the quality of report writing across the organisation has been underway since April 2015. Further guidance and advice is planned to be issued over the coming months. It is hoped that practical training sessions and fresh guidance will deliver well written, clear and concise Committee reports.

## Organisational and Departmental Development

11. **Investors in People Refresh** –The second of three liP annual reviews concluded on 30 September 2015. The lead liP Assessor will give the Director of HR detailed verbal feedback on 8 October and a detailed written report will be provided on 23 October. The written report will give details of the strengths, weaknesses and development opportunities and will be used to assist us as we move into Year 3 of our three year liP assessment strategy.
12. **Workforce Strategy** - All departments have completed an initial Workforce Plan and these are currently being analysed to identify the main themes that may need a corporate intervention to suggest a collective approach. Once the analysis is complete a report will be taken to the Workforce Planning Steering Group, this is anticipated to be in October or early November. The Departmental Workforce plans have also covered certain aspects in relation to our Pay & Reward structure and this will provide useful input to the review of Pay & Reward scheduled for 2016/17
13. **Equalities and Inclusion Action Plan (EIAP)** – All six networks have been successfully launched. The Networks’ branding and communications campaign is now a standard feature on the intranet.
14. The consultant working with Chief Officer Group has completed his field work and is due to report back with his findings in October. The findings will help to redefine the Equality and Inclusion Action Plan going forward. All department business plans include equalities and inclusion actions and the Corporate Programme Delivery Unit’s Business impact assessment template now includes equalities assessment as part of the standard business impact.

## Resilience

15. **Major Incident Exercises** – An exercise is planned to take place next year that will involve all of the major emergency agencies as well as Local Authorities. Exercise ‘Unified Response’ will test Local Authorities response to a declared major incident requiring the implementation of the Pan London strategic co-ordination arrangements. The City of London Corporation will play an active role, exercising its Borough Emergency Coordination Centre.
16. **The Lord Mayors Show** – The Resilience team have been working closely with officers in The Department of the Built Environment and the City of London Police to ensure that plans are in place to guarantee that the Lord Mayors show runs smoothly without incident.

## Other Issues

17. **Performance Monitoring** – The Town Clerk’s Office has performed at or above most of the performance level standards that were identified within the Business Plan. One area that has caused concern is the current level of sickness absence in the department as a whole. The monthly average days lost per employee figure has increased to 0.63 in September (CoL average

0.37). A significant proportion of this figure relates to a number of long term sickness absence cases, which are being actively managed.

18. Staff turnover in the department as a whole, for the current rolling year is 22.03%. This compares to a CoL average of 14.6%. This comparatively high turnover figure has been considered by management and as a result actions have been taken in specific areas (for instance in the Committee Team) to help retain high performing staff.
19. **Business Risk** – The assessment of business risk is integrated into the business planning process, the 3 major risks that the Town Clerk is responsible for under this business plan have been reassessed as part of this update process. Currently, there are no changes in the scoring of these risks. A report considering the Town Clerk’s Department business risks in more detail is on the agenda of this Committee meeting
20. **Resources** - A summary of Policy and Democratic Services’ budgetary position, for the quarter ended 30 September, is provided below. It is expected that the division will remain within its local risk resources in this financial year.

**Town Clerk’s Office – (Policy and Democratic Services)**

Local risk budgetary statement for the period ended 30 September 2015

Section	Latest 2015/16 £000	Budget for Year to Date £000	Actual £000	Variance YTD Ad/(Fav) £000
Town Clerk’s Office (Committee & Corporate HR)	6,838	3,525	3,314	(211)
Resilience and Community Safety	633	329	317	(12)
Total	7,471	3,854	3,631	(223)

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<b>Committee</b>	<b>Dated:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Risk Management – Town Clerk’s Department	<b>Public</b>
<b>Report of:</b> Town Clerk	<b>For Information</b>

## 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 Management Team, and the Senior Management 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 Summary Risk Register consists of a number of risks. In accordance with the Corporate Risk Management Strategy we are obliged to report on our corporate risks and red rated departmental risks. There are currently no red rated departmental risks and one amber rated corporate risks, as follows:

- 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. Audit and Risk Management Committee has requested that such risks should be reported at a Committee level.

### Current Position

2. This report provides an update of the key risks that exist in relation to the operations of the Town Clerk’s Department in respect of the Establishment Committee. The report also outlines the processes adopted for the on going review of risk and mitigating actions.

## **Risk Management Process**

3. Each of the separate business planning units within the Town Clerk's Department maintains its own risk register: Policy & Democratic Services; Economic Development Office; Public Relations Office (until 31 October 2015); City Bridge Trust and Central Criminal Court. The latter two do not report to this Committee.
4. These registers are regularly reviewed by the Senior Management Teams of each unit, and presented by the relevant Director or senior officer to the Departmental Management Team, in accordance with the Review and Reporting Framework in the Corporate Risk Management Strategy.
5. At the Departmental Management 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.
6. Reports on the Town Clerk's Departmental Corporate and key risks were last presented to the Establishment Committee within the Business Plan Update in July 2015.

## **Identification of New Risks**

7. 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.
8. No risks have been added to the Town Clerk's Summary Risk Register since the previous report to the Establishment Committee in July 2015.
9. Four potential risks have recently been identified as part of the regular review process for Policy and Democratic Services, and have been evaluated and added to the relevant risk register. Currently three of these risks are rated as green. These new risks relate to:
  - Succession planning
  - Conduct of elections
  - Workforce availability
  - Delivery of Service Based Review budget reductions
10. The risk in respect of the Delivery of Service Based Review budget reductions is currently rated as amber as the delivery of one element of the saving related to the implementation of self service in City People has been delayed and the saving may have to be re-phased.

## **Summary of Key Risks**

11. 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**)

Details of this risk is contained in Appendix 1.

## **Conclusion**

12. 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 Summary Risk Register for the Establishment Committee

## **Background Papers**

### Reports to Establishment Committee:

29 April 2015: Town Clerk's Office Business Plan 2015-18

16 July 2015: Town Clerk's Business Plan Quarterly update

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# TC Detailed risk register

Report Author: Paul Debuse  
Generated on: 12 October 2015



## Code & Title: CR Corporate Risk Register 1

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR09 Health and Safety	<p><b>Cause</b> – Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p><b>Event</b> – Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p><b>Effect</b> – Possible enforcement action/ fine/prosecution by HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs</p>	Chrissie Morgan	<p>12</p>	<p>The risk was reviewed by the SMT on 01/10/15, no change to the assessment at this time</p> <p>External accreditation of the CoL Health and Safety Management System is due to take place in November</p> <p>The Top X risk assessment approach is being repackage to bring the process in line with the Covalent risk management software</p>	<p>8</p>	31-Mar-2016	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR09A External Verification	External verification of the CoL's safety management system	Oliver Sanandres	30-Nov-2015	Action added 240615, currently selecting appropriate review organisation
CR09B Compliance Audits	Rolling programme of departmental compliance audits conducted by the Corporate Health and Safety Unit	Oliver Sanandres	31-Mar-2016	Work for this financial year started April 1 2015, 2 audits currently completed, programme for the rest of the year has been set and is on target

<b>Committee</b>	<b>Date:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Comptroller and City Solicitor’s Departmental Business Plan 2015-2018 – Progress Report as at 30 September 2015	<b>Public</b>
<b>Report of:</b> Comptroller and City Solicitor	<b>For Information</b>

## Summary

The purpose of this report is provide an update on the progress made in achieving the Strategic Aims in the Comptroller and City Solicitor’s Departmental Business Plan 2015 - 2018 (as at 30 September 2015 – end of Q2).

Progress on achieving my Strategic Aims was as follows:-

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

The department following an external assessment on 15 and 16 June 2015 was recommended to be re-accredited with the Law Society’s quality award LEXCEL.

Membership of the London Boroughs Legal Alliance continues to generate savings on counsel fee expenditure via the competitively tendered frameworks.

I anticipate remaining within my Local Risk budget at the year-end including achieving Service Based Review savings of £22k.

My strategic risks have been reviewed and updated. The risk relating to the implementation of the Oracle OPN commercial rents system has been reduced from red to amber in my departmental risk register. See separate report.

- 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 Professional Services Protocol has been implemented in eleven departments and workflow reports are being circulated to clients each quarter.

A periodic personal information audit has been completed and security around office based information has been strengthened. Comprehensive reviews on the way we work and information management are underway.

## Recommendation

The Committee is recommended to note the report.

## Main Report

### Background

1. The Establishment Committee approved my 2015 - 2018 Business Plan on 14 May 2015. This report provides an update on the progress made towards achieving my Strategic Aims and other key information as at 30 September 2015 (end of 2nd Quarter).

### Current Position

2. My 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 savings target for 2015/16 is £22k (out of a total of £377k by 2017/2018). The savings this year will be achieved by reducing employee costs mainly where posts are filled at lower spinal points.

*A2. Participate in the London Borough's Legal Alliance (LBLA) Barrister Framework retender*

The existing LBLA framework is generating a saving of up to 20% on the use of counsel. My senior managers are participating in the re-tendering exercise to ensure that similar (or greater) savings are achievable in the future.

*A3. Achieve accreditation to the new Law Society's LEXCEL standard (version 6)*

The Department recently underwent an external two day assessment and the assessor is recommending to the Law Society that the Department is re-accredited with the LEXCEL standard.

- 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. Develop the Professional Services Protocol (PSP) initiative to continue to develop clearly understood solicitor/client relationship and performance standards with all our clients*

The PSP was launched approximately twelve months ago and client departments welcomed clarification of the engagement process between lawyers in the Department and officers who instruct us. In addition, client departments receive a quarterly usage report which provides their senior managers with visibility of the range of legal services provided and time incurred.

*B2. Participate in New Ways of Working including Information Management*

The Department is seeking to improve its case management and information processes. An internal working group has been convened to review the use of existing technology and manual processes to determine a future roadmap for the next three years. The major aim of this process is to make better use of technology to manage the life cycle of legal transactions.

*B3. Undertake a review of our work processes in order to maximise efficiency*

The review is looking critically at current practices with the aim of implementing best practice and delivering legal advice effectively which meets the expectation of clients.

## **Strategic Implications**

3. As a central department, the Department enables front line service departments to achieve specific corporate Strategic Aims and Objectives and the Department Business Plan links directly 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. My Departmental Performance Indicators (and current position) are listed in Appendix A.

## **Finance**

5. I anticipate keeping within my Local Risk budget at the year end. An additional post has been filled in my Property Division to undertake work in relation to the City Surveyor's property disposal project. My Public and Corporate Law Division is seeking to recruit to a new post in relation to increased planning work.
6. It should be noted that my Finance Section have, following a very challenging few months, successfully billed the second quarter's commercial rent charges (September) using the new Oracle OPN commercial rents system and, have significantly reduced the backlog of work from February this year.

## **Strategic Risk Management**

7. 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.
8. It should be noted that risk CCS4 relates to the corporate ERP project (CBIS upgrade and Manhattan replacement project) which has been reduced to amber following the successful September OPN quarterly billing run.

## **Conclusion**

9. I consider that the department made very good progress in achieving the 2015/2018 business plan objectives.

## **Appendices**

- Appendix 1 – Comptroller and City Solicitor’s Department – Performance Indicators (2015/2016)

## **Martin Howe**

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## Comptroller &amp; City Solicitor - Performance Indicators (2015/2016)

Ref	Performance Indicator	Targets for 2015/2016	Position As at 30 Sep 2015
PI 1	Responses of chairmen of committee to the client care survey give a 'high overall service' rating	Target 98%	<i>Achieved - 100% (December 2014) Next survey January 2015</i>
PI 2	Responses of departments to the client care survey give a 'high quality service' rating	Target 98%	<i>Achieved – 100% (December 2014) Next survey January 2015</i>
PI 3	Responses of departments to the client care survey give a 'staff keep you well informed' rating	Target 93%	<i>Achieved - 92% (December 2014) Next survey January 2015</i>
PI 4	Justified complaints against total caseload	Target – maximum of 5 per annum	<i>1 complaint received (settled at 1<sup>st</sup> stage – not justified)</i>
PI 5	Maintain LEXCEL accreditation	Target – Accreditation	<i>Achieved June 2015</i>
PI 6	File reviews completed in a timely fashion	Target - 90% within one month	<i>Achieved 65% 25% below target</i>
PI 7	Inactivity on live files in 6 months	Target – Not more than 15%	<i>Achieved 13% 2% above target</i>
PI 8	Inactivity on live files in 3 months	Target – Not more than 20%	<i>Achieved 23% 3% below target</i>
PI 9	Individual chargeable hours target	Target 100%	<i>Achieved</i>
PI 10	Effectively managing short term sickness absence	Target – Below City target of 6 days	<i>Achieved C&amp;CS 4.11 days Sep14-Aug15</i>

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<b>Committee</b>	<b>Date:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Comptroller and City Solicitor’s Departmental Risk Management Report	<b>Public</b>
<b>Report of:</b> Comptroller and City Solicitor	<b>For Information</b>

## Summary

The purpose of this report is to provide a report on my departmental strategic risks as 30 September 2015

It should be noted that risk CCS SMT004 relates to the corporate ERP project (CBIS upgrade and Manhattan replacement project) has been reduced to amber following the successful September quarterly billing run.

## Recommendation

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 new Covalent risk management system) and provide a quarterly risk management report to their respective committee.

### Current Position

2. My departmental strategic risks are listed in Appendix 1.
3. Strategic and Operational Risks are reviewed by the C&CS Senior Management Team on a monthly basis.
4. It should be noted that risk CCS SMT004 relates to the corporate ERP project (CBIS upgrade and Manhattan replacement project). Since my last report in June, the second quarterly billing (for the September quarter) has been completed. In addition, the backlog of work including new areas for markets and open spaces has been greatly reduced. Taking these factors into consideration, the C&CS SMT agreed to reduce the strategic risk from red to amber.

## **Conclusion**

5. The Establishment Committee is asked approve this report.

## **Appendices**

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

## **Martin Howe**

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<b>Code</b>	CCS SMT 001	<b>Title</b>	Ability to recruit and retain competent legal staff
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<b>Description</b>	Cause - Private sector legal firms can offer higher remuneration packages Event - High turnover of legal staff Effect - Delivery of legal advice and documentation delayed, loss of income, assets exposed to higher risks		
<b>Category</b>	Legal	<b>Approach</b>	Accept (the costs of mitigation outweigh the benefits)
<b>Risk Level</b>	Departmental	<b>Risk Owner</b>	Michael Cogher
<b>Strategic Aim</b>	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.	<b>Key Policy Priority</b>	KPP2 - Maintaining the quality of public services whilst reducing our expenditure and improving our efficiency
<b>Department</b>	Comptroller & City Solicitors	<b>Committee</b>	Establishment Committee
<b>Current Risk Assessment, Score &amp; Trend Comparison</b>			
<b>Likelihood</b>	Possible	<b>Target Risk Assessment &amp; Score</b>	
<b>Impact</b>	Serious	<b>Likelihood</b>	Possible
<b>Risk Score</b>	6	<b>Impact</b>	Serious
<b>Review Date</b>	01-Oct-2015	<b>Risk Score</b>	6
<b>Latest Note</b>	Recent HR review of Market Forces Supplements indicates that current levels should be maintained Staff are encouraged to take on more challenging work and training is provided. Recent recruitment exercise suggests market is increasingly challenging.		
<b>Target Date</b>		<b>Target Date</b>	31-Dec-2015

**Actions related to this risk:**

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS001	Review MFS	MFS will be reviewed by HR at the next corporate review	Michael Cogher	01-Apr-2017	0%	To be reviewed when required
C&CS002	Monitor market conditions	Review workforce reports to monitor staff turnover		01-Jan-2016	0%	

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

<b>Approach</b>	Reduce ( By appropriate remedial action)
<b>Risk Owner</b>	Michael Cogher

<b>Strategic Aim</b>	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.
<b>Department</b>	Comptroller & City Solicitors

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

<b>Current Risk Assessment, Score &amp; Trend Comparison</b>	<p>6 ↓ Decreased Risk Score</p>
<b>Likelihood</b>	Possible
<b>Impact</b>	Serious
<b>Risk Score</b>	6
<b>Review Date</b>	17-Sep-2015

<b>Target Risk Assessment &amp; Score</b>	<p>4</p>
<b>Likelihood</b>	Unlikely
<b>Impact</b>	Serious
<b>Risk Score</b>	4
<b>Target Date</b>	

<b>Latest Note</b>	Six monthly DPA audits are being carried out
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**Actions related to this risk:**

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS 002 a1	Carry out periodic DPA audits	Latest DPA audit carried out in May 2015		29-Jan-2016	100%	Latest DPA audit completed May 2015

<b>Code</b>	CCS SMT 003	<b>Title</b>	Managing Legal Risk
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<b>Description</b>	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		
<b>Category</b>	Legal	<b>Approach</b>	Reduce ( By appropriate remedial action)
<b>Risk Level</b>	Departmental	<b>Risk Owner</b>	Michael Cogher
<b>Strategic Aim</b>	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.	<b>Key Policy Priority</b>	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
<b>Department</b>	Comptroller & City Solicitors	<b>Committee</b>	Establishment Committee
<b>Current Risk Assessment, Score &amp; Trend Comparison</b>			
<b>Target Risk Assessment &amp; Score</b>			
<b>Likelihood</b>	Possible	<b>Likelihood</b>	Unlikely
<b>Impact</b>	Serious	<b>Impact</b>	Serious
<b>Risk Score</b>	6	<b>Risk Score</b>	4
<b>Review Date</b>	01-Oct-2015	<b>Target Date</b>	
<b>Latest Note</b>			

**Actions related to this risk:**

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS003a	Staff undertake regular risk reviews	Each matter is risk assessed on receipt and marked as high risk where appropriate	Michael Cogher	04-Jan-2016	100%	Risk reviewed by SMT 23/06/2015
C&CS003b	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	01-Jan-2016	100%	SMT reviewed risks on 23/06/2015
C&CS003c	DMT review monthly High Risk reports	SMT reviews high risk reports and agrees future strategy	Michael Cogher	01-Jan-2016	100%	SMT reviewed risks on 23/06/2015

<b>Code</b>	<b>CCS SMT 004</b>	<b>Title</b>	<b>Successful implementation of Oracle OPN</b>
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<b>Description</b>	<b>Cause</b> - Oracle OPN is replacing the Manhattan commercial property management and rent system <b>Event</b> - Implementation of new system <b>Effect</b> - If the application does not function as planned and/or the data migrated from Manhattan is of poor quality there is a risk that commercial income will not be invoiced on the due dates.		
<b>Category</b>	Financial	<b>Approach</b>	Transfer (To a third party or insurer)
<b>Risk Level</b>	Departmental	<b>Risk Owner</b>	Martin Howe
<b>Strategic Aim</b>	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.	<b>Key Policy Priority</b>	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
<b>Department</b>	Comptroller & City Solicitors	<b>Committee</b>	Establishment Committee
<b>Current Risk Assessment, Score &amp; Trend Comparison</b>			
<b>Likelihood</b>	Unlikely	<b>Target Risk Assessment &amp; Score</b>	
<b>Impact</b>	Major	<b>Likelihood</b>	Unlikely
<b>Risk Score</b>	8	<b>Impact</b>	Serious
<b>Review Date</b>	17-Sep-2015	<b>Risk Score</b>	4
<b>Latest Note</b>	2nd quarterly billing run was completed successfully on 14 September 2015.		
<b>Target Date</b>		<b>Target Date</b>	01-Oct-2015

**Actions related to this risk:**

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS SMT 004a	Migrated data needs significant cleansing	Migrated data was poor in quality and impacted on accurate billing and reporting	Martin Howe	01-Oct-2015	100%	Data continues to be cleansed and updated
C&CS SMT 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	Martin Howe	01-Oct-2015	100%	Billing adjustments are continuing as issues arise

C&CS SMT 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	Martin Howe	01-Nov-2015	55%	Drafting of process documentation is progressing
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<b>Code</b>	CCS SMT 005
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<b>Title</b>	Ability to access critical system at disaster recovery site
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<b>Description</b>	Cause - critical system (KMX) was not available during last business continuity exercise Event - KMX was not working in the Recovery Suite and critical information about the status of matters and records could not be accessed Effect - Unable to identify current legal work and access key legal documents
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<b>Category</b>	Legal
<b>Risk Level</b>	Departmental
<b>Strategic Aim</b>	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.
<b>Department</b>	Comptroller & City Solicitors
<b>Current Risk Assessment, Score &amp; Trend Comparison</b>	 Likelihood: Likely Impact: Serious Score: 8    ↔    No change
<b>Likelihood</b>	Likely
<b>Impact</b>	Serious
<b>Risk Score</b>	8
<b>Review Date</b>	01-Oct-2015

<b>Approach</b>	Transfer (To a third party or insurer)
<b>Risk Owner</b>	Graham Bell
<b>Key Policy Priority</b>	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
<b>Committee</b>	Establishment Committee
<b>Target Risk Assessment &amp; Score</b>	 Likelihood: Rare Impact: Serious Score: 2
<b>Likelihood</b>	Rare
<b>Impact</b>	Serious
<b>Risk Score</b>	2
<b>Target Date</b>	04-Mar-2016

<b>Latest Note</b>	Still awaiting next business continuity exercise to test critical system
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**Actions related to this risk:**

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS 005a	Chamberlains IS Division must provide access at the next BC test	The Chamberlains IS Division must provide access to critical systems at business continuity exercises	Martin Howe	31-Dec-2015	0%	still awaiting next business continuity exercise to test critical application



<b>Code</b>	<b>CCS SMT 006</b>	<b>Title</b>	<b>Timely access to fully functioning office environment in the event of displacement</b>
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<b>Description</b>	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		
<b>Category</b>	Legal	<b>Approach</b>	Transfer (To a third party or insurer)
<b>Risk Level</b>	Departmental	<b>Risk Owner</b>	Peter Bennett
<b>Strategic Aim</b>	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.	<b>Key Policy Priority</b>	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
<b>Department</b>	Comptroller & City Solicitors	<b>Committee</b>	Establishment Committee
<b>Current Risk Assessment, Score &amp; Trend Comparison</b>			
<b>Likelihood</b>	Possible	<b>Target Risk Assessment &amp; Score</b>	
<b>Impact</b>	Major	<b>Likelihood</b>	Unlikely
<b>Risk Score</b>	12	<b>Impact</b>	Minor
<b>Review Date</b>	01-Oct-2015	<b>Risk Score</b>	2
<b>Latest Note</b>		<b>Target Date</b>	

**Actions related to this risk:**

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS SMT 006a	A published strategy or plan needs to be agreed	The CO requires a tested plan/strategy that would enable departments to move to alternative office accommodation in a timely fashion in the event that the North Wing is out of action	Michael Cogher	01-Apr-2015	0%	-- enter new status update --

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<b>Committee</b>	<b>Dated:</b>
Establishment Committee	28 October 2015
<b>Subject:</b> Operation of the Scheme of Delegations July - September 2015	<b>Public</b>
<b>Report of:</b> Director of Human Resources	<b>For Information</b>

## 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 July to September 2015. The report also provides information on total numbers in a rolling year.

## Recommendation

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

## Background

1. In line with the Scheme of Delegations the report provides information on redundancies, early retirements (including those made under the '85 year rule') and ill health retirements in the period July to September 2015.
2. There have been no redundancies in this reporting period.
3. There have been seven early retirements in total. Of these, three were early-retirements and four were ill-health retirements. Appendix 1 (within the confidential section of the agenda) provides a table summarising the information).
4. In the last 12 months there have been 12 total redundancies; five early retirements; and eight ill health retirements.

## Conclusion

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

## Appendices

- Appendix 1 - Table summarising information for the period July – September 2015 (in the Members Only section of the agenda)

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