

GENERAL PURPOSES COMMITTEE

Wednesday, 15 June 2016 at 7.00 p.m.

CR1, Mulberry Place, 5, Clove Crescent, London E14 2BG

This meeting is open to the public to attend.

Members:

Chair: Councillor Danny Hassell

Vice-Chair: TBC

Councillor Khaled Uddin Ahmed, Councillor Shah Alam, Councillor Craig Aston, Councillor Denise Jones, Councillor Aminur Khan, Councillor Muhammad Ansar Mustaqim, Councillor Rachael Saunders and Councillor Helal Uddin

Deputies:

Councillor Candida Ronald, Councillor Rajib Ahmed, Councillor Andrew Cregan, Councillor Marc Francis, Councillor Peter Golds, Councillor Shiria Khatun and Councillor Andrew Wood

[The quorum for this body is 3 Members]

Contact for further enquiries:

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Web: <http://www.towerhamlets.gov.uk/committee>

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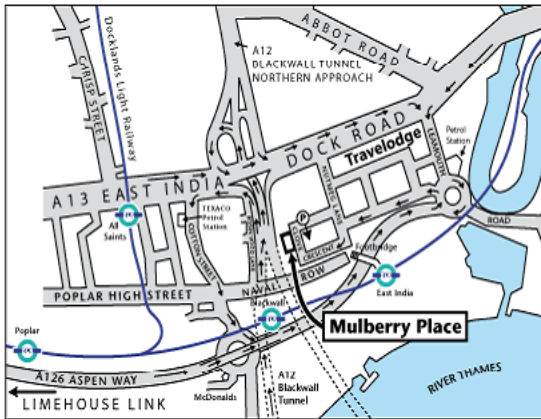
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**1. APOLOGIES FOR ABSENCE
APPOINTMENT OF VICE-CHAIR FOR THE MUNICIPAL
YEAR**

**2. DECLARATIONS OF DISCLOSABLE PECUNIARY
INTERESTS**

1 - 4

To note any declarations of interest made by Members, including those restricting Members from voting on the questions detailed in Section 106 of the Local Government Finance Act, 1992.

See attached note from the Monitoring Officer.

3. MINUTES

5 - 20

To approve the minutes of the General Purposes Committee held on 13 March 2016, Human Resources Committee held on 13 April 2016 and Appeals Committee held on 29 July 2015.

4. REPORTS FOR CONSIDERATION

4 .1 General Purposes Committee, New Terms of Reference

21 - 30

To note the Terms of Reference, membership and dates of meetings

4 .2 Establishment of Appointments Sub-Committee

31 - 36

To establish an Appointments Sub-committee

4 .3 Establishment of (Employee) Appeals Sub-Committee

37 - 42

To establish an Appeals Sub-Committee

4 .4 Feedback from Electoral Services

To receive a presentation on IER impact of registration, feedback from the GLA elections and preparations for the EU Referendum.

4 .5 Organisation Design Principles

Report to follow

4 .6 Appointment of School Governors

Report to follow

4 .7 HR Work Programme 2016/17 **43 - 52**

To consider the workprogramme of HR reports

4 .8 Senior Management Update / Recruitment to Vacancies **53 - 70**

To receive an update. **53 - 70**

5. EXCLUSION OF THE PRESS AND PUBLIC

In view of the contents of the remaining items on the agenda the Committee is recommended to adopt the following motion:

“That, under the provisions of Section 100A of the Local Government Act 1972, as amended by the Local Government (Access to Information) Act 1985, the press and public be excluded from the remainder of the meeting for the consideration of the Section Two business on the grounds that it contains information defined as Exempt in Part 1 of Schedule 12A to the Local Government Act, 1972.”

EXEMPT SECTION (Pink Papers)

The exempt committee papers in the agenda will contain information, which is commercially, legally or personally sensitive and should not be divulged to third parties. If you do not wish to retain these papers after the meeting, please hand them to the Committee Officer present.

5 .1 Review of Service Head Post in Resources Directorate (consideration of an individual's employment position) **71 - 76**

To consider a review of a post within the organisation.

Next Meeting of the Committee:

Wednesday, 14 September 2016 at 7.00 p.m. in CR1, Mulberry Place, 5, Clove Crescent, London E14 2BG

Agenda Item 2

DECLARATIONS OF INTERESTS - NOTE FROM THE MONITORING OFFICER

This note is for guidance only. For further details please consult the Members' Code of Conduct at Part 5.1 of the Council's Constitution.

Please note that the question of whether a Member has an interest in any matter, and whether or not that interest is a Disclosable Pecuniary Interest, is for that Member to decide. Advice is available from officers as listed below but they cannot make the decision for the Member. If in doubt as to the nature of an interest it is advisable to seek advice **prior** to attending a meeting.

Interests and Disclosable Pecuniary Interests (DPIs)

You have an interest in any business of the authority where that business relates to or is likely to affect any of the persons, bodies or matters listed in section 4.1 (a) of the Code of Conduct; and might reasonably be regarded as affecting the well-being or financial position of yourself, a member of your family or a person with whom you have a close association, to a greater extent than the majority of other council tax payers, ratepayers or inhabitants of the ward affected.

You must notify the Monitoring Officer in writing of any such interest, for inclusion in the Register of Members' Interests which is available for public inspection and on the Council's Website.

Once you have recorded an interest in the Register, you are not then required to declare that interest at each meeting where the business is discussed, unless the interest is a Disclosable Pecuniary Interest (DPI).

A DPI is defined in Regulations as a pecuniary interest of any of the descriptions listed at **Appendix A** overleaf. Please note that a Member's DPIs include his/her own relevant interests and also those of his/her spouse or civil partner; or a person with whom the Member is living as husband and wife; or a person with whom the Member is living as if they were civil partners; if the Member is aware that that other person has the interest.

Effect of a Disclosable Pecuniary Interest on participation at meetings

Where you have a DPI in any business of the Council you must, unless you have obtained a dispensation from the authority's Monitoring Officer following consideration by the Dispensations Sub-Committee of the Standards Advisory Committee:-

- not seek to improperly influence a decision about that business; and
- not exercise executive functions in relation to that business.

If you are present at a meeting where that business is discussed, you must:-

- Disclose to the meeting the existence and nature of the interest at the start of the meeting or when the interest becomes apparent, if later; and
- Leave the room (including any public viewing area) for the duration of consideration and decision on the item and not seek to influence the debate or decision

When declaring a DPI, Members should specify the nature of the interest and the agenda item to which the interest relates. This procedure is designed to assist the public's understanding of the meeting and to enable a full record to be made in the minutes of the meeting.

Where you have a DPI in any business of the authority which is not included in the Member's register of interests and you attend a meeting of the authority at which the business is considered, in addition to disclosing the interest to that meeting, you must also within 28 days notify the Monitoring Officer of the interest for inclusion in the Register.

Further advice

For further advice please contact:-

Melanie Clay, Corporate Director of Law, Probity & Governance & Monitoring Officer, Telephone Number: 020 7364 4800

APPENDIX A: Definition of a Disclosable Pecuniary Interest

(Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, Reg 2 and Schedule)

Subject	Prescribed description
Employment, office, trade, profession or vacation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	<p>Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by the Member in carrying out duties as a member, or towards the election expenses of the Member.</p> <p>This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.</p>
Contracts	<p>Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority—</p> <p>(a) under which goods or services are to be provided or works are to be executed; and</p> <p>(b) which has not been fully discharged.</p>
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	<p>Any tenancy where (to the Member's knowledge)—</p> <p>(a) the landlord is the relevant authority; and</p> <p>(b) the tenant is a body in which the relevant person has a beneficial interest.</p>
Securities	<p>Any beneficial interest in securities of a body where—</p> <p>(a) that body (to the Member's knowledge) has a place of business or land in the area of the relevant authority; and</p> <p>(b) either—</p> <p>(i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or</p> <p>(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.</p>

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LONDON BOROUGH OF TOWER HAMLETS

**MINUTES OF THE GENERAL PURPOSES COMMITTEE
HELD AT 7.00 P.M. ON WEDNESDAY, 16 MARCH 2016
MP701, 7TH FLOOR, MULBERRY PLACE, 5, CLOVE CRESCENT, LONDON E14
2BG**

Members Present:

Councillor Sabina Akhtar (Chair)
Councillor Khaled Uddin Ahmed
Councillor Craig Aston
Councillor David Edgar
Councillor Aminur Khan

Apologies:

Councillor Ayas Miah

Officers Present:

Kevin Miles	– Resources Directorate
Hania Franek	– Children's Services
Mark Norman	– Legal Services, Law, Probity and Governance
Elizabeth Dowuona	– Committee Services, Law, Probity and Governance

–
1. DECLARATIONS OF DISCLOSABLE PECUNIARY INTERESTS

There were none.

2. MINUTES

The minutes of the previous meetings held on 9 December 2015 and 8 February 2016 were agreed as a correct record of the proceedings.

Matters Arising

With respect to the meeting held on 8 February 2016, Councillor Aminur Khan ask that it be put on record that he had confirmed his attendance, however due to transportation delays, the meeting had just ended on his arrival at the Town Hall.

3. REPORTS FOR CONSIDERATION

3.1 Annual Canvass 2015, GLA Election 2016 and EU Referendum 2016 preparations Annual Canvass 2016

Louise Stamp, Head of Service, Electoral Services) introduced the report which outlined the position at the end of the annual canvass 2015 and provided statistics upon publication of the revised Register of Electors 2016; The detailed preparations in place for the Greater London Authority (GLA) election and EU Referendum 2016; and Identified the registration plans and activities in place for the Annual Canvass 2016.

ANNUAL CANVASS FEEDBACK 2015

She took Members through the details in the report and highlighted a number of points including that, in relation to the introduction of Individual Electoral Registration in June 2014 the annual canvass in 2015 under the Individual Electoral Registration (IER) during the transitional period.

She reported on the different stages of the canvass, in particular the trial use of mobile tablet devices to capture the information directly into the software system to assist with completing the reminder household enquiry forms. Members asked a number of questions and made various comments on the report. The following points were noted:

- Members found the high return rate from the use of the tablet devices as compared with the traditional paper forms very interesting, noting the high level of confidence the electorate placed on new technology, particularly the perception that it was professional and safe in terms of personal information.
- Members expressed concern about the requirement for residents to confirm people living at an address, then for any new residents to register individually without the provision of identification. They considered that given the allegations of a high level of fraud in the borough, it was important that requesting identification in the registration process should have been routine. Louise Stamp undertook to take on board that it would be prudent to request identification from the registering electorate in order to safeguard the integrity of the process.
- It was noted that it was legal to request identification in the voter's registration process.
- That residents were contacted by phone or email and data mining with council tax records to ensure that all residents who should be registered at the property were captured before the property could be confirmed as data complete.

PREPARATIONS FOR THE GLA ELECTION – 5 MAY 2016

It was noted that the elections in Tower Hamlets in May and June 2015 were delivered successfully and without challenge. A joint report was prepared in order to provide a legacy of recommendations for future elections in Tower Hamlets. Preparations were underway and are based on best practice and lessons learnt from the two elections conducted in 2015. A number of successful initiatives piloted in the past would be employed for the polls in 2016 and a number of other enhancements introduced.

It was noted that four London boroughs made up the City and East Constituency for the GLA election, Newham (lead), Barking and Dagenham, Tower Hamlets and The City. The Chief Executive was the Borough Returning Officer responsible for the conduct of the election in Tower Hamlets and reports to the Constituency Returning Officer at Newham.

In response to questions and comments from Councillors, arrangements regarding polling premises, polling equipment such as single polling booths, carousels, pencils and the availability of pens and the recruitment of polling and Count Staff were all in place. The electronic count for the GLA election had been set to take place at ExCeL London on Friday 6 May 2016, commencing at 8am. Feedback from the previous elections had suggested general support for the count being held at the ExCel Centre in Docklands, given that it was a large facility.

Discussions had taken place with the police regarding security and it had been agreed that there would be a police escort for each ballot box.

EU REFERENDUM – 23 JUNE 2016

It was noted that all polling premises used for the GLA election had been secured for the Referendum. Arrangements were in place with respect to setting up and collection of polling equipment and material from each polling place.

The proposal was to use the same staff allocation used for the GLA election. Presiding officers will be asked to identify staff that did not perform well in May 2016 and polling station inspectors will provide a report on presiding officer suitability. The count for the EU Referendum was scheduled to take place at East Wintergarden, Canary Wharf, on Thursday 23 June commencing at 10.00pm.

ANNUAL CANVASS PILOT 2016

It was noted that Tower Hamlets proposed to conduct an annual canvass pilot starting in July 2016. The annual canvass would normally commence in August, however the use of an additional Household Notification Letters (HNL), which had proven to be more successful than the Household Enquiry Form (HEF) used during the annual canvass period would be piloted.

Following the successful use of tablets in the 2015 annual canvass, it was proposed to undertake this alternative method of canvassing by using a

combination of Household Notification Letters (HNL), mobile tablet devices for all canvass reminders and also various data matching exercises.

Members thanked Louise Stamp for a concise yet comprehensive report.

RESOLVED –

That the report be noted.

3.2 Application for Membership on the Standing Advisory Council for Education

The report was presented by Hania Franek, Head of School Governance & Information. The report set out for Members the details of an application from Zelda Bailey, on behalf of the British Humanist Association (BHA), for the consideration for full membership of the London Borough of Tower Hamlets SACRE (Standing Advisory Council for Religious Education).

The Committee noted the reasons for the request in a letter dated 17 October 2015, attached at Appendix A of the report. It was underlined that the British Humanist Association wished to be fully involved in discussions and decisions Standing Advisory Council for Religious Education.

RESOLVED -

1. That the British Humanist Association be granted full membership of the Standing Advisory Council for Religious Education in Tower Hamlets.
2. That the British Humanist Association continue to be a co-opted member of SACRE and consulted fully by the Agreed Syllabus Conference (ASC).

3.3 Local Authority Governor Applications

The report was introduced by Hania Franek, Head of School Governance & Information, who advised that none of the applications before the Committee was contentious.

It was noted that Members had no objections to the applications submitted.

RESOLVED -

- (1) That the applicants for re-appointment to Local Authority School Governor positions as set out in the report be noted.

(2) That the applications for Local Authority Governors as detailed in the report be approved as follows:

- That Rob Crothers be nominated for re-appointed as a governor at Morpeth School under the 2012 School Governance (Constitution) Regulations.
- That Darren Milgate be nominated for re-appointed as a governor at Cyril Jackson School under the 2012 School Governance Regulations.
- That Mr Mohammed Abdur Rahman be nominated for appointment as a governor at Bow School under the 2012 School Governance Regulations.
- That Ms Catherine Fisher be nominated for appointment as a governor at Harry Gosling School under the 2012 School Governance Regulations.
- That Ms Alexandra Ploussard be nominated for appointment as a governor at St Agnes School under the 2012 School Governance Regulations.

4. EXCLUSION OF THE PRESS AND PUBLIC

RESOLVED –

That in accordance with the provisions of Section 100A of the Local Government Act 1972, as amended by the Local Government (Access to Information) Act 1985, the press and public be excluded from the remainder of the meeting on the grounds that the remaining agenda item contained information defined as exempt or confidential in Part 1 of Schedule 12A to the Local Government Act 1972.

5. LOCAL AUTHORITY GOVERNOR APPOINTMENTS EXEMPT APPENDICES

The appendices were noted.

The meeting ended at 8.00 p.m.

Chair, Councillor Sabina Akhtar
General Purposes Committee

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LONDON BOROUGH OF TOWER HAMLETS

MINUTES OF THE HUMAN RESOURCES COMMITTEE

HELD AT 7.00 P.M. ON WEDNESDAY, 13 APRIL 2016

**ROOM MP701, 7TH FLOOR, TOWN HALL, MULBERRY PLACE, 5 CLOVE
CRESCENT, LONDON, E14 2BG**

Members Present:

Councillor Clare Harrisson (Chair)
Councillor Dave Chesterton (Vice-Chair)
Councillor Rachel Blake
Councillor Julia Dockerill
Councillor Shafiqul Haque
Councillor Sirajul Islam

Officers Present:

Simon Kilbey, (Service Head, HR and Workforce Development)
Sarah Williams, (Team Leader, Legal Services)
Charles Yankiah, (Senior Committee Officer, Democratic Services)
Seye Aina, (Committee Services Officer, Democratic Services)

1. DECLARATIONS OF DISCLOSABLE PECUNIARY INTEREST

No declarations of disclosable pecuniary interests were made.

2. MINUTES OF THE PREVIOUS MEETING(S)

The unrestricted minutes of the Human Resources Committee held on 21 January 2016 were presented for approval.

RESOLVED

That the unrestricted minutes of the meeting of the Human Resources Committee held on 21 January 2016 be agreed and signed by the Chair as a correct record of the proceedings.

Matters Arising:

1. 3.1 - Human Resources & Workforce Development Update

Simon Kilbey (Service Head, Human Resources & Workforce Development) informed the Committee that arrangements are being made for an officer involved in recruiting apprenticeships to give a presentation to Members.

2. 4.3 - Pay Policy 2016/17

Simon Kilbey informed the Committee that the additional information requested relating to the National Insurance changes would be circulated to members and also to the Pensions Committee/Board.

3. REPORTS OF CORPORATE DIRECTOR, RESOURCES

3.1 Workforce Strategy

Simon Kilbey (Service Head, Human Resources & Workforce Development) presented the report on a new Workforce Strategy which covers a five year period from 2016/17 to 2021/22. The Strategic plan sets out the priority outcomes from 2016 - 2019 and links into the corporate policy procedures and the organisational change Best Value Improvement Plan.

The activities of the Workforce Strategy for the next 5 years include:

- Some of our services will be 'Integrated'.
- We will operate from a new Civic Centre in Whitechapel with a local presence at John Onslow House. These will be supported by small offices in the community.
- We will have a 'mixed market' of service provision.
- We will continue to reduce the total workforce expenditure.
- More of our back office services will be consolidated into single teams.
- We will have a flatter management structure.
- We will undertake open recruitment for the majority of our positions.
- Our workforce will have the skills to deliver public sector services in the future.
- Apprenticeship placements will form part of our service structures.
- Improvements in digital technology will change the way we engage with our customers.

The vision of the Workforce Strategy is:

- Great people
- Great performance
- Great place
- Great partnerships

The Chair welcomed the report and noted that the Corporate Management Team (CMT) has agreed the new Workforce Strategy. At the invitation of the Chair, the Members enquired about the following:

- How the Workforce Strategy timetable fits in with the financial plans for 2017 and the planned move to the Civic Centre.

- How do we ensure that the Workforce Strategy is reflective of the community.
- Are we preparing the workforce to be more technically-minded.
- How was the information for the Workforce Strategy compiled.
- Were there any difficulties in accessing the workforce.

In response to the questions from Members, Simon Kilbey agreed that details of the re-organisation plan needs to be clearer and more information included in the Workforce Strategy. The Workforce Strategy does not capture every single action but should include information on staff costs and financial savings. Separate information will be provided to the Committee on the saving plans for each year and on the terms and conditions review. The Service plan for Human Resources will include each service and capture more actions including the move to the Civic Centre, customer management, the workforce and customer access.

Simon Kilbey agreed that information on how the Workforce Strategy was compiled and access to the workforce is missing from this report. He confirmed that there had been a consultation process but no focus groups. He also stated that the Authority had taken steps year on year to make improvements to the workforce and make sure it is more reflective of the community. He also informed the Committee that Louise Russell's team had conducted a lot of research in this area.

Councillor Shafiqul Haque stated that the Authority need to move away from being insular and be more outward looking. He stressed the need to reach out more and in particular engage with the Somali community who are currently under-represented in the workforce. Members agreed that how we brief recruitment agencies is a key factor if we wish to attract a diverse pool.

During discussions Members agreed that if the Authority is making improvements in digital technology this work needs to be joined with the work on improvements to our customer access link to employment. Simon Kilbey informed the Committee that performance management and technical support will be articulated to make sure this is on target and this will be monitored by Human Resources as a separate piece of work.

Resolved that:

1. The report be noted.
2. Additional comments made by the Committee Members on the Workforce Strategy be reported back to the Corporate Management Team (CMT).
3. A Service plan for Human Resources be reported to the next meeting.

3.2 Pay Policy Update

Simon Kilbey (Service Head, Human Resources & Workforce Development) presented an update on the Pay Policy 2016-17 report, considered at the last committee meeting on 21 January 2016. The Pay Policy statement for 2016/17 was approved by Council at its meeting on 3 March 2016. At the meeting, the Committee were provided with an additional paper with Benchmarking information on London Borough pay ratios for 2016 - 17. The pay ratio for Tower Hamlets from the highest median to the lowest median is compared to 20 other London Boroughs.

At the invitation of the Chair, the Members enquired about:

- London Living Wage
- The single status issue
- Lower grades
- The senior management grades

In response to questions from the Members, Simon Kilbey informed the Committee that it will be a decision for Council whether to include the 8 staff based at Gorsefield in the London Living Wage (LLW) increase. Any decisions or updates on this issue will be reported to a future meeting.

Simon Kilbey informed the Committee that the single status issue may not be an issue depending on the outcome of the pay award. An interim arrangement is currently in place and the pay claim is under review by the both the Employers and the Unions. The Employers side has offered a two-year pay award with a 1% increase in 2016 and 2017, in addition to increasing the bottom pay points up to 6% to take account of the new National Living Wage. He further stated that the pay award for Chief Executive is 1% for the next two years, with the pay set to increase from next year.

Resolved that:

1. The report be noted.
2. Any additional updates on the pay policy or further legislative changes be reported at a future meeting.

3.3 Senior Manager Recruitment Update

Simon Kilbey (Service Head, Human Resources & Workforce Development) presented the update on current senior management vacancies and actions being taken to secure permanent appointments are concluded as soon as possible. The report provided further information on the Chief Executive performance management arrangements with details on the progress on

recruitment to Senior Management vacancies, the position in relation to continuation/termination of the current interim arrangements for covering senior management vacancies and the arrangements for appraisal of the Chief Executive.

Additional information was provided at the meeting with a report setting out the executive search timetable for the posts of the Service Head Legal and Democratic Services, Service Head Corporate Strategy and Equality and the Service Head Education and Partnerships.

At the invitation of the Chair the Members enquired about:

- The long gap from the close of applications to shortlisting.
- The necessary for Councillors to be on the Appointments Panel.
- What other Councils do regarding senior appointments.

In response to questions from the Members, Simon Kilbey informed the Committee that the closing dates for applications for the posts of the Service Head Legal and Democratic Services, Service Head Corporate Strategy and Equality and the Service Head Education and Partnerships is on 15 April 2016. Councillor representation is being canvassed and this will be followed by longlisting. He acknowledged that it can be onerous for Councillors to be on the Appointments panel, some Councils adopt the same appointments process as we have whilst others are devolved.

Simon Kilbey informed the Committee that the arrangements for the appraisal of the Chief Executive are being implemented alongside the conclusion of the probationary process for the Chief Executive. Appraisal training has commenced and the next stage is to set objectives. There has been a slippage in the planned timetable to review the objectives but a meeting on this is planned for 13 May 2016. Arrangements are also being made to appoint an Independent Advisor to the process.

The Chair welcomed the update on senior management vacancies and on the Chief Executive performance management arrangements. Committee Members made the following additional comments:

- Councillor Julia Dockerill expressed the view that as part of the governance review Members should have a voice on the level of their involvement in senior appointments.
- Councillor Dave Chesterton expressed the view that a proper record of the appraisal of the Chief Executive is important. It is key that this is carried out by an Independent person.
- Councillor Julia Dockerill expressed the view that as part of the induction process it would be nice for Members to meet the new Senior Managers.

Resolved that:

1. The report be noted.
2. Comments made by the Committee Members on the Senior Management Update/Recruitment to Vacancies be reported back to the Corporate Management Team (CMT).

3.4 Closed Recruitment in the Public Sector

Simon Kilbey (Service Head, Human Resources & Workforce Development) presented the report on the Business Innovation and Skills consultation and 'call for evidence' on the closed recruitment practices in the public sector. The closing date for the consultation is 15 April 2016.

The Committee received and noted the response of the Local Government Association (LGA) and the Council's draft response to the consultation. The Committee agreed that there is a similar approach in both responses and agreed with the Council that there is a need for greater transparency which would require regular reports to Government on the amount of internal recruitment undertaken.

Resolved that the report be noted.

3.5 Human Resources Committee Work Programme

Simon Kilbey (Service Head, Human Resources & Workforce Development) presented the report setting out a draft Human Resources Committee Work Programme 2016/17.

Resolved that:

1. the report be noted.
2. an updated work programme report be considered at the next meeting which should include:
 - a. The workforce and the planned move to the Civic Centre.
 - b. Senior Management Induction plans.
 - c. Numbers on Appointment Panels.

4. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT

There was no other business which the Chair considered urgent.

5. DATE OF NEXT MEETING

The next meeting of the Committee will be held on Wednesday 27 July 2016 at 7.00pm in Room MP701, 7th Floor, Town Hall, Mulberry Place, 5 Clove Crescent, London, E14 2BG.

The meeting ended at 8.30 p.m.

Chair, Councillor Clare Harrisson
Human Resources Committee

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LONDON BOROUGH OF TOWER HAMLETS

MINUTES OF THE APPEALS COMMITTEE

HELD AT 7.30 P.M. ON WEDNESDAY, 29 JULY 2015

MEETING ROOM COMMITTEE ROOM 1, 1ST FLOOR, TOWN HALL, MULBERRY PLACE, 5 CLOVE CRESCENT, LONDON, E14 2BG

Members Present:

Councillor Rajib Ahmed (Chair)
Councillor Sabina Akhtar
Councillor Andrew Cregan
Councillor Shah Alam
Councillor Helal Uddin

Other Councillors Present:

Apologies:

Councillor Dave Chesterton

Others Present:

–

Officers Present:

David Galpin	– (Service Head, Legal Services, Law Probity & Governance)
Michelle Hall	– (Temporary Committee Services Officer)
Zoe Folley	– (Committee Officer, Directorate Law, Probity and Governance)

1. ELECTION OF VICE - CHAIR FOR THE MUNICIPAL YEAR 2015/2016

RESOLVED

That Councillor John Pierce be appointed Vice-Chair of the Appeals Committee for the remainder of the Municipal Year 2014/15.

2. DECLARATIONS OF DISCLOSABLE PECUNIARY INTERESTS

There were no declarations of disclosable pecuniary interests.

3. MINUTES OF THE PREVIOUS MEETING**RESOLVED**

That the unrestricted minutes of the meeting of the Appeals Committee held on 24 June 2013 be agreed as a correct record.

4. REPORTS FOR CONSIDERATION**4.1 Appeals Committee Terms of Reference, Membership and Quorum**

Members considered the report. In response to questions, Officers clarified the timescale for circulating the agendas for meetings to Members.

RESOLVED:

To note the Terms of Reference and Quorum of the Appeals Committee and the Membership (as appointed at the Annual General Meeting of Full Council on 11 June 2014).

4.2 Establishment of Employee Appeals Sub Committee**RESOLVED:**


That the Appeals Committee establish an Employee Appeals Sub Committee for the municipal year 2014/15 with the attached terms of reference (Appendix A) and hearing structure.

5. ANY OTHER BUSINESS WHICH THE CHAIRS CONSIDERS TO BE URGENT

The meeting ended at 7.45 p.m.

Chair, Councillor Rajib Ahmed
Appeals Committee

Agenda Item 4.1

Non-Executive Report of the: General Purposes Committee 15 th June 2016	 TOWER HAMLETS
Report of: Matthew Mannion, Committee Services Manager	Classification: Unrestricted
General Purposes Committee, New Terms of Reference	

Originating Officer(s)	Antonella Burgio, Committee Officer
Wards affected	All Wards

Summary

At the Annual General Meeting of the Council on 18 May 2016, Members approved the establishment of a New General Purposes Committee. This report sets out the Terms of Reference, Quorum, Membership and Dates of meetings of this New General Purposes Committee for the Municipal Year 2016/17 for the information of members of the Committee.

All Committees of Council receive such a report annually asking them to consider and note their terms of reference and delegated powers.

Recommendations:

The General Purposes Committee is recommended to:

1. To note its Terms of Reference, Quorum, Membership and Dates of future meetings as set out in Appendices 1, 2 and 3 to this report.

1. REASONS FOR THE DECISIONS

- 1.1 It is a customary practice that a Committee annually receive a report of its Terms of Reference.

2. ALTERNATIVE OPTIONS

- 2.1 No alternative practice in respect of this report occurs in the Authority.

3. DETAILS OF REPORT

At the Annual General Meeting of the Council on 18 May 2016, Members approved the establishment of a New General Purposes Committee which would incorporate the functions of the former General Purposes Committee, Human Resources Committee and Appeals Committee.

- 3.1 Following the Annual General Meeting of the Council, the various committees established will note their Terms of Reference, Quorum and Membership for the forthcoming Municipal Year. These are set out in the appendices to the report.
- 3.2 The Committee's meetings for the remainder of the year, as agreed at the same meeting of the Council (on 18th May 2016), are as set out in the appendices to this report.
- 3.3 In accordance with the agreed calendar, meetings are scheduled to take place at 7.00pm unless the meeting takes place during Ramadan, where upon the meeting will take place at an earlier time.

4. COMMENTS OF THE CHIEF FINANCE OFFICER

- 4.1 Matters brought before the Committee under its terms of reference during the year will include comments on the financial implications of decisions provided by the Chief Finance Officer. There are no specific comments arising from the recommendations in this report.

5. LEGAL COMMENTS

- 5.1 The information provided for the Committee to note is in line with the Council's Constitution and the resolutions made by Full Council on 18 May 2016.

6. ONE TOWER HAMLETS CONSIDERATIONS

- 6.1 When drawing up the schedule of dates, consideration was given to avoiding schools holiday dates and known dates of religious holidays and other important dates where at all possible

7. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

7.1 There are no specific SAGE implications arising from the recommendations in the report.

8. RISK MANAGEMENT IMPLICATIONS

8.1 There are no specific Risk Management implications arising from the recommendations in the report.

9. CRIME AND DISORDER REDUCTION IMPLICATIONS

9.1 There are no Crime and Disorder Reduction implications arising from the recommendations in the report.

Linked Reports, Appendices and Background Documents

Linked Report

- none

Appendices

- Appendix 1 – Terms of Reference
- Appendix 2 – Membership
- Appendix 3 – Dates of scheduled meetings

Local Government Act, 1972 Section 100D (As amended)

List of “Background Papers” used in the preparation of this report

List any background documents not already in the public domain including officer contact information.

- None.

Officer contact details for documents:

- N/A

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GENERAL PURPOSES COMMITTEE**New Terms of Reference**

Membership: Nine (9) Members of the Council (up to three (3) substitutes may be appointed for each Member)	
Functions	Delegation of Functions
<p>This Committee is responsible for a range of non-executive functions, including electoral matters, personnel issues and appeals. It also has responsibility for considering and making recommendations to Full Council on the introduction, amendment or revocation of new byelaws and can consider and make non-material changes to the Council's Constitution.</p> <ol style="list-style-type: none"> 1. To exercise powers in relation to the holding of elections and the maintenance of the electoral register including:- <ol style="list-style-type: none"> (a) the provision of assistance at European Parliamentary elections; (b) power to make submissions to the Local Government Commission in relation to the boundaries of the borough or ward boundaries; and (c) the appointment of a proper officer for the purposes of giving various notices in relation to elections and referenda (e.g. in relation to the verification number for petitions for a referendum under Local Government Act 2000). 2. Appointments of officers, Members or other persons to external bodies on behalf of the Council, where the appointment is not the responsibility of the Mayor. 3. To recommend to Council the introduction, amendment or revocation of byelaws. 4. Appointment and revocation of local authority school governors 5. To make changes to the membership and substitute membership of committees appointed by the Council and their subordinate bodies, consistent with the proportionality rules. 6. To consider and make non-material changes to the Council's Constitution upon the recommendation of the Monitoring Officer. 7. To determine major policy on the terms and conditions on which staff hold office within allocated resources. 8. To agree any negotiated settlement, in relation to a senior executive in circumstances which do not amount to a dismissal that may be proposed in accordance with the Council's Pay Policy Statement. 	<p>The Corporate Director, Law, Probity and Governance is authorised to make or amend Committee/ Sub-committee/ Panel appointments in accordance with Part 3.12.2 of this Constitution</p>

9. To determine the criteria for the appointment of the Head of Paid Service and other statutory and non-statutory chief officers and deputy chief officers and to establish Appointments Sub-Committees to consider such appointments.
10. To make recommendations to Full Council on the appointment of the Head of Paid Service.
11. To establish a Sub-Committee to consider any proposal to discipline and/or dismiss the Head of the Paid Service, the Monitoring Officer or the Chief Financial Officer in accordance with the Officer Employment Procedure Rules set out in Part 4 of this Constitution and to appoint a minimum of two (2) 'Independent Persons' to such Sub-Committee.
12. To consider and determine any appeal in respect of any function for which the Council is responsible (except where statutory arrangements exist or where the appeal function is delegated elsewhere in the Constitution) including:
 - (a) Education awards appeals;
 - (b) Appeals by governing bodies;
 - (c) Appeals by employees under human resources procedures requiring a Member level decision; and
 - (d) Appeals in respect of refusals to register premises under the Marriage Act 1994 or the attachment of any condition to an approval.
13. To establish Employee Appeals Sub-Committees and other Appeals Sub-Committees as appropriate to be convened by the Corporate Director, Law, Probity and Governance for determination of the above appeals referred to in paragraph 12 above. Such Sub-Committees to comprise a maximum of five (5) Members of the Council with a quorum of three (3) and as far as possible to reflect ethnicity and gender balance.
14. Any other functions which under the Local Authorities (Functions and Responsibilities) (England) Regulations 2000, may not be the responsibility of the Executive and which are not delegated elsewhere under this Constitution.

Quorum

Three (3) Members of the Committee

APPENDIX 2

GENERAL PURPOSES COMMITTEE 2016/2017 Municipal Year (Nine members of the Council)		
<i>Labour Group (5)</i>	<i>Independent Group (3)</i>	<i>Conservative Group (1)</i>
<p>Members:</p> <p>Councillor Danny Hassell (Chair) Councillor Khaled Uddin Councillor Denise Jones Councillor Rachael Saunders Councillor Helal Uddin</p> <p>Substitutes:-</p> <p><i>Councillor Candida Ronald</i> <i>Councillor Marc Francis</i> <i>Councillor Shiria Khatun</i> <i>Councillor Rajib Ahmed</i> <i>Councillor Andrew Cregan</i></p>	<p>Members:</p> <p>Councillor Aminur Khan Councillor Shah Alam Councillor Muhammad Ansar Mustaqim</p> <p>Substitutes:-</p>	<p>Member:</p> <p>Councillor Craig Aston</p> <p>Substitutes:-</p> <p><i>Councillor Peter Golds</i> <i>Councillor Andrew Wood</i></p>

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APPENDIX 3


SCHEDULE OF DATES 2014/15

GENERAL PURPOSES COMMITTEE

7.00pm, Wednesday 15th June 2016
7.00pm, Wednesday 14th September 2016
7.00pm, Wednesday 23rd November 2016
7.00pm, Wednesday 25th January 2017
7.00pm, Wednesday 15th March 2017

It may be necessary to convene additional meetings of the Committee should urgent business arise. Officers will keep the position under review and consult with the Chair and other Members as appropriate.

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Non-Executive Report of the: General Purposes Committee 15 June 2016	
Report of: Matthew Mannion, Committee Services Manager	Classification: Unrestricted
Establishment of Appointments Sub-Committee	

Originating Officer(s)	Antonella Burgio, Committee Services Officer
Wards affected	All Wards

Summary

The terms of reference of the New General Purposes Committee include the determination of criteria for the Appointments Sub-Committees established from time to time to consider the appointment of statutory and non statutory Chief Officers and Deputy Chief Officers.

This report recommends the establishment of the Appointments Sub-Committee for the current municipal year and the process for Chief Officer/Deputy CO appointments and proposes criteria for membership of the Sub-Committee in accordance with the Constitution and agreed procedures.

Recommendations:

The New General Purposes Committee is recommended to:

1. Agree the terms of reference for Appointments Sub-Committees for the remainder of the municipal year 2016/7 as set out at paragraph 4.1 below;
2. That the arrangements for nominating Councillors to serve on an Appointments Sub-Committee be agreed as set out at paragraph 4.2 below and the Service Head, Legal and Democratic Services be authorised to agree the dates of Appointments Sub-Committee meetings and the membership of the Sub-Committee for each appointment that is required in accordance with nominations from the Group Leaders and Mayor; and
3. That the Committee note the process for appointment to Chief Officer and Deputy Chief Officer posts as set out at paragraph 5 below.

1. REASONS FOR THE DECISIONS

- 1.1 The Constitution requires that the General Purposes Committee sets up Appointment Sub-Committees to determine senior officer appointments.

2. ALTERNATIVE OPTIONS

- 2.1 If the Appointment Sub-Committees are not set up then the Council will not be able to proceed with appointments to senior officer posts.

3. DETAILS OF REPORT

- 3.1 Under the Officer Employment Procedure Rules at Part 4.9 of the Council's Constitution, the Appointments Sub-Committee will be established on criteria approved by the Human Resources Committee comprising relevant Councillors to make appointments to Chief Officer and Deputy Chief Officer posts.
- 3.2 The Human Resources Committee has previously agreed these criteria and an appointment process designed to meet the requirements of the Constitution, to be clear and transparent for Councillors and officers, and to follow recruitment best practice resulting in a successful and fair appointments process.
- 3.3 This report sets out the process for Chief Officers and Deputy Chief Officers. The process for the appointment of a Chief Executive is agreed separately.

4. APPOINTMENTS SUB-COMMITTEE

Terms of reference

- 4.1 It is proposed that in accordance with the Council's Constitution, the Committee establish an Appointments Sub-Committee with the following terms of reference:- "To make appointments to Chief Officer and Deputy Chief Officer posts in accordance with the Council's Constitution and the agreed Recruitment and Selection Procedures."

Membership

- 4.2 Following the Mayoral and Stepney Green election in June 2015 and subsequent changes in proportionality for all Council Committees, it is proposed that the following arrangements, should apply;
- a) For a **Chief Officer** (Corporate Director level) appointment, the Appointments Sub-Committee shall comprise of **seven Councillors** as follows:-

- Four Members nominated by the Leader of the Labour Group, at least one of whom must either be the Mayor or a member of the Executive;
 - Two Councillors nominated by the Leader of the Independent Group;
 - One Councillor nominated by the Leader of the Conservative Group.
- b) For a **Deputy Chief Officer** (Service Head level) appointment, the Appointments Sub-Committee shall comprise of **five Councillors** as follows:-
- Three Members nominated by the Leader of the Labour Group, one of whom must be either the Mayor or a member of the Executive;
 - One Councillors nominated by the Leader of the Independent Group;
 - One Councillor nominate by the Leader of the Conservative Group.
- c) The Service Head Democratic Services (or his nominee) to liaise with the Mayor and Group Leaders to receive their nominations, in accordance with the above allocation of places, and to agree the date of the first Sub Committee in each Chief Officer/ Deputy CO appointment cycle.
- d) The Mayor and political groups are expected to assist in achieving a Sub-Committee whose overall composition is diverse in terms of gender and ethnicity wherever possible. In the event that the initial nominations do not produce such a Sub-Committee, the Service Head Democratic Services (or his nominee) after consultation with the Service Head Human Resources and Workforce Development will discuss with the respective group leaders and the Mayor options for amending one or more of those nominations as necessary to achieve sufficient diversity.
- e) Members can only sit on an Appointments Sub-Committee if they have received training at this Council on recruitment and selection.
- f) The quorum for the Appointments Sub-Committee shall be at least three members.

5. PROCESS FOR APPOINTMENT OF CHIEF OFFICERS AND DEPUTY CHIEF OFFICERS

- 5.1 The rules governing the appointment of Chief Officers/Deputy Chief Officers are set out in the Council's Officer Employment Procedure Rules (Part 4.9 of the Constitution), which are in turn substantially derived from statutory provisions (primarily the Local Authorities (Standing Orders) (England) Regulations 2001). In practical terms the following is an outline of the process. This may be abbreviated or some elements of the process may not be required in the case of an internal-only recruitment or interim appointment.

Advertisement and longlisting

- 5.2 The Council may use recruitment consultants to assist with senior appointments. The Service Head Human Resources and Workforce

Development will work with the recruitment consultants and the Head of Paid Service or the relevant Corporate Director to establish a timeline for the recruitment process and agree any advertisements in accordance with Council policy.

- 5.3 Following advertisement, the Service Head Human Resources and Workforce Development, the recruitment consultants and the Head of Paid Service or relevant Corporate Director will agree a long-list of candidates and details of the process to follow this may include information visits, the use of assessment tools such as in-tray and other testing. Long-listed candidates will then undergo an assessment process.

Shortlisting and interviews

- 5.4 If necessary, the Appointments Sub-Committee may then meet to consider the results of the long-list process and the recruitment consultants' and officers' recommendations; and agree a shortlist of candidates for interview.
- 5.5 The Appointments Sub-Committee will then meet again to interview the shortlisted candidates. The officers will table suggestions for questions at the start of the meeting. References for candidates will be available for consideration but will only be considered once the ASC has decided who to appoint.

Appointment

- 5.6 If the Appointments Sub-Committee agrees on a candidate suitable for the post of Chief Officer/Deputy Chief Officer, it must inform the Mayor and each member of the Executive of its 'provisional intention to make an offer' to the preferred candidate. The Mayor and Executive members then have a two day period in which they may notify any objection to the making of the appointment. If no such objection is received within that period, a firm offer will be made. Should an objection be received the Appointments Sub-Committee would be required to reconvene to consider any objection and make a determination.

Note: Sub-Committee membership throughout the appointment process

- 5.7 The Committee has previously agreed that the membership of the ASC must remain the same throughout the process for an appointment and there can be no substitutions once the process has commenced for a particular appointment. A member of the ASC who ceases his/her participation after the Sub-Committee has started to meet may not be replaced. Rather the Sub-Committee would continue with a reduced number of members, subject to remaining quorate. Equally, a member of the ASC who does not participate in a stage of the process (e.g. shortlisting) may not then take part in a subsequent stage (e.g. interviews).
- 5.8 These provisions represent good recruitment practice. However, there may be occasions when their strict application could work against other aspects of

best practice - for example by reducing the diversity of the Sub-Committee in terms of gender or ethnicity. In such exceptional circumstances the Service Head HR & WD may waive the requirement at 5.7 above in order to ensure a sufficiently diverse membership of the Sub-Committee, provided that consistency is maintained within each distinct stage of the appointment process.

6. COMMENTS OF THE CHIEF FINANCE OFFICER

- 6.1 The costs of senior officer recruitment and the associated administering of the Appointments Sub-Committee will be contained within existing budget allocations for Human Resources and Workforce Development and related functions.

7. LEGAL COMMENTS

- 7.1 Under the Council's Constitution it falls within the terms of reference of the Committee to determine criteria for the appointment of statutory and non-statutory Chief Officers and Deputy Chief Officers for Appointments Sub-Committees, which may be established from time to time to consider such appointments.
- 7.2 The Local Authorities (Standing Orders) (England) Regulations 2001 require that an Appointments Sub-Committee include at least one member of the Executive. The regulations also set out a statutory 'objection' procedure under which an appointment may only be confirmed if there is no well-founded objection to the proposed appointment by the Mayor or a member of the Executive.
- 7.3 When considering the criteria for Appointments Sub Committees, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't (the public sector equality duty). There is information in section 8 below relevant to these considerations.

8. ONE TOWER HAMLETS CONSIDERATIONS

- 8.1 The recruitment process will follow equalities best practice to ensure a diverse range of potential candidates. Members of the Appointments Sub-Committee will be trained on appointments and on equalities practices.

9. BEST VALUE (BV) IMPLICATIONS

- 11.1 Agreeing appropriate procedures for the appointment of senior officers is important in ensuring the Council recruits the best leadership team available to support the Best Value obligations.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

10.1 There are no direct implications on sustainable action for a greener environment.

11. RISK MANAGEMENT IMPLICATIONS

11.1 There is a risk that the Council will not be successful in securing the best staff and its reputation will suffer if the recruitment and selection process for senior staff does not operate smoothly and effectively. The recommendations detailed above will ensure the Council complies with the statutory requirements for the appointment of Chief Officers and Deputy Chief Officers.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

12.1 There are no direct implications on crime and disorder reduction.

Linked Reports, Appendices and Background Documents

Linked Report

- None

Appendices

- None

Local Government Act, 1972 Section 100D (As amended)

List of “Background Papers” used in the preparation of this report


List any background documents not already in the public domain including officer contact information.

- None

Officer contact details for documents:

- N/A

Agenda Item 4.3

<p>Non-Executive Report of the:</p> <p>General Purposes Committee</p> <p>15 June 2016</p>	 <p>TOWER HAMLETS</p>
<p>Report of: Matthew Mannion, Committee Services Manager</p>	<p>Classification: Unrestricted</p>
<p>Establishment of (Employee) Appeals Sub-Committee</p>	

<p>Originating Officer(s)</p>	<p>Antonella Burgio, Committee Services Officer</p>
<p>Wards affected</p>	<p>All Wards</p>

Summary

The terms of reference of the New General Purposes Committee include the determination of employees appeals against dismissal. Appeals Sub-Committees are established as required to consider these appeals.

This report recommends the establishment of the Appeals Sub-Committee for the current municipal year.

Recommendations:

The New General Purposes Committee is recommended to:

That the General Purpose Committee establish an Employee Appeals Sub Committee for the municipal year 2016/17 with the attached terms of reference (Annex A) and hearing structure.

1. REASONS FOR THE DECISIONS

- 1.1 The Constitution requires that employee appeals against dismissal be determined at Member level.

2. ALTERNATIVE OPTIONS

- 2.1 If the Sub-Committees are not set up then the Council will not be able to discharge this function .

3. DETAILS OF REPORT

- 3.1 The Council's Constitution (Part 3 - Responsibility for Functions, Section 3.3 – Council and Statutory Bodies, Paragraph 3.3.9) makes provision for the Appeals Committee to agree the criteria for the establishment of Appeals Sub Committees to discharge functions on its behalf, and sets out the required membership and quorum thereof.
- 3.2 On 18th June 2007, the Appeals Committee authorised the Assistant Chief Executive to convene an Appeals Sub Committee, in accordance with the requirements of the Constitution, to determine any appeal in respect of any function for which the Council is responsible (except where statutory arrangements exist or where the appeal function is delegated elsewhere in the Constitution.
- 3.3 For appeals by employees under human resources procedures that require a Member-level decision, the Employee Appeals Sub-Committee comprises of an ad hoc panel for each appeal dependent on availability. This panel will include in each case a Chair and two other Councillors drawn from the Committee Members and their appointed substitutes. Once appointed for a particular appeal, the membership of the Sub-Committee must remain the same throughout all stages of that appeal.
- 3.4 Members can only sit on an Appeals Sub – Committee if they have received annual training at this Council on policies and procedures relevant to the consideration and determination of the appeal which the sub – committee is charged.
- 3.3 The Terms of reference and membership arrangements for the Employee Appeals Sub-Committee are attached at Appendix A. Also attached is the Appeals hearing structure and the calendar of dates for the 2015/16 meetings of the Sub – Committee.
- 3.4 Meetings are scheduled to take place at 6.30pm in accordance with the programme of meetings for principal meetings.

6. COMMENTS OF THE CHIEF FINANCE OFFICER

- 6.1 There are no direct financial implications arising from this report. The costs of administering the Employee Appeals Sub-Committee and related training requirements will continue to be contained within existing budgets.

7. LEGAL COMMENTS

- 7.1 As the sub-committee acts in a quasi-judicial capacity it is imperative that all its proceedings are conducted strictly in accordance with the provisions of the law and the Council's Constitution in order to obviate any procedural challenge in the courts.

8. ONE TOWER HAMLETS CONSIDERATIONS

- 8.1 It is essential that in relation to appeals by employees under the authority's human resources procedures that best practice is adhered to in terms of equalities. As far as possible panels are appointed that are representative of gender and ethnic diversity; and Members must be fully equipped and trained to ensure that all relevant issues are given proper consideration.

9. BEST VALUE (BV) IMPLICATIONS

- 11.1 Agreeing appropriate procedures for the appointment of senior officers is important in ensuring the Council recruits the best leadership team available to support the Best Value obligations.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 There are no direct implications on sustainable action for a greener environment.

11. RISK MANAGEMENT IMPLICATIONS

- 11.1 The proposals seek to minimise the risk to the authority both of any possible safeguarding failure in relation to children or vulnerable adults; and of adverse Employment Tribunal findings should the process for employee appeals not be sufficiently robust.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 12.1 There are no direct implications on crime and disorder reduction.
-

Linked Reports, Appendices and Background Documents

Linked Report

- None

Appendices

- None

Local Government Act, 1972 Section 100D (As amended)

List of “Background Papers” used in the preparation of this report

List any background documents not already in the public domain including officer contact information.

- None

Officer contact details for documents:

- N/A

EMPLOYEE APPEALS SUB-COMMITTEE

Terms of reference:

1. That the General Purposes Committee establish an Employee Appeals Sub-Committee with the following terms of reference:-
 - To consider and determine appeals by employees under human resources procedures requiring a member level decision.

Membership:

2. That the membership of the Employee Appeals Sub-Committee comprise:-
 - 2.1 A panel of **three members** to be appointed by the Director of Law, Probity and Governance on an ad hoc basis for each employee appeal from a pool of all Members of the Appeals Committee or, should they be unavailable, their appointed substitutes.
 - 2.2 The first item of business at each Employee Appeals Sub-Committee shall be to appoint, from amongst the Sub-Committee Members, a Chair for the appeal hearing.
 - 2.3 The quorum for the Employee Appeals Sub-Committee shall be three Members.
 - 2.4 Members may serve on an Employee Appeals Sub-Committee panel only after they have received annual training at this Council on policies and procedures relevant to the consideration and determination of the appeal with which the Sub-Committee is charged.
 - 2.5 In the case of an appeal which gives rise to any issues relating to safeguarding of adults or children, no Member may sit on the Employee Appeals Sub-Committee to consider that appeal unless they have previously received training in safeguarding matters to the satisfaction of the Director of Law, Probity and Governance and the Corporate Director, Children Schools and Families or the Corporate Director, Adults Health and Wellbeing as appropriate.
 - 2.6 The Director of Law, Probity and Governance shall be authorised to convene meetings of the Employee Appeals Sub-Committee, established by the Appeals Committee, to discharge functions on its behalf, subject to the criteria set out in paragraphs 2.1 to 2.5 above.

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Non-Executive Report of the: General Purposes Committee 15 th June 2016	 TOWER HAMLETS
Report of: Zena Cooke, Corporate Director Resources	Classification: [Unrestricted or Exempt]
HR Committee Work Programme 2016/17	

Originating Officer(s)	Simon Kilbey – Service Head HR&WD
Wards affected	All wards

Summary

At HR Committee on 21st January 2016, a report setting out proposals for a work programme for the committee was considered and agreed and at HR Committee on 13th April 2016 a draft HR Committee Work Programme 2016-17 was agreed (Appendix 1).

On 18th May 2016, a report was considered and agreed at Council, which abolished the HR Committee and amalgamated its functions into the General Purposes Committee. This paper provides an updated Work Programme for HR Activities for 2016-17 for the General Purposes Committee as a result of the change.

Recommendations:

GP Committee is recommended to:-

Consider and agree the revised Work Programme for HR related activities for 2016-17 (Appendix 2) in light of the abolition of the HR Committee and the amalgamation of its functions into the General Purposes Committee.

1. REASONS FOR THE DECISIONS

- 1.1 The Work Programme (Appendix 1) was agreed by HR Committee but as the work of this committee has been amalgamated in to the General Purposes Committee the programme has been updated to reflect this change (Appendix 2).

2. ALTERNATIVE OPTIONS

- 2.1 The Committee could decide not to agree the updated work programme, or could make changes to it.

3. DETAILS OF REPORT

- 3.1 The functions of the HR Committee have been amalgamated into the functions of the General Purposes Committee and are as follows: -

- 1) To determine major policy on the terms and conditions on which staff hold office within allocated resources
- 2) To establish a sub committee to consider any proposal to discipline and/or dismiss the Head of Paid Service or a statutory or non statutory chief officer or deputy chief officer in accordance with the Officer Employment Procedure Rules set out in Part 4 of this Constitution
- 3) To agree any negotiated settlement, in relation to a senior executive in circumstances which do not amount to a dismissal, that may be proposed in accordance with the council's Pay Policy Statement
- 4) To establish an Appointments Sub Committee to consider the appointment of the Head of Paid Service and to make recommendations to the council on that appointment
- 5) To determine the criteria for the appointment of statutory and non statutory chief officers and deputy chief officers for the Appointments Sub Committees established from time to time to consider such appointments

- 3.2 The HR Committee was held on a quarterly basis, though sub committee meetings could also be held, as could extraordinary meetings, when needed, whereas there will be 5 meetings of the General Purposes Committee held each year.

WORK PROGRAMME FOR 2016-17

- 3.3 Meetings of the General Purposes Committee are scheduled for 15th June 2016, 14th September 2016, 23rd November 2016, 25th January 2017 and 15th March 2017.

- 3.4 It was agreed at HR Committee on 21st January 2016 that the committee will receive matters for decisions on:-

- Major policy on terms and conditions of employment
- Any proposals to discipline/dismiss a statutory or non statutory deputy chief or chief officer
- Any proposed negotiated settlements for a senior executive
- Proposals to recruit to senior management positions
- Pay Policy

- 3.5 The committee are provided reports for either information or for their view as a stakeholder. Examples include:-

Subject	What will be provided	Why provided
Workforce Strategy	The narrative version of the strategy, prior to publication	For information
Employer Circulars	Depending on timing, reports will be provided setting out the details of any government consultation	HR Committee are a stakeholder –views will be sought as to the council’s response
Designated Independent Person process for disciplinary/dismissal of statutory chief officers	A report setting out the proposed detail of the process – once national guidance and an amended JNC model procedure have been agreed	HR Committee are a stakeholder and decision maker – could have contractual implications
A review of the council’s terms and conditions	A report especially relating to terms around redundancy, following legislation that will be introduced in 2016 on the £95k redundancy cap	HR Committee are a stakeholder and decision maker – could have contractual implications

3.6 Reports relating to specific one off matters will continue to be brought as needed, where they fall under the terms of reference of the committee and by agreement of the Chair of the General Purposes Committee and the Service Head, Human Resources and Workforce Development.

3.7 A proposed Work Programme for HR activities for 2016-17 is attached at Appendix 2.

4. COMMENTS OF THE CHIEF FINANCE OFFICER

4.1 Resources required to support the programme will be funded through existing budgets. There are no additional financial implications as a result of the recommendations within this report.

5. LEGAL COMMENTS

5.1 There are no immediate legal implications arising from this report.

6. ONE TOWER HAMLETS CONSIDERATIONS

6.1 The use of a work programme will support the HR Committee to plan and prioritise its work effectively and this will in turn support the council to be an efficient and effective organisation.

7. BEST VALUE (BV) IMPLICATIONS

- 7.1 The implementation of a work programme would be a more efficient use of the HR Committee's time and enables effective forward planning to focus on a number of key areas that affect the workforce where the Committee can add value.

8. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 8.1 There are no implications.

9. RISK MANAGEMENT IMPLICATIONS

- 9.1 There are no direct risk management implications arising from this report.

10. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 10.1 There are no implications.

Linked Reports, Appendices and Background Documents

Linked Report

- NONE.

Appendices

- Appendix 1 – HR Committee Work Programme 2016-17
- Appendix 2 – Work Programme for HR Activities 2016-17

Local Government Act, 1972 Section 100D (As amended)

List of “Background Papers” used in the preparation of this report

List any background documents not already in the public domain including officer contact information.

- NONE.

Officer contact details for documents:

- Simon Kilbey, Service Head (HR/WD) 020 7364 4922

HR Committee Work Programme 2016-17

This document sets out the reports that will be provided to HR Committee throughout 2016-17. This programme may be subject to change/additions.

Report/Presentation	What provided	Why provided	Comments
HR Committee - 13 th April 2016			
HR Committee Work Programme Report	Work programme for the HR Committee for 2016-17	For agreement	
Pay Policy Update Report	Follow up report giving an update on issues related to the Pay Policy 2016-17	For information/views as stakeholders	
Workforce Strategy Report	The narrative version of the strategy prior to publication	For information as stakeholders	
Senior Management Recruitment Update Report	The latest information on senior appointments	For information as stakeholders	
Closed Recruitment in the Public Sector Report	Information following the Government's call for evidence	For information/views as stakeholders	
HR Committee – 27 th July 2016			
Organisational Change Report	The Council's approach to change	For information/views as stakeholders	



The Role and Functions of the HR Committee Presentation	Officer presentation to provide information on the role/functions of the HR Committee	For information	
Designated Independent Person Report	The role of the DIP in the discipline/dismissal of statutory officers	For agreement	This date may be subject to change as it is dependent on changes to the JNC Handbook being agreed nationally
HR Committee – 19 th October 2016			
Review of Policies and Procedures Report	Any changes to core policies that are a major change to terms and conditions	For information/views as stakeholders	This is an activity from the Workforce Strategy
Review of Council Terms and Conditions Report	Potential changes to the Council's redundancy terms, to take in to account legislative changes around a redundancy cap etc	For agreement	
Outcome of the Industrial Relations Review Report	The findings of the review and recommendations	For information	This is an activity from the Workforce Strategy



HR Committee – 19 th January 2017			
Pay Policy 2017-18 Report	A proposed pay policy for 2017-18 and further information on any proposed changes from 2016-17	For agreement	
Review Use of Recruitment and Retention Payments Report	Specifically for hard to reach posts	For views/decision as stakeholders	This is an activity from the Workforce Strategy
HR Committee – 20 th April 2017			

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Work Programme for HR Activities 2016-17

This document sets out the HR related reports that will be provided to the General Purposes Committee throughout 2016-17. This programme may be subject to change/additions.

Report/Presentation	What provided	Why provided	Comments
General Purposes Committee – 15 th June 2016			
Work Programme Report	Work programme for HR Activities for the Committee for 2016-17	For agreement	
Senior Management Recruitment Update Report	The latest information on senior appointments	For information as stakeholders	
Organisational Change Report	The Council's approach to change	For information/views as stakeholders	
General Purposes Committee – 14 th September 2016			
Designated Independent Person Report	The role of the DIP in the discipline/dismissal of statutory officers	For agreement	This date may be subject to change as it is dependent on changes to the JNC Handbook being agreed nationally
General Purposes Committee – 23 rd November 2016			
Review of Policies and Procedures Report	Any changes to core policies that are a major change to terms and conditions	For information/views as stakeholders	This is an activity from the Workforce Strategy



Review of Council Terms and Conditions Report	Potential changes to the Council's redundancy terms, to take in to account legislative changes around a redundancy cap etc	For agreement	
Outcome of the Industrial Relations Review Report	The findings of the review and recommendations	For information	This is an activity from the Workforce Strategy
General Purposes Committee – 25 th January 2017			
Pay Policy 2017-18 Report	A proposed pay policy for 2017-18 and further information on any proposed changes from 2016-17	For agreement	
Review Use of Recruitment and Retention Payments Report	Specifically for hard to reach posts	For views/decision as stakeholders	This is an activity from the Workforce Strategy
General Purposes Committee – 15 th March 2017			

Non-Executive Report of the: General Purposes Committee 15th June 2016	
Report of: Simon Kilbey - Service Head, Human Resources and Workforce Development	Classification: Unrestricted
Senior Management Update / Recruitment to Vacancies	

Originating Officer(s)	Simon Kilbey, Service Head, Human Resources and Workforce Development
Wards affected	All

Summary

This report provides members with updated information on current senior management vacancies. Having ensured the stability of the management structure through both permanent and interim positions, action is now being progressed to ensure that permanent appointments are concluded as soon as possible where there are currently interim engagements. This report sets out the actions underway and the recruitment timetables for this process.

The report also provides further information on the Chief Executive performance appraisal arrangements and update regarding the model disciplinary process applicable to statutory officers which is being considered by the Joint National Council for Chief Executives and Chief Officers.

Recommendations:

The GP Committee is recommended to:

1. Note the progress on recruitment to senior management vacancies in the posts of: Corporate Director of Children’s Services, Director of Adults’ Services; Service Head – Public Realm; Service Head – Finance and Procurement; Service Head - Education and Partnerships; Service Head - Communications and Marketing; Service Head - Legal and Democratic Services; and Service Head - Corporate Strategy and Equality. Recruitment to the Service Head - Commissioning and Health will begin shortly.

2. Note the position in relation to continuation/termination of the current interim arrangements for covering Senior Management vacancies.
3. Note that the performance appraisal (Appendix A) of the Chief Executive has taken place and agreed objectives/targets for the Chief Executive for 2016 /17 (Appendix B) have been set.

1. REASONS FOR THE DECISIONS

- 1.1 The appointment to permanent positions provides long term stability and enhances the ability to lead and deliver the Council's medium term priorities. The majority of the senior management vacancies have now been filled with permanent appointees due to commence in the very near future. In the meantime, it is important to maintain the interim arrangements in order to avoid any disruption to work in progress.

2. ALTERNATIVE OPTIONS

- 2.1 As stated above a number of the recruitment exercises have now been completed and resulted in permanent appointments. Interim arrangements are in place for others and there is the option to continue with these arrangements. However, it is important to ensure that there stability at the most senior level of the organisation to support the Mayor and Chief Executive in the continued delivery of services to the community.

3. DETAILS OF REPORT

Background

- 3.1 At its last meeting the HR Committee received information on the outcome of recruitment exercises for the Corporate Director of Children's Services, Director of Adults' Services, Service Head - Public Realm, and Service Head - Finance and Procurement (previously designated Service Head - Finance, Risk and Accountability).
- 3.2 The Committee were also provided with an update on the progress of recruiting to the Service Head - Commissioning and Health, Service Head - Learning and Achievement (now re-designated Service Head - Education and Partnerships, Service Head - Legal and Democratic Services and Service Head - Corporate Strategy and Equality.
- 3.3 As previously reported to the HR Committee following the appointment of the Chief Executive, a formalised set of arrangements were developed regarding performance appraisal and assessment of the Chief Executive (Appendix A). These arrangements will provide transparency, ensuring that consideration of the requirements of the Mayor and Council are translated into clear and accurate performance objectives/targets. To this end

the newly agreed objectives/targets for the Chief Executive for 2016/17 (Appendix B) are referred to later in the report.

Corporate Director of Children's Services and Director of Adults' Services

- 3.4 Both Debbie Jones, Corporate Director of Children's Services and Denise Radley, Director of Adults' Services, have now taken office. Luke Adams-Fallon has returned to his substantive post of Service Head - Adults Social Care.

Service Head - Public Realm

- 3.5 Roy Ormsby, former Head of Street Scene and Communities in Brentwood Borough Council, took up his appointment as the post of Service Head - Public Realm on 2nd May.

Service Head - Finance and Procurement

- 3.6 Neville Murton, former Deputy S151 Officer at Haringey Council, took up his appointment as Service Head - Finance and Procurement on 2nd May.

Service Head - Education and Partnerships (previously designated Service Head - Learning and Achievement)

- 3.7 The post was advertised on 7th March and closed on 15th April. There were 8 applications received, of which 5 were invited to technical assessments. Following this, a shortlist was recommended to the ASC. 3 candidates were invited to a stakeholder event and then a final interview with members. A conditional offer to a candidate has been made and they are expected to start on 1st September.

Service Head - Commissioning and Health

- 3.8 The post is being covered on an interim basis. As previously reported, Penna have been engaged to assist the Council with the recruitment process but this was deferred pending the start of the Director of Adults' Services. The post will now be reviewed following the Joint Commissioning Review with the CCG, which is currently being undertaken. Interim arrangements are in place to cover the duties of the post and it is proposed that these should continue for the time being.

Service Head - Communications and Marketing

- 3.9 The closing date for applications was Monday 15th February and at that stage 49 applications were received. These candidates were graded by the recruitment agency Green Park, who have been leading on this matter on behalf of the Council. Following the long list meeting, it was agreed that 10 candidates would be taken forward to preliminary (technical) interview and in-

tray assessment. Following this, 5 candidates were shortlisted for final interview. One candidate withdrew and four candidates were interviewed. The ASC interviewed the candidates and one is expected to commence employment with the Council on 25th July.

Service Head - Legal and Democratic Services

- 3.10 This post was advertised on 10th March via a microsite and a specific legal website. The post closed on 15th April and there were 22 applicants. These candidates were graded by the recruitment agency Green Park, 8 candidates were long listed and invited to technical assessments. The process is on-going and a verbal update will be given on 15th June 2016.

Service Head - Corporate Strategy and Equality

- 3.11 The recruitment campaign began on 10th March and closed on 6th May. Following this, there were 38 applicants. These candidates were graded by Green Park and following this, 6 candidates were long listed and invited to technical assessments. The process is on-going and a verbal update will be given on 15th June 2016.

Chief Executive Performance Appraisal Arrangements

- 3.12 The formalised arrangements for the appraisal of the Chief Executive have been implemented with the appraisal taking place on 13th May 2016. The process was carried out in accordance with the Performance Management Process for the Chief Executive attached at Appendix A. Unfortunately, Cllr Rahman - Group Leader (Independent) was unable to attend the appraisal meeting. However, all parties have since agreed on the outcomes of the appraisal. Attached at Appendix B are the agreed objectives/targets for the Chief Executive for 2016 /17. The appraisal process was assisted by Dr John Nicholson (of Nicholson McBride) who, following a procurement exercise, was engaged to provide independent external advice and facilitation. Nicholson McBride are experienced in this field, working with a number of other Councils, including London boroughs.

4. Designated Independent Person (DIP) Update

- 4.1 A report was considered by Council on 22nd July 2015 to change the constitution to reflect the statutory changes to the Designated Independent Person (DIP) process applicable to the dismissal of statutory officers, i.e. the Head of Paid Service; Monitoring Officer; and Chief Financial Officer.
- 4.2 It set out details of the statutory change and the fact that further guidance was awaited before implementing a new disciplinary process as there were a number of outstanding issues/questions, which included: training for Independent Persons; the investigation process; an appeals process; and whether only Independent Persons are to sit on the Panel.

- 4.3 Council agreed that a further report should be considered by the Human Resources Committee (now General Purposes Committee) that deals with the detail of the process and makes proposals on the outstanding issues identified in the July 2015 report. The proposal is to use the updated model disciplinary process set out in the JNC Handbooks for Chief Executive and Chief Officers once amended nationally and work is still being undertaken to amend those Handbooks, though clarification has recently been received with regards to the makeup of the new panel.
- 4.4 In a letter from the JNC for Chief Executives of Local Authorities on 5th May 2016, guidance was received on one of the outstanding issues. It clarified that the Panel can comprise only independent persons provided that is what the authority resolves. In the national model process the Independent Panel shall comprise only independent persons (at least 2) appointed under S28(7) of the Localism Act 2011 – in other words, no elected members should sit on the Panel.
- 4.5 It is still proposed to wait and follow the updated national model disciplinary process for Statutory Officers when an amended national process is agreed. The JNC for Chief Executives of Local Authorities have recently issued a circular saying that the hope to issue a revised handbook in the coming weeks , which will cover this matter. A report will then be brought to the General Purposes Committee setting out the process and addressing the outstanding issues/questions identified in the July 2015 report.

5. COMMENTS OF THE CHIEF FINANCE OFFICER

- 5.1 This report provides GP Committee with an update on the status of current senior management vacancies within the Council and asks the Committee to note progress made to date in recruiting to these posts.
- 5.2 The posts referred to within this report and the recruitment costs associated with trying to fill the posts are funded through existing budgets. Any additional costs associated with the appraisal process detailed in section 3.12 above will also be met through existing budgets.

6. LEGAL COMMENTS

- 6.1 The Council is required to appoint such officers as it thinks necessary for the proper discharge of its functions (Local Government Act 1972, section 112). All such appointments should be on merit, as required by section 7 of the Local Government and Housing Act 1989.
- 6.2 The report details the progress of recruitment for Director of Adults' Services, Corporate Director Children's Services, Service Head Finance and Procurement, Service Head Public Realm, Service Head Legal and Democratic Services, Service Head Communications and Marketing, Service Head Education and Partnerships, Service Head Commissioning and Health and Service Head Corporate Strategy and Equality

- 6.3 The appointments are governed by the Officer Employment Procedure Rules in Part 4.9 of the Council's Constitution.
- 6.4 The functions of the GP Committee include determining the criteria for the appointment of statutory and non-statutory chief officers and deputy chief officers for the Appointments Sub-Committees established from time to time to consider such appointments. In the circumstances it is reasonable for the Committee to be informed of the progress of the recruitment process undertaken so far and to approve the continuance of the interim arrangements already in place if it is so minded. In respect of the interim arrangements in Children's and Adult Services, the committee should note that there is a need for the Council to fulfil its statutory functions in respect of education and social care and therefore have in post (albeit on an interim basis at present) officers designated to carry out the statutory chief officer roles until permanent appointments can be made.
- 6.5 The Officer Employment Procedure Rules provide that the procedure for appointing chief officers and deputy chief officers shall only apply to the appointment of the Director within the Law, Probity and Governance Directorate. Although the Constitution delegates recruitment to officers for the Service Head posts within this directorate, it has been decided that on this occasion members should appoint to all senior management positions for continuity.
- 6.6 When carrying out its functions as an employer and as a public authority, the Council must not discriminate or otherwise engage in unlawful behaviour contrary to the Equality Act 2010. The Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't (the public sector equality duty). Ensuring that any selection process is fair and subject to equal opportunity is part of complying with the Council's equality obligations. An appropriate level of advertising for any vacancy should help to achieve this. Officers should ensure that the Council complies with its own policies and procedures in relation to any recruitment process.

7. ONE TOWER HAMLETS CONSIDERATIONS

- 7.1 The Council's commitment to equalities includes an undertaking to achieve a Workforce to Reflect the Community at all levels in the organisation and such considerations will be part of the recruitment process and informed the procurement process. All posts are recruited to on merit. Internal arrangements provide for succession planning and career development.

8. BEST VALUE (BV) IMPLICATIONS

- 8.1 Recruitment to Senior Management vacancies provides stability to the organisation and assists in continuity which contributes to efficiency and effectiveness. In addition, permanent staffing arrangements can be more cost

effective than some interim arrangements, especially where these have to be secured through a third party arrangement such as interim supply agencies.

9. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

9.1 There are no implications.

10. RISK MANAGEMENT IMPLICATIONS

10.1 The arrangements proposed in this report will reduce the risks associated with temporary staffing.

11. CRIME AND DISORDER REDUCTION IMPLICATIONS

11.1 There are no implications.

Linked Reports, Appendices and Background Documents

Linked Report – This is a regular update report to the HR Committee

Appendices

- A Chief Executive Performance Appraisal Process**
- B Chief Executive Objectives/Targets for 2016/17**

Local Government Act, 1972 Section 100D (As amended)

List of “Background Papers” used in the preparation of this report

- NONE

Officer contact details for documents:

- N/A

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Chief Executive Performance Appraisal Process Appendix A

Introduction

The aims and objectives for the post of Chief Executive are set out in the job description and via the Mayor and Group Leaders as part of the recruitment process. These aims and objectives are the basis for the ongoing performance management of the Chief Executive.

Annual Performance Appraisal¹

Introduction

The JNC Chief Executive Conditions of Service include Joint Guidance on Appraisal of the Chief Executive and this process is based on that guidance.

Scope

This process applies to the Chief Executive only.

The Appraisal Cycle²

Appraisals should take place on a predetermined date (normally in April), at least annually backed up by monitoring meetings on a regular basis at which targets can be reviewed for continuing relevance.

In addition to the annual review, there will be a 6 month review meeting to consider performance against objectives and targets.

A formal system of appraisal should not prevent the continuous review of progress and performance.

Responsibility for Appraisal³

The responsibility for appraising the Chief Executive sits with senior elected members. It is a contractual obligation on the part of both the Chief Executive and the Council to engage in a regular process of appraisal.

The appraisal will be conducted by the Mayor and Group Leaders, with the Chair of the HR Committee also attending. The Mayor will be the Chair of the group, who will form a collective view.

Those conducting the appraisal should bear in mind at all times that the Chief Executive is employed by the Council as a whole, not the controlling group/Mayor, and is therefore required to serve all of the Council.

¹ Council's Performance Development Review Scheme/JNC Conditions

² Best Practice/JNC Conditions

³ JNC Conditions

Members carrying out the appraisal should draw on information from their group and feed back to them, so that they draw on and inform the wider views of Members.

In advance of the performance appraisal, the parties that will form the appraisal panel will have a chance to submit any proposed amended/additional aims and objectives for the Chief Executive to be considered as part of the performance appraisal.

Aims of the Appraisal⁴

The Chief Executive's position in the Council is unique. In one sense their objective is to deliver the corporate priorities set by members. However, it is important that personal objectives are also set for the Chief Executive.

The aims of the appraisal are: -

1. To identify and clarify the key objectives, priorities and targets of the Council and appropriate timescales for their achievement over the next 12 months
2. Agree what the Chief Executive should personally achieve over the next 12 months and identify required standards of performance, in order to deliver the Council's key objectives, priorities and targets. Wherever possible standards of performance should be expressed in ways which can be monitored objectively
3. Discuss positive achievements over the past 12 months and identify reasons for good performance
4. Discuss instances over the past 12 months where targets have not been met, identifying the factors preventing the achievement of agreed goals
5. Discuss developmental requirements. The Chief Executive will have strengths and weaknesses and the parties should identify the professional development necessary to equip the Chief Executive with the requisite skills to meet the Council's objectives. The parties should be proactive and anticipate future developmental needs in the context of the Council's changing priorities. This discussion could lead to the design of a formal programme of continuous professional development (CPD). Equally this discussion may lead to agreement on changes to the working relationship between leading members and the Chief Executive. It should not be assumed that it is only the Chief Executive who may need to adjust his/her approach to the working relationship

Appraisals should be set in the context of the Council's objectives, priorities and targets, generally expressed in the Community and Corporate plans. Appraisal targets when taken as a whole should be related to agreed targets for the Council as a whole.

⁴ JNC Conditions

Key Elements of the Appraisal Process⁵

1. Continuous two-way monitoring of performance against objectives
2. Preparation for an appraisal interview
3. An appraisal interview where recent and current performance, future objectives and development needs are discussed
4. Agreement should be reached on action required from either party to ensure required performance is achievable
5. The process of informal discussion regarding performance should continue

Conducting the Appraisal⁶

1. Both parties should be well informed and prepared for the interview
2. The process should be two-way
3. The interview should be free from interruptions and notes should be taken when necessary
4. The parties should concentrate as far as possible on established facts rather than unsubstantiated opinions
5. Targets which are realistic and capable of being monitored should be agreed
6. Any agreed development plans should be implemented within the agreed timescale
7. The Chief Executive should be given a reasonable opportunity to correct any shortfalls in performance
8. A date for the next review should be agreed

Preparation for the Appraisal⁷

In advance of the review the Chief Executive should review their job description and any previous objectives; and against the framework set out below, prepare a written response or presentation (to last no longer than 45 minutes) which sets out their performance against each criteria.

Members carrying out the appraisal should, in preparation for the appraisal, draw on information from their group, so that they draw on and are informed by the wider views of Members.

Performance Framework⁸

The appraisal should consider the performance of the Chief Executive in relation to the following.

Community Plan themes

Strategic Plan

⁵ JNC Conditions

⁶ JNC Conditions

⁷ Research

⁸ Research/Best Practice

- One Tower Hamlets
- Mayoral Priorities

When considering performance against the above criteria, the following should be considered: -

- Have relevant objectives been met? Were they realistic?
- What went well?
- What didn't go so well/could be improved upon?
- Any other feedback points

Consideration should also be given to the Chief Executive's leadership skills in relation to: -

- Organisational capacity for excellent performance
- Partnership working across local partnerships
- Civic engagement
- Personal, i.e. leading by example

Future objectives should be agreed and a personal development plan (PDP) should be agreed.

Appraisal Outcome⁹

The awarding of increments within the Chief Executive pay scale is dependent on a successful performance appraisal.

Following the appraisal, the Mayor and Group Leaders, with the Chair of the HR Committee will assess the Chief Executive's performance against the defined performance measures.

Where targets have not been achieved, consideration needs to be given to the reason for what may appear to be lack of success. This includes consideration of the circumstances of the past year and forming a judgement as to overall performance. Measuring achievement of core leadership skills must be an integral part of this decision.

Where overall performance has fallen short of that which might normally be expected at this level, specific shortcomings and evidence of missed agreed targets should be identified. This will result in no incremental progression.

Where overall performance has been consistent with that which might normally be expected at this level, generally all targets have been met and core leadership skills demonstrated then this will result in progression of one increment.

Where exceptional performance can be demonstrated both in terms of corporate contribution and achievement of specific responsibilities of the post

⁹ Research/Best Practice/Current Practice

two increments can be awarded. The award of 2 increments will be exceptional.

Progression Arrangements¹⁰

Increments apply from 1st April, although the PDR process may not be completed until June. Retrospective payment may therefore apply.

The Service Head, Human Resources and Workforce Development, will confirm outcomes in writing and arrange changes to pay accordingly.

Acceptable Range¹¹

When deciding whether objectives/targets have been met, consideration should be given to whether they remained realistic through the year and to what the acceptable range is for successful performance. For example, if a target is to build 5000 affordable homes in the borough, it might be considered that an acceptable range for successful performance is within 10% of the target.

External Assistance¹²

External assistance in facilitating the appraisal process will be sought.

External assistance may take the form of an external organisation directly participating in the process for which a fee may be requested to cover staff time or the recommendation of, for example, a suitably experience recently retired senior officer or other independent individual.

The external assistance must have the agreement of both sides and selection of who should provide the external assistance will be made by the Mayor with the Chief Executive.

Disputes¹³

Any disputes, in terms of the objectives proposed or the assessment of performance can be referred to an appropriate external organisation (i.e. the Local Government Association).

Other Matters¹⁴

The content of appraisal interviews should be treated as confidential to the participants. However, it should be reported to the Council's HR Committee that an appraisal interview has taken place [and that increments have been awarded].

¹⁰ Current Practice

¹¹ Research/Best Practice

¹² JNC Conditions

¹³ Best Practice

¹⁴ JNC Conditions

The agreed aims and objectives of the Chief Executive should be circulated as appropriate to Council and Elected Members.

The Chief Executive's aims and objectives should cascade down the organisation to inform the aims and objectives of Corporate Directors, Service Heads and so on.

This may be useful in acting as a reminder that the Chief Executive and Members need to ensure that chief officers are in turn appraised.

It should, however, be noted that the process for appraising the Chief Executive is different to the process to be used for other staff. There is a fundamental difference between elected members appraising the Chief Executive and managers appraising subordinates. The principles, nevertheless, are the same.

Best Practice

The footnotes referencing best practice are based on benchmarking of Chief Executive performance appraisal processes of a number of other local authorities, both inside (e.g. Southwark, Lewisham) and outside (e.g. Brighton, Bedfordshire) London.

Chief Executive Performance Appraisal – APPENDIX B

Objectives/targets for 2016-17

Developing Democracy			
	Objective	2016-17 Targets	Evidence
1	In partnership with the Mayor and Council, deliver a healthy local democracy, well prepared to take back responsibilities and accountabilities so that Commissioners, if so minded can recommend to the Secretary of State that the directions regime be ended	<ul style="list-style-type: none"> Continue to develop the Best Value plan – May 2016 onwards Deliver the milestones against the Best Value plan – May 2016 onwards Progressive withdrawal of directions Successful conduct of IER and GLA/Mayoral elections and EU referendum – May/June 2016 	<p>Plan monitoring</p> <p>Milestones successfully achieved – plan monitoring</p> <p>Steady Progress with implementing outstanding Best Value Action Plan actions, with clarity where these are not met</p> <p>Numbers and public/members/ staff feedback</p>

Culture Change			
	Objective	2016-17 Targets	Evidence
1	Implement a process of cultural change within the Council, which leads to a clear understanding of, and mutual respect for, respective political and officer roles and a default position of transparency,	<ul style="list-style-type: none"> A corporate officer team which gives timely, accurate and unbiased professional advice without fear and effectively delivers – November 2016 Effective CMT in place and 	<p>Member/staff feedback</p> <p>CE assessment IIP (Gold assessment) - April 2017</p> <p>Member/staff</p>

	openness and trust	<p>effective managerial leadership of all staff, including CMT – May 2016</p> <ul style="list-style-type: none"> • Development and delivery of the cultural change theme of the Best Value plan – May 2016 onwards • Ensure the Governance Working Group progress their objectives – May 2016 onwards • Develop the organisational transformation programme – September 2016 	<p>feedback CE assessment as HOPS Staff Conference April 2016</p> <p>Plan monitoring</p> <p>Monitoring</p> <p>Plan acceptance by Mayor and monitoring against milestones</p>
2	Develop a strong and outward looking culture, underpinned by excellent services, which presents a strong and persuasive image to partners within and beyond Tower Hamlets, and which helps to change the way we see ourselves and are viewed by others	<ul style="list-style-type: none"> • Represent the borough in senior forums, platforms and positions, modelling a strong image and positively influencing the impression of the borough – November 2016 • Communications review undertaken and implemented – October 2016 • Performance data and residents survey results positive – May 2016 • Publicise awards achieved and provide shared learning opportunities 	<p>Opportunities generated, Staff, partner, third party and member feedback Strategic Partnership meeting regularly</p> <p>Review implemented Percentage of responses positive</p>

Vision and Workforce			
	Objective	2016-17 Targets	Evidence
1	Facilitate a coherent vision for the authority 5-10 years hence, which drives the determination of an accommodation and service delivery strategy, implemented to time and budget and which drives organisational change	<ul style="list-style-type: none"> Develop and introduce new vision and values, including through the refreshed Strategic Plan – October 2016 Progress plans for the new civic offices and town hall – throughout year Budget developed and delivered – by end March 2017 	<p>Plan monitoring, Mayor and Member buy in</p> <p>Civic offices plan milestones achieved</p> <p>Sustainability demonstrated by service plans</p>
2	As Head of Paid Service ensure that the organisational structure and staffing compliment are fit for purpose to achieve the Council's strategic aims and to lead a motivated and productive workforce	<ul style="list-style-type: none"> Investors in People progressed – ready for assessment in 2017 Structural changes achieved to ensure alignment with budget, vision and workforce strategy Modernised working practices as part of service reviews, workforce strategy and transformation programme 	<p>liP Gold achieved (April 2017)</p> <p>Workforce Strategy Milestones</p> <p>Service Review Programme</p>

Community and Internal/External Relationships			
	Objective	2016-17 Targets	Evidence
1	The establishment of effective strategic partnerships, both local and wider, which engage all sections of the community in working towards a better future for all who live, work and learn in the borough, which is inclusive, cohesive and champions equality	<ul style="list-style-type: none"> Review partnership arrangements, approach to engagement and Community and Voluntary strategy – December 2016 Introduce a replacement for East End Life – August 2016 Draw up a Tower Hamlets narrative to support the vision and values – September 	<p>Reviews conducted. Partner, community and member feedback/survey results</p> <p>Replacement introduced</p> <p>Agreement gained, Narrative</p>

		<p>2016</p> <ul style="list-style-type: none"> • Devolution progressed positively – November 2016 • Effective relationships developed locally, regionally and nationally – August 2016 • Digital Strategy developed and embedded to engage the whole community 	<p>drafted and issued</p> <p>Stakeholder Feedback</p> <p>Feedback from partners</p> <p>Digital strategy introduced. Feedback</p>
2	<p>Maximise our ability to deal with budget and service pressures, local population growth, problems of exclusion and demographic change, and the opportunities for local people</p>	<ul style="list-style-type: none"> • Intelligence base established to sustain the narrative – September 2016 	<p>Feedback shows narrative understood by partners</p> <p>Sustainability demonstrated by service plans and budget</p>

By virtue of paragraph(s) 1, 2, 3, 4, 5 of Part 1 of Schedule 12A of the Local Government Act 1972.

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