



Establishment Committee

Date: MONDAY, 9 JULY 2018

Time: 1.45 pm

Venue: COMMITTEE ROOMS

Members:

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

Enquiries: Sacha Than (interim cover)
tel. no.: 020 7332 3419
sacha.than@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**
To agree the public minutes and summary of the meeting held on 22 May 2018.

For Decision
(Pages 1 - 6)

4. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.

For Information
(Pages 7 - 8)

Strategic Reports

5. **GUILDHALL WORKPLACE UTILISATION PROGRAMME - UPDATE REPORT**
Joint Report of the Town Clerk, Director of Human Resources and City Surveyor.
6. **MATERNITY, ADOPTION AND SHARED PARENTAL LEAVE - FUNDING MECHANISM**
Report of the Chamberlain.

For Information
(Pages 9 - 12)

For Decision
(Pages 13 - 16)

7. **OVER-ARCHING POLICY ON GENDER IDENTITY FOR THE CITY OF LONDON CORPORATION**
Joint report of the Comptroller, Director of Human Resources, and Director of Communications.

For Decision
(Pages 17 - 28)

Restructuring Proposals

8. **COMMITTEE AND MEMBERS SERVICES TEAM - REQUEST FOR ADDITIONAL RESOURCES**

Report of the Town Clerk.

For Decision
(Pages 29 - 38)

Policy and Procedure Proposals

9. **ACCEPTABLE USE OF IT POLICY**

Report of the Director of Human Resources.

For Decision
(Pages 39 - 50)

10. **DECLARATION OF INTERESTS**

Report of the Director of Human Resources.

For Decision
(Pages 51 - 72)

11. **ANNUAL EQUALITIES IN EMPLOYMENT MONITORING REPORT 2017-2018**

Report of the Director of Human Resources.

For Information
(Pages 73 - 98)

Reports for Information

12. **COMMERCIAL CONTRACT MANAGEMENT FUNCTION UPDATE (CITY PROCUREMENT)**

Report of the Chamberlain.

For Information
(Pages 99 - 102)

13. **REPORT OF ACTION TAKEN**

Report of the Town Clerk.

For Information
(Pages 103 - 104)

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**
To agree the non-public minutes of the meeting held on 22 May 2018.

For Decision
(Pages 105 - 106)

18. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.

For Information
(Pages 107 - 108)

19. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
20. **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

21. **CONFIDENTIAL MINUTES**
To agree the Confidential minutes of the last meeting held on 22 May 2018.

For Decision

22. **CITY REVENUES**
Report of the Chamberlain.

For Decision

23. **MARKET FORCES SUPPLEMENT REQUEST - GSMD**
Report of the Principal of the GSMD.

For Decision

24. **MANSION HOUSE AND CENTRAL CRIMINAL COURT EVENTS**
Report of the Executive Director, Mansion House and Central Criminal Court.

For Decision

25. **CITY OF LONDON POLICE HR**
Joint Report of the Police Commissioner, Town Clerk and Director of Human Resources.

For Information

26. **STAFF APPEAL RESULTS SUMMARY**
Report of the Comptroller and City Solicitor.

For Information

27. **TRIBUNAL TREND ANALYSIS**
Report of the Comptroller and City Solicitor.

For Information

28. **PAY NEGOTIATIONS 2018**
Report of the Director of Human Resources.

For Decision

29. **SENIOR REMUNERATION SUB-COMMITTEE MINUTES (TO FOLLOW)**
Minutes of the meeting held on 2 July 2018.

For Information

This page is intentionally left blank

ESTABLISHMENT COMMITTEE

Tuesday, 22 May 2018

Minutes of the meeting of the Establishment Committee held at the Guildhall EC2 at 1.45 pm

Present

Members:

Deputy Edward Lord (Chairman)	Jeremy Mayhew
Deputy the Revd Stephen Haines (Deputy Chairman)	Sylvia Moys
Randall Anderson	Deputy Joyce Nash
Sir Mark Boleat	Barbara Newman
Deputy Keith Bottomley	Alderman William Russell
Deputy Kevin Everett	Ruby Sayed
Deputy Jamie Ingham Clark	Deputy Philip Woodhouse

Officers:

John Barradell	- Town Clerk and Chief Executive
Simon Latham	- 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
Amanda Thompson	- Town Clerk's Department
Amanda Mays	- Human Resources
Damian Nussbaum	- Director of Economic Development

The Chairman also welcomed the Chief Commoner to the meeting.

1. APOLOGIES

Apologies for absence were received from Sophie Anne Fernandes, Deputy Richard Regan and Deputy Elizabeth Rogula.

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 25 April be approved as an accurate record.

Matters Arising

Arising from Minute 9 – Senior Remuneration Committee – the Chairman advised that now the membership had been agreed it would be necessary to agree that the terms of reference of the Senior Remuneration Sub-Committee were to exercise those powers of the Establishment Committee referred to in the following paragraphs of the Committee's terms of reference:

(a) The Establishment Committee has specific authority to deal with or make recommendations to the Court of Common Council where appropriate on all matters relating to the employment of City of London Corporation employees where such matters are not specifically delegated to another Committee. These matters include:-

..... remuneration of Senior Officers;

(f) (ii) to act as the Employer's side of the Senior Management Joint Consultative Committee when meeting representatives of senior management of grades H and above, including High and Table Officers, for the purpose of collective consultation and negotiation on general matters relating to salaries and terms and conditions of service, etc;

(g) To increase Judges' salaries if they follow the recommendations of the Top Review Board and are approved by the Lord Chancellor.

RESOLVED – That the terms of reference be agreed.

4. OUTSTANDING ACTIONS REPORT

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

RESOLVED – That the report be noted and the actions updated accordingly.

5. HR TRANSFORMATION PROGRAMME

The Committee received a report of the Director of Human Resources, together with a short film, detailing the HR transformation activity planned for 2018-2020.

Members welcomed the report which was designed to achieve the Corporate Plan outcomes, and also underpin the objectives set out by the Chairman in April 2018.

Members noted that a holistic and preventative approach to mental health was to be established and asked that this also be extended to unpaid staff and volunteers as appropriate.

RESOLVED – To note the report and endorse the HR Transformation Programme 2018-2020 set out in Appendix Two.

6. PEOPLE SECURITY POLICY

The Committee received a report of the Director of Human Resources outlining the development of a new People Security Policy which set out the standards and expectations in relation to the security and safety of all employees.

RESOLVED – To

- 1) Approve the People Security Policy attached at Appendix 1 of the report; and
- 2) Note the addition of serious breaches of security to the examples of potential gross misconduct in the disciplinary procedure.

7. THE CITY OF LONDON CORPORATION'S RESPONSIBLE BUSINESS STRATEGY 2018-23

The Committee received a report of the Chamberlain and the Chief Grants Officer presenting the draft version of “Towards a Sustainable Future: The City of London Corporation’s Responsible Business Strategy, 2018-23”.

The Committee asked that in relation to Outcome 2: The Planet is Healthier, ‘the reduction of the use of diesel vehicles being used by staff to travel to and from work’ should be changed to ‘The reduction of the use of diesel vehicles altogether.’

RESOLVED – that the report be endorsed and amended as agreed.

8. DATA PROTECTION

The Committee received a report of the Director of Human Resources proposing a revised Employee Data Protection Policy which would apply to all prospective, current and former employees and workers at the City Corporation.

RESOLVED – To agree

- 1) The Revised Employee Data Protection Policy set out in Appendix 1;
- 2) Updates to the employment contract clauses with effect from 25 May 2018;
- 3) To delegate authority to the Director of Human Resources to approve necessary amendments to HR policies and procedures to ensure their compliance with the new legislation; and
- 4) That the Director reports back after six months on implementation and on the use of her delegated authority.

9. CORPORATE VOLUNTEERING STRATEGY

The Committee received a report of the Town Clerk presenting the proposed final version of the Corporate Volunteering Strategy 2018-23 for Members’ information. The strategy set out the City of London Corporation’s vision for

volunteering, in which the organisation 'has a positive volunteering culture, with clear and consistent practices, which support volunteers and their beneficiaries to flourish in the Square Mile, London and beyond' and how it will work towards achieving it.

The paper outlined the process by which the strategy was developed, the next steps for its implementation and its corporate implications.

RESOLVED - to:

- 1) Note the process for developing the strategy; and
- 2) Note the content of the Corporate Volunteering Strategy at Appendix 1 of the report.

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

There were no questions.

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

The following items of business were raised:

Use of Acronyms

Report authors were reminded that when using acronyms the full title should be used in the first instance with the acronym in brackets before using the acronym only.

Late Reports

The Committee supported the Chairman's proposal that late reports would only be considered if there was:

- 1) A genuine and good reason for the report not being available by the deadline; and
- 2) Clear evidence of a need for the committee to consider the report at the meeting.

12. **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.

13. **2017 MANCHESTER TERROR ATTACK**

At 2.30pm the Committee observed the national one minute silence to remember the victims of the 2017 Manchester terror attack.

14. **NON-PUBLIC MINUTES**

RESOLVED – That the non-public minutes and summary of the meeting held on 25 April be approved as an accurate record.

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-COMPLIANT WAIVER REPORT - OCCUPATIONAL HEALTH PHYSICIAN SERVICES**

The Committee received a joint report of the Commander CoL Police and the Director of Human Resources regarding the contract for Occupational Health Physician Services.

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

There were no questions.

18. **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 however the Chief Commoner reported that he had requested details of all volunteers working throughout the organisation so that he could invite them to a reception to thank them for their contributions.

19. **CONFIDENTIAL MINUTES**

RESOLVED – That the confidential minutes and summary of the meeting held on 25 April be approved as an accurate record.

20. **OUTSTANDING ACTIONS REPORT**

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

21. **RECONFIGURATION OF THE CRM AND COD FUNCTIONS AND THE TRANSITION TO AND LONG-TERM SUPPORT FOR CITY DYNAMICS**

The Committee received a report of the Town Clerk regarding the CRM and COD functions.

22. **REVIEW OF TRADE UNION FIXED RELEASE**

The Committee received a report of the Director of Human Resources regarding Trade Union fixed Release.

23. **TOWN CLERK'S UPDATE**

The Town Clerk provided the Committee with an oral update.

24. **ANY OTHER ITEMS OF CONFIDENTIAL BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

The confidential items of urgent business were noted.

The meeting closed at 3.25 pm

Chairman

Contact Officer: Amanda Thompson
tel. no.: 020 7332 3414
amanda.thompson@cityoflondon.gov.uk

Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
	5 December 2017	<u>Maternity, Adoption & Shared Parental Leave</u> Members questioned why the costs could not be met from a central budget and it was agreed that a report back on alternative methods of funding should also be reported.	HR	Review January 2019 Update Feb 2018	Chamberlain to Update
	26 February 2018	After a lengthy debate, members agreed that these payments should be funded centrally rather than by local risk budgets, recognising that a central budget would need to be top sliced from all departmental budgets. The Chamberlain advised that this would require a late adjustment to the budget but agreed to bring a report back to the Committee to implement Members' decision. RESOLVED - That a report proposing that maternity, adoption and shared parental pay be met from a central budget be brought back to the Committee to implement Members' decision	Chamberlain	9 July Agenda	

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
	5 December 2017 26 February 2018	<u>Revenue Budgets</u> The Assistant Town Clerk reported that he was aware that there was currently no budget for Member's facilities such as stationary and furniture and it was agreed that this be considered and reported back in the general budget report.	Chamberlains/TC	TBC	Ongoing
	5 December 2017 15 January 2018 26 February 2018	<u>Register of Interests for Chief Officers</u> The DHR suggested that the guidelines for the Chief Officers Register of Interests should be reviewed.	HR	June 2018	

Committees	Dated:
Establishment Committee – For Information	9 th July 2018
Information Technology Sub (Finance) Committee – For Information	10 th July 2018
Subject: Guildhall Workplace Utilisation Programme – Update Report	Public
Report of: The Town Clerk, Chamberlain and City Surveyor	For Information
Report author: Dorian Price, City Surveyor's department	

Summary

This report provides an update on the Accommodation and Ways of Working programme that has been reviewed and rebranded – Project Martini – to support a clear vision for the target operating model for the use of Guildhall office space.

Project Martini progress is being driven by the organisation's needs when considering new ways of working, including working in a more agile, collaborative and flexible way; and will consider three areas – People, Process and Technology & Infrastructure.

Recommendations

Members are asked;

- To note the report and the progress being made.

Main Report

Background

1. In support of the City's Corporation Property Asset Management Strategy and Operational Property Review, the Accommodation and Ways of Working programme was formally initiated in September 2016. In early 2017, it became clear that this project was failing to gain momentum as a result of dependencies on other transformation projects and a lack of clarity around the rationale for change and target operating model. The decision was taken to pause the delivery of the project to tackle these issues.
2. There have been developments within each of the three workstreams; IT Transformation, HR Transformation and Operational Property Review, that

support the rationale for taking this forward and enable optimal use of the Guildhall office space:

Current Position

3. High level strategic planning is currently being undertaken to help make decisions relating to the future of Guildhall complex properties west wing, north wing, 65/65a Basinghall Street and 20/21 Aldermanbury. A new Masterplan, to be agreed by Members, will then support all future decisions on the various projects supporting the Masterplan.
4. City Surveyor officers, and when recruited, the Workplace Manager will continue to manage with a number of tactical space related issues in the interim period, and develop the Project Martini workplace vision of People, Process and Technical and Infrastructure, working closely with colleagues from HR and IT.
5. An overarching aim of Project Martini is to support cultural change through enhanced collaborative working and a working environment that accommodates the need and aspirations of the differing generations of our current and future employees. The project will consider both the needs of employees and the organisation when making decisions to change the existing ways of working.
6. The majority of the improvements to space utilisation will be made by better use of the current desk allocation, moving away from the culture of “owned” desks, adding more docking stations, implementing a clear desk and locker approach and introduction of a new telephony system to support agile working around the complex.
7. The main progress highlights to note are;
 - a. Target to empty Walbrook Wharf Offices by end of 2018, save for Coroners Court and Occupational Health.
 - b. Plan to implement clear desk policy by making corporate Access to Information Network (AIN) Representatives, consisting of departmental colleagues, responsible for the clear desk policy implementation and cultural change.
 - c. Workplace Manager recruitment campaign commenced, May 2018.
 - d. North Wing and West Wing met 2017/18 the space target of 8sq.m per FTE
 - e. A Workplace Management Project meeting took place April 2018, between City Surveyors, HR and IT and discussed the principal components of People, Process, Technical and Infrastructure.
 - f. Work has commenced with DBE to develop space design to absorb the DBE team from Walbrook Wharf into Guildhall.
 - g. Work has commenced with EDO and CBT to identify a space design template to absorb new team members to these departments and align with the Corporate Project Martini deliverables.
 - h. The IT Transformation programme has delivered an “evergreen” core technology platform that has mobility and flexible working features enabled by design. Windows 10, Skype for Business, Office365, and SharePoint

online has been deployed to 2,600 corporation users, 70% of whom now operate from a laptop device. In addition, 900 users have access to the core platform from a managed mobile device. New WAN and LAN services, including an upgraded corporate wireless LAN have provided further capacity, resilience and capability across the Corporation's operational estate. This investment is now able to be leveraged to support new work styles and drive better utilisation of the estate. For business users this has realised the following operational benefits;

- i. Remote management – remote fixes, first time fix on the desk and quick replacement of equipment eg laptop computer.
 - ii. Standard profiles – security control and new starter management
 - iii. Zero touch support – patch and maintenance, on line requests
 - iv. Enhanced resilience – stable platforms
- i. Work is ongoing to support departments collaborate across organisational boundaries, though the wider adoption of the Microsoft Office365 suite. This will include the need for further investment to equip workspaces to support collaboration, voice and video conferencing facilities.
 - j. Further phases of work currently being defined include a shift away from traditional “fixed” telephony, (which constrains workers to a specific location) to a Unified Communications platform that enables single number reach regardless of the location of the individual. Be they in a corporation office, working remotely off-site, or working from a partner agency.
 - k. HR are planning to introduce a Service Manual for agile working which includes a range of tools and techniques as to how the City Corporation can work in a more agile, collaborative and flexible way.
 - l. The new performance management process introduced as part of the new appraisal process is anchored in enhanced coaching conversations. More frequent ‘check-ins’ and quality conversations between managers and employees can also enhance working practice and lead to changes in how people work.

Financial Implications

- 8. In order to support the delivery of space efficiency, we need to ensure that any trials/proof of concept are in line with the Project Martini deliverables and costs are coordinated centrally through the project.
- 9. Project costs of £68,775 have been previously spent (from an approved budget of £165,000) on the Accommodation and Ways of Working programme for consultancy costs and workplace design options.
- 10. Outline workspace options, together with costs will be presented in the next Gateway 3/4 report, due Autumn 2018.

Corporate and Strategic Implications

- 11. The new Ways of Working will support the delivery of the following key outcomes in the Corporate Plan:
 - a. People enjoy good health and wellbeing.

- b. People have equal opportunities to enrich their lives and reach their full potential.
- c. We are a global hub for innovation in financial and professional services, commerce and culture.
- d. We are digitally and physically well-connected and responsive.

12. In addition, the Commitments within the Plan identify that we will need to be relevant, responsible, reliable and radical as an organisation. We will need to think and act strategically and at pace. This means as individuals, we must be open to unlocking the full potential of our many assets, which includes our space, employees and technology. Trying new things and learning as we go is also key and can be addressed by looking at the way we work and how we can achieve more by working differently.
13. A workstream has also been identified in the Asset Management Service Based Review to develop an integrated business case for the provision of modernised flexible workspace that supports future ways of working. This will include the non-financial benefits of Project Martini eg Wellbeing, increased collaboration and flexibility in the workplace.

Conclusion

14. Progress continues to be made against the Project Martini deliverables and once the Workplace Manager is successfully recruited, additional traction and progress will be generated to the overall project.
15. In the meantime, the Agile Working Group will continue to meet and focus on the principle components of Project Martini; People, Process and Technology & Infrastructure. It is not about doing things in the old way with some new technologies and redesigned offices – it is about new ways of working using new tools, new processes, and new approaches to management and teamwork. This requires different types of behaviours and different expectations about how work is done to support a shifting culture.

Dorian Price

Guildhall Manager, City Surveyor's Department

T: 020 7332 1487

E: dorian.price@cityoflondon.gov.uk

Committee(s)	Dated:
Establishment Committee – For decision Finance Committee – For decision Policy Committee – For decision	9 July 2018 24 July 2018 6 September 2018
Subject: Maternity, Adoption and Shared Parental Leave – funding mechanism	Public
Report of: The Chamberlain	For Decision
Report author: Philip Gregory, Deputy Director, Financial Services	

Summary

The Establishment Committee decided to enhance the maternity, adoption and shared parental pay provisions at their meeting in December 2017. At subsequent meetings of the committee a request was made that the enhanced pay provision would be funded centrally. This report sets out how this request can be implemented.

Recommendation(s)

Members are asked to:

- Approve the approach to fund maternity, adoption and shared parental pay provisions as set out in the report.

Main Report

Background

1. In December 2017, the Establishment Committee decided to enhance the maternity, adoption and shared parental pay provisions following a report of the Director of HR. This increased maternity, adoption and shared parental pay to full pay (including SMP) for the first 16 weeks with the following 24 weeks paid at half pay (including SMP).

Current Position

2. Members of the Establishment Committee questioned why the costs arising from the enhanced pay provisions could not be met from a central budget. It was agreed that a report back on alternative methods of funding should be reported.
3. After a lengthy debate, Members agreed that these payments should be funded centrally rather than by local risk budgets, recognising that a central budget would need to be top sliced from all departmental budgets.

4. The Chamberlain advised that this would require a late adjustment to the budget but agreed to bring a report back to the Committee to implement Members' decision

Options

5. In order to ascertain the budget adjustment required to enact the policy to fund maternity, adoption and shared parental pay centrally it is important to consider the impact on the local risk budget of the host department of the individual taking leave.
6. The following scenarios illustrate the budget pressure that could emerge within a local risk budget as a result of a maternity, adoption or shared parental leave period. For comparison, each option assumes that the individual returns after 40 weeks leave, that the 40 weeks leave is taken within one financial year and is costed on the basis of a grade G employee (incl. on-costs and claiming back SMP).
7. Scenario 1: individual on leave is not replaced/backfilled.

£'000	Annual Salary Budget	Salary Costs			Total cost	Underspend/ (Overspend)
		16 weeks @ full pay on leave	24 weeks @ half pay on leave	12 weeks @ full pay at work		
Employee	80.0	17.6	15.4	18.5	51.5	28.5

8. Scenario 2: individual on leave is covered through a secondment at the same grade.

	Annual Salary Budget	Salary Costs			Total cost	Underspend/ (Overspend)
		16 weeks @ full pay on leave	24 weeks @ half pay on leave	12 weeks @ full pay at work		
Employee	80.0	17.6	15.4	18.5	51.5	28.5
Seconded	-	24.6	36.9	-	61.5	(61.5)
Total:					113.0	(33.0)

9. Scenario 3: individual on leave is covered by an agency engagement at a daily rate of £350.

	Annual Salary Budget	Salary Costs			Total cost	Underspend/ (Overspend)
		16 weeks @ full pay on leave	24 weeks @ half pay on leave	12 weeks @ full pay at work		
Employee	80.0	17.6	15.4	18.5	51.5	28.5
Agency	-	28.0	42.0	-	70.0	(70.0)
Total:					121.5	(41.5)

10. The scenarios illustrated above show a range of budget variances from a £29k underspend to a 42k overspend for a single employee taking maternity, adoption or shared parental leave.

Proposals

11. In each scenario crediting the cost of the maternity, adoption or shared parental leave (£52k) to the department would create a departmental underspend of £80k, £19K and £10k respectively. Allocating additional budget in this way does not represent sound financial management and has the potential to create significant budget underspends across the Corporation.
12. It is proposed that a central funding source is identified to allocate resources at year end should a budget pressure be created as a result of marginal costs incurred as a result of maternity, adoption or shared parental leave being taken. This will ensure that departments are no worse off as a result of a maternity, adoption or shared parental leave period when compared to an individual at the same spinal point who does not take maternity, adoption or shared parental leave.
13. In scenario one, the department will be managing the workload of the individual on leave and will benefit from the underspend of £29k. In scenarios 2 and 3 the overspends would be created of £33k and £42k respectively. These will be funded centrally, subject to being capped at the equivalent cost of the employee on maternity leave.
14. Budget monitoring of employee costs takes place throughout the year on an individual basis and therefore identifying the marginal costs incurred as a result of a maternity, adoption or shared parental leave period will be straightforward. Heads of Finance will be able to notify the Corporate Accountancy team when such a budget pressure materialises and cannot be contained with a local risk budget in order for central funding to be applied.
15. The approach outlined above will ensure that good budgetary discipline is maintained whilst achieving the ambition of the Committee that departments are not financially worse off as a result of the maternity adoption and shared parental pay policy.
16. It is proposed to draw down from reserves to fund the marginal costs as described above during 2018/19 in order to assess the quantum of provision that may be required in future years and whether a claw back from local risk salary budgets is appropriate.

Conclusion

17. The maternity, adoption and shared parental pay policy adopted by the Establishment Committee may result in budget pressures to departments' local risk budgets. Assessing the budget pressure and funding required on a case by case basis as part of routine budget monitoring will allow central funding to be allocated in the most prudent manner.

Appendices

- None

Background Papers

Establishment Committee report: Maternity, Adoption and Shared Parental Pay,
December 2017

Philip Gregory

Deputy Director, Financial Services

T: 020 7332 1284

E: philip.gregory@cityoflondon.gov.uk

Committee(s)	Dated:
Establishment Committee	09 July 2018
Subject: Over-arching policy on gender identity for the City of London Corporation	Public
Report of: The Town Clerk & Chief Executive	For Decision
Report authors: Emma Lloyd and Tracey Jansen Town Clerk's Department	

Summary

The City Corporation's vision is to build and support strong, sustainable and cohesive communities by ensuring our policies, processes and employment practices are inclusive.

The Corporation's Equality and Inclusion Board and the Establishment Committee provide strategic direction on equality and inclusion and ensure compliance with the Public Sector Equality Duty. The City of London Corporation has workplace guidance and online learning on transgender equality. However, there is currently no over-arching policy on trans issues covering employment and service provision.

It is proposed that officers be tasked with undertaking a piece of work to explore the development of an over-arching policy on gender identity for the City Corporation, including drawing on the expertise of relevant organisations funded by City Bridge Trust. This will include stakeholder engagement and consultation covering both service provision and employment practice, with a view to submitting a draft policy for decision in the October/November committee cycle. to include greater detail on stakeholder engagement in the development of the policy

Recommendation(s)

Members are asked to:

- Note the current general commitments to equality and inclusion.
- Endorse the proposal that officers develop an over-arching policy on gender identity for the City of London Corporation.

Main Report

Background

1. The City of London Corporation serves a wide range of communities, including the resident, worker, and business communities within the Square Mile, our service-users and our workforce at the City Corporation. In both our service delivery and employment practices, we seek to be a leader in equality, diversity and inclusion, actively working to tackle potential issues of discrimination and exclusion, in accordance with the Equality Act 2010 and our Public Sector Equality Duty (PSED), which is set out in the Act. This requires public authorities, in the exercise of their functions, to have 'due regard' to the need to:
 - eliminate discrimination, harassment and victimisation;
 - advance equality of opportunity between people who share a protected characteristic and those who do not;
 - foster good relations between people who share a protected characteristic and those who do not.
2. The City Corporation will also take into account emerging legislation, regulations, codes of practice and government guidance such as Equalities and Human Rights Commission guidance for employers in its decision making and policy development.
3. Our commitment to equality and inclusion is set out in our published Equality Objectives for 2016 – 2020 and annual equality and inclusion performance report; our Equal Opportunities in Employment policy; and the City Corporation's Equal Opportunities Statement, which outlines our vision to *'build and support strong, sustainable and cohesive communities by ensuring our policies, processes and employment are inclusive'*. The City Corporation also demonstrates its commitment to equality and inclusion through its Equality and Inclusion Board chaired by the Town Clerk and the establishment and support of its six staff networks.
4. Over recent years, the City Corporation's policy on trans people and access to services has drawn public and media interest; most recently, for example, in relation to the admissions policy at the bathing ponds on Hampstead Heath, namely the practice, agreed in consultation with the recognised user group, that anyone who self-identifies as a woman may use the Ladies' Pond, as well as in relation to the provision of gender neutral sanitary facilities at the Barbican Centre. In addition, at two current IPG revenue projects we have provided neutral sanitary facilities and equality & impact assessments are now undertaken whenever gender designated facilities are upgraded.
5. The Equality Act 2010 includes 'gender reassignment' as a protected characteristic and as such provides explicit protection for 'trans' people against discrimination. In the City Corporation's Public Sector Equality Toolkit specific consideration is given to all protected characteristics including gender reassignment as part of its decision making process.

Current Position

6. The City Corporation has a workplace guide in place on transgender equality, which can be found at Appendix One. The workplace guidance covers areas such as legal position and definitions, supporting employees who are transitioning, time off and use of facilities. There is also a supporting online learning module.
7. The City Corporation does not, however, currently have an over-arching policy on gender identity that covers both service provision and our employment practices. As such, Members and officers do not have a central policy to refer to when responding to matters relating to gender identity.

Options

8. The City Corporation has two options for consideration; firstly, to continue without an over-arching policy on gender identity, or secondly, for officers to consider the option of developing, and the content of, a draft over-arching policy on gender identity for the Committee's consideration.
9. The issue of gender identity has relevance and importance for the work of a number of committees, including, but not limited to, those relating to open spaces, the Barbican Centre, Community & Children's Services and the City's family of schools. An over-arching policy for the City Corporation, based on current best practice and guidance, would support a consistent and coherent approach across all of our service areas, as well as ensuring we continue to act in accordance with the Equality Act 2010 and Public Sector Equality Duty.

Proposals

10. Members of Establishment Committee, with responsibility for matters relating to equality and inclusion for the City Corporation, are asked to approve the proposal that officers be tasked with looking at the option of developing an over-arching policy on gender identity in relation to employment and the provision of services. This work will consider the issues associated with such a policy, the current available guidance and the approach taken elsewhere, to inform the draft content of such a policy.
11. If approved, it is proposed that officers will submit a report for information to Establishment Committee and Policy & Resources Committee in September and October respectively, which sets out the key findings and relevant issues, with a view to thereafter submitting a draft policy for decision in the October/November committee cycle.
12. It is proposed that there will be wider consultation with interested stakeholders and interest groups as well as considering options for wider consultation.

13. City Bridge Trust has funding relationships with Spectra, London Friend (aka Friend Counselling (London) Ltd) and Metro Centre Ltd, all of whom work with trans and non-binary people, and whose expertise can be drawn upon in the development of the policy.

Corporate & Strategic Implications

14. The recommended course of action supports the City Corporation's vision as set out in the Corporate Plan 2018 - 2023, particularly the aims of '*contributing to a flourishing society*' and '*supporting a thriving economy*', and the following associated outcomes:

- *People enjoy good health and wellbeing*
- *People have equal opportunities to enrich their lives and reach their full potential*
- *Communities are cohesive and have the facilities they need*
- *We have access to the skills and talent we need*

Conclusion

15. Over recent years, the City Corporation's practice on gender identity has gained public and media interest, in relation to both the Barbican Centre and the bathing ponds on Hampstead Heath.
16. In line with the City Corporation's commitment to equality and inclusion, guidance is available and published on transgender equality in the workplace along with associated training.
17. Members are asked to approve the proposal that officers be tasked with exploring the option of developing an over-arching policy on gender identity for the City Corporation in relation to the provision of services. This is with a view to submitting a report outlining the key issues to Establishment and Policy & Resources Committee in September/October, and a draft policy for decision in the October/November committee cycle.

Appendices

- Appendix One – Managers' Guide Transgender Equality

Background Documents

- The City Corporation's Public Sector Equality Toolkit
- Equality Objectives for 2016 – 2020
- Annual Equality and Inclusion performance report 2016-17
- Equal Opportunities in Employment policy
- Equal Opportunities Statement
- Equality and Inclusion Board -Terms of reference

Emma Lloyd
T: 020 7332 1421
E: emma.lloyd@cityoflondon.gov.uk

Tracey Jansen
T: 020 7332 3289
E: tracey.jansen@cityoflondon.gov.uk

This page is intentionally left blank

Transgender Equality

Table of Contents

Introduction	1
Legal Position	2
Gender identity and sexual orientation	2
Supporting an individual who is transitioning	3
Time off	4
Use of Facilities	4
Definitions	5
Links / Other resources	7

Introduction

1. This managers' guide is designed as a reference tool to help managers broadly understand trans issues, and as a sign-post for further practical guidance to appropriately manage a trans individual's circumstances with respect and care.
2. The City Corporation is committed to promoting equality and fairness in our employment practices. It is opposed to all unlawful discrimination, harassment and victimisation. This document is regularly reviewed and updated to ensure the guidance offered remains relevant.
3. As trans issues are likely to be specific to a particular employee, managers should seek advice. This guide provides broad guidance without covering every possible eventuality. Essentially, it is about treating trans employees with dignity and respect and giving them the confidence of the organisation's support.

Legal Position

4. **Transgender** and trans are inclusive terms for people whose gender is now different from the one they were assigned at birth.
5. **Transsexual** is a term used in the Equality Act 2010 to define those who fall within the protected characteristic of gender reassignment. Under this definition, a transsexual person is someone who has proposed to undergo, is undergoing or has undergone gender reassignment. However, most trans people no longer use the term 'transsexual' as it is regarded as medicalising and pathologizing.
6. The Equality Act 2010 incorporates "gender reassignment" as a protected characteristic and provides explicit protection for "trans" people against discrimination.
7. A person has the protected characteristic of "gender reassignment" if they are proposing to undergo, are undergoing or have undergone a process (or part of a process) for the purpose of reassigning their sex by changing physiological or other attributes of sex. Such a person is referred to in statute as a "transsexual person" or "trans".
8. Gender reassignment is a personal process that is, claiming a person's gender rather than a medical process, although it may (or may not) include medical processes such as surgery or hormone treatment.
9. The Equality Act 2010 requires that public bodies have due regard to eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Act (including discrimination by association or perception), to advance equality of opportunity between persons who share a protected characteristic and those who do not, and to foster good relations between persons who share a protected characteristic and those who do not.
10. All employees are required to uphold these standards in accordance with the City Corporations Code of Conduct and Equal Opportunities in Employment Policy.

Gender identity and sexual orientation

11. Gender identity and sexual orientation are not interchangeable terms. Gender identity refers to the internal sense of one's gender, whereas sexual orientation is defined in the Equality Act as a person's attraction towards persons of the same sex, persons of the opposite sex, and persons of either sex. This could also be defined as being attracted to people of the same gender or other genders.
12. Transgender people can be bisexual, gay, heterosexual, lesbian, asexual, or any other sexual orientation, and employers should not assume that a trans person has a particular sexual orientation.

Using Pronouns to Identify

Pronouns are words that describe someone's gender in the third person.

It's important to get a person's pronouns right so that you can treat them with respect. As a manager of a trans employee, you should ask the person how they would prefer to be addressed and ensure this is communicated to the team.

Trans people are diverse, however current language and social structures lack the ability to describe and therefore make visible some people's gender identities particularly those of non-binary people who are neither male nor female – so these people remain unwillingly invisible. For others, the goal is to move towards being accepted within binary gender categories. Using the correct pronoun enables people to be recognised for who they are; whilst non-trans (also known as cisgender or cis) people can take this for granted, trans people are not always able to access this basic right.

Gendered pronouns include she, he, his or her. Many non-binary people use the gender neutral pronouns 'they, them, their', which are grammatically correct (e.g. "Someone left their bag here. I hope they realise and come back for it.") Some people use other pronouns such as 'ze' or 'hir', or simply prefer that people use their name rather than a pronoun. It may be best generally to use the gender neutral 'they' pronoun rather than 'he or she' in documents, conversations, and correspondence, especially when it is not clear what a person's gender or preferred pronoun is.

Supporting an individual who is transitioning

13. A person's decision to transition is one that has probably been taken with years of great consideration. For some it may have been preceded by many years of stress, anxiety and feelings of isolation, given the lack of understanding of trans people in wider society.
14. An Action Plan Template detailing practical steps to support an employee during a transition is included in the Government Equalities Office guidance for employers to recruitment and retention of transgender staff and can be found [here](#).
15. This guide will help you to think about the practical steps involved such as managing confidentiality and communications, planning for medical appointments and absences, changing work spaces and the eventual first day back. This should be used at the outset and updated at agreed regular intervals with the employee.
16. It is also important to recognise that for some people the process of transition may not be a 'one-off' moment and may not involve medical procedures. They may also continue to look and dress exactly as before but choose to use a different name and

pronoun. All are equally valid aspects of trans experience and should be respected by the employer.

Time off

17. The Equality Act 2010 (s.16) gives protection to less favourable treatment of employees in relation to an absence that is because of gender reassignment.
18. The employee and manager should discuss what time off is likely to be required and when, if known, as early in the process as possible.
19. The employee may require time off for medical or other treatment, and time off for these purposes should be treated no less favourably than time off for illness or other medical appointments.
20. The employee may also need time off for additional appointments and employees should be offered flexibility in rearranging working hours or allowing holiday or special leave to be taken for these purposes.
21. Some employees may wish to take a period of leave before returning to work in their new gender. The employee and employer will need to agree whether this is to be part of the employee's normal annual leave entitlement or some form of special leave.
22. Managers are advised to discuss these issues as part of a transition plan in collaboration with the employee, in order to agree a plan that is suitable for both the business and the employee.

Use of Facilities

23. Issues around the use of toilet and changing facilities are common for trans individuals. It is common to assume that trans employees should use gender-neutral facilities (i.e. disabled toilets). However, often the most critical aspect of gender transition is to ensure that a trans person is able to live, be seen and be treated by others in a manner consistent with the person's gender identity. Using the appropriate restroom is an important part of this process.
24. Managers must ensure that the employee can use facilities appropriate to their expressed gender identity. Managers must ensure that the employee can use those which are appropriate to their expressed gender identity without fear of harassment.
25. A trans employee must be able to use the toilet or changing room of their expressed gender identity without fear of harassment. People should not be made to use unisex disabled toilets, unless they choose to do so, particularly as a temporary measure during the transition period. It is recognised however that gender neutral facilities are vital for non-binary employees and should be made available where possible.

Definitions

Understanding the terminology relating to gender identity is the first step to creating an inclusive workplace for trans people. The inappropriate use of language can cause offence and distress to employees and undermine the employer's efforts to support trans people.

Trans people may have preferences regarding the language they use, and employers should respect their wishes. The following are some of the key terms of which employers should be aware:

Cross-dresser (or transvestite): This describes someone who chooses, some of the time, to wear clothes associated with a different gender to the one that they were assigned at birth. Many cross-dressers are comfortable with their birth gender and do not intend to live permanently in the opposite/ a different gender. However, according to a report commissioned by the Equalities Review, many trans women spend a significant period as a cross-dresser before they decide to transition.

Gender dysphoria: Many trans people feel anxiety or discomfort around their body and/or gender, hence wishing to make some physical changes.

Gender expression: An individual's gender expression is how that person expresses their identity to others, for example through dress, mannerisms, behaviour, voice and hairstyle.

Gender identity: This refers to the gender that any individual feels that they are; it is the individual's internal perspective.

Gender recognition certificate (GRC): This is currently provided to an individual who has made a successful application under the Gender Recognition Act 2004 to the Gender Recognition Panel, although this legislation is subject to review. The individual must show that they have lived in their acquired gender for two or more years and intends to do so permanently, and they must have been assessed as having gender dysphoria. A GRC gives an individual legal recognition in their acquired gender, giving that person the rights and responsibilities belonging to someone of that gender. The individual will be able to obtain a new birth certificate (if their birth was registered in the UK). Many trans people do not seek to obtain a GRC as they consider the process to be too bureaucratic, medicalising, and intrusive*. For most aspects of life, a GRC is not required and employers should not require the production of a GRC as long as the employee can produce suitable forms of identification, e.g. a passport or driving licence.

Intersex: Intersex people are born with sex characteristics (including genitals, gonads and chromosome patterns) that do not fit typical binary notions of male or female bodies.

Non-binary: This is a catch-all term that is used to describe people whose gender identity or experience is something other than male or female.

Transgender (or trans): A trans person is someone who feels that the sex or gender they were assigned at birth does not match their self-identified gender. Employers should use the term as an adjective, rather than as a noun.

Trans man: This describes a person who was assigned female at birth but identifies as a man.

Trans woman: This describes a person who was assigned male at birth but identifies as a woman.

Another reason for not obtaining a GRC may be that if someone is in a civil partnership, they need to dissolve the civil partnership or convert it to a marriage before being able to obtain a GRC, because the law currently prohibits civil partnerships between people of mixed genders, although this is now subject to review following a recent judgment by the Supreme Court.

Employers should recognise that many individuals who transition simply want to be described as a woman or a man, and regard being trans as part of their gender-identity history but would prefer that it is not referred to in the workplace unless they wish to bring it up.

Links / Other resources

- [The Workplace and Gender Reassignment – A guide for staff and managers](#)
- [The recruitment and retention of transgender staff – Guidance for employers](#)
- [Shining the Light – 10 Keys to Becoming a Trans Positive Organisation](#)
- AllAboutTrans.org.uk
- [Transgender Equality Legislation](#)
- [Employment Statutory Code of Practice](#)
- [Equality Act 2010: What Do I Need to Know? A Quick Start Guide to Gender Reassignment for Voluntary & Community Organisations in the Provision of Goods and Services](#)
- <http://genderedintelligence.co.uk>
- www.bacp.co.uk/media/2334/bacp-gender-sexual-relationship-diversity-gpacp001.pdf

Agenda Item 8

Committees: Establishment Finance Resource Allocation Sub-Committee Policy and Resources	Date: 9 July 2018 23 July 2018 Urgency Urgency
Subject: Committee and Members Services Team – Request for Additional Resources	Public
Report of: Town Clerk Report author: Angela Roach, Assistant Town Clerk and Director of Members Services Manager	For Decision

Summary

1. The purpose of this report is to seek support for increased staff resources within the Committee & Member Services Section of the Town Clerk's Department.
2. This request reflects a) changes within the structure of the Section following the appointment of the new Assistant Town Clerk and Director of Members Services, and b) an increase in the level of Committee and Members Services work overall. Attached at Appendix B is a diagram showing the current staffing structure within the Committee & Member Services Section of the Town Clerk's Department.
3. There were three Principal Committee & Senior Manager posts within the section, each at grade G. Following the recent review of the staffing structure, prompted by the promotion of one of the post holders to the position of Assistant Town Clerk, three senior manager posts are no longer considered necessary for the effective management of the work and the vacant post will be deleted. The costs associated with the deleted grade G post will contribute to the 2% departmental savings that have to be achieved. As a consequence, an existing grade D post will be re-graded to an E to reflect a limited revised distribution of responsibilities.
4. The work of the section has, however, increased significantly over recent months. Since December 2017, an additional eight new Member groups (ie; new committees, sub-committees or working parties) have been created together with increased activity from existing working parties and sub-committees. The section now supports the management of approximately 115 active Member groups or decision-making bodies as well as a range of other duties. The Member Development Programme has also been enhanced to meet modern-day expectations.
5. In order to maintain a) the level of service expected by Members, b) agreed performance standards, c) compliance with relevant legislation and, importantly, d) capacity and resilience, the section needs some further staffing resource. To keep pace with demand and maintain standards, it is proposed that an additional three permanent full-time posts should be created (two at grade D and one at grade E), together with a part-time post (pro-rata grade F), based on 1-2 days of work each week. This latter post is targeted at supporting the work of the Livery Committee, following a request from that Committee for dedicated resources. Further explanation of the need for these additional posts is contained in the main report.

6. There is no funding available within the Town Clerk's local risk budget to meet the additional costs involved which are estimated to be in the order of £190k at the maximum of the grades together with on-costs.

Recommendations

It is recommended that:-

- a) The Establishment Committee support the creation of three further full-time posts within the Town Clerk's Committee & Member Services Section (two at grade D and one at grade E), together with a part-time post (pro-rata grade F), based on 1-2 days of work each week, to support the work of the Livery Committee;
- b) The Finance Committee approve the provision of £111k, to fund the posts as set in (a) above from September 2018 from its 2018/19 contingency; and
- c) The Resource Allocation Sub-Committee and Policy and Resources Committee approve an increase of £190k in the Town Clerk's local risk budget from 2019/20 thereafter to meet the additional expenditure.

Main Report

Background and Current Position

1. The purpose of this report is to seek support for increased staff resources within the Committee & Member Services Section of the Town Clerk's Department. Attached at Appendix B is a diagram showing the current staffing structure within the Committee & Member Services Section of the Town Clerk's Department.
2. Following the retirement of the former Assistant Town Clerk, the opportunity has been taken to review the current structure of the section to ensure that it is fit for purpose. There were three Principal Committee & Senior Manager posts within the section, each at grade G. Three senior manager posts are, however, no longer considered necessary for the effective management of the work and, bearing in mind that one of those posts is currently vacant (following the promotion of the post-holder), it will be deleted. The costs associated with the deleted grade G post will contribute to the 2% departmental savings that have to be achieved.
3. As a consequence of this change, an existing grade D post will be re-graded to an E to reflect a limited revised distribution of responsibilities.

Additional Resource

4. The work of the section has, however, increased significantly over recent months. Since December 2017, an additional eight new Member groups (i.e. new committees, sub-committees or working parties) have been created together with increased activity from existing working parties and sub-committees such as the Gresham Working Party and Local Plans Sub-Committee. The section now

supports the management of approximately 115 active Member groups or decision-making bodies together with a range of other activities, such as facilitating an increasing number of Member development sessions/events and awaydays and regulatory hearings such as those held under the Standards regime and licensing.

5. At the request of Members, the Member Development Programme has been enhanced in recent years to meet modern-day expectations. A schedule setting out the details of all the Member-level bodies currently supported by the Committee and Members Services Team, will follow in a separate document as Appendix D.
6. The new bodies which have been created since December are as follows:-
 - The Procurement Sub-Committee of the Finance Committee
 - The Homelessness & Rough Sleepers Sub-Committee of the Community & Children's Services Committee
 - The Members Diversity Working Party of the Policy & Resources Committee
 - The Financial Assistance Working Party of the Policy & Resources Committee
 - The Capital Buildings Committee
 - The Relocation of the Markets Working Party
 - The Livery Strategy Working Party
 - The Housing Programme Delivery Working Party
7. The degree of work in respect of each group or committee will vary, but it will include all the necessary preparation for meetings, agenda preparation and production of minutes etc. It may also require further and more significant input. For example, over a period of time, the work associated with Capital Buildings will involve a greater contribution as will the work on diversity.
8. A typical example of the work and responsibilities of a grade E post holder within the section is set out in Appendix A.
9. In addition, the post-holder will cover licensing appeals, staff appeals, contribute to Member Development and Members' Services generally, has management responsibilities for two members of staff and is expected to undertake ad hoc project work when necessary. The total number of committee meetings for which agendas, minutes, advice etc are required from this post amounted to 58 in the past year. This excludes those committees which had to be covered during periods of annual leave, sickness absence and recruitment.
10. Understandably, Members expect Committee staff to have read and sense-checked committee reports, ensured corporate/policy aspects have been incorporated within them and that written reports and minutes generally are of a high standard. The level of activity currently allocated to individual members of staff is such that there is insufficient capacity within the section to deliver work consistently and to the required standard and it does not allow for any resilience to be built in. At present, staff within the section find themselves adopting a

reactive approach to the work rather than being pro-active and the introduction of three new permanent full-time posts will help to address this.

11. In order to maintain, a) the level of service expected by Members, b) agreed performance standards, c) compliance with relevant legislation and, importantly, d) capacity and resilience, the section needs some further staffing resource. To keep pace with demand and maintain standards, it is proposed that an additional three permanent full-time posts should be created (two at grade D and one at grade E).

Livery Committee Support

12. The work of the Livery Committee, which is appointed by and answerable to Common Hall, has developed over recent years. Its primary objective, as agreed by Common Hall, is to assist Livery companies in their support for the Mayoralty and the City of London Corporation. It also has the specific responsibility of overseeing the arrangements for Liverymen voting at Common Hall. The Committee's constitution and terms of reference (ToR) is attached at Appendix C.
13. The work of the Committee, in pursuance of its ToR, has become more wide-ranging over time and it now has a number of sub-groups looking at different aspects, including the Livery Communications Working Group, Livery Companies Working Group and the Livery Strategy Working Group.
14. In addition, the Committee holds regular briefings for liverymen, clerks and Masters and Wardens and a written briefing on matters of common interest is produced regularly by the Committee & Member Services Section and circulated to Clerks for wider distribution.
15. The Committee is also keen to develop an existing website about its role and information about the Livery generally.
16. The Livery Committee is currently reviewing its strategic approach and overall objectives. This is being undertaken in tandem with a pan-Livery initiative co-ordinated by the Mercers' Company to bring Livery companies closer together with a greater focus. The Committee has no funding other than an allocation for its annual dinner and it has approached the City Corporation for some additional resource for example, to develop the website. This request will be considered at a separate time.
17. The administration of the Committee has, for many years, been undertaken by the Committee and Members Services Section but the level of activity currently in hand, means that this support from existing staff resources is no longer feasible. It currently requires a commitment of up to 2 days each week. This report seeks approval to the funding of a dedicated staff resource on a part-time basis at grade F (currently support is provided by an officer at grade G, but a reduction to grade F is considered appropriate). This arrangement will be reviewed after one year.

Financial Implications

18. Based on the top of the scale of the relevant grades together with on-costs, the overall sum required is £190k. This can be broken down as follows:-

- 2 X Grade D Posts - £103k
- 1 X Grade E Post - £58k
- 1 X Grade F Post (part-time) - £28k

19. Assuming a start date of 1 Sept 2018 a sum of £111k would be required to fund these posts in 2018/19. Insufficient funds exist within the Policy and Resources Committee's contingency to meet this cost (it currently has a balance of £78K). A request will, therefore, need to be made to the Finance Committee for the provision of the required funds from its 2018/19 contingency. A base budget uplift of £190k will be required from 2019/20 thereafter and, subject to approval, will be included in the Town Clerk's budget report in the autumn.

Conclusion

20. If the Committee and Member Services Section is to maintain the level of service expected by Members, and ensure that there is sufficient capacity and resilience, the Section needs some further staffing resource. To keep pace with demand and maintain standards, it is proposed that an additional three permanent full-time posts should be created (two at grade D and one at grade E) together with a part-time post (pro-rata grade F), based on 1-2 days of work each week, to support the work of the Livery Committee.

Contact:

Angela Roach

Tel: 020 7332 3685

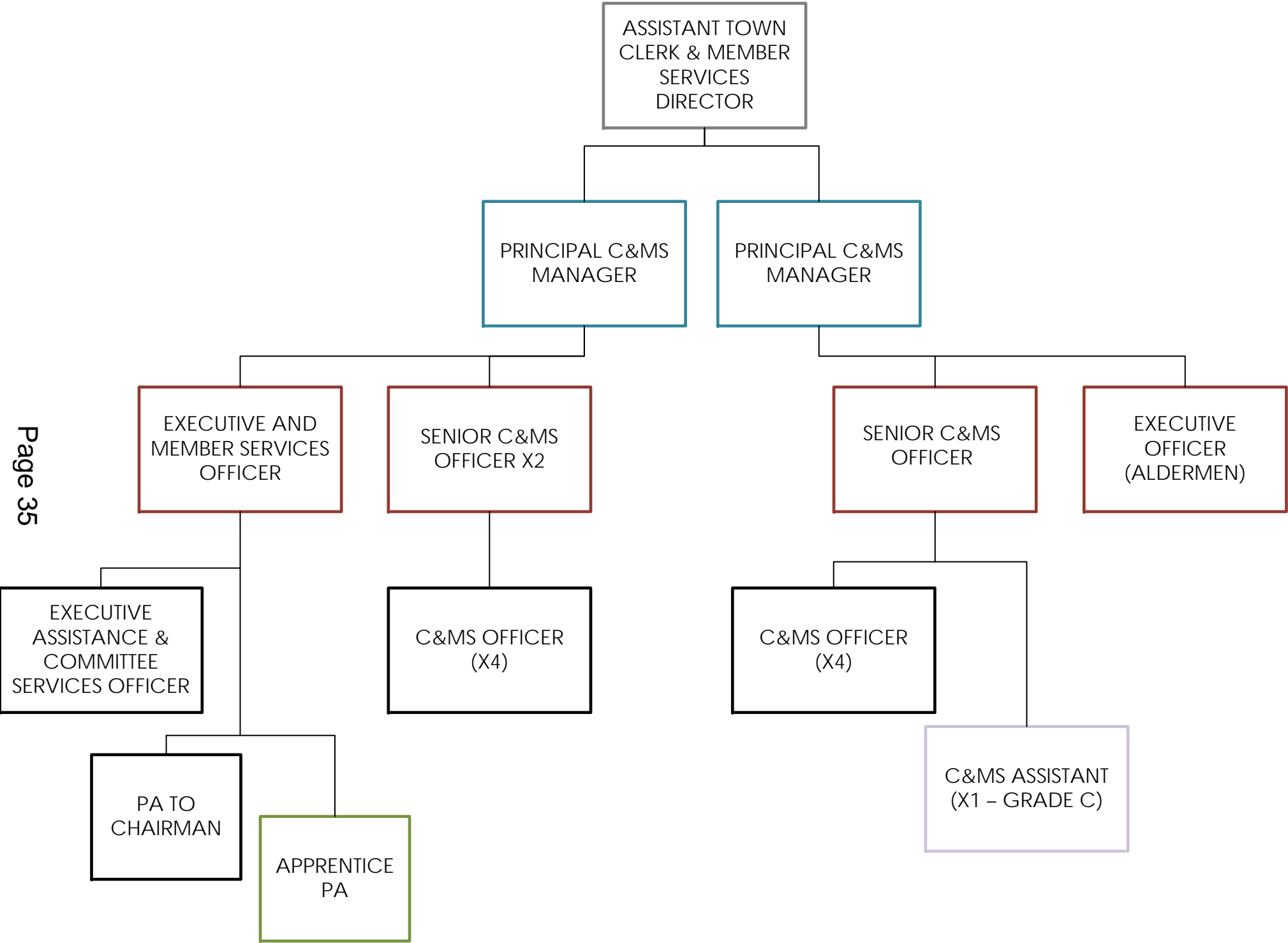
Email: angela.roach@cityoflondon.gov.uk

APPENDIX A

Example of the work and responsibilities of a grade E Senior Committee and Members Services Officer Post

- **Clerk to the Board of Governors of the City of London Freeman's School;**
 - Clerking the Board's Academic & Personnel Committee
 - Clerking the Board's Finance, General Purposes and Estates Committee
 - Clerking the Board's Bursary Committee
- **Clerk to the Education Board**
 - Clerking the Board's Nominations Committee
 - Clerking the Board's Education Charity Committee
- **Clerk to the Board of Governors of the City of London School**
 - Clerking the Board's Academic & Education Committee
 - Clerking the Board's Finance, General Purposes and Estates Committee
 - Clerking the Board's Bursary Committee
- **Projects Sub-Committee**
- **West Wickham, Spring park and Coulsdon Common Consultative Committee**
- **City of London Academies Trust**
 - Clerking the Trust's Standards and Accountability Committee
 - Clerking the Trust's Finance and Audit & Risk Committee

NB: This excludes, line management responsibilities, wider Member Services activities such as Member Development Work, ad hoc projects etc.,



This page is intentionally left blank

LIVERY COMMITTEE: CONSTITUTION AND TERMS OF REFERENCE

(Approved by Common Hall on 24 June 2002, 24 June 2004, 24 June 2005 and 24 June 2009)

CONSTITUTION

Title

The Committee shall be called the Livery Committee.

Membership

The Livery Committee shall be appointed annually by Common Hall at the June meeting. The membership shall comprise:

- Two liverymen, who are aldermen, nominated by the Court of Aldermen.
- Six liverymen, who are common councilmen, nominated by the Court of Common Council.
- Six liverymen, not aldermen, common councilmen or clerks, nominated by the livery companies, one through the Clerks of the Great Twelve livery companies, one through the Clerks Association and four through the Fellowship of Clerks.
- Six livery company clerks, nominated by the three clerks associations, two by each association, or as mutually agreed between them.

Together with such other persons as the committee shall co-opt from time to time (maximum 4).

Quorum

The quorum shall consist of any seven members of the committee.

Term of Office

The Term of Office of members of the Committee shall be three years. Members shall serve for a maximum of two terms. The Committee shall be authorised to arrange to fill casual vacancies that arise by co-option. The name of any co-opted members shall be submitted to the next meeting of Common Hall, with the appointment, if confirmed, being deemed to be effective from the date of the June Common Hall.

NB: Time served as Chairman or Deputy Chairman is not included in this calculation, i.e. should a Member serve three years each as Chairman and Deputy Chairman, they are entitled to a total of 12 years.

Chairmanship

Both the Chairman and Deputy Chairman shall be liverymen and shall be elected annually by the Livery Committee at the September meeting. The Chairman shall serve for a period of three years as Chairman. In exceptional circumstances, and only with the agreement of at least two thirds of all Livery Committee members present and voting, a Chairman may serve for a fourth year as chairman.

The chairman and/or the deputy chairman shall be a member of the Court of Common Council. No co-opted members shall be eligible to vote in the election of the chairman or deputy chairman.

TERMS OF REFERENCE

The objects of the Livery Committee shall be to undertake initiatives:

- (a) intended to assist livery companies in their support of the mayoralty and the City of London Corporation, and;
- (b) aimed at creating an awareness amongst liverymen and the general public, especially opinion formers, of the work of the livery companies in their trade, professions, educational, community support programmes and charitable activities, and;
- (c) to undertake such other tasks which are intended to be in the best interests of the general body of the livery.

The key tasks shall be:

- (i) Overseeing the arrangements for liverymen voting at Common Hall;
- (ii) Maintaining a close liaison with Mansion House officers on matters affecting livery companies generally;
- (iii) Reporting to Common Hall on any matters referred to it, or that are considered to be of interest;
- (iv) Researching and advising livery companies on current practices and to develop best practice generally;
- (v) Acting as a forum to which livery companies can bring matters of concern for discussion;
- (vi) Maintaining liaison with the Chamberlain of London on general regulations governing the freedom;
- (vii) Any other matter, which in the opinion of the committee might affect the interests of the general body of the livery.

Dates of Meetings

The committee shall normally meet on the second Wednesday in February, June and September and additionally as necessary.

Committee(s)	Dated:
Establishment Committee – For decision	9 July 2018
Subject: Acceptable Use of IT Policy	Public
Report of: Director of Human Resources	For Decision
Report author: Colette Hawkins - Town Clerks, Corporate HR	

Summary

The purpose of this report is to update Members on changes to the Acceptable Use of Information Technology Policy, previously referred to as the Communications and Information Systems Use Policy.

The policy has been fundamentally updated to ensure employees and managers have a good understanding of their roles and responsibilities when using IT at the City of London Corporation and how to mitigate against loss, misuse and abuse of such systems and facilities. The policy also clarifies the scope of the policy, which has been broadened to include contractors, volunteers and agency workers, alongside employees at the City Corporation.

Recommendation

Members are asked to:

- approve the Acceptable Use of IT Policy attached at Appendix 1;
- agree that, if approved, the policy can be sent to the Information Technology Sub (Finance Committee) for information.

Main Report

Background

1. The Communications and Information Systems IT Policy was agreed at the Establishment Committee on 26 February 2009 and has been updated on an ongoing basis with minor changes where appropriate. The last change was recorded on 10 October 2011 regarding messaging and social media. The Committee agreed a new Social Media Policy in November 2015.
2. The policy has been fundamentally updated in its entirety as part of the City Corporation's commitment to provide employment policies that are relevant for a modern workforce. As regulations, risks and threats change, it is important to keep such policies up-to-date and current. The format aligns with the suite of existing policies in the City Corporation's Employee Handbook. Appendices to the

policy are the guidance documents issued by the IT Division which are updated accordingly.

3. The policy sets out the conduct required from all employees and workers at the City Corporation (as defined by the scope of the policy) when using IT systems, electronic devices, facilities and processing data and the principles they are expected to follow when accessing and operating IT as part of their work duties and during personal use.
4. Information regarding reporting and addressing breaches of the policy is provided, to ensure that IT facilities, systems, data and equipment are appropriately protected.

Current Position

5. The current Communications and Information Systems IT Policy does not set out responsibilities by subject, for example, security, data processing, personal use etc. and consultation has indicated that this can lead to confusion and a lack of clarity for users.
6. As IT operates in a rapidly changing environment the City Corporation has a duty of care to ensure that all of its employees take reasonable steps to follow procedures in relation to appropriate use of IT especially in relation to security, data protection and processing.
7. In order to ensure that employees are fully aware of the conduct required of them, more detail has been added, including information about protective monitoring and data protection to clarify our stance on such issues.
8. IT Training is provided to staff through Desktop Training Services. Online courses are supported via City Learning which incorporate both mandatory and optional courses such as; Essential Skills for New Staff, Computer Basics, Internet and Social Media and others. Face to face training is also provided through departmental training, classroom training, workshops and 'brown bag' (lunchtime time) sessions which keep staff updated and ensure their skills and knowledge remain current.

Key Changes

9. The main areas of change include:
 - the introduction of additional sections such as; statement of intent, scope, purpose, breaches and protective monitoring;
 - the scope of user groups covered under this policy has been clarified and broadened to all employees and workers at the City Corporation, specifically to include contractors, volunteers and agency workers;

- the General Principles section now provides detailed information on security, confidentiality, data protection and processing. This section also includes information about the reasonable use of equipment and systems for personal use and outlines what is regarded as inappropriate use;
- the responsibilities section outlines the expectations placed on the employee and line manager;
- information on Data Protection and Processing has been added to address the gap between handling data when using IT systems and devices and acts as a reminder to employees of the responsibilities attached to this;
- protective monitoring has been added to inform and remind employees that IT communication channels are routinely monitored and in cases of a breach of the policy and inappropriate use, investigations will be undertaken if necessary. This should deter against misuse and abuse of IT.

Corporate & Strategic Implications

10. The development of the policy underpins and aligns with the IT Strategy – 2020 Vision which has three key components; diagnosis, guiding policy and action plans.
11. Colleagues from Town Clerks, Chamberlain's, Comptroller and City Solicitor's, including the Information Officer and the Trade Unions have been consulted on the changes to this policy. Chief Officers and managers within the organisation were also consulted on its development.
12. The General Data Protection Regulation (GDPR) definition of personal data makes clear that an online identifier e.g. an IP address, can be personal data. This will result in a wider range of personal identifiers classed as personal data which will reflect changes in technology and the way information is collected. Town Clerks, Chamberlain's and Comptroller and City Solicitor's colleagues are working together to ensure that the policy and the City Corporation's processes are compliant.

Communications Plan

13. The policy will be publicised through the use of internal communication; it will form part of the Employee Handbook and referenced as an updated policy on the intranet. The policy will also be publicised through the new starter induction checklist and updated on the Essential Skills for New Staff module via City Learning.

Conclusion

14. The City Corporation is committed to ensure IT is used and operated effectively and appropriately and must have policies which support the current environment

we operate in. This policy provides a framework for employees and reiterates the appropriate use of IT facilities and electronic devices.

Appendices

- Appendix 1 – Acceptable Use of IT

Background papers

Communications and Information Systems Use Policy

Colette Hawkins

Strategic HR Projects Manager, Town Clerks Corporate HR

T: 020 7332 1553

E: colette.hawkins@cityoflondon.gov.uk

Acceptable Use of IT

Table of Contents

Statement of Intent.....	2
Scope.....	2
Purpose.....	2
General Principles.....	3
Security	3
Confidentiality, Data Protection & Data processing.....	3
Personal Use.....	4
Inappropriate Use.....	4
Responsibilities	5
Protective Monitoring	6
List of appendices	6
Links / Other resources.....	6

Statement of Intent

1. This policy has been developed as part of the City of London Corporation's commitment to provide employment policies that are relevant for a modern workforce in consultation with the Deputy IT Director and the Senior Information Security Officer (SISO).
2. This policy sets out the principles that City Corporation employees (listed in the scope below) are expected to follow when using any IT facilities (e.g. systems, applications, mobile devices, Wi Fi) in the performance of their work duties.
3. The Director of Human Resources will be responsible for the interpretation, advice and management of the policy and procedure on behalf of the City Corporation.

Scope

4. This policy applies to all employees, contractors, suppliers, volunteers, Members, agency and casual workers at the City Corporation. It also includes others who handle or process information on behalf of the City Corporation and may come into contact with our systems and networks, such as (but not limited to) teaching staff in the three City Schools and staff at the City of London Police. Reference to 'employee' in this policy refers to all those in scope as described above.
5. This policy may be supplemented by local usage policies and guides which are intended to act as an extension to this policy.
6. This policy may be reviewed at regular junctures in accordance with legislative changes, changing information risk and evolving technologies.

Purpose

7. The purpose of the policy is to:
 - ensure that all of the City Corporation's IT facilities, applications, systems, networks, platforms, data and equipment are all appropriately protected against loss, misuse or abuse;
 - provide employees with a framework that outlines appropriate use of IT facilities and electronic devices in the performance of their work duties;
 - protect the City Corporation and its customers (residents, businesses, visitors, staff, service users and Members) from information security threats whether internal or external, deliberate or accidental.

General Principles

Security

8. All IT equipment and information systems provided by the City Corporation remain the property of the organisation at all times and must not be removed from the business premises without the prior approval of a senior manager (unless the equipment has been provided specifically for authorised mobile / home working arrangements).
9. Employees are responsible for ensuring their unique user credentials and passwords for all work-related information systems, including network access, are kept confidential. This means that they should not be shared with colleagues or written down or left in a non-secure place and must be protected from misuse.
10. Employees must not attempt to use or gain access to another person's password or sign-on codes. While it is advisable that all City Corporation devices are allocated one user per device, it is understood that there are authorised cases where generic or shared sign-on details are permitted for operational reasons.
11. Employees must minimise the possibility of introducing malicious software to the City Corporation's information systems by not opening unreliable or unknown data sources via e-mail or the internet. Employees must not attempt to install or use unlicensed software on City Corporation's devices and equipment.
12. Employees are reminded that in many cases access to web content may be blocked or reconfigured due to necessary security controls as set down by corporate IT security. More information about social media access and use can be found in the relevant appendices and guides.
13. Employees should note that access to systems is subject to change at any time in order to ensure adequate security controls are in place. Any changes to controls and access will be communicated to employees as relevant.

Confidentiality, Data Protection & Data processing

14. Employees are reminded that they are personally responsible for the data in their care.
15. All personal information held on City Corporation systems must be held in accordance with the Corporate Data Protection Policy (see additional links). Employees are responsible for taking all necessary action to keep personal data secure and in accordance with corporate policies and guidance.

16. City Corporation data must be stored on the IT infrastructure and/or approved devices only, and password/passcode protected wherever possible if stored on any removable media (e.g. memory/USB sticks).
17. Any data stored on removable media such as CDs, DVDs, USB sticks must be encrypted wherever practical.

Personal Use

18. Whilst equipment and systems are provided for organisational use, limited and reasonable personal use outside of working hours (i.e. before and after work, during lunch breaks) will be permitted provided it does not negatively impact on service delivery (see also appendices featuring Internet Access and E-mail and Messaging).
19. Personal usage is a privilege which can be withdrawn if abused and employees should be aware that access to websites with specific content (e.g. gambling, gaming) are blocked. Purchases made online using City Corporation servers are made at the employee's own risk.
20. City Corporation systems such as OneDrive, file share and storage should only be used to store personal, work related data. Each employee will be allocated a private file storage area in which to store up to 10MB of personal work-related data only. Under no circumstances should it be used to store unauthorised software or illegal copies of data such as music, films or images. Employees are required to note the specifics set out later in this policy under the Protective Monitoring section.

Inappropriate Use

21. Inappropriate use (as defined by the Computer Misuse Act 1990, as covered in this policy) of City Corporation technology is likely to constitute misconduct and be subject to withdrawal of access, disciplinary action and/or criminal proceedings as relevant. The following are specifically prohibited:

- Attempting to access information or systems to which you have no right or authority;
- Connecting unauthorised or unlicensed devices or software to IT;
- Tampering with IT systems, for example by deliberately introducing viruses or other malware; bypassing, disabling or subverting system controls;
- Receiving or disseminating inappropriate or offensive material;
- Displaying, storing, receiving or transmitting images or text which could be considered offensive e.g. material of a sexual, pornographic, paedophilic,

sexist, racist, libellous, threatening, defamatory, or a terrorist nature or likely to bring the City Corporation into disrepute.

22. Communications tools must be operated in line with relevant health & safety principles e.g. Display Screen Usage. Please see the relevant links at the end of this policy.

Responsibilities

23. Employees are reminded that we are all responsible for adopting the appropriate level of security measures in our use of technology and handling of data.
24. Corporate and departmental IT staff are responsible for the security of the IT infrastructure and maintenance of IT equipment.
25. Chief Officers are responsible for ensuring the successful implementation of the policy within their own department.
26. Line managers are responsible for:
- ensuring the principles of this policy are upheld within their teams;
 - consulting and receiving authorisation from the Director of HR prior to any covert access and/or monitoring taking place;
 - ensuring that employees with access to the Government Connect Secure Extranet (GCSX) or London Public Services Network (LPSN) within their teams read, and comply with, the GCSX/LPSN User Agreement included as Appendix 3 to the Data Protection Policy.
 - It is important to note that if users currently use a gsi-family domain name (gsi.gov.uk, gcsx.gov.uk or gsx.gov.uk) it must be replaced with a government domain like gov.uk by March 2019. Further information is available at <https://www.gov.uk/guidance/securing-government-email>
27. Employees are responsible for:
- reading and understanding this policy and other associated policies (i.e. Data Protection, Social Media, etc.);
 - the security of the IT equipment they operate and access to systems via their unique user credentials. Employees should, therefore, make themselves familiar with any available training, security policies, procedures or special instructions which relate to the information systems they use and refer to the Home Working Policy (see Additional Links below);

- reporting any issues that breach this policy, or the related appendices, (including receipt of offensive materials via e-mail) to their line manager immediately;
- completing the mandatory data protection and related training to comply fully with corporate and local guidance.

28. Breaches of this policy may lead to the City Corporation initiating withdrawal of access to City Corporation IT and information, disciplinary action and in serious cases of misconduct may lead to dismissal from the City Corporation and criminal proceedings. Processes for reporting breaches or misuse are covered in the appropriate Appendix.

Protective Monitoring

29. Any information processed on City Corporation systems or stored on City Corporation drives, including personal data, is subject to inspection where relevant to do so. The City Corporation will refer to relevant legislation in such cases, such as that set out in the Interception of Communications Act and by the Information Commissioner.
30. Employees are asked to note that the IT Division routinely monitors data volume, type and internet/e-mail traffic and telephone records where relevant.
31. Inappropriate use of technology will be escalated to the relevant Chief Officer.
32. Where investigation of the content of personal drives is deemed necessary an impact assessment will always be carried out to identify the purpose, benefits, legislative position and impact of such monitoring and investigation. Such instances will be subject to approval from the relevant Chief Officer/s e.g. Director of Information Security and/or Director of HR.

List of appendices

- Appendix 1 – Internet Access
- Appendix 2 – E-mail & Messaging
- Appendix 3 – Remote Mobile Working
- Appendix 4 – Sharing Storage Securely
- Appendix 5 – Staying Safe Online

Links / Other resources

[Service Response Standards](#)

[Data Protection Policy](#)

[Display Screen Usage.](#)

[Home Working Policy](#)

[Code of Conduct](#)

[Interception of Communications Act 1985](#)

[Employment Code of Practice from the Information Commissioner](#)

Use of Personal Email Policy Statement

This page is intentionally left blank

Committee(s)	Dated:
Establishment Committee	09/07/2018
Subject: Declaration of Interests	Public
Report of: Director of Human Resources	For Decision
Report author: Carol Simpson – Human Resources, Town Clerk's Department	

Summary

This report is for consideration and approval of revisions to the Officers' Declaration of Interest process, such declarations sit within the Code of Conduct.

Recommendation

Members are asked to approve the revisions to the declaration of interest process within the Code of Conduct including a refreshed declaration form (Appendices 1 and 2). A further report will be made to the Committee in relation to Guidelines for the Chief Officer Register of Interests and any proposal to include other senior officers.

Main Report

Background

1. A review of the Declaration of Interest process has been prompted following an internal audit and to reflect legislative changes such as General Data Protection Regulation (GDPR). The Declaration of Interest process was last reviewed by the Committee in December 2012.
2. Officers are bound by the City of London Corporation (City Corporation) Code of Conduct for Employees. According to this, employees must declare to their Chief Officer, any financial or non-financial interests that could bring about a conflict of interest with the City Corporation's interests.

Current Position

3. Officer guidance could be clearer as to which categories of staff should complete a declaration and how frequently.
4. There are different types of declarations to be disclosed in the Code of Conduct by different methods, therefore to avoid ambiguity and ensure compliance, this should be clarified.

5. The Declaration of Interest Form does not currently have space to record comments and recommended actions, when making a decision as to the acceptability or not of the disclosure made; and whether any conflict could be mitigated with any adjustments.

Proposals

6. The section in the Code of Conduct (attached at Appendix 1) on Standards has been updated to provide clarity on what constitutes a conflict of interest and sets out the various methods to make the different types of declarations required within the Code of Conduct. Changes are shown in bold font within the Code.
7. The proposed new section, Disclosure of Information sets out when to complete and who should complete a Declaration of Interest Form (attached at Appendix 2). The form is required to be completed and submitted to the department's Chief Officer i.e.:
 - i. On joining the City Corporation (or taking up a promotion/new role, where applicable) and annually thereafter, for the following categories of staff: Chief Officers; Sourcing, Category Management and Commercial staff within City Procurement; all staff within City Surveyors and Internal Audit.
 - ii. At each contract placement by staff involved in the evaluation and recommendation of contractors to Committee; each time they evaluate, recommend or place a contract.
 - iii. As required for all other staff and relevant workers i.e. external consultants and agency workers; to declare conflicts or potential conflicts of interests as soon as they arise.
8. Additionally, a new declaration should be made as soon as circumstances change, or new interests arise.
9. Where a staff member holds interests but cannot see potential conflict, caution is advisable; all interests should be declared where there is a risk of improper conduct.
10. The second new sub-section under Disclosure of Information relates to the issue, return and review of the Declaration of Interest Form; this sets out the process of review and monitoring of compliance for declarations.
11. A new section on Data Protection has been included to reflect the recent changes under the General Data Protection Regulation and the Data Protection Act 2018.
12. We have also taken this opportunity to add to the Corruption and Bribery section confirmation for employees of how to raise concerns about the lawfulness of certain actions i.e. to the appropriate manager or Chief Officer without delay or under the Whistleblowing Policy where they feel the need to raise an issue outside of the management chain.

Compliance and monitoring

13. All completed Declaration of Interests Forms are returned to the employee's Line Manager who will review and provide relevant comments on the implications of any declarations. The Line Manager is responsible for submitting the Declaration of Interests Form to the department's Chief Officer promptly to review. In relation to contract placement by staff, these will be forwarded to the Commercial Director – City Procurement for any views on the potential risk and impact prior to the relevant Chief Officer's consideration.
14. A Chief Officer's Declaration of Interests Form would need to be approved by their employing Committee and the Establishment Committee through the Town Clerk. The Chief Officer/Committees will assess the potential risk and impact of any declaration and then either confirm that the declaration made is acceptable with or without any recommendations to mitigate any potential conflict of interest; or state that the declaration is not considered to be acceptable. Depending on the recommendation this will be acted on accordingly.
15. To maximise compliance levels, the New Employee Induction Checklist includes a prompt on the requirement to make a Declaration of Interest in specified circumstances. Similarly where staff are promoted or move to a new role the template appointment letters will include declaration prompts where applicable. The City Corporation's Procurement Code stipulates a declaration must be undertaken when Officers are engaged in procurement activities.
16. It is planned to keep a record of declarations in CityPeople Managers' self-service in due course to enable global level reporting and monitoring of compliance.

Communications/Implementation

17. The intranet HR Topics section will be a point of reference for Managers to locate instructions and guidance related to declarations of interest.
18. For Chief Officers and other staff obligated to carry out an annual declaration, Human Resources will send out reminders to Chief Officers. Within their department Chief Officers may wish to issue further guidance specifically relating to their service requirements, these will supplement but not contradict the basic principles contained in the Code of Conduct.
19. An annual communications campaign, endorsed by the Town Clerk, will be undertaken to raise general awareness to promote compliance.

Conclusion

20. The public is entitled to demand conduct of the highest standard. City Corporation employees have an obligation to avoid conflicts between their private interests and their duty to the City Corporation, particularly where this could result in a detrimental outcome or in any way weaken public confidence. The revisions outlined in this report reflect changing legislative requirements as well as

21. strengthening the process to make it more robust and to clarify processes for both managers and staff.

Appendices

- Appendix 1 – Code of Conduct
- Appendix 2 – Declaration of Interest Form (Officers)

Background Papers

Staff Declaration of Interests and the Bribery Act, Establishment Committee,
12.12.2012

Carol Simpson

Strategic HR Project Manager

T: 020 7332 3482

E: carol.simpson@cityoflondon.gov.uk

Code of Conduct

Table of Contents

Scope	3
Standards.....	3
When to complete and who should complete a Declaration of Interest	5
Disclosure of Information	5
Political Neutrality	6
Relationships	6
Members	6
Public and Service Users	7
Contractors and Potential Contractors	7
The Press and the Media	8
Other Employees.....	8
Appointments and other Employment Matters.....	8
Outside Commitments	9
Intellectual Property	10
Information Technology and Data Security.....	10
Personal Interests	11
Equality	11
Corruption and Bribery.....	11
Use of Financial Resources and Property	12
Hospitality and Gifts	13
Sponsorship – Giving and Receiving	14
Health & Safety	15
Whistleblowing.....	15

Professional Indemnity.....	15
Data Protection	16
List of Appendices.....	16
Links / Other resources.....	16

Scope

1. This Code of Conduct (the 'Code') applies to all employees, other workers and volunteers and their conduct both within the organisation and when dealing with other organisations as a representative of the City Corporation (for ease of reference the term "employees" will be used in the Code but applies to all relevant workers. There is a separate Code of Conduct for Councilmen (called Members in this Code). As far as possible, employees must also comply with the Code if they are appointed as a representative of the City Corporation on any organisation, trust or company.
2. The principles detailed below are the basic ones governing all employees, but each Chief Officer may wish to issue further guidance specifically relating to their departmental service requirements which will supplement but not contradict the basic principles contained in this Code. The Code does not affect an employee's rights and responsibilities under the law; its purpose is to provide clear and helpful advice. These principles should be taken in conjunction with requirements set down by any employees' professional body.
3. Any substantive contravention of this Code may result in disciplinary proceedings, and those disciplinary proceedings could end in dismissal. For those individuals not falling within the scope of disciplinary procedures appropriate action will be taken.

Standards

4. City Corporation employees are expected to give the highest possible standard of service to the public, service users, members and fellow employees, and where it is part of their duties, to provide advice to members and fellow employees with impartiality and in good faith.
5. This will be achieved in part through the demonstration of effective and appropriate behaviours defined internally, and adherence to the wider standards (Nolan Principles) of selflessness, objectivity, accountability, openness, leadership, honesty and integrity in which the public, Members, or managers can trust. Employees are expected to conduct themselves in a way that, in the reasonably held belief of the City Corporation, is not likely to fundamentally undermine the required relationship of trust and confidence between themselves and the organisation.
6. Employees are expected to adhere to City Corporation's core values which define the way the organisation works and how it plans to develop and wishes to be regarded by others, namely:
 - The best of the old with the best of the new
 - The right services at the right price
 - Working in Partnership

7. Employees must not conduct themselves in a way that brings the Corporation, Employees, Members, Service Users and Partners into disrepute or causes reputational damage.
8. Employees will be expected, through agreed procedures and without fear of recrimination, to bring to the attention of the appropriate level of management potential deficiencies in the provision of service. Employees must report to the appropriate manager impropriety or any breaches of procedure.
9. Employees shall dress in line with the appropriate standards set by individual departments. Any special clothing, including personal protective equipment or identification provided by the City Corporation must be worn where required.
10. All employees are expected to be accurate in their time at work recording where this is a requirement.
11. **A 'conflict of interest' is a set of circumstances by which a reasonable person would consider that an individual's ability to apply judgement or act, in the context of delivering or commissioning services could be, impaired or influenced by another interest they hold and against the best interests of the City Corporation. Such conflicts may be: a) Actual, if there is a material conflict between one or more interests; or b) Potential, if there is the possibility of a material conflict between one or more interests in the future.**
12. **Employees should note the appropriate method for declarations to be notified by employees under this Code, namely:**

The Hospitality and Gift e-form (available on the intranet under Tools and Apps):

- **To declare the receipt or offer of hospitality and gifts.**

Report to immediate Line Manager, senior manager or HR Business Partner i.e. in person and in writing:

- **Relationships known between employees and candidates for appointments.**
- **Any close personal relationships between a manager/supervisor and an employee.**

A Declaration of Interest Form should be used to declare:

- **Relationships of a direct or indirect pecuniary nature with external contractors, or potential contractors.**
- **Outside work commitments, before they are entered into.**

- Any financial or non-financial interests that could bring about conflict with the City Corporation's interests; for instance, membership of any organisation not open to the public.
- Any benefit derived by an employee, their partners, spouse or relative or anyone else in a close personal relationship where the City Corporation gives support in the community through: sponsorship or an event or service, grant aid, financial or other means.

When to complete and who should complete a Declaration of Interest

13. A Declaration of Interest Form is required to be completed as follows:

- On joining the City Corporation (or promotion where applicable) and annually thereafter, for the following categories of staff: Chief Officers; Sourcing, Category Management and Commercial staff within City Procurement; all staff within City Surveyors and Internal Audit.
- At each contract placement by staff involved in the evaluation and recommendation of contractors to Committees; each time they evaluate, recommend or place a contract.
- As required for all other staff and relevant workers working for the City Corporation to declare conflicts or potential conflicts of interests as soon as they become aware of a conflict or potential conflict.
- As required for external consultants. Refer to City Procurement for advice.

Additionally, a new declaration should be made as soon as a change or potential change in circumstances is known.

14. Where a staff member holds interests but cannot see potential conflict, caution is advisable; all interests should be declared where there is a risk of improper conduct. Check with your Line Manager or Chief Officer if you are not sure.

Disclosure of Information

- The law requires that certain types of information must be available to Members, auditors, government departments, service users and the public.
- Most Committee agendas and most reports and background papers are required by law to be available for public inspection. Detailed guidance is available from the Town Clerk's department. Obstruction of a member of the public who wishes to exercise

their lawful rights to access documents may be a criminal offence. If in doubt, refer to the Town Clerk or Comptroller for advice.

17. The public are specifically excluded from certain proceedings of Committees or meetings associated with the business of any Committee. No employee shall communicate to the public the content of such proceedings or any document relating to the City Corporation, unless required by law or expressly authorised by the Town Clerk to do so.
18. Employees have a responsibility to protect and not disclose commercially sensitive information unless required to effectively perform their duties. Guidance should be sought from the appropriate Chief Officer.
19. Employees have a duty to maintain confidentiality and must not disclose any information obtained in the course of their employment to any third party for any unauthorised reason.
20. Employees should not use any information obtained in the course of their employment for personal gain or benefit, nor should they pass it on to others who might use it in such a way.
21. Employees must not communicate confidential information or documents to others who do not have a legitimate right to know. Furthermore, such information which is stored on computer systems must also only be disclosed in accordance with the requirements of the Data Protection Act. A disclosure which complies with the requirements of the Whistleblowing Policy will be regarded as authorised disclosure.

Political Neutrality

22. Employees serve the City Corporation as a whole and must not allow their own personal or political opinions to interfere with their work. They must serve all Members and fellow employees, and must ensure that the individual rights of all Members and employees are respected. Employees, whether or not politically restricted, must follow every lawfully expressed policy of the City Corporation. Where a City Corporation employee holds a politically restricted post such restriction is deemed to be incorporated in their contract of employment. (See guidance on Politically Restricted Posts).

Relationships

Members

23. Employees are responsible to the City Corporation as an authority through its Chief Officers. The role of some staff is to give advice and information to Members and for

all staff to implement the policies determined by the City Corporation. Mutual respect between employees and Members is essential, and relationships should be conducted on a constructive and professional basis. In this regard, the City Corporation has adopted protocol on Member/Officer relations. Employees must not lobby Members in relation to personal issues affecting either their employment or other matters personal to them.

Public and Service Users

24. Employees should always remember their responsibilities to the public and service users they serve and ensure courteous, efficient and impartial service delivery to all groups and individuals as defined by the policy statements of the City Corporation. All stakeholders (e.g. residents, service users and city workers) have a right to be treated with fairness and equality.

Contractors and Potential Contractors

25. **Officers who are involved in procurement activities should complete the Declaration of Interest Form (Officers) as attached at Appendix 1; then submit this to their Chief Officer (see paragraph 13 above). Procurement activities include: benchmarking activities, specification writing, supplier identification, sourcing, evaluation and selection, decision making and governance forums.**
26. All relationships of a direct or indirect pecuniary nature with external contractors, or potential contractors, should be made known to your Chief Officer. Orders and contracts must be awarded on merit, by fair competition against other tenders, and no special favour should be shown to businesses operated or controlled by, for example, friends, partners or relatives in the tendering process.
27. Employees who are privy to confidential information on tenders or costs for either internal or external contractors should not disclose that information to any unauthorised party or organisation.
28. Employees who engage or supervise contractors or have any other official relationship with contractors and have previously had or currently have a direct or indirect pecuniary interest with a contractor who is either engaged or proposed to be engaged by the City Corporation, should declare that interest to the Chief Officer as soon as they become aware of a conflict or potential conflict.
28. Where a Chief Officer feels that any relationship is substantive, they will notify the Town Clerk who will then decide if Members need to be informed. The Chief Officer will determine any appropriate safeguards, including removing the officer in the engagement or supervision of the contractor taking advice from the Town Clerk as appropriate.

29. Employees should ensure that no special favour is shown to current or recent former employees, their partners, close relatives or associates in awarding contracts to businesses run by them or employing them in a senior or relevant managerial capacity.

The Press and the Media

30. Employees must not deal directly with the press or the media unless they have been expressly authorised by the Director of Communications or the Head of Media. All media enquiries received by officers must be immediately referred to the Media Team, without engaging with the journalist. Any article, publication, or interview given on aspects of City Corporation policy or activity must be properly authorised by the Director of Communications or the Head of Media.

Other Employees

31. All employees have a responsibility to act in a way that ensures dignity and respect for their colleagues. All employees are expected to adhere to the standards of behaviour as set out in the City Corporation's relevant Policies and Procedures and in particular not to discriminate against colleagues.
32. Staff and managers have a mutual responsibility to ensure good working relationships. As part of this, staff should carry out any reasonable and lawful requests that their manager makes and to do so to the best of their ability; and behave courteously, reasonably and fairly in all dealings with their managers. Managers should endeavour to reasonably support staff in the proper performance of their duties, including assistance, where necessary, in working with other employees; and behave courteously, reasonably and fairly in all dealings with their staff.

Appointments and other Employment Matters

33. Employees involved in appointments should ensure that these are made on the basis of merit. It is unlawful for an employee to make an appointment which was based on anything other than the ability of the candidate to undertake the duties of the post. These principles and the City Corporation's procedures are detailed in the Recruitment and Selection Policy.
34. In order to avoid any possible accusation of bias, employees should not be involved in an appointment where they are related to an applicant, or have a close personal relationship with him or her. Candidates for any appointment with the City Corporation when making an application must disclose on the job application form whether s/he is related to any member of the City Corporation or to a holder of any

senior officer position. Deliberate omission to make such a disclosure will disqualify the candidate and if the omission is discovered after appointment, they may be liable to dismissal.

35. **All employees need to disclose to either their immediate Line Manager, senior manager or HR Business Partner in person and in writing, as soon as they become aware of any relationship known to exist between themselves and a candidate for an appointment of which they are aware.**
36. The City Corporation recognises that employees who work together may have or form close personal relationships. While it does not wish to interfere with these personal relationships, the City Corporation does expect all such employees to behave in an appropriate and professional manner at work. To ensure that potential problems are avoided, if the relationship is between a manager/supervisor and an employee whom he/she supervises, the relationship should be declared to either their immediate Line Manager, senior manager or HR Business Partner. Similarly any relationship which could potentially involve a conflict of interest in work roles, (e.g. countersigning of invoices or supervisory decisions relating to overtime etc.) should be declared. Any such disclosures will be dealt with sensitively. The City Corporation reserves the right, where such a relationship exists between staff, to ensure that the persons concerned are not employed in a situation where one would be responsible for managing the other. Alternative mitigating measures may be introduced to ensure that appropriate reporting lines are in place.
37. Employees should not be involved in decisions relating to discipline, promotion or pay adjustments for any other employee who is a relative, partner or someone they have a close personal relationship with.

Outside Commitments

38. **Employees are required to obtain prior written consent from their Chief Officer before taking up any outside employment using the Declaration of Interest Form for Officers (Appendix 1), see paragraph 13 above.**
39. Employees' off-duty hours are their personal concern but they should not subordinate their duty to private interests so as to put themselves in a position where duty and private interests conflict. The City Corporation will not preclude employees from undertaking additional employment, but any such employment must not, in the view of the City Corporation:
- conflict with or react detrimentally to the City Corporation's interests, (for example, if their official duties overlap in some way with their proposed work);
 - in any way weaken public confidence in the conduct of the City Corporation's business;

- interfere with the employee's ability to undertake their role, e.g. cause a breach of the Working Time Directive or place demands on the individual such that they cannot perform at their full capacity for the City Corporation;
 - make use of information or material to which the employee has access by virtue of his or her position.
40. No outside work of any sort should be undertaken in the office or in Corporation working hours, and use of City Corporation facilities, equipment or materials e.g. telephones, photocopiers or IS systems for outside work is forbidden.
41. Any work undertaken on behalf of the City Corporation or which contributes to the work of the City Corporation or is requested/delivered on the basis of being an employee of the City Corporation and which attracts a fee / is paid e.g. a presentation or lecture, will need Chief Officer approval and the fees will need to be paid to the City Corporation. In the case of a Chief Officer, approval from the Town Clerk is required.

Intellectual Property

42. Intellectual property is a generic term that includes inventions and patents, creative writings and drawings, photographs and images. If these are created by an employee during the course of employment then as a general rule the property belongs to the City Corporation. Specific arrangements may exist locally.
43. Any matter, or thing capable of being patented under the Patents Act 1977, made, developed or discovered by an employee, either alone or with others, whilst in the performance of their duties should be disclosed to the City Corporation through the appropriate Chief Officer and, subject to the provisions of the Patents Act, it will belong to and be the absolute property of the City Corporation.

Information Technology and Data Security

44. The City Corporation encourages the use of appropriate technology to achieve efficient and effective services. Employees must ensure that they use technology professionally, appropriately and responsibly and follow the City Corporation's procedures in relation to the use of technology and access to/storage of information in relation to the Data Protection Act. This also applies to external facing technology including social media which due to its nature means any comments posted about the City Corporation should be regarded as public, whether made in a work or private capacity and should not damage the reputation of the organisation, Members, staff or service users, or contravene the Equal Opportunities Policy.

Personal Interests

45. **Employees must declare to their Chief Officer, any financial or non-financial interests that could bring about conflict with the City Corporation's interests using the Declaration of Interest Form (Officers) as attached at Appendix 1; then submit this to their Chief Officer (see paragraph 13 above).** This may include membership of outside bodies in a personal capacity. In such cases employees should be mindful not to place themselves in a situation where their involvement or working contribution could compromise their continuing professional duty to the interests of the City Corporation.
46. Employees must declare to their Chief Officer membership of any organisation not open to the public with formal membership and commitment of allegiance and which has secrecy about rules and/or membership and/or conduct e.g. Masonics, a Society, Trust or regular gathering or meeting which is not open to members of the public who are not a member of the organisation. (This does not include membership of Livery Companies).
47. On no account must employees be directly involved in the processing of any matter or application in which they or any close relative (including a child) have a personal interest.

Equality

48. All City Corporation employees should ensure that policies relating to equality issues as agreed by the City Corporation are complied with in addition to the requirements of the law. Such policies would include: Equal Opportunities, Physical and Verbal Abuse Policy and Grievance (Employee Complaints). All members of the local community, customers and other employees have a right to be treated with fairness and equity.

Corruption and Bribery

49. Employees must be aware that it is a serious criminal offence (and an act of gross misconduct) for them corruptly to receive or give any gift, loan, fee, reward or advantage for doing or not doing anything or showing favour or disfavour to any person in their official capacity. If an allegation is made it is for the employee to demonstrate that any such rewards have not been corruptly obtained. Such acts may compromise the impartiality of the City Corporation and cause reputational, legal and financial damage.
50. It is important to avoid the perception as well as the fact of corruption or bribery and employees must comply with all applicable bribery and corruption laws.

51. Employees will not offer, promise, give, request, or agree to receive, or accept any bribes:

- in the course of their employment;
- when conducting City Corporation business; or
- when representing the City Corporation in any capacity.

A bribe means a financial payment or other forms of reward or advantage, whether direct or indirect, that is intended to induce or influence, or has the effect of inducing or influencing, an individual, company or public body (whether in the UK or abroad) to perform their functions, including business and public duties, improperly. Improper performance includes:

- not acting in good faith;
- not acting impartially; and
- not acting in accordance with a position of trust.

52. Employees must not act fraudulently, particularly in relation to The City Corporation's resources or assets.

53. **Where employees have concerns over the lawfulness of certain action they should express such concerns to the appropriate manager or Chief Officer without delay. The Whistleblowing Policy is also available to staff who feel they need to raise an issue outside of the management chain.**

Use of Financial Resources and Property

54. Employees must ensure that they use all City Corporation funds entrusted to them in a responsible and lawful manner. They should strive to ensure value for money and to avoid legal challenge to the City Corporation.

55. Employees should be aware of and adhere to the City Corporation's Financial Regulations, Procurement Regulations and the Communication and Information Systems Use Policy.

56. Where employees have concerns over the lawfulness of certain action they should express such concerns to the appropriate manager or Chief Officer without delay. The whistleblowing procedure is also available to staff who feel they need to raise an issue outside of the management chain.

57. Employees must not steal, wilfully damage or take off site without permission, anything that belongs to the City Corporation.

58. Employees must not use City Corporation resources to recognise or reward colleagues without the approval of their Chief Officer.

Hospitality and Gifts

59. There can be little doubt that the acceptance of gifts by employees from persons who have, or may seek to have, dealings with the City Corporation would be viewed by the public with grave suspicion and would make the employee concerned and the City Corporation extremely vulnerable to criticism.
60. An employee should tactfully refuse any personal gift which is offered to him/her or a close relative by, or indirectly attributable to any person or body who has, or may have, dealings of any kind whatsoever with the City Corporation or, who has applied, or may apply, to the City Corporation for any kind of decision.
61. The only exceptions to this rule that have been agreed are:-
- Small gifts of only token value often given by way of trade advertisements to a wide range of people, e.g. calendars, diaries, pens, pencils and similar articles of use in the workplace (up to a maximum value of £20); or
 - Small gifts of only token value given on the conclusion of a courtesy visit or visit by/to dignitaries, (up to maximum value of £20).
 - Working meals which are permissible, provided the employee has the approval of the Chief Officer.
 - Chief Officers or appropriate employee nominated to represent them can attend work related functions as the City Corporation representative.
62. When acting under this dispensation, employees must complete the appropriate declaration **(the Hospitality and Gift e-form is available on the intranet under Tools and Apps)**. The completed form will need to be sanctioned by the Line Manager in advance.
63. If there is any doubt about whether a gift may be accepted the gift should be politely and tactfully refused.
64. Employees are reminded that they are forbidden under the terms of their office and employment to accept any fee or reward other than their proper remuneration and any person who contravenes this provision would be liable to Court proceedings.
65. In the event of an employee receiving a gift without warning, which does not fall in any of the exceptions mentioned above, this should immediately be reported to a Chief Officer who will be responsible for deciding whether the gift should be returned.
66. Employees should only accept offers of hospitality if there is a genuine need to impart information or represent the City Corporation in the community, establish or maintain good business relationships, and/or improve the image and reputation of the City Corporation; provided that this is in good faith and not likely to secure advantage or have an intention to induce. Offers to attend purely social or sporting functions should be accepted only when these are part of the life of the community or where the City Corporation should be seen to be represented.

67. When acting under this dispensation, employees must complete the appropriate declaration **(the Hospitality and Gift e-form is available on the intranet under Tools and Apps)**. The completed form will automatically be forwarded to the employee's Line Manager for approval and copied to the Town Clerk's Department for monitoring purposes.
68. When hospitality has to be declined the offer should be courteously but firmly declined and it should be explained to the other party the procedures and standards operating within the City Corporation.
69. When receiving authorised hospitality employees should be particularly sensitive as to its timing in relation, for example, to decisions which the City Corporation may be taking affecting those providing the hospitality.
70. Acceptance by employees of hospitality through attendance at relevant conferences and courses is acceptable where it is clear the hospitality is corporate rather than personal, where the City Corporation gives consent. Where visits to inspect equipment or review services by undertaking site visits etc. are required, employees should ensure that the City Corporation meets the cost of such visits to avoid jeopardising the integrity of subsequent procurement decisions.
71. Hospitality should only be accepted where it is on a scale appropriate to the circumstances, reasonably incidental to the occasion and not extravagant and where it is apparent that no cause could reasonably arise for adverse criticism about the acceptance of hospitality.

Sponsorship – Giving and Receiving

72. Where an outside organisation wishes to sponsor or is seeking to sponsor a City Corporation activity, whether by invitation, tender, negotiation or voluntarily, the basic conventions concerning acceptance of gifts or hospitality apply. Particular care must be taken when dealing with contractors or potential contractors.
73. **Where the City Corporation wishes to sponsor an event or service neither an employee nor any partner, spouse, relative or other person in a close relationship must benefit from such sponsorship in a direct way without there being full disclosure to a Chief Officer. Any such disclosure should be made using the Declaration of Interest Form for Officers as attached at Appendix 1; then submitted to their Chief Officer (see paragraph 13 above).** Similarly, where the City Corporation through sponsorship, grant aid, financial or other means, gives support in the community, employees should ensure that impartial advice is given and that there is no conflict of interest involved.

Health & Safety

74. Employees are expected to ensure that a safe working environment is maintained and prevent the risk of injury to themselves and others in accordance with the City Corporation's Health & Safety Statement, the Occupational Health and Safety Policies and guidance. This includes the Drug and Alcohol policy and any local arrangements.

Whistleblowing

75. The City Corporation is committed to the highest possible standards of probity. In line with that commitment we expect employees, and others that we deal with, who have serious concerns about the conduct of any aspect of the City Corporation's work to come forward and voice those concerns to us. It is recognised that most cases will have to proceed on a confidential basis.
76. Any suspicion of wrongdoing will be treated seriously and will be reviewed and analysed in accordance with the Whistleblowing or Complaints Policy, considering the Public Interest Disclosure Act, the Human Rights Act and if appropriate the City Corporation's Anti-Fraud and Corruption Strategy.
77. City Corporation staff, agency staff, and contractors should be aware that they have statutory protection against victimisation and dismissal under the Public Interest Disclosure Act 1999, if they speak out genuinely against corruption and malpractice at work. Further information on how to make a disclosure is contained in the Whistleblowing Policy.

Professional Indemnity

78. If an employee, former employee or volunteer, (for the purpose of this paragraph, the term 'employees' refers to the narrow definition of employed staff) is subject to a claim for professional negligence from third parties, in relation to work they carried out as part of their duties for the City Corporation (including voluntary work approved by a Chief Officer carried out in connection with the City Corporation) they will be indemnified in relation to claims for damages and reasonable legal costs (subject as follows) for breaches of professional duty arising from the bona fide execution of their duties in accordance with current policies of the City Corporation. The City Corporation reserves the right to decide whether to defend (or contribute to the costs of defending) a legal action brought against an employee.

Data Protection

79. **The City Corporation processes personal data collected in respect of the processes cited within the Code of Conduct in accordance with its Data Protection Policy (Employees) and Employee Privacy Notice. In particular, data collected is held securely, accessed by and disclosed to individuals only for the purposes of conducting the relevant process (i.e. to ratify declarations, to investigate reported breaches) and related processes (where relevant), and as required by law.**
80. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with the corporate Data Protection Policy immediately. It may also constitute a disciplinary offence, which will be dealt with under the disciplinary procedure.

List of Appendices

- Appendix 1 – Declaration of Interest Form (Officers)

Links / Other resources

Main policies that should be read in conjunction with the Code of Conduct:

- Communications and Information Systems Use
- Complaints Policy
- Corporate Anti-Fraud & Corruption Strategy
- Data Protection Policy
- Disciplinary Procedure
- Drug and Alcohol Misuse Policy
- Equal Opportunity Policy
- Health and Safety Statement
- The Hospitality and Gift e-form
- [Member / Officer Protocol](#)
- Physical and Verbal Abuse
- Politically Restricted Posts
- Regulation of Investigatory Powers policy statement
- Whistleblowing Policy

Declaration of Interest Form (Officers)

Post title:		Grade:
Name:		
Declaration Year:		

Note: Please review the Code of Conduct before completing this form. If you are unsure about how to complete the form please speak to your Line Manager. You should note this declaration includes any benefit derived by your partner, spouse or relative or anyone else in a close personal relationship where the City Corporation gives support in the community through: sponsorship or an event or service, grant aid, financial or other means.

If you have no declarations to make, please check the first box. If you have a declaration to make, please check the second box and provide all relevant details. Please then sign and return to your Line Manager.

☐ **I have no declarations to make**

- I confirm that I have met the requirements relating to potential conflicts of interest as set out in the Employee Code of Conduct and
- I confirm that, to the best of my knowledge and belief, I have not engaged in any conduct which might give rise to an offence under the Bribery Act 2010.

OR

☐ **I have a declaration to make in relation to one or more of the following:**

Note: Explain if this is an existing declaration that has not been made and/or approved before or a proposed new interest.

Declarations I am required to make are

1)

2)

(add more entries if required using a separate sheet and attach)

I confirm that the above statements are true to the best of my knowledge, information and belief. I acknowledge that as soon as I become aware of any changes or potential changes to my declaration I must notify the Chief Officer (or the Town Clerk for a Chief Officer). I am aware that failure to complete this form accurately may result in disciplinary action being taken.

Signed: _____ Date: _____

*Data Protection statement see page 2.

Data Protection

The City Corporation processes personal data collected in respect of the declaration of interest process cited within the Code of Conduct in accordance with its Data Protection Policy (Employees) and Employee Privacy Notice. To request a hard copy or for any data protection queries please contact the Information Compliance Team at information.officer@cityoflondon.gov.uk.

In particular data collected is held securely, accessed by and disclosed to individuals only for the purposes of conducting the relevant process (i.e. to ratify declarations, to investigate reported breaches) and related processes (where relevant), and as required by law.

Line Manager's comments:

***Comments to be obtained from the Commercial Director in City Procurement for conflicts relating to contract placements**

Signed: _____ Date: _____

Print name: _____ Job title: _____

Chief Officer (or the Town Clerk for a Chief Officer): Comments / recommended action(s)

Please delete as appropriate:

- I consider the declaration to be acceptable and the Officer can be informed of this decision; or
- I do not consider the declaration to be acceptable and have taken the following action including informing the Officer and their manager of this decision:

Signed: _____ Date: _____

Print name: _____ Job title: _____

Chief Officer to return the form to the employee's Line Manager

Committee	Dated:
Establishment Committee	9 July 2018
Subject: Annual Equalities in Employment Monitoring Report 2017-2018	Public
Report of: Director Human Resources	For Information
Report author: Tracey Jansen, Town Clerk's – Human Resources Colette Hawkins – Town Clerk's – Human Resources	

Summary

This report sets out the workforce profile information for the year 2017-2018. It also provides Members with a summary of the main equalities and inclusion initiatives and actions that have taken place over the year 2017-18.

Recommendation

Members are asked to note the report.

Main Report

Background

1. This report is the annual update presenting data on the workforce profile broken down by 6 protected characteristics defined by the Equality Act 2010. These are sex, age, disability, ethnicity, sexual orientation and religion or belief. The analysis includes salary and grade; the top 5% earners; Gender Pay Gap; turnover, recruitment and new starter and leaver information during the year.
2. The workforce profile data is used to inform the public sector equality duty in relation to employment. This data along with the HR dashboards and workforce planning data helps to inform the Human Resources business plan. In addition, Equality and Inclusion is now a workstream of the HR Transformation Programme.

Current Position

3. Attached as Appendix 1 is an analysis of the workforce as at the end of March 2018. Over all there has not been any significant change in the composition of the workforce. The various initiatives that we have put in place will take time to embed before we will be able to see any discernible difference. However, of note

is that this year's figures include the new apprentices and has resulted in an increase in the number of under 25 year olds. In addition of those with protected characteristics who can experience disadvantage, staff who have identified themselves as LGBT are the only group that are faring better in the top 5% of earners. Women, ethnic minorities and employees with disabilities continue to fare worse in this category of analysis.

4. The top 5% of earners has been analysed over a number of years and was formerly a key performance indicator for local authorities. This year we have included in the annual report the gender pay gap and this has previously been reported in detail to the Committee.
5. In the autumn we will undertake our disability and ethnicity pay gaps along with this year's gender pay gap.

Equalities and Inclusion Initiatives During 2017-18

6. Quarterly update reports continue to be made to the Establishment Committee. The Equality and Inclusion (E&I) Board meets on a quarterly basis. Highlights of the Board's work includes:
 - Peer review of E&I service delivery by all Chief Officers;
 - Support for the staff networks float at the Lord Mayor's Show 2017;
 - Embedding the use of the Equality Analysis and Test of Relevance at the proposal stage of HR policy development.
 - Continuing to oversee the E&I Action Plan in relation to employment and service delivery.
7. Other E&I highlights include:
 - City Corporation signed the Women in Finance Charter. A progress update on the commitments made will be reported to a future meeting of the Committee;
 - Anonymised recruitment for Chief Officers and Grade I and J roles is now in place;
 - Buying of additional leave scheme trial has been launched;
 - Revised and significantly improved maternity, adoption, shared parental pay are now in place;
 - Sponsoring the Social Mobility Employers Index;
 - Review and refresh of the jobs pages on City Corporation website. It now includes more information about the City Corporation and highlights our commitment to being an inclusive employer with links to our family friendly benefits.
 - Tackling work-related ill-health by developing the wellbeing of our workforce, reducing the stigma around mental ill-health, and providing a safe and healthy working environment. Developed the mental health e-learning module, classroom based Mental Health First Aid courses and Line Managers guides to Mental Health and developed a CityWell Ambassadors Network.

Staff Networks

8. The Staff Networks continue to develop and have put on events throughout the year for their own members and all staff events. Highlights include:
 - Collaborative working amongst the networks to promote key themes: Carers and Disability Inclusive Network (DIN) event on World Mental Health Day; City Pride attended an event run by the Lesbian Gay Bisexual Transgender plus (LGBT+) group at the City of London Girls School; the Black Asian and Minority Ethnic (BAME) network joined with the City of London Police women's network on the talk by Dr Victor Olisa QPM.
 - DIN have introduced a 'buddy' system to build informal networks amongst colleagues from across the organisation to offer advice, resources and guidance regarding the day-to-day aspects of work at the City Corporation and provide a 'friendly ear';
 - Fundraising for external charities: BAME – British Red Cross; the Women's Inclusive Network (WIN) – Woman's Trust Networks collaborating with key City Corporation strategies and objectives: Multi-Faith supported the 'We Stand Together Against Hate Crime'; WIN – fed into the review of maternity, adoption and shared parental pay.
 - Working collaboratively to take part in the Lords Mayor's Show highlighting the work of the Networks and brand.
 - WIN events to recognise 100-year anniversary of the Suffragettes.
 - The City of London School also hosted a guest speaker event with former NBA basketball player John Amaechi, regarded as "one of the world's most high-profile gay athletes" who spoke to groups including students and staff.
9. Training, development and networking opportunities have been offered to the Networks and their Sponsors. A number of Network leads have stood down having completed their tenure and plans are in train for the transition between sponsors for some Networks.
10. The Networks have contributed their comments and views on HR policy development and we continue to work in collaboration with them on guides for staff and managers.
11. The E&I Board meets quarterly with the Chairs of the Networks and their Sponsors and invites input to the wider equalities and inclusion agenda.
12. The Establishment Committee endorsed the proposal to have a dedicated Diversity and Business Engagement Manager post to support our Networks and to develop the City Corporation's reputation as a credible voice and influence in the wider city and beyond in relation to staff networks, diversity equality and inclusion.

Women in Finance Charter

13. In November 2017 the Chairman of Policy and Resources signed the Women in Finance Charter. The City Corporation has pledged to promote gender diversity in all our senior roles. As noted above a separate report will be made to advise the Committee of progress being made to promote gender diversity and equality.

Social Mobility

14. The City Corporation is sponsoring the Social Mobility Index for a second year. A Social Mobility Strategy is currently being devised to raise general awareness across the City Corporation. Consideration is being given to a one-off survey to gain a better understanding of the make-up of our work force to inform further development of the Attracting Talent project.

Gender Pay Gap

15. In March 2018 the City Corporation published our data in accordance with the Regulations on the Government website. Our mean average Gender Pay Gap of 8.1% and mean average Bonus Gender Pay Gap of 14% was reported to the Committee in February 2018 with a more detailed analysis provided in April 2018.

New Employment Policies and Schemes

16. The pay provisions within the maternity, adoption and shared parental policies have been revised and significantly improved and our provisions are now amongst the best in the country. The revised provisions will ensure we remain competitive with external organisations and will act as a recruitment and retention incentive. These improved provisions were approved by the Committee in December 2017.
17. A new scheme allowing staff to buy additional leave is currently being trialled. Within the first two months of implementation six people had bought leave. A full report will be brought back to the Committee in 2019 with any recommendations for change following the end of the trial.

Corporate and Strategic Implications

18. This report identifies a number of actions and activities that contribute towards meeting our Public Sector Equality Duty. The Equality and Inclusion Action Plan is reviewed regularly at the E&I Board. The Establishment Committee has oversight of the City Corporation's policies and practices in respect of equality and inclusion, including the implementation of the Equality Act 2010 and other relevant legislation. The Gender Pay Gap regulations require us to publish annual gender pay gap data.

Conclusion

19. Regular updates are made to the Committee on the range of initiatives and developments that support and demonstrate our commitment to equality, diversity and being an inclusive employer. This year we have continued to support the staff networks and rolled out further family friendly policies. We have put in place anonymised recruitment of senior roles. The reporting and analysis of our gender pay gap has informed the initiatives and activities that we are putting in place to support women in the workplace and encourage recruitment in and progress through to senior roles.
20. The development of training and guidance on mental health is being rolled out. The aim is to encourage an environment where staff can feel comfortable and able to discuss challenges they may be facing and so that managers feel better equipped to be supportive of them. Approximately 730 managers have completed the Mental Health Awareness on line learning course. 120 employees have completed the classroom based training and this continues to be rolled out.

Appendices

- Appendix 1 – Employee Profile March 2018

Background Papers

Gender Pay Gap, February 2018 – Establishment Committee

Mental Health Wellbeing Update, February 2018 – Establishment Committee

Maternity, Adoption and Shared Parental Pay, December 2017 - Establishment Committee

Equality and Inclusion Update, October 2017 – Establishment Committee

Annual Equalities in Employment Monitoring Report 2016 – 2017, June 2017 – Establishment Committee

Tracey Jansen

Assistant Director of HR and Business Service

T: 020 7332 3289

E: tracey.jansen@cityoflondon.gov.uk

Colette Hawkins Strategic Project manager

T: 020 7332 1553

E: colette.hawkins@cityoflondon.gov.uk

This page is intentionally left blank



City of London Corporation - Employee Profile

March 2018

1 Introduction

This document illustrates and describes the profile of the workforce which informs the City Corporation's Public Sector Equality Duty; our equality and inclusion action plan; and HR policy review and development.

2 Scope

The analysis provides information on all employees both full time and part time and directly employed temporary employees. The departments covered are:

- Chamberlain's, City Surveyor's, Community & Children's Services, Comptroller & City Solicitor's, Mansion House & Central Criminal Court, Markets & Consumer Protection, Open Spaces, Remembrancer's, the Built Environment and Town Clerk's.

This report also includes, unless where stated, the following:

- The Barbican Centre, Guildhall School of Music & Drama, the City's three schools - City of London Freemen's School, City of London School and City of London School for Girls.

Excluded are the City of London Police Officers and support employees whose data is reported separately to the Police Committee. Also excluded are casual and agency workers; contractors and consultants.

The employee profile data reflects the workforce recorded as at the 31 March 2018, unless otherwise stated.

Information is drawn from basic payroll and HR information system data. Additional sensitive information is added on a voluntary basis by employees through the employee self-service facility on the HR information system. Because employees are not required to provide all personal and sensitive information, this means that not all the categories include 100% data capture. This is indicated under each heading. In other cases, the employee has specifically recorded 'not stated' or 'declined to specify' on employee self-service and this is indicated accordingly. In accordance with the General Data Protection Regulation and the Data Protection Act 2018, all employees have been sent a privacy notice describing how the City Corporation as a data controller collects and uses personal information during and after employment with the City Corporation.

This year the City Corporation has also published its Gender Pay Gap in accordance with the Gender Pay Gap Regulations 2017. This is included in this report.

Employee Profile - Protected Characteristics: The data analysis looks at 6 protected characteristics identified in the Equality Act 2010. These are: Sex, Age, Ethnicity, Disability, Religion and Belief and Sexual Orientation. Where numbers in relation to protected characteristics are very small these have been grouped together, where it is appropriate to do so, to maintain the integrity of the data, but also to ensure that no individual/s are easily identifiable.

Categories of analysis: This report covers an analysis of the overall employee profile; salary and grades; top 5% of earners and Gender Pay Gap; turnover and recruitment; starters and leavers.

3 Overview of the Workforce

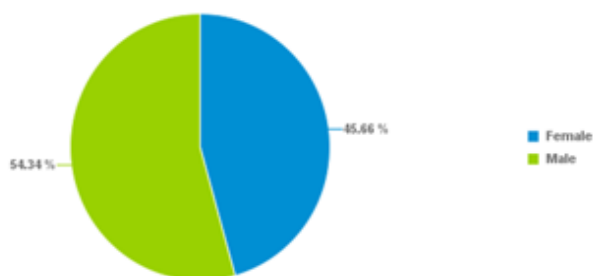
As at 31 March 2018 there were a total of 3614 employees across the departments and functions in scope, covering a wide range of service areas. There have been 692 starters including 143 fixed term workers and 488 leavers including 123 fixed term workers during the reporting period. Fixed term work may be for a number of reasons such as cover for maternity leave, fixed term/grant funding, finite project work, secondments and traineeships etc. 3133 employees are full time and 481 are part time (defined as employees working less than 85% of a full time equivalent (FTE) post). For ease of reference it should be noted that 1 employee is equivalent to approximately 0.028% of the workforce and 1% of the total workforce is approximately 36 employees.

3.1 Sex

Data is held on 100% of the workforce.

As shown below, 45.66% of the workforce is female and 54.34% are male. This is comparable to the split for 2016/17 (43.25% female and 56.75% male). The average for all London Councils is 62.5% female and 37.5% male respectively (Source: London Councils- Human Capital Metrics Survey Scorecard 2016/17). It should be noted that whilst some comparison can be useful, the City Corporation's local authority function is smaller than London Boroughs and other Local Authorities which makes a direct comparison with them difficult. An alternative comparison can be made with the 2011 census, which identifies the workday population of the "square mile" as 360,075 and is split 61% male to 39% female (Office for National Statistics).

The proportion of part-time employees who are female is 74.84% and 25.16% are male. This figure is broadly the same as the national picture of women as a percentage of all part-time workers according to the Office of National Statistics (ONS).

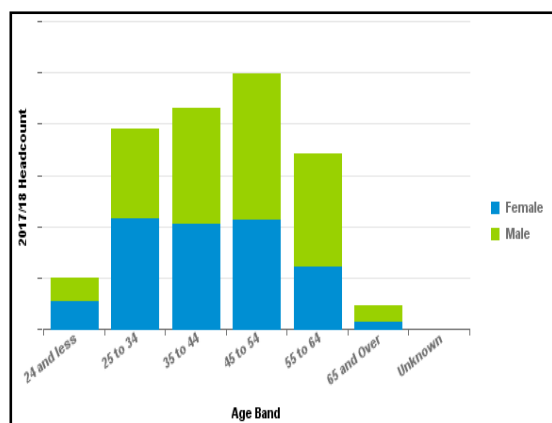


	2016/17		2017/18	
Headcount		%		%
Female	1521	43.25%	1650	45.66%
Male	1884	56.75%	1964	54.34%

3.2 Age

Age data is held on 100% of the workforce.

The age distribution is essentially unchanged from the previous year. There is an increase in both male and females in the 24 and under bracket, reflecting the increase in apprenticeships.



	2016/17		2017/18			
	Female	Male	Total	Female	Male	
>24	5.26%	3.34%	5.50%	108	6.55%	91
25-34	26.89%	18.21%	21.67%	431	26.11%	352
35-44	25.58%	22.72%	23.77%	411	24.91%	448
45-54	26.43%	30.89%	27.61%	428	25.94%	570
55-64	13.74%	21.71%	18.90%	243	14.73%	440
65+	2.10%	3.13%	2.55%	29	1.76%	63
Total	100%	100%	100%	1650	100%	1964

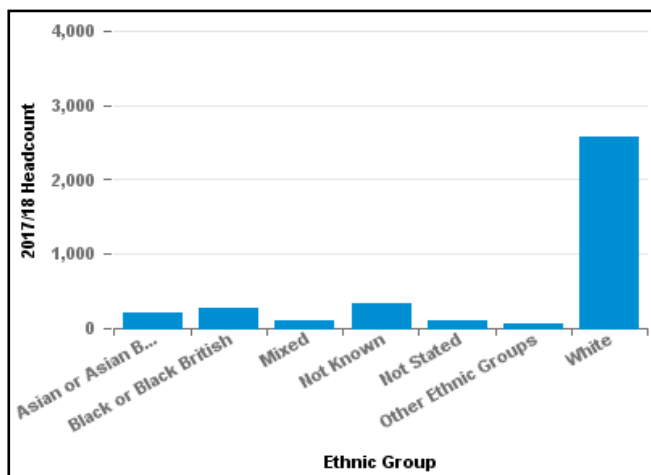
3.3 Ethnicity

Ethnicity data is held on 88.05% of the workforce.

For the purpose of this analysis employees are classified as belonging to the following ethnic groups. These are the standard classifications on the HR Information System and allow for comparison with other London Councils:

- **White:** White - British, White - EU, White - other European, White - Any other White background, Irish
- **Asian or Asian British:** Asian - Bangladeshi, Asian - British, Asian - Indian, Asian - Pakistani, Asian - Any other Asian background
- **Black or Black British:** Black – African, Black – British, Black – Caribbean, Black - Any other Black background
- **Mixed:** Mixed - Asian & White, Mixed - Black & White, Mixed - Any other Mixed background
- **Other Ethnic Groups:** Chinese, Any other background, Any other ethnic group

The ethnicity profile is displayed on the next page. It shows no discernible change over the past 12 months. The most recent comparative data for London Councils shows that across all London Boroughs, the workforce is 63.8% White and 36.2% Black Asian and Minority Ethnic (BAME). This compares to 71.08% White; 16.97% (BAME) and 11.95% Not known/Stated at the City Corporation.

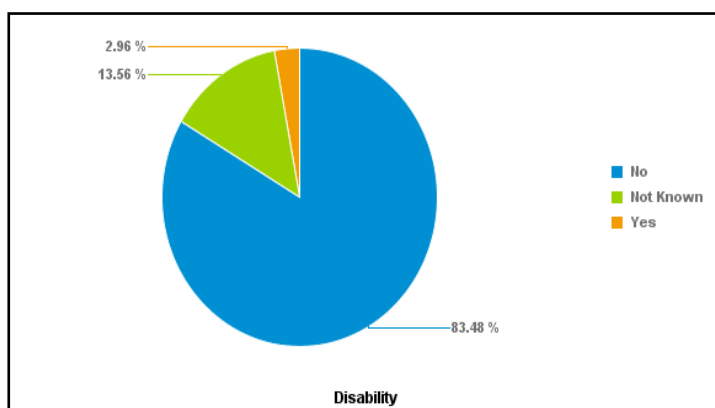


	2016/17		2017/18	
Asian or Asian British	189	5.55%	198	5.48%
Black or Black British	233	6.84%	267	7.39%
Mixed	89	2.61%	91	2.52%
Not Known	265	7.78%	329	9.10%
Not Stated	108	3.17%	103	2.85%
Other Ethnic Group	56	1.64%	57	1.58%
White	2465	72.41%	2569	71.08%
Total	3405	100.00%	3614	100.00%

3.4 Disability

Disability data is held on 86.44% of the workforce.

2.96 % of the total workforce have declared themselves as having a disability. Employees are asked to state whether they “self-certify” as having a disability on the HR information system and similarly job applicants are asked to indicate Yes or No to the statement of “I consider myself to have a disability”. Therefore it should be noted this indicator does not necessarily accurately measure whether an employee meets the definition of “disability” under the Equality Act 2010.

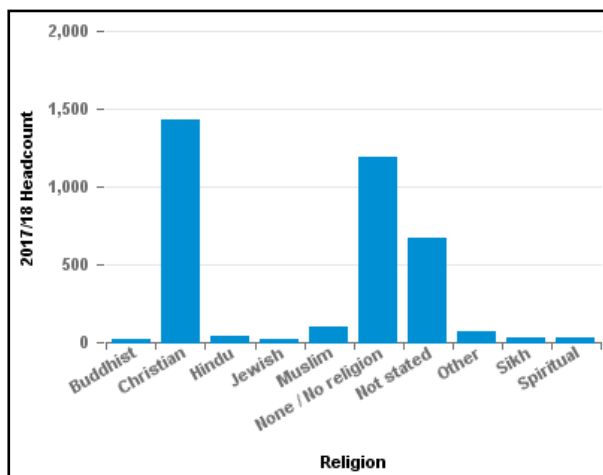


	2016/7		2017/18	
No	2868	84.23%	3017	83.48%
Not Known	438	12.86%	490	13.56%
Yes	99	2.91%	107	2.96%
total	3405	100%	3614	100%

3.5 Religion and Belief

Religion and belief information is held on 81.41% of the workforce.

Of the overall workforce 39.57% are Christian. 32.96% stated that they have None/No religion or belief. Total other religions and beliefs is 8.88% and not known 18.59%.



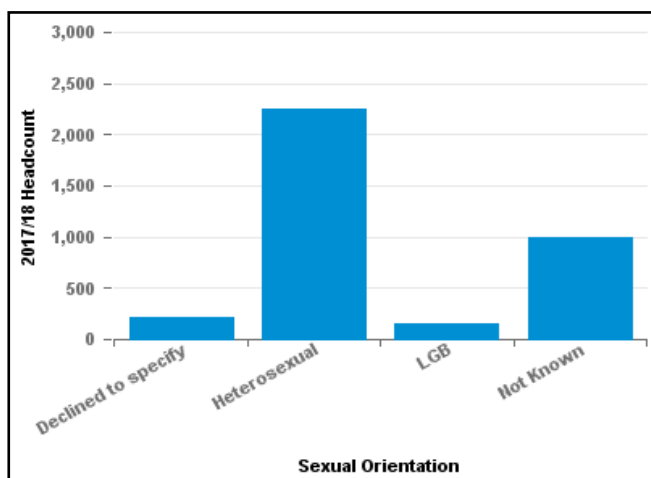
	2016/17		2017/18	
Buddhist	14	0.41%	16	0.44%
Christian	1379	40.51%	1430	39.57%
Hindu	42	1.23%	43	1.19%
Jewish	22	0.65%	24	0.66%
Muslim	95	2.79%	104	2.88%
None/No Religion	1109	32.57%	1191	32.96%
Not known	612	17.97%	672	18.59%
Other	76	2.23%	73	2.02%
Sikh	27	0.79%	27	0.75%
Spiritual	29	0.85%	34	0.94%
Total	3405	100%	3614	100%

3.6 Sexual Orientation

Sexual orientation information is held 66.58% of the workforce.

The Government uses a figure of 5% - 7% of the population as Lesbian, Gay, Bisexual Trans (LGBT) which the LGBT charity *Stonewall* feels is a reasonable estimate.

In the table below LGBT are grouped together as they are individually small in numbers:



	2016/17		2017/18	
Declined to specify	200	5.87%	209	5.78%
Heterosexual	2097	61.59%	2254	62.37%
LGBT	144	4.23%	152	4.21%
Not known	964	28.31%	999	27.64%
Total	3405	100%	3614	100%

4 Salary and Grade Profile

This section provides details of salary and gradings in relation to protected characteristics.

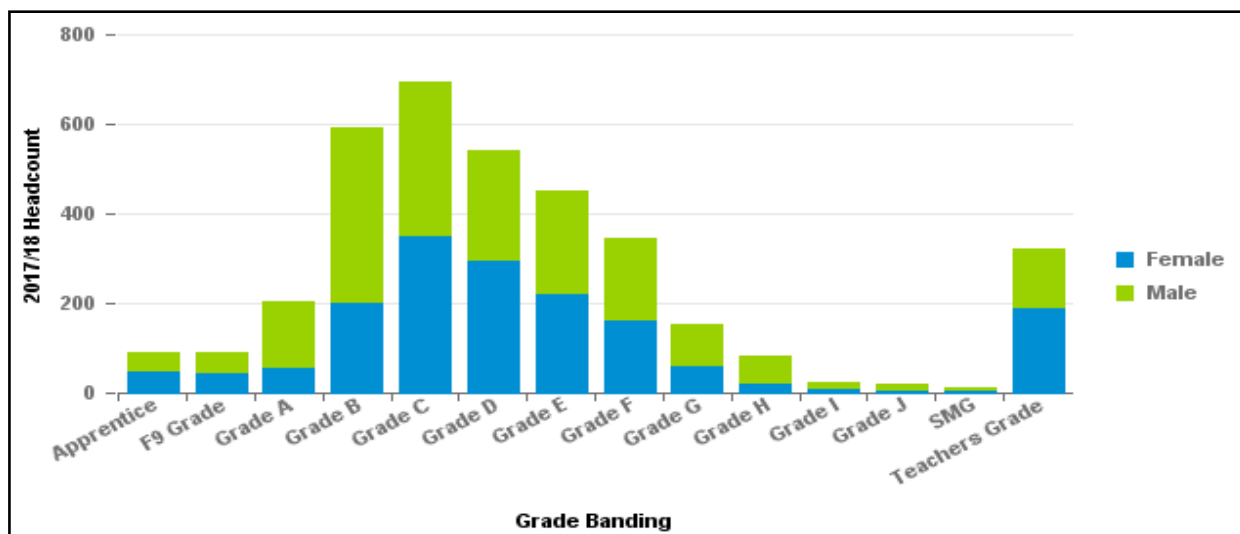
Salary Scales

The pay of City Corporation employees is determined locally. This differs from most other Local Authorities whose pay is governed by the National Joint Council for Local Government (NJC).

Grade	Min Salary (£)	Max Salary (£)	2017/18 % Workforce		2017/18 % Female		2017/18 % Male	
Apprentice	18620	18990	92	2.55%	47	51.09%	45	48.91%
Grade A	20190	21090	203	5.62%	57	28.08%	146	71.92%
Grade B	22480	25170	593	16.41%	199	33.56%	394	66.44%
Grade C	27580	31070	695	19.23%	350	50.36%	345	49.64%
Grade D	33390	37800	542	15.00%	293	54.06%	249	45.94%
Grade E	37800	42870	450	12.45%	220	48.89%	230	51.11%
Grade F	46310	52780	344	9.52%	162	47.09%	182	52.91%
Grade G	54170	61920	154	4.26%	61	39.61%	93	60.39%
Grade H	61920	70820	81	2.24%	20	24.69%	61	75.31%
Grade I	70820	81160	23	0.64%	8	34.78%	15	65.22%
Grade J	83440	95810	21	0.58%	5	23.81%	16	76.19%
Chief Officers*	84990	249230	13	0.36%	3	23.08%	10	76.92%
F9 Grade	No fixed values		82	2.27%	40	48.35%	42	51.65%
Teachers	28630	58480	321	8.88%	187	58.26%	134	41.74%

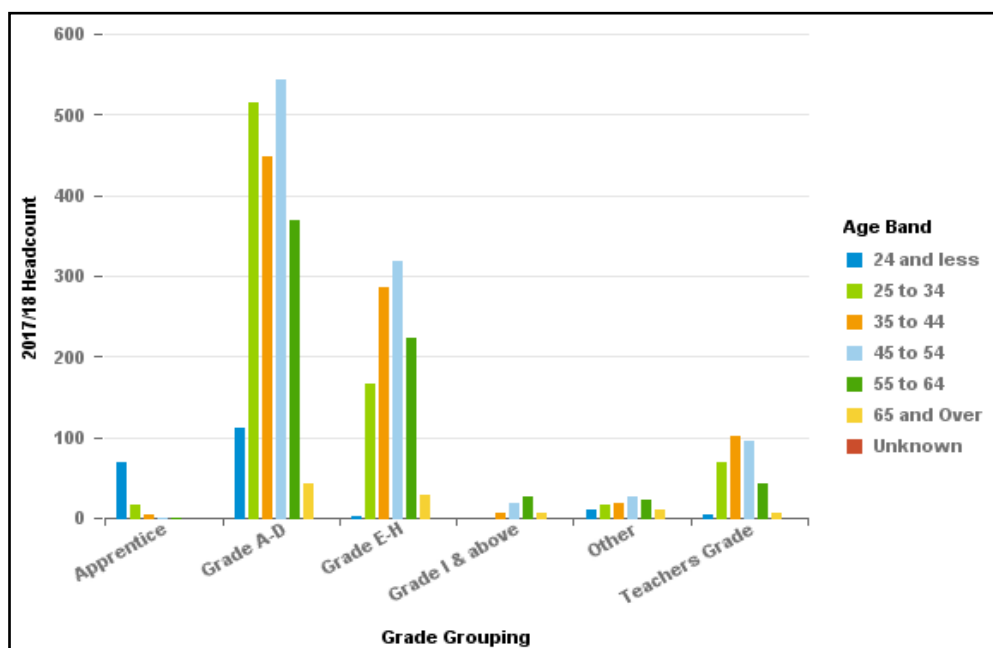
Figures exclude London Weighting and other allowances
 *Chief Officers have individual salary scales within this range and includes Head Teachers

4.1 Sex and Grade Profile



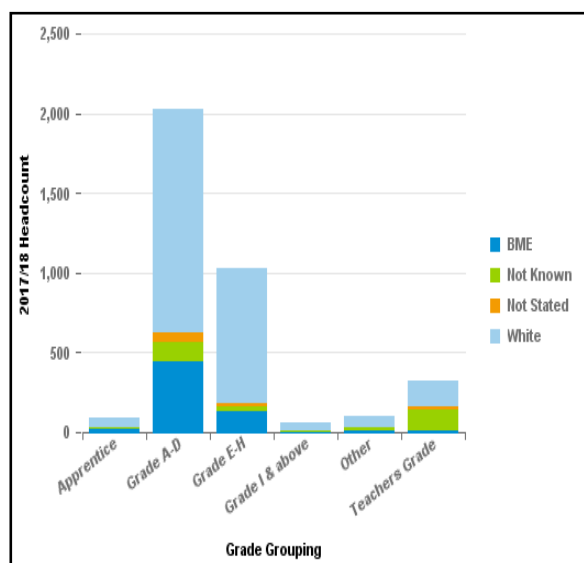
2017/18	% Female		% Male	
Apprentice	47	51.09%	45	48.91%
A-D	895	44.11%	1134	55.89%
E-H	462	45.03%	566	54.97%
I and above	16	28.07%	41	71.93%
Other	44	48.35%	42	51.65%
Teachers	187	58.26%	134	41.74%

4.2 Age and grade profile



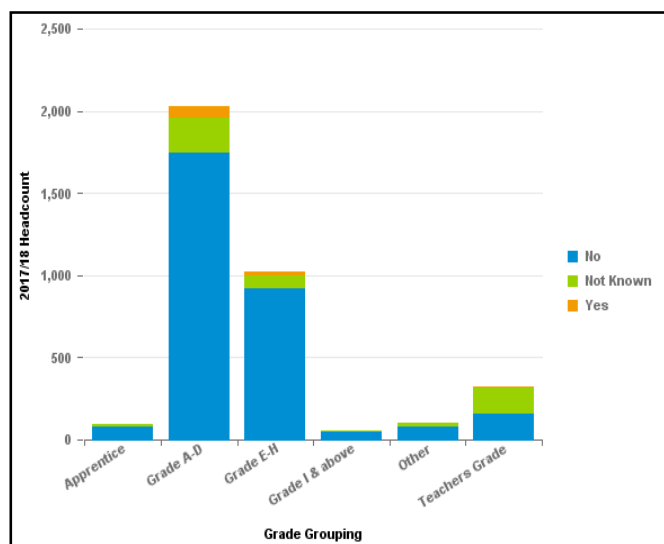
2017/18	24 and less	25 to 34	35 to 44	45 to 54	55 to 64	65 and Over
Apprentice	1.93%	0.44%	0.11%	0.03%	0.03%	
Grade A-D	3.08%	14.16%	12.37%	14.97%	10.13%	1.16%
Grade E-H	0.08%	4.60%	7.88%	8.76%	6.17%	0.77%
Grade I & above			0.17%	0.50%	0.74%	0.17%
Other	0.28%	0.44%	0.52%	0.74%	0.63%	0.30%
Teachers Grade	0.11%	1.93%	2.81%	2.64%	1.16%	0.19%
All Staff Total 2017/18	5.48%	21.57%	23.86%	27.64%	18.86%	2.59%
Total 2016/17	4.16%	22.08%	24.05%	28.73%	18.28%	2.7%

4.3 Ethnicity and grade profile



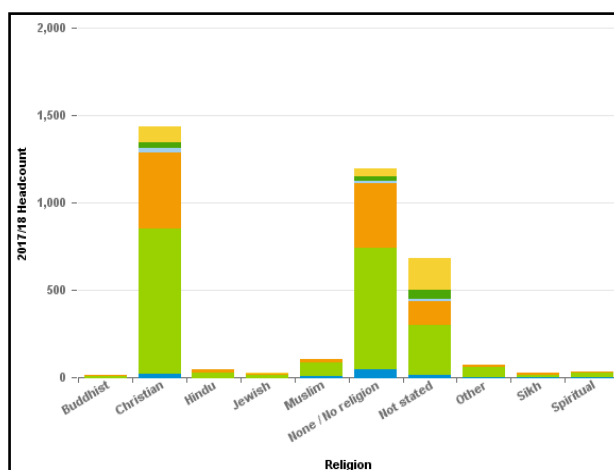
2017/18	BAME	Not known	Not stated	White
Apprentice	26.09%	10.87%	-	63.04%
Grade A-D	21.93%	5.82%	3.15%	69.10%
Grade E-H	12.67%	3.41%	1.75%	82.17%
Grade I+	3.51%	10.53%	3.51%	82.45%
Other	5.66%	22.64%	1.89%	69.81%
Teachers	2.18%	42.37%	5.61%	49.84%
All Staff Total 17/18	16.96%	9.10%	2.85%	71.08%
Total 16/17	16.50%	8.11%	3.19%	72.20%

4.4 Disability indicator and grade profile



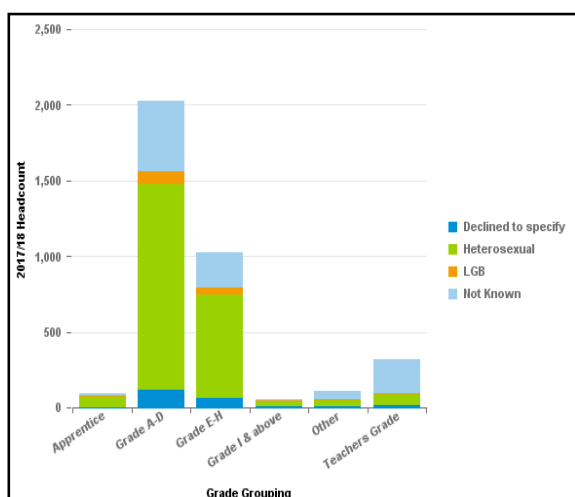
2017/18	No	Not Known	Yes
Apprentice	88.04%	10.87%	1.09%
Grade A-D	85.95%	10.50%	3.55%
Grade E-H	89.57%	7.60%	2.83%
Grade I+	89.47%	10.53%	
Other	72.64%	24.53%	2.83%
Teachers	49.84%	49.23%	0.93%
All Staff Total 17/18	83.48%	13.56%	2.96%
Total 16/17	84.02%	13.25%	2.73%

4.5 Religion and belief and grade profile



2017/18	Buddhist	Christian	Hindu	Jewish	Muslim	None / No religion	Not known	Other	Sikh	Spiritual
Apprentice		0.52%			0.22%	1.27%	0.33%	0.08%	0.06%	0.06%
Grade A-D	0.28%	22.83%	0.66%	0.33%	2.12%	19.17%	7.85%	1.62%	0.39%	0.63%
Grade E-H	0.14%	12.06%	0.52%	0.28%	0.52%	10.11%	3.83%	0.28%	0.30%	0.22%
Grade I & above		0.77%				0.39%	0.41%			
Other		0.85%		0.03%		0.74%	1.29%			
Teachers Grade	0.03%	2.45%		0.03%		1.21%	5.07%	0.03%		0.03%
All Staff Total 2017/18	0.45%	39.48%	1.18%	0.67%	2.86%	32.89%	18.78%	2.01%	0.75%	0/94%
Total 2016/17	0.38%	40.36%	1.2%	0.61%	2.79%	32.43%	18.39%	2.23%	0.79%	0.82%

4.6 Sexual orientation and grade profile



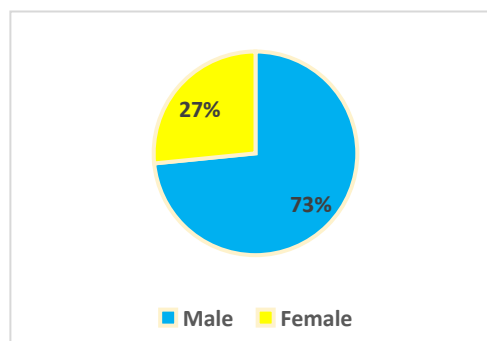
2017/18	Declined to specify	Heterosexual	LGBT	Not Known
Apprentice	0.03%	1.98%	0.22%	0.30%
Grade A-D	3.17%	37.46%	2.31%	12.94%
Grade E-H	1.71%	18.92%	1.27%	6.36%
Grade I & above	0.28%	0.83%	0.11%	0.36%
Other	0.22%	1.10%	0.11%	1.49%
Teachers Grade	0.39%	1.93%	0.19%	6.33%
All Staff Total 2017/18	5.8%	62.22%	4.21%	27.78%
Total 2016/17	5.73%	61.12%	4.10%	29.05%

5. Top 5% of Earners

The following section examines the profile of the top 5% of earners. This includes basic pay, London Weighting and Market Forces Supplements. There are currently 158 employees in the top 5% of earners in the City of London Corporation as at 31 March 2018. The ranking used to establish the top 5% of earners is based on the top 5% of gross salaries.

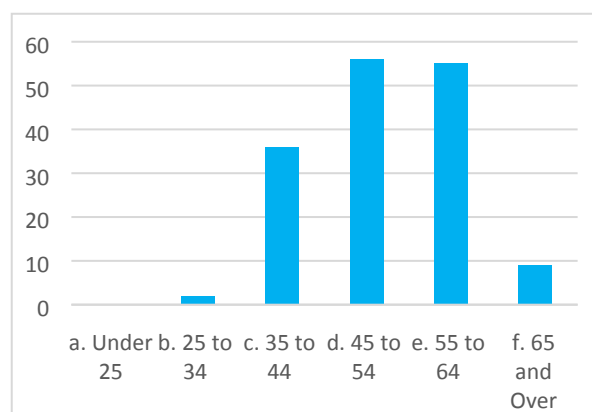
5.1 Top 5% earners by sex

Sex	Number	%	All staff %
Male	116	73.42%	54.34%
Female	42	26.58%	45.66%
Total	158	100.00%	100%



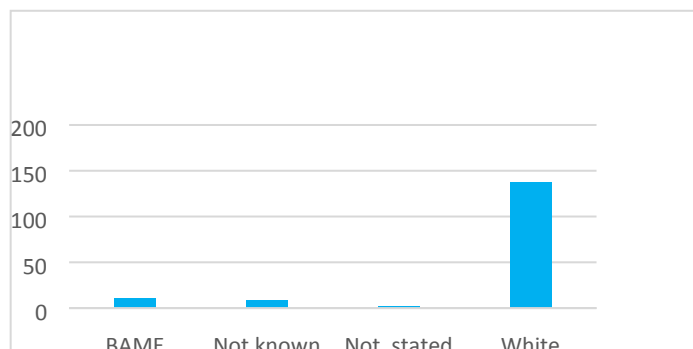
5.2 Top 5% earners by age

Age band	Number	%	All staff %
a. Under 25	0	0.00%	5.5%
b. 25 to 34	2	1.27%	21.67%
c. 35 to 44	36	22.78%	23.77%
d. 45 to 54	56	35.44%	27.61%
e. 55 to 64	55	34.81%	18.90%
f. 65 and Over	9	5.70%	2.55%
Total	158	100.00%	100%



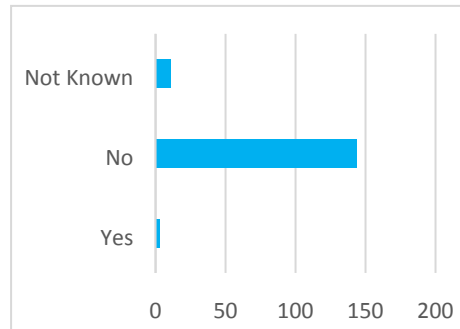
5.3 Top 5% earners by Ethnicity

Ethnicity	Number	%	All staff %
BAME	5	6.96%	16.97%
Not Known	8	5.06%	9.10%
Not Stated	2	1.27%	2.85%
White	137	86.71%	71.08%
Total	158	100%	100%



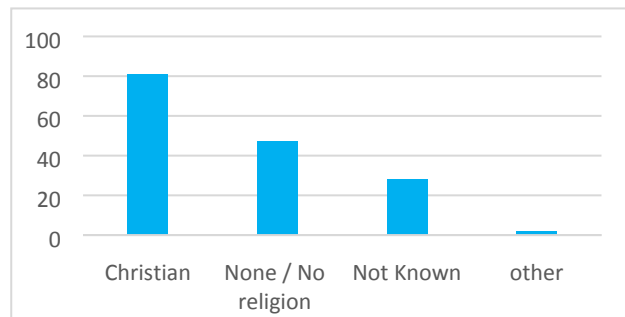
5.4 Top 5% earners by disability indicator

Disabled	Number	%	% all staff
Yes	3	1.90%	2.96%
No	144	91.14%	83.48%
Not Known	11	6.96%	13.56%
Total	158	100%	100%



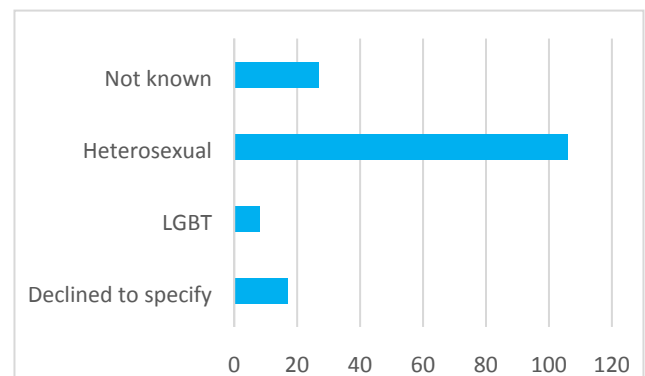
5.5 Top 5% earners by religion and belief

Religion	Number	%	All staff %
Christian	81	51.26%	39.57%
None / No Religion	47	29.75%	32.96%
Not Known	28	17.72%	18.59%
other	2	1.27%	8.88%
Total	158	100 %	100%



5.6 Top 5% earners by sexual orientation

Sexual Orientation	Number	%	All staff %
Declined to specify	17	10.76%	5.78%
LGBT	8	5.06%	4.21%
Heterosexual	106	67.09%	62.37%
Not known	27	17.09%	27.64%
Total	158	100.00%	100%



5.7 Gender Pay Gap

The Corporation's gender pay gap i.e. the pay discrepancy between men and women irrespective of their job or position for the 2016/17 workforce profile indicates that 55.21% of our workforce is male and 44.79% is female:

Table 1: The Corporation's gender pay gap ("snap shot" date of 31 March 2017)

Pay rates	Gender pay gap - the difference between women's pay and men's pay as a percentage of men's pay		
Mean hourly rate	8.1% Lower		
Median hourly rate	1.4% Lower		
Pay quartiles	Women	Men	Total
Proportion of women and men in the upper quartile (paid above the 75th percentile point)	43%	57%	100%
Proportion of women and men in the upper middle quartile (paid above the median and at or below the 75th percentile point)	51%	49%	100%
Proportion of women and men in the lower middle quartile (paid above the 25th percentile point and at or below the median)	47%	53%	100%
Proportion of women and men in the lower quartile (paid below the 25th percentile point)	46%	54%	100%
Bonus pay	Bonus Gender Pay Gap - the difference women's bonus and men's bonus as a % of men's bonus		
Mean bonus	14% Lower		
Median bonus	0%		
Bonuses paid	Women	Men	
Who received bonus pay	11%	13%	

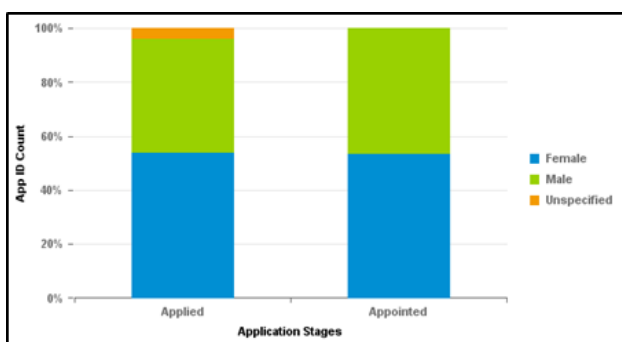
6. Turnover

Recruitment Data April 2017- March 2018

The turnover rate including leavers who were on a fixed term contract is 13.89% or excluding fixed term contracts, 10.39%. This figure indicates a lower rate compared to turnover across London Councils and a national level of 14.6% according to the Hay Group.

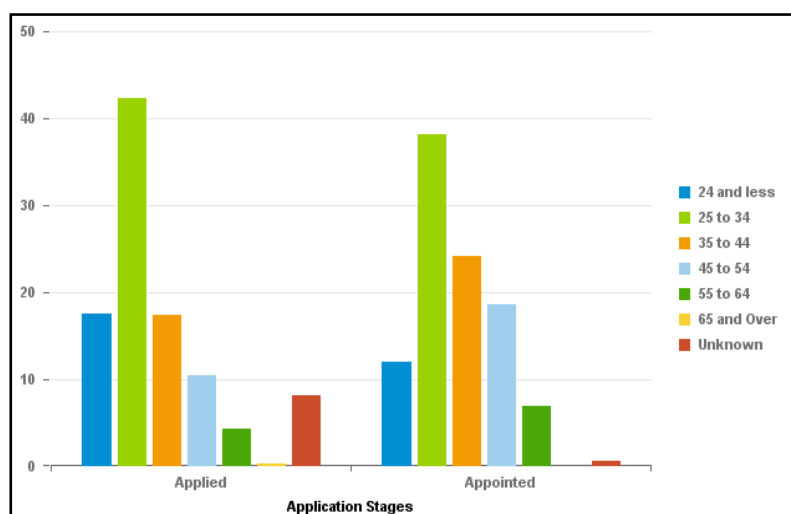
The following charts do not include all recruitment such as recruitment in schools and specialist recruitment where search and section organisations have been commissioned. There was a total of 12501 applicants for posts of which 357 were internal applicant.

6.1 Recruitment by sex



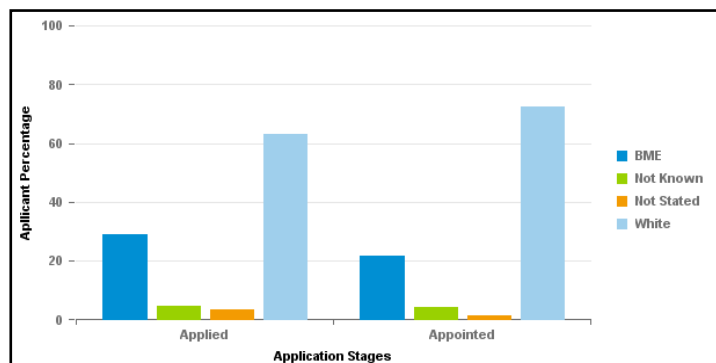
	Female	Male	Unspecified
Applied	53.87%	42.21%	3.92%
Appointed	53.34%	46.48%	0.17%

6.2 Recruitment by age



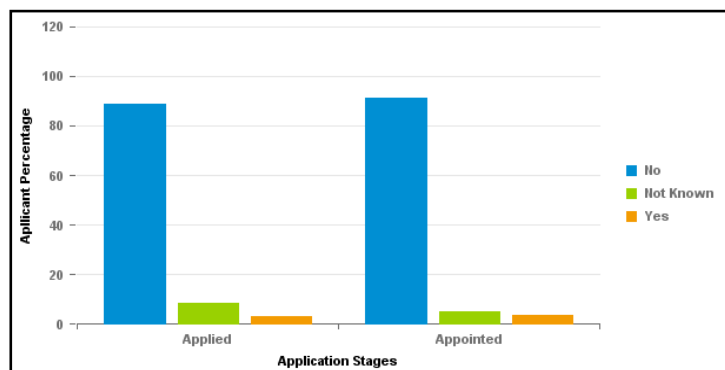
	Applied	Appointed
24 and less	17.51%	11.86%
25 to 34	42.30%	38.14%
35 to 44	17.31%	24.05%
45 to 54	10.33%	18.56%
55 to 64	4.23%	6.87%
65 and Over	0.28%	-
Not known	8.04%	0.52%
Total	100.00%	100.00%

6.3 Recruitment by ethnicity



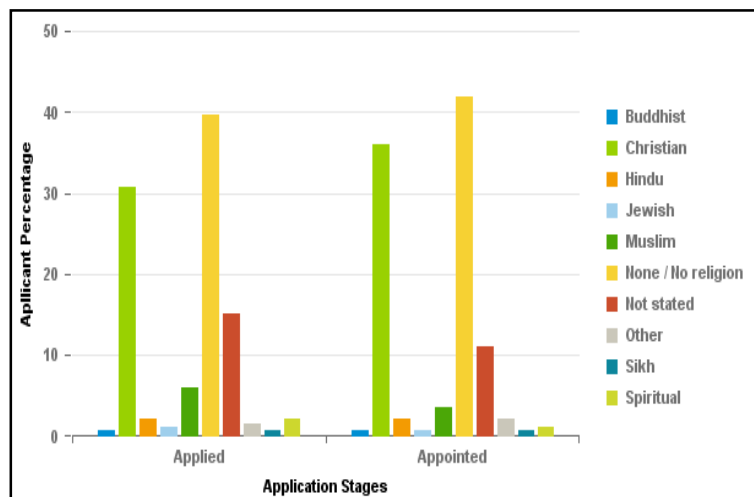
	Applied	Appointed
BAME	28.87%	21.82%
Not Known	4.59%	4.30%
Not Stated	3.51%	1.37%
White	63.03%	72.51%
Total	100.00%	100.00%

6.4 Recruitment by disability indicator



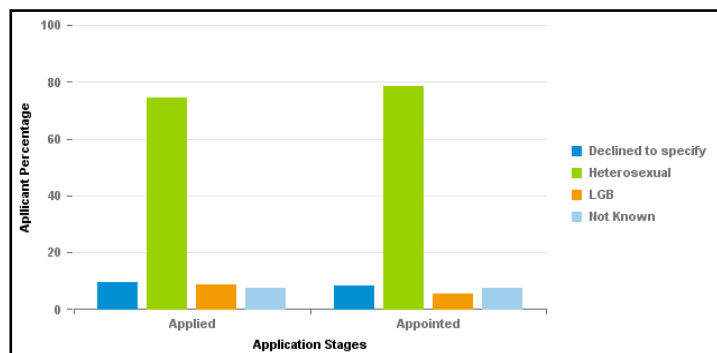
	Applied	Appointed
No	88.77%	91.41%
Not Known	8.27%	5.15%
Yes	2.96%	3.44%
Total	100.00%	100.00%

6.5 Recruitment by religion and belief



	Applied	Appointed
Buddhist	0.73%	0.69%
Christian	30.66%	36.08%
Hindu	2.17%	2.06%
Jewish	1.11%	0.69%
Muslim	5.98%	3.61%
None / No religion	39.72%	41.92%
Not known	15.18%	11.00%
Other	1.58%	2.06%
Sikh	0.68%	0.69%
Spiritual	2.19%	1.20%
Total	100.00%	100.00%

6.6 Recruitment by sexual orientation

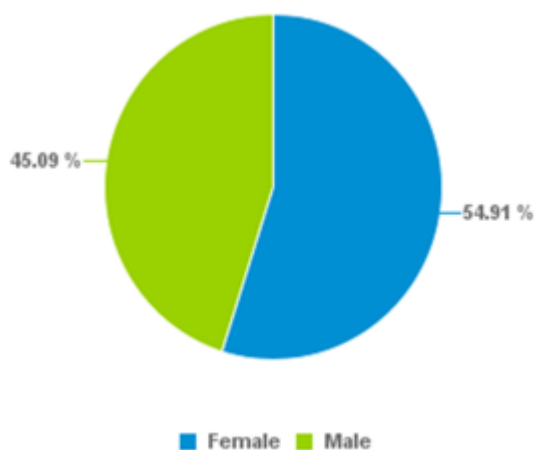


	Applied	Appointed
Declined to specify	9.39%	8.42%
Heterosexual	74.48%	78.69%
LGBT	8.73%	5.50%
Not Known	7.40%	7.39%
Total	100.00%	100.00%

7. Starter information April 2017 – March 2018

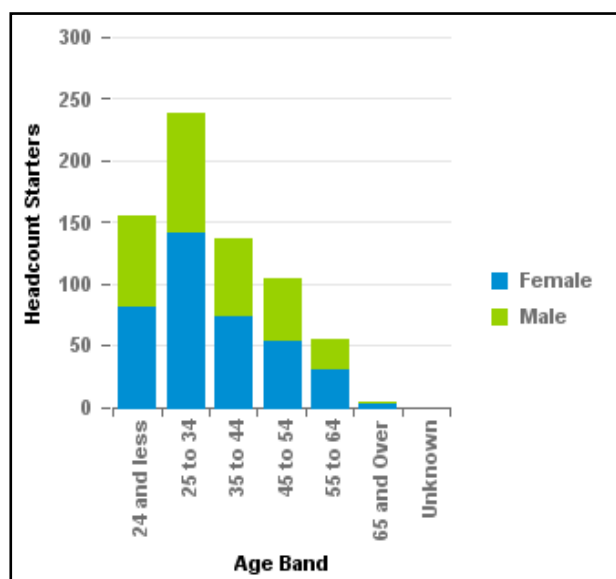
The tables below give a breakdown of the 692 new starters to the organisation including fixed/temporary terms employees. This data does not include those employees who already work for the City Corporation but have changed jobs.

7.1 Starters by sex



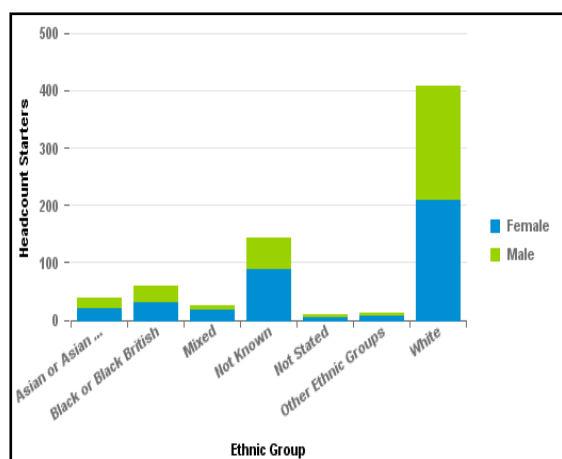
Sex	Headcount	%
Female	380	54.91%
Male	312	45.09%
Total	692	100.00%

7.2 Starters by age



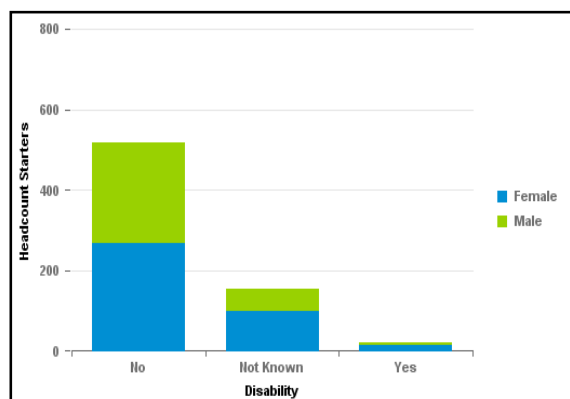
	Headcount Female	% Female	Headcount Male	% Male
24 and less	81	11.71%	74	10.69%
25 to 34	141	20.36%	97	14.02%
35 to 44	73	10.55%	64	9.25%
45 to 54	53	7.66%	51	7.37%
55 to 64	30	4.34%	24	3.47%
65 and Over	2	0.29%	2	0.29%
Total	380	54.91%	312	45.09%

7.3 Starters by ethnicity



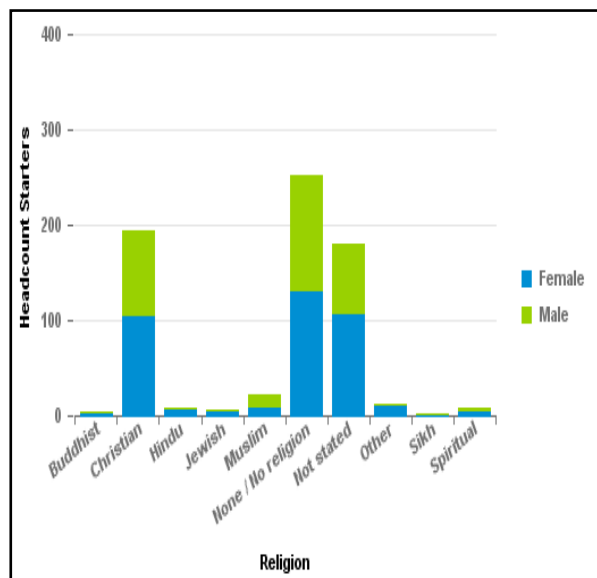
	Headcount Female	% Female	Headcount Male	% Male
Asian or Asian British	21	3.03%	17	2.46%
Black or Black British	31	4.48%	27	3.90%
Mixed	17	2.46%	7	1.01%
Not Known	89	12.86%	53	7.66%
Not Stated	5	0.72%	4	0.58%
Other Ethnic Groups	7	1.01%	6	0.87%
White	210	30.35%	198	28.61%
Total	380	54.91%	312	45.09%

7.4 Starters by disability indicator



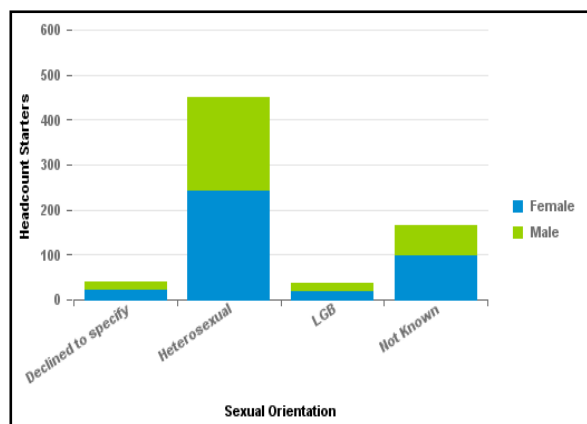
	Headcount Female	% Female	Headcount Male	% Male
No	269	38.87%	248	35.84%
Not Known	98	14.16%	56	8.09%
Yes	13	1.88%	8	1.16%
Total	380	54.91%	312	45.09%

7.5 Starters by religion and belief



	Headcount Female	% Female	Headcount Male	% Male
Buddhist	3	0.43%	2	0.29%
Christian	105	15.17%	89	12.86%
Hindu	7	1.01%	2	0.29%
Jewish	4	0.58%	2	0.29%
Muslim	9	1.30%	13	1.88%
None / No religion	131	18.93%	121	17.48%
Not known	106	15.32%	75	10.84%
Other	10	1.45%	2	0.29%
Sikh	1	0.14%	2	0.29%
Spiritual	4	0.58%	4	0.58%
Total	380	54.91%	312	45.09%

7.6 Starters by sexual orientation

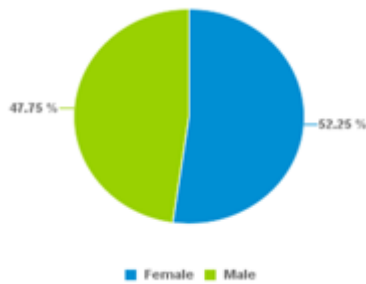


	Headcount Female	% Female	Headcount Male	% Male
Declined to specify	22	3.18%	17	2.46%
Heterosexual	241	34.82%	210	30.34%
LGBT	19	2.75%	17	2.46%
Not Known	98	14.16%	68	9.83%
Total	380	54.91%	312	45.09%

8. Leaver information April 2017 – March 2018

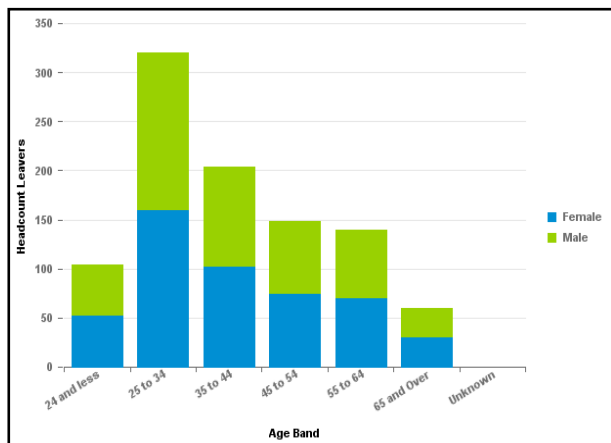
The tables below give a breakdown of the 488 leavers from the organisation.

8.1 Leavers by sex



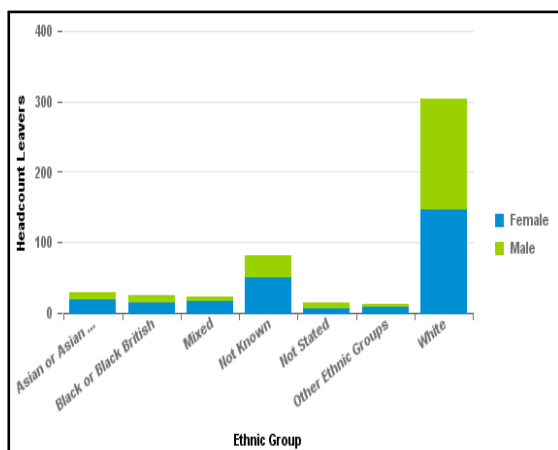
Sex	Percentage:	Headcount
Female	52.25%	255
Male	47.75%	233
Total	100.00%	488

8.2 Leavers by age



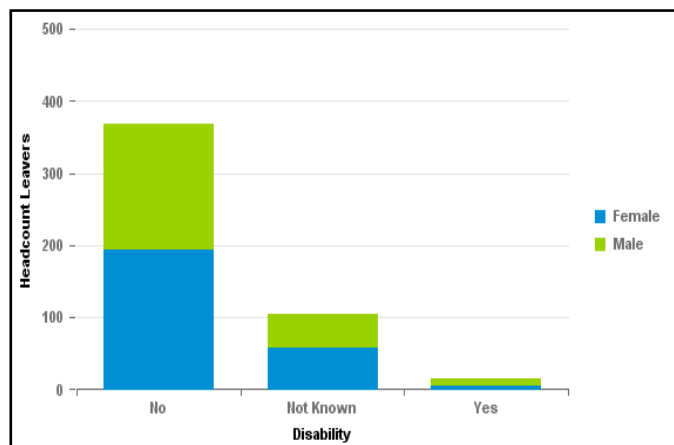
	Headcount Female	% Female	Headcount Male	% Male
24 and less	29	5.94%	23	4.71%
25 to 34	100	20.49%	60	12.30%
35 to 44	52	10.66%	50	10.25%
45 to 54	35	7.17%	39	7.99%
55 to 64	29	5.94%	41	8.40%
65 and Over	10	2.05%	20	4.10%
Unknown	-	-	-	-
Totals	255	52.25%	233	47.75%

8.3 Leavers by ethnicity



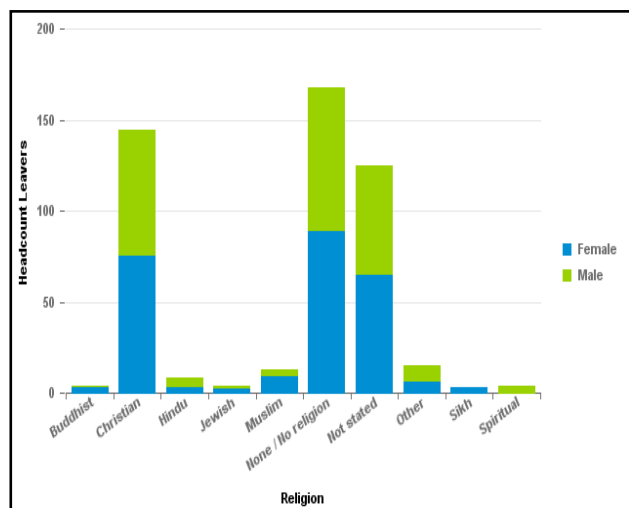
	Headcount Female	% Female	Headcount Male	% Male
Asian or Asian British	18	3.69%	11	2.25%
Black or Black British	14	2.87%	11	2.25%
Mixed	15	3.07%	8	1.64%
Not Known	49	10.04%	32	6.56%
Not Stated	5	1.02%	9	1.84%
Other Ethnic Groups	8	1.64%	4	0.82%
White	146	29.92%	158	32.39%
Total	255	52.25%	233	47.75%

8.4 Leavers by disability indicator



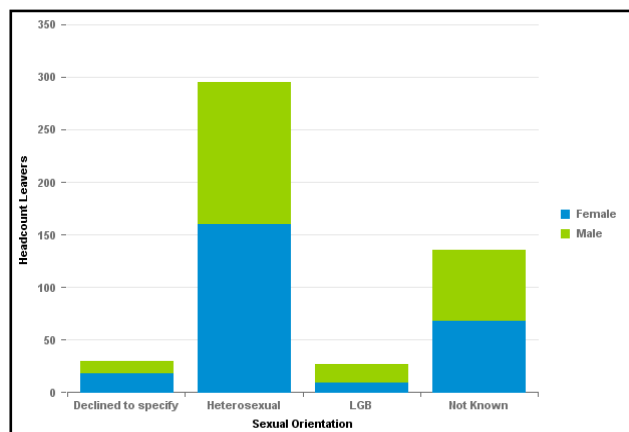
	Headcount Female	% Female	Headcount Male	% Male
No	194	39.75%	175	35.87%
Not Known	57	11.68%	47	9.63%
Yes	4	0.82%	11	2.25%
Total	255	52.25%	233	47.75%

8.5 Leavers by religion and belief



	Headcount Female	% Female	Headcount Male	% Male
Buddhist	3	0.61%	1	0.20%
Christian	75	15.37%	69	14.14%
Hindu	3	0.61%	5	1.02%
Jewish	2	0.41%	2	0.41%
Muslim	9	1.84%	4	0.82%
None / No religion	89	18.25%	79	16.20%
Not known	65	13.32%	60	12.30%
Other	6	1.23%	9	1.84%
Sikh	3	0.61%	-	-
Spiritual	-	-	4	0.82%
Total	255	52.25%	233	47.75%

8.6 Leavers by sexual orientation



	Headcount Female	% Female	Headcount Male	% Male
Declined to specify	18	3.69%	12	2.46%
Heterosexual	160	32.79%	135	27.67%
LGBT	9	1.84%	18	3.69%
Not Known	68	13.93%	68	13.93%
Total	255	52.25%	233	47.75%

Committee:	Date:
Establishment Committee	9 July 2018
Subject: Commercial Contract Management function update (City Procurement)	Public
Report of: The Chamberlain	For Information
Report author: Chris Bell, Commercial Director, Chamberlain's	

Summary

Establishment Committee in July 2016 approved a new structure within City Procurement to accommodate the newly created Commercial Contract Management team. This new team was created in line with recommendations from the Service Based Review process, specifically looking at procuring and managing contracted services with an aim to identify within the end to end process where improvements could be made. This report highlights the outputs from this new function 12 months on from its go live date of April 17 and reflects on lessons learned in establishing a new function.

Summary of achievements to date of the new Commercial Contract Management team:

- Developed and launched a best practice contract management toolkit which provides guidance, procedures, templates and toolkits for all contract managers to enhance our consistency, capability and abilities in managing all aspects of a contract.
- Savings of £318k delivered during 2017-18, with a pipeline of £1.27m live at present.
- A corporate supplier performance scorecard in place for our top forty suppliers which is due to be reported at Efficiency and Performance Sub Committee in July 18.
- The new function is leading on several corporate efficiency reviews (such as fleet, travel and events) as well as leading on the creation of business plans for income generation and commercial opportunities.

Despite a more challenging first twelve months than anticipated, the service is now fully functional and delivering commercial benefits, savings, best practice advice and a full service to assist departments in all aspects of contract management. We fully expect the savings of £1.27m to be achieved this year with an ongoing healthy pipeline of commercial opportunities growing with a mix of short, medium and long-term projects delivering sustainable strategic and commercial value to the organisation.

Recommendation(s)

Members of the Establishment Committee are asked to:

- Note the report.

Main Report

Background

1. Establishment Committee in July 2016 approved a new structure within City Procurement to accommodate the newly created Commercial Contract Management team, with five new job roles established and one role to be transferred from the IT Division, the aim was to have this new service “live” from April 2017. Further to this Policy and Resources Committee (also in July 2016) approved a baseline budget increase to fund this new service on a continued basis.
2. This new team was created in line with recommendations from the Service Based Review process, specifically looking at procuring and managing contracted services with an aim to identify within the end to end process where improvements could be made to:
 - a. Get us better value from contracts through greater commercialism.
 - b. Provide us with more control over contract performance.
 - c. Embed the appropriate amount of governance and reduce the risk to the Corporation and Customers.
 - d. Improve relationships with suppliers and how we engage.
 - e. This will enable The Corporation to get into a model of transitioning business needs into “fit for purpose” services.
 - f. Improve the income generation performance of the Corporation.
3. In summary it was felt the Corporation lacked in “commercial savvy” in relation to how it faces off to suppliers who often have dedicated commercial professionals in situ and that the Corporation was often weak in developing specifications.

New job roles and responsibilities

4. Once approval was given at Committee in July 2016, and the Job Evaluation process was completed during October 2016, the following new roles were established.
 - i. **Assistant Director of Commercial Contract Management** – This role is responsible for the development and change in introducing the new Contract Management Framework as well as managing the Commercial Contract Management team. The role acts as the lead contract dispute resource corporately.
 - ii. **Commercial Contract Manager(s) (three roles)** – These roles are responsible for commercial and strategic activity with a portfolio of strategic contracts and have targets set to achieve cost avoidance and efficiency savings across the life of the contracts within that portfolio. They also deliver reactive advice or interventions to contracts throughout the Corporation.
 - iii. **Commercial Contract Analyst** – This role supports the Commercial Contract Management team with detailed analysis on any contract data, market research or negotiation information required to support successful portfolio management.

Job role transferred from IT Division

5. As part of the establishment of the team, an existing role of IT Contract and Supplier Relationship Manager was transferred in the Commercial Contract Management team, for note this included the postholder. The duties of this role aligned closely with the new function and it was felt the postholder would benefit from working in an environment with peers delivering similar outputs.

Recruitment

6. A campaign to recruit into the vacant roles commenced in October 2016, with the three Commercial Contract Managers being successfully appointed and commencing their new roles between January and March 2017 in advance of the service go-live in April 2017. The campaigns saw us appoint a blend of skillsets, attracting a private sector account director, an experienced service contract manager and a category manager from within City Procurement.
7. The Commercial Contract Analyst role was also successfully recruited with an external private sector candidate appointed and commencing employment during March 2017.
8. Unfortunately, the recruitment of the Assistant Director role, and the expected commercial lead proved more difficult with two failed recruitment campaigns. A third campaign was run using recruitment agencies and a candidate was hired in April 2017 from a private sector consultancy firm. This appointment has ultimately proved not to be successful with the postholder leaving the organisation in December 2017. One of the existing Commercial Contract Managers is now in place as a nine-month temporary Assistant Director to stabilise the new service roll out.
9. Lessons learned from the failure to attract the correct calibre of candidate for the Assistant Director have been reviewed to ensure we get the appointment correct when hiring permanently for the role later in the financial year.

Achievements after 12 months

10. The team were established to achieve the following outcomes:

- i. *Improved and consistent contract management across the organisation, leading to improvements in, or maintenance of, quality delivery at a lower cost. **Outcomes to date:*** The CCM team has developed and launched a best practice contract management toolkit which provides guidance, procedures, templates and toolkits for all contract managers to enhance our consistency, capability and abilities in managing all aspects of a contract. This has been underpinned by corporate training on an ongoing basis.
- ii. *Deliver year on year cost avoidance, reducing scope creep, contract variations and service charges. **Outcomes to date:*** There has been savings of £318k delivered at the end of the first year, specifically in the areas of reducing scope creep, dispute resolutions and cost avoidance, with a pipeline of £1.27m live at present.
- iii. *Ensuring the proactive monitoring of performance of all objectives:*
 - i. e.g. Best Value, Social Responsibility (SR), Risk, Supply Chain resilience, Financial health, Reputation Risk, Billing and Health and

Safety. Outcomes to date: We have now established a corporate supplier performance scorecard that has had its first round of assessments and is due to be reported at Efficiency and Performance Sub Committee in July 18. The scorecards illustrate how our key suppliers are performing currently and document action plans where improvements are required to strengthen the contract.

- iv. *Look holistically at contracts throughout their life cycle. Outcomes to date:* The CCMs are now embedded in all governance and contract relationships to ensure all opportunities to improve contracts are considered as well as being a key contributor to service specifications ensuring the next generation contracts are enhanced to protect the corporation and harbour innovation and commercialism.
- v. *Deliver wider commercialism benefits. Outcomes to date:* The new function is leading on several corporate efficiency reviews (such as fleet, travel and events) as well as leading on the generation of business plans for income generation and commercial opportunities.

Moving forward

11. Despite a more challenging first twelve months than anticipated, the service is now fully functional and delivering commercial benefits, savings, best practice advice and a full service to assist departments in all aspects of contract management. We fully expect the savings of £1.27m to be achieved this year with an ongoing healthy pipeline of commercial opportunities growing with a mix of short, medium and long-term projects delivering sustainable strategic and commercial value to the organisation.

Conclusion

12. The proposed structure changes presented were to enable the establishment of the new Commercial Contract Management team approved at Efficiency and Performance Sub-Committee in March 2016 following recommendations of the Service Based Review group on Procuring and Management Services. The structure also sees some minor job title changes to the existing structure to bring City Procurement in line with corporate naming conventions.

Background Papers

- Establishment Committee - ***City Procurement restructure to incorporate new Commercial Contract Management team.*** Approved 19 July 2016.
- Efficiency and Performance Sub-Committee - ***Service Based Review of Procuring and Managing Services Final Report.*** Approved: 7 March 2016.

Chris Bell, Commercial Director, Chamberlain's
christopher.bell@cityoflondon.gov.uk

Committee:	Date:
Establishment Committee	9 July 2018
Subject: Report of Action Taken Under Delegated Powers	Public
Report of: Town Clerk	For Information
Report author: Amanda Thompson	

Summary

This report advises Members of action taken by the Town Clerk in consultation with the Chairman and Deputy Chairman, in accordance with Standing Order Nos. 41(b) in relation to the following:-

Mental Health and Well Being Policy

Recommendation

To note the action taken since the last meeting of the Committee.

Main Report

At its meeting on 25 April the Committee received a report of the Director of HR detailing the proposed *Mental Health and Wellbeing Policy*, the aim of which would contribute to outcomes required in the new corporate plan: *people enjoy good health and wellbeing* by providing a framework that would encourage and facilitate working practices and services and help support employee health and wellbeing.

In considering the Policy, the Committee acknowledged that chronic stress could have a serious impact on physical as well as psychological health, and agreed that it should be amended to explicitly recognise the interconnectedness between physical and mental health. The approval of the final wording of the Policy was therefore delegated to the Town Clerk in consultation with the Chairman and Deputy Chairman.

The wording of the Mental Health and Wellbeing Policy has now been amended by the Director of HR and together with a number of minor changes, the following has been added to the end of paragraph 5.3 as follows:-

“Chronic stress can have a serious impact on physical as well as psychological health due to sustained high levels of the chemicals released when pressure becomes excessive. Over the long term, people who react more to stress have a higher risk of cardiovascular and other diseases”.

This page is intentionally left blank

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

Document is Restricted

This page is intentionally left blank

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

Document is Restricted

This page is intentionally left blank