



Establishment Committee

Date: THURSDAY, 4 FEBRUARY 2016

Time: 11.30 am

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

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

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Lunch will be served in the Guildhall Club at 1pm
NB: Part of this meeting could be the subject of audio or video recording

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES**
To agree the public minutes and summary of the meeting held on 10 December 2015.

For Decision
(Pages 1 - 10)
4. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.

For Information
(Pages 11 - 12)
5. **HUMAN RESOURCES DASHBOARDS**
Report of the Director of Human Resources.

For Information
(Pages 13 - 22)
6. **TOWN CLERK'S OFFICE (POLICY AND DEMOCRATIC SERVICES) BUSINESS PLAN PROGRESS REPORT**
Report of the Town Clerk

For Information
(Pages 23 - 26)
7. **ESTABLISHMENT COMMITTEE RISK - TOWN CLERK'S DEPARTMENT**
Report of the Town Clerk.

For Information
(Pages 27 - 34)
8. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN 2015-2018 - PROGRESS REPORT**
Report of the Comptroller and City Solicitor.

For Information
(Pages 35 - 38)
9. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL STRATEGIC RISK MANAGEMENT REPORT**
Report of the Comptroller and City Solicitor.

For Information
(Pages 39 - 48)

10. **STATUTORY DISMISSAL PROCEDURES FOR THE HEAD OF PAID SERVICE (TOWN CLERK AND CHIEF EXECUTIVE), MONITORING OFFICER (COMPTROLLER AND CITY SOLICITOR) AND CHIEF FINANCIAL OFFICER (CHAMBERLAIN)**
Joint report of the Town Clerk and Director of Human Resources.
For Information
(Pages 49 - 58)
11. **SENIOR OFFICER RECRUITMENT PROCEDURE**
Joint report of the Town Clerk and Director of Human Resources.
For Decision
(Pages 59 - 70)
12. **DOMESTIC ABUSE AND STALKING POLICY**
Report of the Director of Human Resources.
For Decision
(Pages 71 - 80)
13. **DRAFT PAY POLICY STATEMENT 2016/17**
Report of the Director of Human Resources.
For Decision
(Pages 81 - 90)
14. **EQUALITY AND INCLUSION UPDATE**
Report of the Director of Human Resources.
For Information
(Pages 91 - 92)
15. **OPERATION OF THE SCHEME OF DELEGATIONS - OCTOBER - DECEMBER 2015**
Report of the Director of Human Resources. To be considered in conjunction with the Confidential appendix in the Members Only section of the agenda.
For Information
(Pages 93 - 94)
16. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
17. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
18. **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

19. **NON-PUBLIC MINUTES**
To agree the non-public minutes of the meeting held on 10 December 2015.
For Decision
(Pages 95 - 98)

20. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.
For Information
(Pages 99 - 100)

21. **RESOLUTION FROM THE HOUSE COMMITTEE OF THE GUILDHALL CLUB**
To consider a resolution from the meeting of the House Committee of the Guildhall Club held on 14 December 2015.
For Decision
(Pages 101 - 102)

22. **SERVICE BASED REVIEW: DEPARTMENTAL MONITORING - TOWN CLERK'S DEPARTMENT**
Report of the Town Clerk. To be considered in conjunction with the confidential appendix in the Members Only section of the agenda. This report was considered by the Efficiency and Performance Sub-Committee on 13 January 2016 and the Policy and Resources Committee on 21 January 2016.
For Information
(Pages 103 - 106)

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

24. **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

25. **CONFIDENTIAL MINUTES**
To agree the Confidential minutes of the last meeting held on 10 December 2015.

26. **CONFIDENTIAL APPENDIX TO THE OPERATION OF THE SCHEME OF DELEGATIONS - OCTOBER - DECEMBER 2015**
Confidential appendix to the report of the Town Clerk.
For Decision

27. **CONFIDENTIAL APPENDIX TO THE TOWN CLERK'S SERVICE BASED REVIEW DEPARTMENTAL UPDATE REPORT**
Confidential appendix to the report of the Town Clerk.
For Information

28. **CITY SURVEYOR'S DEPARTMENT - HONORARIA**
Report of the City Surveyor.
For Decision

29. **CITY SURVEYOR'S DEPARTMENT - RESTRUCTURE**
Report of the City Surveyor.
For Decision

30. **DEPARTMENT OF COMMUNITY AND CHILDREN'S SERVICES - MARKET FORCES SUPPLEMENT**
Report of the Director of Community and Children's Services.
For Decision
31. **CHAMBERLAIN'S DEPARTMENT - RESTRUCTURE**
Report of the Chamberlain.
For Decision
32. **TOWN CLERK'S DEPARTMENT - MARKET FORCES SUPPLEMENT**
Report of the Director of Economic Development.
For Decision
33. **GUILDHALL SCHOOL OF MUSIC AND DRAMA - SUCCESSION PLANNING**
Report of the Town Clerk.
For Decision

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ESTABLISHMENT COMMITTEE

Thursday, 10 December 2015

Minutes of the meeting of the Establishment Committee held at the Guildhall EC2 at 11.00 am

Present

Members:

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

Officers:

John Barradell	- Town Clerk and Chief Executive
Peter Lisley	- Assistant Town Clerk
Christopher Braithwaite	- Town Clerk's Department
Paul Debuse	- Town Clerk's Department
Caroline Al-Beyerty	- Chamberlain's Department
Matthew Lock	- Chamberlain's Department
Ian Dyson	- City of London Police
Barbara Giles	- City of London Police
Michael Cogher	- Comptroller and City Solicitor
Richard Jeffrey	- Comptroller and City Solicitor's Department
Peter Bennett	- City Surveyor
Chrissie Morgan	- Director of Human Resources
Janet Fortune	- Human Resources Department
Tracey Jansen	- Human Resources Department

1. APOLOGIES

Apologies for absence were received from Nigel Challis, Deputy Kevin Everett and Deputy Richard Regan.

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

No declarations of interests were made by Members.

The Town Clerk and Chief Executive and the Comptroller and City Solicitor each declared an interest in respect of item 9 due to it concerning the agreement of the disciplinary procedure in the event that their dismissal was

being considered. Both Officers left the room for the duration of consideration of this item.

The Comptroller and City Solicitor noted that he and the Director of Human Resources both had a potential conflict of interests in respect of item 17, as it concerned the possibility of increasing the notice period required for Chief Officers. The Comptroller and City Solicitor explained that both he and the Director of Human Resources had advised the Town Clerk that they would accept an increase to their notice period, should the Committee wish to apply one. Therefore, they were both able to advise the Committee without a conflict of interest.

3. **MINUTES**

RESOLVED – That the public minutes and summary of the meeting held on 18 November 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 Deputy Chairman advised the Committee that the application of the Corporate Transport Policy to Members had been considered earlier in the day by the Members' Privileges Sub (Policy and Resources) Committee. The Sub-Committee had requested that the application to Members be reconsidered and the report had been withdrawn.

With regard to identifying an alternative saving due to the reduction in the saving associated with reducing the level of funding to the Pensioners' Annual Lunch, the Town Clerk advised that this funding came from within the Central Risk Budget. He advised that discussions were ongoing with the Chamberlain's Department to identify an alternative saving.

RESOLVED – That the Committee notes the report.

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(s)	Paragraph(s)
5	4

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

The Committee considered and approved a report of the Commissioner of the City of London Police which provided an update on the Police Change Programme.

Admittance of the public

RESOLVED – That the public be admitted to the meeting.

6. TERMS OF REFERENCE AND FREQUENCY OF MEETINGS OF THE ESTABLISHMENT COMMITTEE

The Committee considered a report of the Town Clerk which provided the opportunity to review the Committee's Terms of Reference.

The Town Clerk advised the Committee that following a discussion at Callover, the Chairman and Deputy Chairman had agreed to recommend to the Committee that the Committee move to a six-weekly cycle of meeting, as this would better fit with the workload of the Committee. Members agreed to this change.

The Town Clerk also advised the Committee that the Chairman had agreed that it would be beneficial to move meetings away from Thursdays, due to this being the day of a number of substantial meetings, particularly Court of Common Council and Policy and Resources Committee (and its Sub-Committees). Members agreed to this proposal and agreed that the Town Clerk work with the Chairman and Deputy Chairman to identify appropriate meeting dates going forward.

A Member noted that the Policy and Resources Committee acted as the Service Committee for some aspects of the Town Clerk's Department, and suggested that it would be beneficial to amend this Committee's Terms of Reference to make explicit the areas within the Town Clerk's Department for which Establishment Committee was the Service Committee. The Member advised that he would make a similar suggestion to the Policy and Resources Committee when that Committee considered its Terms of Reference. Members agreed to this change.

A Member suggested that it would be appropriate for the Establishment Committee to also become the Service Committee for the Central Criminal Court, which was part of the Town Clerk's Department but currently reported to the Corporate Asset Sub (Finance) Committee. The Town Clerk and Chief Executive agreed that the Corporate Asset Sub-Committee may not be the appropriate Committee for the Central Criminal Court to report to, but noted that this Sub-Committee would continue to have a key role for the Central Criminal Court due to the Sub-Committee's role in maintaining the Corporation's buildings. The Town Clerk and Chief Executive also advised that the Establishment Committee may not be the most appropriate Committee for the Central Criminal Court to report to, highlighting the Court of Aldermen (due to the importance of the Central Criminal Court to Shrieval activities) and the Policy and Resources Committee (due to the Central Criminal Court's role in the overall reputation of the City Corporation) as Committees which might be appropriate.

The Town Clerk advised Members that it was ultimately for the Court of Common Council to determine each Committee's Terms of Reference through

the White Paper, which would be submitted in April 2016. He advised that a report setting out the proposed changes to Terms of References of all Committees would be submitted to the Policy and Resources Committee in March 2016, following consideration of Terms of References by the various Service Committees. The Town Clerk explained that this Committee's comments on the Central Criminal Court's reporting lines would be fed into this process, and a report would be presented to the relevant Committees over the next two months.

A Member suggested that, while it was implicit within the Committee's Terms of Reference that the Committee was responsible for remuneration of Senior Officers, it would be beneficial to make this explicit.

A Member suggested that the reference to maternity leave within the Terms of Reference be amended to parental leave. The Committee agreed to this change.

The Chairman advised the Committee that the 7 January 2016 meeting of the Committee would be cancelled due to a lack of business to transact.

RESOLVED – That the Committee:

- a) approves the terms of reference of the Committee for submission to the Court of Common Council as set out at Appendix A to the report, subject to the following amendments:
 - making explicit the areas within the Town Clerk's Department for which the Establishment Committee was the Service Committee;
 - making explicit reference to the Committee being responsible for the remuneration of Senior Officers; and
 - amending the reference to "maternity leave" to "parental leave"
- b) requests that the Town Clerk present a further report to this Committee, and other relevant Committees, regarding the reporting lines for the Central Criminal Court;
- c) agrees to amend the frequency of meetings of the Committee to every six weeks, that the day of meetings be changed from Thursdays, and that the Town Clerk consult with the Chairman and Deputy Chairman to set meeting dates.

7. REVENUE BUDGETS 2016/17

The Committee considered a joint report of the Town Clerk, Chamberlain and Comptroller and City Solicitor which provided the annual submission of the revenue budgets overseen by the Committee.

A Member asked whether it was possible for the roll-out of HR Self Service to take place this year and therefore avoid the deferral of this £250,000 Service Based Review (SBR) saving. The Director of Human Resources advised that it had not been possible to roll out HR Self Service due to technological issues.

However, this was now being rolled out, and the savings would now begin to be accrued from this programme.

The Chamberlain advised the Committee that all SBR savings items which Service Committees had agreed could be deferred from budgets would be reported to the Policy and Resources Committee so that the Committee could take a view as to the overall SBR position.

RESOLVED – That the Committee:

- a) notes the provisional 2016/17 revenue budget and approves the budget for submission to the Finance Committee;
- b) agrees the deferral of £350,000 of the Town Clerk's Departmental SBR savings from 2016/17 to 2017/18 and note if approved, this deferral will be subject to the agreement of the Policy and Resources Committee in January 2016, along with all other Service Committee SBR deferrals; and
- c) authorises the Chamberlain to revise these budgets to reflect any further implications arising from the Service Based Reviews and other corporate efficiency projects.

8. **SENIOR OFFICER RECRUITMENT PROCESS**

The Committee considered a report of the Director of Human Resources which provided a progress update on establishing a formal procedure for Member involvement in the Recruitment and Appointment procedure for Senior Officers below that of Chief Officer.

Members discussed the draft procedure for Senior Officer Recruitment, and suggested some specific amendments, namely:

- Amending the determination of the level of Member involvement for a Senior Office recruitment to be a joint decision between the Chief Officer and Service Committee Chairman;
- Formalising the option for the Town Clerk to choose to be involved in the appointment panel;
- Including the option for Members to be included on the appointment panel even on Officer-led appointments, rather than only in assessment centres.

Members discussed the process for evaluating the quality of internal candidates against the likely quality of external candidates. Members noted that it would be a strong demonstration of the quality of the organisation if the Corporation was able to appoint high calibre internal candidates to senior posts. The Director of Human Resources advised the Committee that developing Officers to rise through the organisation to senior roles was a priority in the Talent Management Strategy. The Director also noted that it was important to consider diversity issues in appointments to senior roles.

Members also commented that it was vital that any Members involved in the appointment of Senior Officers had the appropriate skills and received the appropriate training

RESOLVED – That the Committee:

- a) Notes the report; and
- b) Approves the draft procedure for Senior Officer Recruitment, subject to the comments set out above.

9. **RECRUITMENT PROCESS FOR THE CITY SURVEYOR**

The Committee considered a report of the Director of Human Resources which informed the Committee that the City Surveyor had indicated that he intended to leave the City of London Corporation at the end of October 2016 and set out the proposed recruitment process for his replacement, including an indication of the timeframe that could be followed.

A Member explained that the Policy and Resources Committee's Terms of Reference stated that Committee was responsible for "the appointment of the City Surveyor (in consultation with the Investment Committee)", but there was no reciprocal reference within the Investment Committee's Terms of Reference. The Member explained that he had queried this with the Town Clerk and Chief Executive in advance of the meeting, and it had been confirmed that a reciprocal reference should be included within the Terms of Reference of the Investment Committee, and this would need to be added to the Investment Committee's Terms of Reference at the earliest opportunity.

Members also noted that the Chief Officer Appointment Procedure set out at Appendix 1 needed to be updated.

RESOLVED – That the Committee notes the report.

10. **STATUTORY DISMISSAL PROCEDURES FOR THE HEAD OF PAID SERVICE, MONITORING OFFICER AND CHIEF FINANCIAL OFFICER**

The Town Clerk and Chief Executive and the Comptroller and City Solicitor left the meeting while the Committee considered this item.

The Committee considered a report of the Director of Human Resources which set out options for the new Statutory Dismissal Procedure for the 'relevant officers' i.e. the Town Clerk, the Chief Financial Officer (the Chamberlain) and the Monitoring Officer (the Comptroller and City Solicitor) who are affected by the Local Authorities (Standing Orders) (England) (Amendments) Regulations 2015.

A Member suggested that, rather than the Chairman and Deputy Chairman of the Appointing Committee for the relevant officer considering any complaints or concerns, this should be the role of the Chairman of the Appointing Committee and the Chairman of the Establishment Committee. The Committee agreed that this would be appropriate.

A Member noted that Standing Order 63, which was included as an appendix to the report, should be redrafted to reflect the agreed procedure. The Town Clerk advised that a report setting out proposed amendments to this Standing Order would be brought before the Establishment Committee for comment and the Policy and Resources Committee for recommendation to the Court of Common Council within the next couple of months.

RESOLVED – That the Committee:

- a) endorses the proposed way forward set out in the report for onward approval by the Court of Common Council as follows:
 - i) The Chairman of the Appointing Committee for the relevant officers and the Chairman of the Establishment Committee will take an initial view of any complaints or concerns raised regarding the relevant officer and determine the appropriate course of action, reporting to the Court of Common Council as appropriate where dismissal of the relevant officer is recommended. In the event that there is a conflict of interest for the Chairmen, then an alternative Committee Chairman and/or Deputy Chairman will take on this role.
 - ii) For the purposes of considering dismissal of a relevant officer, that the composition of the Panel comprises three current Chairmen and at least two of the three Independent Persons appointed to the Standards Committee.
 - iii) The Panel composition once agreed is set up as a standing committee and referred to the Court of Common Council for approval.
 - iv) The Director of Human Resources will be responsible for providing advice on the administration, application and overview in relation to the disciplinary procedures for the three relevant officers. Where it is considered that there is a conflict of interest, an external senior human resources and/or legal adviser will be sourced to support the process as appropriate.
- b) Notes that subject to approval of the basic framework outline above the current disciplinary procedures for the three relevant officers will be redrafted and referred back to the Committees for approval.
- c) Requests that the Policy and Resources Committee consider amending Standing Order 63 to set out agreed Statutory Dismissal procedure.

11. REGISTER OF INTERESTS FOR CHIEF OFFICERS

The Committee considered a report of the Director of Human Resources which provided Members with an updated Register of Interests for Chief Officers as at November 2015.

RESOLVED – That the Committee notes the report.

12. CITYWELL - WORKPLACE WELLBEING STRATEGY

The Committee considered a report of the Director of Human Resources which provided an update for members on the Workplace Wellbeing Questionnaire results and analysis.

The Chairman noted that the response rate for the City of London Police had been particularly poor. The Commissioner of the City of London Police agreed that the response rate was poor, although this may have been due to the City of London Police operating a different intranet system, and therefore the survey may not have been as well communicated to the Police.

Members agreed that excellent progress had been made in the area of employee Wellbeing, but expressed concern about some of the statistics set out within the report, particularly regarding the number of respondents whose answers indicated poor mental wellbeing. The Director of Human Resources explained that this was the main issue to address which had emerged from the survey.

RESOLVED – That the Committee notes the direction and progress to date on the Wellbeing Project.

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

There were no questions.

14. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT

There were no urgent items.

15. EXCLUSION OF THE PUBLIC

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

Item(s)	Paragraph(s)
16, 17, 19, 20	3
18	3, 5
21, 22, 25, 26	1, 3
23	1, 3, 4
24	1, 2, 3
27	1

16. NON-PUBLIC MINUTES

The non-public minutes of the meeting held on 18 November 2015 were approved.

17. OUTSTANDING ACTIONS REPORT

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

18. **POST-TERMINATION OF EMPLOYMENT RESTRICTIONS ON OFFICERS**
The Committee considered and approved a joint report of the Comptroller and City Solicitor, the City Surveyor and the Director of Human Resources which set out a possible mechanism to restrict the activities of senior officers following retirement and the potential to extend the notice period of Chief Officers and certain other staff, together with the legal, policy and employee relations issues related to this.
19. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There were no questions.
20. **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.
21. **CONFIDENTIAL MINUTES**
The confidential minutes of the meeting held on 18 November 2015 were approved.
22. **REPORT OF ACTION TAKEN UNDER DELEGATED AUTHORITY**
The Committee considered and approved a report of the Town Clerk which informed of action taken under delegated authority since the last meeting.
23. **REVENUE BUDGETS - 2016/17 - MEMBERS ONLY APPENDIX**
The Committee noted an appendix to the joint report of the Chamberlain, Town Clerk and Comptroller and City Solicitor regarding the Revenue Budgets for Establishment Committee operational services for 2016/17.
24. **CITY SURVEYOR'S DEPARTMENT - RESTRUCTURE OF A TEAM**
The Committee considered and approved a report of the City Surveyor regarding the restructure of a Team within his Department.
25. **TOWN CLERK'S DEPARTMENT - REVIEW OF A TEAM - SERVICE BASED REVIEW PROPOSAL**
The Committee considered and approved a report of the Town Clerk regarding proposals to change the operation of a team within his Department.
26. **CITY SURVEYOR'S DEPARTMENT - MARKET FORCES SUPPLEMENT**
The Committee considered and approved a report of the City Surveyor regarding a request for a Market Forces Supplement for an officer within his Department.
27. **SUCCESSION PLANNING**
The Committee noted a joint report of the Town Clerk and Director of Human Resources which outlined the measures taken in succession planning and explaining actions in relation to the strategy.

The meeting closed at 1.00 pm

Chairman

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Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	10 December 2015, Item 8	<u>Dates and Times of Meetings</u> Town Clerk to identify alternative meeting dates with the Chairman and Deputy Chairman to comply with a six-weekly meeting schedule, on a day other than Thursday.	Town Clerk	February 2016	New meeting dates to be provided for the meetings from April 2016 onwards.
2.	10 December 2015, Item 8	<u>Updates to Terms of Reference</u> i) Agreed updates to Terms of Reference to be submitted to Policy and Resources Committee in March 2016 and Court in April 2016. ii) A further report to be submitted to his Committee and other relevant Committees regarding the reporting lines for the Central Criminal Court.	i) Town Clerk ii) Town Clerk	i) March 2016 ii) February 2016	i) On track ii) A further report will be presented to the all relevant Committees (Establishment, Corporate Asset Sub, Court of Aldermen and Policy and Resources) in March 2016. This will consider all possible options.
3.	10 December 2015, Item 9	<u>Recruitment of City Surveyor – Investment Committee Terms of Reference</u> The Investment Committee to be requested to request an update to their Terms of Reference to provide that Committee with authority to appoint the City Surveyor (in consultation with the Policy and Resources Committee)	Town Clerk	Completed	Policy and Resources Committee recommended that no such update to Terms of Reference is required.

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
4.	10 December 2015, Item 10	<u>Statutory Dismissal Procedures for the Head of Paid Service, Monitoring Officer and Chief Financial Officer</u> i) Policy and Resources Committee and Finance Committee to be informed of their proposed role in the Statutory Dismissal Procedure, in advance of consideration of the Procedure by Court of Common Council. ii) Policy and Resources Committee to be requested to consider amending Standing Order 63 to include full details of the dismissal procedure.	Town Clerk	February 2016	A report on these matters are included on this agenda and will be presented to Finance Committee and Policy and Resources Committee later in February 2016.
5.	10 December 2015, Item 8	<u>Chief Officer and Senior Officer Appointment Process</u> The Director of Human Resources to submit the final Senior Officer Recruitment Policy to the February 2016 meeting of this Committee.	Director of Human Resources	February 2016	An update report on progress with this is included within the agenda.
6.	28 October 2015, Item 6	<u>Trade Union Bill</u> Further updates on the implications of the Trade Union Bill to be provided as the Bill progresses through Parliament.	Remembrancer	As required with progress of the Bill	Update on the Bill's progress is expected to be provided in March or April 2016.
7.	28 October 2015, Item 9	<u>Service Based Review Savings</u> A report to be submitted identifying the £27k replacement saving following the continuation of a grant in that amount to the Pensioners' Annual Lunch.	Town Clerk and Chamberlain	Report to be submitted once saving identified.	Potential additional saving from the Central Risk Budget has not yet been identified.

Committee: Establishment Committee	Date: 4 February 2016
Subject: Human Resources Dashboards	Public
Report of: Director of Human Resources	For Information
Report author: Roger Farrington	

Summary

This report provides the Committee with the Corporate HR Dashboard; along with the Dashboards for the two Departments to which Establishment Committee is the Service Committee (the Town Clerk's Department and the Comptroller and City Solicitor's Department).

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

Recommendation

The Committee is recommended to note the report.

Main Report

Background

1. The HR Dashboard was launched in April 2015 and has been developed to support the Town Clerk, Chief Officers and Managers by providing monthly data on key "people" metrics. Prior to the development of the HR Dashboard there was only regular reporting on sickness absence. Staff numbers information was provided on an annual basis, but this was mainly provided at committee level to provide a high level overview of the City Corporation. Chief Officers received a "snapshot" report at the end of each financial year providing basic people based information.
2. Members will recall that they received a demonstration of the HR Dashboard at their June 2015 meeting and a more detailed presentation at their November 2015 meeting.
3. It was agreed that the dashboard would be brought to the committee on a quarterly basis
4. Copies of the front page of the HR Dashboard for the Corporation as a whole, the Town Clerks Department and the Comptrollers and City Solicitors

Department are included within this report. These show the nine key metrics for November 2015, the December 2015 figures will be available at the meeting.

5. At the meeting you will have the opportunity to see the full version of the HR Dashboard.

Current Position

Based on the November 2015 figures the following should be noted at the Corporate level:

- a) Full Time Equivalent (FTE) has increased slightly since November 2014 (up 24.3FTE). This is being monitored as part of the Service Based Review budget monitoring.
- b) Turnover remains at 14% with a range of 8% in Central Criminal Court to 25% in Town Clerks. There has been a number of restructures in Town Clerks resulting in a higher than normal number of leavers.
- c) Occupied positions at 3821 is higher than the current staff at 3797 due to some consultants being included in our reporting structure who may have some line manager responsibility.
- d) Unoccupied positions which should be an indication of the number of vacancies are high at 1502. This is mainly in the City of London Police (956). There are a number of restructures being undertaken within the Police and Corporate Departments. We are in the process of undertaking a "data quality" review to reduce the number of unoccupied positions so that the dashboard is able to better reflect the true position.
- e) Sickness at 0.61 is above the corporate target of 0.5. The current range is 0.16 in Remembrancer's, 0.21 in GSMD to 0.92 in Built Environment, 1.03 at the City of London Girls School and 1.2 at the Central Criminal Court.
- f) Costs over and above base salary (including overtime and unsocial hours) are £4.1m for the financial year to date. The split of these costs vary across the Corporation:
 - i. Service Departments account for 54% (an even spread across the departments)
 - ii. Corporate Departments account for 19% (mainly Surveyors and Central Criminal Court)
 - iii. Institutions account for 17% (mainly Barbican and GSMD)
 - iv. Police civilian staff account for 10%
- g) Agency costs for those staff employed through the Comensura corporate contract are £4.65m for the year to date
 - i. Service Departments account for 49% (mainly Children and Community Services and Built Environment)
 - ii. Corporate Departments account for 28% (mainly Chamberlains)
 - iii. Institutions account for 1%

- iv. Police civilian staff account for 22%
- h) Reported Accidents year to date are 304, mainly in Markets (86), Open Spaces (64) and Culture Heritage and Libraries (41)

Corporate & Strategic Implications

The HR Dashboards have been well received by Chief Officers and are starting to form a key information source for tracking performance and undertaking Workforce Planning both at a Departmental and Corporate level.

Conclusion

Members are asked to note this report.

Appendices

- Appendix 1 – Corporate Dashboard November 2015
- Appendix 2 – Town Clerks Dashboard November 2015
- Appendix 3 – Comptrollers and City Solicitors Dashboard November 2015

Roger Farrington, Corporate HR

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3,797 Current Staff - Headcount

3,592.79 Current Staff - FTE



Nov-2014 Levels

- Headcount **3,773**
- FTE **3,568.49**

14.44% Turnover in the current rolling year



Starters 566
Leavers 547
- Voluntary 11.35% (430)
- Involuntary 3.09% (117)

Previous rolling year's turnover 13.99%

Monthly Sickness Level 0.61

Short-Term **0.35**
Long-Term **0.26**

Previous Levels
Oct-2015 **0.56**
Nov-2014 **0.43**

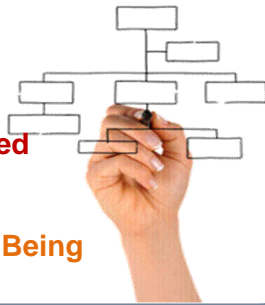


5,437 Total Positions

3,821 Occupied Positions

1,502 Unoccupied Positions

114 Positions Being



355 Number of recruitment campaigns closed in the current rolling year

Applications 10,712
- Interviewed 1,472
- Appointed 355



Average Days From Requisition Start to

92

Disciplinarys in the last year **25** currently open **6**

Grievances in the last year **12** currently open **4**



Sickness Cases in the last year **362** currently open **167**

£243,877.22

Monthly Overtime



Monthly Additional Hrs £280,689.56

Monthly Casual Costs £19,878.25

Monthly Agency Costs £786,047.39

YTD Overtime **£1,889,912.11**
YTD Additional Hours **£2,252,570.52**

399 Health & Safety incidents in the current rolling year

of which were near misses

Incidents in the previous

58



301

13,872 Completed courses in the rolling year

8,156

of which were e-learning

Total Cancellations

224

Cancellation Costs

tba





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



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



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



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



A recruitment requisition is only closed once a successful applicant starts in their position. This can obviously impact on average days from requisition start to appointment where long notice periods are in effect.



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



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



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



Training values include department specific and mandatory courses.

217 Current Staff - Headcount

209.04 Current Staff - FTE

- HC vs COL 5.72%
- FTE vs COL 5.82%



Nov-2014 Levels

- Headcount 235
- FTE 226.22

26.61%

Turnover in the current rolling year

14.44%

CoL Turnover

- Starters** 40
- Leavers** 60
 - Voluntary 21.29% (48)
 - Involuntary 5.32% (12)



19.78%

Monthly Sickness Level

0.60

CoL

0.61

- Short-Term 0.30
- Long-Term 0.30

Previous Levels

- Oct-2015 **0.57**
- Nov-2014 **0.60**



285 Total Positions

218 Occupied Positions

50 Unoccupied Positions

17 Positions Being Recruited To



28

Number of recruitment campaigns closed in the current rolling year

Applications 778

- Interviewed 103
- Appointed 27



Average Days From Requisition Start to Appointment/Closure

96 (**92**)
CoL

Disciplinarys

in the last year 0

currently open 0

Grievances

in the last year 1
currently open 0



Sickness Cases

in the last year 19

currently open 12

£4,637.32

Monthly Overtime



Monthly Additional Hrs **£741.13**

Monthly Casual Costs **£7.87**

Monthly Agency Costs **£59,903.01**

YTD Overtime **£24,786.58**

YTD Additional Hours **£5,805.63**

1

Health & Safety incidents in the current rolling year

of which were near misses

Incidents in the previous

0



4

1,176

Completed courses in the rolling year

597

of which were e-learning

Total Cancellations

14

Cancellation Costs

tba





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



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



Training values include department specific and mandatory courses.

264 Current Staff - Headcount

257.35 Current Staff - FTE

- HC vs COL **6.95%**

- FTE vs COL **7.16%**



Nov-2014 Levels

- Headcount **265**

- FTE **258.61**

14.72%

Turnover in the current rolling year

14.44%

CoL Turnover

Starters 41

Leavers 39

- Voluntary 9.43% (25)

- Involuntary 5.28% (14)



9.45%

Monthly Sickness Level

0.75

CoL

0.61

Short-Term **0.25**

Long-Term **0.51**

Previous Levels

Oct-2015 **1.00**

Nov-2014 **0.53**



364 Total Positions

264 Occupied Positions

91 Unoccupied Positions

9 Positions Being Recruited To



36

Number of recruitment campaigns closed in the current rolling year

Applications **614**

- Interviewed 113

- Appointed 26



Average Days From Requisition Start to Appointment/Closure

93 **(92)**

CoL

Disciplinarys

in the last year **5**

currently open **2**

Grievances

in the last year **2**

currently open **0**



Sickness Cases

in the last year **23**

currently open **14**

£21,869.33

Monthly Overtime



Monthly Additional Hrs **£33,945.98**

Monthly Casual Costs **£-**

Monthly Agency Costs **£131,371.34**

YTD Overtime **£194,882.17**

YTD Additional Hours **£269,401.16**

23

Health & Safety incidents in the current rolling year

of which were near misses

Incidents in the previous

5



34

1,565

Completed courses in the rolling year

912

of which were e-learning

Total Cancellations

32

Cancellation Costs

tba





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Training values include department specific and mandatory courses.

Committees: Establishment Committee Policy and Resources Committee	Dates: 4 February 2016 18 February 2016
Subject: Town Clerk's Office (Policy and Democratic Services) Business Plan Progress Report (1 October to 31 December 2015)	Public
Report of: Town Clerk	For Information
Report Author: Paul Debuse	

Summary

This report provides an activity update as at 31 December 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 Member Satisfaction Survey 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 'Increasing the Business Vote' project are proceeding according to plan. Performance within the division is mostly at or above the performance level standards set within the Business Plan.

A financial monitoring statement that covers the period 1 April 2015 to 31 December 2015 can be found at paragraph 14. It is expected that the Division will remain within its local risk resources in this financial year.

Recommendation

That Members note the content of this report.

Main Report

Introduction

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

Key Developments

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

Leadership, Policy and Strategy

3. **Changes to the Chief Officer Governance framework**– A new Chief Officer corporate governance structure has been introduced to facilitate and encourage Chief Officers to identify cross-departmental opportunities for the City of London Corporation. The overarching aim is to identify positive outcomes for people, place, and prosperity where relevant across the Square Mile, London and the UK – and the effective oversight of the delivery of those outcomes at an officer level. The corporate governance framework is not designed to intervene in the activities of departmental management teams or restrict the use of delegated authority by Chief Officers. The new framework comprises the Summit Group, Steering Groups for ‘People’, ‘Place’, and ‘Prosperity’, and Delivery Groups for Resource Management and Customer Services
4. **The Cultural Hub** – The work to develop the complex program of work related to this project is progressing. The City Surveyor has completed the purchase of the General Markets and funding has now been agreed to allow the Museum of London to refine the project scope and costs. In December, the government made £5.5m available from April 2016, through Arts Council England, to take the Centre for Music study forward to the next stage.

Corporate Governance and Democracy

5. **The Member satisfaction survey** – During December 2015, Members of the Common Council were asked to participate in a satisfaction survey about the services that they receive from the Committee and Member Services Team. The overall performance of the team was generally rated as very good or good, but there were areas that the Members identified that have potential for improvement, the most notable of which were:
 - Improving the quality of Committee papers
 - Continuity of Committee Staff
 - Providing a consistent level of procedural advice

The results will be used to enhance the services that are currently provided for Members.

6. **Increasing the Business Vote** – In preparation for the 2017 Ward Election, a campaign is planned to boost the number of registered voters. A report detailing the planned activities is on the agenda of this Committee for approval. If approved, the campaign will run from April to November 2016.

Organisational and Departmental Development

7. **Investors in People** –Our IIP assessment in September has resulted in the City of London Corporation being awarded ‘Silver’. This means we have achieved our very ambitious target of moving from Bronze to Silver in 12 months. We are formulating our plans for the future of this award given that

the award structure has changed again and Gold is no longer the ultimate award. We aim to have a decision on the way forward for IIP by spring 2016.

8. **Workforce Strategy** - The main themes emerging are pay and reward and succession planning. On pay and reward we are forming short and medium term options. Departments have been asked to prioritise some of these actions and further research on some areas such as different terms and conditions/rewards in different industries is being commissioned. The workforce planning strategy group has been subsumed into the Strategic Resource Group, which will report to Summit Group.

Resilience

9. **Major Incident Exercises** – The dates for exercise ‘Unified Response’ have now been confirmed as 29 February to 3 March. The exercise will test Local Authority responses to a declared major incident requiring the implementation of the Pan London strategic co-ordination arrangements. The City of London Corporation is playing an active role. The launch event will be held at Guildhall on January 20, at which the Town Clerk will be one of the lead speakers.
10. **The Lord Mayors Show** – The extensive planning that was undertaken by CoL Officers and the City of London Police ensured that the Lord Mayor’s Show took place without any significant problems, despite the enhanced security arrangements that were put in place as a result of the Paris Terrorist attack that took place the day before the event.

Other Issues

11. **Performance Monitoring** – The Town Clerk’s Office has performed at or above most of the performance level standards that were identified within the Business Plan. One area that has recently been under review is the level of sickness absence across the department. The latest figures available (November 2015) indicate that there has been a slight improvement in the level of sickness absence from 0.63 working days lost per employee to 0.60. This compares to 0.61 for the CoL as a whole, and the CoL target of 0.5. All sickness absence is actively managed.
12. **Business Risk** – The assessment of business risk is integrated into the business planning process, the major risks that the Town Clerk is responsible for under this business plan have been reassessed as part of this update process. Currently, there are no changes in the scoring of these risks. A report considering the Town Clerk’s Department business risks in more detail is on the agenda of this Committee meeting
13. **Resources** - A summary of Policy and Democratic Services’ budgetary position, for the quarter ended 31 December, 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)

14. Local risk budgetary statement for the period ended 31 December 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)	6,943	5,078	4,896	(182)
Resilience and Community Safety	639	484	460	(24)
Total	7,582	5,562	5,356	(206)

Paul Debuse

Head of Business Support

Town Clerk's Department

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Committee: Establishment Committee	Date: 4 February 2016
Subject: Establishment Committee Risk – Town Clerk’s Department	Public
Report of: Town Clerk	For Information
Report Author: Paul Debus	

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 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; 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 in October 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 October 2015.

Summary of Key Risks

9. 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**)

Detail of this risk is contained in Appendix 1.

Conclusion

10. 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
- Appendix 2 – City of London Risk Matrix

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TC Detailed risk register

Report Author: Paul Debus

Generated on: 20 January 2016

Appendix 1

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR09 Health and Safety Risk 22-Sep-2014 Chrissie Morgan	<p>Cause - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p>Event - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p>Effect - Possible enforcement action/ fine/prosecution by HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs</p>	Likelihood 	12	This risk was reviewed by the SMT on 20/01/16, no change to the assessment at this time. The external accreditation exercise will commence on January 19, with audits being conducted in Corporate H&S, Community and Children Services, City Surveyors and the City Police. The review will provide a benchmark against a wide range of organisations. 20 Jan 2016	Likelihood 	8	31-Mar-2016	 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR09A External Verification	External verification of the CoL's safety management system	The British Safety Council have been identified to provide an assessment using their 5 star. Audits commence on January 19 and will be completed at the end of January, with the results by the end of February	Oliver Sanandres	20-Jan-2016	29-Feb-2016
CR09B Compliance Audits	Rolling programme of departmental compliance audits conducted by the Corporate Health and Safety Unit	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	Oliver Sanandres	24-Jun-2015	31-Mar-2016



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

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

(A) Likelihood criteria

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

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(B) Impact criteria

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

(C) Risk scoring grid

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

(D) Risk score definitions

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

This is an extract from the City of London Corporate Risk Management Strategy, published in May 2014.

Contact the Corporate Risk Advisor for further information. Ext 1297

Version date: December 2015

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Committee: Establishment Committee	Date: 4 February 2016
Subject: Comptroller and City Solicitor's Departmental Business Plan 2015-2018 – Progress Report as at 31 December 2015	Public
Report of: Comptroller and City Solicitor	For Information
Report Author: Martin Howe	

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 2015 - 2018 (as at 31 December 2015 – end of Q3).

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 £43k.

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 data protection audit has been completed and security around office based information has been strengthened.

A comprehensive review on the way we work is underway and an Opportunity Outline in relation to Information Management will shortly be submitted to the Corporate Projects Board for approval.

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 31 December 2015 (end of 3rd 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 £43 k (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 have participated in the framework re-tendering exercise to ensure that similar savings will be sustained.

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

The Department, following an external two day assessment, has been re-accredited with the Law Society's 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 particularly the life cycle of electronic information. An internal working group has been convened and is submitting an Opportunity Outline proposal to the Corporate Projects Board shortly for approval.

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.

Strategic Risk Management

6. Strategic and Operational Risks are reviewed by the Department's Senior Management Team on a monthly basis. Information about C&CS risk is contained in a separate report.

Conclusion

7. 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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Appendix 1

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

PI 1	Responses of chairmen of committee to the client care survey give 'very good' or 'good' overall service' rating	Target 98% <i>(Achieved 100%- Jan 2015 – 2% above target). 2015 figures due Feb 2016</i>
PI 2	Responses of departments to the client care survey give a 'high quality service' rating	Target 98% <i>(Achieved 100%- Jan 2015 – 2% above target). 2015 figures due Feb 2016</i>
PI 3	Responses of departments to the client care survey give a 'staff keep you well informed' rating	Target 93% <i>(Achieved 92%- Jan 2015 – 1% below target). 2015 figures due Feb 2016</i>
PI 4	Justified complaints against total caseload	Target – maximum of 5 per annum <i>(Achieved – 1 complaint received – settled at 1st stage – complaint not upheld)</i>
PI 5	Maintain LEXCEL accreditation	Target – Re-accreditation <i>(Achieved June 2015)</i>
PI 6	File reviews completed in a timely fashion	Target - 90% within one month <i>(Achieved 75% - 15% below target)</i>
PI 7	Inactivity on live files in 6 months	Target – Not more than 15% <i>(Achieved 11% Q3 – 4% above target)</i>
PI 8	Inactivity on live files in 3 months	Target – Not more than 20% <i>(Achieved 26% Q3 – 6% below target)</i>
PI 9	Individual chargeable hours target	Target 100% <i>(Achieved 104% Q3 – 4% above target)</i>
PI 10	Effectively managing short term sickness absence	Target – Below City average <i>(Achieved (3.76 days)) – 1.35 days below corporate short and long term sickness absence Nov14-Nov15)</i>
PI 11	Pay invoices equal or better than City average – monitored monthly Note: a major part of the process to pay invoices is undertaken by the CLPS. PI's relate to the processes undertaken by the C&CS.	Target - Within 30 days - City target 98% - <i>(Achieved – average 99%)</i> Target - Small Business – within 10 days <i>(Achieved – average 80%)</i>

Committee: Establishment Committee	Date: 4 February 2016
Subject: Comptroller and City Solicitor's Departmental Strategic Risk Management Report (as 31 December 2015)	Public
Report of: Comptroller and City Solicitor	For Information
Report Author: Martin Howe	

Summary

The purpose of this report is to provide a report on my departmental strategic risks as 31 December 2015.

Risk is reviewed at monthly Senior Management Team meetings and a more in-depth review is undertaken on a quarterly basis.

My current strategic risks are as follows:-

- CCS SMT 001– Ability to recruit and retain competent legal staff
- CCS SMT 002- Loss of Information Assets
- CCS SMT 003 - Managing Legal Risk
- CCS SMT 004 - Successful implementation of Oracle OPN
- CCs SMT 005 - Ability to access critical system at disaster recover site
- CCS SMT 006 - Timely access to fully functioning office environment in the event of a disaster

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 and December quarterly billing runs.

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. The current position relating to my strategic risks is listed over the page:-

Risk Key	Status	Risk and Commentary
CCS SMT 001	Amber	<p>Ability to recruit and retain competent legal staff</p> <p>This risk arose out of the need to ensure that high grade legal staff with commercial experience can be recruited. More recently, it has been noted that legal salaries for some London boroughs and counties either match or exceed current COL legal salaries (including Market Forces Supplements).</p> <p>A recent recruitment campaign for a planning lawyer was unsuccessful and HR are assisting with a further recruitment campaign.</p>
CCS SMT 002	Amber	<p>Loss of Information Assets</p> <p>The C&CS handles high volumes of information. Staff are aware of the need to protect information internally and ensure that hard copy and electronic information shared with external sources is appropriate and secure.</p> <p>All staff have been trained and regular departmental Data Protection audits are completed and will continue in the future.</p>
CCS SMT 003	Amber	<p>Managing legal risk</p> <p>The department endeavours to maintain high standards in case management, communication and learning and development. The department undergoes an external annual assessment each year which audits the internal procedures and has held the Law Society's quality award LEXCEL since 2005.</p> <p>The case management system provides management reports of high risk matters and managers have close visibility of matters.</p> <p>A Professional Services Protocol was launched in 2014 to set down the responsibilities of clients and our approach to client care.</p> <p>Legal training needs are reviewed on a regular basis to ensure that legal staff are up to date with the law and can meet the expectations of client departments.</p>
CCS SMT 004	Amber	<p>Successful Implementation of Oracle OPN</p> <p>Oracle OPN is the system which replaces the commercial property management system Manhattan. The project and implementation was complex and very challenging which resulted in the red status in the corporate risk register.</p> <p>Although there are a few defects still to be resolved OPN is now working more consistently and therefore our departmental risk has been reduced to amber.</p>
CCS SMT 005	Amber	<p>Ability to access critical system at disaster recover site</p> <p>At the last business continuity exercise, in July 2013, the main C&CS critical system was not available to users. This will be tested again at the next exercise.</p> <p>This risk has been transferred to the Chamberlain's IS Division.</p>
CCS SMT 006	Amber	<p>Timely access to fully functioning office environment in the event of a disaster</p> <p>Following an appraisal of the last business continuity exercise it was unclear whether plans existed to re-establish (at another location) a fully functioning office space in the event of a disaster.</p> <p>This risk has been transferred to the City Surveyor.</p>

Conclusion

3. The Establishment Committee is asked approve this report.

Appendices

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

Martin Howe

Business Manager, Comptroller and City Solicitor’s Department

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CCS Strategic Risk Management Report

Generated on: 19 January 2016 09:41



Code	CCS SMT 001	Title	Ability to recruit and retain competent legal staff
Description	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		
Category	Legal	Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Level	Departmental	Risk Owner	Michael Cogher
Strategic Aim	SA2 - To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2 - Maintaining the quality of public services whilst reducing our expenditure an improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee
Current Risk Assessment, Score & Trend Comparison		Target Risk Assessment & Score	
Likelihood	Possible	Likelihood	Possible
Impact	Serious	Impact	Serious
Risk Score	6	Risk Score	6
Review Date	18-Jan-2016	Target Date	01-Apr-2016
Latest Note	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.		

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%	Liaise with HR if MFS requires urgent review
C&CS002	Monitor market conditions	Review workforce reports to monitor staff turnover		31-Mar-2016	0%	Market salaries monitoring is on-going

Code	CCS SMT 002	Title	Loss of Information Assets
Description	Cause - Inadequate checking of content before despatch, lack of adequate supervision, failure to follow agreed procedures Event - Loss of personal data and /or COL hardware Effect - severe financial penalty, reputation damaged, breach of confidentiality		
Category	Financial	Approach	Reduce (By appropriate remedial action)
Risk Level	Departmental	Risk Owner	Michael Cogher
Strategic Aim	SA2 - To provide moder, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee
Current Risk Assessment, Score & Trend Comparison			
Target Risk Assessment & Score			
Likelihood	Possible	Likelihood	Unlikely
Impact	Serious	Impact	Serious
Risk Score	6	Risk Score	4
Review Date	18-Jan-2016	Target Date	
Latest Note	Six monthly DPA audits are being carried out		

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 November 2015		31-May-2016	100%	Next DPA audit due to take place may 2016

Code	CCS SMT 003	Title	Managing Legal Risk
Description	Cause - Lawyers not up to date with law, poor communication, lack of supervision, agreed procedures not followed, file reviews not completed Event - physical and intellectual property assets at risk, court hearings missed, high risk matters not reported, inadequate advice provided, cases not progressed in a timely fashion Effect - financial penalty, clients loss of confidence in the legal service, reputation		
Category	Legal	Approach	Reduce (By appropriate remedial action)
Risk Level	Departmental	Risk Owner	Michael Cogher
Strategic Aim	SA2 -To provide moder, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee
Current Risk Assessment, Score & Trend Comparison		Target Risk Assessment & Score	
Likelihood	Possible	Likelihood	Unlikely
Impact	Serious	Impact	Serious
Risk Score	6	Risk Score	4
Review Date	18-Jan-2016	Target Date	
Latest Note			

Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS003 a	Staff undertake regular risk reviews	Each matter is risk assessed on receipt and made as high risk where appropriate	Michael Cogher	31-Mar-2016	100%	Risk reviewed by SMT 31/12/2015
C&CS003 b	SMT reviews risk data quarterly	SMT reviews quarterly legal risk and performance data to ensure legal matters are progressed in a timely fashion	Michael Cogher	31-Mar-2016	100%	SMT reviewed risks on 31/12/2015
C&CS003 c	DMT review monthly High Risk reports	SMT reviews high risk reports and agrees future strategy	Michael Cogher	31-Mar-2016	100%	SMT reviewed risks on 31/12/2015

Code	CCS SMT 004	Title	Successful implementation of Oracle OPN
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Description	<p>Cause - Oracle OPN is replacing the Manhattan commercial property management and rent system</p> <p>Event - Implementation of new system</p> <p>Effect - 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.</p>
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Category	Financial	Approach	Transfer (To a third party or insurer)
Risk Level	Departmental	Risk Owner	Martin Howe

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

Current Risk Assessment, Score & Trend Comparison		
	Likelihood	Unlikely
	Impact	Major
	Risk Score	8
	Review Date	18-Jan-2016

Target Risk Assessment & Score		
	Likelihood	Unlikely
	Impact	Serious
	Risk Score	4
	Target Date	01-Oct-2015

Latest Note	2nd quarterly billing run was completed successfully on 14 September 2015.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS SMT	Migrated data needs significant cleansing	Migrated data was poor in quality and impacted on accurate billing	Martin Howe	31-Mar-2016	100%	Some data is being reprocessed to ensure that accurate OPN

004a		and reporting				reports are published
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 knowldge 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	31-Mar-2016	75%	First draft of documentation has been completed. Further information will be added as further processes are confirmed.

Code	CCS SMT 005	Title	Ability to access critical system at disaster recovery site
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Description	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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Category	Legal	Approach	Transfer (To a third party or insurer)
Risk Level	Departmental	Risk Owner	Graham Bell

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

Current Risk Assessment, Score & Trend Comparison 47		Target Risk Assessment & Score	
	Likelihood		Possible
Impact	Serious	Impact	Serious
Risk Score	6	Risk Score	2
Review Date	18-Jan-2016	Target Date	04-Mar-2016
Latest Note	Awaiting next business continuity exercise to test critical system		

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-Mar-2016	0%	still awaiting next business continuity exercise to test critical application

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

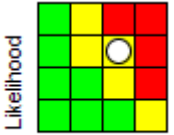
Approach	Transfer (To a third party or insurer)
Risk Owner	Peter Bennett

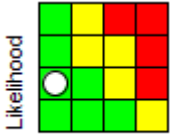
Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.
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Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
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Department	Comptroller & City Solicitors
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Committee	Establishment Committee
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Current Risk Assessment, Score & Trend Comparison	 12 ↔ No change
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Target Risk Assessment & Score	 2
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Likelihood	Possible
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Likelihood	Unlikely
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Impact	Major
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Impact	Minor
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Risk Score	12
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Risk Score	2
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Review Date	18-Jan-2016
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Target Date	
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Latest Note	
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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%	No change.

Committee:	Date:
Establishment Committee – for information Finance Committee – for decision Policy and Resources Committee – for decision	4 February 2016 16 February 2016 18 February 2016
Subject: Statutory Dismissal Procedures for the Head of Paid Service (Town Clerk and Chief Executive), Monitoring Officer (Comptroller and City Solicitor) and Chief Financial Officer (Chamberlain)	Public
Report of: Joint Report of the Town Clerk and the Director of Human Resources	For Information
Authors: Chris Braithwaite and Tracey Jansen	

Summary

The Local Authorities (Standing Orders) (England) (Amendments) Regulations 2015 (“the 2015 Regulations”) amended the process by which disciplinary action can be taken in respect of the Head of Paid Service (Town Clerk), Section 151 Officer (Chamberlain) and Monitoring Officer (Comptroller and City Solicitor) (hereafter referred to as “Statutory Officers”). The Regulations now only cover dismissal of these officers, rather than all formal disciplinary or capability matters.

The Establishment Committee agreed that any complaints regarding the Statutory Officers should be considered by the Chairman of the Appointing Committee (Policy and Resources Committee for the Town Clerk and Chief Executive or Comptroller and City Solicitor; Finance Committee for the Chamberlain) and the Chairman of the Establishment Committee.

These Chairmen would have responsibility for managing and overseeing the investigation of complaints (but no direct role in the investigation itself) and would consider the appropriate action to be taken. The options are to determine that no action is necessary; to determine that some disciplinary action short of dismissal may be necessary; or to determine that dismissal of the Statutory Officer is a possibility.

In the event of dismissal being an action which is considered, the Regulations require that Court of Common Council takes the final decision in the matter. The Court of Common Council is required to consider the findings of any investigation, representations from the Statutory Officer involved and, crucially, the findings of a Panel. Therefore, to comply with the Regulations, a Statutory Officer Review Panel (the Panel) must be created in accordance with requirements set out in the Regulations..

To ensure that the Panel maintains independence from any single Committee, it is proposed that the Panel be created as a Grand Committee of the Court. To ensure that there is no unnecessary delay in convening a meeting of the Panel, it is

recommended that appointment to the Panel be by virtue of holding certain offices (Chief Commoner and certain Committee Chairmanships). Proposed Terms of Reference and composition for the Panel are set out at Appendix 1.

The relevant Standing Order (set out at Appendix 2) was set out by legislation and is silent as to the investigative procedure to follow in the event of such disciplinary action being required. Therefore, it is proposed that an addition be made to the Standing Order to spell out that the procedure to be followed is that which is set out within the Statutory Officer Disciplinary Procedure.

Recommendations

The **Policy and Resources Committee** is asked to:

- a) Agree that the Chairman of the Policy and Resources Committee, in conjunction with the Chairman of the Establishment Committee, will be responsible for the management of the investigation of complaints or concerns regarding the Head of Paid Service (Town Clerk and Chief Executive) or the Monitoring Officer (Comptroller and City Solicitor).
- b) Recommend to the Court the creation of a Statutory Officer Review Panel, with Terms of Reference as set out at Appendix 1.
- c) Recommend to the Court amendment of Standing Order 63 in line with the terms set out in Appendix 2.

The **Finance Committee** is asked to agree that the Chairman of the Finance Committee, in conjunction with the Chairman of the Establishment Committee, will be responsible for the management of the investigation of complaints or concerns regarding the Section 151 Officer (Chamberlain).

The **Establishment Committee** is asked note the report.

Main Report

Background

1. The Local Authorities (Standing Orders) (England) (Amendments) Regulations 2015 require that all Local Authorities (which the City of London Corporation is considered to be by the legislation) amend Standing Orders to ensure that they state that the 'relevant body' (the Court of Common Council for the Corporation) is responsible for approving dismissal of the Head of Paid Service, Section 151 Officer and the Monitoring Officer. Dismissal of any of these Statutory Officers must be approved by way of a vote at a meeting of the Authority provided it takes into account:
 - any advice, views or recommendations of a Panel
 - the conclusions of any investigation
 - any representations from the relevant officer concerned
2. The Court of Common Council agreed the amendment to Standing Orders in line with the 2015 Regulations in June 2015.

3. The Director of Human Resources has worked with the Town Clerk's Department and Comptroller and City Solicitor's Department to undertake further work into the disciplinary procedure which would be followed in the event of the potential dismissal of these relevant officers and the governance arrangements to facilitate this.
4. Dismissal for the purposes of the 2015 Regulations does not include redundancy, permanent ill health or infirmity of mind or body and does not include failure to renew a contract of employment for a fixed term unless the authority has undertaken to renew such a contract. It does include conduct and capability dismissals.

Current Position

5. A report was submitted to the Establishment Committee for consideration in December 2015, as the Committee responsible for all matters relating to the employment of City of London Corporation employees (where such matters are not specifically delegated to another Committee). This includes responsibility for disciplinary matters until delegated otherwise.
6. The Establishment Committee agreed to specific proposals to comply with the requirements of the 2015 Regulations.

Responsibility for investigation of complaints

7. The Establishment Committee agreed that responsibility for considering the action to be taken in relation to complaints received about these three Officers should be as follows:

"The Chairman of the appointing Committee for the relevant officers (Policy and Resources Committee for the Head of Paid Service and Monitoring Officer; Finance Committee for the Section 151 Officer) and the Chairman of Establishment Committee will take an initial view of any complaints or concerns raised regarding the relevant officer and determine the appropriate course of action, reporting to the Court of Common Council as appropriate where dismissal of the relevant officer is recommended. In the event that there is a conflict of interest for the Chairmen, then an alternative Committee Chairman and/or Deputy Chairman will take on this role."

8. In the event that a formal investigation is required, it is anticipated that the relevant Chairmen would have responsibility for commissioning the investigation (but have no direct role in the investigation itself), and for considering any appropriate action as a result of the investigation's findings. The options are to determine that no action is necessary; to determine that some disciplinary action short of dismissal may be necessary; or to determine that dismissal of the Statutory Officer is a possibility.
9. In the event of any disagreement between the two Chairmen as to how to proceed, the decision of the Appointing Committee Chairman will be final.

10. The 2015 Regulations require these arrangements to be followed in relation to complaints which may result in dismissal. However, in most situations, preliminary work will need to be undertaken to determine whether a complaint could lead to potential dismissal. Therefore, it is proposed that the relevant Committee Chairman is responsible for the management and oversight of the investigation of all complaints against the Statutory Officers.

Creation of a Statutory Officer Review Panel

11. The 2015 Regulations require that, in considering the dismissal of a Statutory Officer, the Court of Common Council must consider the views or recommendations of a Panel (including Independent Persons), along with the conclusions of any investigations into the proposed dismissal and any representations from the Statutory Officer.

12. Accordingly, the Establishment Committee agreed to propose that:

- a) For the purposes of considering dismissal of a Statutory Officer, that the composition of the Panel comprises three current Chairmen and at least two of the three Independent Persons appointed to the Standards Committee.
- b) The Panel composition, once agreed, is set up as a Standing Committee and reporting directly to the Court of Common Council.

13. In the event of such disciplinary action being required, it would be wise to ensure that the process is not unnecessarily delayed by needing to wait until the next meeting of the Court to formally appoint Members to the Panel (or requiring the Town Clerk, who may be the officer who is subject of the investigation, to take a decision on the Membership of the Panel under urgency). Therefore, it is recommended that appointment to the Panel be on an ex-officio basis.

14. Upon reflection, Officers believe that it would be more appropriate to appoint the Chief Commoner and four Committee Chairmen to the Panel. This would ensure that, if the investigation of the incident involves the interviewing of any Committee Chairmen, they would be able to be excused from attending the meeting of the Panel without the Panel becoming too small to reasonably consider the issue. Any extension beyond five elected Members (a total panel size of seven) would seem to create too large a panel.

15. It is further recommended that Chairmen of specific Committees are appointed to the Panel. This would ensure that there is no delay in convening the Panel due to the Court first needing to appoint Members to it. The Panel must not include those Chairmen responsible for the management of the investigation of the complaint (Chairmen of Policy and Resources Committee and of Finance Committee) to ensure clarity, transparency and an independent view of the matter.

16. The simplest way to determine the appropriate Chairman is to follow the order of primacy given to Committees in the Members' Pocket Book. It is therefore proposed that the Statutory Officer Review Panel comprises:
- The Chief Commoner;
 - Chairman of Planning and Transportation Committee;
 - Chairman of Port Health and Environmental Services Committee;
 - Chairman of the Markets Committee;
 - Chairman of the Police Committee;
 - two of the three Independent Persons appointed to the Standards Committee.
17. Proposed Terms of Reference for the Panel are set out at Appendix 1.
18. The Director of Human Resources will be responsible for providing advice on the administration, application and overview in relation to the disciplinary procedures for the three Statutory Officers. Where it is considered that there is a conflict of interest, an external senior human resources and/or legal adviser will be sourced to support the process as appropriate.
19. There is no requirement for the Panel to undertake in person any investigation into the matter of concern. It is recommended that it reviews the findings of the investigator and any representations made by the Statutory Officer before forming a view on the matter.

Statutory Officer Disciplinary Procedure

20. Based on the proposals agreed by the Establishment Committee, and subject to approval of recommendations set out in this report Officers will update the Disciplinary Procedure for the Statutory Officers. The Statutory Officers will be consulted on the revised Procedure before it is referred to the Establishment Committee for approval.

Amendment to Standing Orders

21. The 2015 Regulations required that specific text be included with Standing Orders. The Standing Order does not provide information regarding the process to be followed in the event of disciplinary action being considered against one of the Statutory Officers. Therefore, it is proposed that the following is added to Standing Orders:

“Officers shall ensure that any action to consider the dismissal of a Statutory Officer shall comply with the provisions contained within the City of London Corporation’s Statutory Officer Disciplinary Procedure”

22. This change has been incorporated into the proposed updated Standing Order extract at Appendix 2, and is intended to mirror the process which is applied to Project Management (Standing Order 50(2)).

Representations by Statutory Officer

23. The regulations are clear that the Court of Common Council, in considering the potential dismissal of one of the Statutory Officers, must take into account any representations made by the officer. While it is anticipated that the officer would make written representations to the Court of Common Council, it would not be

reasonable to prevent an officer from responding to allegations made against them when dismissal is being considered. Officers are not usually permitted to address the Court. However, an exception would clearly be made in this instance.

Proposals

24. There is a need to finalise the arrangements for taking disciplinary action against the three Statutory Officers in light of the 2015 Regulations. Members are asked to consider and agree the recommendations in order that the revised arrangements can be put in place.

Corporate & Strategic Implications

25. The 2015 Regulations have reduced the statutory requirements in relation to disciplinary matters. This is in line with the City Corporation's HR Strategy to simplify and standardise HR policies and procedures. The 2015 Regulations give us the opportunity to review the current procedures that apply to the Statutory Officers and to bring these in line with our Managing People standards and principles whilst at the same time ensuring compliance with the new statutory requirements.

Implications

26. These are included in the body of the report.

Conclusion

27. There is requirement to comply with the new 2015 Regulations in relation to the statutory dismissal procedures for the Head of Paid Service, Monitoring Officer and Section 151 Officer. The report sets out the proposed decision making structures and roles that need to be put in place to comply with the Regulations.

Appendices

- Appendix 1 – Statutory Officer Dismissal Panel Terms of Reference
- Appendix 2 – Standing Order 63 (amended)

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STATUTORY OFFICER REVIEW PANEL

1. **Constitution**

A Non-Ward Committee consisting of,

- The Chief Commoner for the time being
- The Chairman of the Planning and Transportation Committee for the time being
- The Chairman of the Port Health and Environmental Services Committee for the time being
- The Chairman of the Markets Committee for the time being
- The Chairman of the Police Committee for the time being
- Two of the Independent Persons of the Standards Committee

2. **Quorum**

The quorum consists of any three Members, including one Independent Person.

3. **Terms of Reference**

To make recommendations to the Chairman of the Appointing Committee (who will make subsequent recommendations to the Court of Common Council) regarding the dismissal of the Head of Paid Service (Town Clerk and Chief Executive), Monitoring Officer (Comptroller and City Solicitor) or Section 151 Officer (Chamberlain).

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63. Disciplinary Action

1. In the following paragraphs,
 - (a) “the 2011 Act” means the Localism Act 2011;
 - (b) “chief finance officer”, “disciplinary action”, “head of the authority’s paid service” and “monitoring officer” have the same meaning as in regulation 2 of the Local Authorities (Standing Orders) (England) Regulations 2001;
 - (c) “independent person” means a person appointed under section 28(7) of the 2011 Act;
 - (d) “local government elector” means a person registered as a local government elector in the register of electors in the City of London Corporation’s area in accordance with the Representation of the People Acts;
 - (e) “the Panel” means a committee appointed by the Court of Common Council under section 102(4) of the Local Government Act 1972 for the purposes of advising the Court of Common Council on matters relating to the dismissal of relevant officers of the City of London Corporation;
 - (f) “relevant meeting” means a meeting of the Court to consider whether or not to approve a proposal to dismiss a relevant officer; and
 - (g) “relevant officer” means the Town Clerk, Chamberlain or Monitoring Officer, as the case may be.
2. A relevant officer may not be dismissed by the City of London Corporation unless the procedure set out in the following paragraphs is complied with.
3. The Court of Common Council must invite relevant independent persons to be considered for appointment to the Panel, with a view to appointing at least two such persons to the Panel.
4. In paragraph 3 “relevant independent person” means any independent person who has been appointed by the Court of Common Council or, where there are fewer than two such persons, such independent persons as have been appointed by another authority or authorities as the Court of Common Council considers appropriate.
5. Subject to paragraph 6, the authority must appoint to the Panel such relevant independent persons who have accepted an invitation issued in accordance with paragraph 3 in accordance with the following priority order,
 - (a) a relevant independent person who has been appointed by the Court of Common Council and who is a local government elector;
 - (b) any other relevant independent person who has been appointed by the Court of Common Council;
 - (c) a relevant independent person who has been appointed by another authority or authorities.
6. The Court of Common Council is not required to appoint more than two relevant independent persons in accordance with paragraph 5 but may do so.
7. The Court of Common Council must appoint any Panel at least 20 working days before the relevant meeting.

8. Before the taking of a vote at the relevant meeting on whether or not to approve such a dismissal, the Court of Common Council must take into account, in particular—
 - (a) any advice, views or recommendations of the Panel;
 - (b) the conclusions of any investigation into the proposed dismissal; and
 - (c) any representations from the relevant officer.
9. Any remuneration, allowances or fees paid by the City of London Corporation to an independent person appointed to the Panel must not exceed the level of remuneration, allowances or fees payable to that independent person in respect of that person's role as independent person under the 2011 Act.
10. *Officers shall ensure that any action to consider the dismissal of a relevant officer shall comply with the provisions contained within the City of London Corporation's Statutory Officer Disciplinary Procedure.*

Committee: Establishment Committee	Date: 4 February 2016
Subject: Senior Officer Recruitment Procedure	Public
Report of: Director of Human Resources	For Decision
Report Author: Roger Farrington	

Summary

This report is the final recommendation to establish a formal process for the Recruitment of certain Senior Officer roles.

This report includes a proposed procedure for Senior Officer Recruitment and the roles that have been identified to be covered by this procedure. Appendix 1. The procedure is broadly based on the current Chief Officer Recruitment procedure which is already well established.

Recommendation

Members are asked to approve the procedure of the Senior Officer Recruitment

Main Report

Background

1. At the October 2015 meeting Members were asked to consider a report from the Director of Human Resources in relation to recommendations in respect of Member involvement in the appointment of Senior Officers below the level of Chief Officer.
2. The Deputy Chairman advised the Committee that he had given this matter significant consideration, and had written to all Members of the Committee to provide them with his proposals for the recruitment of Seniors Officers. He explained that this proposal was that all Chief Officers, Senior Officers reporting directly to the Town Clerk & Chief Executive, or Senior Officers who reported to other Chief Officers, but who acted as the principal advisor to a Committee, Sub-Committee or Working Party should be appointed by panels led by or involving Members.
3. Members discussed this proposal, and agreed that it was not necessary for all Senior Officers acting as the principal advisor to Sub-Committees or Working Parties to be appointed by panels involving Members, although this would be appropriate for some Sub-Committees or Working Parties.
4. The Committee discussed the composition of appointment panels, and agreed that it would be the responsibility for the relevant Service Committee to determine the exact composition of panels for each appointment, although it was noted that

it was important that panels were kept to a reasonable size to ensure that arrangements for shortlisting and interview sessions were practical. However, it was agreed that the positions for which Member involvement on the Panel was required should be determined by the Establishment Committee through a Senior Officer Recruitment Policy.

5. The Committee also noted that all Members and Officers involved in the interview panel should be involved in the shortlisting process for applicants.
6. The Committee agreed that the principle of the Senior Officer Recruitment Policy be that the following officers are appointed through a panel led by Members or including Members:
 - a. Chief Officers (already covered by the Chief Officer Appointment Procedure and is member led)
 - b. Senior Officers reporting directly to the Town Clerk & Chief Executive
 - c. All Senior Officers reporting to other Chief Officers and act as principal advisor to a Grand Committee
 - d. Senior Officers reporting to other Chief Officers but who act as principal advisor to certain strategic Sub-Committees or Working Parties (the specific Sub Committees and Working Parties to be determined in consultation with Chief Officers and their Service Committees)
7. The Director of Human Resources was tasked with establishing a formal procedure for Senior Officer Recruitment and the roles that such a procedure would cover.
8. A first draft of a proposed procedure for Senior Officer Recruitment procedure was put to this committee in December 2015. This was agreed subject to some minor amendments:
 - a. Amending the determination of the level of Member involvement for Senior Officer Recruitment to be a joint decision between the Chief Officer and Service Committee Chairman.
 - b. Formalising the option for the Town Clerk to choose to be involved in the appointment panel.
 - c. Including the option for Members to be included on the appointment panel even on Officer led appointments.

Current Position

9. The procedure has been revised and this is attached as Appendix 1.
10. This broadly follows the procedure that is already in place for Member led Recruitment for Chief Officers.

11. The Director of Human Resources has obtained from all Chief Officers the roles at Grade I and J that will be captured within the procedure. The list of roles is attached to the procedure at Appendix 2.

Options

12. Not applicable.

Proposals

13. Members are asked to agree the new procedure and the Senior Officer roles captured by the procedure.

Corporate & Strategic Implications

14. Recruitment and retention of quality staff is a major requirement for the City of London and it is believed that this process will help enhance our recruitment at these senior positions.

Implications

15. It is not anticipated introducing this procedure will have any adverse effect on the resource requirements for Senior Officer recruitment or create any undue delays in the recruitment process.

Appendices

Appendix 1 – Procedure for Senior Officer Recruitment and roles captured under the process

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SENIOR OFFICER RECRUITMENT PROCEDURE

1. Principles of the Procedure

The Establishment Committee agreed in February 2016 that the principle of the Senior Officer Recruitment Policy be that the following officers are appointed through a panel involving Members in the Recruitment process:

- a. Chief Officers (already covered by the Chief Officer Appointment procedure and is member led)
- b. Senior Officers reporting directly to the Town Clerk & Chief Executive
- c. All Senior Officers reporting to other Chief Officers and act as principal advisor to a Grand Committee
- d. Senior Officers reporting to other Chief Officers but who act as principal advisor to certain strategic Sub-Committees or Working Parties (the specific Sub Committees and Working Parties to be determined in consultation with Chief Officers and their Service Committees)

Note-the recruitment of Senior Officers should be undertaken in accordance with the current Recruitment and Selection Policy.

Note-where members lead or are involved in the selection they must be able to commit to all aspects of the procedure, including all appropriate meetings. If co-ordination of dates of availability become difficult the timetable for the recruitment will be determined by the availability of the panel chairman.

2. Reporting Vacancy

It is the responsibility of the Departmental Chief Officer to report to the relevant Service Committee on the resignation / retirement of a senior officer whose post falls under this procedure. The Chief Officer will propose the suggested recruitment timeframe.

The Chief Officer and the Service Committee Chairman will determine the level of member involvement in the recruitment and selection of the role.

3. The Recruitment Panel

The panel for Senior Officer Recruitment should comprise :

Member Led

Where it is agreed that the recruitment and selection will be member Led the panel will consist of the Chairman and Deputy Chairman of the employing Committee, Chief Officer of the Department, Chairman and Deputy Chairman of other relevant Committees.

For Member led selection the chairman of the panel will normally be the Chairman of the employing committee.

The Chairman and Chief Officer should also ascertain if the Town Clerk wishes to be involved in the Recruitment process.

All panel members will have an equal part of the selection decision.

Note-following appointment all line management responsibilities will be the responsibility of the Chief Officer.

Member Involved

Where it is agreed that the recruitment will not be member led, the Chairman and Chief Officer will agree the level of member involvement in the recruitment and selection. This may involve but not limited to: members being on the interview panel, chairing the panel or being part of the assessment/selection process.

For member involved selection the Chief Officer and Chairman of the employing committee will agree who will chair the selection panel.

* See also Assessment Centre

Administration of Member led or Member involved recruitment process

The department under which the post falls is the recruiting department and the administration of the recruitment process should be undertaken by the recruiting department, the recruiting department should nominate an individual to be the “administrator”.

For appointments where external, specialist or technical expertise/knowledge is needed to guide the panel, these should be drafted on to the panel in an advisory capacity only. The level of involvement and input of external, specialist or technical experts in the selection process should be agreed by the Chairman of the panel.

It is recommended that all individuals on the panel have undertaken the City of London Corporation’s recruitment and selection for officers or the e-learning module for members. The Chairman of the panel must have undertaken the appropriate training.

The HR Business Partner or a representative from Corporate HR will act as an HR technical adviser to the Senior Officer Recruitment Panel.

4. Preliminary Meeting

The departmental administrator will arrange the preliminary meeting for the panel and in advance forward drafts of the current job description, a competency based person

specification. This meeting will determine the composition and roles of the panel in the selection process.

The panel will agree the responsibilities of the post being recruited including, consideration as to whether or not the post will remain in its current format.

If the responsibilities of the post change to a significant extent then the Job Evaluation team will determine the appropriate grade before the post is advertised.

An advert can be written once the job description is finalised and should be written in conjunction with the advertising agency used by the City.

This meeting will also determine the process for advertising, the use of Headhunters / Executive Search Consultancy, the budget available and the advertising methods to be used.

This meeting will agree what form of assessments will be carried out as part of the selection and the format of any proposed assessment centre.

If a vacancy is to be advertised externally, then the panel should agree in advance the key dates for the advertisement, closing date, long listing, shortlisting, assessment centre and final interview. All relevant dates should be included in the advert and literature where possible.

5. Recruitment Administration

If the panel decides to advertise a vacancy externally and they 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 with support from Corporate HR and the HR Business Partner for the Department.

Note- If the recruitment campaign is to be managed a Head Hunter then applications will go to them directly – if not then applications can be administered through the City People system.

6. Preliminary Long Listing

As responses to external advertisements can be high, the Chief Officer can agree that they will undertake a preliminary review of the applications so that those applicants who do not meet the criteria in the person specification can be deselected at this stage. Any candidates who are deselected should be discussed with the Panel Chairman.

7. Short Listing

The panel should receive in advance of the shortlisting meeting copies of the applications that have passed the preliminary long listing.

The objective of the shortlisting meeting is to determine which applicants will be taken to the assessment/selection process. The panel should shortlist on the basis that only applications meeting the requirements of the post should be taken to the next stage.

The panel will go through the applications and each panel member will express a view on each one. The applicants who are selected for the next stage will be invited to attend an assessment centre or selection process.

8. Assessment Centre/Selection Process

For Member involved recruitment this could be one of the areas that their participation would be included. E.g. in the form of 'fireside chats'/informal interview session. The format of the Assessment/Selection process will be agreed at the preliminary meeting of the panel.

Interviewing alone is now widely recognised as inadequate for making selection decisions. An assessment centre or tailored selection process approach should be used which could include a number of work related assessments, psychometric tests, personality profiling, a written exercise and a verbal presentation depending on the role and what it is deemed necessary to test and assist with the final selection.

The HR Business Partner or other Corporate HR Representative will advise and support the panel.

The results of the assessment can be provided 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.

9. References

Depending on the role, some references will be taken up prior to interview unless interviewees specify otherwise. Should there be any concern over the content of a reference then the HR Business Partner will attempt to obtain further clarification from the referee preferably before the interview.

Note-In the case of campaigns being managed by a Head-hunter this will be carried out by their representative.

10. Interview Preparation

The Administrator / HR Business Partner / Chief Officer 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 a pre-meet 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. The interviews should be around 45 minutes each.

Applicants for interview should be contacted and advised 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.

Note-In the case of campaigns being managed by a Head-hunter this will be carried out by their representative.

11. Interviews

Applicants should be asked the same core questions. 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 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 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.

Note-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.

12. Appointment / Start Arrangements

It would normally be expected that the Chairman of the panel will make a verbal offer to the successful candidate. The Chairman/Panel should agree who will advise the unsuccessful applicants and who will provide feedback if requested.

This decision/offer is subject to pre-employment vetting and it is advised that a reserve interviewee should be selected as a back-up in case the first choice cannot be appointed. The offer letter will be conditional in the first instance.

Once all criteria are met on the conditions of the offer, the employing Committee should be advised of the panel's decision by the Chairman.

Templates for the contracts of employment will be produced by Corporate HR, together with pay and pension forms and all other personal information required for a new starter.

Corporate HR-February 2016

SENIOR OFFICER ROLES (GRADE I AND J Only - except three roles in Open Spaces at Grade H)

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 –Hampstead Heath	Grade I
	Superintendent –Epping Forest	Grade I
	Superintendent –The Commons	Grade H
	Superintendent –City of London Cemetery	Grade H
	Superintendent – City Gardens & West Ham Park	Grade H
REMEMBRANCER'S OFFICE	Director of Remembrancer's Affairs	Grade J
THE BUILT ENVIRONMENT	District Surveyor	Grade I
	Policy & Performance Director	Grade I
	Chief Planning Services & Development Director	Grade J
	Transportation & Public Realm Director	Grade J

TOWN CLERKS DEPARTMENT	Assistant Director (Corporate HR)	Grade I
	Director of City Bridge Trust	Grade I
	Assistant Director EDO	Grade J
	Assistant Town Clerk	Grade J
	Assistant Town Clerk	Grade J
	Director of Communications	Grade J

Committee: Establishment Committee	Date: 4 February 2016
Subject: Domestic Abuse and Stalking Policy	Public
Report of: Director of Human Resources	For Decision
Report Author: Colette Hawkins	

Summary

The City of London Corporation has developed this policy as part of its suite of policies to support employees' health and wellbeing at work. It covers both the internal and external support available to employees experiencing domestic abuse and stalking. The policy is intended to support the City Corporation's outward focussed work with other agencies to support victims of domestic abuse and stalking.

Recommendation

Members are asked to approve the Domestic Abuse and Stalking Policy attached as Appendix 1.

Main Report

Background

1. In relation to Domestic Abuse it is estimated that in England and Wales one in four women in England and Wales, and one in six men, will suffer domestic abuse at some time in their life (Crime Survey for England and Wales, 2013/14). This may have an impact in the workplace in terms of employee wellbeing and absence, particularly if the victim and perpetrator are both employees.
2. In relation to Stalking the Office for National Statistics (ONS) (2013) found that one in six women, and one in twelve men, will experience stalking in their life. 50% of victims have curtailed or stopped work due to stalking; 75% of domestic violence stalkers will turn up in the workplace of their victim; and 79% of domestic violence stalkers will use work resources to target their victims (ONS, 2013).
3. Domestic abuse and stalking is likely to have a significant effect on someone's physical and mental wellbeing. It can also potentially affect attendance and presenteeism, staff turnover and mental wellbeing at work. Workplace teams may also be affected as they may be caught up in a colleague's distress or in supporting them to move on.
4. The City of London Corporation has a legal responsibility to protect the health, safety and welfare of employees, although there is no legal obligation that an

employer has to take action if it becomes aware that an employee is suffering domestic violence.

Current Position

5. The City Corporation's Code of Conduct; Communications and Information Systems Use; Disciplinary Procedure; Grievance Procedure; and Social Media Policy for employees' set out the conduct required from all staff at work. These policies allow managers to manage misconduct and behavioural issues.
6. Currently there is no specific policy in place to provide support and guidance to victims, or managers in relation to domestic abuse, harassment and stalking.
7. To support the values Lead Empower Trust, the strategy in relation to HR policy review and development is to streamline and simplify over complex and prescriptive policies. However it is recognised that as an employer we need to support the City Corporation's role in public health initiatives and partnership working. We have therefore developed a policy to clarify our stance on these issues as an employer. Managers' guidance has also been developed in order that managers can identify and support employees who may be victims of domestic abuse or stalking.
8. The City Corporation has a duty of care to all of its employees and should take all steps which are reasonably possible to ensure their health, safety and wellbeing. This is not only for those who are the victim in these situations but also other staff in the workplace.
9. Although no formal monitoring is undertaken, over the last couple of years the City Corporation has had four cases of employees who were the victim of domestic abuse or stalking. Whilst all appropriate actions were taken to support the individuals, the cases did highlight that a clear policy and associated guidance for managers would have been helpful.
10. Staff who are affected by domestic abuse or stalking and seek help will be given reasonable support by the City Corporation, however it should be noted that many people experiencing domestic abuse or stalking may not wish to make it known.

Corporate & Strategic Implications

11. The development of the City Corporation's policy will demonstrate its commitment to our staff by recognising and supporting victims of domestic abuse through the provision of a safe working environment, information and help where appropriate.
12. The introduction of this policy aligns with the Safer City Partnership strategic plan 2014-17 and their work to raise the profile of domestic abuse, harassment and stalking across all organisations within London.
13. Colleagues from Town Clerks, Comptrollers and City Solicitors, Community and Children's Services, Community Safety team, representatives from the six Staff

Networks and the Trade Unions have been consulted on the development of this policy. Chief Officers and managers within the business were also consulted on its development through HR Business Partners.

Conclusion

14. The City Corporation has a duty of care to support all of its employees, this policy provides advice and guidance on both external and internal support available to any employee who is affected by domestic violence, harassment and / or stalking.

Appendices

Appendix 1 – Domestic Abuse and Stalking Policy

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Domestic Abuse and Stalking Policy

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Statement of intent

1. The City of London Corporation is committed to providing a safe and supportive workplace for all employees and to protecting the health and safety of the workforce.
2. The City of London Corporation recognises that at times employees' personal lives can experience serious challenges which may impact on their work or workplace and we aim to support employees balance their work and personal life.
3. Domestic abuse and stalking is likely to have a significant effect on someone's physical and mental wellbeing. It can potentially affect attendance and presenteeism, staff turnover and mental wellbeing at work. Workplace teams may also be affected as they may be caught up in a colleague's distress in supporting them to move on.
4. The City of London Corporation's Employee Handbook in particular the Code of Conduct, Communications and Information Systems Use, Disciplinary Procedure,

Grievance Procedure, and Social Media Policy for employees' sets out the conduct required at work. Individual departments may also have local procedures in place covering conduct required by employees which should also be adhered to.

Scope

5. This policy applies to all City of London Corporation employees.
6. This policy does not form part of any employee's contract of employment and it may be amended at any time.
7. This policy does not apply to agency workers, consultants or other workers providing services to the City of London Corporation.

Purpose

8. The purpose of this policy is to:
 - Promote the health, safety and well-being and productivity of all employees;
 - Support employees experiencing domestic abuse, harassment or stalking;
 - Enable employees experiencing domestic abuse, harassment or stalking to remain productive and safe at work;
 - Reinforce that the employer values, and will support, employees during difficult periods.

Definitions

9. For the purpose of this policy the following definitions apply:

Term	Definition
Domestic Abuse	<p>Any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse between those aged 16 or over who are or have been intimate partners or family members regardless of gender or sexuality. This can encompass but is not limited to the following types of abuse:</p> <ul style="list-style-type: none">• psychological• physical• sexual• financial• emotional <p>Controlling behaviour is: a range of acts designed to make a person</p>

	<p>subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.</p> <p>Coercive behaviour is: an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish, or frighten their victim.”</p> <p>(Home Office, March 2013)</p>
Harassment	<p>Behaviour that makes someone feel intimidated or offended. The term harassment, in the context of stalking or domestic abuse, covers the causing of alarm or distress and putting people in fear of abuse. It can include repeated attempts to impose unwanted communications and contact upon an individual in a manner that could cause distress or fear in any reasonable individual.</p> <p>Harassment of an individual can also occur when a person is harassing others connected with the individual, knowing that this behavior will affect the individual as well as the other individuals that the person appears to be targeting their actions towards.</p> <p>(Crown Prosecution Service, 2015)</p>
Stalking	<p>Whilst there is no strict legal definition of 'stalking', examples include following a person, watching or spying on them or forcing contact with the victim through any means, including social media. The effect of such behaviour is to curtail a victim's freedom, leaving them feeling that they constantly have to be careful. In many cases, the conduct might appear innocent (if it were to be taken in isolation), but when carried out repeatedly so as to amount to a course of conduct, it may then cause significant alarm, harassment or distress to the victim.</p> <p>(Crown Prosecution Service, 2015)</p>

Support

10. Under the Health and Safety at Work Act 1974 employers have a duty to protect the health and safety of their employees from harm whilst at work.
11. The City of London Corporation will provide reasonable support to employees who experience domestic abuse, harassment or stalking for example by temporary adjustment of hours, recording of telephone calls and blocking email addresses.

12. It is not expected that managers should perform a counselling role, but they can often provide practical support and encourage employees to seek professional help and guidance in order that they can remain productive and safe in the work place and provide a regular and efficient service.
13. It should be noted that whilst reasonable support and assistance will be provided to employees this will need to be balanced against the needs of the business.
14. The City of London Corporation recognises that those experiencing harassment, domestic abuse or stalking may need to be absent from work at times, for example to seek legal advice or for court attendance. Individual absences should be discussed and agreed in advance between the employee and their line manager in the usual way although if it is necessary to take leave without the required notice to attend to urgent matters relating to the harassment, domestic abuse or stalking then this will not be unreasonably declined.

Safety and Security

15. The City of London Corporation has a duty of care to all of its employees to protect their safety and security whilst at work.
16. Employees who are at risk of domestic abuse, harassment or stalking should consider disclosing this to their line manager or HR contact in order that appropriate support can be given.
17. Employees are required to comply with the Data Protection Act (1998) and under no circumstances should they provide personal information to third parties about colleague's home address, telephone numbers or any other personal information. Employees should also be mindful about not disclosing too much information regarding colleagues working hours and arrangements.

Formal Action

18. Whilst the City of London Corporation will be supportive to its employees, if it is found that an employee has been inappropriately using City of London facilities and equipment, e.g. email, office communicator, mobile devices or social media, action under the Disciplinary Procedure may be taken.
19. The City of London Corporation will not condone any acts of violence, aggressive behaviour or harassment in the workplace or which impacts on the workplace. Such behaviour will be dealt with in accordance with the disciplinary procedure for employees or in accordance with protocol in relation to members of the public.
20. It is a condition of employment that employees inform the City of London Corporation if they are convicted of any criminal offence during their employment. If an employee

fails to do this and it is subsequently identified then formal disciplinary action may be taken.

Links / Other resources

21. The City of London Corporation has an [Employee Assistance Programme](#) which is available to all employees, their partners and family members. This can be accessed on the following free phone number 0800 243 458. It is a confidential service provided by an independent third party and can provide support on a wide range of personal and work issues.

22. The following policies and guidance documents provide further information and support:

- [Annual Leave Policy](#)
- [Code of Conduct](#)
- [Communications and Information Systems Use](#)
- [Disciplinary Procedure](#)
- Domestic Abuse, Harassment and Stalking Managers Guide
- [Data Protection Policy](#)
- [Flexi Leave Scheme](#)
- [Grievance Procedure](#)
- [Harassment: ACAS Bullying and Harassment at work guide](#)
- Social Media Policy

23. In addition a number of organisations have useful guidance and information available:

Organisation	Website	Telephone Number
People experiencing domestic abuse, harassment or stalking		
Broken Rainbow Helpline (offers support for LGBT people)	http://www.brokenrainbow.org.uk/help/helpline	0300 999 5428
City Advice	www.toynbeehall.org.uk	020 3475 5080
Citizen Advice Bureau	www.citizenadvice.org.uk	03444 111 444 (National number for England)

Men's Advice Line (advice and support for men experiencing domestic abuse)	www.mensadviceline.org.uk	0808 801 0327
National Centre for Domestic Violence (offers legal support including emergency injunctions)	www.ncdv.org.uk	0844 8044 999
National Domestic Violence Helpline	www.nationaldomestiviolencehelpline.org.uk	0808 2000 247
National Stalking Helpline	www.stalkinghelpline.org	0808 802 0300
Paladin (National Stalking Advocacy Service)	www.paladinservice.co.uk	020 7840 8960
Refuge (offers emergency accommodation for women and limited spaces for men)	www.refuge.org.uk	0808 2000 247
Solace Women's Aid	http://solacewomensaid.org/	0808 802 5565
Victim Support	www.victimsupport.org.uk	07944 634946
Vulnerable Victim Co-ordinator (based in the City)		07944 634946
People perpetrating domestic abuse		
Respect (offers information and advice for perpetrators of domestic abuse)	www.respectphoneline.org.uk	0845 112 8609

Committee: Establishment Committee Policy & Resources Committee Court of Common Council	Date: 4 February 2016 18 February 2016 3 March 2016
Subject: Draft Pay Policy Statement 2016/17	Public
Report of: Director of Human Resources	For Decision
Report author: Janet Fortune	

Summary

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

The Court of Common Council has now received the pay policy statements for 2012/13, 2013/14, 2014/15 and 2015/16. The statement has now been updated for 2016/17 and is being presented for consideration by the Establishment Committee on 4 February 2016 and Policy and Resources Committee on 18 February 2016, prior to submission to the Court of Common Council on 3 March 2016.

Recommendation:

Members are asked to agree the attached draft Pay Policy Statement 2016/17 to ensure the City Corporation meets its requirements under the Localism Act 2011.

Main Report

Background

1. Under Section 38(i) of the Localism Act 2011 (the Act), all local authorities are required to produce and publish a statement setting out their pay policies. The aim of the Act is that authorities should be open, transparent and accountable to local taxpayers. Pay statements should set out the authority's approach to issues relating to the pay of its workforce, particularly senior staff (or chief officers on the Senior Management Grade) and its lowest paid employees.
2. The Department for Communities and Local Government has published guidance and the City Corporation must have regard to this guidance in formulating a pay policy statement. In addition, the Secretary of State has published a Code of Recommended Practice for Local Authorities on Data Transparency which is also of relevance in complying with the Act.
3. The pay policy statement must be agreed and published by 31st March each year. The statement must be also agreed, each year, by the full Court of Common Council in open session. Should any changes to the pay statement arise during the course of the year, a revised statement must come before the full Court.

Current Position

4. Attached to this report is an updated draft pay policy statement for 2016/17 for consideration by Members. Subject to any comments from either Establishment Committee or Policy & Resources Committees, the draft statement will be placed before the Court at its meeting in March to enable the City Corporation to meet the deadlines specified in the Act.
5. There are no significant changes in the statement this year, but it has been updated to reflect any changes to pay since the last statement (e.g. the 2015 pay award and the revised statutory maximum week's pay for redundancy purposes). The policy statement has not been amended to reflect changes that may arise from the Government's intention to introduce restrictions on exit pay packages for employees leaving public-sector jobs. This is because the proposed restrictions have not been finalised and the statement is dated as being written in January 2016. However, members may wish to note that any such restrictions may require some amendment to our severance packages for high-earning employees, and give rise to considerations about how we deal with the pension provision for employees aged 55 or over who is dismissed for reasons of redundancy or business efficiency (see paragraphs 32 and 34 of the statement).

Conclusion

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

Appendices: Draft Pay Policy Statement for 2016/17

Contact:

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CITY OF LONDON CORPORATION

PAY POLICY STATEMENT 2016/17

Introduction

1. Section 38(i) of the Localism Act 2011 (the Act) has required local authorities since the financial year 2012/13 to produce a pay policy statement for each financial year. This applies to the City of London Corporation in its capacity as a local authority and this document meets the requirements of the Act for the City of London Corporation for the financial year 2016/17.
2. We are required to set out our approach to a range of issues, particularly those relating to remuneration for senior staff (Chief Officers on the Senior Management Grade) and our lowest-paid staff. These provisions do not apply to staff of local authority schools or teaching staff in the three City Schools.
3. The provisions of the Act require that authorities are more open about their local policies and how local decisions are made. The Code of Recommended Practice for Local Authorities on Data Transparency enshrines the principles of transparency and asks authorities to follow three principles when publishing data they hold: responding to public demand; releasing data in open formats available for re-use; and, releasing data in a timely way. This includes data on senior salaries and the structure of the workforce.
4. All decisions on pay and reward for senior staff must comply with this statement. The statement must be reviewed annually and agreed by the Court of Common Council.
5. This statement relates to our local, police and port health authority functions. The Act does not require authorities to publish specific numerical data on pay and reward in their pay policy document. However, information in this statement should fit with any data on pay and reward which is published separately. The City Corporation operates consistent pay policies which are applied across all of our functions. Further details of the grade structures and associated pay scales can be found on our website at:

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

This information is reviewed, updated and published on a regular basis in accordance with the guidance on data transparency and by the Accounts and Audit (England) Regulations 2011. It should be noted that all Police Officer pay scales are nationally determined and as such do not form part of the City of London's Pay Policy.

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

Background

7. All pay and terms and conditions of service are locally negotiated with our recognised trade unions or staff representatives. In 2006/07 extensive work was undertaken on a review of our pay and grading structures. As a result, the principles set out in the guidance to the Act have already generally been addressed although the Act set out some additional requirements which are covered by this statement.
8. In 2007 we implemented a number of core principles, via collective agreement, to form the City Corporation's pay strategy. This moved the pay and reward strategy from one based entirely on time-served increments to one which focusses on a balance between incremental progression, individual performance and contribution to the success of the organisation. A fundamental element of the strategy is that achievement of contribution payments is more onerous and exacting the more senior the member of staff.
9. There has been a pay award of 2% on basic salaries agreed for all staff commensurate with the Government's pay policy. This was agreed by delegated authority from the Court of Common Council in June 2015 and was effective from 1 July 2015. A 2% increase was also added to the London Weighting allowance rates for all staff. London Weighting allowance rates do not differ between Grades of staff.
10. As at January 2016, no directly employed member of staff was paid below the London Living Wage (Apprentices being paid in proportion to this). The City of London also agreed to pay all casual and agency workers the London Living Wage from 1 April 2014 and this is reviewed each year in line with any changes.

Staff below Senior Management

11. All staff employed by the City Corporation below the Senior Management Grade have been allocated to one of 10 Grades (Grades A-J), other than in a very small number of exceptional cases, such as apprentices. All such posts were reviewed under Job Evaluation, ranked in order and allocated to a Grade following the Pay & Grading Review in 2007. The evaluation scheme was independently equalities-impact-assessed to ensure that it was inherently fair and unbiased. The scheme, how it is applied, the scoring mechanism and how scores relate to Grades are published on our Intranet so staff can be assured that the process is fair and transparent. In addition, there is an appeal mechanism agreed with the recognised trade unions and staff representatives.

12. The lowest Graded and paid staff are in Grade A as determined by the outcomes of the job evaluation process. The current lowest point on Grade A is £18,700 including a London Weighting allowance for working in Inner London. The current pay range for Grades A - J is £18,330 to £92,870 inclusive of Inner London Weighting of £5,500 for non-residential employees.

- Grades A-C are the lowest grades in the City Corporation. They have up to 6 increments which can be achieved subject to satisfactory performance. There is no Contribution Pay assessment. However, employees in these Grades have the opportunity if they have undertaken exceptional work to be considered for a Recognition Award up to a maximum level set corporately each year (this has been £500 in each year since 2010).
- Grades D-J have 4 'core' increments and 2 'contribution' increments. Progression through the 4 'core' increments is subject to satisfactory performance. Progression into and through the 2 'contribution' increments requires performance to be at a higher than satisfactory level. Once at the top of the scale, for those who achieve the highest standards of performance and contribution, it is possible to earn a one-off non-consolidated Contribution Payment of up to 3% or 6% of basic pay depending on the assessed level of contribution over the previous year.
- The Senior Management Grade comprises the most senior roles in the organisation. As these are distinct roles, posts are individually evaluated and assessed independently against the external market allowing each post to be allocated an individual salary range within the Grade. Any increase in salary (whether through incremental progression or a cost-of-living award) is entirely dependent on each individual being subject to a rigorous process of assessment and evaluation, and is based on their contribution to the success of the organisation.

13. The City Corporation operates a distribution curve to advise on a fair and consistent distribution of Contribution Payments for staff in Grades D-J. This ensures that, in any one year, no more than approximately 75% of eligible staff are able to progress to the 2 higher contribution increments. Approximately 50% of eligible staff may receive a one-off Contribution Payment in any given year. For the appraisal year ending March 2015, 66% of eligible staff were allowed to move into the two higher contribution increments and 55% of eligible staff received a one-off non-consolidated contribution payment.

Senior Management

14. The term Senior Management incorporates the following posts:

- Town Clerk & Chief Executive
- Chamberlain
- Comptroller & City Solicitor

- Remembrancer
 - City Surveyor
 - Director of the Built Environment
 - Managing Director of the Barbican Centre
 - Principal of the Guildhall School of Music & Drama
 - Director of Community & Children's Services
 - Deputy Town Clerk
 - Director of the Economic Development Office
 - Private Secretary & Chief of Staff to the Lord Mayor
 - Director of HR
 - Director of Culture, Heritage & Libraries
 - Director of Markets & Consumer Protection
 - Director of Open Spaces
15. The Head Teachers of the City of London School, City of London School for Girls and City of London Freemen's School are not part of the Senior Management Group for the purposes of pay (their pay is governed by a separate teaching pay scale). The post of Remembrancer is aligned to Senior Civil Service pay scales.
16. It should be noted that not all of the costs of the above posts are funded from public resources. The City of London is not an ordinary local authority, in that it has private and charitable functions which receive funding through income from endowment and trust funds.
17. Following the principles outlined above, the pay ranges for the Senior Management Group were set with reference to both job evaluation and an independent external market assessment. The principles of this were agreed by the Court of Common Council in 2007 and, subsequently, the specific unique range for each senior management post was agreed by the Establishment Committee in October 2007. Current Senior Management salary scales are published on our website at:
- <http://www.cityoflondon.gov.uk/about-the-city/who-we-are/Pages/senior-officer-and-general-salary-scales.aspx>
18. Each Senior Management post is allocated a range around a datum point. There is a maximum and minimum (datum plus 9% and datum minus 6% respectively) above and below which no individual salary can fall. Where a pay increase for a member of staff would take them above the maximum in a given year, the excess amount above the maximum may be paid as a non-consolidated payment in that year. This does not form part of basic salary for the following year and will, therefore, have to be earned again by superior performance for it to be paid.

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

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

20. The average payment based on contribution alone has been 2.66% for the appraisal year ending in March 2015. The payments have been largely non-consolidated i.e. they have to be re-earned each year based on superior performance.
21. All pay increases for any staff in the Senior Management Group are agreed by a Senior Remuneration panel comprising the Chairmen of Policy & Resources, Finance and Establishment Committees supported by either the Town Clerk and Chief Executive or the Director of HR. The Town Clerk & Chief Executive deals with all salary discussions for senior staff other than in relation to himself. The Director of HR deals with any pay discussions in relation to the Town Clerk & Chief Executive.
22. The Act specifies that in addition to senior salaries, authorities must also make clear what approach they take to the award of other elements of senior remuneration including bonuses and performance-related pay as well as severance payments. This should include any policy to award additional fees for Chief Officers for their local election duties.
23. The scheme for pay increases and contribution pay for the Senior Management Group is set out above. Staff in the Senior Management Group do not have an element of their basic pay "at risk" to be earned back each year. Progression is, however, subject to successful performance assessed through the application of the performance-appraisal scheme. No one in the Senior Management Group receives any additional payments or fees for City of London Corporation electoral duties.
24. Set out below are the broad pay ranges for the Senior Management Group, with the numbers in each band, excluding London Weighting. Each member of staff will have an individual salary scale within these broad ranges.

£79,150 - £109,560	(5)
£106,390 - £142,950	(8)
£151,680 - £181,090	(2)
£203,810 - £236,290	(1)

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

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

Other Payments

26. In addition to basic salary, all Graded staff are paid a London Weighting allowance which varies depending on where they are based and whether they are supplied by the employer with residential accommodation. This is to assist staff with the higher cost of living and working in London. Current levels of London Weighting for non-residential staff are £5,500 for those based in inner London and £3,300 in outer London.
27. Being based in the City of London, there are some types of posts which are difficult to recruit to e.g. lawyers, IT staff etc. Accordingly, there is often the need to use market supplements to attract, recruit and retain highly sought-after skills. Any request for a market supplement must be supported by independent market data and is considered by a panel of senior officers and the Establishment Committee where appropriate.
28. For officers at Grade I or above, any market supplement requires a formal Member committee decision based on a full business case. All market supplement payments are kept under regular review and reported to Members. No member of staff in the Senior Management Group receives a market supplement.

Transparency

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

Recruitment

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

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

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

Payments on Ceasing Office

31. Staff who leave the City Corporation, including the Town Clerk & Chief Executive and staff on the Senior Management Grade are not entitled to receive any payments from the authority, except in the case of redundancy or retirement as indicated below.

Retirement

32. Staff who contribute to the Local Government Pension Scheme who retire from age 55 onwards may elect to receive immediate payment of their pension benefits on a reduced basis in accordance with the Scheme. Unreduced benefits are payable if retirement is from Normal Pension Age, with normal pension age linked to the State Pension Age from 1 April 2014, unless protections allow for an earlier date. Early retirement, with immediate payment of pension benefits, is also possible under the Pension Scheme following redundancy or business efficiency after age 55 onwards and on grounds of permanent ill-health at any age.
33. Whilst the Local Government Pension Scheme allows applications for flexible retirement from staff aged 55 or over, where staff reduce their hours or Grade, it is the City Corporation's policy to agree to these only where there are clear financial or operational advantages to the organisation. Benefits are payable in accordance with Regulation 27 of the Local Government Pension Scheme Regulations 2013. Unless there are exceptional circumstances, the City does not make use of the discretion allowed by the LGPS Regulations to waive any actuarial reduction in pensions awarded under the flexible-retirement provisions.

Redundancy

34. Staff who are made redundant are entitled to receive statutory redundancy pay as set out in legislation calculated on a week's pay (currently a maximum of £475 per week). The City Corporation currently bases the calculation on actual salary. This scheme may be amended from time to time subject to Member decision. The authority's policy on discretionary compensation for relevant staff under the Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006 is published on our website.

Settlement of potential claims

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

Payment in lieu of notice

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

Re-employment

37. Applications for employment from staff who have retired or been made redundant from the City Corporation or another authority will be considered in accordance with our normal recruitment policy, or in exceptional circumstances, where it is for the benefit of the City Corporation, and with Establishment Committee's approval, it is appropriate to do otherwise.

Publication of information relating to remuneration

38. The City Corporation will seek to publish details of positions with remuneration of £50,000 or above in accordance with the Accounts and Audit Regulations 2015 and the Local Government Transparency Code issued by the Secretary of State for Communities and Local Government.
39. This Pay Policy Statement will be published on our public website. It may be amended at any time during 2015/16 by the resolution of the Court of Common Council. Any amendments will also be published on our public website.
40. This statement meets the requirements of the: Localism Act 2011; the Department for Communities and Local Government (DCLG) guidance on "Openness and accountability in local pay: Guidance under section 40 of the Localism Act"; "The Local Government Transparency Code 2015"; and the Accounts and Audit Regulations 2015.

Jan 2016

Committee: Establishment Committee	Date: 4 February 2016
Subject: Equality and Inclusion Update	Public
Report of: Director of Human Resources	For Information
Report Author: Tracey Jansen	

Summary

This report provides Members with an update on equality and inclusion activity since my report in November 2015.

Recommendation

Members are asked to note the report.

Main Report

Current Position

Equality analysis toolkit

1. Members will be aware that the Public Sector Equality Duty requires public authorities to have due regard in the exercise of its functions to:
 - Eliminate unlawful discrimination, harassment and victimisation
 - Advance equality of opportunity between people who share a protected characteristic and those who do not
 - Foster good relations between people who share a protected characteristic and those who do not
2. Equality analysis is a useful way in which we can demonstrate that we are meeting the requirement to have 'due regard'. A revised toolkit has been drafted with associated revised processes and training for officers. This will be considered by the Equality and Inclusion Board at its next quarterly meeting.

Equality Objectives

3. Work is also underway to update and refresh the City Corporation's Equality Objectives which it is required to publish from April 2016. These are high level objectives and departments will have their own plans in place for how the objectives will be achieved. The Board will also take the opportunity to review and refresh its equality and inclusion action plan for the coming year.

Highlights from the staff networks

4. All networks have continued to hold their quarterly meetings. In addition:

- The Disability Network organised an Access and Empowerment of People of all Abilities conference for staff to coincide with the United Nations International day of Persons with Disabilities. With speakers from MIND the conference was thought provoking and an opportunity for staff to share their experience and ideas.
- The Women's Network hosted the Mag 7 Panel. This is a group of seven business women from across industries that have formed their own network, having first met on a training course. They outlined and promoted the benefits of networking with the audience followed by a questions and answers session.
- The BAME Network organised an exclusive tour for staff with the curator Katy Pearce of No Colour Bar – Black British Art in Action 1960 - 1990. Attended by two of the artists, the Network members were given a personal tour of the event by the artists. The attendees were able to discuss the artists' work with them and were given insight into the period and the work of some of the other artists.

Review of service delivery and business planning

5. The business planning template has been amended to reference equality analysis. A session with the business planners from all departments included a session on the Public Sector Equality Duty and the importance of undertaking equality analysis where appropriate to do so.

Conclusion

6. Preparations are well underway to refresh our overall approach to embedding equality and inclusion in both service delivery and employment. The revised action plan and objectives will be reported to the next meeting of the Committee. The Staff networks are now fully established and up and running with their own aims, objectives and plan of activities for the year.

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Committee: Establishment Committee	Date: 4 February 2016
Subject: Operation of the Scheme of Delegations October - December 2015	Public
Report of: Director of Human Resources	For Information
Report Author: Tracey Jansen	

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 October to December 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 October to December 2015.
2. There have been 7 redundancies in this reporting period. There has been 1 early retirement on grounds of ill-health. Appendix 1 (within the confidential section of the agenda) provides a table summarising the information).
3. In the last 12 months there have been 17 total redundancies; 5 early retirements; and 9 ill health retirements.

Conclusion

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

Appendices

Appendix 1 - Table summarising information for the period October – December 2015 (Members Only).

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