



## Establishment Committee

**Date:** TUESDAY, 19 APRIL 2016

**Time:** 1.45 pm

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

**Members:** Deputy the Revd Stephen Haines (Chairman)  
Edward Lord (Deputy Chairman)  
Randall Anderson  
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  
Deputy 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 non-public summary of the meeting held on 10 March 2016.  

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

**For Information**  
(Pages 5 - 6)
5. **MINUTES OF THE JOINT CONSULTATIVE COMMITTEE**  
To note the public minutes and non-public summary of the meeting held on 10 March 2016.  

**For Information**  
(Pages 7 - 8)
6. **RESOLUTION FROM FINANCE COMMITTEE**  
To consider a resolution from the meeting of the Finance Committee on 15 March 2016 regarding recruitment.  

**For Information**  
(Pages 9 - 10)
7. **REFRESHING THE PAY AND REWARD STRATEGY FOR THE CITY OF LONDON CORPORATION**  
Report of the Director of Human Resources.  

**For Information**  
(Pages 11 - 16)
8. **TOWN CLERK'S BUSINESS PLAN 2016/17**  
Report of the Town Clerk.  

**For Decision**  
(Pages 17 - 40)
9. **COMPTROLLER AND CITY SOLICITOR'S BUSINESS PLAN 2016/17**  
Report of the Comptroller and City Solicitor.  

**For Decision**  
(Pages 41 - 58)
10. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

11. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
12. **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**

13. **NON-PUBLIC MINUTES**  
To agree the non-public minutes of the meeting held on 10 March 2016.  
**For Decision**  
(Pages 59 - 62)
14. **OUTSTANDING ACTIONS REPORT**  
Report of the Town Clerk.  
**For Information**  
(Pages 63 - 64)
15. **NON-PUBLIC MINUTES OF THE JOINT CONSULTATIVE COMMITTEE**  
To note the non-public minutes of the meeting held on 10 March 2016.  
**For Information**  
(Pages 65 - 66)
16. **RESOLUTION FROM CORPORATE ASSET SUB-COMMITTEE**  
To consider a resolution from the meeting of the Corporate Asset Sub-Committee on 11 March 2016 regarding recruitment.  
**For Information**  
(Pages 67 - 68)
17. **STAFF RESOURCES IN THE COMPTROLLER AND CITY SOLICITOR'S DEPARTMENT - CONTRACTS AND PROCUREMENT**  
Joint report of the Chamberlain and the Comptroller and City Solicitor.  
**For Information**  
(Pages 69 - 74)
18. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
19. **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**

20. **CONFIDENTIAL MINUTES**  
To agree the Confidential minutes of the last meeting held on 10 March 2016.  
**For Decision**
21. **DEPARTMENT OF THE BUILT ENVIRONMENT - SENIOR LEADERSHIP TEAM CHANGE PROGRAMME**  
Report of the Director of the Built Environment. This report will also be considered by the Planning and Transportation Committee on 26 April 2016.  
**For Decision**
22. **REQUEST FOR MARKET FORCES SUPPLEMENT - CHAMBERLAIN'S DEPARTMENT**  
Report of the Chamberlain.  
**For Decision**
23. **TOWN CLERK'S DEPARTMENT - RESTRUCTURE OF A DIVISION**  
Report of the Town Clerk.  
**For Information**

## ESTABLISHMENT COMMITTEE

Thursday, 10 March 2016

**Minutes of the meeting of the Establishment Committee held at the Guildhall EC2 at 12.00 pm**

### **Present**

#### **Members:**

Deputy the Revd Stephen Haines  
(Chairman)  
Edward Lord (Deputy Chairman)  
Randall Anderson  
Deputy Billy Dove  
Alderman Peter Estlin  
Deputy Jamie Ingham Clark  
Jeremy Mayhew

Sylvia Moys  
Deputy Joyce Nash  
Barbara Newman  
Deputy Elizabeth Rogula  
Angela Starling  
Philip Woodhouse

#### **Officers:**

Christopher Braithwaite	- Town Clerk's Department
Graham Bell	- Chamberlain's Department
Michael Cogher	- Comptroller and City Solicitor
Chrissie Morgan	- Director of Human Resources
Janet Fortune	- Human Resources Department

#### **1. APOLOGIES**

Apologies for absence were received from Nigel Challis, Wendy Mead and Deputy Richard Regan.

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

There were no declarations of interest.

#### **3. MINUTES**

**RESOLVED** – That the public minutes and summary of the meeting held on 4 February 2016 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.

With regard to the Shared Parental Leave Policy, a Member queried whether the users of the Policy had found the Policy to be appropriate. The Director of Human Resources advised that there had been a very small number of users of the Policy, but all users thus far had been satisfied with the Policy.

Members noted that new dates had been provided for meetings of the Committee in line with the agreement at the Committee's December 2015 meeting to move to a six-weekly meeting cycle. The Town Clerk explained that there was not a consistent meeting day or time for the Committee as the revised meeting dates had been forced to fit into dates left available after all other Committees and Sub-Committees had been scheduled. A Member noted that afternoon meetings would be preferable for this Committee, due to the varied length of time required for the meetings.

**RESOLVED** – That the Committee notes the report and the dates of future meetings.

5. **EQUALITY AND INCLUSION UPDATE**

The Committee considered a report of the Director of Human resources which provided an end of year report from the Equality and Inclusion Board. The report also presented the revised Equality and Inclusion Action Plan for 2016, the revised Equality Objectives for 2016 – 2020 and the new Public Sector Equality Duty Toolkit.

A Member asked whether the employee awards programme also included awards for officers' contribution outside of their usual areas of work, such as awards for volunteering. The Director of Human Resources explained that the employee awards did include awards for areas such as this, and explained that the prizes given to employees were usually of a nature of items which they could not otherwise purchase, such as the opportunity to open Tower Bridge. She explained that all awards winners were invited to attend the Establishment Committee dinner.

Members discussed unconscious bias and agreed that this was an area in which further training should be provided to all decision makers, including Members. Members suggested that that this training, along with training in equality and inclusion matters, should be compulsory for all Members and suggested that this should be referred to the Member Development Steering Group for consideration.

**RESOLVED** – That the Sub-Committee:

- a) notes the report;
- b) requests the Member Development Steering Group to consider whether equality and inclusion training, including training on unconscious bias, should be mandatory for all Members.

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

There were no questions.

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

There were no items of urgent business.

8. **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 Schedule 12A of the Local Government Act.

<b>Item(s)</b>	<b>Paragraph(s)</b>
9, 10, 13, 14 , 16	3
11	3 and 5
12	1, 2, 3 and 5
15	1, 2 and 3
17, 18	1

9. **NON-PUBLIC MINUTES**

The non-public minutes of the meeting held on 4 February 2016 were approved as an accurate record.

10. **OUTSTANDING ACTIONS REPORT**

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

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

The Committee considered a joint report of the Comptroller and City Solicitor, the City Surveyor and the Director of Human Resources which provided information regarding post termination restrictions on Officers.

12. **EMPLOYMENT TRIBUNAL CASE SUMMARY**

The Committee noted a report of the Comptroller and City Solicitor which provided details of Employment Tribunal cases dealt with by the Comptroller & City Solicitor (C&CS) since the last report at the beginning of September 2015.

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

There was one question.

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

There was one item of urgent business.

15. **CONFIDENTIAL MINUTES**

The confidential minutes of the meeting held on 4 February 2016 were approved as an accurate record.

16. **RESOLUTION FROM THE BOARD OF GOVERNORS OF THE GUILDHALL SCHOOL OF MUSIC AND DRAMA**

The Committee considered a resolution from the Board of Governors of the Guildhall School of Music and Drama at that Committee's meeting on 22 February 2016.

**17. IT MANAGEMENT ROLES UPDATE**

The Committee considered and approved a report of the Chamberlain which sought Members' approval to consult staff on potential changes to the structure of a team within the IT Division.

**18. RESTRUCTURE IN CULTURAL SERVICES SECTION, FINANCIAL SERVICES DIVISION, CHAMBERLAINS**

The Committee considered and approved a report of the Chamberlain which sought Members' approval for changes to the structure of the Cultural Services Section of the Financial Services Division of the Chamberlains Department.

**The meeting closed at 12.45 pm**

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Chairman

**Contact Officer: Chris Braithwaite  
tel. no.: 020 7332 1427  
christopher.braithwaite@cityoflondon.gov.uk**



## Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	19 April 2016, Item 5	<u>Unconscious Bias Training</u> The Committee requested that the Member Development Steering Group consider whether equality and inclusion training, including training on unconscious bias, should be mandatory for all Members.	Town Clerk	May 2016	A resolution will be submitted to the next meeting of the Member Development Steering Group on 16 May 2016.
2.	10 December 2015, Item 8	<u>Central Criminal Court</u> A report to be submitted to his Committee and other relevant Committees regarding the reporting lines for the Central Criminal Court.	Town Clerk	April 2016	Consultation on this report is ongoing and it is expected to be included on the agenda for the Committee's June 2016 meeting.
3.	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	Amendments are expected to the Trade Union Bill after the Easter Recess. The technical detail is not currently clear. A report will be submitted to Committee's June 2016 meeting.

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## JOINT CONSULTATIVE COMMITTEE

Thursday, 10 March 2016

Minutes of the meeting of the Joint Consultative Committee held at the Guildhall EC2 at 11.30 am

### Present

#### Corporation Members:

Deputy the Revd Stephen Haines  
(Chairman)  
Edward Lord (Deputy Chairman)  
Deputy Jamie Ingham Clark  
Deputy Joyce Nash  
Angela Starling

#### Union Members:

Julian Barker – GMB  
Colin Bull – UNITE  
Dean Brown – UNITE  
Danny Byrne – GMB  
Gary Carter – GMB  
Pritesh Dattani - UNITE  
Sean Davis – GMB  
Mike Moore – UNITE

#### Officers:

Christopher Braithwaite	- Town Clerk's Department
Rose Keeping	- UNITE
Chrissie Morgan	- Director of HR
Tracey Jansen	- HR

#### 1. **APOLOGIES**

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

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

There were no declarations of interest.

#### 3. **MINUTES**

**RESOLVED** – That the public minutes and non-public summary of the meeting held on 28 October 2015 be approved as an accurate record, subject to the addition of Dan Radusin to the list of those presenting apologies for absence.

#### 4. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

There were no questions.

#### 5. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

There were no items of urgent business.

6. **EXCLUSION OF THE PUBLIC**

**RESOLVED** – That under Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act.

<b>Item(s)</b>	<b>Paragraph(s)</b>
7-10	1, 4

7. **NON-PUBLIC MINUTES**

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

8. **PAY AWARD**

Representatives of GMB and UNITE presented their joint pay claim for 2016/17.

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

There were no questions.

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

There were no items of urgent business.

**The meeting closed at 11.45 am**

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Chairman

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# Agenda Item 6

TO: **ESTABLISHMENT COMMITTEE**

Tuesday, 19 April 2016

FROM: **FINANCE COMMITTEE**

Tuesday, 15 March 2016

## **RISK MANAGEMENT - MONTHLY REPORT**

The Committee considered a report of the Chamberlain which provided updates regarding the top risks within the Departmental Risk Register.

**The Chairman explained that the City Surveyor's Department appeared to have a potential "bow wave" risk regarding recruitment and retention due to lack of pay rises for local government employees. The Chairman queried whether there was a similar issue in the Chamberlain's Department.**

The Chamberlain advised the Committee that his Department had encountered some difficulties in recruitment and retention in some areas, particularly those which competed directly with the private sector, such as IT, procurement and financial services.

**A Member suggested that this issue should be referred to the Establishment Committee, which was conducting a review of reward and recognition within the Corporation. A Member highlighted that the competition between the Corporation's Independent Schools and the new Academies was an area which may need to be reviewed in this exercise.**

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

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<b>Committee:</b> Establishment Committee	<b>Date:</b> 19 April 2016
<b>Subject:</b> Refreshing the Pay and Reward Strategy for the City of London Corporation	<b>Public</b>
<b>Report of:</b> Director of Human Resources	<b>For Information</b>
<b>Report author:</b> Chrissie Morgan	

## Summary

Work is underway to refresh the City of London Corporation reward and recognition strategy. The last major review was implemented in 2007, overhauling the pay structure; reducing twenty overlapping grades to ten; introducing performance related pay progression and removing life time pay protections. One of the driving factors at that time was a multi-million pound Equal Pay liability facing organisations, particularly in the public sector, which was significantly reduced by the implementation of these changes. More importantly, they provided a frame-work for a fair and equitable system of pay and reward and linked reward to performance for the first time.

It is now time to refresh our reward and recognition approach for a number of reasons. Firstly, in the short term, the current controls and authorisations which were put in place, for good reason at the time, are now counter intuitive and counterproductive within a modern responsive organisation. Secondly, culture and technology has moved on significantly in the last ten years. The removal of the default retirement age in 2011 means that a significant number of workers expect to work until 70 years of age and beyond. Within the next two years it is expected that five generations will be working alongside each other. It will be necessary to adapt our benefits offering to recognise the different motivators of these different groups of employees. Additionally, with the changes to the Local Government Pension Scheme (LGPS), this may not now be as attractive a benefit as it once was, particularly at a senior level.

This paper is the first stage of taking the Establishment Committee through our research on the current issues facing the organisation, in the short term initially (i.e. which of our current processes we will be looking to adapt to be more flexible), as well as indicating some of the longer term changes we are looking to develop. This is to enable the Committee to be involved at the beginning of the development of the strategy rather than be presented with a final proposal

## Recommendation

That the Committee notes the approach and proposed way forward for refreshing our pay and reward strategy both in the short and longer term.

## Main Report

### Background

#### **Short term**

1. At the time of introducing very strict controls around the ability of Chief Officers to have the delegated authority to make decisions about pay and reward for their staff, very different cultural, structural and management systems were in place.
2. Each department had a local Human Resources team and acted very independently from each other. This led to very different and sometimes conflicting decisions being implemented in relation to pay, reward and other terms and conditions. Thus, the potential for Equal Pay liability to emerge again increased. It also had the potential for different pay and treatment of staff without a Justifiable Business Objective being demonstrated. This increases our vulnerability to discrimination claims (if successful, an Employment tribunal can make unlimited awards (as opposed to the current cap circa £78,000 for unfair dismissal).
3. We did not have an integrated Management Information System which would enable us to track payments to employees within departments, to monitor trends on recruitment and reward and contribution pay awards. Therefore, control systems were put in place to ensure that every individual Market Forces Supplement; honoraria payment; starting salaries and contribution pay awards has some sort of individual authorisation.
4. These rigorous processes were right for their time; however, they have become restrictive and unnecessarily bureaucratic in a much faster paced environment than we were competing in before.
5. In 2010 the departmental HR functions (excluding the Barbican, GSMD and the Police) moved under the management of the Director of Human Resources. Additionally, we now have Corporate and departmental Management Information which allows detailed analysis of departmental employee related decisions. We are therefore proposing that we look to removing many of the rigid controls which were necessary in the absence of these things.
6. We have set up a Chief Officer Working Group to look at the detailed work we have been doing within departments. In November 2015 we analysed the departmental work force plans on pay and reward, alongside other data including the Investors in People report. Issues identified:-

#### **Contribution pay**

7. This involves a “forced” distribution curve whereby Chief Officers must ensure that a limited number of eligible staff can achieve the set payment of 3% for a very good rating and 6% for an outstanding rating. The curve is determined by a monetary pot which is held centrally. The purpose of this at the time was to ensure payments were made on performance and money was not just



allocated out across to all staff equally. The organisation did not have an appraisal system at that time and assessing staff formally was not within the “DNA” of managers at that time. The pot was held centrally to ensure that departments did not go outside of the curve by subsidising awards from local risk budgets.

8. Feedback from the liP assessment and other feedback cites the scheme as being misunderstood, perceived as unfair and a de-motivator. Essentially because the forced distribution curve is now a monetary control rather than a distribution curve for guidance. It can be seen as a de-motivator as an employee can achieve a rating of very good or outstanding year on year but because of the forced distribution curve (enabling only 50% of eligible staff to receive a payment), they never actually receive any financial recognition.
9. The liP report highlighted that managers were often not taking responsibility for assessing performance properly and deflected by criticising the scheme and/or senior management “I gave you very good but they disagreed with me...”
10. Chief Officers overwhelmingly support the removal of the forced distribution curve. Recognising that there would need to be guidelines to adhere to and ways of ensuring fairness and consistency between departments.

#### **The way forward**

11. Each Chief Officer will be required to produce a pay statement for their department for 2015/16 this will detail a breakdown of pay including contribution payments, honoraria and MFS payments. A Chief Officer working group has been set up to review the link between performance and pay to provide recommendations for going forward, including looking at non-financial rewards.

#### **Market Forces Supplements/ Honoraria**

12. Business cases for MFS or honoraria payments are agreed by the MFS board if they are below £5,000 and below grade I. Over £5,000 and for any amount for grade I and above approval has to be given by the Establishment Committee.

#### **Issues which have arisen with this process:-**

13. The general feedback is that the system is too slow particularly when trying to recruit to difficult to fill, specialist posts. Additionally that the threshold for approval is too low. Chief Officers and senior officers, particularly those joining us from other organisations in recent years have expressed surprise and frustration at how hampered they feel in being unable to make quite low level salary decisions within their professional areas. They feel it is unnecessarily bureaucratic and time-consuming and diminishes their executive decision making.
14. With the advances in technology and social media, recruitment is a fast paced environment with candidates often being pursued simultaneously by other organisations via linkedin etc., £5,000 is seen as a very small amount of

money to require such a lengthy approval process and Committee approval is needed for lesser sums if the grade is I or above.

15. Chief Officers recognise that there needs to be market evidence for awarding MFS payments and this must be done in a fair and consistent way across the organisation. They would like delegated authority to be increased, with a requirement to report through to the appropriate MFS Board and/or Committee, more for monitoring purposes rather than needing to go through a lengthy process before hand and lose potential candidates/staff due to the approvals required.

#### **The way forward**

16. The Chief Officer working group will look at how a consistent methodology for evidencing market data for determining competitive recruitment packages could be established. This includes us currently testing a salary benchmarking data base with an external specialist organisation. The group will consider all of the aspects of the current MFS and honoraria systems and bring forward recommendations for streamlining and expediting the processes.

#### **Longer term**

17. As set out earlier, culture and technology has moved on significantly in the last ten years. Significant number of workers expect to work until 70 years of age and beyond. Within the next two years it is expected that five generations will be working alongside each other. It will be necessary to adapt our benefits offering to recognise the different motivators of these different groups of employees. Additionally, with the changes to the Local Government Pension Scheme (LGPS), this may not now be as attractive a benefit as it once was, particularly at a senior level.
18. The five generations working alongside each other are known as – the veterans; generation X (baby boomers); generation Y (millennials) and generation Z. Whilst it is important not to “stereotype” a lot of research has and is being undertaken looking at the different values and motivators for these generations.
19. For example the millennials (now holding a significant % of managerial positions in the UK) are more likely to want to have a better work life balance, expect much more flexible and mobile working. Their focus is on productivity and outcome rather than being “present” in the office. This generation grew up with technology and “instant, real time” information at their disposal. They expect instant access to anyone they want to talk to via text, email, skype, face time etc., This generation is unlikely to want long careers with one organisation and will move on quickly if bored or dissatisfied with their working environment. Millennials are values driven and will refuse to undertake work if it crosses those values. Deloitte Touch Tohmatsu limited undertook its fifth annual Millennial Survey in 2015. Their survey concluded that there was a remarkable absence of allegiance or loyalty to their current employers.

20. In contrast Baby boomers have had a very different approach to work life balance and very much placed work as a high priority. They will expect progression through an organisation based on experience, commitment and loyalty. Job security is very important and they expect a stable career.
21. This is only a snap shot of the research being undertaken around motivation and reward, with an emphasis on the need to avoid stereotyping. However, it begins to demonstrate that the City of London needs to develop a much more flexible approach to reward. A one size fits all system will not be effective going forward. The current pay structure is designed for people to “work their way up” a pay scale over years. This is unlikely to attract staff who will no longer see their long term careers as being with one organisation. That is not in itself a bad thing, we do not necessarily want to encourage life time loyalty, but do we want to attract the right people in the right place at the right time. This might mean looking at different, shorter term incentives such as paying towards student loans; offering to fund professional qualifications. We may wish to look at salary sacrifice schemes, whereby salary can be exchanged for a preferential rate of a benefit such as health insurance; care vouchers. This type of approach is often referred to as cafeteria benefits.
22. Many of the current pay systems have been subject to Collective Bargaining and are part of Collective Agreements with the recognised Trade Unions/ Staff representatives. Therefore any changes we propose will be subject to extensive consultation to implement them. Hopefully the changes will be seen as constructive and offering more flexibility for the work force.

### **Next steps**

23. A review of our existing benefits is under review and being externally benchmarked by an independent specialist organisation. As part of the work force planning process all departments have identified their market factors in attracting and retaining staff in their sectors. We are using this and other research to develop proposals for the longer term pay and reward strategy, which will look to integrate the short term changes we hope to implement.

### **Recommendation**

24. That the Committee notes the approach and proposed way forward for refreshing our pay and reward strategy both in the short and longer term.

**Chrissie Morgan**

**Director of Human Resources**

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# Agenda Item 8

<b>Committees</b>	<b>Date:</b>
Policy and Resources Committee	14 April 2016
Establishment Committee	19 April 2016
<b>Subject:</b> Town Clerk's Business Plan 2016-19	<b>Public</b>
<b>Report of:</b> Town Clerk	<b>For Decision</b>
<b>Report author:</b> Paul Debusse, Town Clerk's Department	

The Business Plan that follows covers the period 2016-2019 and relates not only to departmental activities but also highlights responsibilities to lead and drive forward corporate initiatives, whilst maintaining oversight across the organisation. The plan is based on the outcome of strategic planning sessions with senior managers in the Policy and Democratic Services division and reflects consultation with staff and service users. The plan includes the activity of Business Transformation, Policy, Committee and Member Services, Communications, Human Resources, Resilience, Elections, Corporate Performance, Business Support and the Contact Centre.

The first part of the plan provides contextual background and identifies the major drivers affecting the division's five key objectives, which relate to:

- Leadership, Policy and Strategy
- Corporate Governance and Democracy
- Communications
- Organisational and Departmental Development
- Resilience

The second part of the plan (appendix A-C) sets out a summary of the activity planned over the coming year and beyond in each of these key areas. Appendix D is a budgetary statement, giving details of the total resource requirement of £8.97m that will be needed to deliver the plan, Appendix E is a Business Plan Summary and Appendix F is a summary risk register.

## Recommendation

That Members approve the Town Clerk's Business Plan for 2016-19.

## Appendices

Town Clerk's Business Plan 2016/19

## Paul Debusse

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# **Town Clerk's Business Plan**

***Relevant***

***Responsible***

***Reliable***

***Radical***

***2016-19***

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**Responsible Officer: John Barradell, Town Clerk**  
**Contact:**

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## Introduction

1. This plan presents an overview of the aims and objectives of the Town Clerk's department, covering the areas of Policy and Democratic Services, Business Transformation, Communications, Corporate Human Resources, Contact Centre, Resilience and Community Safety; together with a summary of our Business Plan activity for the business planning period of 2016-2019.
2. Our activity fulfils a key role in delivering the City of London Corporation's Vision and Strategic Aims which are:

## Vision

The City of London Corporation will support, promote and enhance the City of London as the world leader in international finance and business services, and will maintain high quality, accessible and responsive services benefiting its communities, neighbours, London and the nation.

## Strategic aims

- To support and promote The City as the world leader in international finance and business services
  - To provide modern, efficient and high quality local services, including policing, within the Square Mile for workers, residents and visitors
  - To provide valued services, such as education, employment, culture and leisure, to London and the nation
3. We have set five key objectives, which focus on the delivery of the corporate vision and strategic aims. They are:
    - **Leadership, Policy and Strategy**– Providing corporate leadership, developing and co-ordinating corporate policies and strategies that set out the organisation's direction, leading corporate projects and driving improvement through effective project and performance management.
    - **Corporate Governance and Democracy** – Promoting high standards of governance throughout the organisation and providing support and democratic services which meet the needs of our elected Members and electorate.
    - **Communication and Media Management** – Creation and delivery of clear, consistent and confident media messages.
    - **Organisational and Departmental Development** – Developing and delivering key organisational and departmental improvement priorities to ensure the organisation is 'fit for purpose' and able to meet the challenges ahead.
    - **Resilience** – Promoting the resilience of the organisation and effective business continuity planning, ensuring that there are plans in place to provide support and assistance to the City's communities and the emergency services in the event of an incident.

4. Additionally, our planned activity has been assessed with a view to ensuring that we continue to be relevant, responsible, reliable, and where appropriate radical in the services that we provide.
5. Highlighted below is a brief summary of some of the key activity that will be undertaken over the coming business plan period that will contribute to the delivery of these objectives. A more detailed look at some of the key actions can be found in the activity statement attached at Appendix A.

### **Leadership, Policy and Strategy**

6. We will continue to co-ordinate and oversee the delivery of the change projects such as the new operating model for Facilities and Asset Management and the replacement of the Customer Relationship Management System, aligning them with high-level projects and programmes from the HR and IS Strategies, and departmental reviews.
7. We will continue to lead the development of a Cultural Hub, which will redefine the north-west part of the City. Work continues to link the cultural groups together and a full programme of projects has been developed to facilitate this.
8. Funding for the One Safe City project has been approved by the Resource Allocation Sub Committee so that further work can be conducted to progress the scheme to the next gateway. There are three specific projects within the scope of the scheme which are Ring of Steel, Community Safety and the Joint Contact and Control Room.
9. The Community Safety Team and other Departments are developing closer working relationships with the City of London Police and other partners to improve the customer focus of services, deliver reductions in crime and disorder and fulfil our 'Prevent' obligations.
10. We will facilitate the embedding of the new officer governance arrangements, ensuring that all of the agreed cross-cutting Service Based Reviews are completed on-time, to plan, achieving the projected savings targets and realising the non-financial benefits.

### **Corporate Governance and Democracy**

11. In the coming business planning cycle we will be striving to improve the service that is offered to Members. The results of the recent Members survey will form the basis of the improvement activity which will include enhanced Member development and improved agenda.
12. The Elections team will be involved in the running of the Mayor of London and London Assembly Election in May and the EU Referendum in June.
13. Activity will also start during the spring to ensure that as many people and businesses as possible are encouraged to register on the 2017-18 Ward Lists. A detailed report listing the planned promotional activity was approved by the Policy and Resources Committee in January 2016.

14. The full round of Ward Elections will take place in March 2017. Plans are currently being formulated to ensure that this process runs as smoothly as possible.

### **Communication and Media Management**

15. Following the reconfiguration of the department in November 2015, the core components of the Public Relations Office are now organised more effectively to respond to the new political and media demands being placed on the organisation.
16. One of the new Director of Communications first objectives is to ensure that clear, consistent and confident media messages are delivered by the organisation and a programme of work has been set to facilitate that.

### **Organisational and Departmental Development**

17. Having a flexible, skilled and motivated workforce is essential if the organisation is to deliver its strategic aims and objectives.
18. A detailed business improvement plan has been drawn up for the organisation to ensure that the third phase of the IIP review is a success.
19. The City of London Corporation's Health and Safety Strategy was assessed by the British Safety Council in February 2015, and was awarded four-star accreditation. The focus of the strategy for this year is behavioural change and the improvement of planning and monitoring activities.
20. A Corporate Wellbeing Strategy will be launched this year that has a three phase work programme. Its aim will be to deliver a Corporate Wellbeing programme that meets the needs of City of London Corporation employees and helps to attract and retain talent as well as support cultural change.
21. Equalities and Diversity – plans are in place to develop and support our senior managers so that they can lead and nurture a diverse and inclusive workplace. This is integral to the delivery of this organisation's vision and strategic aims and meeting the City of London Corporation's Public Sector Equality Duty.
22. An employee development plan, which covers management development, virtual learning through 'City People' and an extended Graduate scheme are all on target to be delivered by the end of next year.
23. Work is underway to review and improve the way that services are delivered in the Central Criminal Court. A report which details proposed changes to the Committee reporting arrangements for the Central Criminal Court is on the agenda of this committee.

### **Resilience and Security**

24. The security threat level from international terrorism within the UK will continue to be rated as severe for the foreseeable future. Closer working with the City of London Police and other relevant external organisations has helped mitigate the threat that this poses to the City.

25. A review of the physical security arrangements across the organisation is being conducted to ensure the City of London Corporation's security procedures are consistent and appropriate for the threat level. Implementation of the review's findings will take place over the coming year.
26. The Resilience unit is responsible for overseeing and coordinating the City of London Corporation's involvement in cross sector exercises, which directly impact on the mitigation of corporate risk CR01. This year we will review the debriefs from the major pan-London exercise Unified Response to ensure lessons learnt are embedded in our processes.
27. A number of IT related incidents have tested Business Continuity arrangements over the last year and this remains an area where more work needs to be undertaken to ensure that as far as is possible our plans are fit for purpose and are not dependent upon potential single points of failure.

### **Other Issues**

28. The assessment of business risk is integrated into the business planning process and a risk register is maintained to ensure that all identified risks are managed and appropriate mitigating actions are taken. The current summary risk register can be found at Appendix F, updates are reported quarterly to Members.
29. There are a number of workforce related issues that have been considered during the business planning process. The staffing changes related to Service Based Review savings and other changes to the structure of the department have resulted in the need to revise working practices to ensure we deliver our objectives with less resource.
30. Retaining staff key to the delivery of our services, has led to the consideration of the introduction of retention measures in some cases, and further consideration of succession plans.
31. The recruitment of apprentices in specific areas is also planned, offering work based learning opportunities for people under the age of 20, an age group that is underrepresented in our workforce. Further information about our workforce is included in the summary business plan (Appendix E).
32. The budget reductions that have been agreed as part of our service based review will continue in 2016/17. Overall, we have committed to saving £929k by April 2017. These savings are significant and will be challenging. Everything possible will be done to ensure service levels are maintained and redundancies are minimised.
33. The Town Clerk's Department is located largely in the West Wing of the Guildhall. The introduction of more flexible working practices within the Guildhall generally, could release some of this space for denser occupation as well as making the space more efficient and productive. There is a project under consideration that will explore this corporately.

34. The location of the Contact Centre (currently Guildhall Justice Rooms) will move, as part of the Joint Contact and Control Room project, to the temporary space allocated to the Police Control Room before eventually being based at Wood Street. The new location of this joint service will free up this space for alternate use.
35. The changes to the Print Unit may have space usage implications. A wider review of printing is currently underway, that will make recommendations for Member approval.

## **Conclusion**

30. This business plan has been produced with the organisation undergoing a period of transition. Our challenge will be to achieve the required and future efficiencies, but ensure that the traditional values of reliability, responsibility and relevance that have been the basis on which the reputation of this organisation has been built, are maintained.

## Town Clerk's Business Plan - summary activity 2016-19

Key Objective		1 - Leadership, Policy and Strategy			
Aligns to Corporate Plan:		Rationale	Providing corporate leadership, developing and co-ordinating corporate policies and strategies that set out our direction, leading corporate projects and driving improvement through effective performance management.		
Action to meet aim		Detail	Measure of Success	Target Date	Lead Officer
1.1 Leadership of Corporate Projects and delivery of organisational change and transformation		Provide leadership and support for the delivery of cross-cutting corporate projects Manage, monitor and report on corporate work programmes, ensuring that: <ul style="list-style-type: none"> <li>Resources are prioritised, managed and delivered effectively.</li> <li>Teams undertaking programmes are properly supported</li> <li>Opportunities to collaborate within and outside the organisation are exploited</li> </ul>	Corporate Projects are delivered on time, within budget and are aligned with the City of London Corporation's aims and objectives - and that the anticipated benefits are realised <ul style="list-style-type: none"> <li>Cross-cutting Service based Review programme will improve the efficiency and effectiveness of cross organisation activity</li> <li>Delivery of agreed savings</li> </ul>	Separate programs with each project	Susan Attard/Peter Lisley/Simon Murrells
1.2 One Safe City		Undertake a series of projects to achieve a more coordinated approach to joint working, benefitting the safety of the City	Activity delivers quality improvement and efficiency savings. <ul style="list-style-type: none"> <li>Develop and implement a Joint Contact and Control Room.</li> <li>Explore better ways of working on Community Safety (see also 1.5 below)</li> <li>Upgrade the ring of steel</li> </ul>	Each of these areas is in a different stage of development; plans and benefits will become quantifiable as they develop	Peter Lisley

Action to meet aim	Detail	Measure of Success	Target Date	Lead Officer
<b>1.3 The Cultural Hub</b>	Support the deliberations of the Cultural Hub Working Party and projects to deliver the City's Cultural Hub	The north-west of the City is redefined into a thriving cultural hub. The various cultural groups work together to develop and enhance the cultural offer within the City/ enhance the environment <ul style="list-style-type: none"> <li>Naming Branding exercise completion</li> <li>Launch of new name, engagement programme</li> </ul>	Detailed programme of work with individual timeframes Dec 2016 April 2017	Peter Lisley
<b>1.4 Police Authority</b>	Provide support to Police Committee & City Police in delivering the policing priorities	<ul style="list-style-type: none"> <li>Ensure the force responds appropriately to HMIC recommendations, delivering efficiency targets and delivers value for money</li> <li>Represent and promote the City of London Corporation's on national policing forums, maintain an effective working relationship with stakeholders</li> </ul>	On-going programme	Peter Lisley
<b>1.5 Community Safety</b>	Develop a closer working relationship with the CoLP and other partners	Community Safety becomes a more customer focused and more efficient service Reductions in: <ul style="list-style-type: none"> <li>Negative impacts of the Night Time Economy</li> <li>Domestic Abuse</li> <li>Antisocial behaviour/high risk cases</li> </ul>	Dec 2016 Mar 2017	Peter Lisley
<b>1.6 Effectiveness of Grants</b>	Implement the agreed recommendations from the 2015 review of the effectiveness of Grants	<ul style="list-style-type: none"> <li>Introduction of a more consistent coherent and co-ordinated approach to grant giving</li> <li>Establishment of a central Grants unit</li> </ul>	April 2016 TBA	Susan Attard/David Farnsworth
<b>1.7 Strategic Asset Management</b>	Implement the agreed recommendations from the review of Facilities management	<ul style="list-style-type: none"> <li>Align the implementation of revised roles, reporting lines, process and contract management arrangements prior to mobilisation of new Building Repairs and Maintenance Contract (going live in July 2017)</li> <li>Full adoption of new operating model</li> </ul>	March 2017	Susan Attard
<b>1.8 Customer Services Working Group</b>	The group is responsible for discussing and providing recommendations in regards to customer Services related projects, opportunities, and the prioritisation of agreed resources.	<ul style="list-style-type: none"> <li>Service improvement and consistency</li> <li>Increased customer satisfaction</li> <li>Greater collaboration</li> <li>Consistent complaints handling</li> <li>Cashable savings</li> <li>Increased staff morale</li> </ul>	A detailed work prog/road map is being developed, with milestones and targets for each project	Susan Attard

Key Objective	<b>2 - Corporate governance and Democracy</b>			
	Rationale	Promoting high standards of governance throughout the Organisation and provide support and democratic services which meet the needs of our elected Members and electorate.		
Aligns to Corporate Plan:	KPP1-6			
<b>Action to meet aim</b>	<b>Detail</b>	<b>Measure of Success</b>	<b>Target Date</b>	<b>Lead Officer</b>
<b>2.1 Increasing the Business Vote</b>	Conduct a campaign to raise the profile of the business vote within the City	Greater business representation through increased numbers of voters	Dec 2016	Simon Murrells
<b>2.2 2017 Ward Elections</b>	Organise, manage and deliver the 2017 Ward Elections	The elections are successfully delivered without procedural errors.	March 2017	Simon Murrells
<b>2.3 Member Development</b>	Implement a full programme of Member Development activity	The Member Development Strategy delivers appropriate Learning and Development, equipping Members to fulfil their elected role	On-going programme delivered on a quarterly basis	Simon Murrells
<b>2.4 Improving support for Committees and Members</b>	Continue to review and improve the support provided for Members	Member survey shows that service levels have improved and satisfaction levels are high <ul style="list-style-type: none"> <li>Improvements achieved through targeted professional development sessions, based around the feedback from the 2015 survey</li> </ul>	Dec 2016	Simon Murrells
<b>2.5 Report Writing</b>	Continue to improve the quality of report writing across the organisation as part of a package of measures to ensure that we are providing the right Committee Services	All report authors are aware of the Committee report writing style and content requirements The reports presented to Committee are clear, concise and well written. <ul style="list-style-type: none"> <li>Review, revise and promote the Committee report writing guidance amongst report authors across the CoL.</li> <li>Undertake 'targeted' training sessions with specific report authors to increasing awareness and compliance with the report writing guidance.</li> </ul>	Dec 2016  Mar 2017	Simon Murrells
<b>2.6 Election Activity</b>	Participate in the organisation and conduct of the Mayoral election and the EU referendum.	Both the Mayoral election and the EU referendum are conducted effectively without any errors	May/June 2016	Simon Murrells



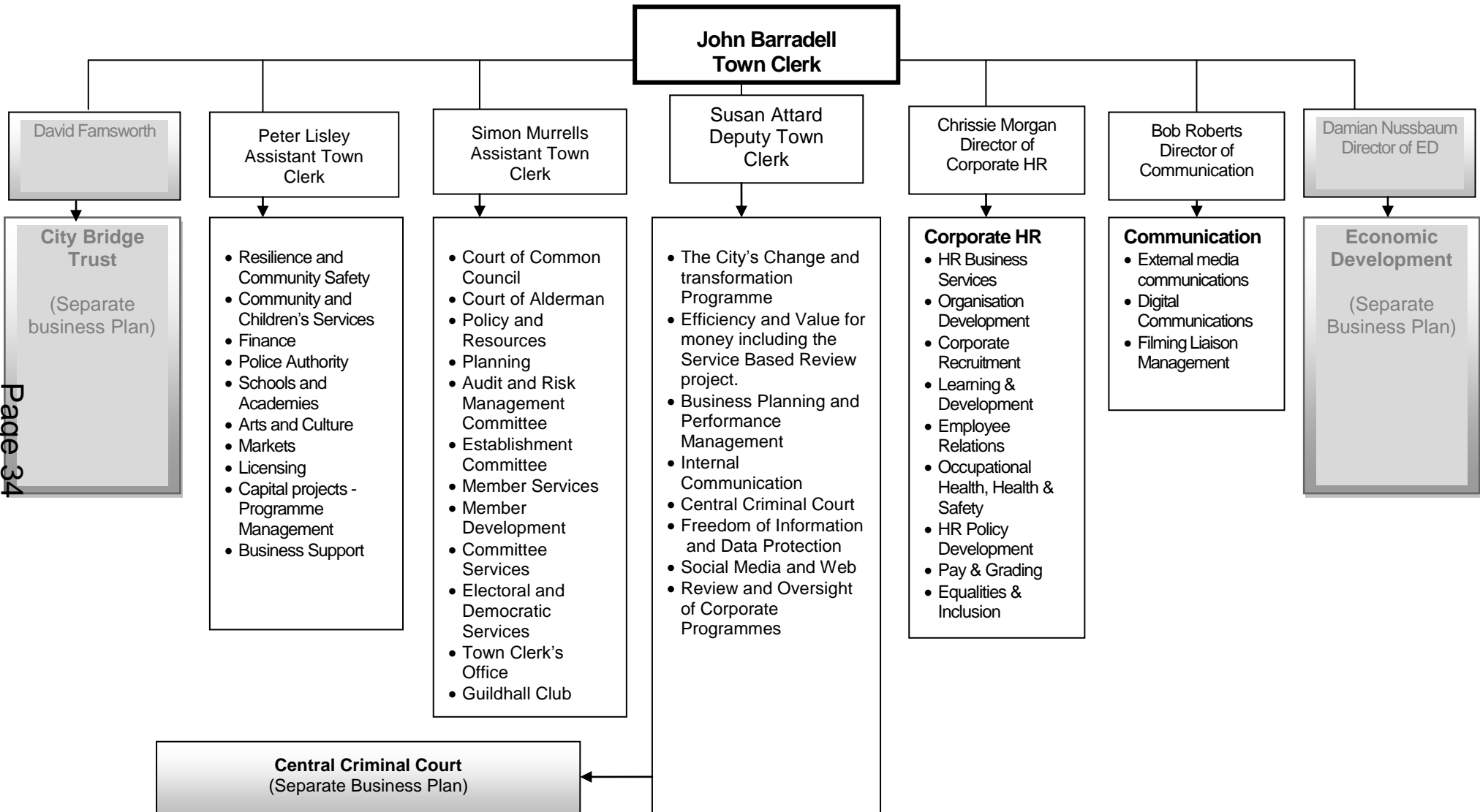
Key Objective	<b>3 - Communication and Media management</b>			
	Rationale	Creation and delivery of clear, consistent and confident media messages.		
Aligns to Corporate Plan:	KPP1-6			
Action to meet aim	Detail	Measure of Success	Target Date	Lead Officer
3.1 Media engagement	Creation of clear, consistent and confident media messages	<ul style="list-style-type: none"> <li>• Introduction of between 8 to 12 short 600 word core messages of what the City of London Corporation does in different areas, why it does it, for who and what the results are -with a series of statistics and Frequently Asked Questions attached.</li> <li>• Introduction of short, written message about the services we provide in London Boroughs.</li> <li>• Improve delivery of messages through increased training for media officers, Members and other senior staff; increased focus on drafting and presentation, as well as increased journalistic engagement.</li> </ul>	June 2016  December 2017	Bob Roberts
3.2 Media Team enhancement	Developing a modern, fit for purpose communications team	<ul style="list-style-type: none"> <li>• Introduction of a week to view grid which lists by date when there is a media intervention planned by each department sent to Chief Officers and senior managers on a weekly basis.</li> <li>• Enhancements to the team structure to better reflect corporate strategies.</li> <li>• Review social media presence with a view to reducing potential reputational risk from more than 120 twitter feeds.</li> <li>• Update and practice emergency response procedure and link into other resilience procedures</li> </ul>	April 2016  May 2016  Dec 2016  April 2016	Bob Roberts

Key Objective		4 - Organisational and Departmental Development			
Aligns to Corporate Plan:		Rationale	Developing and delivering key organisational and departmental development priorities to ensure the organisation is “fit for purpose” and able to meet the challenges ahead.		
KPP1-6					
Action to meet aim	Detail	Measure of Success	Target Date	Lead Officer	
4.1 Investors in People	To lead the City of London Corporation in achieving the core standard and the stretch standards	<p>The organisation benefits from the work conducted to achieve the standard, in terms of leadership and reputation</p> <ul style="list-style-type: none"> <li>The focus this year will be on the skills of managers in evaluating the outcomes from learning and development activities</li> </ul>	2017	Chrissie Morgan	
4.2 Performance Development Reviews	To review the performance development framework to create a more streamlined and simplified process	<p>The appraisal framework becomes more efficient and less time consuming, whilst retaining the integrity of the process.</p> <ul style="list-style-type: none"> <li>By 2016 to have developed and implemented an online form which directly links to iTrent allowing Managers greater control over the system</li> <li>Review the behaviour framework, building links with the Corporate values: Relevant, Responsible, Reliable, Radical and individual values of Pride, Professionalism, Passion and Pace.</li> <li>Review the contribution pay scheme and structure of the pay scheme (see 4.4)</li> </ul>	Dec 2016  2017  2016/17	Chrissie Morgan	
4.3 Employee Development Programme	To achieve a learning organisation where individuals lead their own development.	<ul style="list-style-type: none"> <li>Develop a comprehensive programme of Learning and Development for City of London managers</li> <li>Develop the tools and frameworks for individuals to know what they need to achieve to progress in the organisation</li> <li>Create virtual learning environment in Core Zone</li> </ul>	2016	Chrissie Morgan	

Action to meet aim	Detail	Measure of Success	Target Date	Lead Officer
4.4 Pay & reward structure	To review the pay and reward structure to achieve a system more aligned to the business	<ul style="list-style-type: none"> <li>Salary survey on key roles and those with Market Forces Supplements to undertake a market comparison</li> <li>Research pay and reward to develop new strategy for implementation across the business</li> <li>To ensure that all interdependencies are identified and are aligned</li> </ul>	2016/17	Chrissie Morgan
4.5 Attracting Talent	Modernise the recruitment policy, process and branding	<p>Modernised process ensures that the City of London Corporation promotes an attractive career proposition and reduces barriers to entry and inclusion.</p> <ul style="list-style-type: none"> <li>Develop, review and monitor the delivery of the project plan</li> </ul>	3 year program 2016-19	Chrissie Morgan
4.6 Health, Safety & Wellbeing	To ensure the Safety Management System remains effective and applied corporately	<ul style="list-style-type: none"> <li>Deliver corporate compliance safety audits in line with programme. Continue with Wellbeing Strategy</li> <li>Maintain Corporate H&amp;S systems: DSE Workrite, Accident Reporting, TopX (aligning this to corporate risk management process) and H&amp;S Committee.</li> <li>Deliver a Corporate Wellbeing Strategy (three phase work programme)</li> <li>Deliver a Corporate Wellbeing programme, monitored through the Health and Safety Committee and regular Chief Officer Group updates/dashboard</li> </ul>	On-going 2017  May 2016	Chrissie Morgan
4.7 Equalities and Inclusion Action Plan	To achieve the Equalities and Inclusion Action Plan 2016 (EIAP)	<ul style="list-style-type: none"> <li>The EIAP is reviewed and monitored at the Equalities and Inclusion Board</li> <li>Progress reports made to meetings of the Establishment Committee</li> </ul>	As per EIAP 2016	Chrissie Morgan/ Ade Adetosoye

Key Objective		5 - Resilience and Community Safety			
Aligns to Corporate Plan:		KPP2 and KPP5	Rationale	Promoting the resilience of the Organisation and effective business continuity planning and to ensure that there are plans in place to provide support and assistance to the City's communities and the emergency services in the event of an incident.	
Action to meet aim	Detail	Measure of Success	Target Date	Lead Officer	
5.1 Review of Premises Security	Complete a full review of the high level security arrangements across the CoL operational estate leading to a new CoL security strategy.	The security arrangements across the estate are consistent and 'fit for purpose' with appropriate peer challenge and senior oversight.	Draft Strategy by May 2016	Peter Lisley/Gary Locker	
5.2 Multi Agency Exercises	Hold Multi Agency exercises to validate our response arrangements	Exercises are held, review process identifies good practice and areas for development	To be agreed	Gary Locker	
5.3 Business Continuity	Assess the organisation's business continuity needs and produce a priority based business impact assessment for use in the event of any disruption to services. In Addition, incorporate the learning from Exercise Unified Response into plans and further exercises.	<ul style="list-style-type: none"> <li>A corporate approach is developed for assessing the impact of disruption so that resources can be used effectively until services are restored</li> <li>Further work is conducted, particularly around single point of failure and over reliance on IT solutions</li> </ul>	June 2016 Sept 2016	Peter Lisley/Gary Locker	
5.4 Safer City Partnership	Ensure that the Safer City Partnership undertakes activities to meet its priorities	<p>A re-invigorated partnership with more joint working and engagement by a wider range of participants.</p> <ul style="list-style-type: none"> <li>New SCP Strategy agreed</li> <li>Input to One Safe City project, Community Safety Theme</li> </ul>	On going May 2016 On-going	Peter Lisley/David Mackintosh	

Performance Indicators				
Measure Ref.	Measure Name	Division	Latest Performance	Target 2016-17
LTC 1	Circulation of Draft Minutes- to produce and circulate draft minutes to Members within 7 working days of the meeting.	Policy and Democratic Services	94.42%	95%
LTC 2	Telephone Answering- to answer telephone calls within 20 seconds.	Town Clerk's Office	94.60%	95%
	<i>Call Answered Rate</i>	Contact Centre	96.90%	98%
	<i>Call Answered within 20 seconds</i>	Contact Centre	88.50%	90%
LTC 3	Sickness Absence - To keep sickness absence levels below the Corporate target (Working days lost per employee, per annum)	Town Clerk's Office	6.57	6.00
LTC 4	Freedom of Information Requests - To manage responses under the FOI Act within the statutory 20 working days.	City of London Corporation	95%	85% (Information Commissioner's target)



Town Clerk's Office Local Risk Budget	Original Budget 2016-2017 £000	
<b>Expenditure</b>		
<b>Employees</b>		
Policy and Democratic Services	3,209	
Corporate HR	3,332	
Communications	1,314	
Resilience	502	
<b>Total Employees</b>		8,357
<b>Supplies and Services</b>		
Policy and Democratic Services	312	
Corporate HR	491	
Communications	410	
Resilience	126	
<b>Total Supplies and Services</b>		1,339
<b>Third Party Payments</b>		
Policy and Democratic Services	45	
Corporate HR	6	
<b>Total Third Party Payments</b>		51
<b>Total Expenditure</b>		<b>9,747</b>
<b>Income</b>		
<b>Customer and Client Receipts</b>		
Policy and Democratic Services	(50)	
Corporate HR	(681)	
Communications	(50)	
Resilience		
<b>Total Customer and Client Receipts</b>		(781)
<b>Total Income</b>		<b>(781)</b>
<b>Net Local Risk</b>		
Policy and Democratic Services	3,516	
Corporate HR	3,148	
Communications	1,674	
Resilience	628	
<b>Total Net Local Risk</b>		<b>8,966</b>

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**Our Key Objectives are:**

**Leadership, Policy and Strategy** – Providing corporate leadership, developing and co-ordinating corporate policies and strategies that set out the organisation’s direction, leading corporate projects and driving improvement through effective performance management.

**Corporate Governance and Democracy** – Promoting high standards of governance throughout the organisation and providing support and democratic services which meet the needs of our elected Members and electorate.

**Communication and Media Management** - Creation and delivery of clear, consistent and confident media messages

**Organisational and Departmental Development** – Developing and delivering key organisational and departmental improvement priorities to ensure the organisation is ‘fit for purpose’ and able to meet the challenges ahead

**Resilience** – Promoting the resilience of the organisation and effective business continuity planning, ensuring that there are plans in place to provide support and assistance to the City’s communities and the emergency services in the event of an incident.

**Key actions to deliver our objectives are:**

**Leadership of Corporate Projects** – Provide leadership and support for the delivery of a number of cross cutting corporate projects such as the new model for Facilities and Asset Management, and the replacement of the Customer Relationship Management System.

**Developing the Cultural Hub** – Continue to lead the development of a Cultural Hub, which will redefine the north west part of the City.

**One Safe City** – Progressing the program to deliver the 3 main projects in this scheme, the ring of steel; the Joint Contact and Control Room and Community Safety.

**Developing a flexible, skilled and motivated workforce** – lead a series of projects and initiatives to help produce a workforce that can meet the challenges of the future and deliver the organisation’s strategic aims and objectives.

**2017 Ward Elections** – Delivery a successful full round of Ward Elections

**Review of the Services provided by the Town Clerk’s Department** – as part of the service based reviews, implement the agreed efficiencies of services offered by this department.

Our **Key Performance Indicators** are:

Description:	Latest Performance Level	Target:
LTC 1 - <b>Circulation of Draft Minutes</b> - to produce and circulate draft minutes to Members within 7 working days of the meeting.	94.42%	95%
LTC 2 – <b>Telephone Answering</b> –to answer telephone calls within 20 seconds	94.60%	95%
LTC3 - <b>Sickness Absence</b> – To keep sickness absence levels below the Corporate target (Working days lost per employee, per annum)	6.57	6.00
LTC4 - <b>Freedom of Information Requests</b> – To manage responses under the FOI Act within the statutory 20 working days. (Information Commissioner’s target	95%	85% (Information Commissioner’s target )

# Town Clerk's Office Business Plan Summary 2016-19

# Appendix E

## Our Financial Information:

	2014/15	2015/16	2015/16	2015/16		2016/17	N.B.
	Actual	Original Budget	Revised Budget (latest approved)	Forecast Outturn (latest position)		* Original Budget	
	£000	£000	£000	£000	%	£000	
Employees	8,400	8,479	8,652	8,590	99	8,357	
Supplies & Services	2,121	1,495	1,916	1,765	92	1,338	2
Third Party Payments	136	126	51	51	100	51	
Contingencies	0	1	1	0	0	1	
Total Expenditure	10,657	10,101	10,620	10,406	98	9,747	
Total Income	(1,133)	(899)	(897)	(898)	100	(781)	
Total Local Risk	9,524	9,202	9,723	9,508	98	8,966	3
Central Risk	326	278	398	332	83	282	
Recharges	1,364	1,469	1,422	1,422	100	1,455	
Total Net Expenditure	11,214	10,949	11,543	11,262	98	10,703	4

## Notes on Financial Information:

- \* The 2016-17 original budget has been adjusted to reflect the transfer of the Corporate Affairs staff to Economic Development division, which is covered by a different business plan.
1. This summary is a consolidation of the budgets of Policy and Democratic Services, Corporate HR (Establishment Committee) and Security & Contingency Planning and Communications (Policy & Resources Committee).
  2. The significant increase in the Supplies and Services estimate at revised budget 2015/16 is due to the addition of amounts carried forward from 2014/15.
  3. There is an overall under-spend across the division; year-end processes were not complete when this statement was produced. There are a number of projects that, for various reasons, could not be completed during the 2015/16 financial year. Carry forward requests will be submitted for approval in due course.

## Our Staffing consists of:

Headcount	
Policy and Democratic	63
Corporate HR	64
Communications	22
Resilience	7
Contact Centre	13
<b>Total</b>	<b>169</b>

Sickness Absence (Annual working days lost per employee)		
TC Dept	CoL	CoL target
6.57	5.78	6.0

Gender (%)		
TC Dept	Female: 57.8	Male: 42.2
CoL	Female: 45.3	Male: 54.7

Graded Staff (%)			
	A-E	F-J	SMG
TC Dept	71.7	26.5	4.0
CoL	82.7	16.9	0.4

Ethnic Group Distribution (%)		
	TC Dept	CoL
Asian or Asian British	9.3	5.3
Black or Black British	12.0	6.7
Mixed	3.6	2.4
Other Ethnic	1.8	1.5
White	65.3	70.5
Not Known	8.0	13.6
	100.0	

Age Distribution (%)		
	TC Dept	CoL
Under 21	0.00	0.9
21 - 30	24.0	16.0
31 - 40	25.3	24.7
41 - 50	25.8	25.9
51 - 54	9.8	11.9
54 - 60	12.0	13.6
61+	3.1	7.0
	100.00	

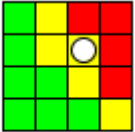
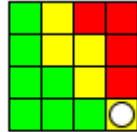

## TC - summary risk register

Report Author: Paul Debusse

Generated on: 04 March 2016

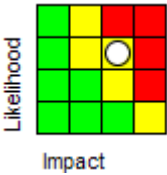
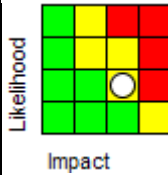

Rows are sorted by Risk Score

### Code & Title: CR Corporate Risk Register 2

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
<b>CR01</b> <b>Resilience Risk</b>  Page 39 29-Mar-2015 John Barradell	<b>Cause</b> - Lack of appropriate planning, leadership and coordination <b>Event</b> - Emergency situation related to terrorism or other serious event/major incident is not managed effectively <b>Effect</b> - Major disruption to City business, failure to support the community, assist in business recovery. Reputational damage to the City as a place to do business.	Likelihood  Impact	12	Risk re-rated from amber 8 to amber 12 . This change has been made following a review of the robustness Corporation's own business continuity plans (BCP) and the IT network assumptions on which some actions in the BCPs are based.  <b>04 April 2016</b>	Likelihood  Impact	8	31-Mar-2017	  Increased Risk Score

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR01A Emergency Exercise	Full exercise (Allovus) to test the emergency and business continuity plans across the organisation. The exercise will involve the emergency services	This action is now complete	Gary Locker	29-Jan-2016	11-Jun-2015
CR01B Corporate review of Business Continuity planning	Prepare and complete a report for the Summit Group, based on the findings of a review of departmental business continuity planning	This action is now complete	Gary Locker	29-Jan-2016	30-Nov-2015

CR01C Exercise Unified Response	Large scale multi-agency exercise which will test the CoL's Borough Emergency Co-ordination Centre (BECC)	Currently, the resilience team are participating on behalf of the organisation in a major, multi-agency exercise 'Unified Response' The exercise has now been completed. The learning from the exercise will be fed back and applied to the City of London Corporation's business continuity planning processes	Gary Locker	4- Apr 2016	01-Jun-2016
CR01D	Elimination of single points of failure, resulting in loss of services	Working with the IS Division, remove potential single points of failure from business planning processes.	Gary Locker	4-Apr 2016	01-Dec 2016

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
<b>CR09 Health and Safety Risk</b>  Page 40 27-Sep-2014 Missie Morgan	<b>Cause</b> - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management <b>Event</b> - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with. <b>Effect</b> - Possible enforcement action/ fine/prosecution by HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs		12	This risk was reviewed by the SMT on 28/03/16, no change to the assessment at this time. The external accreditation exercise by the British Safety Council resulted in the City of London Corporation being awarded 4 star status  <b>4 April 2016</b>		8	31-Mar-2017	  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	British Safety Council have completed the audit. The organisation has been awarded 4 star status. This action is now closed.	Oliver Sanandres	04-Apr-2016	29-Feb-2016
CR09B Compliance Audits	Rolling programme of departmental compliance audits conducted by the Corporate Health and Safety Unit	Audits currently ongoing. Report being prepared for H&S Committee. The 2016-17 programme of audits will commence 1 April 2016.	Oliver Sanandres	04-Apr-2016	31-Mar-2016

<b>Committee:</b> Establishment Committee	<b>Date:</b> 19 April 2016
<b>Subject:</b> Comptroller & City Solicitor's Business Plan 2016/2019	<b>Public</b>
<b>Report of:</b> Comptroller and City Solicitor	<b>For Decision</b>
<b>Report author:</b> Martin Howe, Comptroller and City Solicitor's Department	

## Summary

This report submits to members the Comptroller & City Solicitor's (C&CS) Business Plan for 2016/2019. The plan contains two departmental Strategic Aims, which are:-

**[a] To manage resources effectively to provide efficient and quality legal services.**

**[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 plan develops these themes into Improvement Objectives which will enable the department to achieve incremental performance improvement, deliver high quality legal services and meet the expectations of client departments.

## Recommendation

Members are asked to approve the C&CS business plan for 2016/2019.

## Main Report

### Background

1. The City introduced a revised business planning framework in 2007 to enable departments to focus on performance improvements in order to achieve the corporate objectives in the Corporate Plan and City Together Strategy.

### Current Position

2. The legal department has sought to provide high quality legal services and it regularly monitors its performance through consultation with chairmen of committees, client departments, external assessments, benchmarking with other authorities and internal performance management.
3. All staff in the C&CS were consulted during the planning process and client departments have contributed to the preparation of the plan.

### Consultees

4. This report required no further consultation from other departments.

## **Conclusion**

5. Members are asked to approve this report and the C&CS Business Plan for 2016/2019.
6. Quarterly progress reports will be submitted to the committee.

## **Appendices**

Comptroller & City Solicitor's Business Plan 2016/19

## **Martin Howe**

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# **Comptroller & City Solicitor**

## **Business Plan 2016 – 2019**

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**Version 1.7**

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## **Introduction**

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

This will be particularly the case in the next three years as the Corporation considers and implements organisational change to meet its ambitions. The Department is therefore anticipating a continuing increase in demand for its services.

## **Looking Back.....**

2015/16 was another challenging but successful year for the Department.

The Property team has acted on a number of complex and high value commercial property transactions relating to leasehold and freehold interests, lettings, redevelopments and re-gearings. The strong property market has led to a significant increase in workload and income. Key property transactions include:-

- 1 Alie Street – sale of new headlease.
- 60-70 St. Mary Axe – development agreement and lease.
- 35-37 Alfred Place – lease.
- 26-27 Store Street – lease.
- GLA roads dispute – title research and property input.
- Thames Tideway tunnel – various property transactions.
- Queensbridge House – variation to development agreement to allow development to start.
- 160 Aldersgate Street – re-gearred ground lease.

The Contracts Section experienced an increase in complex procurement work including external challenges from disappointed bidders. Examples of projects that were successfully completed were the complex multifaceted action fraud contract for the City of London Police (COLP); managing the high profile project for European Social Fund grants and allocation through the City as accountable body in relation to Central London Forward, and managing the all party agreement binding the 8 London Boroughs; developing and managing the COLP accommodation moves including liaising with Property on leases etc; assisted City Surveyors Department with the mediation involving Mitie on the Building Repairs and Maintenance project, successfully reducing their claim by 80%; assisting City Procurement with drafting the internal City Procurement Code, liaising with different departments; advising on procurement avenues and liaising with the Department for Work and Pensions in relation to an overarching Data Processing Agreement; assisting the Department of Community and Children's Services in relation to a joint commissioning agreement with Hackney on the Better Care Project relating to the City's obligations pursuant to section 75 of the National Health Services Act 2006.

The Litigation section is heavily involved in the Spitalfields Market bulk lease renewals, working towards an arbitration hearing in summer to determine rent levels. Legal action to recover service charges in relation to concrete repairs at the Barbican Estate, and major works to Great Arthur House, are about to commence. Overall the section

maintained a consistently high level of debt recovery, and success in possession cases. The GLA Roads transfer arbitration decision is being appealed further to the Court of Appeal with a hearing expected in October 2016. The employment team continued to be successful in Employment Tribunal work, and they are providing substantial assistance to COLP Professional Standards. The section is also dealing with social housing fraud prosecutions, and an increase in judicial review claims challenging the lawfulness of police search and arrest powers.

The Public and Corporate Law team continues to provide legal advice and support in respect of governance and constitutional matters, both to the City Corporation itself and in relation to various associated charities and companies. These include the Crossrail Art Foundation, Bridge House Estates (such as advice on powers, conflicts and social investment), and London Councils (such as a review of its constitution and advice on its new grants programme). The team remains heavily involved in developing and implementing governance and management changes to deliver the rapid expansion of education provision through the Academies Trust, and in supporting the City's sponsorship of Academies. Legal input has been provided across a wide range of initiatives (such as the Operational Property Review and the proposed City-wide Anti-Terrorism Traffic Order), and on London-wide infrastructure projects including Thames Tunnel, Bank Station Capacity Enhancement, Crossrail and the Cycle Superhighways. On the planning front, the number of Section 106, Section 278 and other infrastructure agreements completed remains at a high level. Two public inquiries have been conducted, including successfully resisting the reduction of the affordable housing contribution in connection with the Sugar Quay development. Extensive advice and input has been provided on the use of Section 237 to facilitate developments.

Within the Office Services Division, the Finance Section has been critical to the corporate ERP project and the replacement of the commercial property management and rents system (Manhattan) with Oracle OPN.

At the Corporate level the Department has continued to provide support to Committees and Chief Officer groups, particularly in relation to Service Based Reviews. The Department's own savings proposals continue to be implemented.

The second year of operation of the Professional Services Protocol will shortly draw to a close and review meetings will be taking place with Departments to discuss their use of the service.

The Department continues to be an active member of the London Borough's Legal Alliance and it is estimated that the barristers' Framework agreement alone has resulted in savings of £27k in 2015/16. This Framework was retendered during that year.

### **Looking Forward.....**

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

We will also need to ensure that we provide the right level of support to our clients without undertaking unnecessary work or “gold-plating” and that we are commercially minded so as to maximise our income.

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

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

### **Strategic Aims.....**

Whilst legal services are at the heart of the Corporation’s functions we nevertheless recognise that we must justify and obtain maximum benefit of the resources allocated.

For the coming year we therefore continue to focus and develop the following strategic aims:-

### **Key Issues.....**

Operational Key Issues for the department during the next 12 months include the contribution to the Asset Realisation Programme, achieving Service Based Review target, implementing an Information Management project, managing legal risk and assisting in achieving the silver standard of Investors in People.

For the coming year we have therefore adopted the following strategic aims:-

## **[A] To manage resources effectively to provide efficient and quality legal services.**

### **Corporate link:**

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

To achieve this we will:-

### ***A1 achieve the Service Based Review savings target***

### ***A2 achieve re-accreditation to the new LEXCEL standard (version 6)***

**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”.**

### **Corporate link:**

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

To achieve this we will:-

***B1 Complete a major Information Management project***

***B2 undertake a review of our work processes in order to maximise efficiency***

**Workforce profile and succession planning.....**

The department will have a number of retirements over the next three years. The department will continue to develop and implement plans to ensure that knowledge is transferred and staff are trained to ensure that high service levels are maintained. The plan will also review current working practices to seek more effective ways of working.

**External clients.....**

The department has continued to act as legal adviser to London Councils, the City's Academies and a number of other public benefit bodies in London. This service continues to provide a cost effective and high quality resource for the external organisations, and an opportunity for the department to gain a wider perspective on London governance.

**Finance.....**

In 2015/2016, the department remained within its Local Risk Budget. Membership of the London Boroughs Legal Alliance will continue to reduce the cost of the use of Counsel and external legal practices, when required.

During 2016/2017, the department will endeavour to meet its Service Based Review savings target of £169k (which is part of the overall target of £377k by 2017/18) and continue to review its charging regime and seek, where practicable additional sources of income.

**Asset Management.....**

The legal department does not manage any property assets.

**Conclusion**

Continuing access to high quality and cost effective legal services is vital to the Corporation in meeting its strategic aims and protecting its interests. The proposed measures should ensure that the Department continues to provide such services and to develop them further whilst at the same time improving efficiency and value for money.

## Comptroller & City Solicitor Business Plan Summary 2016-2019

### Strategic Aim and Objective

<b>Strategic Aim</b>	<b>[A] To manage resources effectively to provide efficient and high quality legal services.</b>			
<b>Objective:</b>	<b>A1 – Achieve Service based Review savings target (£169k in 2016/17 - £377k in total)</b>			
<b>Corporate Plan</b>	“..modern, efficient and high quality local services...”		<b>Rationale.....</b>	
<b>Aligns to Key Policy Priorities</b>	KPP2 – Improving the value for money of our services within the constraints of reduced resources		The C&CS is required to make savings of £377k between 2014/15 and 2017/18. The savings target for 2016/17 is £169k.	
<b>Actions/Milestones</b>	<b>Measure of Success</b>	<b>Responsible Officer</b>	<b>Target Date</b>	<b>Resources</b>
Regular budgetary control reporting	Savings on track each quarter	Business Manager	31/03/2017	Existing staffing
Review fees/charges and existing recovery regime	Increase in fee income	Management Team	31/03/2017	Existing staffing
Monitor and evaluate opportunities of alternative sources of income	Increase in fee income	Management Team	31/03/2017	Existing staffing
<i>Performance Indicators PI – P8      See page 12</i>				
Risk	Savings in 2016/17 are based on reduction on employee costs in Property, increased income and 100% recovery of legal fees from external clients (to be agreed). The risk of not achieving the target for 2016/17 is medium.			

## Comptroller & City Solicitor Business Plan Summary 2016-2019

Strategic Aim and Objective

<b>Strategic Aim</b>	<b>[A] To manage resources effectively to provide efficient and high quality legal services</b>			
<b>Objective:</b>	<b>A2 – Achieve re-accreditation to the restructured Law Society’s LEXCEL standard (version 6)*1</b>			
<b>Corporate Plan</b>	“..modern, efficient and high quality local services...”	<b>Rationale</b> ..... The Law Society undertakes a major review of its national quality standard approximately every 3 years and the standard underwent a major re-structuring in 2015. . The C&CS wishes to continue its accreditation to the standard to demonstrate good practice and processes are embedded to minimise legal risk are in place.		
<b>Aligns to Key Policy Priorities</b>	KPP2 – Improving the value for money of our services within the constraints of reduced resources			
<b>Actions/Milestones</b>	<b>Measure of Success</b>	<b>Responsible Officer</b>	<b>Target Date</b>	<b>Resources</b>
Office procedures are reviewed	All policies, plans and procedures are reviewed	Quality Assurance Group	30/04/2016	Existing Staffing
SMT agree policies, plans and procedures	SMT sign off policies, plans and procedures	SMT	01/05/2016	Existing Staffing
Quality and Procedures Manual is updated and re-published	Staff are made aware of any changes and workshops arranged if required	Business Manager	01/06/2016	Existing Staffing
Lexcel external assessment	<i>External assessor recommends re-accreditation to the standard</i>	Business Manager	17/06/2016	Existing Staffing
	<b>Performance Indicators PI – P8 See page 12</b>			
Risk	Major non-compliances are unlikely due to the level of preparatory work undertaken therefore the risk is low.			
*1 The LEXCEL standard includes strategic planning, financial management, information management, people management e.g. equalities, operational support and case management and client care.				

## Comptroller & City Solicitor Business Plan Summary 2016-2019

Strategic Aim and Objective

<b>Strategic Aim</b>	<b>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”.</b>			
<b>Objective:</b>	<b>B2 – Complete a major Information Management project – this project commenced in January 2016.</b>			
<b>Corporate Plan</b>	“..modern, efficient and high quality local services...”	<b>Rationale.....</b>		
<b>Aligns to Key Policy Priorities</b>	KPP2 – Improving the value for money of our services within the constraints of reduced resources	Legal case management, including court work, is increasingly electronic. The department is seeking to deploy new technology and best practice to deliver effective Electronic Information /Document Management.		
Actions/Milestones	Measure of Success	Responsible Officer	Target Date	Resources
Approval by the corporate project Board	Approval	Project Lead	04/02/2016	Existing staffing
Evaluate best practice in some other authorities	Visits completed	Project Lead	01/05/2016	Existing staffing
Review market products	Market reviewed	Project Lead	30/06/2016	Existing staffing
Draft detailed specification	Clear and unambiguous document	Project Lead	30/09/2016	Existing staffing
Procurement of system	Within budget	Project Lead	31/12/2016	Existing staffing
Implement application	System matches specification	Project Lead	31/01/2017	Contractor
Testing / Defect resolution	Tests passed to BAU	Project Lead	31/03/2017	Existing staffing
Training	Proficient users	Project Lead	30/04/2017	Existing staffing
Go Live	Benefits realised	Project Lead	01/05/2017	Existing staffing
	<b>Performance Indicators P1 – P3      See page 12</b>			
Risk(s)	Staff may not engage in the cultural shift to new ways of working. Specification may require bespoke development work which may impact on budget.			

## Comptroller & City Solicitor Business Plan Summary 2016-2019

Strategic Aim and Objective

<b>Strategic Aim</b>	<b>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”.</b>		
<b>Objective:</b>	<b>B3 – undertake an in-depth review of our work processes –</b> this project commenced in November 2015		
<b>/Corporate Plan</b>	“..modern, efficient and high quality local services...”	<b>Rationale</b> .....	
<b>Aligns to Key Policy Priorities</b>	KPP2 – Improving the value for money of our services within the constraints of reduced resources	This review is intended to improve service delivery to clients. The outcome will determine best practice in the provision of legal advice.	
<b>Actions/Milestones</b>	<b>Measure of Success</b>	<b>Responsible Officer</b>	<b>Target Date</b>
SMT draft a review plan	Plan is published	SMT	01/11/2015
Briefings for line managers & review teams	Briefings are held and scope and criteria agreed	SMT	01/12/2015
Review is undertaken and proposals produced	Review is completed	Line Managers & Review Team	30/04/2016
Basket of proposals considered by SMT	SMT complete a review of the feedback & reach decision	SMT	31/05/2016
Publication of legal advice protocol	Legal advice is delivered to clients which meets their requirements	SMT/DMT	30/06/2016
	<b>Performance Indicators P1 – P3 See page 12</b>		
Risk	Success is dependent staff accepting best practice and changing behaviours and, managers managing the change effectively. Therefore, the risk is medium.		



## Comptroller & City Solicitor Business Plan Summary 2016-2019

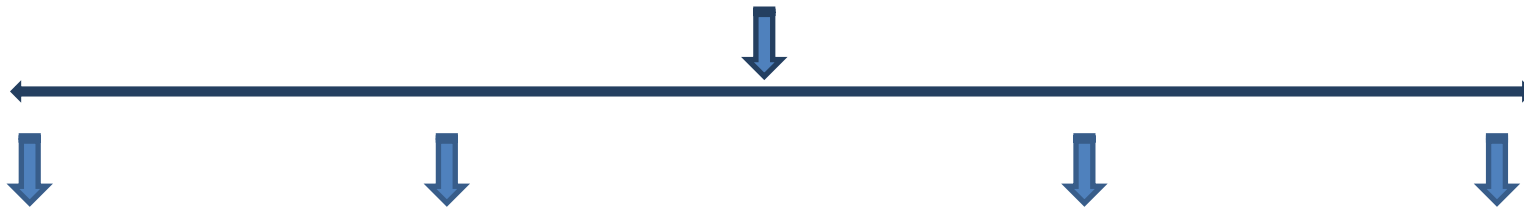
### Comptroller & City Solicitor - Performance Indicators (2016/2017)

Ref	Performance Indicator	Targets for 2016/2017	Achieved 2015/2016
PI 1	Responses of chairmen of committee to the client care survey give a 'high overall service' rating	Target 98%	<i>Achieved - 100%</i>
PI 2	Responses of departments to the client care survey give a 'high quality service' rating	Target 98%	<i>Achieved – 99%</i>
PI 3	Responses of departments to the client care survey give a 'staff keep you well informed' rating	Target 93%	<i>Achieved - 96%</i>
PI 4	Justified complaints against total caseload	Target – maximum of 5 per annum	<i>Achieved 0 complaints received</i>
PI 5	Maintain LEXCEL accreditation	Target – Accreditation	<i>Accreditation achieved</i>
PI 6	File reviews completed in a timely fashion	Target - 90% within one month	<i>Achieved 80%</i>
PI 7	Inactivity on live files in 6 months	Target – Not more than 15%	<i>Achieved 11% (at 3<sup>rd</sup> qtr) 4% above target</i>
PI 8	Inactivity on live files in 3 months	Target – Not more than 20%	<i>Achieved 26% (at 3<sup>rd</sup> qtr) 6% below target</i>
PI 9	Individual chargeable hours target	Target 100%	<i>Achieved 100%</i>
PI 10	Effectively managing short term sickness absence	Target – Below City short term average	<i>Achieved (01/01/14 - 31/12/15) C&amp;CS avge 2.53 days City avge 2.99 days</i>

# Comptroller & City Solicitor Business Plan Summary 2016-2019

## Comptroller and City Solicitor – Establishment Chart

**Comptroller  
&  
City Solicitor**  
Michael Cogher



<b>Property Division</b>
<b>Assistant City Solicitor</b> Alan Bennetts
High profile commercial deals Leases Sales Acquisitions Property management matters Residential Conveyancing

<b>Litigation and Contracts Division</b>
<b>Assistant City Solicitor</b> Richard Jeffrey
Procurement Contracts Intellectual property Civil litigation Employment law Prosecutions Licensing

<b>Public and Corporate Law Division</b>
<b>Assistant City Solicitor</b> Deborah Cluett
Planning Highways Markets Open spaces Information Education Charities and trusts Electoral law and Governance, Economic Development

<b>Office Services Division</b>
<b>Business Manager</b> Martin Howe
Human Resources Finance Procurement Commercial Rents Systems Support Information and Records Management Quality Assurance PA and Typing services

## Comptroller & City Solicitor Business Plan Summary 2016-2019

Our **Strategic Aims** are:

**[A] To manage resources effectively to provide efficient and high quality legal services.**

**[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”.**

**Vision / Key Objectives** are:

***A1 achieve the Service Based Review target  
A2 achieve re-accreditation to the new LEXCEL standard (version 6)***

***B1 Complete an Information Management project  
B2 undertake a review of our work processes in order to maximise efficiency***

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**Our Key Performance Indicators** are:

Description:	Previous Year Performance (where comparable)	Target: 2016/2017
P1 Responses of chairmen of committee to the client care survey give a 'high overall service' rating	<b>Achieved 100%</b> -target 98%	98%
P2 Responses of departments to the client care survey give a 'high quality service' rating	<b>Achieved 99%</b> - target 98%	98%
P3 Responses of departments to the client care survey give a 'staff keep you well informed' rating	<b>Achieved 96%</b> - target 93%	93%
P5 Maintain LEXCEL accreditation	<b>Accredited</b>	Re-accreditation
P10 Effectively managing short term sickness absence to below City average	<b>0.4 days below City average (of 2.99 days)</b>	Below City average

## Comptroller & City Solicitor Business Plan Summary 2016-2019

### Our Financial Information:

	2014/15	2015/16	2015/16	2015/16		2016/17	N.B.
	Actual	Original Budget	Revised Budget (latest)	Forecast	Outturn	Original Budget	
	£000	£000	£000	£000	%	£000	
Employees	3374	3331	3528	3504	990	3519	
Premises	0	0	0	0	0	0	
Transport	9	2	4	3	75	2	
Supplies & Services	253	247	399	250	63	207	
Third Party Payments	0	0	0	0	0	0	
Contingencies	0	1	1	0	0	1	
Unidentified Savings	0	0	0	0	0	0	
Total Expenditure	3636	3581	3932	3757	96	3729	
Total Income	-638	-680	-800	-1400	175	-832	
Total Local Risk	2998	2901	3132	2357	75	2897	
Central Risk	-486	-200	-200	-200	100	-200	
Total Local and Central	2512	2701	2932	2157	74	2697	
Recharges	588	435	449	449	100	473	
Total Net Expenditure	3100	3136	3381	2606	77	3170	1.0

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### Key Staffing issues:

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

### Notes on Key Staffing Issues

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

### Notes on Financial Information:

1.0 The net expenditure is fully recharged to all Corporation services through 'central support services' recharges.

## Comptroller & City Solicitor Business Plan Summary 2016-2019

<b>C&amp;CS – Strategic Risk Register Summary</b>		
<b>Risk Key</b>	<b>Status</b>	<b>Risk and Commentary</b>
CCS SMT 001	Amber	<p><b>Ability to recruit and retain competent legal staff</b></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><b>Loss of Information Assets</b></p> <p>The C&amp;CS handles high volumes of information. Staff are aware of the need to protect information internally and ensure that hard copy and electronic information shared with external sources is appropriate and secure.</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><b>Managing legal risk</b></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><b>Successful Implementation of Oracle OPN</b></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><b>Ability to access critical system at disaster recover site</b></p> <p>At the last business continuity exercise, in July 2013, the main C&amp;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><b>Timely access to fully functioning office environment in the event of a disaster</b></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>

**Comptroller & City Solicitor Business Plan Summary 2016-2019**

**Background Sources.....**

- Business Plan 2015/2018
- KMX management and workflow reports
- Client Care 2014 and 2015 Surveys
- CBIS/R12 budgetary control reports
- City People reports/dashboards
- Law Society LEXCEL accreditation

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