

## Guidance for election as an Alderman and Guidance on Progression to the Offices of Sheriff and Lord Mayor

This document aims to provide practical guidance to those considering standing for election as an Alderman\* of the City of London, as well as guidance for those elected on the steps involved in progressing to the role of both Sheriff and Lord Mayor.

### **The role of an Alderman**

The role of an Alderman in the City of London is one of the oldest elected roles in the UK. Each of the twenty-five Wards in the City elects one Alderman for a term of up to six years, although you can seek re-election up to the age of 70. The 25 Aldermen form the Court of Aldermen<sup>1</sup>, one of the three governing Courts of the City of London. While the precise nature of the Office continues to evolve, its aims remain consistent, that is to encourage trade, champion standards, build skills in the workforce and promote the City as an attractive place to live and do business.

An Alderman will also sit on the Court of Common Council<sup>2</sup> which is responsible for the overall policies and resources of the City of London Corporation, and sets the Corporation's multi-year strategy and plans. Part of the role of an Alderman is to champion one or more elements of the Corporation's strategy and participate on one or more operating committees.

A more detailed job description of the role and the duties undertaken can be found at **Appendix 1**.

### **The Court of Aldermen**

One of the responsibilities of the Court is to elect the Lord Mayor each year. Only a serving Alderman, who has served in the Office of Sheriff, is eligible for election. Consequently, each year, around May, the Court nominate one Alderman, occasionally two, as a candidate(s) for the following years election by the Livery for one of the Sheriffs of the City of London.

At the same time, the Court vote to nominate an Alderman as their preferred candidate for Lord Mayor, also for the following year. The names of those Aldermen who have been Sheriff, but not yet Lord Mayor, are eligible to be put to a vote by the Livery in Common Hall<sup>3</sup> in late September each year. At that election, the Livery return two names of those eligible to the Court of Aldermen, who then carry out a final vote to elect the Lord Mayor.

\*Alderman/Alderwoman

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<sup>1</sup> <https://www.cityoflondon.gov.uk/about-the-city/how-we-make-decisions/Pages/default.aspx>

<sup>2</sup> <http://democracy.cityoflondon.gov.uk/mgCommitteeDetails.aspx?ID=223>

<sup>3</sup> <https://www.cityoflondon.gov.uk/about-the-city/voting-elections/Pages/common-hall.aspx>

## **Attracting candidates**

Given the significance of the City of London to the UK economy, it is essential to attract candidates of the highest calibre to become Aldermen, ideally from sectors that represent the City of London's economy and interests. It is also important that the Court of Aldermen reflects the City's diverse demographics.<sup>4</sup> Given the profile and demanding nature of the role of Lord Mayor, if you are considering standing for election, you should also consider your interest in progressing to the role of Sheriff and Lord Mayor. You should consider the significant time commitments that this is likely to entail, along with your skillset and professional track record. It should also be recognised that this is a competitive process and approximately only half of those elected as Aldermen are likely go on to become Lord Mayor given the size of the Court and the average tenure.

## **Equal Opportunities**

The City of London Corporation's vision is to build and support strong, sustainable and cohesive communities by ensuring its policies, processes and employment practices, promote equality of opportunity and are inclusive. Its services are monitored and reviewed on an on-going basis to ensure they are provided in a fair and equitable way, and to ensure compliance with the Equality Act 2010 and the Public Sector Equality Duty which places obligations on the authority to eliminate discrimination, advance equality of opportunity between different groups, and foster good relations between groups in the City's communities to tackle prejudice and promote understanding.

The City of London Corporation is required to demonstrate that it has shown 'due regard' to this duty in its decision-making processes and all those serving on the Court of Aldermen or involved in the Aldermanic Appraisal process should therefore be aware of the Equality Act 2010 and the Public Sector Equality Duty.

In order to embed the City's obligations within the Public Sector Equality Duty, guidance and training is available. A suite of on-line training is accessible and includes: Equality in the Workplace, Transgender Awareness, Equality Act 2010 and Unconscious Bias.

The City Corporation's Equal Opportunities Statement is set out in Appendix 6.

## **Before your election as an Alderman**

When considering standing for the role, consultation with those currently involved can be very helpful. Meeting the following people may be useful in deciding whether you wish to stand for election, in which Ward and when you may wish to stand:

- The senior Alderman and/or the Chair of the Nominations Committee of the Court of Aldermen<sup>5</sup>, who presides over the nominations process for Sheriff and Lord Mayor.
- The members of Common Council in the Ward being considered.

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<sup>4</sup> The City Corporation Members' Diversity Charter, which is signed up to by the City Corporation's elected Members on a voluntary basis, demonstrates the importance of attracting a diverse pool of talent to engage with the City Corporation at different levels to create a City that flourishes: <https://www.cityoflondon.gov.uk/about-the-city/how-we-make-decisions/Pages/corporate-governance.aspx>

<sup>5</sup> Formerly, prior to 09/02/21, the Privileges Committee (of the Court of Aldermen)

- A senior officer from the City of London's Town Clerks department.

### **After your election as an Alderman**

Following your election, you will be formally introduced to the Court of Aldermen at the first meeting following your election date.

You should then seek to meet with the Chair of General Purposes of the Court to discuss how best your talents and experience in the City may be best leveraged by both the Court and the City of London Corporation more broadly. For example, you may have had extensive overseas experience in specific countries, or you may have an in-depth knowledge of a sector which the City of London wishes to promote. Your skill set and track record will be invaluable when it comes to identifying who can assist in hosting business and overseas delegations, organising promotional events and supporting and shaping the future strategy of the City of London.

The City of London Corporation maintains a multi-year strategy which you should familiarise yourself with as this provides the context for the organisation's strategic and policy priorities. You will be allocated each year to one or more of the Corporation's committees and be expected to contribute as well as gain a more detailed understanding of the workings of the Corporation.

Within your first year, you should also meet with the Chair of Nominations of the Court of Aldermen. The purpose of this meeting is to discuss your interest in seeking to progress to the Office of Lord Mayor. The Chair of Nominations will outline the appraisal process and the criteria used in the evaluation to determine who is suitable to be considered. Where there are several new Aldermen in one year, this meeting may be held for all together, although more personal consultations may follow, to enable each to reflect on their own business and personal circumstances. Following your election, you will also develop working relationships with members of the Court of Common Council through appointments to some of the City Corporation's many, and interesting, decision-making committees and sub-committees. Serving alongside the Common Councillors and contributing to policy development and service delivery is important as this allows Aldermen to learn about the complexities of the organisation, whilst also building important relationships across the two Courts (Court of Aldermen and Court of Common Council). At an early stage, you should also meet with the Chair of the Policy & Resources Committee (CPR).<sup>6</sup>

As and when you consider putting yourself forward for formal appraisal, it may be beneficial to take a sounding from one or more previous Lord Mayors. Consultation with the Chair of the Policy Resources Committee (CPR) is also useful at this stage so you can start to contemplate what elements of the Corporation's strategy you are aligned with and may seek to champion if you are successful in being nominated as Sheriff and ultimately Lord Mayor.

It is important to state that you do not have to have a spouse/partner/consort as part of the Civic Team in order to progress to the Offices of Sheriff and Lord Mayor. However, during the Mayoralty, a number of practical issues may arise that a spouse/partner/consort may be able to assist with.

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<sup>6</sup> <https://www.cityoflondon.gov.uk/about-the-city/about-us/Pages/policy-and-resources-committee-chairman.aspx>

## The Aldermanic appraisal process – applying for the Office of Sheriff and Lord Mayor

The Aldermanic appraisal process is how you apply for, and are assessed for, election to Office as Sheriff and Lord Mayor. The appraisal process is overseen by the Court of Aldermen’s Nominations Committee which is chaired by an Alderman who has been Lord Mayor. It is the Nominations Committee that is the decision-making committee in determining which Aldermen they nominate for each Office, each year. The appraisal process is divided up into several elements with the aim of assessing your suitability.

In outline the process is as follows:

Confirmation of intent to be appraised for Offices of Sheriff or Lord Mayor	February	Notice to be sent to the Town Clerk’s Department by a specified deadline following the February meeting of the General Purposes Committee of Aldermen
Submission of candidacy for (1) the Office of Sheriff or (2) the Office of Lord Mayor	February/March	Self-nomination by deadline set by the Nominations Committee each year
References	March/April	References taken by an Independent firm appointed by the Nominations Committee each December for the following year
Shrieval and Mayoral Interview Panel convenes	April	The Shrieval and Mayoral Interview Panel interviews candidates and reports on suitability to the Nominations Committee
Nominations Committee (Suitability and sequence)	Early-mid May	The Committee meets to assess candidacy papers, references, and the Interview Panel’s appraisal to agree suitability of candidates for Office and the sequence for those approved for progression

<p>Common Hall – Election of candidates for Office</p> <p>Sheriff/s Lord Mayor</p>	<p>June each year September each year</p>	<p>The Liverymen of the City of London Livery Companies elect the Sheriffs from those in nomination.</p> <p>The Liverymen nominate two Aldermen for election as Lord Mayor, with the final decision of election resting with the Court of Aldermen</p>
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Further guidance on each stage of the process is set out below.

### Guidelines for Applications

If you wish to apply for the Shrievalty, it is important to recognise that this application is the start of the path to move towards becoming Lord Mayor and your application will be treated on that basis. The skills required for both Sheriff and Lord Mayor must demonstrate three things: -

- An impressive track record of achievement and recognition as an outstanding performer in your field.
- A breadth of relationships across varied sectors and geographies and a proven ability to build effective networks.
- The personal qualities that enable you to be a highly credible and strong ambassador for the City and the UK.

There are three stages to the overall process for progression to the Shrievalty and Mayoralty:-

- Submission of application papers and an interview by the Shrieval and Mayoral Interview Panel
- Submission of application papers, a written assessment of each candidate from the Interview Panel and a summary of references to the Nominations Committee who agree a candidate's suitability for progression and when they should go forward to Office
- Formal Election by the Livery to become Sheriff and by the Livery and the Court of Aldermen to become Lord Mayor.

### When to Apply

Whilst the role of Sheriff can be combined on a part time basis with an executive career, the role of Lord Mayor requires a full-time commitment. Therefore, it is important to apply with this in mind and to ensure that you have the time available at the appropriate stages.

The application process opens in February each year. The application for Sheriff relates to the following year i.e. an application in year one is usually to take up the role of Sheriff in September year two.

An application cannot be made for Lord Mayor until you have been formally nominated to serve as Sheriff i.e. you can only apply for Lord Mayor once nominated as Sheriff before you serve, or you can apply at any stage after you have served as Sheriff.

These guidelines refer to both an application for Sheriff and an application for Lord Mayor. Application and reference details should be updated as appropriate depending on the timing between both applications. Guidance on this can be sought from the Town Clerk's Department.

### **What to Include in an Application**

The initial application should include the following.

- A personal statement as to why you feel you are suitable for the role of Sheriff and ultimately Lord Mayor (no more than three/four pages of A4)
- A full CV including a summary biography (maximum of three/four sides of A4)
- A list of a maximum of between four and seven referees
- A completed due diligence form.

When applying for progression to the Office of Lord Mayor, the original application (personal statement (for the Shrievalty) and CV, and due diligence form) should be updated as appropriate.

### **Guidelines for Personal Statement**

Your personal statement should detail exactly why you feel you are suitable for the role and be a maximum of three/four sides of A4. It is a personal statement and should be written in your own style. It should highlight strengths and any areas that you are still developing. Please ensure that you refer to the required key competencies and address the three key requirement areas, these being track record, relationships and personal qualities, including examples. The guidelines below are suggestions and not instructions. This section is your opportunity to make the case as to why you are suitable.

#### **· *Track record***

You should describe your record of achievement, experience and level of seniority. This should include any awards or recognition. Consider including where you feel you have made a real difference to your company or industry. What examples can you provide of your leadership skills and your ability to work at Board, ministerial or equivalent level. What experience do you have of business development and of working internationally?

#### **· *Relationships***

Please describe the depth and breadth of your networks. Include all sectors that you have worked in or have connections with. Does your network expand beyond industry into government, regulation, voluntary, charity, livery and international? How would you describe your style and your

ability to build relationships? What is your media and online profile: are you recognised amongst your peers and more widely?

### ***Personal Qualities***

This is your opportunity to describe why you as an individual have the qualities that would make you an effective Sheriff and potentially Lord Mayor. What is your style and how do you work with others? What is your experience of media and public speaking? What examples do you have of assimilating information at short notice and ensuring effective outcomes?

Finally, you should describe your aspirations in the role of Sheriff/Lord Mayor. If applying for the Office of Sheriff this should include how you propose to use your year in office as Sheriff to prepare you for nomination to Lord Mayor, any specific plans you have for the year along with any steps you are proposing to take to handle the commitment of the Office. If applying for the Office of Lord Mayor, the preparation and steps should also be detailed along with your strategic plans for the year.

### **Guidelines for CV and Biography**

A full CV should be submitted to a maximum of three/four sides of A4. The CV should include a summary biography. This is the biography that would be submitted to senior business and overseas leaders before any meeting and so should showcase your experience and track record.

Your CV should detail your career and include positions held, dates, responsibilities and achievements.

### **Guidelines for References**

Ahead of submission with your application, a minimum of four and a maximum of seven referees should be identified and discussed with the Town Clerk's representative and the Chair of the Nominations Committee. Referees should be individuals who can vouch for you and provide veracity to your personal statement. Ideally, they will be recognised stakeholders in, or associated with, the City whose opinion will be valued and respected. They should be selected from across sectors to show the breadth of your experience, e.g. commercial, voluntary, charity, government, international, personal.

In addition to your chosen list of referees, the views of The Town Clerk and The Recorder will also be sought. If, in the view of the Interview Panel, it would be helpful to take soundings from someone who has not been nominated by the candidate but who would have a very good knowledge of the individual, a request may be made to an additional referee following consultation with the candidate.

A third party (recommended for appointment by the Chair of the Nominations Committee and agreed by the Nominations Committee, usually in December of each year) will be asked to contact each referee following a letter of introduction from the Town Clerk's Department. The appointed firm will independently gather the references and aggregate these into a report on each candidate. The report will not attribute any specific detail to any one referee unless the referee has expressly

agreed to this. References will be taken by telephone to ensure that they are full and unambiguous. A standard structure will be followed to avoid any unconscious bias and will focus on the three key areas, namely track record, relationships and personal qualities. However, it should be recognised that any conversation will flex around an individual's skills and career as appropriate. If a referee does not wish to be interviewed by telephone a written reference can be considered, following prior discussion with the Chair of the Nominations Committee.

With regards to an application for progression to the Office of Lord Mayor, a full set of updated references may or may not be required depending on timing. This should be discussed and agreed with the Town Clerk's representative and the Chair of the Nominations Committee at the start of the annual appraisal period.

### **The Shrieval and Mayoral Interview Panel**

The terms of reference of the Shrieval and Mayoral Interview Panel are subject to approval by the Nominations Committee. The latest version is at **Appendix 4**.

The Interview Panel's role is to spend time with each candidate and through presentation and questions, to independently assess them for suitability to become Sheriff or Lord Mayor. The results of their assessment will then be gathered into a summary report on each candidate, which will be compiled by a third party present at each interview, and presented to the Nominations Committee for consideration along with the other submissions: candidate's personal statement and CV, due diligence form and the summary Referee Report.

### ***Appointment and Composition of the Interview Panel***

The Panel is appointed by the Nominations Committee. Independent Members are appointed for a three-year term and may undertake a maximum of three terms. All Panel Members will be encouraged to undertake training on unconscious bias if this has not already been done.

The composition of the Appraisal Panel for 2021 is:

- Chair of the Nominations Committee (Chair of the Panel)
- Deputy Chair of the Nominations Committee
- Chair of the General Purposes Committee
- Chair of the Policy & Resources Committee
- Chief Commoner
- A minimum of three Independent Members (from the business City) drawn from a pool of Independent Persons appointed by the Nominations Committee (usually in December each year).

The quorum for the Panel is currently the Chair or Deputy Chair of the Nominations Committee or in their absence the Chair of the General Purposes Committee and not less than two Independent Members.

As of December 2020, the number of Independent Members on the Panel has been extended to five Members (with a quorum of not less than three being present at all interviews). It is proposed that the composition of the Panel be modified as follows from May 2021 onwards:

- Chair of the Nominations Committee (principally to Chair the Interview Panel and act as continuity with the Nominations Committee)
- Deputy Chair of the Nominations Committee
- Chair of the General Purposes Committee
- Chair of the Policy & Resources Committee
- Chief Commoner
- A minimum of three Independent Members (and a maximum of five) from the business City, drawn from a pool of Independent Persons appointed by the Nominations Committee (usually in December each year).

To ensure that a suitable number of Independent Members are available to attend the appraisal interviews, a higher number than those required may be appointed by the Nominations Committee. It is envisaged that, beyond May 2021, there will be a pool of ten Independent Panel Members from which the annual Interview Panel membership can be drawn.

Supporting the Interview Panel will be a senior officer from the Town Clerk's Department and a representative from an appointed independent firm, whose role will be to take notes and write up the summary report on each candidate, which the Panel Members will be asked to approve before it is shared with the candidate and the Nominations Committee (excluding other candidates).

### ***The Role of the Interview Panel***

The Interview Panel meets in April each year and will be given the Referees' Report and application documents. These will form the basis for the appraisal. The Panel will be Chaired by the Chair of the Nominations Committee, or in their absence the Deputy Chair of the Nominations Committee, and each interview will last between 45-50 minutes.

At the start of the interview, following introductions, a candidate will be invited to present why they feel they are suitable to take Office (as Sheriff or Lord Mayor) and why they wish to apply. That presentation should last no more than 10 minutes, after which the candidate will be questioned on this and their application, principally by the Independent Members and the Chair of the Policy and Resources Committee. At the end of the interview the candidate will have the opportunity to add any final points or to raise any questions they may have.

The Panel will be assessing the candidate against the stated three areas; namely track record, relationships and personal qualities (as per the Person Specification for the role of Lord Mayor). They will be formally assessing whether the candidate demonstrates minimal, some, strong or very strong evidence of meeting the competencies required in each of these areas.

If progressing to the Office of Lord Mayor, a minimum of two panel interviews will be required. One for Sheriff and one for Lord Mayor. It is up to the Interview Panel to determine the number of interviews required depending on a candidate's skills and experience. The Panel will provide

feedback as to when they would wish to see a candidate again and what areas they would like to see a focus on, as further interviews are often required, especially as a candidate develops their career and skills.

### ***The Interview Panel's Report***

A report on each candidate will be drafted by the independent observer based on the Panel's discussion and will summarise the assessment against the criteria for suitability to Office based on competencies, interview performance and input from referees. As with the approach to references, the report will aggregate the opinions of all the Interview Panel Members and will not attribute specific comments. This report will be approved by all Members of the Panel before it is shared with the candidate.

A scoring sheet around the three key areas will be used during the interviews by the Panel Members so they can note where minimal, some, strong or very strong evidence, against the key competencies in the Job Description/Person Specification, has been provided by a candidate. This information will not be retained once the Panel's summary report has been cleared by the Interview Panel for onward submission to the Nominations Committee.

The Interview Panel will comment on an individual's strengths and developmental needs and the summary report will provide a clear and evidence-based view on whether a candidate is suitable for progression (or not at that point in time). Any differing views in respect of a candidate's suitability for progression will be reflected in the summary report if necessary.

The Interview Panel will not make recommendation to the Nominations Committee about timescales for progression – that will be a matter of consideration by the Nominations Committee.

The Interview Panel will be clear, at this stage, whether a further interview will be required by any candidate. Where a further interview is not requested because a candidate is deemed suitable for progression, though they do not progress to Office within the three-year period following their first interview and approval by the Committee as suitable for progression, a further interview must take place.

### **Feedback from the Panel**

Following the interview stage, and once all candidates in that particular year have been assessed, the Chair and Deputy Chair of the Nominations Committee along with an officer from the Town Clerk's Department will meet with each candidate to discuss the Interview Panel's opinion on their suitability for progression to Office. Copies of the Referee Report and the Interview Panel's Report will be given to the candidate not less than twenty-four hours before the meeting, so they have time to review the documents. The meeting will provide the candidate with the opportunity to discuss and hear the opinions of the Panel and explore their thoughts and observations.

Following the feedback, a candidate has a choice. They may choose to put themselves forward to the Nominations Committee for a decision to be taken by all Aldermen about their suitability for Office or they may decide to withdraw their nomination, focus on any areas for development and

potentially apply again at a future date. In this instance, the candidate's papers will not be circulated further, and a date will be set for a more detailed feedback session with the Chair and Deputy Chair of the Nominations Committee to discuss the individual's development, support and future pathway.

If a candidate decides to continue with their application the reports, along with the personal statement, CV and due diligence form, will be submitted to the Nominations Committee in May.

### ***Confidentiality***

This is a key consideration. Whilst the Interview Panel assess and make recommendations, it is the role of the Nominations Committee to review these and to agree who should go forward for progression for a particular year (i.e. appraised in April 2020 and in May, approved for progression to Office in June/September 2021 by the Nominations Committee). As per the Confidentiality Agreement which is signed by each Alderman following their election and upon taking Office, all discussions and the information contained in the appraisal related reports must be kept confidential in order to respect a candidate's privacy.

Leading up to the May meeting of the Nominations Committee, three documents will be made available at least one week before the meeting, namely each candidate's Statement and CV (application), the Referee report and the Interview Panel report. Whilst hard copies are currently provided, it is proposed that an online solution be used in the future to further strengthen confidentiality.

It is important to note that only those Aldermen who are not applying for the roles will have access to the full set of materials i.e. if a candidate does not withdraw from the appraisal process ahead of the May meeting of the Nominations Committee, they will only have access to the material that relates to them.

### ***Nominations Committee - Review and Procedure***

If a candidate decides to continue with their application, their reports will be sent to the Nominations Committee who meet in early-mid May to consider the information. Candidates for the Office of Sheriff will be considered first. The following process will be the same for each Office.

With all candidates present in the room, the Chair will read the names of the new candidates for each Office and ask each whether they wish to address the Committee. They will then confirm which Aldermen are in the pool of suitable candidates (i.e. they received an agreed vote for suitability in the preceding two years) and whether they wish to address the Committee.

All candidates (as above) will then be asked to leave the room.

It is important that all paperwork in respect of the new candidates is carefully reviewed by members of the Nominations Committee in advance of the meeting to ensure that candidates are not excluded from the meeting for a lengthy amount of time.

The Chair will then ask the Committee to consider each new candidate in turn as to their suitability for Office. The Chair will refer to the Referee Report and the Interview Panel's Report and ask for

comment from Committee Members as to whether they agree or disagree with the opinions expressed. The Committee will be asked if they have any questions for any of the new candidates and if they do, the named candidate will be invited to return to the room in order to respond to the question/s. The candidate will then be asked to withdraw again. Once the Committee is satisfied that there are no further questions, it will move to the ballot process to determine (1) which of the new candidates (for each office) is deemed to be suitable for possible progression (first vote) and (2) who should be approved for progression in the following year (subject to Common Hall's deliberations) (second vote).

A suitability vote in respect of those candidates that were approved as suitable in the preceding two years is NOT required but those individuals cannot participate in the first stage vote (suitability) for newly appraised candidates and they are not entitled to see the paperwork pertaining to any other candidates for that particular Office.

Indicative votes will not be taken in respect of progression in future years, except where the Nominations Committee considers there to be exceptional circumstances.

Candidates for each Office will not have access to any appraisal related documentation, other than their own.

### ***Ballot Process:***

There will be two stages to the voting procedure, each stage will be conducted on the basis of a secret ballot. The first vote is to determine if the Committee agrees that a candidate is suitable to be considered for progression. The second vote will be to determine, from those that are confirmed as suitable, which candidate should go forward to High Office in the following year. The same process will apply to both the Shrieval and Mayoral rounds.

### **First stage vote - Suitability:**

The candidates for a particular office will not be present in the Court Room. This will include those Aldermen who have previously received an agreed vote for suitability but have not yet progressed to High Office (i.e. within the last two years).

A ballot paper with all the candidates' names on it will be handed to each member of the Committee. At the Chair's request, all members of the Committee will mark "Yes" or "No" in respect of each candidate.

The ballot papers will then be collected by the Town Clerk's representative and passed to the Town Clerk who will call out the results from each paper so they can be collated.

Once a tally has been taken, this will be shown to the Chair of the Committee and the result announced to the Committee.

This first stage vote will result in a list of individuals whom the Committee feels is suitable to be considered for progression. This will potentially include Aldermen already in the suitability pool and

newly appraised individuals. A candidate must receive at least a majority of the “yes” votes cast in order to be deemed suitable.

The Chair will leave the Court and tell the candidates the outcome of the first stage vote. They will respond to any questions before inviting all candidates back into the Court room.

### **Second stage vote – Approval for progression in the following year:**

With all candidates present, the Town Clerk will read out the names of all those candidates that are in nomination for progression (i.e. those that have received a first stage vote of suitability) and whom would like to be considered for progression in the following year.

For the purpose of casting their votes, Members should be present in the Court when a ballot is called.

A ballot paper specifying the names of all those candidates will be passed to every person in the room who is eligible to vote (i.e. every Alderman present including all “suitable” candidates for that particular Office). At the Chair’s request, all members of the Committee will mark “Yes” or “No” in respect of each candidate. “Yes” for progression in the following year and “No” for not at this point in time. Only one “yes” vote may be cast by each Alderman.

The ballot papers will then be collected by the Town Clerk’s representative and passed to the Town Clerk who will call out the results from each paper so a tally can be compiled for each candidate.

Anyone supported for progression must achieve a majority of those present and voting. In the event that there isn’t a clear majority, the candidate with the lowest number of yes votes will be eliminated and the voting procedure will be repeated until one candidate has obtained over 50% of the votes cast (i.e. a majority of those voting).

In the event of a tie between two candidates, there shall be a re-ballot unless one of the candidates indicates that they would like to withdraw from the process, noting that this does not mean that they will automatically go forward for progression after the next appraisal round. If, following that further ballot there remains a tie, the Chair of the Nominations Committee shall use their casting vote to determine who shall go forward for progression to High Office.

Once the result of the final vote is known this will be shown to the Chair of the Committee and announced to Members of the Committee. This is the name that will go forward to the Livery for the following year.

The above procedures will be used for determining progression to both the Offices of Sheriff and Lord Mayor.

Where a candidate is approved as “suitable” but does not secure the Committee’s approval for progression, they shall not need to return to the Interview Panel for a period of three years unless this is specifically requested, or the individual’s circumstances change. Individuals who sit within the pool of “suitable” candidates, will be asked to complete a declaration each year that there have not been any material changes to their circumstances.

Being in the pool of “suitable” candidates does not guarantee that an individual will, at a future date, be supported for progression.

### **Double Aldermanic Elections**

Whilst one of the two sheriffs at the Old Bailey will usually be an Alderman and the other will not, from time to time the “pool” of qualified Aldermen who have served as Sheriff and who are eligible to progress to the Mayoralty reduces and, in such circumstances, the Nominations Committee may consent to a Double Aldermanic Shrievalty in a particular year. Two Aldermen are thus supported for progression in a stated year, following a dialogue with the Livery Committee so the Court’s views are known in good time.

Where necessary, the Nominations Committee will consider the need for a double Aldermanic Shrievalty and the balloting arrangements will be revised to ensure that all those involved in the second stage voting process will have and shall be expected to use two “yes” votes. This will ensure that the Committee reaches agreement as to which two Aldermen shall be supported for progression to the Shrievalty in the following year.

### **Election by the Livery**

At Common Hall in June, the Livery will elect two Sheriffs. After the extensive interview process, the Livery almost always support the Court of Aldermen’s Aldermanic nominee (or nominees in the occasional event where two Alderman are nominated by the Court of Aldermen).

At Common Hall in September the Livery choose two names of Aldermen in nomination for Lord Mayor, with the Court of Aldermen then deciding (by secret ballot) which of those two Aldermen is elected as Lord Mayor. If the Alderman nominated for Lord Mayor by the Court in the previous May is one of those two names, the Court of Aldermen almost always elect that Alderman to the Office of Lord Mayor.

### ***External Communication***

The proceedings and results of the Nominations Committee will remain confidential. However, a letter will be drafted by the Town Clerk to advise the Livery of the nominations for Sheriff and Lord Mayor. It is important to nominate a year in advance to allow the candidate time to prepare to take on the role and to plan for any career adjustments.

The name of the nominated Alderman for the Office of Sheriff is normally published, one year ahead of the Livery Election of Sheriffs the following June. Following a successful election, the Alderman becomes Sheriff-Elect, until taking Office in late September.

The name of the nominated Alderman for the Office of Lord Mayor for the following year is also normally published in June. In November, later that year, following the installation of that year’s Lord Mayor, the nominated Alderman is referred to as the Senior Alderman Below the Chair or

SABTAC. Following a successful Election to Lord Mayor by the Livery the following September they then assume the title Lord Mayor Elect until taking Office on the second Friday in November.

### **Mentoring and Support**

Anyone wishing to seek guidance and views on their suitability for High Office or where they feel that they may have some development needs or may benefit from a programme of mentoring should, in the first instance, speak to the Chair of the Nominations Committee. At any stage during an Alderman's term of Office, but particularly during the period of progression, the Chair can recommend a fellow Alderman or other individual who can provide support and mentoring. Formal training e.g. media handling and speech delivery is available as appropriate.

Where an individual is successful in their application to Sheriff and ultimately Lord Mayor, it is strongly recommended that they work with a mentor that has held that role to provide advice and support.

### **Appendices**

- Appendices 1-3: Job Descriptions/Person Specifications and competencies – Alderman, Sheriff and Lord Mayor
- Appendix 4: Shrieval and Mayoral Interview Panel's terms of reference
- Appendix 5: Due Diligence Form
- Appendix 6: City of London Corporation's Equal Opportunities Statement

### **Key Contact:**

For further information regarding the role of an Alderman, Sheriff or Lord Mayor; or in respect of queries about the Aldermanic Appraisal process, please contact:

**Lorraine Brook, Principal Committee and Member Services Manager, Town Clerk's Department**  
[Lorraine.brook@cityoflondon.gov.uk](mailto:Lorraine.brook@cityoflondon.gov.uk) / 020 7332 1409

*Approved by the Privileges Committee of Aldermen on 04/02/2020 (known as the Nominations Committee as of 09/02/21) and updated on 09/02/21.*

## **Job description for individual Aldermen**

This job description should be read in conjunction with the terms of reference for the Court of Aldermen as a whole which includes further details on the role of Aldermen.

### **Overall responsibilities**

- to serve as a member of the Court of Aldermen and the Court of Common Council
- to act as duty Alderman at the Central Criminal Court on a monthly rota to promote the role of the Old Bailey in upholding the rule of law
- to lead the team of elected Members in individual Wards
- to support and promote the City of London as a world leader in financial and professional services
- to engage widely with the Civic City to broaden their network and support the Lord Mayor
- to use experience gained to prepare for progression to the Shrievalty and to Mayoralty. Whilst all Aldermen may seek to become Sheriff and Lord Mayor not all will necessarily succeed.

### **Main areas of activity**

To work proactively as a member of the Court of Aldermen including sitting on the General Purposes Committee and Nominations Committee of Aldermen.

To act as a team member of the Court of Aldermen to ensure the wide range of experience and talent is used effectively.

To participate fully in City of London Corporation business by serving on different Committees including the Court of Common Council

To support the Lord Mayor in promoting financial and professional services, including representing the Lord Mayor at official events.

To represent the Lord Mayor at the Old Bailey as required including hosting lunch for Her Majesty's Judges and guests (approx. 10 duties per annum).

To seek opportunities to widen the reach of the Court of Aldermen and market the work of the City of London/Corporation

To lead the team of Common Councilmen in Wards to engage with constituents and participate in the activities of Livery Companies and Ward Clubs.

To act as Returning Officer for non-Aldermanic City elections held in individual Wards (next full set of elections due in March 2021).

To promote and demonstrate effective charitable work including encouraging others to undertake a wide range of activities.

To serve as a trustee, governor or representative on a variety of boards of schools, hospitals, charitable foundations and trusts.

To encourage suitably qualified candidates with a broad range of experience to take an interest in the work of the Court of Aldermen with a view to standing for election as in the future.

When joining the Court of Aldermen, to undertake a programme of induction as appropriate to understand fully how the Court and City of London Corporation function.

To continue personal development and training to prepare for progression, including in public speaking and relations with the media.

## **Appraisal**

Aldermen who intend to apply for the formal process to undertake the Office of Sheriff and then Lord Mayor, should speak in the first instance with the Chair of the Nominations Committee and other senior Aldermen. Detailed guidance about the appraisal process and the key requirements of being suitable to take Office are available online:

Any Alderman seeking to progress to the Offices of Sheriff and Lord Mayor will be assessed against the key competencies set out in the Job Description and Person Specifications for Sheriff and Lord Mayor.

## Aldermen – Person Specification

Essential	Attributes	Other Expectations
<p><b>Electoral Requirements</b></p> <ul style="list-style-type: none"> <li>• aged 21 years or more</li> <li>• British subject</li> <li>• Freeman of the City</li> <li>• at the time of nomination and election is a Justice of the peace</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>• a person is qualified for office of Alderman provided that they are not or have never been convicted of an imprisonable offence (even if they were not actually imprisoned or the conviction has been spent)</li> </ul> <p><b>nor</b></p> <ul style="list-style-type: none"> <li>• the subject of a debt relief restrictions order or interim debt relief restrictions order, a bankruptcy restrictions order or interim order, or a debt relief restrictions undertaking.</li> </ul>	<p><b>Personal Attributes</b></p> <ul style="list-style-type: none"> <li>• knowledge of the history and traditions of the City, its institutions and the Livery</li> <li>• knowledge or experience of the Business City</li> <li>• absolute integrity, both personal and professional</li> <li>• a record of high professional achievement</li> <li>• drive and commitment</li> <li>• good public speaking ability</li> <li>• socially at ease, articulate, diplomatic and politically astute</li> <li>• ability to work in a team</li> </ul>	<p>There is a time commitment to undertaking the Office of Alderman which equates to approximately 1 or 1.5 days per working week together with a number of evening functions which average 1 or 2 per week. The time commitment increases as candidates approach the Offices of Sheriff and Lord Mayor.</p> <p>All Aldermen are required to submit to re-election within a 6-year period</p>

## **Aldermanic Sheriff – Job Description**

### **Appointment:**

Elected by the Livery at Common Hall. <sup>1</sup>

### **Overall Responsibilities:**

(In addition to those of an Alderman)

- To attend and support the Lord Mayor
- To officiate at the sessions at the Central Criminal Court
- To use the experience gained to prepare for progression to the Mayoralty.

### **Main tasks and responsibilities:**

- To attend and support the Lord Mayor in carrying out his/her official duties; this includes City functions and national and international visits undertaken by the Lord Mayor on behalf of the City of London Corporation and the Business City.
- To officiate (together with the Non-Aldermanic Sheriff) at the Central Criminal Court; in particular, hosting Her Majesty's Judges and guests at lunch each day; this involves undertaking an important ambassadorial role on behalf of the City of London Corporation and acting together with the Non-Aldermanic Sheriff as part of a fully committed and supportive team.
- To make the substantial commitment that is required to fulfil the obligations and duties of the Shrieval Year (September – September) and being regularly available at his/her accommodation at the Old Bailey.
- To conduct meetings and speak at functions whether in place of the Lord Mayor (in his/her absence) or in the Sheriff's own right.

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<sup>1</sup>Progression towards the Office of Sheriff and Lord Mayor is subject to a formal appraisal process designed to identify candidates who demonstrate the required skills, experience and qualities as set out in the Shrieval and Mayoral job descriptions and person specifications and who, with the support of the Court of Aldermen, are then put forward for election by the Livery at Common Hall. The process, which requires a series of interviews as candidates progress towards Office, is conducted by the Shrieval and Mayoral Interview Panel comprising of representatives of the Court of Aldermen, the Court of Common Council and representatives of the wider Business City who are commonly referred to as the Independent Panel Members.

- To attend meetings of Common Hall.
- To take charge of, and conduct, the business of Common Hall in the absence of the Lord Mayor (i.e. at the election of the Lord Mayor, once the Lord Mayor and Senior Alderman have withdrawn) with the support of the Common Serjeant and other City Officers.
- To use the experience gained as Sheriff and to pay close attention to the requirements of the job and person specifications relating to the Lord Mayor as part of the preparation for higher office.

### **Commitment**

- The Aldermanic Sheriff shall reside at the Old Bailey for the year, which runs from September to September.
- The role does not require a full-time commitment.
- The Aldermanic Sheriff, in collaboration with the other Sheriff, will be expected to produce a Shrieval Plan for their year in Office. The Plan will outline the Sheriffs' priorities and activities for the year ahead in order to meet the responsibilities of the role. The plan should be compiled in consultation with The Recorder, the Common Serjeant, a selection of Judges, a selection of Aldermen, the Chair of the Policy & Resources Committee, and staff of the City of London Corporation. The Plan is submitted to the General Purposes Committee of Aldermen in late autumn and is reviewed at the end of the Sheriffs' term of Office.

### **Essential Electoral Requirements**

- To be a Member of The Court of Aldermen
- To be nominated by 15 Liverymen.

### **Person Specification**

The following Person Specification applies to the offices of both the Shrievalty and Mayoralty as progression to the Shrievalty is seen as a stepping stone to progression to the Mayoralty and therefore the skills, knowledge and personal qualities set out in the Person Specification are applicable for all those seeking progression to High Office.

To fulfil the requirements of Office of Lord Mayor, an individual must have a significant track record and be recognised as a leader in their field, have an extensive network and also the personal qualities that will enable them to fulfill the duties of a high-profile public office. Suitability to progress to High Office will not be determined solely on the basis of a candidate having a background in financial or professional services. However, the Lord Mayor must have the right balance of knowledge, skills and personal qualities to fulfil the requirements of Office.

Notwithstanding the requirements to be a serving member of the Court of Aldermen, candidates for the Office of Sheriff should expect to be assessed against the following list of key qualities, skills and experience, noting that the list is not exhaustive. Appraisal at the Shrieval stage is to determine whether a candidate demonstrates the ability to progress, after a period of time, to the Mayoralty.

Full details regarding the Aldermanic Appraisal process can be accessed [here](#):

Track Record	Relationships	Personal Qualities
Has a record of high professional achievement, preferably in a City financial or professional business-related service.	Has extensive personal and business networks outside of own industry.	Demonstrates absolute honesty and integrity, both personal and professional and good character.
Has a wide understanding of the commercial business environment, breadth as well as depth.	Has an in depth understanding of how government, regulators and trade bodies work.	Demonstrates sound judgement.
Is able to articulate business propositions and drive business development.	Has good links into government / relevant government bodies.	Is able to maintain confidences.
Has experience of international business development and/or international board experience.	Has a proven ability to work as part of a high performing team in a collaborative manner.	Has strong interpersonal skills – socially at ease; articulate; a good listener.
Is widely recognised as a leader within one or more specific industries.	Is diplomatic and politically astute with a wide range of stakeholders.	Understands and adheres to the Nolan Principles.
Has experience that commands the respect of the business City.	Is sensitive and reactive to the cultural and social dynamics within the business City, the UK and internationally.	Demonstrates drive, commitment and reliability ( <i>noting the expected time commitment set out in the job description</i> ).
Has a track record of community, charity or other philanthropic activity.	Has an understanding of the impact on others.	Has good public speaking skills; a forceful and credible orator; able to flex style to

		suit different cultural/social situations.
Has a track record of being open to change and new ways of working.	Is able to build and maintain constructive relationships (with multiple stakeholders).	Is supportive, collaborative and egalitarian.  A recognition that it is not about the individual but the role.  Has a high level of emotional intelligence.
Is able to master complex briefs and to argue a case coherently.		Is experienced, adept and confident in handling complex briefs. An engaging and approachable communicator.
Has knowledge and experience of the history and traditions of the City and the Livery.		Has an understanding of the impact on others.  Is able to work collaboratively.
Has experience of dealing with the media in a professional context.		Is adept and confident in handling mainstream media.

## **Lord Mayor – Job Description**

### **Appointment:**

Elected by the Court of Aldermen following nomination by the Livery at Common Hall from the list of Aldermen who have served the Office of Sheriff. <sup>1</sup>

### **Overall Responsibilities:**

#### **Primary**

- Head of the City of London Corporation.
- Principal ambassador/key spokesperson on behalf of the City of London Corporation and the Business City.

Other positions assumed by the Lord Mayor during their year in Office include, amongst others: Head of the City Lieutenancy, Rector of the City University, Chief Magistrate of the City of London, President of the City of London Reserve Forces and Cadets.

### **Main tasks and responsibilities:**

#### **(1) Head of the City of London Corporation**

- To preside, as Head of the City of London Corporation, over meetings of the Court of Aldermen, the Court of Common Council, the Court of Hustings and assemblies of the Livery in Common Hall.
- To represent and promote the City of London Corporation as an effective and efficient local authority for the City.
- To liaise with the Chairs of the principal City of London Corporation committees and the Chief Commoner to remain appraised of the key issues impacting the City and of the City Corporation's strategic priorities (i.e. the Corporate Plan).

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<sup>1</sup>Progression towards the Office of Lord Mayor is subject to a formal appraisal process designed to identify candidates who demonstrate the required skills, experience and qualities as set out in the Mayoral job description and person specification and who, with the support of the Court of Aldermen, are then put forward for nomination by the Livery at Common Hall. The process, which requires a series of interviews as candidates progress towards Office, is conducted by the Shrieval and Mayoral Interview Panel comprising of representatives of the Court of Aldermen, the Court of Common Council and representatives of the wider Business City who are commonly referred to as the Independent Panel Members.

- To build an effective working relationship with the Chair of the Policy & Resources Committee, particularly in respect of policy and regulation matters, to ensure alignment.

## **(2) Principal ambassador for the City**

- To act as the City of London Corporation's principal ambassador and key spokesperson on behalf of the business City.
- To promote the City as the world's leading international financial and business centre both at home, through an important programme of regional visits, and abroad.
- To consult widely within the City community on business needs.
- To undertake a programme of overseas visits, developed in liaison with the Foreign & Commonwealth Office, the Department for International Trade and HM Treasury, to support and promote the City of London as the world's leading international financial and business centre.
- To act as principal host to visiting Heads of State, guests of Government, business delegations, foreign and national dignitaries.

## **(3) Livery and other civic roles**

- To undertake a programme of civic activities with community organisations including the Central Criminal Court, City University, Reserve Forces and Cadets Associations and City Lieutenancy, as well as several schools and cultural organisations.
- To promote and encourage the Livery and assist in bringing recognition to its contribution to City and national life, and similarly to participate and promote the activities of the Ward Clubs and other associated groups in the City.

### **Commitment**

- The Lord Mayor (and family, if applicable) reside at the Mansion House for the year, which runs from November to November.
- The role requires a full-time commitment, with some 2,000 engagements, involving several hundred speeches during the year. The Lord Mayor is likely to spend some 100 days abroad and out of London.
- Aldermen who have held the Office of Lord Mayor are expected to continue to serve on the Court of Aldermen for at least a further 6 years, subject to re-election and the

convention whereby an Alderman will resign on attaining the age of 70, in accordance with other judicial appointments.

- Throughout the year, the Lord Mayor will be closely involved with a range of charitable activities including the Lord Mayor’s Appeal.
- In preparation for Office, the nominated candidate for Lord Mayor is likely to spend a considerable amount of time in the preceding year to taking Office, developing their Mayoral agenda (aligned to the Corporate Plan) and working on various events and with the Lord Mayor’s Appeal team.

### **Person Specification**

To fulfil the requirements of Office of Lord Mayor, an individual must have a significant track record and be recognised as a leader in their field, have an extensive network and also the personal qualities that will enable them to fulfill the duties of a high-profile public office.

Suitability to progress to High Office will not be determined solely on the basis of a candidate having a background in financial or professional services. However, the Lord Mayor must have the right balance of knowledge, skills and personal qualities to fulfil the requirements of Office.

Notwithstanding the requirements to be a serving member of the Court of Aldermen and to have served in the Office of Sheriff of the City of London, candidates for the Office of Lord Mayor should expect to be assessed against the following list of key qualities, skills and experience, noting that the list is not exhaustive.

Full details regarding the Aldermanic Appraisal process can be accessed [here](#).

<b>Track Record</b>	<b>Relationships</b>	<b>Personal Qualities</b>
Has a record of high professional achievement, preferably in a City financial or professional business-related service.	Has extensive personal and business networks outside of own industry.	Demonstrates absolute honesty and integrity, both personal and professional and good character.
Has a wide understanding of the commercial business environment, breadth as well as depth.	Has an in depth understanding of how government, regulators and trade bodies work.	Demonstrates sound judgement.

Is able to articulate business propositions and drive business development.	Has good links into government / relevant government bodies.	Is able to maintain confidences.
Has experience of international business development and/or international board experience.	Has a proven ability to work as part of a high performing team in a collaborative manner.	Has strong interpersonal skills – socially at ease; articulate; a good listener.
Is widely recognised as a leader within one or more specific industries.	Is diplomatic and politically astute with a wide range of stakeholders.	Understands and adheres to the Nolan Principles.
Has experience that commands the respect of the business City.	Is sensitive and reactive to the cultural and social dynamics within the business City, the UK and internationally	Demonstrates drive, commitment and reliability ( <i>noting the expected time commitment set out in the job description</i> ).
Has a track record of community, charity or other philanthropic activity.	Has an understanding of the impact on others.	Has good public speaking skills; a forceful and credible orator; able to flex style to suit different cultural/social situations.
Has a track record of being open to change and new ways of working.	Is able to build and maintain constructive relationships (with multiple stakeholders).	Is supportive, collaborative and egalitarian.  A recognition that it is not about the individual but the role.  Has a high level of emotional intelligence.
Is able to master complex briefs and to argue a case coherently.		Is experienced, adept and confident in handling complex briefs. An engaging and approachable communicator.
Has knowledge and experience of the history		Has an understanding of the impact on others.

and traditions of the City and the Livery.		Is able to work collaboratively.
Has experience of dealing with the media in a professional context.		Is adept and confident in handling mainstream media.

## **The Shrieval and Mayoral Interview Panel (SMIP) <sup>1</sup>**

### **The Aldermanic Appraisal Process**

The appraisal process commences in February when all junior Aldermen who have not served in the Office of Sheriff are asked to confirm to the Town Clerk if they wish to be considered for that year's appraisal round (Shrievalty). The Aldermen that have served in the Office of Sheriff are asked to confirm if they wish to be considered for progression to the Mayoralty.

Appraisal interviews are usually scheduled to take place in April each year. Where availability permits, a full day will be allocated to the interview stage but if this is not viable, several half days will be scheduled. The interviews will take place either at Mansion House or Guildhall and the Town Clerk's representative will be present throughout. A third party will also be present to note the Panel's assessment of each candidate so this can be submitted to the Nominations Committee<sup>2</sup> in May.

After the candidates have been interviewed (for each Office), the Panel must reach a conclusion in respect of each candidate's suitability to progress to the Shrievalty/Mayoralty.

A scoring sheet around the three key areas will be used during the interviews by the Panel Members so they can note where minimal, some, strong or very strong evidence, against the key competencies in the Job Description (JD)/Person Specification (PS), has been provided by a candidate. This information will not be retained once the Panel's summary report has been cleared by the Interview Panel for onward submission to the Nominations Committee.

At the conclusion of the interviews, the Interview Panel will comment on an individual's strengths and potential developmental needs and the summary report will provide a clear and evidence-based view on whether a candidate is suitable for progression (or not at that point in time). Any differing views in respect of a candidate's suitability for progression will be reflected in the summary report if necessary.

Where necessary, the Panel will confirm if additional interviews are required by a candidate.

The Interview Panel will not make recommendation to the Nominations Committee about timescales for progression – that will be a matter for consideration by the Nominations Committee.

### **Role of the Shrieval and Mayoral Interview Panel**

The Interview Panel's role is to reach a view on whether a candidate seeking progression to the Shrievalty or Mayoralty meets the requirements of High Office. This is based on an assessment of each candidate's skills, knowledge, experience and qualities against the Job Description/s and Person Specification/s for each role.

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<sup>1</sup> Formerly known as the Aldermanic Appraisal Panel

<sup>2</sup> Formerly known, until 09/02/21, as the Privileges Committee.

There are three stages to the overall application process:-

- Submission of application papers and an interview by the Shrieval and Mayoral Interview Panel
- Submission of application papers, a summary of references and a written assessment of each candidate from the Interview Panel to the Nominations Committee who agree a candidate's suitability for progression and when they should go forward to Office
- Formal Election by the Livery to become Sheriff and by the Livery and the Court of Aldermen to become Lord Mayor.

The Interview Panel will consider the following documentation ahead of a formal interview with each candidate, usually in April each year:

- **Candidate's Statement** - A personal statement as to why the candidate is suitable for the role of Sheriff and ultimately Lord Mayor (no more than three/four pages of A4). This will be accompanied by a full CV including a summary biography (maximum of three/four sides of A4).
- **Due Diligence form**
- **Reference Report** - a minimum of four and a maximum of seven referees will be discussed with the Town Clerk's representative and the Chair of the Nominations Committee ahead of a formal approach to the referees by a third party (recommended for appointment by the Chair of the Nominations Committee and agreed by the Nominations Committee, usually in December of each year) which will be asked to contact each referee following a letter of introduction from the Town Clerk's Department. The appointed firm will independently gather the references and aggregate these into a report on each candidate. The report will not attribute any specific detail to any one referee unless the referee has expressly agreed to this. References will be taken by telephone to ensure that they are full and unambiguous. A standard structure will be followed to avoid any unconscious bias and will focus on the three key areas, namely track record, relationships and personal qualities. However, it should be recognised that any conversation will flex around an individual's skills and career as appropriate. If a referee does not wish to be interviewed by telephone, a written reference can be considered following prior agreement by the Chair of the Nominations Committee.

In regard to an application for progression to the Office of Lord Mayor, a full set of updated references may or may not be required depending on timing. This will be subject to discussion with the Chair of the Nominations Committee at the start of the annual appraisal period.

The interview will be chaired by the Chair of the Nominations Committee. The independent Panel members will focus on asking a series of questions about the candidate's ability to fulfil the requirements of each role. "Scoring sheets" will be used by each Panel Member so comments and examples can be noted, in order to aid a discussion following each interview.

The skills required for both Sheriff and Lord Mayor must demonstrate three things:-

- An impressive track record of achievement and recognition as an outstanding performer in their field.
- A breadth of relationships across varied sectors and geographies and a proven ability to build effective networks.
- The personal qualities that enable a candidate to be a highly credible and strong ambassador for the City and the UK.

### **The Panel's Recommendations to the Nominations Committee**

A third party will be present during the interviews to note the Panel's assessment so a written summary of the interview and the Panel's assessment of each candidate can be prepared for submission to the Nominations Committee in May. The Panel is expected to make comment on each candidate's suitability to take Office and provide a steer on any areas (skills, qualities, knowledge) where a candidate might benefit from further experience, skills development etc.

The Interview Panel will not make recommendation in respect of when a candidate should take Office. It shall only make recommendations with regards to suitability to progress to High Office based on the strengths of a candidate's application (in its entirety including the references and interview). The decision as to if and when a candidate progresses rests solely with the Nominations Committee which will read the Panel's summary reports and will have regard to its recommendations in reaching its decision as to which candidates should go forward and when.

### **Composition of the Shrieval and Mayoral Interview Panel and Terms of Reference**

The Shrieval and Mayoral Interview Panel, which is appointed by the Nominations Committee each year, is comprised of:-

- Chair of the Nominations Committee
- Deputy Chair of the Nominations Committee
- Chair of the General Purposes Committee
- Chair of the Policy & Resources Committee
- Late Lord Mayor (if they are available)
- Chief Commoner
- A minimum of three Independent Members (from the business City) drawn from a pool of Independent Persons appointed by the Nominations Committee (usually in December each year).

Independent Members are appointed for a three-year term and may undertake a maximum of three terms. By having senior representatives of the business City, Common Council and the Court of Aldermen on the Panel, a number of interests are represented.

All Panel Members will be encouraged to undertake training on unconscious bias if this has not already been done.

The quorum for the Panel is the Chair or Deputy Chair of the Nominations Committee, or in their absence the Chair of the General Purposes Committee, and not less than two Independent Members.

The number of Independent Members on the Panel was extended to five Members (with a quorum of not less than three being present at all interviews) in December 2020. It is currently proposed that the composition of the Panel be modified as follows after May 2021:

- Chair of the Nominations Committee - principally to chair the Interview Panel and act as continuity with the Nominations Committee
- Deputy Chair of the Nominations Committee
- Chair of the Policy & Resources Committee (CPR)
- Chief Commoner
- Five Independent Members (with a quorum of not less than three being present at all interviews).

To ensure that a suitable number of Independent Members are available to attend the appraisal interviews, a higher number than those required may be appointed by the Nominations Committee.

Supporting the Interview Panel will be a senior officer from the Town Clerk's Department and a member of an appointed independent firm, whose role will be to take notes and write up the report on each candidate, which the Panel Members will be asked to approve before it is shared with the candidate and the Nominations Committee (excluding other candidates).

### **Time commitment**

In terms of the time commitment required by each Panel Member, the following is required:

- Attend appraisal interviews – approximately seven-eight hours over one-two days in April (the exact time depends on the number of candidates). Where viable, the dates will be set for two years at a time.
- Read the candidates' Personal Statements and CVs, Due Diligence forms, and the summary Referee Reports that have been submitted.

### **Terms of reference**

- the independent Members of the Panel are expected to be eminent persons who have or recently have had a recognised credential in the City and have access to City opinion in its widest sense (i.e. not confined solely to the business City)
- the role of the independent Members of the Panel is to provide a source of wider, informed City opinion on the suitability, from the point of view of the City, of particular candidates for the Shrievalty and Mayoralty so as to ensure, as far as practicable, that candidates put forward for election to these Offices are capable of representing the City (as per the Job Descriptions and Person Specifications for each role).

### **Extent of the Commitment**

- The independent Members are asked to commit to serve on the Panel for at least one three-year term, renewable up to a maximum of three terms;
- in the interests of continuity, the terms of the independent Members would not be co-terminous;
- the length of service of an individual independent Member to be limited to three consecutive terms of three years, or a maximum of nine years;
- fees in relation to participation in the proceedings of the Appraisal Panel are not payable, but all reasonable expenses will be met.

### **City of London Corporation's Equal Opportunities Statement**

The City of London Corporation's vision is to build and support strong, sustainable and cohesive communities by ensuring its policies, processes and employment practices, promote equality of opportunity and are inclusive.

The City of London Corporation's services are monitored and reviewed on an on-going basis to ensure they are provided in a fair and equitable way, and to ensure compliance with the Equality Act 2010 and the Public Sector Equality Duty which places obligations on the authority to:

- Eliminate discrimination
- Advance equality of opportunity between different groups
- Foster good relations between groups in our communities to tackle prejudice and promote understanding.

The characteristics protected by the Equality Act 2010 are:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership.
- Pregnancy and maternity
- Race
- Religion or belief
- Sex (gender)
- Sexual orientation

The City of London Corporation is required to demonstrate that it has shown 'due regard' to this duty in its decision-making processes and those involved in the Aldermanic Appraisal process should therefore be aware of the Equality Act 2010 and the Public Sector Equality Duty.

This commitment covers:- residents, City visitors / workers, the Corporation's staff, the Corporation's Equal Opportunities in Employment Policy and service users.

In order to embed the City's obligations within the Public Sector Equality Duty, guidance and training is available to Members and Officers. A suite of on-line training is accessible and includes: Equality in the Workplace, Transgender Awareness, Equality Act 2010 and Unconscious Bias.

**Contact:-**

For information about the Aldermanic Appraisal process, contact:

**Lorraine Brook, Principal Committee and Member Services Manager**

Town Clerk's Department, City of London Corporation

E: [lorraine.brook@cityoflondon.gov.uk](mailto:lorraine.brook@cityoflondon.gov.uk) / T: 020 7332 1409

ALDERMANIC APPRAISAL [insert year]

APPLICATION FOR PROGRESSION – SHERIFF /LORD MAYOR

Alderman/woman [insert name]

**CONFIDENTIAL**

## Due Diligence Statement

All candidates are asked to complete this form at the Shrieval application stage and again, as a refresh, at the Mayoral application stage.

**IMPORTANT:** Please complete the Privacy Statement overleaf and also sign/date the form on the final page.

Ahead of the election of the Lord Mayor, where an Alderman has the support of the Court of Alderman (agreed the preceding year), written confirmation should be sent to the Nominations Committee of Aldermen, via the Chair, confirming that one's professional/personal circumstances have not changed since the Mayoral interview.

This letter should be submitted by the deadline specified by the Town Clerk's department.

**Privacy Statement**

The City of London (CoL) will be processing Personal and Special Category data as required for the purposes of processing your request to be considered by the Aldermanic Appraisal Panel for progression to the Office of Sheriff or Lord Mayor. Please note that the information provided will be shared with the Appraisal Panel and the Court of Alderman and relevant officers responsible for processing your application.

The processing of your personal data is being undertaken on the basis of your consent and is in accordance with Article 6, 1 (a) (for Personal Data) and Article 9, 2 (a) (for Special Category data) of the General Data Protection Regulation (GDPR) as incorporated by the Data Protection Act 2018. Please note that the data provided will be held for a period of 7 years or until you have completed a term as Lord Mayor.

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Name: .....

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**I do not agree** to the CoL processing of special category data for the purpose of processing my request to be considered by the Aldermanic Appraisal Panel for progression to the Office of Sheriff or Lord Mayor.

Name: .....

Signature: ..... Date: .....

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**PRIVATE AND CONFIDENTIAL:**

(1) Have you ever been convicted of a criminal offence? If so, please provide details.

(2) Have you been censured, disciplined, sanctioned, warned as to future conduct, or publicly criticised by, or been a subject of an order, finding or determination of or instigated by any court, tribunal, regulatory or professional body? Have you held a practising certificate subject to conditions?

(3) Have you ever been, or are you currently the subject of, any proceedings, investigations, disciplinary hearings or disputes? If yes, please describe details.

(4) In any aspect of your life are there any circumstances which have caused embarrassment to you personally, to the Court of Aldermen or to the City Corporation, or which might affect your ability to serve as Lord Mayor or your credibility or reputation in that role? Have there been any situations that have led or given rise to adverse publicity?

**PRIVATE AND CONFIDENTIAL:**

(5) Are there any circumstances which might lead or give rise to any of the matters described in any of the above questions? If so, please provide details below.

(6) Is there any information or documentation which could lead or give rise to embarrassment or adverse publicity and which could be accessed or discovered through any form of public or private media or which could result in embarrassment or adverse publicity if it was accessed or discovered?

(7) If applicable, since your Shrieval application/interview, have there been any changes to your standing in the community including criminal, regulatory, disciplinary, civil, financial or other matters, irrespective of outcome of role. If yes, please provide details.

(8) Are you in good health? Please indicate if you have an underlying medical condition and specify when you last had a medical check-up. Would any adjustments be required upon taking Office?

**PRIVATE AND CONFIDENTIAL:**

(9) Social media and on-line profile:-
Do you have a public Twitter profile? <input type="checkbox"/> Yes (provide any findings below) <input type="checkbox"/> No
Do you have a public LinkedIn profile? <input type="checkbox"/> Yes (provide any findings below) <input type="checkbox"/> No
Do you have a public Facebook profile? <input type="checkbox"/> Yes (provide any findings below) <input type="checkbox"/> No
Do you have any other public social media profiles? <input type="checkbox"/> Yes (provide any findings below) <input type="checkbox"/> No

Print Name:	Signature:
Date:	

## City of London Corporation's Equal Opportunities Statement

The City of London Corporation's vision is to build and support strong, sustainable and cohesive communities by ensuring its policies, processes and employment practices, promote equality of opportunity and are inclusive.

The City of London Corporation's services are monitored and reviewed on an on-going basis to ensure they are provided in a fair and equitable way, and to ensure compliance with the Equality Act 2010 and the Public Sector Equality Duty which places obligations on the authority to:

- Eliminate discrimination
- Advance equality of opportunity between different groups
- Foster good relations between groups in our communities to tackle prejudice and promote understanding.

The characteristics protected by the Equality Act 2010 are:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership.
- Pregnancy and maternity
- Race
- Religion or belief
- Sex (gender)
- Sexual orientation

The City of London Corporation is required to demonstrate that it has shown 'due regard' to this duty in its decision-making processes and all those involved in the Aldermanic Appraisal process should therefore be aware of the Equality Act 2010 and the Public Sector Equality Duty.

This commitment covers:- residents, City visitors / workers, the Corporation's staff, the Corporation's Equal Opportunities in Employment Policy and service users.

In order to embed the City's obligations within the Public Sector Equality Duty, guidance and training is available to Members and Officers. A suite of on-line training is accessible and includes: Equality in the Workplace, Transgender Awareness, Equality Act 2010 and Unconscious Bias.

**ALDERMANIC APPRAISAL [insert year]**

**STATEMENT FOR PROGRESSION – SHERIFF  
(Initial Submission)**

**NAME: [insert name]**

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Signature: ..... Date: .....

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### **Guidelines for Completion of the Statement**

If you wish to apply for the Shrievalty, it is important to recognise that this application is the start of the path to move towards Lord Mayor and your application will be treated on that basis. The skills required for both Sheriff and Lord Mayor must demonstrate three things: -

- An impressive track record of achievement and recognition as an outstanding performer in your field.
- A breadth of relationships across varied sectors and geographies and a proven ability to build effective networks.
- The personal qualities that enable you to be a highly credible and strong ambassador for the City and the UK.

Your personal statement should detail exactly why you feel you are suitable for the role and be a maximum of 2/3 sides of A4. It is a personal statement and should be written in your own style. It should highlight strengths and any areas that you are still developing. Please ensure that you refer to the required key competencies and address the three key requirement areas, these being track record, relationships and personal qualities, including examples. The guidelines below are suggestions and not instructions. This section is your opportunity to make the case as to why you are suitable.

- **Track record**

You should describe your record of achievement, experience and level of seniority. This should include any awards or recognition. Consider including where you feel you have made a real difference to your company or industry. What examples can you provide of your leadership skills and your ability to work at Board, ministerial or equivalent level. What experience do you have of business development and of working internationally?

- **Relationships**

Please describe the depth and breadth of your networks. Include all sectors that you have worked in or have connections with. Does your network expand beyond industry into government, regulation, voluntary, charity, livery and international? How would you describe your style and your ability to build relationships? What is your media and online profile: are you recognised amongst your peers and more widely?

- **Personal Qualities**

This is your opportunity to describe why you as an individual have the qualities that would make you an effective Sheriff and potentially Lord Mayor. What is your style and how do you work with others? What is your experience of media and public speaking? What examples do you have of assimilating information at short notice and ensuring effective outcomes?

Finally, you should describe your aspirations in the role of Sheriff/Lord Mayor. If applying for the Office of Sheriff this should include how you propose to use your year in office as Sheriff to prepare you for nomination to Lord Mayor, any specific plans you have for the year along with any steps you are proposing to take to handle the commitment of the Office. If applying for the Office of Lord Mayor, the preparation and steps should also be detailed along with your strategic plans for the year.

**Candidate's Statement:**

**Name:**

**Signed:**

**Date:**

**ALDERMANIC APPRAISAL [insert year]**

**STATEMENT FOR PROGRESSION – LORD MAYOR  
(Initial Submission)**

**NAME: [insert name]**

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### **Guidelines for Completion of the Statement**

The skills required for Lord Mayor must demonstrate three things: -

- An impressive track record of achievement and recognition as an outstanding performer in your field.
- A breadth of relationships across varied sectors and geographies and a proven ability to build effective networks.
- The personal qualities that enable you to be a highly credible and strong ambassador for the City and the UK.

Your personal statement should detail exactly why you feel you are suitable for the role and be a maximum of 2/3 sides of A4. It is a personal statement and should be written in your own style. It should highlight strengths and any areas that you are still developing. Please ensure that you refer to the required key competencies and address the three key requirement areas, these being track record, relationships and personal qualities, including examples. The guidelines below are suggestions and not instructions. This section is your opportunity to make the case as to why you are suitable and highlight what has changed since you sought progression to the Office of Sheriff.

- **Track record**

You should describe your record of achievement, experience and level of seniority. This should include any awards or recognition. Consider including where you feel you have made a real difference to your company or industry. What examples can you provide of your leadership skills and your ability to work at Board, ministerial or equivalent level. What experience do you have of business development and of working internationally?

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**Candidate's Statement:**

**Name:**

**Signed:**

**Date:**