Journal of the American Society of Legislative Clerks and Secretaries

2017-2018 Committee

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INFORMATION FOR AUTHORS

The editor of the *Journal of the American Society of Legislative Clerks and Secretaries* welcomes manuscripts which would be of interest to our members and legislative staff, including topics such as parliamentary procedures, precedent, management, and technology. Articles must be of a general interest to the overall membership.

Contributions will be accepted for consideration from members of the American Society of Legislative Clerks and Secretaries, members of other National Conference of State Legislatures staff sections, and professionals in related fields.

All articles submitted for consideration will undergo a review process. When the Editorial Board has reviewed a manuscript, the author(s) will be notified of acceptance, rejection or need for revision of work.

STYLE AND FORMAT

Articles should follow a format consistent with professional work, whether it is in the style of the Chicago Manual, the MLA, or APA. Articles should be submitted in MS Word, single spaced with normal margins.

All references should be numbered as footnotes in the order in which they are cited within the text. Accuracy of the content and correct citation is expected of the author. Specialized jargon should be avoided as readers will skip material they do not understand. Charts or graphics which may assist readers in better understanding the article’s content are encouraged for inclusion.

SUBMISSION OF ARTICLES

Articles for the 2019 Journal should be submitted electronically, not later than July 1, to the Chair:

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Inquiries from readers and potential authors are encouraged. You may contact the Chair by telephone at (916) 651-4171 or by email at Bernadette.McNulty@sen.ca.gov.

Letters to the editor are welcomed and may be published at the conclusion of the journal to provide a forum for discussion.
From the Editors

The editors of the ASLCS Professional Journal want to give special thanks to our international clerks and secretaries who have participated in our society and shared their expertise and experience.

Our society is stronger because of your involvement.

We, Thank you, very much!

Sincerely,

The Editors
The Career Management Structure for Procedural Clerks
at the House of Commons of Canada

submitted by
Beverley Isles

The Career Management Structure is a human resources management approach that establishes how procedural clerks at the House of Commons are classified, appointed and promoted. It also assists procedural clerks in achieving their career objectives within the organization.

While originally introduced in the early 1980s, the system came to its current form towards the end of that decade. Today, this career framework continues to facilitate and promote the continuous development of a corps of approximately 70 professional clerks who are able to offer expert advice on parliamentary procedure, practice and privileges, as well as provide administrative support in the daily operation of the House and its committees, parliamentary associations, and exchanges; this promotes organizational agility, which allows for meeting changing client and organizational needs. It also offers a channel for encouraging and recognizing capable and talented individuals, and facilitates the development of human resources for management at all levels.

The Structure of the Procedural Profession

The procedural profession is composed of clerks at both managerial and professional ranks. Individuals at the professional levels are appointed as procedural clerks at the entry level; at that level, knowledge is developed through a combination of formal learning on parliamentary procedure and on-the-job training, and is demonstrated and applied through rotations to a variety of branches within Procedural Services, an organizational structure within the House of Commons administration.

At the senior level, in-depth knowledge of parliamentary procedure and administrative practices is demonstrated and applied through experience in more complex assignments. Individuals at this level typically take on leadership roles and undertake major assignments.

In addition to the Clerk of the House and the Deputy Clerk, Procedure, the structure of the procedural profession also includes managerial positions at the Clerk Assistant, Senior Principal Clerk, Principal Clerk and Deputy Principal Clerk levels. Most of these managerial positions are also subject to rotation.

Staffing to the Procedural Profession

Staffing of procedural clerks is generally conducted by way of a competitive process held when vacancies occur or when operational requirements demand it. In order to be considered in a
competition, candidates are required to meet certain basic entry requirements pertaining to education, language proficiencies in both official languages (English and French), certain defined competencies and personal suitability.

Newly-hired procedural clerks are under probation for a period of one year following their date of appointment, during which a systematic evaluation is conducted to ensure that they meet the basic competencies of a procedural clerk. At the end of the probationary period, a recommendation is made to the board responsible for decisions pertaining to rotations and promotions for procedural clerks (the Career Management Review Board), which will make the final decision.

Upon hiring, all procedural clerks become members of the Professional Institute of the Public Service of Canada union and are subject to the conditions of employment outlined in their collective agreement.

**Career Progression**

**ROTATIONS**

Rotation between the various branches in Procedural Services on a regular basis is one of the principal ways of ensuring the professional development of procedural clerks. Essentially, it is the systematic change of work assignments for the express purpose of developing experienced and versatile procedural clerks who can perform a wide range of tasks.

At least once a year, an invitation goes out to procedural clerks for them to identify positions in any given branch that may be of interest to them and for which they are eligible. Possible work assignments include: Committees and Legislative Services Directorate; Journals Branch; Table Research Branch; International and Interparliamentary Affairs Directorate; Parliamentary Information Directorate; Private Members’ Business Office; the Page Program; and the office of the Deputy Clerk, Procedure. The Career Management Review Board (CMRB) then meets to consider all requests for and recommendations on rotation assignments.

On occasion, rotation may involve a secondment or assignment elsewhere within the House of Commons. Assignments beyond these parameters may be considered when appropriate to the profession.

In selecting a candidate for rotation within Procedural Services, the CMRB considers operational needs, the candidate’s performance evaluations, and career objectives or requests. New procedural clerks are subject to rotation more quickly, normally within two years, so that they are able to fulfill the requisites for promotion to the more senior level of procedural clerk.

**PROMOTION**

The system of rotating staff from one branch to another also serves as part of the foundation of the promotion system for procedural clerks. Generally, the Career Management Structure stipulates that, in order to be eligible for promotion from the entry level to the senior level, procedural clerks must demonstrate, in four years at the entry level, satisfactory performance or better in at least two different positions; exceptionally, promotions are awarded with less than four years at the entry level if there is demonstrated superior performance in at least two different environments. In all
cases, candidates for promotion must demonstrate all required competencies and pass second language evaluation tests at the required levels.

**PERFORMANCE EVALUATIONS**

Every year, each procedural clerk’s performance is formally evaluated in writing by their manager. The performance evaluation is an integral part of the Career Management Structure and is based on objectives set at the beginning of the review period and on the competency profiles established for procedural clerks at both the entry and the senior levels. Less formal feedback is also provided throughout the year, including via a mid-cycle meeting between the procedural clerk and their manager.

Performance evaluations provide a basis for recognizing performance, identifying areas for improvement and improving communications between the procedural clerk and the manager. They also serve as a source for training and development, and for recommendations to the Career Management Review Board on rotations and promotions.

**A Tool that Has Proven Useful**

Over the years, the implementation of the Career Management Structure has provided a platform that enables a multi-faceted approach to the professional and career development of procedural clerks at the House of Commons. This innovative methodology guarantees the availability of qualified and flexible professionals within the Procedural Services’ workforce that can be quickly mobilized to different areas and respond to unforeseen staffing needs, while continuing to provide a high level of service to parliamentarians. On numerous occasions, procedural clerks have been called upon on short notice to either fill in unplanned absences or to lend a hand to a specific branch or with a specific project under extraordinary circumstances. The Career Management Structure has established a pool of dedicated professionals from which to draw for the staffing of managerial positions.

Procedural clerks also benefit from the existence of the Career Management Structure as it provides them with a clearly defined process that allows for their active participation in the achievement of their career objectives. It also provides for new challenges and responsibilities throughout a career without having to change organizations. There are regular occasions to communicate personal and professional interests and aspirations, to develop a customized professional development and learning plan, and to profit from opportunities to build on and grow professional experience. The Career Management Structure also allows for flexibility in such plans, based on the personal circumstances and interests of each individual, as the opportunities for movement within Procedural Services are ongoing.

The high level of professionalism and commitment to the institution of procedural clerks at the House of Commons are living testament to the success of this unique approach to the management of its human capital. The House of Commons is very proud of the Career Management Structure and of the benefits it has generated to the organization; it remains confident that its ongoing application will continue to ensure professional excellence within its ranks for many years to come.
“DEALING WITH MEMBERS’ EXPECTATIONS”

How to recognise difficulty; self-awareness; communications gaps; personality clashes; best alternative to ongoing dispute; vacating the field; finding an outcome; fielding a substitute

This is a modified version of a paper presented at the ANZACATT Professional Development Seminar held in Darwin, January 2014

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INTRODUCTION

This paper takes a multi-layered approach in addressing the topic “Dealing with Members’ Expectations” of the House focused stream of the seminar. The first layer will explore the clerks’ perspective and the profession’s own expectations in terms of dealing with members. The second layer will attempt to ascertain what members themselves expect of clerks. The final layer will be to draw on personal experience, address the facets that are proposed as discussion points under the heading and then suggest some guiding principles that both clerks and parliamentary officers may use in “the art of being a clerk” when dealing with members.

CLERKS’ PERPECTIVES

The characteristics, skills and qualities expected of parliamentary officers are well known to those in the profession. This layer will first look at the role of clerks and the required attributes to perform those functions. As the little of what has been written on this subject has been written by Clerks themselves, this layer will also explore what some clerks have seen as their roles and the boundaries. This layer forms the foundation for parliamentary officers to approach dealing with members’ expectations.

There are the traditional formalities of the role of clerks, for example, such as outlined in Erskine May’s Treatise on The Law, Privileges, Proceedings and Usage of Parliament, (at page 197, 22nd ed., Butterworths, London 1997) in regard to the Clerk of the House of Commons:

“to make true entries, remembrances, and journals of the things done and passed in the House of Commons; signing and endorsing various documents; responsibility for the custody of the records of the House; assisting the Speaker and advising members in relation to proceedings in the House; and those relating to being the corporate officer of the House.”

1 Note that in most places in this paper the word “clerk” is used generically and may be interchanged with “parliamentary officer”.

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In the parliaments of the Commonwealth of Australia and New Zealand legislation prescribes the broad roles of the Clerks. The roles are couched in corporate language and set out in section 57 of the Parliamentary Service Act 1999 (Aust) and section 3 of the Clerk of the House of Representatives Act 1988 (NZ) respectively. Those sections are reproduced in appendix one.

Formal position descriptions may also be used to flesh out the skills and expectations of clerks through the selection criteria for the jobs. At the time of writing the original paper there had been two relevant recruitment notices: for the Clerk of the House of Representatives of Australia in October 2013; and, for a generic Clerk-Assistant position on the staff of the Legislative Assembly of New South Wales advertised in March 2012.

The advertisement for the Clerk of the House of Representatives had among the selection criteria:

“Have extensive knowledge of, and experience in, relevant Parliamentary law, procedure and practice; …. and demonstrate a high standard of professional and personal integrity.”

The job overview stated that:

“The Clerk is the principal adviser in relation to proceedings of the House to the Speaker, Leader of the House, Manager of Opposition Business and to members generally. The Clerk’s advice is given both in the chamber when the House is sitting and at other times, and may be in oral or written form. Each member has access to the advice on the basis of equality and confidentiality.”

The job description for the Clerk-Assistant position included providing “authoritative advice to the Speaker, Ministers, chairs of committees and members on Parliamentary law, procedure, practice including committee inquiry processes…”. Another criterion is the “Ability to exercise tact and discretion and to take an apolitical stance when dealing with members, and maintain strict confidentiality.”

Three significant attributes required of a clerk jump out from these recruitment notices: providing advice on procedure; the manner in which to deal with members (apolitically and equally, with tact and discretion, maintaining strict confidentiality); and, maintaining personal and professional integrity.

In the course of preparing this paper I also came across a number of written works. All are worthwhile reading. A summary of some of the insights from each follows.

The first is the book Servant of the House (Heinemann, Melbourne 1969) written by Frank Green, the Clerk of the House of Representatives from 1937 to 1955.

When Green transferred from the Tasmanian parliament to the House of Representatives the Clerk then was Walter Gale who had previously been on the staff of the Parliament of Western Australia. At page 33 Green described Gale’s manner as:
“…patience and tolerance in handling politicians. He kept himself completely aloof from politics, and when compulsory voting was adopted was fined for refusing to vote, holding that in his position he should not be expected to.”

“An Ideal Parliamentary Official”, The Table for 1960 (vol. XXIX) pp. 18 – 25, is a quaint article by S.L. Shakdher, Joint Secretary, Lok Sabha Secretariat of India. He suggests sixteen areas for a parliamentary officer, not necessarily clerks, to grow both as an ideal parliamentary officer but also to be the best possible person you can be! I commend those pointers. His pointers have stood the test of time and are listed in appendix two. Three of the pointers that personally resonated with me are: patience and self-control; resolving complicated matters; and, respect for members.

“The Role of the Clerk”, Legislative Studies Spring 1987 Vol. 2 No. 2 pp. 8 – 12, by Alan Cumming Thom, Clerk of the Senate of Australia, was first presented at the Presiding Officers and Clerks Conference held in the Cook Islands, May 1987. Cumming Thom starts with a reference to a letter from a former President of the Senate sent to him upon his appointment as Clerk. The “learned Clerks” are described as being the “transmission belt of parliamentary proprieties”. In exploring the role of the Clerk he traverses issues wider than just procedural, committee and administrative work. He talks of being involved in activities for “the promotion, the study or the wider knowledge of the parliamentary institution.” He distilled all aspects of the role down to being “in the service of the Senate”. Clerks should work to act in the interests “…of the Chamber, its Presiding Officer and members…”.

The House Magazine dated June 7 1989, vol. 8, no. 13 (pp 5 & 6), published an article “Why Parliamentary Officers must advise MPs” written by Harry Evans, Clerk of the Senate of Australia. This article succinctly and cogently gets to the essence of the role of parliamentary officers, again note not just clerks. He outlines ways of advising both the government and the opposition. He observes that as oppositions have much fewer resources, parliamentary officers spend a lot more time advising non-government members. Evans states that this is fundamentally a great point of difference with public servants, who are exclusively servants of the executive. A second great point of difference is that in giving advice a parliamentary officer takes on potentially an immense degree of individual responsibility. This article in many ways is the best of this selection in terms of dealing with members’ expectation. At page 6 he writes that a:

“parliamentary officer, therefore, is often in the position not only of saying: You cannot do that Senator, because it is against the rules”, but also, quite often, of saying: You should not do that, Senator, because there are very strong arguments against it, and there is a better way of pursuing your aim without such difficulties.”

There was an article published in The Parliamentarian, 2010: Issue Two (pp 156 – 157), “The Essential Characteristics of the Clerk of Parliament” written by Mr S.N. Darkwa, a retired Clerk of the Parliament of Ghana. This short article neatly sums up the basic essential characteristics for clerks: “working behind the scenes”; principal procedural advisor to the Speaker and all members; providing timely and accurate advice; neutrality; patience; think clearly and quickly; speak forthrightly but tactfully; have and maintain integrity; have more than a stiff and formal relationship with the Speaker; motivating, promoting and supporting staff.
Most recently Rosemary Laing, the then Clerk of the Senate of Australia, presented a paper “Here be Dragons: The Advisory Role of Clerks”, at the 44th Presiding Officers and Clerks’ Conference held in Canberra, in June and July 2013. A pertinent paragraph in the context of this topic is:

“Defence of, and advocacy for, the integrity and rights of the parliamentary institution is a central and legitimate function of clerks when the occasion demands it, including in public forums. Such advice is invariably based on a detailed knowledge of the underlying parliamentary law, practice and precedent, one reason that it can take a long time to make a clerk.”

Thus, the professional roles and responsibilities expected of clerks and parliamentary officers may be classified as: record keeping; providing advice; the style and manner in dealing with members; managerial; and, an “advocacy” for the institution. All clerks and parliamentary officers can in large part relate to what has been written by the parliamentary officers referred to above. They even provide guidance and reassurance for parliamentary officers in their dealings with members. In his introduction, Shakdher mentions withstanding “…all the shocks and vicissitudes… …over long years of service” (at page 18). One thing that all parliamentary officers do have in common are the trials and tribulations that are faced from time to time. They may come in many guises!

MEMBERS’ EXPECTATIONS

Many of the guises of the trials and tribulations faced by parliamentary officers stem from any discrepancy between members’ expectations vis-à-vis the standards and expectations that clerks have in fulfilling their roles. This layer of the paper attempts to find out what members’ expectations of parliamentary officers might be.

Clerks-at-the-Table are anonymous at the best of times but in terms of political biographies and the like clerks do not make it into the index and therefore generally do not exist in public consideration. The most readily accessible information about members’ expectations may be gleaned from the results of any surveys of members and from Parliamentary Debates. In 2008 the Legislative Assembly of New South Wales engaged consultants to conduct a “customer” survey of members across the range of services then provided by staff of the Legislative Assembly. The premise to the survey was:

“These days customers are becoming more demanding. They are demanding on issues such as quality, timeliness and service. Increasingly customers are also interested in relationship building so you can help them effectively achieve their goals. Loyalty and trust are emerging as key indicators of customer satisfaction. This survey is designed to measure the loyalty, the trust and relationship in general”.

Similar surveys were conducted in 2009 and 2010 as well. Some of the questions asked of members pertinent to this topic were:

“How satisfied are you with the quality and timeliness of advice given by the clerks-at-the-table on parliamentary practice, procedure, standing orders and legislation?”
“Have you sought advice from the Procedure Office about petitions or questions on notice?”

“How satisfied are you with availability and accuracy of House papers (that is, the Votes, the Business Paper, the Questions and Answers)?”

Members were interviewed by telephone and asked to rate their response on a scale of 1 to 10. In 2008, 43 members were interviewed; while 47 members were interviewed in both 2009 and 2010. While the responses were kept anonymous, the ratings were grouped by party and whether a member represented an urban or regional electorate. Over the three years, across the board, the ratings were consistently quite high between 8.0 and 8.9.

Whilst the survey sought to quantitatively rate the business units of the Legislative Assembly, members were also given the opportunity to make general comments to explore their perceptions about the services provided. The survey questions were too broad and not qualitative enough for the purposes of this paper. Yet the relevant responses are able to be classified as giving advice and the style and manner. Selected responses in relation to clerks are included in appendix three.

Hansard can also provide some insight into members’ expectations by reading what members have said about retiring Clerks. Examples at the time of writing the original paper were: Russell Grove, former Clerk of the Legislative Assembly of New South Wales; and, Bernard Wright, former Clerk of the House of Representatives of Australia.

On Thursday 20 October 2011, the Legislative Assembly debated a motion to mark the retirement of Russell Grove (Parliamentary Debates pp. 6866 – 6887). On Thursday 12 December 2013, the House of Representatives similarly debated a motion to mark the retirement of Bernie Wright (Parliamentary Debates pp. 102 – 104) and later in a valedictory debate (Parliamentary Debates pp. 107 – 114).

The words spoken in the debates convey the high regard those Clerks were held in. The flavour of what was said comes across in words like: indebtedness; longevity (both had more than 40 years’ service); their personal qualities; and the ability to blend the personal and professional. Selected quotes may be found at appendix four.

In the case of Russell Grove, after the Speaker made the announcement of Clerk’s retirement, twenty-two members spoke to the subsequent motion moved by the Premier. Indeed the House spent the whole morning on this debate, replacing a morning of general business. The debate was also interrupted for the Speaker to host a morning tea for the retiring Clerk in the Speaker’s garden.

Naturally, members will be glowing in what they say on these formal set piece occasions that reflect back on the long service of retiring clerks. In the debates members did give hints to some “trials and tribulations”. Without indicating what the circumstances were, they all said that there outcomes were satisfactory.

The debates highlight members’ appreciation of the soundness of the advice given by these clerks and the manner and style it was conveyed. It follows these are reasonable expectations from all parliamentary officers.
A PERSONAL PERSPECTIVE

While surveys and speeches at valedictories reveal a lot about members’ expectations, they do not show all of the circumstances behind those expectations. Thus I invited eight members of the Legislative Assembly for one-on-one discussions in an attempt to get beneath the survey ratings to obtain a fuller sense of their expectations of clerks and perhaps validate the ratings of the earlier surveys.

The members interviewed ranged from a minister, a parliamentary secretary, occupants of the Chair, a shadow minister and government and opposition backbenchers. The selection also included a mix of both longer serving and newer members. The discussion starters circulated to the members beforehand are included in appendix five. As the discussions were directly with members in relation to their expectations, their responses provide a fairly accurate road map of how to deal with those expectations.

Thus this final layer of the paper will distil the salient points from those discussions and flesh them out with observations and lessons from events in my own experience in order to suggest a framework within which to deal with members’ expectations.

These discussions confirmed members’ expectations in terms of technical skills and the style and manner of clerks. Members also felt that the clerks had a role in educating members. However, surprisingly to me, a number of members also intimated an expectation that clerks are there to “safeguard” the institution. Edited responses are included in appendix six and have been collated under three classifications as follows.

Technical Skills

One member said that they “go to the clerks first for advice as politicians don’t always understand the standing orders”

Like fellow clerks, members expect clerks to have a very sound and extensive knowledge of the standing orders and how they are applied through practice and precedent, knowledge of how practice and procedure have evolved and the principles behind them.

A clerk’s technical skills will help explain the reasoning behind proceedings, courses of action taken and the decisions made in the House. The greater your knowledge of the technical aspects of procedure, the greater your capacity to deal with members in the chamber when proceedings heat up. Knowledge of the principles will also help a clerk analyse, and consequently work through, procedural situations and problems to ensure consistent practice and establish sound precedents whenever required. It also means a clerk will be able to react almost instantaneously to advise the chair or a member and therefore be less obtrusive in proceedings.

In cases when you are in the chamber and a member asks for information or advice and you do not know, say so to the member immediately. Refer the member on to the right officer or section. If it is not confidential, perhaps even sit in with that officer when they provide that information. If the
member has the time, give the member an undertaking to get the information or advice they are seeking and then get back to the member as quickly as possible. These processes will help you learn as well as build up experience and confidence.

**Style and Manner**

“The most important qualities in clerks are: confidentiality; impartiality; and, be able to give frank advice.”

Respect and keep the confidences of members. Do not “gossip” about what is said, even if the matter or advice is seemingly innocuous. Do not sugar coat advice. Offer alternatives or options to better help the member achieve their desired outcome. Use your judgment and tact.

Through circumstances clerks will, from time to time, find themselves in very difficult situations in the chamber, such as when there is uproar with members expressing anger - maintain grace under pressure. Do not judge members and be apolitical, particularly when the House is rowdy. Be mindful of your demeanour and body language – members will pick up on it. If you are being baited by members – ignore them and do not react.

Be attentive and responsive to members’ requests. Do not be terse or show annoyance. Members expect clerks’ reactions to be quick, unemotional and calm.

Be mature in your dealings with members. Be respectful – I still refer to members by the appropriate honorific and say Madam/Mr Speaker, Premier, Minister, Mr, Ms or Mrs. This sets a slightly formal tone but it is balanced by treating members and engaging with them as human-to-human outside the chamber.

If you make an error, notify the member immediately and apologise – don’t blame anyone else.

**Safeguarding and Educating**

“The clerks have a role in safeguarding the parliament.”

Face up to your responsibilities to the institution in carrying out your duties. This can be as straightforward as bearing in mind the customs and practice of the House or protecting the Chair. As the occupants of the Chair that responded to me they expect to be supported in those roles by the clerks. The skill and experience of the members who occupy the Chair varies from the Presiding Officer, Deputy, Assistant and through to those Acting. Be very mindful of who is in the chair and their preferred means and levels of support. Maintain those expectations of support. Keep them updated on proceedings and ensure that the appropriate form of words is always at hand for them.

There will be occasions when clerks will have to assert the House’s position against outside bodies, for example in relation to privilege. In New South Wales interesting examples include:
• conveying a resolution of the House to solicitors who on behalf of a client “threatened” a member if he screened an anti-tobacco film in the Parliament’s theatrette (19 September 1984, V. & P. no. 11, p. 81 of session 1984-85-86);
• seeking counsel to intervene as *amicus curiae* in the Abe Saffron case asserting privilege over *in camera* evidence that had been taken before a select committee that the prosecution had obtained and wanted to use in the trial (16 September 1987, V. & P. no. 83, p. 859 of session 1986-87-88); and
• officers of the House recently negotiated a memorandum of understanding with the Independent Commission Against Corruption to cover the execution of search warrants in electorate offices.

The Legislative Assembly also maintains the practice of not allowing the service of court summons on the premises. For example the Minister for Mines is regularly being requested to adjoin cases involving disputes over mining leases given by the minister. The niceties are maintained with the documents being served on the footpath.

The paper now turns to address the sub-topics: “how to recognise difficulty; self-awareness; communications gaps; personality clashes; best alternative to ongoing dispute; vacating the field; finding an outcome; fielding a substitute.”

**How to recognise difficulty?**

“The executive is prone to barge through, so the clerks have to find a way through and yet ensure that the safeguards are not torn apart.”

If you are in a situation that you are not familiar with, observe and learn from senior clerks. Tap into their experience. Ask questions - why were proceedings conducted in a particular way? If you are by yourself at the table always keep an eye on and be prepared for the next item of business. Proceedings can be unpredictably swift. If you do not know what the next item of business is inquire of the Leader of the House well beforehand to ensure you read the right next item of business! Do not be afraid to call for support at the table or for a second opinion or confirmation as to what you propose to do for re-assurance from more experienced officers.

Be attuned to the mood in the chamber. However, do not be complacent if proceedings are tranquil. Rather be alert as the mood can quickly change. In terms of members, especially key members, observe who comes and goes from the chamber. Know the member’s chamber persona. Is the member provocative, fussy, relaxed, confident, unsure or hesitant? Does the member like to take points of order? Be alert to member activity around the chamber. For example, if there is a less experienced occupant of the Chair certain members might take advantage and disrupt proceedings.

Have some awareness of what is being debated in the chamber. What is the member’s debating style like - measured or are there likely to be issues with relevance that might draw a point of order?

Maintaining confidentiality can place a clerk in the awkward position of knowing something is planned to happen, or is unfolding, but not being able to let the other side know. If you are privy to
such information, be subtle and circumspect. For example, if an opposition member asks, you could suggest that they ask their Whip or the Leader of the House. If you are asked for procedural advice, you could suggest the member try various options without letting on about scenario that is about to unfold.

In really difficult political situations in the House you might be put on the spot, such as being told by any number of Leaders of the House here are the ends, you find the means! If you are simultaneously being asked for advice from the other side, don’t give any more information than that which has been asked for. Do not offer advice that hasn’t been asked for. To do so could verge on being political. You will place yourself in a difficult position as next time the member might ask “why didn’t you tell me about that”.

Self-awareness?

From one member’s point of view “There is nothing worse than a clerk that is hesitant”.

In the chamber be alert and maintain your concentration on the proceedings. If you lose the confidence of a member it is very hard to regain that confidence. Your technical knowledge, expertise and preparation will give you confidence to deal with most difficulties. However, members do have some awareness of the competency of a clerk. Thus, equally individual officers should have the self-awareness of their limitations and any weak areas. Work on strengthening those weaknesses and building up your experience, for example by:

- spending more time in the chamber, if possible, particularly when there might be unusual proceedings;
- offering to undertake research or projects in procedural areas;
- debriefing and discussing proceedings with peers.

Self-awareness also means you are able to recognise your emotions as soon as they appear so you can manage them and maintain self-control. This is important in terms of a parliamentary officer’s style and manner. For example, if you have a gut feeling that the member might not like what you will be telling them, prepare your argument and be conscious how you convey the message.

In a cosmetic sense look the part of a clerk-at-the-table. Convey the appropriate right image to members. Members are aware of and watch the clerks to see what they do. Also you might be on camera!

Gaps in Communication?

“Being approachable; being able to explain technical matters using plain language.”

Elicit all the information and background you can get from a member so as to be better informed when providing advice to that member. Some members might not tell you all the facts so as to skew your advice in a way that will suit the member. It is good discipline to quiz the member so as to cover all the facets of the query.
Some members may go from clerk to clerk shopping for advice. Pass on your advice to colleagues so you can all be consistent in the advice provided to that member. Better still, if possible, consult with your colleagues first to agree on the advice to be given. Also if there is a potential flash point, keep the Clerk and the Presiding Officer appraised of the matter as there will be times when the member will escalate the matter directly to either or both the Presiding Officer and Clerk.

Do more than communicate with members, where possible engage them to nut out the issue and help settle misunderstandings or differences in interpretation and application. Have some empathy to assist you to understand the member’s issue. Do not use jargon in explaining procedural matters.

**Personality clashes?**

“Clerks should have good interpersonal skills”

Work on building up good working relationships with all members, especially the key members such as occupants of the chair, Leaders, Leader of the House and Shadow Leader of the House and both sets of Whips. Having a solid working relationship with a member places a parliamentary officer in a position where bad news can be delivered without detracting from that relationship. Note the comments that were made by members indicating a preference for frank advice.

Have some emotional maturity. Carrying grudges against members will impact on your objectivity. Don’t be judgemental of members. Members come from all sorts of backgrounds and have varying levels of education and experience.

**Best Alternative to ongoing dispute?**

“… a clerk should consult with the member.”

The best alternative to an ongoing dispute is to resolve it! The next best is prevention. One measure might be for a parliamentary officer to keep their ego in check. Do not be clouded by your subjectivity – you could be wrong.

Keep an open mind. Members are under all sorts of pressures that we might not be aware of. Members cannot see issues of interest to them in an objective manner. Be empathetic to the member’s point of view. Members are elected. We are not! It follows that we do not make the decisions for them. Our role is to facilitate members with information and advice to assist them make the decisions.

If a situation does evolve into a dispute, inform the Clerk – so there are no surprises. The Clerk would also be able to provide you with the support and guidance to resolve the matter. Clerks need to maintain working relationships with members.

A solid working relationship also forms the basis upon which to resolve disputes with members. Use your conflict management skills to actively engage with the member to end a dispute. Meeting face-to-face with the member provides the opportunity for both the member and officer to drill
down into the issues in question. Members expect that of parliamentary officers. Try to find a solution that the member can live with and yet maintains the integrity of established practice.

Vacating the field?

“In the House the numbers trump the clerks know best”.

Know that your advice or position is right. Check with the senior officers. Be respectfully assertive in negotiations with the member. Push to find a compromise. However, be pragmatic. If a compromise cannot be reached then the matter will be referred to the presiding officer for determination. Such circumstances arise with the vetting and editing of notices or questions on notice to ensure they are in order. The respective standing orders in the Legislative Assembly contain interpretative elements that are applied to each notice or question on a case by case basis. There might be occasions when the presiding officer rules in favour of the member. Accordingly the officer has to withdraw.

If your judgement and application of the standing orders is not unreasonable then do not take vacating the field personally. In the end it is the judgement and the authority of the presiding officer or indeed the numbers in the House that counts.

Finding an Outcome?

“Keep an open mind when dealing with members and look for the common ground.”

In a political environment an issue may be referred to the presiding officer to determine an outcome. If possible it is best to not let an issue escalate to that stage. In negotiation with the member let them know that if a mutually agreeable outcome cannot be reached then it will be left to the presiding officer to determine. This is an accountability measure for the officer – as it should be. Go to the Clerk in the first instance as the presiding officer might not appreciate having to adjudicate on what they might regard as procedural minutiae but to you it is a point of high principle.

Look for the common ground with the member first. If the matter is not time critical be patient and wait for an opportunity to arise down the track. This is because not every situation is black and white. Not only is there is interpretative scope but practice and procedure evolves.

To use the example of vetting notices of motions, editing is performed not to censor the member but rather to ensure that the notice conforms to the custom and practice of the House to enable it to be published. In this task the officer should always go to the member to get their approval. However, once an understanding has been established with the member it is not always necessary to go back so long as the essence and intent is retained in the published form. Clerks can also help members circumvent the same question rule with some judicious editing of the notice.
Fielding a substitute?

One member made the observation that “some clerks have more capacity than others”

The occasions when a substitute officer needs to be fielded should be very rare. They might arise in a situation of actual or perceived conflict of interest. Alternatively, the issue could be with a member who might request not to deal with a particular officer. If an officer encounters difficulty with a member, the Clerk and senior officers should be informed. In relation to procedural matters another officer could subtly deal with the particular member. My suggestion would be to seek “strength in numbers”. An officer should seek the support of senior officers and deal with the member concerned together in support. It will also demonstrate support for the officer concerned. More experienced senior clerks have the responsibility to not expose less experienced parliamentary officers into a situation that is out of their capacity to deal with.

Conclusion

Nothing beats one’s own experience. Each parliamentary officer will be shaped professionally through their own experience and the variables of their own jurisdictional environment, standing orders, practice and context, as well as their individual skills and abilities. So not all the suggestions might be applicable in your jurisdiction however, the sub topics of this workshop provide a framework within which each parliamentary officer may assess means of dealing with members’ expectations.

Personally, through the process of conducting discussions with members, albeit a small number, to prepare this paper I came to the conclusion that members have very high expectations of staff. It seems to me that clerks’ and members’ expectations of the role of clerks are fairly well aligned. This came across quite strongly through the members’ view of clerks having a role in regard to “safeguarding” the institution. For various reasons members also notice staff and what we do. I also believe that members do really appreciate the clerks. I think that parliamentary officers can be most re-assured by that, even at times when they might not think so. As a consequence it is incumbent upon parliamentary officers to do their very best to meet the expectations of our members.

Finally, as I was the clerk in the ruling below it took me quite some time to realise that I should not take the events that occur in the supercharged atmosphere of the chamber personally. So bear in mind the words of Speaker Rozzoli’s ruling:

“All any member is entitled to seek the guidance of the Clerks about the form that a motion should take. Members are entitled to vary, accept, or treat the advice of the Clerks as they see fit. However, the Chair has an overriding authority to rule on matters of procedure as they arise. If the Chair is of the view that a motion is incorrectly framed; even if the Clerks' advice is followed to the letter by a member, it is the Speaker's prerogative to overrule that advice.”

_NSW Parliamentary Debates_, 15 September 1988, page 1337
APPENDIX ONE

CLERK OF THE HOUSE OF REPRESENTATIVES ACT 1988 (New Zealand) – section 3:

“The functions of the Clerk of the House of Representatives shall be—

(a) to note all proceedings of the House of Representatives and of any committee of the House:
(b) to carry out such duties and exercise such powers as may be conferred on the Clerk of the House of Representatives by law or by the Standing Orders and practice of the House of Representatives:
(c) to act as the principal officer of the Office of the Clerk of the House of Representatives and, in that capacity, to manage that office efficiently, effectively, and economically:
(d) to ensure that staff of the Office of the Clerk of the House of Representatives carry out their duties (including duties imposed on them by law or by the Standing Orders or practice of the House of Representatives) and maintain—
   (i) proper standards of integrity and conduct; and
   (ii) concern for the public interest:
(e) to be responsible, under the direction of the Speaker of the House of Representatives, for the official reporting of the proceedings of the House of Representatives and its committees.”

PARLIAMENTARY SERVICE ACT 1999 (Australia) – section 57:

Roles and responsibilities of Secretaries

Roles of Secretaries

(1) The roles of the Secretary of a Department include, but are not limited to, the following:
   (a) principal adviser to the Presiding Officer on matters relating to the Department;
   (b) leader, providing stewardship within the Department and, in partnership with other Secretaries, across the Parliamentary Service;
   (c) any other role prescribed by the determinations.

Responsibilities of Secretaries

(2) The responsibilities of the Secretary of a Department are as follows:
   (a) to manage the affairs of the Department efficiently, effectively, economically and ethically;
   (b) to advise the Presiding Officer about matters relating to the Department;
   (c) to implement measures directed at ensuring that the Department complies with the law;
   (d) to provide leadership, strategic direction and a focus on results for the Department;
   (e) to engage with stakeholders, particularly in relation to the core activities of the Department;
   (f) to manage the affairs of the Department in a way that is not inconsistent with the interests of the Parliamentary Service as a whole;
(g) to assist the Presiding Officer to fulfil the Presiding Officer's accountability obligations to the Parliament to provide factual information, as required by the Parliament, in relation to the operation and administration of the Department;
(h) such other responsibilities as are prescribed by the determinations.

(3) Subsection (2) does not affect a Secretary's responsibilities under any other law.
APPENDIX TWO

Shakdher’s Sixteen Pointers

- Service to the Country
- Attitude of Objectivity
- Spirit of Tolerance
- Supply of Factual Information
- Patience and Self-Control
- Attitude of Greatness
- Avoiding Publicity
- Upholding the Dignity of the Speaker
- Advising the Parliamentary Committees
- Knowledge of Men and Affairs
- All Work is Alike
- Resolving Complicated Matters
- Quickness of Action
- Respect for Members
- Part of the August Body
- An Ideal to be Cherished
APPENDIX THREE

Selected Responses from the Survey of Members of the Legislative Assembly of NSW

“There could be a bit more advice and be more flexible with Members. The rule that you have to lodge a petition by before midday should be changed to 1.30 pm.”

“Procedures are sometimes confusing.”

“...the consistency of applying the standing orders needs a look at.”

“There was one issue with the sessional orders... and I thought I was given the run around.”

“I haven’t had timely advice.”

“There have been some matters I have brought to people’s attention that haven’t been addressed quickly enough.”

“Often we don’t get enough information. It is important for us to have information sessions, but this does not occur.”

“There have been a few instances when there was an issue conflicting advice from different Clerks. I raised concerns in terms of process issues to announcements and it wasn’t handled well. However, on general matters they are good.”

“Make us aware of how they can assist, rather than assuming that everyone knows what they do.”

“The thing is that the procedure is now so distorted, it is almost irrelevant”.

The surveys ended with two questions asking if members had any particularly good or bad experiences in the previous 12 months and if they had any comments about the Department that they would like raised with the Speaker. Some of these responses were:

“The Clerks give very good advice in relation to parliamentary matters. All staff are pleasant and polite.”

“I would like to see more open communication.”

“They have been very helpful when I have had questions about procedure.”

“I find being provided with timely advice is a key and could be improved.”

“Generally everyone is very competent. There needs to be a bit of work on the service ethic. I bring down questions on notice and I’m instructed to type them up and email them, which is too much unnecessary word processing.”

“I have probably disagreed with the advice given by the clerks in the past.”

“We need them the most for procedural advice.”

“Briefing of newer members on how they can gain rapid and timely access to business papers, bills and business.”

“There needs to be greater support for the new MPs in terms of training and induction, and there should be information sessions on standing orders when they change. Most things are pretty good.”

“I am not good at getting a “no” answer. I would prefer a ‘how can we make this happen’ approach.”
APPENDIX FOUR

“...loyally and skillfully provided advice without partisanship.”
“...served with good humour and impassiveness and impartiality that has seen him win bipartisan support.”
“...has always conducted himself with aplomb…”
“...the one constant would be the Clerk…”
“...advice has been impartial…”
“... appreciate the high-quality procedural advice…”
“He …was from the old school.”
“...gave me advice he did so with integrity…”
“... was the font of wisdom, very able to give guidance on all aspects of the parliamentary…”
“... on a number of occasions I relied on the advice … in the knowledge that he was being asked similar questions about political strategy and tactics by the other side and by the crossbench. The advice he gave me was exclusive to the question asked and it was given impartially. It had no bearing on advice he might have given to any other party seeking an opinion perhaps on the same matter.”
“...how much explaining [he] has done for us on things we did not understand.”
“They [the Clerks] have always been calm, friendly, helpful and wise, and ready to advise.”
“...your political impartiality has been absolute and renowned.”
“[He] has fulfilled his role without a hint of partisanship, either in fact or in perception.”
“...I have enjoyed your counsel.”
“We all rely on the experience and knowledge of the clerks.”
“...the clerks at the table must have the respect of both sides of Parliament…”
“...and his personal qualities. I speak specifically of his discretion and integrity.”
“...principal adviser on parliamentary law, practice and procedure to the Speaker and to all of us.”
“...motivated by a love of this institution…”
“...his legal skill, his profound understanding of the standing orders…”
“...been utterly fastidious, utterly dedicated and utterly faithful to your task.”
“The role of the Clerk…nearly always goes unheralded.”
“...that work does not go unnoticed and it is certainly appreciated.”
“...never-ending courtesy, his patience and his assistance.”
“...thank you for your personal friendship and assistance you have provided…”
“...I had the benefit of your wise counsel both in government and in opposition…”
“He is a gentleman. His character comes through in the way he has carried out that role.
“...his encyclopedic knowledge of parliamentary procedure.”
“...you have maintained that impartiality over a very long time.”
“...he has never allowed that friendship to intrude upon his impartiality…”
APPENDIX FIVE

Suggested Points for Discussion with Members

Discussion starters. Your thoughts and expectations are welcome on chamber related issues but not limited to:

- What is your understanding of the role of Clerks-at-the-Table?
- What do you think are the requisite qualities and expectations of the clerks?
- In what circumstances or procedural matters would you or have you sought advice from the clerks?
- Where do the clerks sit in your decision making path? For instance, do you go straight to the clerks, formulate a course of action within your party or with colleagues and only seek out the clerks later? Or perhaps do bring the clerks in from the beginning as there might be some impediments to your course of action?
- Have you ever been disappointed by the clerks? If so, how and what were the circumstances?
- What is the best way for a clerk to communicate advice to a Member? (for instance, face-to-face, email, phone call, assertive, direct, authoritative, equivocal etc)
- What support do you require during sittings?
- On what sort of procedural matters would you go to the clerks for advice?
- In what sort of instances have you been less than satisfied?
- Where you have had issues with the advice you received, how would you prefer or like to see any issues resolved?
- For instance, under what circumstances or matters would you consider escalating to either the Clerk or the Speaker for resolution?
- Are clerks adequately appreciative of the stress and pressure a member might be under in the chamber? If so, what sort of things would you like to draw to the collective attention of the clerks?
- Are you aware that questions on notice are vetted and edited before being published? Are you generally aware of the broad principles clerks use to edit or vet questions on notice? Have you been advised of those principles? Do the clerks advise of all changes or at least significant changes? Do you or have you accepted any such changes without question or do you request an explanation? Does this process meet your expectations? Do you have any suggestions as to how this could be improved? Should this be better explained at say induction for new members?
- Similarly, as above, in relation to notices of motions?
- Do you have any general comments about clerks, the interpretation of standing orders, procedure and practice?
- Is there anything you would like to see in relation to members’ expectations of clerks in the chamber procedure?
APPENDIX SIX
EDITED SELECTED DISCUSSION RESPONSES

Technical Skills

- places a great reliance on the clerks to provide the guidance to both members and the Chair for events to be in accordance with the way intended by the standing orders.

- clerks should be approachable in relating to members and have a very sound understanding of standing order, rules, practice, statutes and systems.

- all members expect total discretion, trust and competency from the clerks.

- for this member it is the government versus the opposition. Will seek advice from the clerks on the “serious stuff” to achieve the aims of foiling or outmaneuvering the opposition. Would like to see every weapon available to the government to use. In this member’s view the advice from clerks is overly cautious. Is open to being given advice with a range of options, including adventurous advice that pushes the boundary. What could be a “cautionary scale” such as “I would not recommend it” or “I cannot guarantee the Speaker’s decision”. In the cut and thrust of debate advice that sits on the sidelines is not what this member wants to hear. “Adventurous” means advice that is achievable beyond the standing orders – “you cannot do this because… however, to cut through the ice perhaps you could try this, although it has no guarantees”.

- expectations of the Clerks are to be objective; have a degree of experience and very good knowledge of the standing orders; be unemotional and not easily flappable.

- some clerks have more capacity than others.

- has freely sought advice whether in government or opposition. Believes the clerks are neutral and has never had reason to query the advice given. As an occupant of the Chair places much greater reliance on the clerks, especially on procedural matters. Expects to be informed of “what is happening next” and of any changes in the government’s programme. Appreciates having printed loqs to read. Is also aware that the Leader of the House and the shadow Leader and to a lesser extent the Whips determine tactics and make arrangements for proceedings. Hence, being kept informed of what is happening next is very important.

- will go to the clerks first for procedural advice (“as politicians don’t always understand the standing orders”). Uses the clerks for advice on clarifying standing orders, dealing with amendments and to discuss various scenarios. Felt sorry for the clerks being put on the spot as sometimes clerks are “tossed hand grenades”.

- members who argued with the clerks mostly don’t know what they are talking about and are usually wrong as they cannot take an objective view of their positions.
Style and Manner

- face-to-face communications to have things explained which also provide the opportunity to exchange views or to drill down and ask further questions. In terms of vetting and editing notices or questions, is okay with minor tweaks so long as the essence and spirit of the question or motion are retained.

- in regard to the vetting and editing of notices and questions did not wish to be advised of “minor” or grammatical changes.

- during sittings has asked incidental questions of the clerks and appreciates the availability and access to clerks.

- clerks should have good interpersonal skills

- rule of thumb was if the vetting or editing varied the intent of the notice or question a clerk should consult with the member.

- it is no secret that members are under all sorts of internal and external pressures. As clerks you are dealing with people that “are being pumped from pillar to post”. So keep an open mind when dealing with members and look for the common ground. Get an insight into them and bear that in mind as clerks in your approach and delivery.

- found that the personal is the best way for clerks to communicate with members. Mostly would accept the advice of clerks. However, if it involved a highly strategic matter, would try to find the common ground.

- qualities expected of the clerks are: honesty; being given “fair dinkum” with information; good guidance; confidentiality; being approachable; being able to explain technical matters using plain language.

- does not like clerks “sugar coating” words when vetting and editing of notices and questions. However, if the intent of the submitted notice or question is kept and it is worded in a “smoother” way than that is fine.

- knows that notices and questions are vetted and edited – any issues have been amicably resolved with the relevant clerk. Has no drama if the notice or question is just massaged or fine-tuned.

- most members are under stress and appreciate the consideration of the clerks with professional and clear advice.
• the most important quality of a clerk was being more certain with the advice – “there is nothing worse than a clerk that is hesitant”. Also the ability to make calm and considered decisions immediately - “advice needs to be immediate”. Is reassured by a clear response.

• has been disappointed twice in the advice of the clerks. Once in relation to the vetting of a notice of motion. On another occasion spoke to the Clerk afterward to draw attention to the standing orders. On both occasions “moved on”. Prefers face-to-face communications with clerks but that depends on the significance of the matter. Would discuss with the clerk concerned any differences or arguments over words and interpretations to find a compromise.

• the most important qualities in clerks were: confidentiality; impartiality; and, be able to give frank advice.

Safeguarding/Educational

• broadly, one of the main tasks of the clerks is to uphold the dignity of the Parliament so members can have confidence and respect in the place.

• in the House the numbers trumps “the clerks know best”. However, parliament should not be abused. Whilst the clerks have a role in safeguarding the parliament, governments will keep pushing and ask the clerks to “find ways for us to do this”.

• would very much like to see training in procedure provided for members. As a former teacher one of the ways of learning is doing, thus he suggested establishing “study groups” on sitting days.

• suggested follow up training for new members, say a catch up 6 months after the meeting of the new Parliament when they have had a chance to get a feel for the place. Ask them what are they finding? Introduce them to the gamut of procedure then, not at induction.

• it is not the role of clerks to frustrate the government. Not every situation is black or white but should be gauged within the big picture, minute by minute. As a minister decides on the tactic and the strategy. The clerks are there to provide the procedural means to implement it. Bluntly, the government has to achieve a particular outcome, yet is aware the executive is prone to barge through, so the clerks have a role to find a way through and yet ensure that the safeguards are not torn apart.

• in terms of procedural education for members it is better to convey things in a meaningful way using real time examples. Thinks there is a place for providing formal ongoing education to members in relation to the standing orders and procedure. What should be borne in mind is that members come from a range of occupations and new members do not want to hear a whole lot of jargon. Jargon might confuse members and many might not have the confidence to ask what it means.
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Fall 2017  Champagne, Richard  Organizing the Wisconsin State Assembly: The Role of Memoranda of Understanding

Spring 2003  Clapper, Thomas  How State Legislatures Communicate with the Federal Government

Spring 2008  Clemens, Laura  Ohio’s Constitutional Showdown
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