

# Target Operating Model: Interim Report - December 2022

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# Executive summary

Since Target Operating Model (TOM) activity started in 2020, departments in the City of London Corporation (CoLC) have undergone, and are in some cases still undergoing, restructuring. The TOM process is likely to complete in late 2023. This is an interim report on the TOM: it recaps what was set out for the TOM, where CoLC has reached to date and what is left to complete, including work on savings.

The intention of the TOM was to put in place organisational structures that will enable CoLC to become more agile and efficient, to make cost savings and break down silos. With new structures in place and when the TOM is embedded, the intention was that the organisation would be able to focus on transformational change. This report covers what has been achieved to date, outstanding activity and learning against those objectives.

The TOM has created outward facing or service and cross-cutting enabling departments, new departments (including that of the Chief Operating Officer, Chief Strategy Officer and office of the Chair of Policy and Resources) have been formed, and new institutions created (Bridge House Estate). The Executive Leadership has undergone profound change, with a new, diverse team now in place.

The TOM is a complex programme of structural change, and the original completion date of March 2022 was, with hindsight, unrealistic. It was suboptimal for business areas that were required to provide critical transition support to other departments (such as HR) to undergo their own restructuring while doing so. Recruitment of new Chief Officers took time, and in some cases delayed the start of developing departmental TOM proposals, as these could not usually be developed until the relevant Chief Officer was in post. Large departments such as Environment have also required significantly more time than originally allocated to implement the TOM. The disbanding of the TOM programme management team in March 2022 also slowed the pace of progress. However, at the end of 2022 only a small number of areas are yet to complete their TOM and much has been achieved since activity launched.

TOM governance processes have proven successful, with scrutiny mechanisms providing assurance that Organisational Design Principles have been implemented consistently.

Wraparound facets of the TOM are incomplete: new business areas have been created, but do not have operational funding, meaning limited ability to function as desired. The Culture programme remained unresourced and was not delivered. However, this has led to new opportunities for corporate culture with the arrival of a new Town Clerk and Chief Executive.

In addition to the TOM, the Court of Common Council approved a general budgetary reduction of 12% against 2021/22 budgets, 6% for the Department of Social Care and Children Services (DCCS), in March 2021. Efforts have been made across the Corporation to identify sustainable savings. The 12% budget reductions applied to 2021/22 budgets: totalling £18m (£9m City Fund, £4m City's Cash, and £5m Guildhall Admin). Of this total £13.9m permanent savings have been realised, with a further £2.6m

savings achieved through temporary measures such as holding vacancies, as departments complete their TOM.

Perceptions of the success of the TOM vary across CoLC, from highly successful in delivering a new, diverse, leadership team and new departmental structures, to a disruptive process that has not achieved what it set out to do. Much is still required to meet the original TOM objectives. Some of this will not be possible to complete within the timeframe of the programme.

TOM activity will continue during 2023 until the programme becomes business as usual; a final TOM report will follow later this year.

# Part 1: The Target Operating Model (TOM)

## 1.1 Introduction

This report provides an update on the state of play of the Target Operating Model (TOM) programme as at the end of the 2022 calendar year. It recaps the original intentions and proposed outcomes of the programme, as set out in the programme overview documents prepared in 2020.

The report highlights what activity has been completed, either wholly or in part, and what remains outstanding at the time of writing.

In addition to reviewing the outcomes of the TOM process, this report captures lessons learnt over the past two years to inform best practice for further iterations of any transformational change within the organisation. It also aims to outline what programme completion will require, after which point the TOM programme will be subsumed into business as usual.

Departmental restructuring, officer leadership and management structures are in scope for this report, as well as programme processes and governance. Committee structures and other Member structures and operations are out of scope.

This is an interim report; at the time of writing parts of the organisation are still developing proposals under the TOM programme. A final report is planned for summer 2023.

## 1.2 TOM background & programme objectives

The TOM programme was designed to transform the City of London Corporation's (CoLC) leadership and management structures with the intention of rendering the organisation fit for purpose. Completing this transformation would put CoLC on a footing that should allow it to embrace new ways of working and drive collaboration, agility and culture change throughout the organisation. As well as updating leadership and management structures, cost savings of 12% were required for parts of the organisation where efficiencies could be made (further detail in section 2.7).

At that point the TOM ceased to exist as a programme. However, the leadership and management structures, departmental/institutional design and principles underpinning it would continue to exist as part of business as usual. These outcomes are captured within the original programme objectives:

- a. Ability to respond with purpose, focus and agility to challenges and opportunities
- b. A simplified organisational structure and a reduction in management layers
- c. Join up corporate departments and service areas to streamline our operations
- d. Provide greater autonomy for our institutions and build on our collective strengths
- e. Increased collaboration achieving maximum value & impact

- f. Evaluate and improve ways of working, processes, and technology, clarifying accountabilities, ownership and efficiency
- g. Make financial savings and be on the path to achieve a balanced financial plan

### 1.3 TOM context

Several independent reviews identified opportunities to streamline and improve how CoLC worked. Findings included that a headcount reduction would be beneficial due to duplication of roles and responsibilities, and the management team being too large<sup>1</sup>. The Fundamental Review reported on the need to develop a new operating model. It identified financial opportunities including a need to balance the budget over the medium term and configure the organisation in relation to its functions.

The TOM programme was approved by the Court of Common Council in December 2020. Activity started in early 2021 and was originally due to complete by 31 March 2022. After this date the TOM was planned to be embedded within business as usual. Transformation activity was predicated upon structural design and transformation taking place simultaneously across departments and institutions.

Two years on from the creation of the TOM programme, most foundations of the new operating model are in place. Some work remains outstanding as a number of areas continue to develop, consult on and implement Organisational Design Principles. This report communicates the progress to date, ahead of a final report in summer 2023.

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<sup>1</sup> Independent Management Review – McLean Partnership, March 2020

# Part 2: TOM structures & delivery process

## 2.1 Organisational design & TOM design principles

To modernise CoLC the decision was made to restructure business areas by arranging the organisation by types of department, resulting in a split between service departments (those providing frontline services) and enabling departments (those providing cross-cutting business support to the organisation). To streamline this, a number of existing operational and service departments were brought together as a new department, under the oversight of the Chief Operating Officer. Institutions were, where agreed, given increased powers of independence to decrease bureaucracy and improve their ability to operate in their specialism.

Restructuring provided an opportunity to review business areas, including those that required increased investment (such as the Corporate Strategy function, and Office of the Chair of Policy & Resources), and for most of the organisation a drive to identify cost savings of 12% (6% for DCCS<sup>2</sup>). However, no overall costing was made for the new structure to be delivered by the TOM, or where budget would be found beyond absorption into existing funding, or temporary funding through Transformation funds.

To underpin the restructure, TOM Organisational Design (OD) principles were developed to provide consistency of management, oversight and officer accountability. They were chosen with the intention of delivering a staffing structure that would promote more effective working across the organisation.

The table below sets out the intended outcomes for the TOM programme alongside the OD Principles that were developed. Proposals for changes in business areas have been reviewed through officer governance processes for alignment with OD principles, with Chief Officer sign-off required for any divergences<sup>3</sup>. Detailed clarification of the OD Principles is set out in Annex B.

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<sup>2</sup> See Section 2.7 for detail on finance / cost savings

<sup>3</sup> See sections 2.2 & 2.3 on Governance

## Intended outcomes

- Enable us to respond to, and be proactive in anticipating external changes
- Align activity and resources to our corporate outcomes
- Build competence and capability to deliver our Corporate Plan
- Increase the pace of decision making
- Increase evidence-based decision making
- Enable us to deliver cross cutting outcomes
- Prioritise effective front-line services
- Position us as leaders and at the cutting edge of the three sectors we operate in
- Achieve cost savings to resolve budget deficit

## OD principles

- Create no more than six layers in the organisation (excluding Town Clerk and Chief Executive)
- Create shared management objectives for all senior management grades
- Ensure spans of managerial control will be equalised to one manager per six employees in most circumstances
- Phase out all one to one management responsibility
- Organise our services to create the new operating model, for example reviewing duplication of roles
- Use agreed designations for the most senior three tiers in the organisation
- Create an agreed Establishment for each department and workforce plan so that vacancies are managed and not left unfilled without planned activity

## 2.2 Officer Governance

To drive and guide the TOM programme and ensure organisational consistency, two officer governance committees were set up: the TOM Steering Group and the Design Advisory Board (DAB).

### 2.2.1 TOM Steering group

The Steering Group was set up to advocate for and drive the TOM process and define the scope of the programme and its delivery (in accordance with the OD principles). The group received recommendations from the DAB and programme team as and when required.

### 2.2.2 TOM Design Advisory Board (DAB)

The DAB continues to manage day to day governance of the programme, providing advice and support on proposals developed by business areas. Its function is to:

- Guide design and delivery approaches
- Own the design integrity of the model
- Uphold core design principles and approaches
- Assure savings proposed are categorized appropriately

- Advise on funding requests
- Identify and escalate variations and issues
- Assure cross-functional engagement on design
- Assure inclusiveness of design

The DAB is required to advise on whether TOM proposals conform to OD principles, and implementing DAB recommendations is required in order for new proposed structures to progress to implementation stage.

Officer governance design structures and processes have delivered assurance to Members that all proposals have consistently passed through OD scrutiny processes by the time they reach their Committee stage(s).

## 2.3 Member Governance

Member Governance has taken place in three stages. The first stage was via the agreement and sign-off of the OD principles and set-up of the officer governance processes, completed in early 2021.

The second, more detailed, stage of governance happens through individual Committees responsible for departments and institutions. Final signoff was then through Corporate Services Committee (Establishment Committee as was) given the potential redundancy impact in some proposals and broader workforce impacts. Restructure proposals, once they have passed the officer governance stage, are required to be considered and approved off by the relevant committee(s) prior to consultation with employees and recognised Trades Unions. Member Governance is completed when approval has been achieved at this stage, subject to consultation, and it is only once this has been secured can activity progress.

The third oversaw the achievement of savings being delivered through the Efficiency and Performance Sub Committee, together with the Corporate Services Committee. This scrutinised the achievement of TOM savings, the impact of flexible retirement policies and translation of vacancies into permanent savings, alongside costs of the scheme. Since early 2022 this has been reported through Finance Committee and Policy and Resources Committee.

## 2.4 Programme workstreams & sequencing

To deliver this wide-ranging set of plans workstreams were originally envisaged, covering:

1. Tier 1 restructure, talent & leadership
2. Organisational design
3. Enabling functions
4. Ways of working, institutions, behaviours & culture



Each of these areas will be covered in more detail later in this section. Ultimately, workstream resourcing has focused primarily on delivery of the restructure (1-3 of the list above, plus reviewing the independence of institutions). The culture and people workstreams were deferred until restructuring was implemented, due to the complex nature of developing and implementing the TOM across City Corporation and a limitation on resources in HR and in the TOM programme team. The latter was disbanded when funding ceased at the end of March 2022 despite TOM work still ongoing.

Chief Officer restructure activity was sequenced first, as the driver for further restructure within business areas. The restructure, and most Chief Officer recruitment, was completed in 2021. Chief Officers then led the next stages of change and delivery of TOM structures. Delivery of these structures is necessary for the subsequent delivery of concepts included under workstream 4 ‘ways of working’.

## 2.5 Delivery processes

Development and delivery of TOM structural changes was split into phases for each department or institution. Once these stages have been completed, a department is viewed as having completed its TOM, and is in a position where transformational change can start to be unlocked.

Departments may need to repeat this sequence at different levels to complete the TOM process - first at Chief Officer/Senior Leader level, then subsequently for other leadership or management posts. The full change sequence runs as follows:

1. Proposal design: Chief Officers and other senior leaders (where relevant) design and develop proposals for their areas to meet OD principles and make savings
2. Officer Governance: Proposals are scrutinised at officer level (by DAB) for compliance with OD principles, EDI and Public Sector Equality Duty implications, 12% savings proposals (where relevant) and wider consistency within the organisation
3. Committee scrutiny: Proposals are considered by the committee(s) relevant to the department or business area being restructured as well as Corporate Services Committee
4. Consultation: once proposals have been agreed at officer and member level, staff within the relevant area are consulted
5. Implementation: Following staff consultation (and implementation of any subsequent changes, if identified) structural implementation of the new proposals takes place unless changes to the proposals are significant

Most departments have completed stages 1-5, though some activity remains outstanding. The table below summarises where TOM activity has reached at the end of 2022.

Area	TOM Status
Comptroller and City Solicitor's	Completed 2021

Innovation & Growth	Completed 2021
City Surveyor's	Phase 1 (Leadership team) completed 2022; Phase 2 implemented from December 2022. TUPE consultations to commence in early 2023 with impacted staff following the award of Integrated Facilities Management contracts in December 2022
Deputy Town Clerk functions	Completed 2022
Community & Children's Services (DCCS)	Completed 2021
Chamberlain's	Completed 2022 and implemented except for Financial Services Division, following recruitment implementation underway
Remembrancer's	Completed 2021
Chief Operating Officer's	Partially completed 2022, with Human Resources in implementation phase
Environment	Phase 1 (Leadership team) completed 2022  Phase 2 midway through process with proposals agreed by Committees. Staff consultation launched on 25 January, implementation to follow with completion expected mid/late-2023.
Bridge House Estates	Phase 1 completed 2022 (creation of Leadership Team), including increased autonomy; phase 2 under review, proposals expected in Q1 2023, with completion by late 2023.
City of London School City of London Girls School City of London Freemans School	Phase 1 (Leadership team) completed 2021  Phase 2: Proposals for shared services between City of London School, City of London School for Girls and City Junior School under development (stage 1), expected completion and implementation by September 2023.
Barbican	Phase 1 (Leadership team) completed 2022; second phase currently being scoped
Guildhall School of Music and Drama (GSMD)	Completed 2022
City of London Police (CoLP)	Developing proposals for CoLP Corporate Services; anticipated completion end 2023
London Metropolitan Archive	Completed 2022

Table 1: TOM status by department/institution

## 2.6 TOM workstreams: delivery to date

As described above, the TOM programme was split into four workstreams that covered the different themes needed to achieve the restructure intended for City Corporation. This section gives further detail on the workstreams, what they have achieved to date and any relevant lessons learnt. Delivery of the savings that were identified in the TOM programme is also addressed in this section.

### 2.6.1 Workstream 1: Tier 1 restructure, talent & leadership

Core objectives of the Tier 1 restructure focussed on slimming down direct reporting for the Town Clerk and Chief Executive, restructuring Tier 1 and Tier 2 management structures and recruiting a diverse group of leaders representative of City Corporation communities. Overall, this workstream has been implemented and is considered completed.

Tier 1 structure was approved by Members, and the majority of Tier 1 and 2 senior management post were recruited by summer 2021. To promote collaboration and coherence across the organisation City Corporation leadership groups were refreshed. These comprise of the Executive Leadership Board (ELB) and the Senior Leaders Forum (SLF)<sup>4</sup>.

It should be noted that since this structure was approved changes have been made, specifically:

- The Executive Director of Corporate Communications and External Affairs and the Chief Strategy Officer (previously Tier 2 but now Tier 1) will now report to the Town Clerk & Chief Executive and not the Deputy Town Clerk
- The remit of the Deputy Town Clerk & Chief Executive has been split between an amended role of Deputy Town Clerk and a newly created Deputy Chief Executive function; the latter was added to an existing Tier 1 Chief Officer role (determined by recruitment process), currently the Comptroller and City Solicitor

### Executive Leadership Board

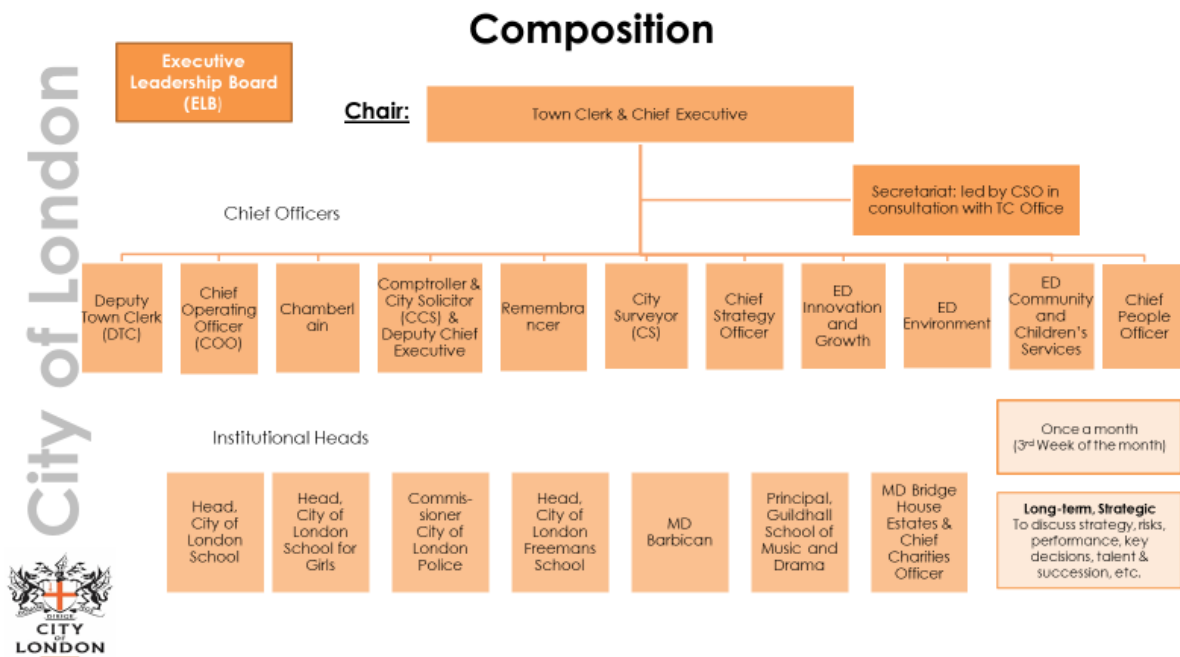
This group is the top tier officer leadership group for City Corporation and replaces the previous Summit Group. Activity, including synopses of meeting notes, leadership composition are shared on the City Corporation intranet dedicated [ELB page](#). The group is responsible for:

- a. Taking collective ownership and demonstrating inclusive leadership discharging the aggregate set of accountabilities delegated to Officers by Members
- b. Creating the right conditions for support, challenge, collaboration, integration and cohesion at a senior leadership level – as an essential foundation for creating a high performing ‘top team’

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<sup>4</sup> See pg 12: Senior Leaders Forum

- c. Setting, refreshing and aligning cross-cutting strategies and high-level initiatives, ensuring items covered have a clear ask (e.g. Discussion, Information, Decision, Action)
- d. Managing cross cutting corporate risks - public (disclosed) and restricted (closed)
- e. Assessing and analysing the performance of the organisation against the Corporate Plan
- f. Spotting opportunities for developing talent & succession including Equality, Diversity and Inclusion (EDI) considerations
- g. Connecting opportunities for collaboration across the organisation
- h. Challenging ourselves on D&I; people related issues and equality impact of decisions



## Senior Leaders Forum

The Senior Leaders Forum (SLF) was set up in tandem with the ELB to provide a quarterly forum for tier one and two leaders, including those within institutions. Its strategic intentions were to connect leaders across City Corporation and enable communication on plans across the organisation, and to help shape strategy, initiatives and decisions before these are escalated to ELB. A number of sessions had taken place by summer 2022, at which stage the SLF was paused.

Activity is now underway to improve and refine how this group operates: a working group is reviewing and updating the SLF looking at frequency, content and outcomes. The Forum will be led by the Communications team, the content decided by ELB and the session facilitated by the Learning & Development team in HR.

## Talent & Leadership

The final part of this workstream focussed on developing talent and leadership within City Corporation. Developing consistent objectives for Chief Officers and ELB members was identified as a key deliverable and means of ensuring consistent leadership and organisational coherence. This is not complete.

It is expected that Chief Officer reporting will be themed around consistent objectives for 2023, this will be considered once the culture, values and behaviours have been reviewed. This is likely to be developed further in due course by the new Chief Executive once in post.

The top tier restructure uncovered only limited strategy focussed on talent management and leadership progression or succession planning. This is beyond the scope of the TOM programme but is included in consideration for the upcoming People Strategy and further activities planned by HR in early 2023. A 'Talent Management' module will also be considered as part of the ERP system offer in 2023/4.

### 2.6.2 Workstream 2: Organisational Design Processes

Redesigning business areas to conform to OD principles has been the most complex aspect of delivering the TOM programme and, as highlighted above, is not yet complete for all parts of the organisation.

The process has taken place in stages, with the Chief Officer and Director (or equivalent level) roles being redesigned first for each business area, then the second stage of redesign taking place for the whole business area following this where necessary.

All departments and institutions produced reports for Establishment Committee (as was) by the end of 2021, aligning senior management structures with OD principles. Implementation including consultation with staff followed and will continue into 2023 for some departments. Where there were exceptions to the OD principles these had to be justified after rigorous challenge. They are primarily related to number of reports per manager.

Proposals for new business area and institutional structures have passed through DAB to ensure they met OD principles, thereby significantly reducing 1:1 management chains and restructuring inefficient layers of management.

The DAB has been instrumental in driving honest discussions around the service offer of business areas, challenging design and structuring to drive efficiencies and remove inefficiencies such as duplication of roles. It has also provided a challenge function on impacts of structural redesign, including on equality, diversity and inclusion.

DAB assurance has also looked across City Corporation to share best practise, ensure alignment across departments and institutions and enforce consistent terminology and designations for the most senior three tiers of management.

## OD Design delivery

Launching simultaneous organisational change across the organisation has affected the delivery of the TOM programme, due to the resources required to deliver this. It has also impacted morale negatively. The tight timescales originally anticipated also affected the quality of proposals, and resulted in less time for DAB to scrutinise and provide quality feedback on structural redesign. OD design delivery has resulted in two key challenges: on siloed working and on budgets.

Designing each department and institution in isolation has reinforced existing silos. Departments were not required to think about cross-cutting impacts of their restructuring activity, or how decisions may affect other departments. Siloed restructuring plans also meant that staff were displaced in one department at a time when posts in other departments that would become vacant could not be recruited to.

OD sequencing did not identify the timescales or budget/costs that would be needed to design and deliver updated structures. Consequently, there was no budget to pay for programme support beyond March 2022. Nor is there budget for growth areas and new departments needing investment – including the Corporate Strategy function and other growth areas that exist under the Deputy Town Clerk function.

Departments central to delivery, such as HR, did not have the resource to deliver the required support to the overall programme while simultaneously going through the redesign process, which has impacted on the pace of progress and the quality of departmental proposals. It has also led to a subsequent temporary transformation bid from HR.

There has also been limited resource to manage communications on TOM progress. Investing in early and extensive communications on the programme may have shortened the timelines required for the individual consultation processes within departments/institutions. Regular proactive comms are necessary to maintain buy-in to the programme, something that is crucial to its success. Anecdotal evidence indicates staff are not aware the TOM programme is still ongoing, and staff survey results have shown that City Corporation performs badly on communications.

## OD principles and delivery summary

OD Principle	Responsible	Action delivered?
Create no more than 6 layers in the organisation excluding the Town Clerk and Chief Executive	Ongoing shared oversight from Chief Officers; TOM programme governance through DAB (and Steering Group)	Incomplete until all business areas have finalised TOM proposals
Create shared management objectives	Town Clerk & Chief Executive / HR	Reporting on performance: consistent corporate themes

for all senior management grades		requested for 2022-23 reporting year
Ensure spans of managerial control will be equalised to 1 manager per 6 employees in most circumstances	OD delivery with assurance through DAB (and Steering Group if required)	All proposals to date scrutinised for this: delivered with a small number of exceptions where service has required divergence (eg. shift work)
Phase out all 1:1 management responsibility	OD delivery with assurance through DAB (and Steering Group if required)	Actioned with OD proposals to date
Organise our services to create the new operating model, for example reviewing duplication of roles	Chief Officers responsible for business area design; DAB provide scrutiny and advice	Actioned with OD proposals to date
Use the agreed designations for our most senior 3 tiers in the organisation	DAB scrutiny across all OD proposals; Steering Group sign off specific exceptions	Actioned in all OD proposals; sign off agreed for exceptional titles (e.g. Chief of Staff roles)
Create an agreed Establishment for each department and workforce plan so that vacancies are managed and not left unfilled without planned activity	Chief Officer responsibility	To be delivered as part of programme closure. This will take at least six months to baseline before workforce planning can commence.

Table 2: OD principles delivery summary

### 2.6.3 Workstream 3: Enabling functions

Central to the TOM programme was defining the different areas of CoLC as service (outward, customer-facing) or enabling (cross-cutting, support) functions.

Enabling functions were identified and assigned across the organisation: this allowed OD proposals to be developed with consistency and quality of service across the organisation in mind. In practice this did not translate to co-design of core functions (such as HR, DITS, H&S, EDI, fleet, FM) between the centre and Institutions/departments, which have their own teams for several of these. As a consequence opportunities for hub and spoke, centralisation or conscious decentralisation (or alternative structures) was not achieved and remains to be reviewed from a strategic and practical standpoint.

Reviews were undertaken in 2021 for legal, security, corporate comms marketing, business planning, financial services, internal audit, commercial, programme management, philanthropic and charitable activities, estates and facilities management and events. These mapped and increased awareness of business area needs and services that are supplied across City Corporation.

To improve consistency of cross-cutting services, key changes were identified and implemented, including:

- Increased robustness (including new Chief Officer role) of the Corporate Strategy function to centralise, coordinate and drive the overarching direction of travel for City Corporation
- The Head of Profession (HoP) function was created to drive operational standards for delivery in their profession, creating consistency throughout the organisation (for detailed HoP role description see annex C)

### Head of Profession – Role Development

The role of Head of Profession is to lead and champion their specific profession and the professionals within Departments, Services and Institutions. The Head of Profession HoP is responsible for representing the interests of their profession and professionals on a range of issues, such as pay and grading. They also ensure work relevant to their profession follows the profession-specific guidance. The HoP holds their HoP function alongside their day to day role.

At the time of writing, the development of HoP roles and responsibilities vary in their maturity. Some are grounded in corporate or national standards, memberships and compliances, while others are being driven internally by our own organisational knowledge and expectations. Many HoPs have only recently been recruited to CoLC or are still due to be recruited. At this stage it is too early to assess the impact of developing a HoP function, and it is likely that each function will be managed very differently.

The HoP is a new function for the organisation, and its development follows on from TOM restructuring activity. Further thinking will be required on how the roles can benefit the organisation and consolidate existing activity. HoP activity will be taken forward as business as usual, though further thought will need to be given to how accountability of HoP functions will be managed and optimal reporting channels can be constructed into ELB, relevant committees and other relevant groups.

The table below sets out the function and responsible person for each Head of Profession.

### Head of Profession functions and activity to date

HoP Function	HoP Lead	HoP in place	Activity Description



Commercial	Commercial Director	Yes	Discussions on HoP scope underway; specific guidance planned
Legal	Comptroller & City Solicitor	Yes	Currently unspecified
Estates & Facilities Management	City Surveyor	Yes	<p>This HoP function will centralise facilities and estates management under the City Surveyor – this was previously provided locally across departments. It is part of the move to the Integrated Facilities Management (IFM) approach, due to go live from April 2023. All of this will contribute to a consistent and coordinated Estates and Facilities management process for the organisation.</p> <p>Activity is envisaged to cover specialist training and support, development of asset registers and common operating procedures amongst other activities currently being scoped.</p>
Corporate Comms & Marketing	Executive Director of Comms & External Affairs	Yes	Corporate Comms & Marketing HoP function has been centralised under the ED for Comms & External affairs. Further activity will take place once recruitment has taken place.
Security	Strategic Security Director	Yes	HoP role development underway
Business Planning	Chief Strategy Officer	Yes	This portfolio was expanded to include risk and strategy development. Work ongoing to review and update the business planning process and recruit an officer to help lead development and alignment of HoPs
Events	Remembrancer	Yes	Currently unspecified
Financial Services	Chamberlain	Yes	The Chamberlain has statutory responsibilities to ensure the

			<p>effective financial management of the City Corporation's affairs in its public (inc. charitable) and private capacities. As HoP for finance ensure adequate resourcing and delivery of an effective finance function. Overseeing adherence to financial regulations and procedures, managing financial risk and issues, developing capability of finance staff and enabling decision making. Thereby enhancing collective value of the function.</p> <p>The Financial Services Director chairs the Finance Leadership Group- drawing together all finance leads for departments and institutions alongside the Corporate Treasurer, Assistant Director, Financial Shared Services, the Head of Internal Audit and key posts within corporate accounting for professional oversight and to build strong and collaborative relationships to deliver the above responsibilities and drive improvements within the finance service</p> <p>The Bridge House Estates and Charities Finance Director is the professional lead for charities finance</p>
Internal Audit	Head of Internal Audit	Yes	All Internal Audit activity across all operations of the City of London Corporation is delivered by a single team under the leadership and line management of the HoP. Other ongoing and forward activity relates to work with second line assurance functions: developing approach to improve effectiveness and support upskilling of these teams.
Health & Safety	Corporate Head of Health & Safety	Yes	HoP role development underway; guidance and further activity planned during 2023

IT	Data Information, Technology Systems Director	Yes	HoP role development underway; guidance and further activity planned during 2023
HR	Chief People Officer	Yes	<p>HoP role development underway; guidance and further activity planned</p> <p>As part of the People Strategy, the Head of HR Profession role will be set out, including guidance, engagement and dotted line responsibility for all Institutional Directors/ Heads of HR across the Corporation.</p> <p>There is an opportunity to create a HR Profession Centre of expertise and to share and drive HR best practice. Gaps identified are consistency of practice and risks of setting precedence which jeopardise single employer status.</p>
Programme Management	Project Governance Director	No	To be established as part of the current project governance review/appointment of Project Governance Director.
Business Support	Chief Operating Officer	Yes	The business support area is poorly defined, with further activity due in 2023. This role would likely require a cross-cutting, horizontal TOM process which is not felt to be appropriate or beneficial following the team/vertical TOM processes already completed.
Fleet Management	Chief Operating Officer	Yes	Discussions on HoP scope underway; specific guidance planned
Philanthropic & Charitable Activities	Bridge House Estate Managing Director	Yes	Further development to take place
Arts	Artistic Director – Barbican Centre	Yes	<p>An audit of all cultural activity across the City will take place, in order to understand the current position.</p> <p>Once consolidated, there will be a clear link the Destination City strategy to ensure that there is a</p>

			robust, effective, and efficient delivery against the strategy.
Equality Diversity and Inclusion	Director of EDI	Yes	Discussions on HoP scope underway; specific guidance planned

Table 3: HoP functions and delivery

## 2.6.4 Workstream 4: Ways of working, Institutions, Behaviours & Culture

Delivery in this workstream has focussed primarily on institutions.

Before TOM changes, departmental leads reported into the Town Clerk and Chief Executive alongside their relevant Boards and Committees. Refreshed structures have created institutions (including BHE) and granted them increased independence, with the exception of the London Metropolitan Archives<sup>5</sup>, which was moved under the Deputy Town Clerk Department with other corporate enabler teams/functions. In practical terms this means they are directly accountable to their relevant Boards, and report into the corporate centre through a presence at the ELB. Increased independence is seen to drive down bureaucracy, increases agility and the ability for specialism in their field for Institutions, while ostensibly allowing them to retain strong links to core City Corporation identity.

### Ways of Working & Culture

This workstream was the least defined at the start of the programme, while also being one of the most complex to deliver. It has not been prioritised by Officers or Members so has received limited focus.

The focus on achieving savings within teams has stifled activity on innovation, transformation and continuous improvement activity, particularly between parts of the Corporation. Transformational funding is required to take this work forward.

The Culture aspects of the programme were unable to make significant headway with no HR resource to lead it. Some work took place to look at different ways of working and continuous improvement before the programme team was disbanded at the end of March 2022. This focussed on small pilot projects to trial collaborative technology on Committee reports and a City of London school pilot on organisational agility.

Separately, a Continuous Improvement capability was identified as missing from CoLC and a pilot project was requested and delivered in the Chief Operating Officer area to establish the value and best route for this to be used for CoLC. As a result of this work a permanent team of three people has been confirmed within Project Governance for

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<sup>5</sup> It was agreed by the Culture, Heritage and Libraries Committee that London Metropolitan Archives (LMA) would remain part of City Corporation ([link to](#) Agenda & Minutes for 31 January)

Transformation. The new team will be responsible for establishing a transformation framework to support future business change and delivering process improvement projects across CoLC.

The lack of activity in this workstream to date is also an opportunity. Since the TOM launched there has been a fundamental shift in economic outlook. Activity originally envisaged within the culture change workstream of the TOM, will become a workstream of the People strategy, led by the Chief People Officer. Part of this workstream will be a refresh of our vision, values and behaviours, to be led by the incoming Town Clerk & Chief Executive.

Separate to the TOM, the Resources and Priorities Refresh (RPR) Programme aims to embed a holistic approach to the allocation and deployment of CoLC's resources, so that actions and spend are aligned to corporate values (our priorities). This programme will support key strands of transformation through four workstreams: Corporate Plan Annex, Productivity, Commercial and Operational Property.

RPR activities will inform and be informed by the People Strategy work led by HR (the CPO is on the RPR board), as well as feed into the next Corporate Plan 2025-30, which will further clarify the future priorities for the organisation. Development of Corporate Plan 2025-30 is in the initial stages, led by the expanded Corporate Strategy function. It will take account of the People Strategy to create the necessary ways of working and culture within the organisation, as this is progressed.

## 2.7 TOM Cost Savings

On 4 March 2021, the Court of Common Council approved a general budgetary reduction to resolve the budget deficit: comprising of 12% savings against departmental budgets, and 6% in case of social care and children services (DCCS), allowing DCCS to maintain services to the most vulnerable. This affected most departments and institutions, with the exception of Bridge House Estates.

The general 12% savings applied to budgets totalling £18m (£9m City Fund, £4m City's Cash and £5m Guildhall Admin). The TOM savings target (linked to staffing reductions) agreed by Court of Common Council in 2020/21 was £4.5m (£3m City Fund and £1.5m City's Cash).

At the time, it was not possible to estimate what the overall new TOM structure might cost, the cost of delivering the TOM, or what the savings would be, and allocate a target to departments. Each department has a different cost base: for some departments staff costs dominate overall spend, for others this is not the case. The TOM target is therefore a range with a minimum value of £4.5m and is part of the overall 12% reduction totalling £18m.

This report does not currently distinguish between TOM savings (staffing cost savings) and the 12% savings (general savings), neither does it cover the total TOM costs as this is not possible until TOM activity is complete. An update on this will be provided in the final TOM report.

It should be noted that the financial situation has changed since this decision was made. Further cost savings options and measures are now required to support new cost pressures being identified through the RPR programme. These are separate from the 12% savings and savings required as part of the TOM.

The tables below summarises progress on identification of TOM savings for the departments that have gone through the initial organisational design process (where permanent year on year savings are achieved and delivered), against those departments where the process is still ongoing (highlighted within the OD principles and delivery summary table above) and that are currently achieving one-off savings in-year (2022/23) by holding vacancies.

Permanent savings delivered through the TOM total £13.9m. Temporary savings made by departments total £2.6m, achieving 90% savings against target.

Key points to note for the tables below:

- Budget top sliced for 12% savings or 6% in case of DCCS from 1 April 2021, equating to £16.171m – this excludes City of London Police (CoLP), Guildhall School of Music and Drama (GSMD) and Barbican; Bridge House Estates was excepted from savings requirements
- It is not yet possible to quantify a permanent split between TOM and non-pay savings until all departments transition into their new structure
- Amber shading denotes departments will continue proposals throughout 2022/23 to be agreed by Committee/Members under the TOM process
- The 12% reduction is shown in the second column from the right: 'Total TOM Savings Agreed'
- Due to COVID impact the Barbican Centre was permitted to defer its 12% savings until after 2021/22; 12% savings are now deducted from the Barbican Centre's 2022/23 budget, taking the overall savings target to £18.258m
- Savings are confirmed as at 31 December 2022; departments must deliver within the overall envelope
- Departmental /Member bilateral meetings have been used to identify how unidentified savings will be delivered, except for Deputy Town Clerk function and DCCS where Star Chambers were carried out
- 'Other' savings (penultimate row) require review: due to changes in Chief Officer portfolios this has been missed, and requires reallocation under the correct Chief Officer
- CoLP and GSMD savings are ringfenced to the Police and School's reserves respectively under the funding agreement
- The comments column provides an explanation of savings to be delivered and/or areas that are being explored

Department	Total TOM Savings Agreed	Total Permanent Savings Achieved	Total Temporary Savings Achieved in year	Total Unachieved Savings for 2022/23	TOM Permanent Savings still to be identified	Comments
	£000's	£000's	£000's	£000's	£000's	
<b>Barbican</b>	2,087	1,387	0	700	700	The Barbican are developing initiatives to deliver the remaining savings including: ticket pricing reviews, staff targets, operational reviews (technical), optimisation the membership programme and driving commercial income maximisation. The Barbican anticipate on delivering full savings by 2023/24.
<b>Environment</b>	2,679	605	1,906	168	2,074	For 2023/24 onwards, to address the circa £2m shortfall for 23/24, Environment have proposals spanning several years of which some will need committee approval but also have a RAG status and some fall in central risk. For 23/24 only £2.290m are rated green and the bulk will need committee approval/and Priorities Board agreement to use OSPR funding.
<b>Chamberlain's</b>	1,324	1,324	0	0	0	
<b>Chief Operating Officer</b>	2,106	2,106	0	0	0	
<b>Community &amp; Children Services</b>	1,451	1,292	0	159	159	Outstanding car parking initiative, this will require Member support and sign-off. If this initiative is not supported then the department will need to rethink how else they will make the savings.
<b>City of London Freeman's School</b>	105	105	0	0	0	
<b>City of London School</b>	227	227	0	0	0	
<b>City of London School for Girls</b>	91	91	0	0	0	
<b>City Surveyor's</b>	3,599	3,448	0	151	151	£151k intending to charge one post to major projects with remainder coming from staff turnover. Anticipated in achieving from 2023/24.

<b>Comptrollers and City Solicitor's</b>	101	101	0	0	0	
<b>DTC Functions</b>	1,227	580	647	0	647	Holding vacancies to address funding gap in year, further work is required to ensure sustainable year on year savings are achieved.
<b>Innovation &amp; Growth</b>	950	950	0	0	0	
<b>Natural Environment</b>	1,793	1,464	67	262	329	TOM savings non-pay only, of which £1.464m is permanent; Further budgetary pressures are extant – however, Environment TOM proposals are currently subject to staff consultation and final figures will be included in final TOM report.
<b>Remembrancer</b>	200	199	0	1	1	
<b>Other</b>	318	0	0	318	318	Due to significant changes in Chief Officer portfolio this needs to be reallocated
<b>Total</b>	<b>18,258</b>	<b>13,879</b>	<b>2,620</b>	<b>1,759</b>	<b>4,379</b>	

Table 3: TOM savings to 31 December 2022

Department	Total TOM Savings Agreed	Total Permanent Savings Achieved	Total Temporary Savings Achieved in year	Total Unachieved Savings for 2022/23	TOM Permanent Savings still to be identified	Comments
	£000's	£000's	£000's		£000's	
<b>Bridge House Estate</b>	N/A	N/A	N/A	N/A	N/A	
<b>City of London Police</b>	2,300	2,300	0	0	0	
<b>GSMD</b>	832	832	0	0	0	
<b>Total</b>	<b>3,132</b>	<b>3,132</b>	<b>0</b>	<b>0</b>	<b>0</b>	

Table 4: TOM savings to 31 December 2022 – exempt / ringfenced areas

Key to tables 3 & 4:

- Column 1: department delivering savings



- Column 2: Total TOM Savings Agreed – this is the amount deducted from local risk budgets
- Column 3: Total Permanent Savings Achieved – this is the total amount of permanent (year on year) savings identified and achieved by department(s)
- Column 4: Total Temporary Savings Achieved in year – Where departments are yet to identify or reap the benefits of a full years savings, they have made temporary savings elsewhere to remain deliver their savings target - i.e. by holding vacancies
- Column 5: Total Unachieved Savings for 2022/23 - this is the total amount of savings not being delivered against target savings by department(s)
- Column 6: TOM Permanent Savings still to be identified – this is the total amount of permanent savings yet to be identified by department(s)

## Part 3: Next steps

As previously stated, this is an interim report to update on where the TOM programme has reached at year end 2022. This will be followed by a final report in summer 2023. This report does not cover the whether the TOM has achieved its desired results, however, some impacts can potentially be gauged through the 2022 staff survey.

### 3.1 Staff Survey

The TOM has had a significant structural impact on the organisation to date. It has also impacted employees. Although no specific questions related to the TOM were asked in the 2022 Staff Survey, there are some indicators that could be used as a proxy for understanding how the TOM has impacted day to day activity so far.

General findings from the 2022 Staff Survey indicate that City Corporation performs less successfully on senior leaders managing change well, and communicating this to staff, on ensuring staff feel appropriately supported through change, and on communicating how the organisation is doing against its objectives – which could be extrapolated to include TOM objectives.

When describing corporate culture, words such as low morale, lack of transparency, siloed and bureaucratic still feature heavily, and although this question was not asked in the context of the TOM, it implies there is still work to do on achieving its goals. In engagement sessions with staff the prevailing sentiment is that the TOM was “done to” staff rather than developed with them.

Conversely, words such as diverse and inclusive also feature heavily. Again, this is not in specific relation to the TOM, but do provide an indicator that aspirations to make the organisation more representative and diverse at a senior level are potentially being perceived as successful.

Inference can be drawn from the results of the staff survey in relation to managing this change, and monitoring staff sentiment in relation to key TOM outcomes in future will provide a relevant dataset to indicate success measures for the intentions of the programme.

### 3.2 TOM as business as usual

Once the TOM programme has been completed, and all departments have new structures agreed, it will be assimilated into normal day to day operations. OD principles will be assumed to be the norm for the organisation, and structuring business areas in this way business as usual. Support and governance structures set up specifically for the TOM will cease to exist, with accountability to ensure that corporate structures are compliant with OD principles to be overseen by HR, with ultimate accountability held by ELB and Chief Officers.

Operationally, this will open a new chapter for City Corporation: it is at the starting point for achieving the outcomes that were intended in the design of the OD principles described above.

Measures will need to be developed by which organisational success can be measured in the context of these outcomes. This activity feeds into the overall monitoring of whether the organisation is functionally fit for purpose. This activity is led by the Chief Strategy Officer, in collaboration with various leads across the organisation.

The table below sets out those original outcomes, with a short description on suggestions for how this work will be delivered and monitored in future.

<b>Outcome</b>	<b>Suggested ways of monitoring</b>	<b>Contributors</b>
Enable us to respond to, and be proactive in anticipating external changes	tbc	Corporate Strategy & Performance Team (CSPT) horizon scanning function with input from whole organisation
Align activity and resources to our corporate outcomes	To follow and align with prioritisation work currently underway which aims to enable the identification of priorities options for decision through the 2024/25 annual business planning and budget setting cycle, commencing Summer 2023	CSPT and Chamberlains with input from all departments / institutions
Build competence and capability to deliver our Corporate Plan	Complete in relation to TOM (once all areas have restructured) Performance measures to be developed as part of new Corporate Plan 2025-30 for future activity	CSPT with input from all departments / institutions
Increase the pace of decision making	Through Chief Officer & staff surveys / input	Relevant to whole organisation
Increase evidence-based decision making	As above, with input from Members/Committees on the evidence/data requirements	Relevant to whole organisation

Enable us to deliver cross cutting outcomes	Through Chief Officer & staff surveys / input on collaboration	Relevant to whole organisation, especially to identify potentially cross-cutting projects / activity
Prioritise effective front-line services	Complete: no monitoring required – organisation split between service and enabling departments	n/a
Position us as leaders and at the cutting edge of the three sectors we operate in	Benchmarking against relevant external activity	Service departments and relevant institutions – requires quantitative and qualitative measurement
Achieve cost savings to resolve budget deficit	Via finance and budget holders (Chief Officers)	Once TOM proposals are complete this will be closed; further financial initiatives are being considered through RPR activity

### 3.3 Conclusion

Although the TOM programme is not yet complete, the organisation has already undergone profound structural change since activity started. CoLC now comprises critical cross-cutting enabling functions which support the front facing service departments and institutions. Institutions themselves have, with some exceptions, gained more independence and autonomy, improving agility but not resolving inefficiencies or inconsistencies with central policies and teams.

Senior leadership roles have been reviewed and updated, with a more diverse and streamlined Chief Officer team now in post. The next tier of changes to senior leadership structure has brought about streamlining and better organisation of business areas.

Where activity has not been completed, this is due, in part, to the complexity and size of the required changes to be implemented. This activity will continue into 2023 and is not expected to conclude until late in the year. There is a risk that the longer TOM implementation takes, the more it may lose momentum, and the longer it will be before CoLC can realise any benefits, with an associated potential impact on staff morale where restructuring is still underway or has not yet taken place.

The TOM has successfully delivered new corporate structures that bring the organisation to the starting line: it should now be better able to identify and deliver transformational change (or will be once the programme is complete).

Some workstreams were deprioritised once it had become clear how much resource was required to deliver the structural changes. This has become an unexpected opportunity

and bonus for City Corporation. When the programme was started the extent of changes in local, national and international economic circumstances were not known – now these are becoming clear financial activity to manage them can be fine-tuned for the future and are not reliant on revisiting TOM activity. Similarly for corporate culture and staffing, activity driven by the new Chief People Officer can reflect the new circumstances and structures of City Corporation.

Challenges remain around breaking down siloes, improving evidence based decision-making, ensuring critical work is being prioritised and ensuring activity is aligned with resource and outputs. This requires monitoring over time, as outcomes will not be clear in the short term.

### 3.4 Next steps

This is an interim report intended as an update while the TOM programme is completed.

A number of deliverables, such as Establishment plans and measures and metrics to clarify and ensure City Corporation is fit for purpose, will be developed as part of the closure of the programme. Some gaps have also been identified during programme delivery, where the organisation may benefit from further review to see if efficiency savings can be made.

Finally, lessons have been learnt from which the organisation can benefit when undertaking future programmes. All of these outstanding activities, gaps and lessons are described in the table below in annex A. Where relevant, these will be followed up in the final TOM closure report due later in 2023.

# Annex A: Lessons learnt, opportunities & upcoming deliverables

No	Detail
1	Lesson - Scope & Project/programme management: Complex organisational change needs adequate time and resource: significantly more than was set out in the original TOM plans – timelines were too short to achieve all original intentions given complex nature of CoLC. All workstreams should be fully scoped and resourced when the programme starts.
2	Lesson - Support and sequencing: Change programmes require significant support from specific corporate functions such as HR and programme management – these functions should be adequately resourced for the full duration of the programme, and should not undergo change processes at the same time as the areas they are supporting, especially the HR function.
3	Lesson - Governance: Officer governance structures added significant value to TOM process and provided valuable assurance to Members and Committees that OD principles were being followed while avoiding repetition / duplication of work
4	Lesson - Comms: Communication of change programmes is key to success: internal comms should be significantly more extensive and staff more engaged in any future programme to improve ability to deliver successfully
5	Lesson - Cross-cutting programme: new structures have been developed with limited input from across the organisation. This means that siloes have been reinforced; future activity should specifically be reviewed to prevent reinforcement of siloes
6	Lesson - Performance & success criteria: no criteria were set out at the start of the programme, so there is no way of clearly indicating the extent of the success (or not) of the programme. Performance measures will need to be developed retrospectively which will not be able to take the change delivered by the programme into consideration.
7	Lesson - Structure: splitting the organisation between front line and corporate support services has improved clarity within the organisation and helped break down some siloes. Awareness should not be lost that both types of function are critical to the effective and successful operation of the organisation and require funding and resource commensurate to the function they perform across the organisation.
8	Lesson - Structure & Income generation: this was not included in the TOM programme; given the change in economic circumstances, departments who are income generating may benefit from reviewing opportunities to further

	develop funding streams and the organisational support/design required to achieve this.
9	Opportunity - chauffeuring and fleet management has been identified as areas where further cost savings could be made. A review into this may support cost saving efforts under the HoP
10	Lesson - Process: Reviewing organisational structures uncovered that in some cases job descriptions had not been reviewed for many years (in some cases in excess of a decade). Structures should be put in place to ensure these are reviewed and kept up to date at a frequency that is relevant to the role/department.
11	Opportunity – Performance: staff sentiment in relation to key TOM outcomes should be monitored in future staff surveys to develop a dataset to indicate success measures for the intentions of the programme
12	Opportunity - London Metropolitan Archives did not become an independent institution as part of the TOM process; if, in future, benefits could be realised as a result of increased independence, this decision may be revisited and a cost benefits analysis/business case review could take place.
13	Opportunity – Digital, technology and data systems: A review of digital, technology and data systems across the corporation may identify opportunities to delivery more efficient, leaner services through technology. It may also support transforming ways of working.
14	Deliverable - Establishment Control: overall final establishment should be produced alongside programme closure. Department plans are owned and activity to develop them led by Chief Officers.
15	Deliverable – Measures for TOM as BAU: Measures and metrics to be developed to understand and monitor organisational success in the context of TOM outcomes. Oversight of TOM as BAU is held by the Chief Strategy Officer; activity on metrics will require input from across the organisation.
16	Deliverable – HoP: further development of the Head of Profession function, and planning for scoping these roles to ensure effectiveness for City Corporation.

# Annex B: OD Principles - detail

Below is a detailed definition of TOM OD principles specifically regarding agreed designations for the most senior three tiers in the organisation and permissible titles. These designations were agreed at the TOM Steering Group in May 2021.

1. Tier 1 (Senior Management Grade - SMG): titled Executive Director and/or appropriate Professional Title
2. Tier 2 (SMG): titled Executive Director and/or appropriate Professional Title
3. Tier 2: (Grade I&J, non-SMG) generally titled Director except where a Professional Title is used or point 7 applies. In that instance the title is Assistant Director or appropriate Professional Title. On the rare the occasion that a Tier 2 is graded H, they may be titled Director (provided point 7 below does not apply)
4. Tier 3: (Grade G, H & I) titled Assistant Director, Head of Service or an appropriate Professional Title
5. 'Deputy' will not be used at any tier unless there are justifiable reasons (e.g. Deputy Remembrancer, Deputy Town Clerk)
6. Existing job titles can remain where requested by the department with justification but to change in line with principles wherever possible when post is vacated. Justification can include external impact.
7. If there is an Executive Director of a named service within the City Corporation, there will not be a Director of the same named service in whole or in part (with the exception of Institutions where justification is provided or where point 6 applies). For example:
  - a. There will not be a Director of HR if there is an Executive Director of HR
  - b. There will not be a Director of Events and Communications if there is an Executive Director of Communications & External Affairs

The City Corporation's Job Evaluation Scheme defines responsibility for people at varying levels:

**Level 1:** At this level, postholders have no, or very limited, responsibility for people. The limited responsibility may include the requirement to assist new Corporation or contractor/agency staff or others in receipt of training from the Corporation with procedural guidance and working practices. This requirement will be in relation to induction or 'on the job' training with no ongoing, medium- or long-term requirement to train specific individuals or groups

**Level 2:** At this level there will be an ongoing requirement for the postholder to give training and guidance, which may include the allocation of work, to any of the categories of person identified in Level 1 or to less senior Corporation, contractor or agency staff in the same group or section. "Less senior Corporation staff" may, for example, be officers on a career grade shared by the postholder but on which the postholder is at a higher level. The ongoing requirement will usually be in relation to the same individuals or groups of people but there may be an ongoing requirement to give training and guidance to, for example, volunteer groups where



the individuals within the groups may change from week to week or over longer periods of time.

**Level 3:** At this level, the postholder must have formal ongoing organisational responsibility to line-manage staff, which will involve the allocation, supervision and checking of work but will also include additional management responsibilities such as:

- Disciplinary action up to and including first written warning
- Participation in the recruitment process, including interviews, but without leading on or authorising or making formal recommendation for recruitment
- Appraisals
- Recommendations for training and learning and development opportunities for staff managed or supervised.

**Level 4:** At this level, the postholder will have ongoing line-management responsibilities for staff which must include

- Leadership of recruitment processes
- Appraisal
- Determination and authorisation of training and learning and development programmes for staff managed
- Formal disciplinary action up to and including final written warning and recommendation to dismiss permanent staff.

The postholder must have management responsibility for all of these matters to qualify for this level.

**Level 5:** At this level, the postholder must possess authority to exercise the full range of management responsibilities, including that of terminating the employment of permanent staff.

- Levels 1 and 2 are not definitions of 'management' in respect of the Organisational Design Principles.
- Whilst level 2 is not 'management', it is helpful as a definition as many managers rely on their staff to do some of the work allocation and checking for them, without relinquishing their "management" responsibilities when they do so. It is proposed that a dotted line on organisational design structures reflects this requirement.
- Level 3 will be adopted as a 'definition' of management by default, unless clear justification in individual circumstances can be provided. These will be scrutinised by TOM programme governance.
- Levels 4 and 5 are adopted as 'definitions' of management in all circumstances for the purposes of the Organisational Design Principles
- Support and supervision will not be classed as management responsibility within these definitions

# Annex C: Head of Profession

Heads of Profession (HoP) are expected to lead the ongoing transformation in their service areas. This varies across different roles, but HoP are typically responsible for:

- Understanding demand: engaging with stakeholders across the Corporation to define and refine the requirements for their function, categorised as:
  - Core requirements to enable delivery of the Corporate Plan and the long-term ambitions of the Corporation
  - Local requirements that apply to an individual (or group) of departments, Service Areas or Institutions
- Developing functional strategy and policy: defining the strategy for the profession (based on demand), establishing core priorities, measurable outcomes and the service delivery approach(es) to achieve them; developing Corporation-wide policies that define functional standards
- Ensuring service delivery: identifying, confirming and agreeing the most appropriate mechanisms to deliver the function through consultation with Chief Officers. Heads of Profession and Chief Officers should typically agree the most appropriate approach from the following modes:
  - Central: where the Head of Profession has direct responsibility for delivery and it is conducted from the Corporate Department
  - Collective: where delivery is the responsibility of a Chief Officer, and provided on behalf of other departments
  - Devolved: where delivery is the responsibility of a Chief Officer and delivered just for themselves
- Overseeing adherence to policies and standards: regardless of the delivery mode, the Head of Profession will have accountability for overseeing compliance with professional standards (and policy); matrix reporting may be necessary to ensure staff are managed effectively, in consultation with Chief Officers
- Managing and escalating risks and issues: identifying and managing risks and issues associated with the quality-of-service provision or adherence to policy and escalating where these are not resolvable. Escalation will be to a relevant T1 role, the Executive Leadership Board or the Town Clerk and Chief Executive
- Developing capability: building a professional network across the Corporation; creating training and development opportunities; overseeing workforce planning, including the approval of senior appointments into the profession; and supporting the development of career pathways
- Enabling decision-making: simplify and clarify how decisions relevant to the profession's policies are made
- Enabling collective value: articulating the value of the profession, providing clarity over costs (including at service and customer-levels), and supporting collaboration between departments

Heads of Profession will typically be senior individuals within the Corporate Department, though exceptions may occur.