



## Establishment Committee

**Date:** TUESDAY, 17 OCTOBER 2017  
**Time:** 1.45 pm  
**Venue:** COMMITTEE ROOM - 2ND FLOOR WEST WING, GUILDHALL

**Members:** Deputy the Revd Stephen Haines (Chairman)  
Deputy Edward Lord (Deputy Chairman)  
Randall Anderson  
Sir Mark Boleat  
Deputy Keith Bottomley  
Alderman Peter Estlin  
Deputy Kevin Everett  
Sophie Anne Fernandes  
Deputy Jamie Ingham Clark  
Jeremy Mayhew  
Sylvia Moys  
Deputy Joyce Nash  
Barbara Newman  
Deputy Richard Regan  
Deputy Elizabeth Rogula  
Ruby Sayed  
Deputy Philip Woodhouse

**Enquiries:** Amanda Thompson  
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amanda.thompson@cityoflondon.gov.uk

**Lunch will be served in Guildhall Club at 1PM**  
**NB: Part of this meeting could be the subject of audio or video recording**

**John Barradell**  
**Town Clerk and Chief Executive**

# AGENDA

## Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES**
  - a) **Establishment Committee - 26 July 2017**

To agree the public minutes and summary of the Establishment Committee meeting held on 26 July 2017.

**For Decision**
  - b) **Establishment Committee - 25 September 2017**

To agree the public minutes and summary of the meeting held on 25 September 2017

**For Decision**  
(Pages 1 - 6)
  - c) **JCC Minutes - To Follow**

To receive the minutes of the meeting held on 15 September 2017.

*These will be circulated separately.*

**For Decision**  
(Pages 7 - 8)
4. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

**For Information**
5. **EQUALITY AND INCLUSION UPDATE**

Report of the Director of Human Resources.

**For Information**  
(Pages 9 - 12)
6. **EQUALITY AND INCLUSION UPDATE**

Report of the Director of Human Resources.

**For Information**  
(Pages 13 - 16)

6. **HUMAN RESOURCES BUSINESS PLAN - QUARTER 2 UPDATE**  
Report of the Director of Human Resources.  

**For Information**  
(Pages 17 - 22)
7. **HUMAN RESOURCES DASHBOARD - AUGUST 2017**  
Report of the Director of Human Resources.  

**For Information**  
(Pages 23 - 26)
8. **TOWN CLERK'S CORPORATE AND MEMBER SERVICES BUSINESS PLAN  
PROGRESS REPORT**  
Report of the Town Clerk.  

**For Information**  
(Pages 27 - 34)
9. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL BUSINESS PLAN  
2017-2018 PROGRESS REPORT AS AT 30 SEPTEMBER 2017**  
Report of the Comptroller and City Solicitor.  

**For Decision**  
(Pages 35 - 38)
10. **COMPTROLLER AND CITY SOLICITOR'S DEPARTMENTAL RISK  
MANAGEMENT REPORT**  
Report of the Comptroller and City Solicitor.  

**For Information**  
(Pages 39 - 46)
11. **PUBLIC SECTOR EQUALITY DUTY PRESENTATION**  
Report of the Director of Community and Children's Services.  

**For Information**  
(Pages 47 - 56)
12. **REVISED CAPABILITY PROCEDURE AND PROBATION PROCEDURE**  
Report of the Director of Human Resources.  

**For Decision**  
(Pages 57 - 96)
13. **USE OF VOLUNTEERS**  
Report of the Director of Human Resources.  

**For Information**  
(Pages 97 - 102)

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

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

16. **EXCLUSION OF THE PUBLIC**

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

**For Decision**

**Part 2 - Non-Public Agenda**

17. **NON-PUBLIC MINUTES**

**For Information**

a) **Establishment Committee - 26 July 2017**

To agree the non-public minutes of the meeting held on 26 July 2017.

**For Decision**  
(Pages 103 - 104)

b) **JCC Non Public Minutes - To Follow**

To receive the non-public minutes of the meeting held on 15 September 2017.

*These will be circulated separately.*

**For Decision**

18. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

**For Information**  
(Pages 105 - 106)

19. **EMPLOYMENT CASES AND SETTLEMENTS**

Report of the Comptroller and City Solicitor.

**For Information**  
(Pages 107 - 118)

20. **RESOLUTION FROM THE HOUSE COMMITTEE OF GUILDHALL CLUB**

To follow.

**For Information**

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

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

**Part 3 - Confidential Agenda**

23. **CONFIDENTIAL MINUTES**

**For Decision**

- a) **Establishment Committee - 26 July 2017**

To agree the confidential minutes of the meeting held on 26 July 2017.

**For Decision**

- b) **Establishment Committee - 25 September 2017**

To agree the confidential minutes of the meeting held on 25 September 2017.

**For Decision**

24. **FLEXIBLE RETIREMENT AND JOB SHARE REQUEST**

Report of the Director of the Barbican.

**For Decision**

25. **PAYROLL ADMINISTRATION**

Report of the Chamberlain.

**For Decision**

26. **STAFF RESOURCES IN THE COMPTROLLER AND CITY SOLICITOR'S DEPARTMENT**

Report of the Comptroller and City Solicitor.

**For Decision**

27. **REPORT OF THE TOWN CLERK**

Report of the Town Clerk.

**For Decision**

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## ESTABLISHMENT COMMITTEE

Wednesday, 26 July 2017

**Minutes of the meeting of the Establishment Committee held at the Guildhall EC2 at 11.00 am**

### **Present**

#### **Members:**

Deputy Edward Lord (Deputy Chairman)	Jeremy Mayhew
Randall Anderson	Sylvia Moys
Sir Mark Boleat	Deputy Joyce Nash
Deputy Keith Bottomley	Barbara Newman
Sheriff & Alderman Peter Estlin	Deputy Richard Regan
Deputy Jamie Ingham Clark	Deputy Philip Woodhouse

#### **Officers:**

John Barradell	-	Town Clerk and Chief Executive
Simon Murrells	-	Assistant Town Clerk
Simon Latham	-	Town Clerk's Department
Amanda Thompson	-	Town Clerk's Department
Matthew Lock	-	Chamberlain's Department
Michael Cogher	-	Comptroller and City Solicitor
Chrissie Morgan	-	Director of Human Resources
Janet Fortune	-	Human Resources Department
Tracey Jansen	-	Human Resources Department
Marion Afoakwa	-	Human Resources Department
Bijel Thakrar	-	Human Resources Department
Giles French	-	Assistant Director of Economic Development
Steve Eddy	-	Barbican Centre

### **1. APOLOGIES**

Apologies for absence were received from the Chairman, Sophie Fernandes, Deputy Elizabeth Rogula and Ruby Sayed.

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

There were no declarations of interest.

### **3. MINUTES**

**RESOLVED** – That the public minutes and summary of the meeting held on 19 June 2017 be approved as an accurate record subject to the inclusion of apologies for absence from Deputy Richard Regan.

## Matters Arising

In response to a question concerning the £16,000 allocation for the Diversity float, the Deputy Chairman advised that other committees were adopting a similar approach.

In response to a question concerning sponsorship of the diversity float, the Director of HR advised that there had been some expressions of interest and officers were currently working on progressing these.

### 4. **OUTSTANDING ACTIONS REPORT**

The Committee considered a report of the Town Clerk which provided details of outstanding actions from previous meetings.

**RESOLVED** – That the report be noted and updated as appropriate.

### 5. **SUPPORT FOR COMMITTEE CHAIRMEN**

The Committee received a report of the Town Clerk concerning the provision of dedicated PA/executive support for Committee Chairman.

The Committee heard that currently, only the Chief Commoner and the Chairman of the Policy & Resources Committee were in receipt of dedicated administrative (PA) and executive support which was provided centrally by the Town Clerk's Department. However there had been some informal discussion at a recent meeting of Members of the Resource Allocation Sub-Committee and a Chairman's briefing session regarding whether this should be extended to include the Chairmen of other Committees, in particular the Chairmen of the Planning and Transportation, Police, Establishment and Finance Committees.

The Town Clerk reported that additionally, whilst the Mayoralty and Shrievalty received a dedicated speechwriting service, no such facility was available to the Chairman of Policy & Resources or the Chief Commoner, and there was a clear need for specialist full-time support in this area.

The Deputy Chairman expressed his support for the proposals and suggested that some support might also be made available to the Chairmen of other major committees such as Port Heath & Environmental Services and Community and Children's Services, as well as the Deputy Chairmen of key Committees. He further suggested that occasional access to a speechwriter should be made available to those Chairmen who had to make set-piece external speeches.

The Town Clerk advised that a further report on the more substantive elements of the proposals, together with the review of Committee and Members Services would be submitted to a future meeting.



**RESOLVED - That**

- a) A dedicated PA/executive support should be provided centrally to City of London Corporation Committee Chairmen, principally for the Chairmen of the Planning and Transportation, Police, Establishment and Finance Committees, the Deputy Chairmen of those committees and the Deputy Chairman and Vice-Chairmen of the Policy & Resources Committee;
- b) A dedicated speechwriting service should be provided for the Chairman of the Policy & Resources Committee and the Chief Commoner, as well as other senior Chairmen who make set-piece external speeches;
- c) Subject to a) and b) above, the Finance Committee's approval be sought to increasing the Town Clerk's local risk budget by £170,000 each year from contingencies to cover the cost of the posts necessary to provide the services and to help strengthen resilience within the Committee and Member Services team, in advance of a review of the structure of the team; and
- d) Officers review this arrangement to see if it might be extended to the Chairmen of other major Committees in due course.

**6. REVISED EMPLOYEE DATA PROTECTION POLICY**

The Committee received a report of the Director of Human Resources updating on changes to the Employee Data Protection Policy. The policy reinforced the City of London Corporation's commitment to protect personal data and implement that commitment with regards to the collection and use of data both fairly and lawfully, which ensured compliance with the Data Protection Act (DPA) 1998.

The policy had been updated to advise employees of their roles and responsibilities in relation to data protection, data processing, accessing personal data and responding to Subject Access Requests on behalf of the City Corporation. The revised policy provided a good foundation for the incorporation of further changes that might arise in the lead up to the implementation of the General Data Protection Regulation (GDPR) in 2018.

**RESOLVED** – That delegated authority approval be given to the Town Clerk in Consultation with the Chairman and Deputy Chairman to approve the final version of the Employee Data Protection Policy.

**7. OPERATION OF THE SCHEME OF DELEGATIONS**

The Committee received a report of the Director of Human Resources which provided information on redundancies, early retirements and ill health retirements in the reporting period April 2017 – June 2017.

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

**8. REVENUE OUTTURN 2016/17**

The Committee received a joint report of the Town Clerk, Chamberlain and Controller and City Solicitor comparing the revenue outturn for the services overseen by the Committee in 2016/17 with the final budget for the year.

**RESOLVED** – That the report be noted.

**9. APPRAISALS/HALF YEARLY REVIEWS - CHIEF OFFICERS**

The Deputy Chairman reported a suggestion made by the Chairman of the Planning & Transportation Committee that Chairmen and Deputy Chairmen should be involved in the appraisals of the Chief Officer and where appropriate Senior officers reporting to their Committees. Town Clerk having supported the suggestion had asked the Director of HR to review the procedures for Chief and Senior Officer appraisals/half yearly reviews and bring a report to the October meeting.

A Member expressed concern that while members should clearly not be crossing the reporting line, the views of Members should still be considered by way of feedback and it was AGREED that at least Chairman and Deputy Chairman should be involved in this process.

**10. RECRUITMENT AND OFF PAYROLL WORKERS**

The Committee received a report of the Director of Human Resources concerning the use of recruitment by Chief Officers, including the average time from a vacancy to the post being filled, detailed by month and by department, together with information about the use of consultants and whether or not any employees were paid in any other ways other than payroll.

In response to a question asking how Value for Money was guaranteed, the Director of Human Resources advised that all posts were evaluated and the rate applicable to the grade. Any higher payments would need her approval or be subject to a procurement process.

In response to a question concerning cover for staff taking maternity leave, the Director of Human Resources advised that based on business need, work would either be redistributed or temporary staff appointed.

**RESOLVED** – That the report be noted.

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

There were no questions.

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

There were no urgent items.

13. **EXCLUSION OF THE PUBLIC**  
**RESOLVED** – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.
14. **NON-PUBLIC MINUTES**  
The non-public minutes of the meeting held on 19 June 2017 were approved.
15. **OUTSTANDING ACTIONS REPORT**  
The Committee noted a report of the Town Clerk which provided details of non-public outstanding actions from previous meetings.
16. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**  
There were no non-public questions.
17. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**  
There were no items of urgent business.
18. **CONFIDENTIAL MINUTES**  
The confidential minutes of the meeting held on 19 June 2017 were approved.
19. **MARKET FORCES SUPPLEMENT REQUEST**  
The Committee received a report of the Managing Director of the Barbican concerning a market forces supplement request.
20. **EXTENSION OF HONORARIA**  
The Committee received a report of the City Surveyor in relation to the extension of Honoraria for Assistant Directors.
21. **STAFF APPEALS COMMITTEE SUMMARY REPORT**  
The Committee received a summary of the Staff Appeals Committee held on 4 July 2017.
22. **DEPARTMENTAL REORGANISATION**  
The Committee received a report of the Town Clerk in relation to the proposed reorganisation of the Mansion House and Central Criminal Court.
23. **EU ENGAGEMENT - CITY OF LONDON CORPORATION REPRESENTATION IN BRUSSELS**  
The Committee received a report of the Director of Economic Development in relation to the CoL Corporation representation in Brussels.

**24. DEPUTY HEAD OF THE PAID SERVICE**

The Committee noted arrangements put in place by the Town Clerk under his delegated authority to cover the roles respectively of Town Clerk and Chief Executive in his absence or in any vacancy in the Office. A further report would be forthcoming in the autumn.

**The meeting closed at 1.00 pm**

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Chairman

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## ESTABLISHMENT COMMITTEE

Monday, 25 September 2017

Minutes of the meeting of the Establishment Committee held at Committee Room - 2nd Floor West Wing, Guildhall on Monday, 25 September 2017 at 9.30 am

### Present

#### Members:

Deputy the Revd Stephen Haines  
(Chairman)  
Deputy Edward Lord (Deputy Chairman)  
Randall Anderson  
Sheriff & Alderman Peter Estlin

Deputy Kevin Everett  
Deputy Jamie Ingham Clark  
Deputy Joyce Nash  
Deputy Philip Woodhouse

### In Attendance

#### Officers:

John Barradell - Town Clerk and Chief Executive  
Simon Murrells - Assistant Town Clerk  
Sacha Than - Town Clerk's Department  
Michael Cogher - Comptroller and City Solicitor  
Chrissie Morgan - Director of Human Resources

#### 1. APOLOGIES

Apologies for absence were received from Deputy Keith Bottomley, Sophie Fernandes, Jeremy Mayhew, Deputy Richard Regan, Deputy Elizabeth Rogula, and Ruby Sayed.

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

There were no declarations of interest.

#### 3. EXCLUSION OF THE PUBLIC

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

Item	Paragraph
4	3

#### 4. CONFIDENTIAL ITEM - DEPARTMENTAL RESTRUCTURE

The Committee received a report of the Director of Human Resources on a departmental restructure.

**The meeting ended at 10.40 am**

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Chairman

**Contact Officer: Amanda Thompson  
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### Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	16 September 2016, Item 5	<p><u>Accommodation and Ways of Working Programme</u></p> <p>The Committee requested that a report responding to the points raised at the September meeting regarding elements that should be in place for the programme to be delivered successfully, be submitted to the Committee prior to the implementation of the Scheme.</p> <p>A report was provided to the Committee in January 2017 which provided an overview of work carried out to date and addressed potential concerns. A further report on the Programme would be submitted to the Committee in the autumn.</p>	Comptroller and City Solicitor	November 2017	A report to be submitted in the autumn of 2017.

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
2.	14 February 2017, Item 14	<p><u>Human Resources Dashboards</u> A discussion arose in Committee on the Human Resources Dashboards where the following queries were raised.</p> <ul style="list-style-type: none"> <li>a) Whether other service committees in addition to the Establishment Committee should have the opportunity to view the dashboards for their areas.</li> <li>b) Whether comparison data could be made available to help provide context to the data within the dashboards.</li> <li>c) Whether the frequency of dashboard reporting should be reduced from quarterly to biannual, but instead of the three dashboards currently provided, that all dashboards for the 19 City of London Corporation departments be made available.</li> </ul> <p>The Committee asked the Town Clerk to consider their suggestions.</p>	Town Clerk	October 2017	<p>The Town Clerk has asked the Head of Corporate Strategy &amp; Performance to review whether there are any opportunities for the dashboards to be included in the new business planning framework.</p> <p>At the May meeting of the Committee, the Director of Human Resources provided Members with an update and proposed that a further update be provided to the in October.</p> <p><b>On agenda</b></p>



Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
3.	19 June 2017 Item 5	<p><b>BUSINESS PLANS 2017/2018</b></p> <p>A Member suggested that it was time to look again at the operational model and review effectiveness as the 'policy' function had practically disappeared and the 'committee' function took priority, and there was now limited support for Chairmen and Deputy Chairmen. In particular, Officers were asked to look at this in the context of establishing a career path for staff joining the Corporation, possibly as graduates, for whom work as a committee/policy officer could form part of their progression into non-specialist management roles.</p> <p>It was agreed that the views of both Members and staff be sought and a report be brought back to a future meeting.</p>	Town Clerk	July 2017	<p>On Agenda</p> <p><b>On agenda</b></p>

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
4.	19 June 2017 Item 10	<p><b><u>Use of Volunteers</u></b> In relation to the extent of use of volunteers in the workforce a concern was raised with regard to the protocols used across the organisation and how the duty of care towards volunteers was discharged, as this appeared to vary from department to department.</p> <p>The Director of Human Resources undertook to provide a report comparing and contrasting the approach to paid and unpaid workers, and guidance on how to appoint them, to a future meeting.</p> <p><b><u>Recruitment</u></b> A request was made for a report concerning the use of recruitment by Chief Officers to manage the out turn for their departments, including the average time from vacancy to post being filled detailed by month. Further questions were asked concerning the use of consultants and whether or not any employees were paid in any other ways other than payroll and it was agreed that this be included in the paper</p>	Director of HR	Future Meeting	Recruitment on the agenda  <b>On agenda</b>

<b>Committee(s):</b> Establishment Committee	<b>Date:</b> 17 October 2017
<b>Subject:</b> Equality and Inclusion Update	<b>Public</b>
<b>Report of:</b> Director of Human Resources	<b>For Information</b>
<b>Report author:</b> Tracey Jansen, Town Clerk's Department	

## Summary

This report provides the Committee with an update on equality and inclusion initiatives since reporting on the annual equalities monitoring report in June 2017. The report includes an update on the work of the Equality and Inclusion Board.

## Recommendation

Members are asked to note the report.

## Main Report

### Background

1. Since reporting in June, work has continued on the delivery of the E&I Action Plan and analysis has been undertaken of an online consultation to gauge staff awareness and understanding of equalities in service delivery and employment. This has been considered by the E&I Board.

### Current Position

- Staff Online survey
2. Staff consultation was undertaken through an online staff survey and promoted on Colnet, eleader and through the Equality Representatives in the spring. In total, 202 responses were received from almost all departments.
3. Following the consultation, a number of actions were added to the E&I Action Plan, which include:
  - Working with Internal Communications to raise awareness of the E&I hub on Colnet and the role of the Equality Representatives
  - The E&I Board to provide more support to increase the Staff Diversity Network membership e.g. an equalities induction leaflet, 60 second interviews with Staff Network Chairs
  - Provide more face-to-face training on completing an Equality Analysis and a broader range of equalities training, including customer insight and stakeholder engagement
  - Scope the possibility of an equality and inclusion staff conference as part of City Learning Live
  - Publish the results of the E&I staff consultation on Colnet and the actions to

take forward

- Develop an Equality Objectives report to highlights key departmental PIs/Equality Measures against the Corporation's Equality Objectives 2016 – 2020 (for internal use and promotion on Colnet)

#### Lord Mayor's Show

4. DCCS are progressing with the staff networks float. Workshops are being held to develop the theme with members from the networks. The response from other city organisations has been disappointing despite a number of different approaches being made. Information regarding the float and how to get involved has been advertised on the intranet for all employees to generate more interest.

#### Role of the Network Sponsor

5. Following the review of the Terms of Reference and Roles and Responsibilities Guidance, the role of the Network Sponsor has now been reviewed. The network sponsors and network chairs were consulted as part of the process. Due to the number of changes in network sponsors a workshop for sponsors will be rolled out and we will build in learning and experience from the first cohort of sponsors.

#### Attracting Talent

6. Work is continuing on the overall project. The anonymised recruitment trials have been completed and have identified in all cases that by removing personal identifiers there is a positive impact on the number of BAME applicants that are shortlisted. A full report on next steps will be reported to the next meeting of the Committee. Other actions that have been progressed or have been put in place are:

- Changes to recruitment documentation – specifically, job advert template, updated person specification, inclusive wording for job adverts, simple version of application
- Updates to recruitment and selection course slides
- Using social media – specifically LinkedIn and Twitter to post all City Corporation jobs and reach a more diverse audience
- Unconscious Bias training to be rolled out
- Engaging in jobs fairs and work with schools in the Square Mile to inform students about the variety of work undertaken by the City Corporation.
- To improve our employer branding, the jobs page on the City Corporation website is being refreshed and updated. Phase 1 includes adding information about the City Corporation, the benefits of working here and information about our values.
- A Work life balance guide for all employees, accompanied by FAQs have been produced and published on the intranet

#### Gender Pay Gap

7. The Gender Pay Gap Regulations came into force earlier this year and require the capture of data on a specific date. Employers must publish this data on the government website within 12 months of the data being captured.

8. Whilst there are different Regulations covering the public sector and those companies in the private and voluntary sector with a headcount of 250 employees or more, the Regulations are almost identical. The data capture is the same and the requirement to publish the data is the same.
9. The differences are the requirement to take into account the Public Sector Equality Duty for public sector employers and secondly the calculation date (31 March 2017 for the public sector and 5 April 2017 for the private and voluntary sectors).
10. London Councils have collaborated to agree a consistent reporting format and pay definitions. We are planning to trial reporting before Christmas to identify any issues before reporting by 31 March 2017 to comply with the requirement. We will also publish our data to comply with the private and voluntary sector requirements as we have employees that do not fall within the public sector definition.

#### Maternity provisions

11. The E&I Board requested a review of the maternity provisions. As part of the research, we have met with WIN (the Women's Inclusive Network) and researched and costed different options. The details of a proposed revised scheme will be reported to the Committee at its next meeting.

### **Corporate & Strategic Implications**

12. Equality and inclusion initiatives in employment and service delivery are captured in the action plan and focus on activities that will deliver the agreed 4 year E&I objectives. The delivery of the plan contributes towards the corporate plan, the education strategy, HR Transformation and other initiatives such as supporting social mobility (reported separately on the agenda), the employability strategy and responsible business strategy.

### **Conclusion**

13. Progress continues to be made to progress the E&I Action Plan. The wider E&I agenda and activities dovetail with a number of other corporate strategies and commitments which have an expectation that we model good employment practice.

### **Appendices**

- None

### **Background**

Equalities and Inclusion Action Plan 2017

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<b>Committee</b>	<b>Dated:</b>
Establishment Committee – For information	17/10/2017
<b>Subject:</b>	<b>Public</b>
HR Business Plan – Quarter 2 Update	
<b>Report of:</b>	<b>For Information</b>
Chrissie Morgan, Director of Human Resources	
<b>Report author:</b>	
Amanda Mays	

### Summary

The report updates Members on progress made against the achievement of the HR Business Plan for 2017/18. It highlights progress made towards objectives and planned activity against the six key objectives as listed in the detailed HR Business Plan.

### Recommendations

The Establishment Committee is asked to note the report.

### Main Report

#### Background

1. The Establishment Committee approved both the high-level and detailed Corporate HR Business Plans on the 19 June 2017.
2. The high level Corporate HR Business Plan is attached at Appendix One for information.

#### Current Position

The detailed Corporate HR Business Plan outlined six key objectives for the HR Department to achieve throughout 2017/18. The six key objectives were linked to the three ambitions, as seen on the high level business plan at Appendix 1.

The following details key highlights and progress against each objective.

3. Total Reward Strategy
  - i. Proposals have been developed to introduce an Employee Discounts Portal to increase the knowledge, understanding and accessibility of

the City Corporation's benefits package as well as including more high street discounts.

- ii. A proposal has been developed to introduce the buying of additional annual leave. This was requested as part of a review with the Intergenerational Group on improving the benefits package.
- iii. With the staff networks a review has been undertaken of the City Corporation's Maternity Pay and proposals developed to improve the package.
- iv. A Benefits Booklet has been produced as a short term measure to increase visibility of the City Corporation's Benefits Package.
- v. Contribution Based Pay and the associated fixed distribution curve has been the subject of discussion and proposals will be developed for December.
- vi. The JE system has been reviewed and found to be fit for purpose but work continues in regard to making the process quicker and more customer focused.

#### 4. Learning and Development

- i. The Celebrating our People Awards were held in September and over 200 nominations were received across the City Corporation, culminating in an Awards Lunch and a celebratory evening at Tower Bridge.
- ii. The Performance and Development Review process is being reviewed to make it more aligned to the City Corporation's Values and to be a simpler process. This is on-going with an aim to share proposals by the end of the financial year.
- iii. The new Head of Learning and Development starts with the City Corporation on the 4 October 2017.

#### 5. Equality and Inclusion in Employment

The annual Equality and Inclusion Plan is on track for delivery. Specific activity undertaken and planned is as follows:

- i. The Terms of Reference for the Equality and Inclusion Board and the Staff Diversity Networks have been reviewed.
- ii. An equalities training session was held as part of the Member Development Programme on standards/behaviours outlined in the Member/Officer protocol. This included how to review an Equality Analysis to ensure that Members are well-sighted on equality considerations in line with the Public Sector Equality Duty (PSED). There is a separate report on the Committee's agenda this month which provides members of the Committee with a presentation on the PSED.
- iii. HR Business Partners are working with Equality Representatives to use the annual workforce profile and departmental HR dashboards to develop workforce development activities/plans that address differential patterns in the recruitment, promotion, progress and achievement of CoL staff against the protected characteristics.
- iv. Equality and Inclusion objectives are included in all Chief Officer's annual appraisal objectives and personal development plans.



- v. The Attracting Talent Project has begun, which includes trials of anonymised applications and the working used in job adverts.
- vi. A requirement for all staff and managers to complete mandatory e-learning on 'Equality in the Workplace' on City People has been rolled out.
- vii. A briefing session has been held with the Chief Officer Group to clarify the possible consequences of non-compliance with Public Sector Equality Duty, with case studies of judicial reviews/challenges.
- viii. Staff Networks are routinely involved as in Equality and Inclusion stakeholder discussions for policy development.
- ix. The Equality and Inclusion Board continue to provide more support to increase the Staff Diversity Network membership e.g. an equalities induction leaflet and 60 second interviews with Network Chairs.

## 6. Health, Safety and Wellbeing

- i. A second 2-day (Adult) Mental Health First Aid course to be delivered by internal trainers in October.
- ii. Materials have been developed for a new E-learning course '*Release the Pressure*' which is a suicide prevention module.
- iii. A '*Line Managers Guide to Mental Health*' went live on City Learning at the beginning of September. This module supports the written Guidance for Managers (and Staff) plus sign-posting information.
- iv. Promotion is targeted around the World Mental Health Day on 10 October.
- v. Four pilot half-day '*Mental Health for Managers*' courses have been booked and 100 managers are signed up to attend. The 4 courses were filled within a week and there is a waiting list.
- vi. A 'Resilience' Insight lunch was delivered by Remploy in July, which received good feedback from those attending.
- vii. 'Drugs, Alcohol and You' Insight Lunch booked for 25 October.
- viii. The Celebrating our People Awards included for the first time an award to recognise Excellence in Wellbeing as well as Health and Safety.
- ix. Planned activity includes scoping out a proposal for City Well Ambassadors, considering if there might be leads/areas of specialism.

## 7. Organisation Development

- i. A new Head of Organisation Development started with the City Corporation in September. The first task has been to review the Behaviours Framework and align to the Town Clerk's stated Values as listed in the draft Corporate Plan.
- ii. The Workforce Planning process has been revised for the 2018/19 year and this has been designed to underpin a new talent and succession planning process. Further work is required in developing the City Corporation's Talent Management Strategy.
- iii. The Apprenticeship Programme has now recruited to a second cohort and the plan is on track to recruit 100 Apprentices by the end of the financial year.
- iv. Two graduates started with the City Corporation in September 2017.
- v. The department supported the design and delivery of a Senior Management Forum in September 2017, focusing on the Corporate

Plan and Values. This was supported by an external speaker describing Authentic Leadership.

## 8. Corporate HR and City People

- i. Each Section Head on the HR Department has a standard objective to create service standards for their teams. In some areas this is difficult as there is no IT infrastructure to support this, for example a HR Service Desk. This is an area that is being progressed.
- ii. The City People's roll out of the recruitment module for London Councils is complete. On-going training and support is provided to managers to support them in using City People's self-service capability.
- iii. The Capability and Probation Policies have been reviewed, the last two of the Managing People suite of policies. These are with the Establishment Committee for agreement this month.
- iv. The ER Framework is under review and will be complete by the end of the year.
- v. The Hays contract was successfully introduced in July 2017 and this has replaced the Comensura contract for the supply of agency staff.

## Corporate & Strategic Implications

9. The draft high level HR Business Plan was developed to align to the City Corporation's 2015-2019 Corporate Plan and the six Key Policy Priorities. In addition it highlights the cross cutting corporate programmes and projects that the HR service will be involved in. Activity has continued in all areas throughout the financial year so far.
10. The HR service intends to revise the HR Strategy and accompanying HR Business Plan over the course of 2017/18 to align to and support the delivery of the 2018-2023 Corporate Plan.

## Conclusion

11. The HR service feels confident that in achieving the objectives and deliverables within the HR Business Plan the mission of enabling a skilled and committed workforce to work together to excel in delivering high quality, accessible and responsive services will start to be realised

## Appendices

Appendix 1 – Corporate HR's High Level Business Plan

Amanda Mays, Assistant Director Human Resources and Transformation

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**We will enable a skilled and committed workforce to work together to excel in delivering high quality, accessible and responsive services**

**Corporate Human Resources**

**Our ambitions are that:**

- We are an employer of choice for high performing individuals, delivering excellent services and rewarded fairly
- We have an agile workforce empowered to achieve the goals set out in the Corporate Plan and skilled for the future, diverse, motivated and engaged
- We have the right people, in the right places with the right skills to deliver on priorities within a healthy and safe environment

**What we do is:**

- Business Partnering, advice and operational / corporate support
  - Equality and inclusion, policy development, employee relations, workforce planning, staff networks
- Recruitment
  - Recruitment campaigns, induction, contracts, agency provision, DBS
- Occupational Health, Safety and Wellbeing
- Organisation Development
  - Learning and development, behaviours framework, organisation capability, change management
- Pay and Reward
  - Pay, grading and performance management framework
- City People and HR Management Information
  - Dashboard and Self-Service

**Our budget is (£000s):**

Business Partnering & Recruitment	1,704
Occupational Health*, Safety and Wellbeing	128
Organisation Development	222
Pay and Reward	243
City People and HR MI	237
Indirect, Transport and Supplies & Services	121
<b>Total Expenditure</b>	<b>2655</b>
<b>Total Income</b>	<b>(323)</b>
<b>Total Local Risk</b>	<b>2,332</b>

\*OH monies included in COL Police Budget

**Our top line objectives:**

1. Review and propose a Total Reward package for all grades
2. Create a new L&D Framework to support the identification, gap analysis and development of the required leadership skills and behaviours
3. Complete the actions in the Equality and Inclusion Plan, including attracting underrepresented groups in to senior management and anonymised recruitment
4. Implement a new Workforce Planning process to ensure that the right people are in the right places with the right skills, to underpin the creation of a Corporate Talent and Succession Plan

**Deliverables within Corporate Programmes and Projects:**

- Provide a change framework to support managers in managing their people through change
- Manage and recruit to the Graduate Programme in support of employability and social mobility principles
- Update policies and procedures to support the Accommodation and Ways of Working project
- Provide an exemplar quality standard of recruitment, induction, training and support for 100 Apprentices
- Implement a corporate health, safety and wellbeing learning and development programme, including mental health first aid for line managers
- Lead and contribute to corporate boards and groups and their plans, including SARG, MFS & Honoraria, Health, Safety & Wellbeing, Equality & Inclusion and cross cutting review boards
- Advise and support on a corporate culture change programme

**What we'll measure:**

- Reward proposal completed by the end of December 2017
- An increase in satisfaction with the L&D provision by course evaluation and attendance at learning events
- An increase in diversity of applications, particularly at Grade G and above
- Workforce plans completed and the collation of information informs HR Strategy
- CIPFA and London Councils Human Capital Metrics Benchmark Surveys



**Departmental objectives:**

- To deliver an agile and responsive HR service the following transformation activity will be undertaken:
  - Implement a HR Portal, HR Service Desk and document management (SharePoint under review)
  - Greater automation, including self service
  - Added value services, including the Dashboard and MI
- To update and implement job documentation and associated processes
- To attract, motivate and retain talent the Performance Management Framework will be reviewed, aligned to the Reward Strategy
- Complete the Attracting Talent Project
- To update the Employee Relations Framework to support an engaged and motivated workforce
- A Mental Health Programme to be rolled out to support the healthy and safe environment
- Employee Benefits are to be updated and promoted to meet employees' requirements
- To motivate and engage our employees the City Learning Live and Celebrating Our People Awards will be held
- To establish the HR Transformation Programme Board, programme governance and delivery plan
- To develop policies and activities to support the City Corporation in regard to the Social Mobility Employer Index, Responsible Business Review and Employability Partnerships

**How we plan to develop our capabilities this year:**

- Implement the HR Development Programme and support ongoing CPD
- Up skill the HR team in supporting and managing change and equip them with the skills and knowledge required to work with their departments more effectively
- HR's One Team will continue to progress the initiatives previously highlighted around improved communication, team working, engagement, connection with the business and improving service standards
- Increasing capacity for process re-engineering, programme and project management
- IT capability and digital literacy will be enhanced through the implementation of a new HR Service Desk and City People self-service

**What we're planning to do in the future:**

- Reward Strategy to underpin the Corporate Plan and HR Strategy
- To increase efficiency and new ways of working in the HR Service
- Active Corporate Talent and Succession Plan in place
- The City Corporation's external and internal employer branding attracts, retains and motivates talent
- Achieve the Mayor of London's Gold Healthy Workplace Award
- Working towards the Safe Effective Quality Occupational Health Standards (SEQOHS) standards
- Flexible OD Strategy that responds to and leads demand
- Responding to the changing nature of the workforce and external market

**What we'll measure:**

- HR's Service Standards
- Satisfaction with the HR Service by survey
- FOI responsiveness
- HR Transformation Programme Board established and actions associated with programme completed to time
- Mental Health First Aid programme complete
- An updated ER Framework in place
- Time to evaluate jobs will be reduced and 90% will be completed within 20 days of receiving full information
- Attendance at City Learning Live events increased by 15% year on year
- Feedback from the Intergenerational Group on satisfaction with the total reward package

# Agenda Item 7

<b>Committee</b>	<b>Dated:</b>
Establishment Committee – For information	17/10/2017
<b>Subject:</b> HR Dashboard - August 2017	<b>Public</b>
<b>Report of:</b> Chrissie Morgan, Director of Human Resources	<b>For Information</b>
<b>Report author:</b> Amanda Mays	

## Summary

This report summarises the creation of the revised HR Dashboard as well as providing data to the Establishment Committee from the Corporate HR Dashboard. It also comments on the highlight data for the two Departments to which the Establishment Committee is the Service Committee to - the Town Clerk's Department and the Comptroller and City Solicitor' Department.

The general trend in the dashboards is very similar levels of headcount, turnover, recruitment and sick absence as in previous reports.

## Recommendations

The Establishment Committee is asked to note the report.

## Main Report

### Background

1. The monthly dashboard reports have now been redesigned in a simpler format and to be more stable and resilient to change. The information source is the Corporate HR / Payroll system (CityPeople) utilising the BI4 reporting tool.
2. The following reports are available:
  - A dashboard report for the whole of the City Corporation which is split by department
  - A departmental dashboard report for each departmental management use
  - A departmental sickness report for HR Business Partner's use which shows sensitive detailed sickness data against named individuals. For

Data Protection reasons, the information in this report is not forwarded to departmental managers without appropriate reason.

3. The background to this redesign is that the original dashboard was produced by the previous Management Information Officer and whilst recognised as being very useful and easy to use it had been produced utilising a semi-automatic process which also required extensive use of Excel and manual intervention and was difficult for anyone else to amend. It also combined information from various sources rather than just the prime source of the CityPeople system - again complicating the process which in itself makes it susceptible to error. Advice was sought from the CityPeople system supplier as to how the production method could be improved and removing the dependency on just one person which was seen as risk.
4. In writing the new dashboard the opportunity was taken to work with HR Business Partners and departments to establish a design consensus while simplifying the report and still ensuring any requests could be automatically included in the dashboard. Information on pay, H&S, recruitment and agency staff is no longer included. It was agreed that it would improve consistency if pay data is provided by Payroll; as the data for both H&S and agency staff are held on separate systems. This information will now be requested directly from those sources. Recruitment data reports can be produced separately as required.
5. The first new style dashboards were produced in June 2017 and some minor changes were made following departmental comments. The current version has been well received by departments and is scheduled to be produced automatically from CityPeople each month with no manual intervention required. It has also achieved its aims of increased stability and resilience and that it can be maintained by other suitably skilled people.

## **Current Position**

### **Highlight Information**

Based on the August 2017 figures the following should be noted at Corporate level.

6. The City Corporation employs 3,737.82 Full Time Equivalent (FTE) employees with a total headcount of 3,952. This includes all directly employed staff, including teaching staff but excluding City of London Police Officers.
7. Turnover remains fairly constant at 13.11%, decreasing slightly by 0.89% in the last year.
8. The split of staff by gender is 46.2% female against 53.8% male, with 2.96% of staff declaring a disability.
9. Sickness since the last reporting period has increased slightly to 0.42 although this is below our target of 0.50. Short term sickness is at 0.17% and long term at 0.24%

10. The categorisation of the reasons for sickness has been improved, due in part to manager self-service and the Wellbeing Strategy. This enables us to identify causes and support employees more effectively to prevent or manage absence even further.

11. The top 3 reasons as a percentage of total absence is:

a. Anxiety/stress/depression/other psychiatric illness	19.41%
b. Cold/cough/flu (influenza)	11.26%
c. Gastrointestinal problems	10.06%
Total for the top 3 reasons	40.73%

12. There have been 28 disciplinary cases in the last year with 6 cases still open. 12 formal grievances have been submitted with 7 open and 274 sick absence cases with 126 still being actively managed. This is in line with the Corporation's average number of cases over the last few years.

13. The Town Clerk's department has a headcount of 393 (367.41 FTE) with a staff turnover higher than the Corporate turnover at 17.5%. Absence in the Town Clerk's is higher than the average at 0.5 but is in line with target.

14. The Comptroller and City Solicitor's department has a headcount of 60 (54.06 FTE) with a low staff turnover of 5.22% Absence in this department is also low at 0.11.

15. Health and Safety KPIs are no longer included in the HR Dashboard and are instead reported on a regular basis to the Health and Safety Committee.

## **Corporate & Strategic Implications**

16. The HR Dashboards provide a key information source for tracking performance and undertaking Workforce Planning both at a Departmental and Corporate level.

## **Conclusion**

17. Members are asked to note this report.

## **Appendices**

Appendix 1 – Corporate Dashboard August 2017

Amanda Mays, Assistant Director Human Resources and Transformation

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<b>Committee:</b>	<b>Dated:</b>
Establishment Committee	17 October 2017
<b>Subject:</b> Town Clerk's Corporate and Member Services Business Plan progress report	<b>Public</b>
<b>Report of:</b> Town Clerk	<b>For Information</b>
<b>Report author:</b> Neil Davies, Corporate Performance Manager	

## Summary

This report updates Members on the progress made towards achieving the objectives set out in the Town Clerk's Department (Corporate and Member Services) business plan for 2017/18.

Key highlights are:

- Successful delivery of the Common Council elections, five Aldermanic elections and the UK General Election
- Completion of the 2017 Member Induction and Refresh Programme
- Commencement of staff engagement on the draft Corporate Plan 2018-23

Updates are also provided on: the review of project management; strengthening the Committee and Members' Service Team, and the Joint Contact and Control Room (JCCR) project.

## Recommendation

Members are asked to note the report.

## Main Report

### Introduction

1. The 2017/18 Business Plan for the Town Clerk's Department (Corporate and Member Services) was approved by the Establishment Committee on 19 June. Following comments from made by Members at that meeting a revised version of the high-level plan is attached as Appendix 1, showing in lighter text those areas of the department which fall outside of the remit of this Committee.
2. The functional areas of the department within the remit of this Committee are:
  - Corporate and Member Services
  - Corporate Strategy and Performance
  - Elections, and
  - The Contact Centre

## Current Position

3. Satisfactory progress has been made towards achieving the actions detailed in the plan. Key highlights are shown below.

## Corporate and Member Services

4. The Member Induction and Refresh Programme for 2017 was held between April and July, following the Ward elections on 23 March. This included: an Induction Day; All-Member Reception; Co-opted Member Reception and a series of Chief Officer-led briefings. A comprehensive Member Induction Booklet and Key Documents Pack were also produced and distributed to all Members. Member feedback was overwhelmingly positive about the individual sessions and also the general offer of induction and refresher support made available to Members in the post-election period.
5. A number of learning points were identified for the Department in respect of the timescales and resource implications associated with developing and delivering future Member development activities. The experience will also be valuable in informing how the rolling offer of Member learning and development can be delivered efficiently and effectively to ensure that Members are given access to the skills, knowledge and expertise with which to conduct their role as representatives for those who live and work in the City. A full report on the Programme was presented to the Member Development Steering Group in July.
6. A review of project management is being undertaken with the aim of improving strategic oversight on how we manage projects as an organisation, and recommending changes and improvements to our current systems, process, culture and practice. The need for a review has been highlighted by problems and issues seen with some of the large and complex programmes of work undertaken by the City of London and is supported by an external review. The consultants who undertook the external review presented their findings to the Project Sub Committee and received feedback on current processes from a Member perspective.
7. A programme of work, led by the former Director of Built Environment, will address those issues identified with the way the City of London manages its projects and programmes and review the support systems and processes through which officers deliver, and Members govern these projects.
8. The success criteria for the programme are:
  - To create a mechanism for providing strategic oversight on how projects are managed that will be recognised by all departments and will have the ability to enact ongoing change and improvement.
  - For project managers and departments to recognise that they are being provided with the tools and opportunity to be an active part of this collaborative process of improvement, and that this is being delivered for both their benefit and the benefit of Members.
  - That project managers find it easier to get things done and there are efficiencies created in their work.

9. Progress to date has included: engaging with the Corporation's support services and officers from across departments to explain the proposed activity, secure engagement and gather knowledge and feedback; and with external partners and network groups to identify good working practices which could be applied to resolve City of London issues. A Project Management Board (PMB) has been created with officers from across departments to lead on change and improvement. This will be a focus for Project Management excellence and will advise on corporate change(s) that affect departmental project management. It will encourage and improve cross-departmental working and communication and drive up the quality of project management.
10. The next steps will be to engage with officers from across departments and work together to build a better project management approach, through a series of workshops and calls for evidence agreed by the PMB. Crucial to the process will be engaging and retaining officers to: initialise design, and test the activity; roll out the changes with appropriate support; review the impact; and continue the cycle of improvement.
11. Progress against the activities and objectives will be reported to the Project Sub-Committee and the Chairman. Reports will also be made on a six-monthly basis to the Strategic Resources Group, the Summit Group and the Chief Officer Group.
12. At your meeting in June, there was some concern expressed over staff resources within the Committee and Member Services team. This was prompted by the loss of a number of experienced staff, the majority of whom were moving to other employment. Since that time, a programme of recruitment has been undertaken and virtually all the vacant positions have now been filled. In addition, the team (and more particularly the service available to Members) has been strengthened through the addition of two PAs to support the work of several Committee Chairmen and their Deputy Chairmen as well as the team's overall resilience through the appointment of Greg Moore as a senior manager, joining Angela Roach and Lorraine Brook in that capacity.

### **Corporate Strategy and Performance**

13. The Corporate Plan is being refreshed to enable the City Corporation to drive departmental activities to deliver on corporate priorities and to optimise allocation of resources. A draft plan was presented to Members at Service Committees, informal briefing and as part of the Members Induction and Refresh Programme. Members welcomed the move from a plan describing what the City Corporation does to a plan that focuses on why and how it does what it does in order to support better decision-making. The feedback received was used to produce a second draft of the Plan which was circulated to as part of the Members' Briefing in July and September. A further all-Member briefing will be organised for mid-November.
14. Officer engagement commenced at the Senior Leaders Forum on 6 September and all staff have been invited to attend one of twenty staff feedback sessions,

half of which will be held in non-Guildhall locations, in an attempt to stimulate engagement with the Corporate Plan and help officers see and demonstrate how they will contribute to it. All officers have also been sent a survey so that everyone has a chance to provide feedback prior to the Plan being finalised.

15. Selected stakeholder groups, partners and peers will also be asked for feedback on the draft Corporate Plan over a similar timescale. It is expected that there will be minor changes resulting from the consultation and engagement outlined above before it is submitted to Policy and Resources Committee in January 2018.
16. The next steps in linking up decision-making processes and timescales across budget-setting and priority-setting are:
  - redesigning detailed Business Plans to reflect the draft Corporate Plan
  - identifying relevant performance indicators in departmental Business Plans so that performance against the Corporate Plan can be reviewed formally on an annual basis and to respond to Members' demands for more meaningful performance measures focused on outcomes and impact rather than just outputs and activity
  - aligning, integrating and enabling tracking of other corporate processes through Business Plans, such as risk management, workforce planning and actions to meet budget reduction challenges
  - putting mechanisms in place for sharing learning and expertise and stimulating innovation across the City Corporation in order to drive organisational culture change and, thereby, continuous improvement.
17. Members will first notice a change at the Service Committees in the lead up to Christmas, where, for the first time, draft high-level (two page) Business Plans will be submitted alongside Budget Estimate reports. This will mark the beginning of joint budget-setting and priority-setting and the move towards corporate and business planning being processes rather than merely documents.

## **Elections**

18. The four yearly Common Council elections took place in March 2017. Just under 150 candidates stood for election and 19 of the Wards had contested elections. Additionally so far in 2017 there have been five Aldermanic elections. Nationally the a UK General Election took place in June, and the electoral services team worked with Westminster City Council to run the election in the Cities of London and Westminster constituency. All elections were successfully delivered in accordance with legislative requirements.
19. It should be noted that Seth Alker, the City Corporation's Electoral Services Manager, is leaving to work in a London Borough. The recruitment of his successor is underway and Members will be advised when an appointment has been made.

## **Contact Centre**

20. Management of the JCCR (Joint Contact and Control Room) project to join the City Corporation's Contact Centre with the City Police has been transferred to the

City Police. A subsequent review of the project has shown that there is a significant dependency on the Police Accommodation Programme to deliver a solution which will enable the joint move into an interim premises and then to a full-time location. The timing of the move is governed by the availability of space in Bishopsgate and is currently expected to be in the first half of 2018.

21. Preparations taking place for the physical move include enabling work on IT equipment, implementation of a new CRM (Customer Relationship Management) system and joint call-handling training and accreditation with the City Police.

22. During the last three months, the percentage of calls answered in 20 seconds was 89% against the target of 90% and the contact resolution rate was 75.6% against the target of 70% reflecting concentration on resolving calls effectively rather than just answering the telephone.

### **Appendices**

- Appendix 1 – Town Clerk’s Corporate and Member Services high-level business plan 2017/18

### **Background Papers**

- Report to Establishment Committee 19 June 2017: *Departmental Business Plans 2017/18*

### **Neil Davies**

Corporate Performance Manager

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**We co-ordinate and ensure the resilience, good governance and reputation of the City of London Corporation**

**Our ambitions are that:**

- The City of London Corporation is known to be relevant, reliable, responsible and radical in how it goes about governing a thriving City, supporting a strong and diverse. London, within a globally-successful UK.
- The City's communities live and work in a safe and resilient place
- The City Corporation optimises the quality of and access to its cutting edge cultural offer.

**What we do is:**

**Corporate and Member Services:**  
Leadership, governance, scrutiny, programme management, Committee and Member support, Police Authority.

**Corporate Strategy and Performance:**  
Strategic direction, performance monitoring, ensuring alignment of Business Plan activities with Corporate objectives

Media and Communications:  
Media messages, internal and external communications.

**Elections:**  
Conducting elections, Member and democratic services, electoral canvassing.

Resilience and Community Safety:  
Business continuity and emergency planning, community safety.

**Contact Centre:**  
One stop access to services

**Our 2017-18 budget is:**

Section	£000
<b>Com &amp; Member Services (Inc. TC Office)</b>	<b>2,428</b>
<b>Corp Strategy and Performance</b>	<b>371</b>
Media & Communication	1,789
<b>Elections</b>	<b>305</b>
Resilience and Community Safety	695
<b>Contact Centre</b>	<b>585</b>
<b>Total net operational budget</b>	<b>6,173</b>

**Our top line objectives are:**

- Drive and coordinate the delivery of our corporate ambitions and desired outcomes.
- Promote high standards of governance throughout the organisation.
- Deliver democratic services, which meet the needs of elected Members and the electorate.
- Create and deliver clear, consistent and confident media messages and ensure consistent messaging across the City Corporation
- Ensure that there are plans in place to provide support and assistance to the City's communities in the event of an incident.
- In partnership with the City of London Police and others, help deliver a safer community.

**Corporate Programmes and Projects:**

1. Coordinate the development and delivery of the Cultural Hub programme.
2. Refresh and enhance the City of London Corporate Plan.
3. Develop the business planning process so that strategy becomes the main driver in the planning process
4. As part of the 'One Safe City' programme, move the Contact Centre Services to the new Joint Contact and Control Room, co-locating and providing a joint service with the City of London Police.

**What we'll measure:**

1. The aims of the Cultural Hub programme are met; the projects are delivered within the allocated resources and on time.
2. The Corporate Plan is enhanced and refreshed by March 2018. The new plan clearly describes the organisation's vision and key ambitions.
3. The Business Planning process is revised and is more strategic and forward looking by March 2018.
4. The Joint Contact and Control Room is delivered on time and within budget.

### Departmental Programmes and Projects:

5. Deliver the 2017 General Election.
6. Deliver a comprehensive induction and Member development programme for newly elected and existing Members.
7. Oversee a review of the security of the City of London Corporation's operational estate.
8. Refresh the Prevent Strategy and roll out a comprehensive training programme for relevant staff.
9. Produce an Anti-Social Behaviour Strategy in partnership with the City of London Police.
10. Working with the Department of Communities and Local Government and National Cyber Security Centre, complete a review and produce a cyber-attack working strategy for response to cyber incidents for local resilience forums.
11. Ensure that the CoL exceeds the minimum London Resilience Standard and work with partner London Boroughs to share best practice and increase capacity.

### How we plan to develop our capabilities this year

- Design and Develop robust processes for reporting performance against the Corporate Plan.
- Manage and embed change across the department.
- Develop and enhance specialist support in Committee Services in particular in the area of the City's educational activities.
- Develop closer working relationships between the Police and our local authority community services to improve the effectiveness of response.
- Improve and enhance our management skills, particularly in the management of projects and business analysis.
- Enhance retention and improve succession planning, by ensuring that talented staff are given professional development opportunities.
- Implement the City Corporation apprenticeship scheme across our services to deliver learning for participants and capacity for our teams.

### What we'll measure:

5. The 2017 General Election and other Ward and Aldermanic Elections are delivered effectively in accordance with legislation.
6. A satisfaction survey shows that Members feel the induction and development programme enables them to fulfil their roles effectively.
7. Implementation of the security review recommendations helps to make our operational property a safer place to visit and work.
8. Prevent/safeguarding on-line training for all staff (target 75%), a bespoke Prevent toolkit for businesses, strengthened engagement with faith communities, continued support for educational establishments
9. Reduction in repeat incidents and appropriate use of warning letters, Community Protection Notices and injunctions.
10. Strategy complete and guidance documents issued
11. Minimum standard requirement targets exceeded.

### What we're planning to do over the following in the future

- Continue to align business plans with the Corporate Plan and maintain, and where possible, enhance governance structures that enable the City Corporation to make decisions that support achievement of our corporate ambitions.
- Evaluate the use of emerging information technology to improve efficiency and innovation.
- Develop democratic services in line with the needs of the newly elected 2017 Membership to ensure that elected Members can carry out their roles effectively.



<b>Committee</b>	<b>Date:</b>
<b>Establishment Committee</b>	17 October 2017
<b>Subject:</b> Comptroller and City Solicitor’s Departmental Business Plan 2017-2018 Progress report as at 30 September 2017	<b>Public</b>
<b>Report of:</b> Michael Cogher	<b>For Information</b>
<b>Report author:</b> Nick Senior – Comptroller & City Solicitor’s Department	

## Summary

The purpose of this report is to provide a summary of progress toward achieving the aims and objectives of the Comptroller and City Solicitor’s Departmental Business Plan 2017-2018.

Progress toward achieving the strategic aims and objectives are as follows:

- a) To manage resources effectively to provide efficient and high quality legal services.

The department remained within its local risk budget at the year-end including delivery of the 2016/17 Service Based Review (SBR) savings of £169k and has delivered the total required 2014-2018 £377k SBR savings.

Following an external assessment on 29-30 June 2017 the department was re-accredited with the Law Society’s LEXCEL quality assurance standard. The assessment identified a high level of compliance and many areas of excellent practice.

- b) To tailor our services to meet the needs of, and add value to the transformation and modernisation agenda and be an exemplar of innovative good practice to combine “the best of the old with the best of the new”

The Information Management Project has progressed to the stage of procurement which went live on 25 September 2017 the aim is for the new system to be operational in April 2018. It is anticipated that the replacement legal case management system will deliver smarter leaner processes, improved client information and communication and facilitate a significant shift to paper light working.

## **Recommendation**

1. Members are asked to note the report.

## **Main Report**

### **Background**

1. The Establishment Committee approved the Business Plan on 19 June 2017 this report provides an update on progress toward achieving the aims and objectives of the Comptroller and City Solicitor's Departmental Business Plan 2017-2018.

### **Current Position**

2. The improvement objectives are:

- 2.1 Achieve the Service Based Review (SBR) target.

The departmental SBR target for 2016/17 was £169k out of a total of £377k for the period 2014-2018. Due to the increased demand for legal support and advice it was not possible to achieve the allocated £49k saving in staffing costs and this saving was instead loaded into the external income target. The 2016/17 income at the year end exceeded the 2016/17 £169k savings target and the service therefore met the overall SBR target of £377k in 2016/17.

- 2.2 Achieve re-accreditation to the Law Society LEXCEL standard.

The service undertook a full assessment against the LEXCEL standard in June 2017 resulting in re-accreditation with a high level of compliance and with many areas of good practice identified. Internal monitoring against the LEXCEL standard is on-going.

- 2.3 Complete a major information management project.

Significant progress has been made toward procuring and implementing a replacement legal case management, the project was paused to ensure that the technical implications of the corporate information technology transformation programme were fully understood and the requirements incorporated into the system specification. Procurement of the system commenced on 25 September 2017 the objective is for the system to go live in April 2018.

It is anticipated that the system will facilitate smarter leaner processes and will deliver improved client information and communication, excellent standards of records management and will facilitate paper light working.

- 2.4 Undertake business process analysis at each quarter.

This action has been paused pending the deployment of the replacement case management system which will provide the necessary data for analysis to inform business process reviews, focus groups will review specific target areas of

activity and develop opportunities to support change and the modernisation of business processes.

### **Corporate & Strategic Implications**

- 3 The service provides effective legal advice and support to enable service departments to achieve specific corporate and strategic aims and to protect the City's interests. The Business Plan aligns to the City's key policy priorities as follows:-

KPP1 – Supporting and promoting the UK financial based services sector throughout the world for the benefit of the wider UK economy.

KPP2 – Improving the value for money of our services within the constraints of reduced resources.

- 4 The Departmental Performance Indicators and current position are listed in Appendix A.

### **Finance**

- 5 The service effectively monitored and controlled expenditure to remain within its local risk budget at the 2016/17 year-end.

In the current year there is a risk of a local risk budget overspend, the key causes are the requirement to recruit to long vacant lawyer posts to meet the increased volume and complexity in demand for legal advice particularly in the Property and Public & Corporate law areas of activity, this combined with year on year absorbed costs of employee salary increments and annual pay awards averaging at 52k per annum without proportional budget uplift to fund these additional costs. External legal fee income is forecast to achieve the local risk budget target of £832k.

### **Strategic Risk Management**

- 6 Strategic and Operational Risks are reviewed by the Department's Senior Management Team on a monthly basis. The latest strategic risk report is included in a separate report.

### **Conclusion**

- 7 The department is on course to achieve the 2017/2018 business plan objectives.

## Appendices

- Appendix 1 – Comptroller & City Solicitor – Performance Indicators 2016/17

### Nick Senior

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### Appendix A

#### Comptroller & City Solicitor - Performance Indicators (2017/2018)

Ref	Performance Indicator	Target and progress for 2017/2018	Position at 30 September 2017
PI 1	Responses of chairmen of committee to the client care survey give a 'high overall service' rating	Target 98%	Achieved - 99% January 2017 Next survey 2018
PI 2	Responses of departments to the client care survey give a 'high quality service' rating	Target 98%	Achieved 99% January 2017 Next survey 2018
PI 3	Responses of departments to the client care survey give a 'staff keep you well informed' rating	Target 93%	Achieved 93% January 2017 Next survey 2018
PI 4	Justified complaints against total caseload	Target – maximum of 5 per annum	On target at Q2 0 complaints received
PI 5	Maintain LEXCEL accreditation	LEXCEL accreditation achieved	Re-accreditation achieved June 2017
PI 6	File reviews completed in a timely fashion	Target - 90% within one month	Below target 86% at Q2
PI 7	Inactivity on live files in 6 months	Target – Not more than 15%	Achieved 13% at Q2
PI 8	Inactivity on live files in 3 months	Target – Not more than 20%	Achieved 19% at Q2
PI 9	Overall chargeable hours target	Target 100%	On target for 100%
PI 10	Effectively managing short term sickness absence	Target – Below City short term average	Below target CCS 0.36 days CoL average 0.32 days
PI 11	Percentage of FoI requests responded to in under 20 days	Target 96%	Above target 98.9%

<b>Committee(s)</b>	<b>Dated:</b>
Establishment Committee	<b>17 October 2017</b>
<b>Subject:</b> Comptroller and City Solicitor's Departmental Risk Management report	<b>Public</b>
<b>Report of:</b> Michael Cogher	<b>For Information</b>
<b>Report author:</b> Nick Senior – Comptroller & City Solicitor's Department	

## Summary

The purpose of this report is to provide an update on the Comptroller and City Solicitor's departmental risks as at 30 September 2017.

## Recommendation(s)

The Committee is recommended to note the report.

## Main Report

### Background

1. The Audit and Risk Management Committee require departments to maintain a risk register using the Covalent risk management system and provide a quarterly risk management report to their respective committee.

### Current Position

2. The departmental risks are summarised in Appendix 1.
3. Strategic and operational risks are reviewed by the C&CS Senior Management Team on a monthly basis.
4. The Committee are requested to note that the risk rating for Risk CCS 002 Loss of Information Assets has been revised to include compliance with the General Data Protection Regulations (GDPR) due to come into force on 25 May 2018 on the basis that the FoI and Data Protection Compliance Team transferred to C&CS in April 2017 and are responsible for the revision of corporate policies & procedures, advising and training departmental representatives on GDPR compliance.

### Conclusion

5. The Establishment Committee is requested to approve this report.

## **Appendices**

- Appendix 1 – Comptroller and City Solicitor's Departmental Risk Register

### **Nick Senior**

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## Appendix 1

### C&CS Detailed risk register

Report Author: Nick Senior

Generated on: 30 September 2017



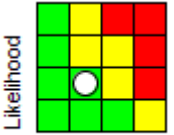
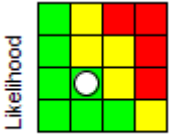
Rows are sorted by Risk Score

#### Code & Title: CCS RISKS 5

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CCS 002 04-Mar-2015 Michael Cogher	<p><b>Cause</b> - Failure to follow agreed procedures in compliance with Data Protection requirements.</p> <p><b>Event</b> - Personal data breach</p> <p><b>Effect</b> - Severe financial penalty, reputation damaged, breach of confidentiality</p>	<p>Likelihood</p> <p>Impact</p>	6	<p>Compliance with data protection requirements will become increasingly challenging due to the enhanced requirements of the General Data Protection Regulations due for implementation on 25 May 2018.</p> <p>The rating therefore remains at Serious/Possible.</p> <p><b>25 Sep 2017</b></p>	<p>Likelihood</p> <p>Impact</p>	4	31-May-2018	↔
								No change

Action no, Title,	Description	Latest Note	Managed By	Latest	Due Date
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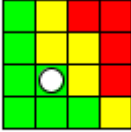
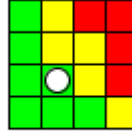

				Note Date	
CCS 002a GDPR preparations and guidance	C&CS Compliance Information Team in liaison with ICT: Implement GDPR project key elements: <ul style="list-style-type: none"> <li>Revised Policies and Procedures</li> <li>Training programme for members, senior managers and Access to Information Network representatives</li> <li>Creation of IT solutions to support compliance</li> <li>Compliance audits</li> </ul>	<ul style="list-style-type: none"> <li>Project plan in place and agreed.</li> <li>Recruitment to Compliance Information Assistant to support the GDPR project successful.</li> <li>Summit Group presentation, P&amp;R Committee approved project plan and approach.</li> <li>GDPR Bill issues and currently being reviewed.</li> <li>GDPR training sessions scheduled.</li> </ul>	Michael Cogher	25-Sep-2017	31-Mar-2018
CCS 002b C&CS Quarterly DPA audits	Quarterly DPA audits to be undertaken by CCS Information Team	DPA audits undertaken June 2017 and September 2017	Michael Cogher	25-Sep-2017	31-Mar-2018

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>PS 001</b> <b>Recruitment and retention of experienced legal staff</b> 12-Feb-2015 Michael Cogher	<b>Cause</b> - Private sector legal firms and other local authorities may offer more attractive remuneration packages <b>Event</b> - Loss of critical expertise and competence <b>Effect</b> - Delivery of legal advice and documentation delayed, loss of income, assets exposed to higher risks		4	A review of benchmarked salaries in August 2017 confirms that C&CS salaries are competitive within the local and central government legal employment market. <b>21 Sep 2017</b>		4	31-Mar-2018	↔  No change

Action no, Title,	Description	Latest Note	Managed By	Note Date	Due Date
CCS 001D Monitor salary competitiveness	Monitor salary competitiveness based on monthly benchmarking of relevant organisations advertised salaries.	Analysis of weekly job adverts to create benchmark. Monitor salary levels externally to ensure that C&CS salaries are competitive. Current position is that salaries are competitive compared to central and local government equivalent roles.	Michael Cogher	25-Sep-2017	31-Mar-2018

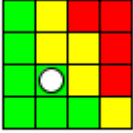
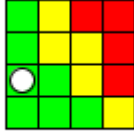
Risk no, Title, Creation date,	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score	Risk Update and date of update	Target Risk Rating & Score	Target Date	Current Risk score
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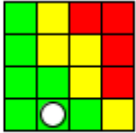
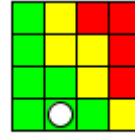

Owner							change indicator	
CCS 003 Managing Legal Risk  04-Mar-2015 Michael Cogher	<p><b>Cause</b> - Lawyers not up to date with law, poor communication, lack of supervision, agreed procedures not followed, file reviews not completed</p> <p><b>Event</b> - physical and intellectual property assets at risk, court hearings missed, high risk matters not reported, inadequate advice provided, cases not progressed in a timely fashion</p> <p><b>Effect</b> - financial penalty, loss of client confidence in the legal service, reputation</p>	 <p>Likelihood</p> <p>Impact</p>	4	<p>C&amp;CS Risk Management procedures were audited independently in June 2017 and were found to be highly compliant with the Law Society LEXCEL quality mark standard. Compliance with the standard is also tested internally.</p> <p><b>22 Sep 2017</b></p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2018	  Decreased Risk Score

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
P 003 003a	CCS 003a Staff undertake regular risk reviews	Risk reviews procedure in place and complied with	Michael Cogher	25-Sep-2017	31-Mar-2018
CCS 003b	SMT review monthly High-Risk reports	SMT continue to review monthly high-risk reports	Michael Cogher	25-Sep-2017	31-Mar-2018
CCS 003d	Risk management procedures review and testing to ensure effectiveness and compliance	Risk procedures reviewed prior to LEXCEL audit which confirmed that the risk management procedures are effective and robust.	Michael Cogher	25-Sep-2017	31-May-2017 <b>Completed</b>

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score	Risk Update and date of update	Target Risk Rating & Score	Target Date	Current Risk score change indicator
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<p><b>CCS 005 Ability to access critical ICT systems - business continuity</b></p> <p>04-Mar-2015</p>	<p><b>Cause</b> - Critical ICT systems not available in the event of a significant incident.  <b>Event</b> - System accessibility failure off site.  <b>Effect</b> - key officers unable to identify current legal work and access key legal documents.</p>	<p>Likelihood</p>  <p>Impact</p>	<p><b>4</b></p>	<p>It is anticipated that the deployment of laptops and direct access facilitating more effective mobile working as part of the ICT transformation programme will facilitate a revised corporate approach to BCP.</p> <p><b>21 Sep 2017</b></p>	<p>Likelihood</p>  <p>Impact</p>	<p><b>2</b></p>	<p>31-Mar-2017</p>	<p>↔</p> <p>No change</p>
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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
<p>CCS005b Monitor BCP arrangements</p>	<p>Monitor corporate BCP arrangements and review utilisation and procedures for agile/remote working</p>	<p>Continue to monitor BCP effectiveness.</p> <p>Laptops now available across the division and phones with email access to managers have resulted in improved ability to work remotely in response to incidents. Further develop local departmental BCP arrangements</p>	<p>Michael Cogher; Nick Senior</p>	<p>25-Sep-2017</p>	<p>31-Dec-2017</p>

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CCS 004</b> <b>Successful operation of Oracle OPN</b> 04-Mar-2015 Nick Senior	<b>Cause</b> - Oracle OPN replaced the Manhattan commercial property management and rent system <b>Event</b> - Continued operational difficulties caused by OPN <b>Effect</b> - If the application does not function as planned commercial income will not be invoiced on the due dates resulting in increased arrears	 Likelihood	2	Oracle OPN continues to function though functional shortcomings continue to be evident and hinder the efficiency of the finance team 21 Sep 2017	 Likelihood	2	31-Mar-2018	  No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CCS 004e Monitor OPN system performance	Monitor OPN system performance and report issues to super users group and escalate to Oracle Board	Quarterly rent runs generated effectively	Nick Senior	22-Sep-2017	31-Mar-2018



<b>Committee(s)</b>	<b>Dated:</b>
Community and Children’s Services – For Information Establishment Committee – For Information	13/10/ 2017 17/10/2017
<b>Subject:</b> Public Sector Equality Duty presentation	<b>Public</b>
<b>Report of:</b> Director of Community and Children’s Services	<b>For Information</b>
<b>Report author:</b> Moushumi Bhadra, Project and Equalities Manager	

## Summary

This report provides a brief overview of the City of London Corporation’s requirements under the Public Sector Equality Duty, which falls under Section 149 of the Equality Act 2010.

The report also includes a brief presentation that will summarise the purpose of the Public Sector Equality Duty (known as the Equality Duty), as well as how Members and Officers demonstrate ‘due regard’ to the Equality Duty.

## Recommendation

Members are asked to:

- Note the report.

## Main Report

### Background

1. An Equality Duty briefing session was delivered by Officers from the Equality and Inclusion Board as part of the Member Development Programme in June 2017.
2. Following this, the Equality and Inclusion Board agreed that Officers from the Equality and Inclusion (E&I) Board should attend Establishment Committee and Community and Children’s Services Committee to deliver a brief presentation to raise awareness of the City of London Corporation’s requirements to pay due regard to the Equality Duty in relation to local authority or port health functions.

### Current Position

#### Public Sector Equality Duty

3. In 2011, the Public Sector Equality Duty (known as the Equality Duty) came into force. The Equality Duty requires public authorities, in carrying out their functions, to have due regard to the need to:
  - eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010.

- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
  - foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
4. These are known as the three 'aims' of the Equality Duty. Under the Equality Duty, there are nine protected characteristics whose protected status was enhanced within the Equality Act 2010:
- Race and ethnicity
  - Disability
  - Religion or belief
  - Age
  - Sexual orientation
  - Gender
  - Gender reassignment
  - Pregnancy and maternity
  - Marriage and civil partnership
5. The Equality Duty requires public authorities to pay due regard to the Equality Duty for all services, including policy making, employment, planning and procurement. It also applies to any private bodies or voluntary organisations that carry out public functions on our behalf, such as any commissioned services.

#### Governance arrangements for equality and inclusion

6. The Equality and Inclusion (E&I) Board, chaired by the Town Clerk and co-chaired by the Director for Human Resources and the Director for Community and Children's Services, is the officer-led governing body for equality and inclusion in the City of London Corporation. The Equality and Inclusion Board reports on a quarterly basis to Summit Group and to Establishment Committee. The E&I Board also produces an annual report which summarises how the organisation is meeting the aims of the Equality Duty.

#### How do Officers demonstrate due regard to the Equality Duty?

7. Officers must demonstrate due regard to the Equality Duty when developing proposals that will have an impact on people (i.e. City residents, service users, workers, tourists and any other City of London customers) in relation to local authority or port health functions.
8. Officers are required to disclose whether there are any implications relating to equality and inclusion under the 'Corporate Implications' heading in Committee reports.
9. Officers can complete an Equality Analysis, an in-depth analytical tool to assess the equalities implications of a proposal on service users. An Equality Analysis will pay particular consideration to the needs of individuals who fall under the protected characteristics of the Equality Duty.

## How do Members demonstrate due regard to the Equality Duty?

10. In the 'Equality Act 2010: Technical Guidance on the Public Sector Equality Duty in England', the Equality Duty applies to the "Common Council of the City of London in its capacity as a local authority or port health authority". This therefore places a requirement upon Members to scrutinise equalities implications of proposals that relate to local authority or port health functions.
11. If an Equality Analysis has been completed, it should:
- Be disclosed in the committee report and attached as an appendix to the report
  - Be signed off by the relevant senior officer
  - Be evidence-based to analyse the significance of any positive, negative or a combination of impacts on service users
  - Identify any potential negative impacts and includes meaningful justification for why the proposal should go ahead
  - Include a robust action plan to mitigate any negative impacts and enhance positive impacts if possible

### **Proposals**

12. It is advised that Members note the legal requirements outlined in the Equality Duty and scrutinise any Equality Analysis proposals that are submitted as part of Committee reports.

### **Corporate & Strategic Implications**

13. The requirement for Officers and Members to pay due regard to the Equality Duty is outlined in the Equality Act 2010, so it is a legal requirement. It is also outlined in the Corporate Plan, as well as the Departmental Business Plan.

### **Conclusion**

14. In ensuring that Officers and Members pay due regard to the Equality Duty, the City of London Corporation meets the requirements of the Equality Act 2010 and :
- Delivers cost-effective and customer-focused services
  - Places the needs of service users at the heart of policy development
  - Advances equal opportunities and fosters good relations within our communities
  - Meets its commitment to be a leader in equality, diversity and inclusion

### **Appendices**

- Appendix 1 – Public Sector Equality Duty presentation for Members

### **Moushumi Bhadra**

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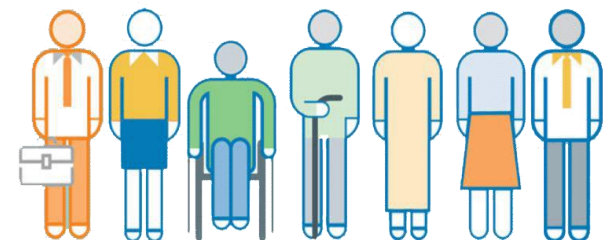
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# Member Briefing on the Public Sector Equality Duty

Page 51

13 October 2017

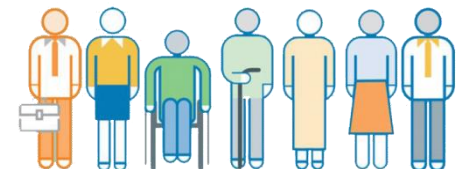


# What is the Public Sector Equality Duty?

Public authorities must, in exercise of their functions, have **due regard** to the need to:

Page 52

- **eliminate discrimination, harassment and victimisation**
- **advance equality of opportunity** between those who share a protected characteristic and those who do not
- **foster good relations** between those who share a protected characteristic and those who do not



# What is 'due regard'?

*“In making decisions and in its other day-to-day activities a body subject to the duty must consciously consider the need to do the things set out in the general equality duty: eliminate discrimination, advance equality of opportunity and foster good relations...the greater the relevance and potential impact, the higher the regard required by the duty.”*

[Technical Guidance on the Public Sector Equality Duty for England para. 2.19 and 2.20](#)

# How do Officers demonstrate due regard?

All Officers are asked to disclose whether there are any implications relating to equality and inclusion under 'Corporate Implications' in Committee reports.

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Officers can complete an Equality Analysis to **assess the equalities implications of a proposal on service users**

The [Equality Duty toolkit](#) outlines the full guidance and sets out exactly what needs to be identified in a report to committee

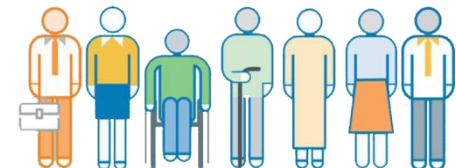


# When do Members demonstrate due regard in Committee?

In scrutinising proposals for decisions that affect people (i.e. City residents, service users, workers, tourists):

Page 55

- When implementing or commissioning a new service
- When a service is terminated or reduced in particular areas
- When there are changes to the way a service is delivered e.g. moving to online access only
- Change of eligibility criteria, rules or practice for a service



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<b>Committee(s):</b> Establishment Committee	<b>Date:</b> 17 October 2017
<b>Subject:</b> Revised Capability Procedure and Probation Procedure	<b>Public</b>
<b>Report of:</b> Chrissie Morgan, Director of Human Resources	<b>For Decision</b>
<b>Report author:</b> Colette Hawkins, Corporate HR - Town Clerk's Department	

## Summary

The Managing People Policy was introduced in 2014 which sets out the policy, intent, standards and responsibilities of the various parties whilst seeking to resolve cases through informal measures. The new Disciplinary and Grievance Procedures and Sickness Management Policy and Procedure were introduced at the same time and have been in operation for 3 years. The Capability Procedure has now been completely reviewed moving it to an approach which focuses on supportive measures to help secure an improvement in the performance of employees. The Probationary Procedure has also been reviewed and updated in line with the Managing People Policy principles.

Through various discussions, feedback and resolution of cases it has become clear that to complement the Managing People Policy, managers would benefit from a guide to equip them with the skills, knowledge and confidence to help with supervision and resolving performance issues informally and at an early stage.

## Recommendations

Members are asked to:

- Approve the revised Capability Procedure;
- Approve the revised Probationary Procedure;
- Note the new Supervision and Performance Management Guide;
- Note the amendments to the management levels authorised to take action in the Managing People Policy.

## Main Report

### Background

1. Following on from the introduction of the Managing People Policy in 2014 which sets out the policy, intent, standards and responsibilities of the various parties; the Disciplinary, Grievance and Sickness Management Procedures were reviewed.

2. The final two managing people procedures which sit beneath the overarching Managing People Policy – capability and probation – have now been revised.
3. The review of the Capability Procedure (appendix 1) and Probation Procedure (appendix 2) align with the HR strategy to streamline and simplify the procedures so that they are easy to follow and strip away information that is more appropriate for guidance and training.

### **Current Position**

4. The revised Capability and Probation Procedures emphasise the importance of early intervention and collaborative action. This will be supported by revised learning and development interventions for both managers and HR staff to embed a fresh approach to managing people.
5. The Managing People Policy has been well received across the organisation as it has provided clarity on the roles and responsibilities of managers, employees and HR. However, through the review of the Capability Procedure it was identified that managers and employees would benefit from guidance on best practice when managing performance.
6. The new Supervision and Performance Management guide for managers (attached for your information at appendix 3) provides general advice and best practice tips and supplements classroom based training for managers. The aim of this guide is to equip managers with the skills, knowledge and confidence to resolve performance issues informally and at an early stage.

### **Key Changes**

7. Capability Procedure
  - This procedure outlines the formal capability management steps. However, the manager must have undertaken and be able to evidence that an informal process has taken place beforehand to allow the employee the opportunity to improve;
  - Additional detail on how to deal with the impact of ill health or suspected ill health contributing to an employee's capability to carry out the full range of duties of the post;
  - Action Plan has been renamed as Performance Improvement Plan;
  - Detail included on the format of the formal meetings.
8. Probation Procedure
  - The Probation Procedure has been redrafted in line with the general principles of streamlining and simplifying our HR procedures;
  - There is no longer a right for an appeal hearing if an employee is dismissed, instead the employee can request an independent review of the decision.
9. Supervision and Performance Management Guide for managers
  - Provides guidance on how to manage an employee's performance to ensure standards are met;



- Advises managers to keep supervision notes of the informal steps taken to manage performance issues;
- Details the steps required when performance becomes a concern.

#### 10. Managing People Policy

- The management levels authorised to take action have been amended to include action taken under the Capability Procedure and Probation Procedure (appendix 4).

### **Implementation and Transitional Arrangements**

11. The new Probation Procedure will apply for new starters from 1 December 2017. The current procedure will continue to apply for all new staff who start before 1 December 2017.

12. In relation to the Capability Procedure:

- Formal cases will at the point of review, move to the appropriate stage of the new procedure;
- Any cases where a final meeting to consider dismissal is pending will be considered under the current procedure;
- Any appeals that are currently pending will be heard under the current appeal process.

13. The current Appeals Procedure will be amended to reflect the revised Capability and Probation Procedures.

### **Training**

14. In terms of the capability procedure training will be provided to all managers via HR Business Partners and Advisors who will be responsible for managing this process.

15. The classroom course material that covers supervision and capability will be updated in line with the changes to ensure new managers are trained in full. The option of additional online learning interventions will also be explored. New starter information to managers will advise them about the new Probation Procedure and further advice can be sort via HR Business Partners and HR Advisors.

### **Corporate & Strategic Implications**

16. The review of these two procedures completes the review of the five policies and procedures which sit underneath the overarching Managing People Policy as part of the Corporate HR Business Plan.

17. Colleagues from Town Clerks, Comptrollers and City Solicitors, representatives from the six Staff Networks and the Trade Unions have been consulted on the development of these procedures. Chief Officers and managers within the business were also consulted on their development through HR Business Partners.

18. A test of relevance, as required by the Public Sector Equality Duty (PSED), for both the Capability Procedure and Probation Procedure was undertaken and identified no relevance to equality as they are both neutral in their approach and appropriate actions and measures will be put in place by managers through the application of the procedures.

### **Legal Implications**

19. These have been considered and incorporated in the report and new revised policy and procedure.

20. The City Corporation's HR policies and procedures do not form part of the terms and conditions of employment. Therefore, in the situation that the trade unions do not agree the revised procedures these changes will still be able to be introduced, however this will be done with reasonable notice.

### **Conclusion**

21. The review of the final two Procedures which sit under the overarching Managing People Policy continues the HR approach to streamline, simplify and standardise our policies and procedures with an emphasis on early intervention, and informal and collaborative working with employees to help them meet the required standard of conduct, performance and attendance.

22. The introduction of the supervision and performance management guide will equip managers with the tools and techniques to address performance issues at an early stage, with the aim that these will not then progress to formal performance management processes. In turn this will free up the manager's time to deliver the high quality service provision expected of them.

23. The procedures will be reviewed during the first year of implementation and any major matters arising from the review will be reported back in a year's time.

### **Appendices**

- Appendix 1 – Capability Procedure
- Appendix 2 – Probation Policy
- Appendix 3 – Supervision and Performance Management of Employees Guide
- Appendix 4 – Managing People Policy

### **Background Papers**

- Public Sector Equality Duty Test of Relevance for the Capability Procedure
- Public Sector Equality Duty Test of Relevance for the Probationary Procedure

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# Capability Procedure

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## Scope

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1. This procedure must only be used for managing formal capability issues. Managers should ensure that informal steps relating to performance management, as outlined in the Supervision and Performance Management of Employees guide, are undertaken and documented in the first instance.
2. This procedure applies to all City of London Corporation employees (excluding teaching staff in the three City schools, Police Officers and Chief Officers for whom separate procedures apply) unless otherwise stated who have completed their

probationary period. It should be used when routine performance management activities and support have failed to result in performance at the required standard.

3. The procedure does not apply to agency workers, casual staff, consultants or other workers providing services to the City Corporation.
4. The Director of Human Resources will be responsible for the interpretation, advice and management of these procedures on behalf of the City Corporation.

## **Principles**

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5. The procedure is designed to:
  - help managers to set and reinforce expectations / illustrate specific areas of underperformance / set standards of improvement;
  - assist managers and employees to agree a course of action and specific steps to improve performance;
  - allows employees the opportunity to improve their performance through agreed action plans with clear objectives;
  - provide reasonable support, training and assistance to help an employee overcome under performance;
  - ensure performance is monitored and progress recorded and communicated to the employee;
  - ensure that employees understand that if they fail to improve to the standard required this could ultimately lead to dismissal;
  - ensure that employees are treated fairly and equitably.
6. The stages in this procedure are:
  - Formal Stage 1
  - Formal Stage 2
  - Formal Stage 3 (only applicable in certain situations)

## **Introduction**

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7. The City Corporation is committed to providing reasonable support to employees to meet the required standards of performance as outlined in the job description, person specification and any supporting operational and / or technical procedures which may apply.
8. The Managing People Policy provides clarity about how the behaviour, actions and performance of employees that fall short of that expected by the City Corporation will be managed.

9. It is recognised that most employees provide good, and on many occasions excellent performance. Sometimes, however, employees may not perform to the required standard expected by the City Corporation as a result of a lack of capability or competence.
10. This procedure aims to support employees in achieving the expected standard of performance. We aim to work collaboratively and constructively with employees to help them to reach the standard required in a non-adversarial way.
11. Managing poor performance fairly, objectively, effectively and promptly is critical to maintaining a professional business. Failure to address poor performance results in inefficiency and may lower engagement throughout the rest of the workforce.
12. Managers are expected to provide employees with appropriate supervision, guidance and the necessary tools and equipment to undertake their duties. However where levels of performance fall short of that expected by the City Corporation, despite informal efforts to help the employee improve, managers will take appropriate steps as set out in this procedure.

## **When Does This Procedure Apply**

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13. If poor performance is due to lack of skill, ability, aptitude or knowledge in relation to their job, i.e. they cannot do something; this should be dealt with under this procedure (see Appendix 1: Capability Procedure Flowchart).
14. Before the formal procedure is used, the manager should have set standards to be achieved and objectives to be met for improvement within a specified timeframe (refer to the Managing People Policy). **This procedure should only be used when informal standard setting has not led to a sustained improvement in performance by the employee.**
15. If poor performance is due to carelessness, poor attitude, combined with a failure to perform tasks to meet the expectations of the role, i.e. they will not do something; this should be dealt with under the disciplinary procedure.
16. Where an employee is believed to have committed acts (or a single act) of serious negligence so as to create a danger to themselves or others, or where they have made serious errors to the detriment of the City Corporation, this may be dealt with as gross incapability or, in the case of deliberate acts, as gross misconduct under the disciplinary procedure. This can occur at any stage in the process where appropriate. (Note: if an employee is within their probationary period action should be taken under the probation policy, not the disciplinary procedure).
17. Action taken under this procedure will depend on:
  - the reason for poor performance;

- the seriousness of the concern(s);
  - measures taken to address the issue(s) informally;
  - the skills, qualification and experience required for the job;
  - the seniority of the employee;
  - the level of improvement that has been secured and maintained; and
  - known mitigating factors.
18. Management levels authorised to take action under this procedure are set out in the Managing People Policy.
19. The responsibilities of managers, employees and human resources are as outlined in the Managing People Policy.
20. At all formal meetings employees must appear in person, unless the manager chairing the meeting agrees otherwise. The meeting is intended to be open, collaborative and non-adversarial as this is not a disciplinary matter and the intention is for managers to set standards and secure improvement in performance by the employee.
21. Where ill health or suspected ill health is contributing to an employee's capability to carry out the full range of duties of the post (but has no significant impact on attendance levels) this policy will apply.
22. Where an employee's sickness levels have resulted in the employee reaching a trigger level or the employee is informed that a pattern or type of sickness absence is causing concern the Sickness Absence Policy will apply in the normal way. However, it may be necessary to manage the employee concurrently under the capability procedure if the employee is not undertaking the full range of duties required by their role when they are at work. Where a phased return is required following a long sickness absence, expectations will be clearly outlined to allow the employee to be managed under both processes.
23. Alongside the principles set out in this document, managers should consider any Occupational Health (OH) recommended advice and adjustments to the duties in line with the employee's condition and the Equality Act 2010.
24. Where the employee's ill health arises from a disability, as defined by the Equality Act 2010, the manager has a responsibility to consider making reasonable adjustments (on either a temporary or permanent basis) to the working environment, working practices and potentially to the terms and conditions of service within the contract of employment. In all such cases, the manager should discuss this with the HR contact before taking any action.
25. Where alcohol or drug misuse or other dependency is suspected and performance is affected, managers should address this with employee and provide them with an opportunity to declare the problem and an early referral to OH should occur.



Managers, in consultation with OH advice, will agree the options to improve the employee's performance and continue to monitor.

26. In all cases, medical advice will be sought from the Occupational Health Service. The manager will discuss this advice with the employee.

## **Right to Representation at Formal Meetings**

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27. Employees have the right to be accompanied at formal capability meetings by a trade union representative or a work colleague. The employee and their companion must make every effort to attend all meetings arranged to discuss their performance. If the employee's companion cannot attend on the date arranged the employee may offer a reasonable alternative date and time so long as it is no more than five working days after the original date.
28. Where an employee or their companion continues to be unavailable to attend a meeting or fails to attend, the employee may be advised that the meeting will be held in their absence and concluded on the information available.

## **Performance Improvement Plan**

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29. A Performance Improvement Plan (PIP) is a written plan which details a series of measures designed to help improve the employee's performance. Each measure will ideally be agreed with the employee, although the manager (or City Corporation) reserves the right to insist on any aspect of the PIP in the absence of agreement.
30. The PIP should:
- Clearly and objectively set out where the employee is failing;
  - Set out the improvement expected of the employee using measurable objectives;
  - State whether any support or training will be provided;
  - Provide the timescales and frequency of reviews;
  - Consider OH advice in ill health cases as appropriate.
31. An example of a PIP can be found at appendix 2.

## **Formal Procedure**

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32. Before commencing the formal procedure line managers should speak with their HR representative to ensure that appropriate action is taken.
33. Line managers will write to employees giving them at least 5 working days' notice of formal capability meetings. The letter should contain sufficient information about the

poor performance and its possible consequences, including any previous performance discussion notes and any documents to be referred to in the meeting (for example job description, person specification, 1:1 notes, appraisals etc.).

34. The purpose of the meeting is to be solution focussed and to be collaborative it is not the intention that there would be witnesses called to meetings to do with employee's performance. In exceptional circumstances the Director of HR will determine if it is appropriate for witnesses to be called.

35. A representative from HR may also be present at the meeting.

## **Format of Formal Meetings**

36. At the formal meetings the line manager will:

- Explain the purpose of the meeting;
- Allow for adjournments to take place should they be required;
- Confirm that they and the employee have the same documents;
- Clearly set out the specific areas that are falling below the expected performance standard, providing examples;
- Discuss any efforts already undertaken to improve the level of performance (by both the employee and the manager);
- Discuss the type and level of support that has already been put in place;
- Discuss any reasonable adjustments under the Equality Act 2010 which have already been implemented or considered;
- Discuss the impact on the service and team;
- Discuss options on possible remedies, together with any appropriate training / retraining support;
- Set a Performance Improvement Plan (PIP) and the timescale during which improvement is required (as appropriate);
- Explain the consequences of a failure to achieve any further action plan put in place.

37. The employee will:

- Be given the opportunity to comment on the accuracy of the records and history, and raise any new issues or factors which may have impacted on their performance;
- Provide an explanation about attempts to improve performance under the informal process or earlier formal stages;
- Discuss any possible remedies, including what reasonable support they may require (for example coaching, training courses etc.) in order to achieve the required standard of performance;

- Provide examples of reasonable adjustments that may allow them to return to optimum performance.
38. At the end of the meeting the manager will adjourn to consider the outcome and will notify the employee of their decision.
39. The potential outcomes at the first formal stage are:
- no further formal action at this stage (e.g. previously undisclosed mitigating circumstance);
  - demotion (where a suitable alternative post is available);
  - a written warning or a final written warning will be issued including a PIP.
40. When making the decision the manager will consider:
- the direction of travel - has there been an improvement in performance;
  - the reason for the drop in performance;
  - the employee's performance in comparison to expectations of employees in similar roles (if appropriate);
  - any mitigating circumstances;
  - whether there been a change to the duties of the role / or the focus of what is required;
  - any other reasonable forms of assistance or adjustments which could be provided to support performance improvement.

They should also consider the information included in the appropriate performance management tools which may be included as part of the papers:

- Job description;
  - Person specification;
  - Learning and development record;
  - City of London Values – Lead Empower Trust;
  - 1:1 notes and action plans;
  - Appraisal documents;
  - Feedback notes;
  - Return to work interviews;
  - Time keeping records.
41. After the meeting the line manager will write to the employee within 5 working days of the meeting, including a note of the discussion and performance issues (these will not be verbatim notes) and confirmation of the decision taken. If a warning is to be issued the letter will also include:
- The performance standard expected by the employee and the improvement required from the employee;
  - The help and support available to the employee;

- A Performance Improvement Plan (PIP);
  - The length of the review period;
  - The date of the next meeting (where possible);
  - Explanation of the consequence if performance does not improve to the required level.
42. Managers should consider any employee requests for amendments to the formal record of the meeting. If the manager agrees, the record should be amended clearly showing what the amendments are. If the manager does not agree, the employee's request should be attached to the written record as part of the case history, with a note explaining why they do not agree. The employee must raise any requests for amendment as soon as they have received the written record of the discussion.
43. Where no further formal action is required, the manager should set out the reasons for this. For example to accommodate a temporary adjustment or a learning and development requirement, an additional meeting may be required. If so, the date of that meeting should be included.
44. The purpose of the first formal meeting is to jointly agree, if possible, an action plan to assist the employee in achieving the expected standard of performance. Managers should ensure that the employee has a clear understanding of the expected standards and what they need to do to achieve these. Employees will be asked to sign a copy of the letter and action plan confirming their agreement to the targets and timescales set and the notes of the meeting. Ultimately it is the decision of management to determine the appropriate standards required for the role.

## **Outcome of Formal Stages**

45. Written warnings and final warnings will include the implementation of a PIP, designed to bring the employee's performance up to an acceptable level.
46. Review periods should normally be for 1 month, they should not be for any less. In exceptional circumstances the review period may be extended up to a maximum of 3 months, to take account of reasonable adjustments as a result of a disability, for training needs or to allow employees who work part time reasonable time to demonstrate performance improvement.
47. At the review meeting(s) progress against the PIP will be discussed by the employee and manager. At the final review meeting at the end of the period of improvement, the manager will advise the employee whether or not their work performance has improved sufficiently. If it has, this will be confirmed in writing, confirming that this level of performance is expected to be maintained, and no further action will be taken under this procedure.

48. If the employee's work performance has not reached the standard expected, the manager will explain the shortcomings and provide them with an opportunity to respond. If there has been some improvement, then this should be acknowledged but should be set within the context of the overall issues. If the manager considers that there is not a justifiable reason for not reaching the required standard during the review period, and/or that the shortcomings are likely to continue, then progression to formal stage 2 will occur.
49. Where there has been some sustained level of improvement a written warning and a final written warning will normally be given before dismissal is considered. In the case of serious incapability or where the direction of travel has not improved, the employee may be given a final written warning even if it is a first incidence. In the case of gross incapability, employees may be dismissed with or without notice.
50. If incapability / underperformance is proven, it will automatically result in a rating of "improvement required" at the Performance Development Framework & Appraisal and an increment/bonus as appropriate will not be applicable in that year.
51. If an employee is absent from work for a prolonged period of time, for example due to long term sickness absence, the review period should be extended to allow the employee sufficient time to demonstrate a sustained performance improvement.

## **Meeting to Consider Dismissal**

52. A formal stage 2 meeting to consider dismissal will be held if and employee's performance has failed to improve to the required standard.
53. A manager at the appropriate level will be allocated to hear the case in accordance with the Managing People Policy, and they will formally write to the employee inviting them to a meeting to discuss their performance. The manager chairing the meeting will be advised by a HR representative. The line manager will also be in attendance. The employee may be accompanied to this meeting by their trade union representative or work colleague.
54. This meeting will cover:
  - Confirmation / exploration of the issues / unsatisfactory performance under the formal stage(s);
  - A review of set targets and timescales for improvement under formal stage(s);
  - Impact of the shortcomings outlined;
  - A review of the remedies implemented (e.g. any appropriate training / retraining support);
  - Outline the potential outcomes of the meeting (for example dismissal, demotion etc.).

55. The employee will be given an opportunity to respond to the management case of underperformance and to put forward any explanation they may have for the matters identified by the manager.
56. The outcome of the meeting will be confirmed in writing within 5 working days of the meeting and may be:
  - A decision to consider an alternative to dismissal i.e. demotion, transfer, or redeployment;
  - Dismissal on grounds of capability with notice (without notice on grounds of gross incapability).
57. The letter should include the reason for the decision; the date on which the decision becomes effective; the appropriate period of notice (if applicable); and the employee's right of appeal.
58. Demotion should only be considered where they are sure that the employee would be successful at the lower grade and where there is a post available.
59. If the outcome of this meeting is dismissal then the employee has the right of appeal.

## Appeals

60. Employees have the right to appeal against a decision to dismiss. Appeals must be made in writing to the Director of HR within 5 working days of receipt of the letter advising of the original decision. Appeals must specify the grounds of appeal and may relate to the application of the procedure and/or the decision. In exceptional circumstances, new information may be submitted, but an explanation must be included as to why the information was not provided at the time the original decision was made and how the information is material.
61. In the case of appeals against dismissal for employees at Grade I and J the appeal will be heard by the Appeal Sub Committee. For employees up to grade H they may opt to have an independent Level One officer or a hearing before the Appeal Committee in accordance with the Managing People Policy. All Appeal Hearings will be supported by a Corporate Human Resources representative.
62. The Dismissing Officer will be asked to prepare a written response to the appeal within 10 working days of receipt of the appeal and this will be shared with the employee. The employee may request that their appeal is a review of the paperwork only, without the attendance of either party at a hearing. In these circumstances if the Director is agreeable to such an approach the Appeal Officer / Appeal Committee will consider the appeal and their decision will be final and confirmed in writing. In all other cases an Appeal Hearing as outlined below will be arranged.

63. Appeals will usually be heard within 15 working days of the appeal being received and a review of the decision and consideration of the specific grounds of appeal. It is not usual to have new information entered at this stage. Any request for new information must be made at the time of making the appeal to the Director of Human Resources for consideration explaining why the new information was not provided at the time the original decision was made and how the information is material. The Director of Human Resource's decision will be final and the employee will need to provide and agreed additional documentation no more than 5 working days after this decision.

64. Employees may not additionally raise a grievance about the same issue under other procedures.

## **Links / Other resources**

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65. The City of London Corporation has an [Employee Assistance Programme](#) which is available to all employees, their partners and family members. This can be accessed on the following free phone number 0800 243 458. It is a confidential service provided by an independent third party and can provide support on a wide range of personal and work issues.

66. The following policies and guidance documents provide further information and support:

- [Code of Conduct](#)
- [Disciplinary Procedure](#)
- [Alcohol and Drug Misuse Policy](#)
- [Employee Assistance Programme](#)
- [Managing People Policy](#)
- Supervision and Performance Management of Employees - Guide
- Probation Policy

## **Appendices**

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- Appendix 1: Capability Procedure Flowchart
- Appendix 2: Performance Improvement Plan

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# Probation Procedure

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## Introduction

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1. All appointments to the City of London Corporation are subject to a probationary period, during which time appropriate training and support will be provided and the ability of employees to perform their duties assessed.

2. Employees have the responsibility for demonstrating their suitability for the post and encouragement and assistance will be given to help them meet the standards of work required.
3. Managers are responsible for:
  - ensuring that the induction process is fully completed and are aware of required standards of performance, conduct and attendance (please see New Employee's Guide to Induction for full details);
  - ensuring that all new employees are properly monitored during their probationary period and that they raise any concerns at an early stage;
  - ensuring that the employee is informed at the start of their employment about what is expected of them during their probation;
  - taking action at the appropriate time(s).

## Scope

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4. The Probation Procedure applies to all City of London Corporation employees, except for Teachers in the three City of London Schools and Police Officers for whom separate procedures apply.
5. This procedure does not apply to agency workers, consultants or other workers providing services to the City Corporation.
6. This procedure does not apply to existing employees who have transferred or been promoted into a different role and are not within their initial probationary period. See Transfers within the City of London Corporation section.

## Probationary Periods

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7. The standard probationary period is six months. However, employees on fixed term contracts of less than six months may have a shorter probationary period.
8. Probationary periods may be extended once, normally by up to a maximum of three months, if there are concerns relating to performance, conduct or attendance. Every effort will be made to help employees to settle into their new role and appropriate support will be provided as required. Employees will be advised of any issues as soon as possible and given an opportunity to discuss them and time to improve.
9. If areas of concern arise during the probationary period they will be dealt with promptly as and when they arise. This will ensure that the employee is aware of any aspect(s) of performance / conduct which is unsatisfactory and can take action to

prevent the problem escalating. However, all areas of concern will be taken into consideration when deciding whether to confirm the appointment.

## **Transfers within the City of London Corporation**

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10. Where internal transfers occur whilst employees are in their initial probation, the probationary period will be extended by up to a further three months.
11. Where employees are promoted to a new post (permanent, fixed term or a secondment) and are not within their initial probation period with the City Corporation, managers will set objectives as part of the appraisal process. If performance becomes a concern and informal management does not result in a sustained improvement, the capability procedure will apply.

## **Probation and Formal Procedures**

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12. During the probationary period employees will not be subject to the formal capability, disciplinary and sickness absence policies as set out in the Employee Handbook, however, the general principles of good practice will apply.
13. If employment is terminated either during or at the end of the probationary period employees will be notified of the reasons in writing, given the opportunity of a meeting to discuss these, and given the right to request an independent review of the decision if the outcome is dismissal.

## **Notice Periods**

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14. One week's notice is required during probationary periods by either side. The nature of some posts means that longer notice periods may be necessary. An employee's Statement of Terms and Conditions will give full details of their notice period. Employees may be required to stay away from their place of work during this notice period.

## **Required Standards of performance, conduct and attendance**

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15. Employees are expected to meet certain required standards in relation to job performance. These required standards are outlined below. Failure to meet the required standards during the probationary period could result in dismissal.

## **Performance**

16. During the probationary period the general principles of best practice will apply. Following successful completion of the probationary period employees will then be subject to the appraisal process.
17. At the start of the probationary period the line manager will discuss with the employee the objectives, behavioural standards and planned development that will be used to formally assess performance.
18. During probationary periods, employees will be under continuous assessment and meetings with their line manager should take place periodically to discuss performance against the initial objectives and to identify areas for improvement.

## **Conduct**

19. The City Corporation expects the conduct and integrity of employees to be of the highest standard. The Code of Conduct sets the standards of conduct required at work by all employees.

## **Attendance**

20. Providing a regular, efficient service and maintaining punctual attendance from all employees is a contractual condition and is essential in providing quality services to the public and other users.
21. The City Corporation is committed to employee health and wellbeing and has established policies, procedures and benefits to support employees.
22. The procedure for reporting sickness absence detailed within the Sickness Absence Policy should be followed by all employees, including those in their probationary period. If attendance causes concern during probationary periods it will be addressed and, if found to be unacceptable, may be dealt with, as set out in this procedure.

## **Probation Review periods**

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23. The manager will meet with the employee to set objectives in their first week ensuring that they understand what is required of them. Progress against these objectives will be monitored during regular 1:1 meetings.
24. Two formally documented review meetings will take place within the probationary period. The first review meeting will be half way through the probationary period.

During this meeting the manager will review and assess the employee's performance, capability and suitability for the role. Appendix 1 – Probation Review Form.

25. The last probationary period review meeting will take place approximately 1 month before the end of the probationary period, and employees will be provided with one weeks notice of the meeting. The purpose of this meeting is to discuss performance with a view to confirming employment, extending the probationary period or providing the intention to dismiss. This meeting will be repeated if the probationary period is extended, approximately one month before the end of the extended probation period. A clear record of all meetings will be made using the Probation Review Form and a copy should be provided to the employee and the HR representative.

## **Failure to meet required standards**

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26. If, during their probationary period, including any extensions, employees fail to meet and maintain the required standards of performance, conduct and/or attendance, they will be invited to a meeting by their manager to discuss concerns. As this is an informal meeting there is no right for employees to be accompanied.
27. Managers should seek advice from their HR representative before this meeting on appropriate action which may be undertaken.
28. During this meeting, standards will be discussed. If necessary a review period set during which improvements will be expected (Appendix 2 – Probation Extension Form). Further learning needs may be identified to assist the employee to achieve these standards. The outcome of the meeting will be confirmed in writing.
29. If standards improve satisfactorily this should be noted on the Probation Review Form. If standards do not improve sufficiently the formal stage of this process will be initiated as outlined below.
30. If, during the probationary period, it is suspected or established that the employee does not have the qualifications, experience or knowledge that they claimed to have at the time of recruitment, the matter will be discussed to establish the facts. If the evidence suggests that the employee deliberately misrepresented his/her abilities, qualifications or experience in any way, their employment can be terminated.

## **Formal Stage**

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31. If the required standards of performance, conduct and/or attendance have not been met at the end of the review, the formal stage will be convened at least one month before the end of the probationary period. If, however, the failure to meet standards

is sufficiently serious then the formal stage may be convened at an earlier stage. At this point the line manager will refer the case to the second line manager.

32. The second line manager will arrange a meeting, giving 5 working days written notice, setting out the reasons for the meeting and offering the right to be accompanied by a trade union representative or work colleague (whose identity should be notified to line management in advance). This meeting may result in dismissal. Appendix 3 – template letter inviting employee to meeting.
33. The meeting will be chaired by the second line manager to the employee, and will also be attended by a HR representative.
34. The outcome of the meeting will be communicated in writing by the second line manager within 3 working days. Employees have the right to request an independent review of the decision (appeal) if the outcome of the formal meeting is dismissal.
35. If dismissal is the outcome, the notice period will be one week, unless the nature of the post means that longer notice periods are necessary. If a senior manager decides there is evidence of gross misconduct, dismissal may take effect without notice.

## **Review of Decision (Appeal)**

36. Employees have the right to request a review of the decision to dismiss by a more senior manager. This request must be made in writing to the Director of Human Resources within 7 working days of receipt of the original decision. The request must explain the reasons for requesting a review.
37. The second line manager will be asked to prepare a written response to the employee's request to review the decision within 3 working days and this will be shared with the employee. The employee may request that the review of the decision is a review of the paperwork only. In these circumstances the reviewing manager will consider the paperwork and confirm their decision in writing within 3 working days of considering the case. In all other cases a meeting as outlined below will be arranged. The manager reviewing the case will be supported by a HR representative.
38. The meeting will usually be heard within 10 working days of the request to review the decision being received. The meeting will be attended by the employee and the manager who took the decision to dismiss. The manager who undertook the formal probation review may also be present at the meeting. The employee has the right to be accompanied by a trade union representative or work colleague (whose identity should be notified to the chair of the meeting in advance).
39. It is not usual to have new information put forward for consideration. If new information is introduced the reviewing manager will determine in consultation with

their HR representative why the information was not provided at the time the original decision was made and the extent to which the evidence is material. It will be a matter for the reviewing manager to decide whether the new information should be considered or not.

40. The reviewing manager may dismiss the request, in which case the original decision will stand; or substitute some other decision (e.g. extending the probation period for a short time).

41. The decision should be confirmed to the employee in writing within 5 working days.

## **List of Appendices**

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- Appendix 1 – Probation Review Form
- Appendix 2 – Probation Extension Form
- Appendix 3 – Template letter inviting employees to formal meeting

## **Links / Other Resources**

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- Capability Procedure
- Code of Conduct
- Disciplinary Procedure
- Employee Assistance Programme
- New Employees Guide to Induction
- Sickness Absence Management Policy

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# Supervision and Performance Management of Employees

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## Introduction

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1. Managing employee's performance is a continuous part of the employment journey to ensure the employee's own performance contributes to the aims and objectives of the team, the department and those of the City of London Corporation's.
2. Performance management consists of two processes which support each other:
  - induction, informal day-to-day management, supervision and guidance of employees and teams by the manager;
  - formal performance appraisal framework.

## Why is managing performance important?

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3. Managing performance is a key part to the employment relationship between manager and employee. Good performance management will help the City

Corporation to develop employees, through training and experience, which in turn can help aid succession planning.

4. Good performance management ensures employees are clear about:
  - the aims and objectives of the team, department and City Corporation;
  - how their role fits in to help the team, department and City Corporation achieve their goals;
  - the skills and competencies they require in order to fulfil their role;
  - the standards of performance expected;
  - the support available to them to perform well (e.g. training, coaching etc);
  - how they can develop their performance, in their role and achieve their career aspirations;
  - how they are doing, through clear and objective feedback on their progress against objectives;
  - what will happen if there are performance problems.

## **Measuring Performance**

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5. The tools used for measuring performance are:
  - Job description;
  - Person specification;
  - Learning and development record;
  - City of London Values – Lead Empower Trust;
  - 1:1 notes and action plans;
  - Appraisal documents;
  - Feedback notes;
  - Return to work interviews;
  - Time keeping records.
6. In instances where an employee is underperforming managers should identify what the required standard of performance is and compare this to the employees' current performance. If underperformance is identified managers should take into account whether this is a one off occurrence or whether this level of underperformance has become consistent.

## **Regular Feedback**

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7. Good communication is a key element of the relationship between manager and employee. This will allow for an open and honest dialogue when discussing performance.

8. Managers should provide feedback to employees on work at the time that it occurs, highlighting areas of both high performance and areas where performance may not be at the expected standard. Highlighting areas of high performance will help to reinforce the behaviour and the standards expected. Discussing issues of underperformance at the time they occur will allow the employee to address the concerns and take remedial action sooner, e.g. training, reviewing operational instructions, guidance, procedures etc.
9. Managers should meet regularly with employees to discuss work (one to one meeting), discussions will include:
  - progress against objectives and competencies;
  - key achievements;
  - learning and development undertaken;
  - area(s) to think about that might be improved further;
  - area(s) to work on and any concerns about performance.
10. In most cases, action can be agreed between the manager and the employee to resolve any problems at the earliest opportunity. When discussing performance issues with employees, managers should:
  - stick to the facts and not express personal opinion;
  - be specific and avoid generalisations;
  - ask open questions;
  - listen to the employee;
  - use positive words and tone;
  - focus on future improvements;
  - check for understanding;
  - follow through on commitments to review, provide support, training etc;
  - identify an appropriate timeframe for improvement, based on the nature and degree of performance improvement required.

## **Keeping a Record**

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11. Managers and employees should both keep records of achievements and development activities as they occur throughout the year to aid discussion at performance appraisal reviews. This should not be a time-consuming task, it could simply be a bullet point list to serve as a reminder to facilitate a wider discussion at one-to-one meetings and appraisal reviews.

## When Performance Becomes a Concern

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12. Managers will have outlined the objectives for the job and the competencies required during the recruitment process, ensuring that the successful applicant meets the relevant criteria at the start of the employment process.
13. It should be noted that very few employees choose to perform their work badly, make mistakes or fail to complete tasks. In the normal course of day-to-day work and supervision, employees will be made aware of instances where their performance is below the standard expected. They will be provided with an opportunity to improve their performance to an acceptable level with the appropriate support and training.
14. Managers should keep supervision notes detailing the steps taken to try to resolve matters of concern informally. This should include summary notes from the meeting, setting standards required to achieve and objectives to be met for improvement within a specified timeframe.
15. Where there have been a number of discussions regarding underperformance managers may issue a matter of concern letter to the employee. Appendix 1 provides a template matter of concern letter.
16. If the employee's work performance has not reached the standard expected, the manager will explain the shortcomings and provide them with an opportunity to respond. If there has been some improvement, then this should be acknowledged but should be set within the context of the overall issues.
17. If the manager considers that there is not a justifiable reason for not reaching the required standard during the review period, and/or that the shortcomings are likely to continue, then the matter will progress to the formal capability, disciplinary or probationary procedure. The probation procedure will be used where the employee is still a probationer. The disciplinary procedure may be appropriate in the rare case where the failure to reach expected standards involves breach of code of conduct or a refusal to cooperate/improve. If this decision is made, the employee should be advised of this by the manager. Appendix 2 provides guidance on identifying whether an issue is a capability or conduct matter.

## Links / Other resources

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- [Capability Procedure](#) (*under review*)
- [Disciplinary Procedure](#)
- [Managing People Policy](#)
- [1 to 1 Meeting Action Form](#) (under Preparing for Appraisal section)
- [Performance Development Framework and Appraisal](#)
- [Probation Policy](#)

## Appendices

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- Appendix 1 – Template Matter of Concern Letter
- Appendix 2 – Managing Performance – Capability or Conduct Flowchart

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# Managing People Policy

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## Statement of intent

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1. The City of London Corporation strives to be an excellent employer with a modern suite of employee benefits, employment policies and procedures. It prides itself on being committed to providing high quality management, valuing the diversity of its workforce and providing the best possible learning and development opportunities for its employees, which in turn will enable excellent service delivery.
2. The City Corporation's Code of Conduct for employees sets out the standard of conduct required at work.
3. Managers are expected to provide employees with appropriate supervision, guidance and the necessary tools and equipment to undertake their duties. However where standards of behaviour, performance, conduct or attendance fall short of that expected by the City Corporation, managers will take appropriate steps as set out in this policy.

4. Managers who are involved in the formal stages of the procedures are expected to be open minded, non-biased and treat employees consistently and fairly during the course of investigations and hearings.
5. From time to time employees may also have concerns problems or complaints about their working environment, conditions or treatment at work. Managers are expected to deal with these swiftly and informally wherever possible mediating between parties, notwithstanding the employee's right to progress such matters through the formal process where necessary.

## **Scope**

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6. Unless stated within the specific procedure, this policy applies to all employees of the City Corporation who have completed their probationary period, except for Chief Officers, Teachers and Police Officers for whom separate procedures apply. This policy does not apply to agency workers, consultants or other workers providing services to the City Corporation.
7. The specific procedures to which this policy applies are:
  - Disciplinary Procedure
  - Grievance Procedure
  - Capability Procedure
  - Sickness Absence Management Procedure
  - Probationary Procedure
8. The Director of Human Resources will be responsible for the interpretation, advice and management of these procedures on behalf of the City Corporation.

## **Purpose of the Managing People Policy**

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9. To provide clarity about how the behaviour, actions, performance or attendance of employees that falls short of that expected by the City Corporation will be dealt with.
10. To provide an informal and formal mechanism for employees to raise grievances about their working environment, conditions or treatment at work.
11. To detail the formal procedures to be followed where informal action has not resulted in the required standard being sustained on a consistent basis and/or informal action is not appropriate in the circumstances.
12. To foster a working environment that as appropriate:
  - nips minor issues in the bud in an informal setting
  - gives employees the confidence to raise concerns and grievances without fear of reprisal



- supports and encourages improvement
- learns from mistakes and experience
- takes into consideration the working relationship with colleagues, stakeholders and customers and their needs and expectations

## **Aims**

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13. To provide a fair and consistent approach to the way employee grievances and matters of poor standards of behaviour, conduct, performance, capability and attendance will be dealt with.
14. To deal with such matters swiftly and at the lowest level within the procedure as is appropriate in the circumstances.
15. To follow good management practice and ACAS Code of Practice on Disciplinary and Grievance Procedures in the handling of such matters.

## **Responsibilities**

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16. Managers are expected to:
  - Manage all employees consistently, fairly and objectively
  - Ensure employees receive appropriate induction supervision and guidance to enable them to do their job effectively
  - Ensure the formal appraisal process is undertaken
  - Highlight rules processes and procedures and any other standards expected
  - Ensure any changes to these are clearly notified to employees
  - Deal with any matters of concern promptly, clarifying as appropriate what the concern is, what the required standard is and as appropriate an action plan which may include any support/training that will be provided, timescale for improvement, monitoring and review period
  - In the case of grievances deal with matters swiftly and as informally as possible; clarify the issue/s and remedy sought; be clear about what outcome can realistically be achieved
  - Keep notes of incidents and of meetings held with employees where concerns are raised and ensure an appropriate level of confidentiality is maintained
  - Treat their involvement in the formal stages of the procedures as high priority to facilitate early resolution
  - Keep people management issues confidential to parties involved
  - Comply with the spirit and meaning of this policy and procedures within it

17. Employees are expected to:

- Honour the terms of their contract of employment
- Perform their role to a high standard, working constructively with their manager and colleagues
- Comply with rules, agreed procedures, standards and reasonable management instructions
- Work collaboratively with managers and colleagues to raise, address and resolve concerns and problems at work in a timely fashion and wherever possible informally
- Treat colleagues, customers and stakeholders with dignity and respect
- Cooperate with disciplinary and grievance investigations, meetings and hearings undertaken by managers and treat such matters confidentially
- Maintain good attendance and time keeping

18. HR will:

- Provide managers with professional guidance and advice on the operations of this policy and procedures within it
- Attend formal hearings and appeals to provide guidance and advice to support the Hearing/Appeal Officer
- Monitor formal action to ensure compliance with this policy and for statistical purposes.

## **Levels of authority**

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19. The types of action that can be taken by different levels of management can be found in the table at the end of this document. For the purposes of this policy the officers included at each level are:

Level 1

Chief Officers: Directors of Corporate, Service and Institutional Departments; Deputy Town Clerk, the Assistant Town Clerks and Director of Human Resources

Level 2

Any other Chief Officers, Heads of Service or equivalent and Senior Managers at grade I and J with responsibility for staff and associated budgets

Level 3

Managers at Grade E, F, G, H

Level 4

Managers/supervisors at Grade D or below

20. These are the minimum levels at which action can be taken. The assumption is that matters will generally be conducted within the reporting line unless there are exceptional circumstances agreed by Director of Human Resources.

21. In addition in exceptional circumstances:

- Chief Officers with the approval of Director of Human Resources may delegate the formal Level 2 responsibilities to managers at grade H and below who are appropriately trained and/or have the necessary experience for decisions up to but not including possible dismissal. This would generally apply in situations where there are limited or no Level 2 managers or in those areas with large lower graded workforce and lower levels of managers.
- Director of Human Resources may approve the use of interim managers either internal to City Corporation or from an external organisation who are appropriately trained and/or have the necessary experience to undertake the formal stages of the procedures.

## List of appendices

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None

## Links / Other resources

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[Code of Conduct](#)

[Disciplinary Procedure](#)

[Grievance Procedure](#)

[Capability Procedure](#)

[Sickness Absence Policy](#)

[Probationary Policy](#)

See next page for: *Table: Management levels authorised to take action*

**Table: Management levels authorised to take action**

Type of Action	Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> <li>• 1-2-1s</li> </ul>	Yes	Yes	Yes	Yes
<ul style="list-style-type: none"> <li>• Informal discussions, resolution and warnings</li> <li>• Probation Review meetings</li> <li>• Sickness RTW and informal meetings</li> <li>• Formal Sickness Stages 1 and 2</li> </ul>	Yes	Yes	Yes	Yes
<ul style="list-style-type: none"> <li>• Approve use of formal disciplinary procedures and commission Investigating and Hearing Officers</li> </ul>	Yes	Yes		
<ul style="list-style-type: none"> <li>• Formal Disciplinary Investigations</li> <li>• Grievance Investigations and Formal Resolution meetings</li> </ul>	Yes	Yes	Yes	
<ul style="list-style-type: none"> <li>• Capability Formal Stage 1</li> </ul>	Yes	Yes	Yes	Yes
<ul style="list-style-type: none"> <li>• Suspension from duty up to grade H employees</li> </ul>	Yes plus DHR or rep	Yes plus DHR or rep		
<ul style="list-style-type: none"> <li>• Formal Probation Meeting including dismissal up to grade H</li> </ul>	Yes plus DHR or rep	Yes plus DHR or rep	Yes	
<ul style="list-style-type: none"> <li>• Probation Procedure: Review of decision up to grade H</li> </ul>	Yes plus DHR or rep	Yes plus DHR or rep		
<ul style="list-style-type: none"> <li>• Capability Formal Stage 2 (and 3 in exceptional circumstances) including dismissal up to grade H</li> </ul>	Yes plus DHR or rep	Yes plus DHR or rep		
<ul style="list-style-type: none"> <li>• Disciplinary Hearings including dismissal up to grade H</li> <li>• Final Sickness Stage meetings including dismissal up to grade H</li> </ul>	Yes plus an HR rep	Yes plus an HR rep		
<ul style="list-style-type: none"> <li>• Disciplinary Appeals other than dismissal up to grade H</li> <li>• All Grievance Appeals up to grade H</li> </ul>	Yes plus an HR rep	Yes plus an HR rep		
<ul style="list-style-type: none"> <li>• Appeals against Dismissal (excluding probation) up to grade H</li> </ul>	Yes either independent to the department or the Member Level Appeal Sub Committee plus DHR or rep			
<ul style="list-style-type: none"> <li>• Suspension from duty employees on I and above</li> <li>• Approval of Sickness Absence 'deferred action'</li> </ul>	Yes plus DHR or rep			

Type of Action	Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> <li>• Disciplinary Hearings (including dismissal) grades I J</li> <li>• final Sickness Stages (including dismissal) grades I J</li> <li>• Formal Probation Meeting (including dismissal) grade I J</li> <li>• Probation Policy: Review of Decision grade I J</li> <li>• Capability Formal Stage 2 (and 3 in exceptional circumstances) including dismissal grades I J</li> </ul>	Yes plus DHR or rep			
<ul style="list-style-type: none"> <li>• Disciplinary Appeals other than dismissal grades I J</li> <li>• Grievance Appeals grades I J</li> </ul>	Yes independent to the department plus an HR rep			
<ul style="list-style-type: none"> <li>• Appeal against Dismissal (excluding probation) grades I and J</li> </ul>	Reserved for Member Level Appeal Sub Committee. This will be comprised of one Member, One Chief Officer and one manager of Grade I or above.			

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<b>Committee(s)</b>	<b>Dated:</b>
Establishment Committee	17 October 2017
<b>Subject:</b> Use of Volunteers	<b>Public</b>
<b>Report of:</b> Director of Human Resources	<b>For Information</b>
<b>Report author:</b> Bijel Thakrar, Town Clerk's Human Resources Grace Rawnsely, Head of Learning, Open Spaces	

## Summary

The purpose of this report is to update Members on the involvement of volunteers across the City of London Corporation and the work that is in progress to ensure consistency in practice regarding the recruitment, induction and training of volunteers.

## Recommendation

The Establishment Committee is asked to note:

- the progress of work to date
- the work which will be taken forward by the Volunteering Working Group
- that a progress report will be provided in January 2018

## Main Report

### Background

1. At the Establishment Committee on 19 June 2017, questions were raised in relation to: the extent and involvement of volunteers in the City Corporation's work; the protocols used across the organisation; and the duty of care discharged towards volunteers. The driver for this review was that the practice applied to the involvement of volunteers appeared to vary by department. A report to compare and contrast the approach to paid workers and volunteers and guidance on how to appoint them was requested.
2. The concerns raised at Establishment Committee were reviewed and it was found that work was already in progress with the aim to bring consistency to volunteering practice across the City Corporation and is outlined in this report.
3. Due to the significant differences in the recording of salaried staff and volunteers, it is not possible to compare and contrast the two groups with any great accuracy. Best practice in this area confirms that an employer should maintain appropriate boundaries between paid staff and volunteers, while endeavouring to ensure both are valued equally.

4. Another important factor is that volunteers do not have the same employment rights as staff, although the City Corporation will seek to ensure that volunteers are treated fairly and consistently.
5. It is also important to recognise the difference between volunteering and work experience. The City Corporation is committed to providing good quality work experience to young people who are at school or college in the form of one or two week unpaid placements. Other forms of work experience include student placements and adult placements which are usually paid London Living Wage for placements of two weeks or more.
6. The National Council for Volunteering Organisations (NCVO) champions the voluntary sector and volunteering, which they believe are essential for a better society. The NCVO define volunteering as any activity that involves spending time, unpaid, doing something that aims to benefit the environment or someone (individuals or groups) other than, or in addition to, close relatives.
7. The City of London Corporation supports volunteering which can be classified into three categories:
  - A. volunteering that supports the work of the City Corporation and its beneficiaries;
  - B. engaging residents and City workers in volunteering for other organisations;
  - C. employee volunteering that supports other departments and organisations.

For the purposes of this report, the focus will be on category A.

8. An independent review of volunteering was commissioned by the Department of Community and Children's Services (DCCS) in 2015 to inform the future tendering and commissioning of two volunteering contracts.
9. The review identified that there was no overarching City Corporation volunteering offer and recommended a number of short and long term actions for consideration.
10. The recommendations included developing:
  - a strategic approach, a robust needs analysis and priority focus;
  - common policies, procedures and practices;
  - recruitment and management of volunteers.
11. On 29 November 2016, DCCS presented a paper to the People Steering Group outlining these findings and asked the Group to consider the short and long-term recommendations for review and to consider the development of an organisation wide volunteering offer. It was agreed that a group of officers from across the City Corporation should consider how to take forward the recommendations of the review and the report.



## **Current Position**

12. In early 2017, the Volunteering Working Group was formed to take forward the recommendations from the review and to ensure consistency in practice across departments. The Group has representation from Town Clerk's, Open Spaces Department, City Bridge Trust and HR. Staff from the Economic Development Office and DCCS are also represented in the Group.
13. The Volunteering Working Group will explore the way in which a cross-departmental approach to volunteering could contribute to both the new Corporate Plan and the Responsible Business Review.
14. A survey was conducted by the Volunteering Working Group in May 2017 to gain more detail about the involvement of volunteers. The outcome of the survey provided an overview of the volunteering taking place and some confirmed volunteers were used occasionally. The City Corporation does not currently hold a central database of volunteers by department and due to the nature of this type of work, it would be difficult to maintain and keep up-to-date.
15. The Group will endeavour to provide consistency across the City Corporation with regards to the engagement of volunteers and ensure that all departments are aware of their roles and responsibilities when using volunteers.
16. The Open Spaces Department, is one of many that have developed guidance, including:
  - a Volunteer Policy;
  - a Vision for Volunteering;
  - a Volunteer Recruitment and Selection Policy;
  - insurance and Duty of Care Arrangement for Volunteers.
17. The Volunteering Working Group will determine how best to collate the relevant guidance and policies from across the City Corporation and recommend which supporting documents should be rolled out and made available to all departments to provide consistency and transparency in practice. A flowchart about volunteering activity and supporting documents is attached at Appendix 1.
18. The Volunteering Working Group will meet to take forward the recommendations of the review.

## **Corporate & Strategic Implications**

19. Strengthening the volunteering offer across the City Corporation will contribute to delivering the Corporate Plan, specifically the People outcomes and aligns with the trends identified in the Responsible Business Review.
20. In addition to the work of the Volunteering Group, the Corporate Strategy and Performance Team will lead on developing a Corporate Volunteering Strategy. This strategy will be devised in partnership with the Working Group and HR.

21. Colleagues from Town Clerk's and the Open Spaces department have provided input into this report.

## **Conclusion**

22. The City Corporation will seek to ensure that volunteers are treated fairly and consistently.

23. Although, it is not possible to provide data on volunteers, the Volunteering Working Group will seek to ensure that consistency in practice across all departments.

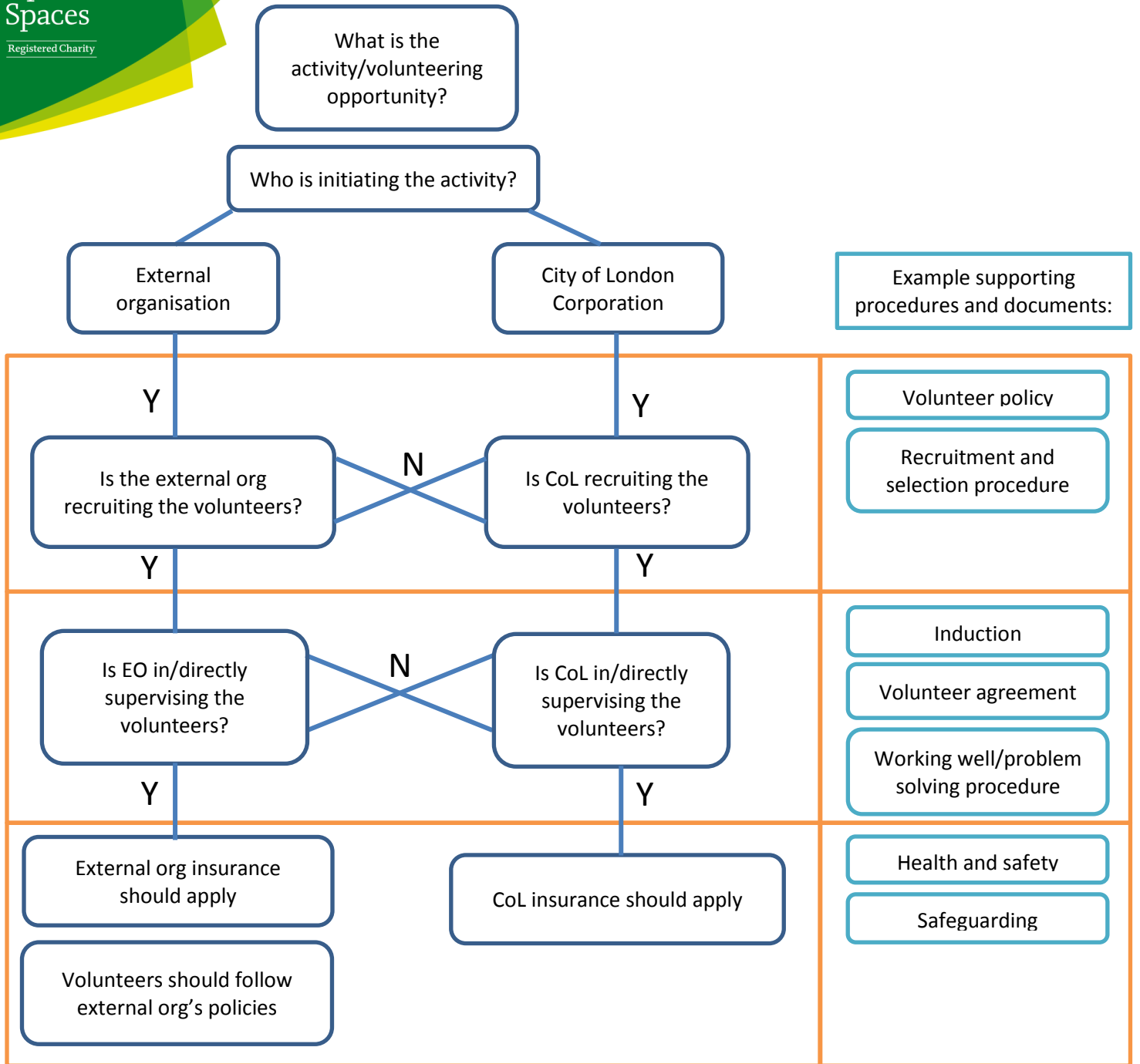
24. The Volunteering Working Group will provide a progress report to the Establishment Committee in January 2018.

## **Appendices**

- Appendix 1 – Volunteering Flowchart

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**Glossary of terms:**

'Who is initiating the activity?'

If the City of London has initiated the activity, it means an organisational need has been identified. If an external organisation has initiated it, it means that they have approached the City of London with ideas aligned with their own organisation's aims.

'Direct' supervision includes task days, public engagement events, front of house welcome and other activities where a staff member is present.

'Indirect' supervision includes inductions, training, planning sessions, meetings, promotion and other support, where a staff member is present.

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