



Establishment Committee

Date: THURSDAY, 5 SEPTEMBER 2019

Time: 11.00 am

Venue: COMMITTEE ROOM - 2ND FLOOR WEST WING, GUILDHALL

Members:

| | |
|---|-------------------------|
| Deputy Edward Lord (Chair) | Jeremy Mayhew |
| Deputy Kevin Everett (Deputy Chairman) | Sylvia Moys |
| Randall Anderson | Deputy Joyce Nash |
| Deputy Keith Bottomley | Barbara Newman |
| Alderman Sir Charles Bowman | Deputy Richard Regan |
| Tracey Graham | Deputy Elizabeth Rogula |
| Deputy the Revd Stephen Haines | Ruby Sayed |
| Christopher Hayward | Deputy Philip Woodhouse |
| Deputy Jamie Ingham Clark | |

Enquiries: John Cater
tel. no.: 020 7332 1407
john.cater@cityoflondon.gov.uk

Lunch will be served in Guildhall Club at 1pm

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 of the meeting held on Wednesday 10th July 2019.

For Decision
(Pages 1 - 8)

4. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

For Information
(Pages 9 - 12)

5. **PUBLIC DRAFT MINUTES OF THE MEETING OF THE SENIOR REMUNERATION SUB-COMMITTEE**

To note the draft public minutes of the Senior Remuneration Sub-Committee.

For Information
(Pages 13 - 16)

Strategic Business

6. **BREXIT UPDATE**

The Director of Human Resources to be heard.

For Information

7. **BAN THE BOX**

Report of the Director of HR.

For Discussion
(Pages 17 - 24)

8. **JOB FAMILIES**

Report of the Director of HR

For Discussion
(Pages 25 - 30)

For Formal Decision

9. **PREMATURE BABY LEAVE SCHEME**

Report of the Director of HR.

For Decision
(Pages 31 - 38)

10. **SPECIAL LEAVE ENTITLEMENT FOR EMPLOYEE VOLUNTEERING**

Report of the Chief Grants Officer & Director of City Bridge Trust

For Decision
(Pages 39 - 44)

For Information

11. **HR DASHBOARD - JUNE 2019**

Report of the Director of HR.

For Information
(Pages 45 - 62)

12. **ESTABLISHMENT OUTTURN REPORT 2018/19**

Joint Report of the Town Clerk, the Chamberlain and the Comptroller and City Solicitor.

For Information
(Pages 63 - 68)

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

14. **ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT**

15. **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

16. **NON-PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on Wednesday 10th July 2019.

For Decision

17. **GUILDHALL WORKPLACE UTILISATION PROGRAMME - SMART WORKING UPDATE REPORT**

Joint Report of the Town Clerk and the City Surveyor.

For Decision
(Pages 71 - 80)

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

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

Part 3 - Confidential Agenda

20. **CONFIDENTIAL MINUTES**

To agree the Confidential minutes of the last meeting held on 10 July 2019.

For Decision

For Formal Decision

21. **MARKET FORCES SUPPLEMENT FOR HEAD OF POLICE AUTHORITY FINANCE**

Report of the Chamberlain.

For Decision

22. **PORT HEALTH - SERVICE BASED REVIEW - STAFFING UPDATE**

Report of the Director of Consumer Protection and Markets Operations.

For Decision

Strategic Business

23. **CONSULTATION TIMETABLE**

Report of the Director of HR.

For Decision

For Information

24. **TOWN CLERK'S UPDATE**

The Town Clerk to be heard.

For Information

25. **CONFIDENTIAL DRAFT MINUTES OF THE MEETING OF THE SENIOR REMUNERATION SUB-COMMITTEE**

To note the confidential draft public minutes of the Senior Remuneration Sub-Committee.

For Information

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ESTABLISHMENT COMMITTEE Wednesday, 10 July 2019

Draft Minutes of the meeting of the Establishment Committee held at Guildhall on
Wednesday, 10 July 2019 at 11.00 am

Present

Members:

Deputy Edward Lord (Chairman)
Deputy Kevin Everett (Deputy Chairman)
Randall Anderson
Deputy Keith Bottomley
Alderman Sir Charles Bowman
Tracey Graham
Deputy Jamie Ingham Clark
Jeremy Mayhew
Sylvia Moys
Deputy Joyce Nash
Barbara Newman
Deputy Richard Regan
Deputy Elizabeth Rogula
Ruby Sayed

Officers:

| | |
|-------------------------|----------------------------------|
| John Barradell | - Town Clerk and Chief Executive |
| Angela Roach | - Assistant Town Clerk |
| Michael Cogher | - Comptroller and City Solicitor |
| Janet Fortune | - Town Clerk's Department |
| Tracey Jansen | - Human Resources |
| Marion Afoakwa | - Human Resources |
| Christopher Bell | - Chamberlain's Department |
| Sean Green | - Chamberlain's Department |
| Kate Smith | - Town Clerk's Department |
| Steve Eddy | - Barbican Centre |
| Alethea Marshall | - Barbican Centre |
| John Cater | - Town Clerk's Department |
| Jamie Rose | - Town Clerk's Department |
| Graeme Quarrington-Page | - Chamberlain's Department |
| Andrew Buckingham | - Town Clerk's Department |

1. APOLOGIES

Apologies for absence were received from Deputy the Revd Stephen Haines, Christopher Hayward and Deputy Philip Woodhouse.

The Chair welcomed Alderman Sir Charles Bowman and Tracey Graham to their first meeting of the Committee.

Members noted that Jamie Ingham Clark was appointed as Finance Committee's representative for 2019/20.

The Chair proposed that Tracey Graham should be appointed to the membership of the Senior Remuneration Sub-Committee.

RESOLVED – that Members approved the appointment of Tracey Graham to the Senior Remuneration Sub-Committee.

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 of the meeting held on 30th April 2019 be approved as an accurate record, subject to the following amendment:

Amend the paragraph under item 2 to the following: "Apologies for absence were received from Deputy The Rev'd Stephen Haines and it was noted that Alderman Charles Bowman would join the Committee at its next meeting, following the expiry of purdah relating to the late **Lord** Mayor, after the Easter Banquet that was due to take place in May."

4. **OUTSTANDING ACTIONS REPORT**

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

1. Inclusive Recruitment: Ban the Box

Officers informed Members that a full report was due to be presented in September. The Assistant Director of HR provided an oral update, she stressed that several issues still needed to be resolved, specifically areas such as vetting, convictions and DBS checks where boxes were still needed; whilst flexibility in these areas is possible, currently City officers are reluctant to dilute or meaningfully alter our ability to check the backgrounds of potential candidates.

2. Guildhall Workplace Utilisation – Joint session of Establishment and CASC Members

The Chair reminded Members that an informal discussion concerning Smart Working and Accommodation would take place for Establishment Committee and Corporate Asset-Sub Committee Members at the rising of the CASC meeting on 11th July. DISCHARGE

3. Cycle of Meetings

A Report concerning the cycle of Establishment Committee meetings was on the agenda for today's meeting. DISCHARGE

RESOLVED – That the Committee notes the report.

5. **BREXIT UPDATE**

The Committee received a brief joint verbal update regarding Brexit from the Town Clerk and the Assistant Director of HR.

In response to a query, the Assistant Director of HR confirmed that the City has assisted staff from the EU with their applications for settled status and would continue to do so.

RESOLVED – that the Committee noted the Report.

6. **FREQUENCY OF MEETINGS AND WORKLOAD**

The Committee received a Report of the Town Clerk concerning the frequency and workload of Establishment Committee meetings since 2017.

The Chair noted that, in terms of number of items, the last meeting of the Committee was an outlier with 44. Members were reassured that the current cycle of one meeting every six weeks was sufficient going forward.

RESOLVED – that the Committee approved the following:

The retention of the current frequency of meetings i.e. the Committee to meet every six weeks, with the introduction of any further ad hoc meetings at the discretion of the Chair.

7. **THE STARRING SYSTEM ON ESTABLISHMENT COMMITTEE AGENDAS**

The Chair proposed that, given the imminent Governance Review, the paper should be withdrawn and re-issued at a later date.

RESOLVED – that the Committee agreed the paper should be withdrawn.

8. **DRAFT PUBLIC SECTOR EXIT PAYMENT REGULATIONS**

The Committee received a Report of the Director of HR concerning draft public sector exit payment regulations.

In response to several queries, officers confirmed that:

- The LGA circulated a draft of their in-depth assessment of the implications of the introductions of the regulations; this was considered to address the concerns the Corporation identified.
- There is no retrospective enforcement of the Cap.
- It's not possible to undertake forward projections of staff who could be impacted by the Exit Cap
- In respect of notice periods exceeding 3 months, if staff are required to work their notice or are placed on garden leave during their notice period, then the Cap does not apply.

- In addition, the Town Clerk stressed that this was still at a draft stage in Parliament. A full Report, detailing the implications of the new regulations would be circulated when proposals were at a more mature stage.

RESOLVED – that the Committee noted the Report.

9. **EQUALITY AND INCLUSION UPDATE**

The Committee received a Report of the Director of HR updating Members on the 2019-2020 Equality and Inclusion Action Plan.

officers confirmed that:

- they were committed to achieving the 45% target within the deadline (2023); they would however examine ways in which a more granular approach could be taken, namely drilling down into the statistics by department;
- any workstreams emerging from the action plan would be funded from the HR department's local risk budget.

Members noted the development of the race charter, they requested that more thought needed to be put into how the Corporation tracked and measured progress in this area.

Officers responded that they would return in September with further details.

In addition, the Chair asked Members to endorse the 2019/20 Action Plan. Members agreed to endorse.

RESOLVED – that the Committee noted the Report and endorsed the Action Plan.

10. **ANNUAL EMPLOYEE PROFILE REPORT 2018 - 2019**

The Committee received a Report of the Director of HR concerning the employee profile update for 2018-19.

- The Chair welcomed the Report but asked why was it that the Corporation was not asking about all the Equality Act protected characteristics, namely:
 - gender reassignment
 - marriage and civil partnership
 - pregnancy and maternity
- The Assistant Director of HR responded that part of the solution to this missing data was due to the delay in the rollout of the new HR System. Interim solutions were being established in the meantime.

- After a discussion about the merits of setting targets for ensuring representation among the Corporation's workforce reflected the working population, the Assistant Director responded that, whilst a lot more work needed to be done to reach all sections of society, targets are, inherently, difficult to define.
- officers confirmed that staff have been informed about what constitutes disability under the 2010 Equality Act.
- Members asked officers to carry a deep dive on two or three areas in the Report and present their findings to a future meeting of the Establishment Committee. Areas could include, for example, the gender pay gap and/or bonuses data.

RESOLVED – that the Committee noted the Report.

11. HR SUPPORT FOR THE FUNDAMENTAL REVIEW

The Committee received a Report of the Director of HR concerning the departmental support for the Fundamental Review.

RESOLVED – that the Committee noted the Report

12. SIMPLIFICATION OF HR PROCESSES

The Committee received a Report of the Director of HR concerning simplification of HR processes.

- Members queried why no financial implications were set out in the paper, officers would review and update the Report in due course.
- Officers confirmed that the Long Service Awards still took place, however, the associated lunches had been abandoned several years ago.
- Officers confirmed that formal disciplinary hearings were still an option but were no longer viewed as a first step. Increasingly the department was seeing more individuals accepting penalties before their dispute reached a formal hearing.
- The Assistant Director of HR added that the first aid provision across the Guildhall complex had improved recently, thanks to officers focusing on training staff (such as the security personnel) that were positioned in the areas of Guildhall with the most footfall.

RESOLVED – that the Committee noted the Report.

13. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

A Question was raised as follows -

A Member asked about the status of the proposed Rewards and Remuneration Review.

Officers confirmed that the department was continuing to examine options in this area, specifically work around defining “job families”, Chief Officer pay scales and contribution pay. The Chair asked officers to provide an overview paper at the next meeting of the Committee.

14. ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT

The following two items of urgent business were raised –

1. The Chair asked Members to note the change in meeting date of the Committee in September. The new meeting would take place on the 5th at 11am, the change was due to officer availability in early September.
2. The Chair proposed introducing an appraisal process for their performance. The Deputy Chairman would lead the process with Members inputting their views and scores.
 - Members welcomed the proposal and suggested that any process should include an appraisal of the general effectiveness of the Committee as a whole.
 - The Town Clerk cautioned Members that officers, whilst able to assist in terms of the administration of the process should remain neutral when it came to appraising Members. The Town Clerk and the Director of HR would review options and come back to Members in the autumn.

15. 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.

16. NON-PUBLIC MINUTES

The non-public minutes of the meeting held on 30th April 2019 were approved.

17. OUTSTANDING ACTIONS REPORT

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

18. TAKING FORWARD THE RESULTS OF THE EMPLOYEE ENGAGEMENT SURVEY

The Committee received a Report of the Director of HR concerning the Employee Engagement Survey.

19. 2020 IT SERVICES PROGRAMME - PREPARATION OF TENDER

The Committee received a Report of the Director of IT concerning the Corporation’s IT Services.

20. **LONDON BOROUGHS' LEGAL ALLIANCE (LBLA) BARRISTERS FRAMEWORK PROCUREMENT STAGE 1**

The Committee received a Report of the Chamberlain concerning the London Boroughs' Legal Alliance.

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

There were no questions.

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

There was one item of urgent business which was discussed during the confidential section of the agenda.

The meeting ended at 12.50 pm

Chairman

Contact
john.cater@cityoflondon.gov.uk

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Establishment Committee – Outstanding Actions

| Item | Date | Action | Officer responsible | To be completed/ progressed to next stage | Progress Update |
|------|------------------|--|-----------------------------|---|---|
| 1. | 26 February 2019 | <u>Inclusive Recruitment: Ban the Box</u> Officers informed Members that a full report was due to be presented in September. The Assistant Director of HR provided an oral update, she stressed that several issues still needed to be resolved, specifically areas such as vetting, convictions and DBS checks where boxes were still needed; whilst flexibility in these areas is possible, currently City officers are reluctant to dilute or meaningfully alter our ability to check the backgrounds of potential candidates. | Director of Human Resources | July/September 2019 | A full report is included September's agenda regarding how the 'ban the box' initiative would be implemented. At the July meeting the Director provided a verbal update. |
| 2. | 26 February 2019 | <u>Guildhall Workplace Utilisation Programme</u> Following receipt of a report where Members approved the six design principles to support the Smart Working Programme, Members asked to be kept updated as to progress throughout 2019 | City Surveyor | July/September 2019 | A joint "Smart Working" meeting of CASC & Establishment Committee Members is being considered – the Town Clerk to update Members at 10 th July meeting. An update Report <i>Guildhall Workplace Utilisation Programme - Smart Working Update Report</i> is included in September's agenda |

| Item | Date | Action | Officer responsible | To be completed/ progressed to next stage | Progress Update |
|------|--------------|--|---------------------|---|--|
| 3. | 10 July 2019 | <p><u>Race Charter</u> Members noted the development of the race charter, they requested that more thought needed to be put into how the Corporation tracked and measured progress in this area. Officers responded that they would return in September 2019 with further details.</p> | Town Clerk | September 2019 | Report to be submitted in October once work is completed |
| 4. | 10 July 2019 | <p><u>Annual Employee Profile Report 2018 – 2019</u> Members asked officers to carry a deep dive on two or three areas in the Report and present their findings to a future meeting of the Establishment Committee. Areas could include, for example, the gender pay gap and/or bonuses data.</p> | Director of HR | October/November 2019 | Report to be submitted in the autumn |
| 5. | 10 July 2019 | <p><u>Public Questions</u> A Member asked about the status of the proposed Rewards and Remuneration Review.</p> <p>Officers confirmed that the department was continuing to examine options in this area, specifically work around defining “job families”, Chief Officer pay scales and contribution pay. The Chair asked officers to provide an overview paper at the next meeting of the Committee.</p> | Director of HR | September 2019 | Report concerning “Job Families” is included in September’s agenda |

| Item | Date | Action | Officer responsible | To be completed/ progressed to next stage | Progress Update |
|------|--------------|--|-------------------------------|---|--|
| 6. | 10 July 2019 | <u>AOB - Chair's appraisal process</u> The Chair proposed carrying out an appraisal for their performance – this would be conducted by Establishment Committee Members with the assistance of officers. | Town Clerk and Director of HR | November 2019 | The Town Clerk and the Director of HR would review options and come back to Members in the autumn. |

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SENIOR REMUNERATION SUB-COMMITTEE

Monday, 29 July 2019

Minutes of the meeting of the Senior Remuneration Sub-Committee held at the Guildhall EC2 at 11.30 am

Present

Members:

Deputy Edward Lord (Chair)
Deputy Catherine McGuinness (Deputy Chair)
Deputy Keith Bottomley
Simon Duckworth
Deputy Kevin Everett
Tracey Graham
Deputy Jamie Ingham Clark
Jeremy Mayhew
Ruby Sayed

Officers:

| | |
|-----------------|---|
| John Barradell | - Town Clerk and Chief Executive |
| Chrissie Morgan | - Director of Human Resources |
| Angela Roach | - Assistant Town Clerk and Director of Members Services |

The Chair welcomed Tracey Graham, Cristopher Hayward and Jamie Ingham-Clark to their first meeting of the Sub-Committee.

1. APOLOGIES

An apology for absence was received from Alderman Sir David Wootton.

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

There were no declarations.

3. TERMS OF REFERENCE OF THE SUB-COMMITTEE

The Sub-Committee considered its terms of reference.

The Chair referred to the Sub-Committee's terms of reference replicating the Grand Committee's responsibilities in relation to the remuneration of senior officers. He advised that it was always intended that going forward, its remit should be looked at in more detail.

In answer to a question about whether the Sub-Committee's terms of reference had been examined in line with the latest corporate governance principles, the Town Clerk explained that the City Corporation had elected to operate all its

activities in line with the rules applicable to local government rather than a public limited company. He advised that it was highly likely that a governance review would be undertaken alongside the Fundamental Review and a review of Committees and their terms of reference would form part of that.

Several Members commented that any review of the Sub-Committee's remit should form part of the overall governance review and not be undertaken in isolation.

RESOLVED – that the terms of reference of the Sub-Committee be noted and that a review of the terms of reference of the Sub-Committee be undertaken as part of the proposed comprehensive governance review.

4. **MINUTES**

The public minutes of the meeting held on 31 January 2019 were approved.

5. **SENIOR MANAGEMENT GROUP CONTRIBUTION PAY**

The Sub-Committee considered a joint report of Town Clerk and the Director of Human Resources concerning the process for the remuneration of Officers in the Senior Management Group (SMG).

In answer to a number of questions, the Director of HR explained the history and difficulties associated with SMG job evaluation and pay. She confirmed that individual posts were benchmarked mark by using Croners, a benchmarking database the City Corporation subscribed to. As part of the methodology for determining senior officer pay, Croners incorporated a number of comparators, which amongst other things included pensions and the provision of a company car.

It was noted that salary scale for non-teaching staff at the City of London Schools were the same as City Corporation employees. However, teachers' pay formed part of a separate pay scale.

RESOLVED – That the report be noted, and that consideration be given to the proposals for pay progression and contribution payments for members of the SMG in the non-public, confidential, part of the meeting.

6. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB-COMMITTEE**

There were no questions.

7. **ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT**

There were no urgent items.

8. **EXCLUSION OF THE PUBLIC**

MOITION – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following item on the grounds that it

involves the likely disclosure of exempt information as defined in Part 1 of the Schedule 12 A of the Local Government Act:-

| Item Nos. | Paragraph(s) in Schedule 12A |
|------------------|-------------------------------------|
| 9, 10,11 and 12 | 1 and 4 |

Part 2 - Non-Public Confidential Agenda

9. MINUTES

The non-public confidential minutes of the meeting held on 31 January 2019 were approved.

The Director of Human Resources withdrew from the meeting whilst the following item was discussed.

10. SENIOR MANAGEMENT GROUP REMUNERATION

The Sub-Committee considered a report of the Town Clerk concerning the salary scale for two members of the Senior Management Group (SMG).

During discussion reference was made to the need for more information on benchmarking of the two posts. Members also questioned whether it was appropriate to review the salary scales in advance of the Fundamental Review exercise. Several Members were of the view that the proposals should be considered following the outcome of the Review.

RESOLVED – That:-

1. the report be noted, and that consideration of the proposal be deferred pending the outcome the fundamental review; and
2. the report to a future meeting be revised to include details on how the two posts were benchmarked.

11. SENIOR MANAGEMENT GROUP CONTRIBUTION PAY

A schedule of the proposed contribution pay for individual members of the Senior Management Group (SMG) was laid round the table.

The Town Clerk advised the Sub-Committee of the reasons for awarding the various percentages, the key performance indicators and other things he considered when reaching his conclusions.

In response to a suggestion for providing the Sub-Committee with more detail on the quantitative assessments, a Member erred on the side of caution. He reminded Members that it was not the job of the Sub-Committee to manage staff across the piece – that was the job of the executive. The Director of HR added to this by explaining the history of performance related pay and

reminding Members that the Sub-Committee was set up to provide oversight and scrutiny on the Chief Executive's thinking.

The Sub-Committee proceeded to consider the award of individual contribution pay in turn and noted the supporting statements.

RESOLVED – That the proposed level of contribution pay for SMG Officers as set out in the schedule be noted.

The Town Clerk withdrew whilst the following item was discussed.

12. TOWN CLERK AND CHIEF EXECUTIVE CONTRIBUTION PAY

The Sub-Committee proceeded to discuss the proposed contribution pay in relation to the Town Clerk. It was noted that the Chair of the Policy and Resources Committee was responsible for assessing his performance and any remuneration in consultation with the Director of Human Resources.

Detailed discussion ensued on the level of the proposed contribution pay during which, amongst other things, Members questioned whether the current appraisal process was adequate and whether any improvements could be made.

RESOLVED – that the proposed level of contribution pay be agreed, and Director of HR be requested to report back on options for a more formal appraisal process for the Town Clerk to a future meeting of the Sub-Committee.

The meeting closed at 1.45pm

Chair

Contact Officer: Angela Roach
Angela.roach@cityoflondon.gov.uk
Tel No. 020 7332 1418

| | |
|---|-----------------------|
| Committee | Dated: |
| Establishment Committee | 5 September 2019 |
| Subject: Ban the Box | Public |
| Report of: Chrissie Morgan, Director of HR | For Discussion |
| Report author: Carol Simpson, Strategic HR Projects Manager | |

Summary

'Ban the Box' is a campaign which calls on UK employers to give ex-offenders a fair chance to compete for jobs by removing the 'tick box' from their application forms asking about criminal convictions, and only asking this question later in the recruitment process; unless the post has a regulatory or other legal reason for not doing so.

Ban the Box will not result in everybody with a criminal record gaining work, but it importantly reduces the potential for rejection on what could be irrelevant convictions at the application stage; and instead focuses on the applicants' skills, experience and ability irrespective of previous convictions.

The City of London Corporation currently asks job applicants about their criminal conviction record on all job application forms. This report considers the implications for the City Corporation to change this practice and sign up to the Ban the Box campaign.

Recommendations

Members are asked to discuss the report and consider whether the Establishment Committee endorses the development of a policy in support of the Ban the Box campaign.

Main Report

Background

1. Ban the Box originated in America during the late 1990s as a campaign by civil rights groups and advocates for ex-offenders, aimed at removing the tick box that asks if applicants have a criminal record from job application forms. As part of 'Fair Chance Hiring' the aim is to ensure that anything that makes it harder for ex-offenders to find a job makes it likelier they will re-offend.
2. Employers instead ask any questions about criminal convictions later in the recruitment process, thereby enabling job applicants to be assessed first on their skills, experience and ability for the role rather than past mistakes. However, roles involving working with children and/or vulnerable adults are exempt.

3. In October 2013 the Ban the Box Campaign was launched in the UK by the corporate and social responsibility advocacy charity Business in the Community (BITC), part of the Prince of Wales' Responsible Business Network. To date 130 employers have signed up to Ban the Box, covering more than 839,000 roles¹. These include Accenture; Barclays; Boots; Bristol City Council; Carillion; the Civil Service, Eversheds; Interserve; Land Securities; Linklaters; Ricoh, Sodexo; Southbank Centre and Veolia. However, there is variation in whether organisations that have signed up display the campaign logo or promote having signed up in their recruitment literature.

Why consider adopting the Ban the Box approach?

4. Employers are not legally required to ask about criminal records at the point of applying for jobs, however by integrating such disclosures into the application form:
 - It makes it difficult for applicants to get past the initial sift as it's often used to screen applicants.
 - There's limited opportunity for the applicant to contextualise or to explain, to enable an informed assessment of the conviction(s).
 - Applicants may de-select themselves from applying, giving rise to the possibility of missing out on potential applicants.
 - It can lead to indirect discrimination, as people from Black, Asian and Minority Ethnic (BAME) groups are disproportionately affected by criminal records².

What does signing up to Ban the Box mean?

5. Employers who sign up to Ban the Box agree to:
 - Removing any tick box from job application forms that asks about criminal convictions.
 - Considering applicants' skills, experience and ability to do the job before asking about criminal convictions.
 - Reviewing their employment processes to ensure that when a candidate discloses a criminal conviction, they are given a full opportunity to explain the situation.
 - Ensuring that the circumstances of any conviction are fairly assessed against their relevance to and risk within the role before a decision is made.

Options: Ban the Box in practice

6. There are various points during the recruitment process when applicants could be asked about any criminal convictions i.e. after shortlisting, at interview, conditional offer stage, or not asking about criminal convictions at all (unless in a regulated role or otherwise legally required to check). This

¹ [BITC Employers that have banned the box.](#)

² [Double discrimination? The impact of criminal records on people from black, Asian and minority ethnic backgrounds](#), Unlock (July 2019).

decision could vary depending on what's most appropriate for different types of roles or contracts. We are now looking at the implications and options for implementation to consult with service departments, Summit Group, the Security Board, the Peoples' Security Board and the trade unions.

City Corporation's current position

7. All City Corporation applicants are required to disclose any 'unspent' convictions at the application stage and are advised that having a criminal record will not necessarily be a bar to obtaining a position. However, all 'spent' convictions must additionally be declared for those posts identified by the department as exempt from Section 4(2) of the Rehabilitation of Offenders Act 1974 (ROA), predominantly posts requiring a DBS clearance.
8. When convictions are disclosed the Recruiting Manager/Panel with HR support assess the impact of the disclosure through a risk assessment process. This will most likely involve scheduling an appointment to discuss the matter further, following which come to a view as to whether the risk can be mitigated or managed. If the decision is not to employ, the candidate should be given appropriate feedback.
9. Furthermore, the City Corporation's 'Statement of Particulars of Employment' contains a clause regarding it being a condition of employment to inform the City Corporation when convicted of any criminal offence (including driving offences) during employment. Failure to do so may result in the termination of employment, where there are either undisclosed or new convictions. Each case would be considered on its own merits.

Proposals

10. The Ban the Box campaign is a positive step to support ex-offenders into work, senior management do however need to carefully consider the implications of the practical and operational issues to enable this to be implemented effectively.
11. For roles classed as 'regulated activity' such as working with children and/or vulnerable adults' criminal convictions will continue to be asked at application stage as part of safer recruiting practices; when it will not be possible to recruit people with certain criminal records.
12. Any decision to sign up to the campaign will require correlation with work already in progress i.e. the review of DBS levels and high-level security checks of posts; and the Attracting Talent Project which includes a working group reviewing the format of the application form. In addition to taking into account any views as outlined in point 6 above.

Corporate & Strategic Implications

13. The ethos of Ban the Box is aligned to the City Corporation's Corporate Plan 2018-2023 by contributing to a flourishing society, people having equal opportunities to enrich their lives and fulfil their potential. In particular, where people from BAME groups are over-represented in the criminal justice system, waiting until later in the recruitment selection process to ask about criminal convictions helps to eliminate unlawful discrimination³.

Implications

14. Ban the Box is about more than just a process, as an organisation it's about the senior leadership team taking the decision to create a recruitment culture that welcomes suitable candidates with criminal convictions. If job offers are withdrawn late in the recruitment process due to criminal convictions, it is probable that this will prompt complaints and that any other appointable candidate will have either lost interest in the job or found another job.
15. The criminal record information that employers can take into account during the recruitment process is primarily defined by the ROA. This Act is designed to improve the chances of offenders being fully rehabilitated into society by removing some of the barriers that they face.
16. The ROA defines the period of time during which all cautions and convictions must be disclosed by candidates to employers, if they are asked. Within this time period, the conviction is regarded as unspent. When a caution or conviction has become spent which is determined by the sentence given, the offender is treated as rehabilitated in respect of that offence and is not obliged to declare it for most roles. However, noting that the most serious of criminal offences never become spent. The rehabilitation periods set out in the ROA for the most common sentences and disposals are attached at appendix 1.
17. Employers are legally allowed to consider unspent convictions during the recruitment process which could provide grounds for refusing employment. For most roles, it is unlawful to make a recruitment decision based on a spent conviction, unless the decision relates to specific types of roles which generally involve positions of trust i.e. doctors, lawyers and accountants. Furthermore, work defined as 'regulated activity' is exempt from the ROA⁴. This means that employers can ask about both spent and unspent convictions, finding out about all criminal convictions, apart from a small number of minor convictions that have been 'filtered' from a candidate's record.

³ As above, footnote 2.

⁴ [Rehabilitation of Offenders Act 1974 \(Exceptions\) Order 1975 \(SI 1975/1023\)](#), as amended.

18. For certain roles, a Disclosure and Barring Service (DBS)⁵ criminal record check will be carried out and convictions disclosed risk assessed with decisions made on a case-by-case basis. Apart from when an applicant has been barred from working in certain roles classed as 'regulated activity', such as working with children and/or vulnerable adults and therefore cannot work with these groups.
19. There is a need to confirm with service departments if there are sections which need to have separate arrangements.

Health Implications

20. None.

Conclusion

21. The Ban the Box ethos is to allow ex-offenders fair access to employment, giving them the opportunity to put past mistakes behind them and thereby enable improved life chances. In turn this can help reduce re-offending rates and benefit society at large.

Appendices

Appendix 1: Summary of the most common rehabilitation periods

Carol Simpson

Strategic HR Projects Manager

T: 020 7332 3482

E: carol.simpson@cityoflondon.gov.uk

⁵ DBS checks range from: Basic (unspent convictions only); Standard and Enhanced (spent and unspent convictions together with non-conviction information, held by the local police and considered to be relevant to the role; or Enhanced and Barred (i.e. individual's barred from working in regulated roles with vulnerable adults and/or children).

Appendix 1: Summary of the most common rehabilitation periods

Under the Rehabilitation of Offenders Act 1974, eligible convictions or cautions become 'spent' after a specified period of time, known as the 'rehabilitation period'.

The rehabilitation periods depend on:

- the sentence given or disposal administered as a result of a conviction
- the age of the individual on the date they are convicted

The table below shows the rehabilitation periods for the most common sentences and disposals.

| Sentence or disposal | Rehabilitation period if aged 18 or over when convicted or disposal administered | Rehabilitation period if aged under 18 when convicted or disposal administered |
|--|---|---|
| <ul style="list-style-type: none"> • Sentence of imprisonment for life • Sentence of imprisonment, youth custody, detention in a young offender institution or corrective training of over four years • Sentence of preventive detention • Sentence of detention at Her Majesty's Pleasure • Sentence of custody for life • Public protection sentences* (imprisonment for public protection, detention for public protection, extended sentences of imprisonment or detention for public protection and extended determinate sentences for dangerous offenders) <p>*A public protection sentence (the provisions for which are set out in Part 12 of the Criminal Justice Act 2003 and Part 8 of the Armed Forces Act 2006 means a sentence of imprisonment or detention, as detailed above, imposed for specified sexual and violent offences.</p> | <p>These sentences are excluded from rehabilitation and so will always be disclosed</p> | <p>These sentences are excluded from rehabilitation and so will always be disclosed</p> |
| Sentence or disposal | Rehabilitation period if aged 18 or over when convicted or disposal administered | Rehabilitation period if aged under 18 when convicted or disposal administered |

| | | |
|---|---|---|
| A custodial sentence of over 2 years 6 months but not exceeding 4 years | 7 years from the date on which the sentence (including any licence period) is completed | 3 years 6 months from the date on which the sentence (including any licence period) is completed |
| A custodial sentence of over 6 months but not exceeding 2 years 6 months* | 4 years from the date on which the sentence (including any licence period) is completed | 2 years from the date on which the sentence (including any licence period) is completed |
| A custodial sentence of up to 6 months* | 2 years from the date on which the sentence (including any licence period) is completed | 1 year 6 months from the date on which the sentence (including any licence period) is completed |
| A sentence of service detention | 1 year from the date on which the sentence was completed | 6 months from the date on which the sentence was completed |
| Dismissal from Her Majesty's Service | 1 year from the date of conviction | 6 months from the date of conviction |
| Fine | 1 year from the date of the conviction in respect of which the fine was imposed | 6 months from the date of the conviction in respect of which the fine was imposed |
| Community order or youth rehabilitation order | 1 year from the last day on which the order has effect | 6 months from the last day on which the order has effect |
| Driving endorsements | 5 years from the date of conviction | 2 years 6 months from the date of conviction |
| Driving disqualification | When the period of the disqualification has passed | When the period of the disqualification has passed |
| Simple caution, youth caution | Spent immediately | Spent immediately |
| Conditional caution, youth conditional caution | 3 months or when caution ceases to have effect if earlier | 3 months or when caution ceases to have effect if earlier |
| Compensation order | On discharge of the order (i.e. when it is paid in full). Proof of payment will be required | On discharge of the order (i.e. when it is paid in full). Proof of payment will be required |
| Absolute discharge | Spent immediately | Spent immediately |
| Relevant orders** (orders that impose a disqualification, disability, prohibition or other penalty) | The end date given by the order or, if no date given, 2 years from the date of conviction - unless the order states 'unlimited', 'indefinitely' or 'until further order' as in these cases it will remain unspent | The end date given by the order or, if no date given, 2 years from the date of conviction - unless the order states 'unlimited', 'indefinitely' or 'until further order' as in these cases it will remain unspent |

Source: <https://www.gov.uk/guidance/rehabilitation-periods>

*Suspended custodial sentences are treated the same as custodial sentences for this purpose. It will be the length of the sentence imposed by the court, not the period it is suspended for that dictates when it will become spent.

**Relevant orders include conditional discharge orders, restraining orders, hospital orders, bind overs, referral orders, care orders and any order imposing a disqualification, disability, prohibition or other penalty not mentioned in the table.

| | |
|--|---|
| Committee(s): Establishment Committee | Date(s): 5th September 2019 |
| Subject: Job Families | Public |
| Report of: Chrissie Morgan, Director of HR | For Discussion |
| Report author: Assistant Director of HR, Janet Fortune | |

Summary

This report gives the Committee information about the use of Job Families as a means of separating jobs into groups with their own pay scales. It defines job families as a concept and considers the practical implications of moving to a job family system.

Recommendation(s)

Members are asked to:

- Note the report and discuss the issues raised.

Main Report

Definition of Job Families

1. Job families are groupings of jobs with similar characteristics. Usually the groupings are based on common competencies, skills and knowledge, but it can relate to jobs with similar purpose or process. Often job families represent distinct occupational or functional groups.
2. The concept allows organisations to treat occupational or functional groups differently from each other in terms of reward, career paths or development needs. These groups may or may not be linked to departments or groups within departments, i.e.. Surveyors, Legal or Finance - vertical integration – or across the organisation i.e. Professional, Technical or Administrative – horizontal integration. It is also possible to have a generic grading structure and job families in some groups.

Job Families in Reward Systems

3. The principal reason to introduce job families from a purely reward perspective seems to be the need to reflect different market values for different occupational groups. This distinction at City of London is currently reflected in Market Forces Supplements.
4. Job Families are often introduced alongside broad banding as part of a wider change to remuneration structures and progression. ¹Research has shown that organisations believe that such an approach offers both market alignment and pay flexibility. This research concluded however that it leads to less flexibility as different pay rates may impede mobility between higher and lower paying families.
5. The advantage of linking job families to different pay ranges is that it could remove the need for market forces supplements and allow whole occupational groups to have higher (or lower) pay rates. It could also be more attractive for recruitment and retention as it is a permanent pay rate, rather than a supplement which can be withdrawn or reduced, which reflects the market rates for the group.

Job Evaluation and job families

6. Many organisations have looked at job families as a way to reduce what they see as the burden of job evaluation; they want greater speed and flexibility in placing jobs in pay bands. The criteria underpinning job families can be used instead of traditional job evaluation schemes. Roles can be matched against job descriptions and then slotted into the grading system.
7. Another advantage of job families is that it can set out developmental path of an occupational group. The requirements of the roles at different pay levels can be described. It can give more flexibility in moving staff within or between pay bands and some systems have through or soft progression or linked grades.

Practical issues of implementing a job family system

8. The most important issue to be addressed is the number of job families. Some opt for a limited number; Professional, Technical and Administrative for example, and whilst this simplifies the system it makes market comparison more difficult. Temporary allowances could still be agreed within these job families but if applied at City of London would probably not differ from the current system of Market Forces Payments.
9. Other organisations opt for a larger number of job families in order to get greater market precision. In the IES research – referred to earlier – Abbey National had 25 job families with a maximum of 13 evaluation levels.

¹ Institute for Employment Studies Job Families

10. Before embarking on a new job family system, the management of the new system needs to be decided. If the job family is in occupational groups, it is possible that the head of that function or leading professional manages the group. If this role is not established, it is likely that too much of the management would fall on HR to 'police' the system and avoid grade drift.

Issues with Job Families

11. A common difficulty relates to managing pay relativities between job families which may lead to equal pay and gender pay gap issues. Whilst the requirement for objective market data to differentiate differences in pay applies to our current Market Forces Supplement system, the system is largely based single job comparators in different structures. If the comparators were larger groups, the liability is potentially increased. The Job Family approach may fail because it is assumed that matching jobs to the specified grade criteria is sufficient defence against equal pay for equal value, but it is unlikely that this defence would work and therefore presents a higher risk strategy. ACAS guidance is that only a valid job evaluation scheme is likely to be used as defence in an equal pay claim.
12. The Corporation has a wide range of jobs which might be difficult to put into a reasonable number of job families and could create inequality if these families were paid differently. Potentially we might have so many families that the system is more complicated than at present.
13. Linked to this point is that it is not easy to respond to the market, as we know at the Corporation the trend is to increase MFSs, not review them downwards when markets change.
14. One of the benefits of job families is that it can offer greater transparency especially with respect to career paths, however it also has the potential to create career silos and reduce flexibility across the organisation.
15. A further issue with job families relates to pay progression. It may make movement through a grade or broad band easier linking it to performance, competence or skill development, particularly if decisions devolved to line managers – which is widely the case – but it can lead to further inconsistency and further pay drift.
16. One local authority found in a trial that it produced significant grade drift, allowing managers within one department to assign staff to one of three grade levels depending on their skills and experience. The managers opted to place nearly everyone in the highest-grade category. We have a similar experience with contribution pay with resistance to choose between the four categories.

Conclusion

17. The concept of job families can be seen as a quick fix to simplify a job evaluation scheme or pay system. In fact it is a relatively complicated approach that can be useful but is far from simple. Jobs still have to be allocated into bands on the basis of an accurate assessment of what the job requires.
18. The Corporation has a wide range of jobs roles which may affect how many job families are required. The approach also could potentially create silos or what might be regarded as professional boundaries which would reduce flexibility. If for example you are a grade E in the technical stream and thus paid more than a grade E in the administrative and managerial stream it might make it more difficult to swap between the two.
19. Our current strategy is to have more flexibility and simplification around pay, in the short-term job families has the potential to be more complex but perhaps simpler in the longer term. Speed of flexibility is an issue to consider, Chief Officers might think that our current MFS system is slow but at least it does respond to the market change for individual jobs. Under job families we may have to change a whole system and all the jobs within it.
20. Given the fundamental review Members might consider that it is not the time at present to start such a process but may be deferred until the review is complete.

Corporate & Strategic Implications

21. If we were to decide to go down the job families route there are financial and resources costs implications across the organisation.
22. Our reward strategy is linked to our Corporate Priorities 3: People have equal opportunities to enrich their lives and reach their full potential and 8: We have access to the skills and talent we need. As job families can be applied differently there is no research on whether such a system would be more attractive to candidates or would improve career development.

Appendices

None

Janet Fortune
Assistant Director Hr
T: 020 7332 1245

E: janet.fortune@cityoflondon.gov.uk

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| Committee(s) | Dated: |
| Establishment Committee | 5 September 2019 |
| Subject: Premature Baby Leave Scheme | Public |
| Report of: Chrissie Morgan, Director of HR | For Decision |
| Report author: Colette Hawkins, Strategic HR Projects Manager | |

Summary

The City of London Corporation strives to be an employer of choice for all individuals. As such the City Corporation has a range of family friendly policies which aim to support employees to create a work-life balance and allow us to meet our statutory duties, which we actively promote to both potential employees and our existing employees. As part of an on-going review of family friendly policies this report sets out options for the introduction of a Premature Baby Paid Leave Scheme where babies are born before 37 weeks. The report also asks Members to consider whether to approve a scheme which would enable the City Corporation to sign the Employer with Heart Charter.

Recommendations

Members are asked to:

- Approve the implementation of a Premature Baby Paid Leave Scheme for inclusion in the maternity and paternity policies
- Approve the signing of the Employer with Heart Charter if option 2 is approved

Main Report

Background

1. The City of London Corporation has a duty of care to ensure that all employees are adequately supported and not disadvantaged through various stages in their personal and professional lives. As such the City Corporation has a range of family friendly policies which aim to support employees to create a work-life balance and allow us to meet our statutory duties.
2. In December 2017 the Establishment Committee approved changes to the maternity, adoption and shared parental leave schemes enhancing the rate of pay for staff with over 52 weeks service. This is for 16 weeks at full pay and 24 weeks at half pay, inclusive of statutory payments.
3. There is currently no additional provision in terms of paid or unpaid leave for staff where babies are born prematurely.

Current Position

4. Each year there are over 95,000 premature or sick babies born in the UK. This is an emotional and difficult time for families and the City Corporation wishes to support staff who may be affected.
5. The cost of an average stay in neonatal care will cost a family in excess of £2,000, this includes travel costs, food, parking charges, unpaid leave from work and childcare costs for siblings (*Bliss, 2014: It's not a game: the very real costs of having a premature or sick baby*).
6. A number of other organisations already offer additional paid leave for employees whose baby is born before 37 weeks. Examples include: Croydon Council, Financial Services Compensation Scheme (FSCS), London City Hall, London Energy Company, Southwark Council, University College London Hospital, Waltham Forest Council and Westminster Council.
7. The maternity leave and paternity leave policies will be updated to provide practical guidance on steps managers should take, focussing on communication with the employee during this time and signposting employees to other policies which may be applicable.
8. A review of all employment policies is in progress to ensure that they all include gender neutral language and are fully inclusive in their approach.

Options

9. In order to minimise financial pressures for employees at this time, it is proposed to extend the paid leave for employees whose baby is born before 37 weeks.

Maternity Policy

10. Option 1: Employees will be entitled to receive an extra day of Premature Baby Paid Leave for every day their premature baby spends in hospital before their expected due date. The leave entitlement will be added to the end of the employee's Maternity Leave period after this leave entitlement has been exhausted.
11. Option 2: Employees will be entitled to receive an extra day of Premature Baby Paid Leave for every day between the date their baby is born and the expected date of birth. The leave entitlement will be added to the end of the employee's Maternity Leave period after this leave entitlement has been exhausted.
12. In the financial year 2018/19 there were 59 maternity leave occurrences, and we are aware that 3 employee's babies were born prematurely. Data is not held on how long the babies were kept in hospital therefore potential costs for option 1 cannot be provided. However, costs for option 2 would have resulted in a total of 124 days additional paid leave, costing approximately £13,000.

Paternity Leave Policy

13. It is recommended that the paternity leave policy is also enhanced to allow employee's in the same situation with a premature baby born before 37 weeks an additional 2 weeks Premature Baby paid leave. This is in line with other employers who have introduced a premature baby leave scheme. Data is not held on when babies are born prematurely for employees who are eligible to claim paternity leave.

Recommendations

14. If option 2 above is agreed this will enable us to sign the Employer With Heart Charter (appendix 1). This will demonstrate to not only our employees, but also externally, our commitment to supporting our employees. There is no cost attached to signing the charter.

Implementation Plan

15. If the Premature Baby Paid Leave schemes are agreed the scheme will apply to all premature babies born from the date the committee makes the decision.

16. The maternity and paternity leave policies will be amended with the wording shown in appendix 2.

Corporate & Strategic Implications

17. The maternity and paternity leave policies are part of our suite of family friendly policies. It also links with the responsible business strategy.

18. It links to the Corporate Plan aim of contributing to a flourishing society.

Implications

19. Financial implications associated with implementing a Premature Baby Paid Leave scheme will be small, as research has shown that only 7% of births end in pre-term labour, with the majority (85%) of premature births happening between 32 – 37 weeks. In the City Corporation there are 3 known cases of a baby being born prematurely in the financial year 2018/19.

20. Legal implications have been fully considered through consultation with the Comptrollers and City Solicitors. The Trade Unions have been consulted on this proposal and are supportive of these measures. Views have been sought through the development on this proposal from the HR community, managers and the staff networks.

21. There are no security or additional resourcing implications.

22. A test of relevance, as required by the Public Sector Equality Duty (PSED) was undertaken at the start of the initial review and identified that the actions identified would be positive in their approach. This has been reviewed and the actions remain a positive impact.

Conclusion

23. Implementing a scheme to allow the small number of employee's whose babies are born prematurely with additional paid leave, supports our drive to have attractive terms and conditions of service and in particular family friendly policies. Such initiatives demonstrate that we value our staff and can also aid recruitment and retention.
24. When considering any new employment policy, full equality reviews will continue to be undertaken to ensure that no group is treated detrimentally.

Appendices

- Appendix 1: Employer With Heart Charter
- Appendix 2: Wording to be added to the Maternity and Paternity Leave Policies

Background Papers

- Test of Relevance – Maternity, Paternity, Adoption and Shared Parental Pay
- London Council's Maternity Pay survey results

Colette Hawkins

Strategic HR Projects Manager, Town Clerks

T: 020 7332 1553

E: colette.hawkins@cityoflondon.gov.uk

Appendix 1: Employer with Heart Charter

This is run by the charity The Smallest Things, which campaigns for better support for the families of premature babies.

We agree to

Extend maternity leave for mothers who give birth prematurely (before 37 weeks gestation) by the number of days a baby was born prior to their due date. We will pay extended leave at full pay and this may be classed as compassionate leave.

Give partners the time they need to be with their baby in hospital, receiving at least two weeks' paid compassionate leave on the birth of their premature baby. Partners may wish to save or split their parental leave, being there when their baby comes home from hospital. We understand that plans may change depending upon the baby's medical needs, that additional compassionate leave may be required and that the date a baby will come home from hospital is rarely set in stone.

Support parents returning to work following the birth of a premature baby. We understand that returning to work can be a difficult time for parents of premature babies and that babies born too soon can have ongoing medical needs, requiring regular hospital appointments and check-ups. We therefore follow the [ACAS best practice guidance](#), considering formal and informal flexible working patterns and offering additional paid or unpaid leave.

Appendix 2: Policy Wording

Maternity Policy

Support for Parents with Premature Babies

1. The NHS defines premature babies as those born before 37 weeks. The City Corporation wishes to support parents when their baby is born prematurely and needs neonatal care in hospital. Communication between the employee and their manager or HR representative is more important and will be undertaken with care.
2. If the baby has been born prematurely, before the MAT B1 form has been provided, managers will remind the employee in their early conversations to forward the MAT B1 form or another form of medical evidence confirming the date of birth and expected due date ensuring it is signed by a doctor or midwife, to them as soon as possible to ensure that the employee does not incur any financial hardship during this stressful time for the employee.
3. Managers will also discuss with the employee what they would like their colleagues to be told about the situation, and what contact they may / may not want.
4. In order to minimise financial pressures for employees whose baby is born before 37 weeks they are entitled to receive a day's Premature Baby Leave and Premature Baby Pay for every day their premature baby spends in hospital before their expected due date OR for every day between the date their baby is born and the expected due date.
5. The additional paid Premature Baby Leave must be taken following the end of the maternity leave period.

Note: Paragraph 4 will be amended following the Establishment Committee's decision

Paternity Policy

Support for Parents with Premature Babies

1. The City Corporation wishes to support parents when their baby is born prematurely (the NHS defines premature babies as those born before 37 weeks). In order to minimise financial pressures for employees whose baby is born before 37 weeks they are entitled to receive two additional week's paid Premature Baby Leave. Employees can choose if they wish this period of leave to run consecutively with their period of paternity leave or if they wish to have two separate periods of leave.

2. If the baby has been born prematurely, before the correct HMRC form is completed managers will remind the employee in their early conversations to forward this to them as soon as possible. Managers will also discuss with the employee what they would like their colleagues to be told about the situation, and what contact they may / may not want.

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| Committee(s) | Dated: |
| Establishment Committee | 05/09/2019 |
| Subject: Special Leave for Employee Volunteering | Public |
| Report of: David Farnsworth, Chief Grants Officer and Director of City Bridge Trust | For Decision |
| Report author: Julia Makin / Alice Hall, Corporate Volunteering Manager (job share), Town Clerk's | |

Summary

The purpose of this report is to seek approval to broaden the scope of the current City of London Corporation's existing Employee Volunteering Programme (EVP), which will result in the updating of the relevant section in the Special Leave and Time Off Policy.

The proposed new scope reflects the desire to enable more employees to take up their 14 hours of volunteering leave in ways that better meet the outcomes of the Corporate Plan (2018-23), the Philanthropy Strategy (2018-23), the Corporate Volunteering Strategy (2018-23) and City Bridge Trust's (CBT) Bridging Divides Strategy.

Recommendation(s)

Members are asked to:

- Approve the expanded scope of the Employee Volunteering Programme which provides 14 hours paid leave per employee per year to enable staff to find their own volunteering opportunities within appropriate parameters.
- Subject to 1 above, delegate authority to the Town Clerk (Chief Grants Officer and Director of Human Resources) to define and agree the revised parameters on the expanded offer for inclusion in the Special Leave and Time Off Policy, which will be communicated to staff to increase awareness take up of volunteering.

Main Report

Background

1. There is a rich variety of volunteering activity generated through the City Corporation. This includes:
 - the supply of employee volunteers for external opportunities (through the EVP);

- support for residents and learners who wish to volunteer (largely via the Department of Community and Children’s Services); and
 - support for external volunteers who wish to support the Corporation’s work or that of its related charities (e.g. in Open Spaces).
2. In an attempt to ensure a more consistent and efficient approach to harnessing the City Corporation’s volunteering practices and expertise, as well as supporting the City Corporation’s broader aspirations encompassed in its Philanthropy, Social Mobility and Bridging Divides Strategies, a Corporate Volunteering Strategy was agreed in September 2018.
 3. Following approval of the Corporate Volunteering Strategy (2018-23) by Policy and Resources Committee, a new Corporate Volunteering Manager was appointed to implement the recommendations of the strategy and drive a more consistent and coherent approach to volunteering generated or harnessed by the City Corporation. The Corporate Volunteering Manager joined the City Corporation in May 2019 and has been working with HR representatives on a Volunteer Working Group, to deliver actions related to the Corporate Volunteering Strategy (2018-23).
 4. This paper focuses on the Employee Volunteering component of the Corporation’s Volunteering ‘offer’. Since 2003, as a result of approval of Establishment Committee, the City Corporation has offered employees up to 14 hours paid leave to undertake volunteering, subject to approval by their line manager.
 5. From 2005, the Employee Volunteering Programme (EVP) was housed in and run by the Economic Development Office (EDO). The scope of the EVP was shaped in order to meet the department’s objectives at the time, which were to support economic regeneration in the City’s neighbouring boroughs.
 6. Currently approved volunteering activities are those that:
 - take place either in one of the City of London Corporation’s neighbouring boroughs, or in the nearest area of deprivation to the person’s normal place of work
 - benefit local residents (this might be directly, e.g. by helping a child with reading, or indirectly, e.g. by giving professional advice to a community group to enable it to serve its clients more effectively.)
 7. Feedback from employees gathered during consultation on the Corporate Volunteering Strategy (2018-23) included a desire to be able to take up opportunities closer to home; related to personal development and linked to causes of personal concern.
 8. The Corporate Volunteering Manager was tasked, with broadening the EVP to reflect the Corporate Volunteering Strategy (2018-23) and the feedback from the earlier consultation about the strategy.

Current Position

9. The vision set out in the Corporate Volunteering Strategy (2018-23) is for the organisation to have 'a positive volunteering culture, with clear and consistent practices, which support volunteers and their beneficiaries to flourish in the Square Mile, London and beyond'. This vision will be fulfilled by the achievement of the following three outcomes:
 - Volunteers benefit from meaningful volunteering opportunities.
 - Volunteers are valued.
 - Organisations and their stakeholders benefit from more and better volunteering.
10. A Test of Relevance has been carried out for the Corporate Volunteering Strategy (2018-23) which identified that no adverse impacts are envisaged by taking this approach.
11. Outcomes 1 and 3 point towards a broadening of the current remit of the EVP, to provide more opportunities and therefore enable more employees to take part in ways that best support their development. Furthermore, the geographical remit set out in the strategy, which mirrors that of the Corporate Plan (2018-23), represents a shift away from the target borough approach of the previous EVP.
12. A special focus of the new EVP will be in connecting City Corporation employees with CBT grantee organisations who are looking to attract volunteers. The diversity of grantee organisations and opportunities available are broader than the current remit of the EVP would allow.

Proposals

13. In order to ensure the EVP maximises opportunities and impact for the City Corporation, we propose to widen the current scope of the EVP scheme as follows:
 - i. Encourage staff to volunteer across the Square Mile, London and beyond. This would replace the current geographic remit of the City's neighbouring boroughs and will support the City Corporation to demonstrate its value wherever there is need in line with the scope of the Corporate Plan 2018-23.
 - ii. Enable volunteering based on community and beneficiary need. This would replace the current skills focus and will mean that all staff have opportunities to give their time, regardless of professional skill level, whilst ensuring the City Corporation volunteering continues to address need.
 - iii. Opportunities are brokered, inter alia, for staff to:
 - Support City Bridge Trust grantees. This will enable CBT to deliver its 'total assets' approach, as underpinned by its Bridging Divides

and Philanthropy Strategies, and will enable the City Corporation to increase its positive impact with CBT grantees.

- Support City Corporation Academies
- iv. Staff are permitted to find their own volunteering opportunities within appropriate parameters, including but not limited to:
- City Corporation departments and City Corporation sponsored activity/priorities e.g. Open Spaces, Lord Mayor's Show, Fantastic Feats, etc.
 - Any other appropriate opportunities which are in London and responding to community need.

Corporate & Strategic Implications

13. An expanded scope of the current EVP and the Special Leave and Time Off Policy to better reflect the Corporate Volunteering Strategy, is likely to result in greater uptake of the paid leave by employees, enabling the City Corporation to better achieve the positive outcomes set out in the Philanthropy Strategy (2018-23), under its role-modelling pillar, where the City Corporation fully harnesses its own expertise, assets, networks; Social Mobility (2018-23), under outcome 4, where the City Corporation role models and enables social mobility in the way that we operate e.g. by creating meaningful volunteering opportunities that support staff development and progression; and through the Corporate Plan (2018-23), under outcome 5d, where we advocate and facilitate greater levels of giving time, skills, advice and money.

Implications

14. Using data from CityPeople, it is understood that only 39 employees recorded the Special Leave entitlement to volunteer in the last twelve months. It is likely that the real figure is larger but not being recorded. Greater take-up of the leave will result in increased cost to the organisation, but it will also enable the positive impact of this activity to communities to be recorded, valued and celebrated, as well as positively impacting on our strategic ambitions as detailed in paragraph 13 above as well as on staff engagement metrics.

Conclusion

15. In order to run an Employee Volunteering Programme that is strategically aligned with City Corporation and City Bridge Trust outcomes, the scope of the programme needs to be updated as recommended in the Special Leave and Time off Policy.

Appendices

None

Background Papers

- Establishment Committee - Use of Volunteers, 17 October 2017.
- Update on strategic approach to working with volunteers, 15 January 2018.
- Corporate Volunteering Strategy 2018-23, 6 September 2018.

Julia Makin / Alice Hall

Corporate Volunteering Manager (job share)

T: 020 7332 1138

E: corporatevolunteeringmanager@cityoflondon.gov.uk

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| Committee | Dated: |
| Establishment Committee | 05/09/2019 |
| Subject: | Public |
| HR Dashboard - June 2019 | |
| Report of: | For Information |
| Chrissie Morgan, Director of Human Resources | |
| Report author: | |
| Tracey Jansen, Human Resources | |

Summary

This report provides data to the Establishment Committee from the Corporate HR Dashboard. It also comments on the highlight data for the two departments to which the Establishment Committee is the Service Committee - the Town Clerk's Department and the Comptroller and City Solicitor's Department.

The general trend in the dashboard is a slight decrease in headcount and full time equivalent (FTE); turnover has slightly increased; sickness absence levels are relatively stable; and there has been an increase in disciplinary and casework.

Recommendation

The Establishment Committee is asked to note the report.

Main Report

Background

1. The information source for the monthly dashboard reports is the Corporate HR / Payroll system (CityPeople) utilising the BI4 reporting tool.
2. The following reports are produced:
 - A dashboard report for the whole of the City Corporation which is split by department and is included here as appendix 1.
 - A departmental dashboard report for each departmental management's use.
 - A departmental sickness report for HR Business Partner's use which shows sensitive detailed sickness data against named individuals. For data protection reasons, the information in this report is not forwarded to departmental managers without appropriate reason but is used within HR to

ensure that a consistent approach is taken across the departments, taking into account individual circumstances.

- Information on pay is available in our published Pay Policy Statement and Gender Pay Gap report included in our annual employee profile report. Health and Safety statistics are reported to the Health and Safety Committee. Recruitment information is reported in the annual employee profile report.

Current Position

Highlight Information

Based on the June 2019 figures the following should be noted at corporate level.

- The City Corporation employs 4106 employees which equates to 3,853.73 FTE. This includes all directly employed staff, including teaching staff and police civilians but excluding City of London Police Officers. This is a decrease of 15.78 FTE since June 2018 and 1 on headcount. These figures include 92 Apprentices in place as at 30th June 2019.
- Turnover at 15.51%, has increased by 1.67 % in the last year.
- The split of staff by gender is 48.08 % female against 51.92% male. Further detail is available in our Gender Pay Gap report included in the annual employee profile report. 3.31% of staff have declared having a disability.
- Sickness average days per employee fte is 6.89 days per year. This is above our target of 6 days per person per year. Short term sickness average per employee is 2.96 days and long term at 3.93 days. HR Business Partners and Chief Officers receive their monthly reports and are working actively to address these. Paragraph 9 below indicates the number of sickness cases which are being managed actively in accordance with our sickness management procedure.
- The top 3 reasons which make up 45.87% of all sickness absence, as a percentage of the total, for sickness absence are:

| Sickness Reason | Overall | Short-term | Long-term |
|--|---------|------------|-----------|
| Anxiety, stress, depression, other psychiatric illnesses | 21.77% | 14.71% | 85.29% |
| Gastrointestinal problems | 13.24% | 78.61% | 21.39% |
| Muscular skeletal excluding back problems | 10.86% | 23.62% | 76.38% |

- There have been 42 formal disciplinary cases in the last year with 15 cases still open. 27 formal grievances have been submitted with 12 open. This is an increase in the number of cases dealt with compared to last year. There have been 226 sick absence cases with 95 still being actively managed.

10. The headcount of agency staff working during June 2019 is included in the dashboard broken down by department. The total number of agency staff working in June was 239.

Town Clerk's department

11. The Town Clerk's department has a headcount of 415 (386.54 FTE) with a staff turnover higher than the Corporate turnover at 19.01%. Sickness absence (average days per person per year) in Town Clerk's is 4.75 days per year which is lower than the corporate target of 6 days.

Comptroller and City Solicitor's department

12. The Comptroller and City Solicitor's department has a headcount of 56 (50.16 FTE) with a staff turnover of 15.65% in line with the corporate average. Sickness absence in this department is 8.53 days per year which is above the corporate target. This figure is primarily due to 2 long term sickness cases. One employee has now returned to work and both cases are being appropriately in accordance with the sickness management procedure.

Corporate & Strategic Implications

13. The HR Dashboard provides a key information source for tracking performance and undertaking Workforce Planning both at a Departmental and Corporate level.

Conclusion

14. The dashboards included information that helps departments monitor key information relating to the workforce and informs workforce planning.

Appendices

Appendix 1 – Corporate Dashboard June 2019

Background Papers

Establishment Committee - Annual Employee Profile including Gender Pay Gap report July 2019

Pay Policy Statement 2018-9 : <https://www.cityoflondon.gov.uk/about-the-city/about-us/Pages/pay-policy-statement.aspx>

Tracey Jansen, Assistant Director Human Resources

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

Ian Whitehead, Management Information Officer

T: 020 7332 1441 E: ian.whitehead@cityoflondon.gov.uk

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City of London Figures 01/07/2018 to 30/06/2019

| | |
|----------------|----------------------------------|
| 4106 | Current Staff - Headcount |
| 3853.73 | Current staff FTE |

| | |
|-----------------|------------------------|
| 15.51% | Staff Turn over |
| Starters | 619 |
| Leavers | 637 |
| - Voluntary | 12.45% 511 |
| - Involuntary | 3.07% 126 |

| | | | |
|-----------------------|------------|----------------|-----------|
| Disciplinaries | | | |
| In the last year | 42 | Currently open | 15 |
| Grievances | | | |
| in the last year | 27 | Currently open | 12 |
| Sickness Cases | | | |
| In the last year | 226 | Currently open | 95 |

| | |
|-------------------------------|-------------|
| Monthly Sickness Level | 0.54 |
| Long Term | 0.33 |
| Short Term | 0.21 |
| Previous level July 2018 | 0.46 |

| Dash Board Notes |
|---|
| Current Staff is as at report end date. Headcount refers to employees against position, those with multiple positions would be counted against each position. FTE is Full time Equivalent and is calculated base on contractual hours / FTE hours x weeks worked 52 , staff whose contractual hours exceed their FTE hours are counted as 1 FTE. Figures are based on permanent staff paid on the monthly payroll and do not include Police officers, casual staff , agency workers or consultants/contractors. |
| Turnover is calculated as the number of leavers divided by the average number of staff as a percentage. Average staff numbers are calculated using employee numbers at the beginning and end of the reporting period. Voluntary leavers are organisation leavers who have resigned or retired , involuntary leavers relate to all other leaving reasons. |
| Disciplinary, Grievances and Sickness Cases are based on formal casework, informal cases are not included. Grievances may also be referred to as complaints. |
| Overall monthly sickness levels are measured against the corporate target of 6 days per FTE person in the year (divided by 12 for a monthly level of 0.5) . The value for the monthly sickness level is calculated based on total number of sick days in the period divided by number of FTE employees in the month |
| For completeness the corporate Dashboard contains turnover data for the former Culture & Heritage & Libraries employees, since this Department was disbanded in April 2017 , the Dashboard will no longer include annual figures after April 2018 |
| The Separate Units of the Central Criminal Court and the Mansion house will continue to show on the report until they have been empty for a year. |
| The sickness figures are based on absence days lost on employee's working patterns ,since City of London Police Civilians enter their data as individual days lost rather than based on working patterns this is not reflected in the report |

Staff Turnover 01/07/2018 to 30/06/2019

| Type / Detail | Headcount | FTE |
|-------------------------|---------------|----------------|
| Staff as at 01/07/2018 | 4106 | 3867.04 |
| Staff as at 30/06/2019 | 4106 | 3853.73 |
| Average Staff | 4106 | 3860.38 |
| Leavers In period | 637 | 586.18 |
| Overall Turnover | 15.51% | 15.18% |
| Involuntary Turnover | 3.07% | 2.92% |
| Voluntary Turnover | 12.45% | 12.27% |

Note: The leaving reasons of Voluntary Redundancy, Resignation and Retirement are voluntary all other leaving reasons are involuntary

Corporate Dashboard June 2019

Corporation of London

Departmental Dashboard 01/07/2018 To 30/06/2019

| Department | Head count | Current FTE | Staff Turnover | Starters | Leavers |
|---|-------------|----------------|----------------|------------|------------|
| BARBICAN CENTRE [05] | 363 | 350.01 | 16.29% | 68 | 58 |
| CHAMBERLAIN'S DEPARTMENT [11] | 271 | 265.09 | 14.41% | 27 | 40 |
| CITY OF LONDON POLICE (CIVILIANS) [55] | 460 | 447.71 | 13.00% | 43 | 60 |
| CITY OF LONDON SCHOOL [61] | 179 | 163.39 | 11.08% | 17 | 20 |
| CITY OF LONDON SCHOOL FOR GIRLS [63] | 148 | 123.54 | 18.49% | 33 | 27 |
| CITY SURVEYOR'S DEPARTMENT [73] | 240 | 234.04 | 20.12% | 31 | 49 |
| COMMUNITY & CHILDREN'S SERVICES DEPARTMENT [25] | 367 | 350.38 | 14.54% | 44 | 54 |
| COMPTROLLER & CITY SOLICITOR'S DEPARTMENT [15] | 56 | 50.16 | 15.65% | 4 | 9 |
| FREEMEN'S SCHOOL [65] | 184 | 157.69 | 21.08% | 37 | 39 |
| GUILDHALL SCHOOL OF MUSIC & DRAMA [19] | 296 | 260.73 | 22.64% | 79 | 66 |
| MANSION HOUSE & CENTRAL CRIMINAL COURT [09] | 139 | 126.94 | 10.60% | 11 | 15 |
| MARKETS & CONSUMER PROTECTION [41] | 275 | 259.46 | 12.27% | 44 | 33 |
| OPEN SPACES DEPARTMENT [50] | 448 | 425.3 | 11.28% | 44 | 51 |
| REMEMBRANCER'S OFFICE [59] | 29 | 28.8 | 40.68% | 13 | 12 |
| THE BUILT ENVIRONMENT [54] | 236 | 223.97 | 11.32% | 21 | 27 |
| TOWN CLERKS DEPARTMENT [77] | 415 | 386.54 | 19.01% | 103 | 77 |
| Corporation of London | 4106 | 3853.75 | 15.51% | 619 | 637 |

Departmental Sickness

| Department | Annual Sick lost | Annual sick per FTE | Annual sick Short term per FTE | Annual sick Long term per FTE | June 2019 Monthly Sickness Level | Long Term | Short Term | Previous level July 2018 |
|---|------------------|---------------------|--------------------------------|-------------------------------|----------------------------------|-------------|-------------|--------------------------|
| BARBICAN CENTRE [05] | 1582 | 4.52 | 2.35 | 2.17 | 0.34 | 0.19 | 0.15 | 0.3 |
| CHAMBERLAIN'S DEPARTMENT [11] | 1381 | 5.21 | 2.73 | 2.48 | 0.58 | 0.35 | 0.23 | 0.25 |
| CITY OF LONDON POLICE (CIVILIANS) [55] | 4343 | 9.7 | 4.33 | 5.37 | 0.75 | 0.53 | 0.21 | 0.84 |
| CITY OF LONDON SCHOOL [61] | 375.5 | 2.3 | 1.74 | 0.56 | 0.23 | 0.02 | 0.21 | 0.03 |
| CITY OF LONDON SCHOOL FOR GIRLS [63] | 469 | 3.8 | 1.94 | 1.85 | 0.22 | 0.11 | 0.11 | 0.02 |
| CITY SURVEYOR'S DEPARTMENT [73] | 1973 | 8.43 | 2.78 | 5.65 | 0.53 | 0.42 | 0.1 | 0.62 |
| COMMUNITY & CHILDREN'S SERVICES DEPARTMENT [25] | 3321 | 9.48 | 3.23 | 6.24 | 0.79 | 0.39 | 0.4 | 0.76 |
| COMPTROLLER & CITY SOLICITOR'S DEPARTMENT [15] | 428 | 8.53 | 1.61 | 6.92 | 0.1 | 0 | 0.1 | 1.6 |
| FREEMEN'S SCHOOL [65] | 562 | 3.56 | 2.21 | 1.36 | 0.21 | 0 | 0.21 | 0.16 |
| GUILDHALL SCHOOL OF MUSIC & DRAMA [19] | 854.5 | 3.28 | 1.51 | 1.77 | 0.05 | 0 | 0.05 | 0.2 |
| MANSION HOUSE & CENTRAL CRIMINAL COURT [09] | 1537 | 12.11 | 3.41 | 8.7 | 0.6 | 0.49 | 0.11 | 0.54 |
| MARKETS & CONSUMER PROTECTION [41] | 2449 | 9.44 | 4.12 | 5.31 | 0.76 | 0.39 | 0.38 | 0.44 |
| OPEN SPACES DEPARTMENT [50] | 3687 | 8.67 | 3.76 | 4.9 | 0.96 | 0.67 | 0.29 | 0.66 |
| REMEMBRANCER'S OFFICE [59] | 54 | 1.88 | 1.22 | 0.66 | 0.21 | 0 | 0.21 | 0.7 |
| THE BUILT ENVIRONMENT [54] | 1701 | 7.59 | 3.25 | 4.35 | 0.48 | 0.28 | 0.21 | 0.42 |
| TOWN CLERKS DEPARTMENT [77] | 1837 | 4.75 | 2.4 | 2.35 | 0.47 | 0.32 | 0.15 | 0.18 |
| Corporation of London | 26554 | 6.89 | 2.96 | 3.93 | 0.54 | 0.33 | 0.21 | 0.46 |

Workforce information at 30/06/2019

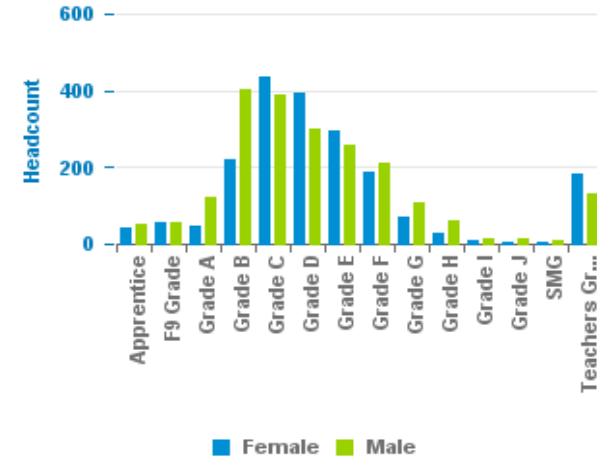
Female/Male Profile

| Female | Male |
|--------|--------|
| 48.08% | 51.92% |

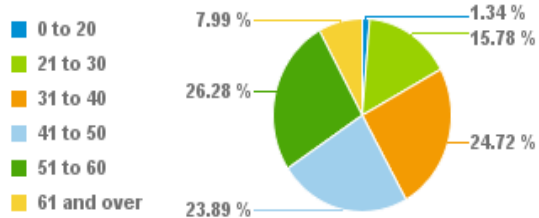
Workforce Breakdown

| | Head Count | Full Time Equivalent |
|--------------|-------------|----------------------|
| Full-Time | 3497 | 3489.55 |
| Part-Time | 609 | 364.17 |
| Total | 4106 | 3853.72 |

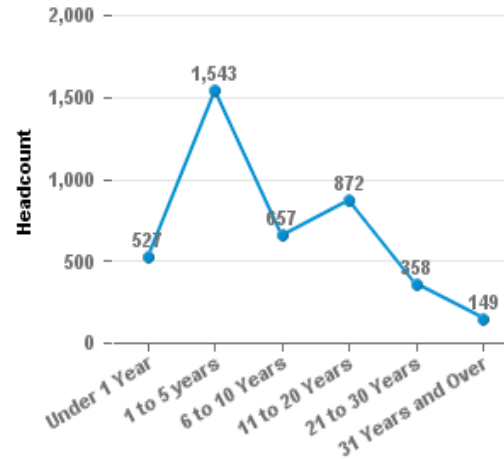
Grade Breakdown



Age Groups



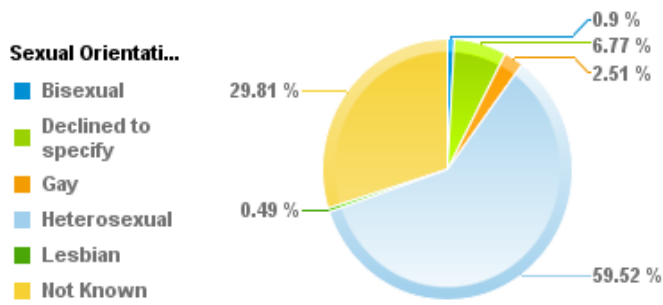
City of London Length of Service



Stated Disability

| | |
|-----------|--------|
| No | 77.67% |
| Not Known | 19.02% |
| Yes | 3.31% |

Sexual Orientation



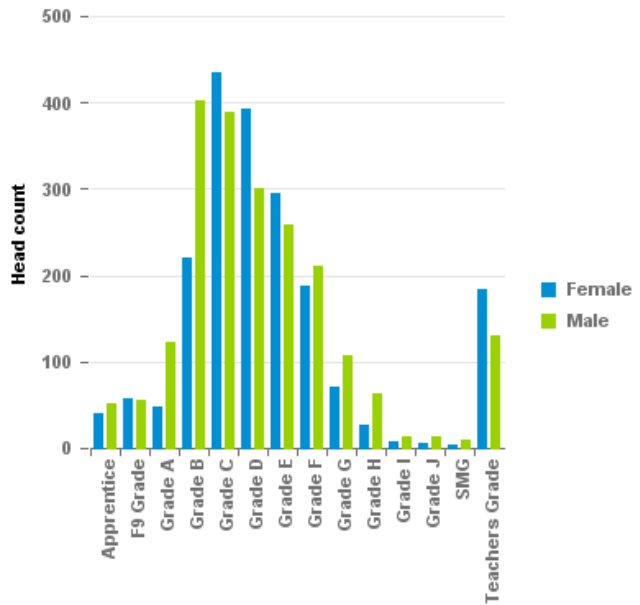
| Sexual Orientation | Total | % |
|---------------------|-------------|----------------|
| Bisexual | 37 | 0.90% |
| Declined to specify | 278 | 6.77% |
| Gay | 103 | 2.51% |
| Heterosexual | 2444 | 59.52% |
| Lesbian | 20 | 0.49% |
| Not Known | 1224 | 29.81% |
| Total | 4106 | 100.00% |

Religion and Beliefs

| Religious Belief | Total | % |
|--------------------|-------------|----------------|
| Buddhist | 19 | 0.46% |
| Christian | 1432 | 34.88% |
| Hindu | 47 | 1.14% |
| Jewish | 27 | 0.66% |
| Muslim | 113 | 2.75% |
| None / No religion | 1346 | 32.78% |
| Not Known | 704 | 17.15% |
| Not stated | 223 | 5.43% |
| Other | 132 | 3.21% |
| Sikh | 32 | 0.78% |
| Spiritual | 31 | 0.75% |
| Totals | 4106 | 100.00% |

City of London Grade & Female/Male Breakdown as at 30/06/2019

| Grade | Female | Male | Total |
|----------------|-----------------------|-----------------------|-------------|
| Apprentice | 40 43.48% | 52 56.52% | 92 |
| F9 Grade | 58 51.33% | 55 48.67% | 113 |
| Grade A | 48 28.07% | 123 71.93% | 171 |
| Grade B | 220 35.31% | 403 64.69% | 623 |
| Grade C | 435 52.79% | 389 47.21% | 824 |
| Grade D | 392 56.57% | 301 43.43% | 693 |
| Grade E | 295 53.25% | 259 46.75% | 554 |
| Grade F | 188 47.12% | 211 52.88% | 399 |
| Grade G | 71 39.66% | 108 60.34% | 179 |
| Grade H | 26 29.21% | 63 70.79% | 89 |
| Grade I | 8 36.36% | 14 63.64% | 22 |
| Grade J | 6 30.00% | 14 70.00% | 20 |
| SMG | 3 23.08% | 10 76.92% | 13 |
| Teachers Grade | 184 58.60% | 130 41.40% | 314 |
| Totals | 1974 48.08% | 2132 51.92% | 4106 |



Corporate Dashboard June 2019

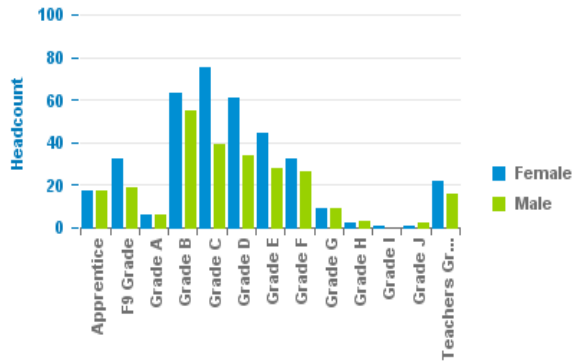
New starter information 01/07/2018 to 30/06/2019

| Female | Male |
|--------|--------|
| 58.97% | 41.03% |
| 365 | 254 |

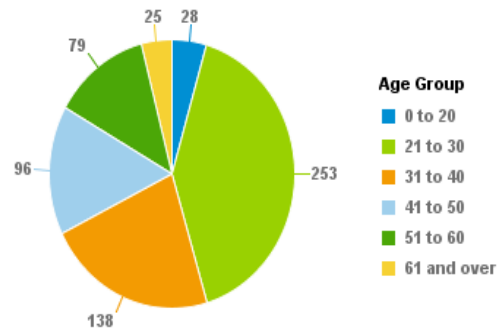
Workforce profile

| | Full-Time | Part-Time | Total |
|----------------------|-----------|-----------|--------|
| Head count | 510 | 109 | 619 |
| Full Time Equivalent | 507.63 | 55.5 | 563.13 |

Grade & Female/Male Profile



Age Grouping



| Grade | Female | Male | Total |
|----------------|------------|------------|------------|
| Apprentice | 17 | 17 | 34 |
| F9 Grade | 32 | 19 | 51 |
| Grade A | 6 | 6 | 12 |
| Grade B | 63 | 55 | 118 |
| Grade C | 75 | 39 | 114 |
| Grade D | 61 | 34 | 95 |
| Grade E | 44 | 28 | 72 |
| Grade F | 32 | 26 | 58 |
| Grade G | 9 | 9 | 18 |
| Grade H | 2 | 3 | 5 |
| Grade I | 1 | 0 | 1 |
| Grade J | 1 | 2 | 3 |
| Teachers Grade | 22 | 16 | 38 |
| Totals | 365 | 254 | 619 |

| Age Group | Female | Male | Total |
|---------------|------------|------------|------------|
| 0 to 20 | 16 | 12 | 28 |
| 21 to 30 | 168 | 85 | 253 |
| 31 to 40 | 82 | 56 | 138 |
| 41 to 50 | 53 | 43 | 96 |
| 51 to 60 | 35 | 44 | 79 |
| 61 and over | 11 | 14 | 25 |
| Totals | 365 | 254 | 619 |

Ethnic Groups

| Grade | Asian or Asian British | Black or Black British | Mixed | Not Known | Other Ethnic Groups | White | Total |
|----------------|------------------------|------------------------|-------|-----------|---------------------|--------|---------|
| Apprentice | 7.61% | 7.61% | 8.70% | 15.22% | | 60.87% | 100.00% |
| F9 Grade | 5.31% | 5.31% | 0.88% | 23.01% | | 65.49% | 100.00% |
| Grade A | 2.34% | 26.32% | 2.92% | 9.36% | 7.02% | 52.05% | 100.00% |
| Grade B | 5.30% | 12.52% | 3.05% | 14.29% | 1.61% | 63.24% | 100.00% |
| Grade C | 8.01% | 7.40% | 3.40% | 12.14% | 2.06% | 66.99% | 100.00% |
| Grade D | 5.05% | 7.50% | 2.16% | 15.01% | 1.15% | 69.12% | 100.00% |
| Grade E | 6.14% | 3.79% | 2.53% | 10.83% | 1.81% | 74.91% | 100.00% |
| Grade F | 6.52% | 3.51% | 1.25% | 8.02% | 1.50% | 79.20% | 100.00% |
| Grade G | 6.15% | 1.68% | 2.23% | 7.26% | 2.23% | 80.45% | 100.00% |
| Grade H | 2.25% | 1.12% | 1.12% | 5.62% | | 89.89% | 100.00% |
| Grade I | | | | 4.55% | | 95.45% | 100.00% |
| Grade J | 10.00% | 10.00% | 5.00% | 10.00% | | 65.00% | 100.00% |
| SMG | | 7.69% | | 30.77% | | 61.54% | 100.00% |
| Teachers Grade | 0.96% | | 0.96% | 50.32% | 0.32% | 47.45% | 100.00% |

| Ethnic Group | Total | Percentage |
|------------------------|-------------|----------------|
| Asian or Asian British | 229 | 5.58% |
| Black or Black British | 291 | 7.09% |
| Mixed | 104 | 2.53% |
| Not Known | 624 | 15.20% |
| Other Ethnic Groups | 68 | 1.66% |
| White | 2790 | 67.95% |
| Total | 4106 | 100.00% |

Corporate Dashboard June 2019

Leaver information 01/07/2018 to 30/06/2019

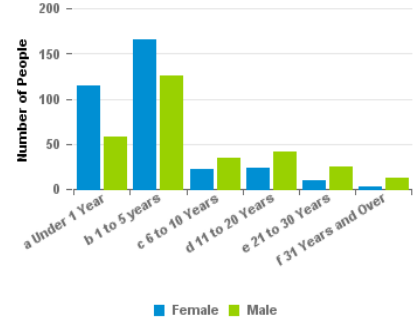
Breakdown

| Female | Male |
|--------|--------|
| 53.22% | 46.78% |
| 339 | 298 |

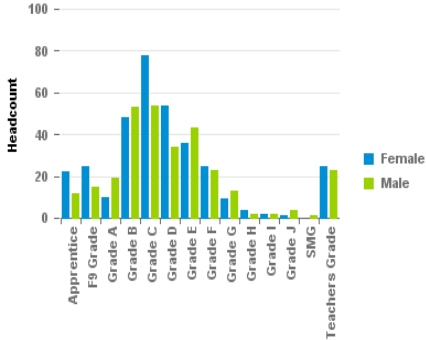
Workforce Profile

| | Full Time | Part-Time | Total |
|----------------------|-----------|-----------|-------|
| Head count | 522 | 115 | 637 |
| Full Time Equivalent | 520.94 | 65.26 | 586.2 |

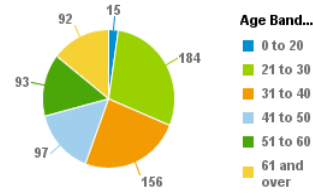
Service History



Grade & Female/Male Profile



Age Grouping



| Grade | Female | Male | Total |
|---------------|------------|------------|------------|
| Apprentice | 22 | 12 | 34 |
| F9 Grade | 25 | 15 | 40 |
| Grade A | 10 | 19 | 29 |
| Grade B | 48 | 53 | 101 |
| Grade C | 78 | 54 | 132 |
| Grade D | 54 | 34 | 88 |
| Grade E | 36 | 43 | 79 |
| Grade F | 25 | 23 | 48 |
| Grade G | 9 | 13 | 22 |
| Grade H | 4 | 2 | 6 |
| Grade I | 2 | 2 | 4 |
| Grade J | 1 | 4 | 5 |
| SMG | 0 | 1 | 1 |
| Teachers Grad | 25 | 23 | 48 |
| Totals | 339 | 298 | 637 |

| Age group | Female | Male | Total |
|---------------|------------|------------|------------|
| 0 to 20 | 8 | 7 | 15 |
| 21 to 30 | 121 | 63 | 184 |
| 31 to 40 | 91 | 65 | 156 |
| 41 to 50 | 49 | 48 | 97 |
| 51 to 60 | 40 | 53 | 93 |
| 61 and over | 30 | 62 | 92 |
| Totals | 339 | 298 | 637 |

| Service groups | Fema | Male | Total |
|---------------------|------------|------------|------------|
| a Under 1 Year | 115 | 58 | 173 |
| b 1 to 5 years | 166 | 126 | 292 |
| c 6 to 10 Years | 22 | 35 | 57 |
| d 11 to 20 Years | 24 | 41 | 65 |
| e 21 to 30 Years | 9 | 25 | 34 |
| f 31 Years and Over | 3 | 13 | 16 |
| Totals | 339 | 298 | 637 |

| Leaving Reasons | Total |
|----------------------------|------------|
| Death in Service | 3 |
| Dismissal | 16 |
| End of Fixed Term Contract | 61 |
| Other Reason | 14 |
| Redundancy | 14 |
| Resignation | 473 |
| Retirement | 38 |
| Transfer | 18 |
| Totals | 637 |

Sickness Absence reporting - June 2019

Average Working days lost

| | July 2018 | June2019 |
|---------------------|-------------|-------------|
| Short Term Sickness | 0.2 | 0.21 |
| Long Term Sickness | 0.26 | 0.33 |
| Total | 0.46 | 0.54 |

Top 3 Reasons as % of Total absence

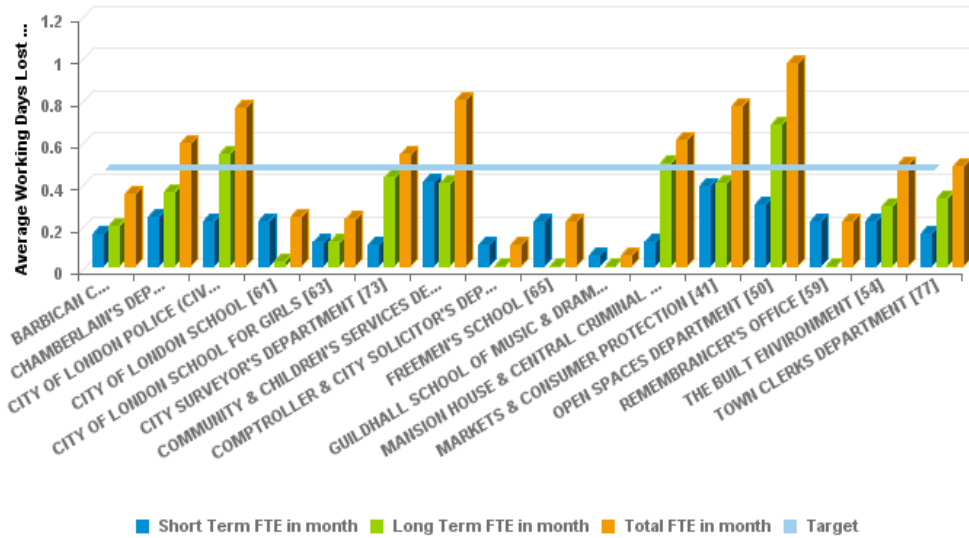
| Sickness Reason | % |
|--|----------------|
| Anxiety/stress/depression/other psychiatric illnesses | 21.77% |
| Other musculoskeletal problems -excluding back problems, including neck problems | 13.24% |
| Gastrointestinal problems | 10.86% |
| Total of top 3 Reasons | 45.87% |
| Other Reasons | 54.13% |
| Total | 100.00% |

Short-Term/ Long-term split

| Top 3 Sickness Reasons | Short-Term split | Long-Term split |
|--|------------------|-----------------|
| Anxiety/stress/depression/other psychiatric illnesses | 10.55% | 89.45% |
| Other musculoskeletal problems -excluding back problems, including neck problems | 65.87% | 34.13% |
| Gastrointestinal problems | 23.62% | 76.38% |
| Average | 33.35% | 66.65% |

Sickness Absence per Department - June 2019

Average Working Days Lost - By Department



| Department | Total | Short Term | Long Term | Occurrence | Target |
|---|-------------|-------------|-------------|------------|------------|
| BARBICAN CENTRE [05] | 0.34 | 0.15 | 0.19 | 15 | 0.5 |
| CHAMBERLAIN'S DEPARTMENT [11] | 0.58 | 0.23 | 0.35 | 12 | 0.5 |
| CITY OF LONDON POLICE (CIVILIANS) [55] | 0.75 | 0.21 | 0.53 | 14 | 0.5 |
| CITY OF LONDON SCHOOL [61] | 0.23 | 0.21 | 0.02 | 9 | 0.5 |
| CITY OF LONDON SCHOOL FOR GIRLS [63] | 0.22 | 0.11 | 0.11 | 6 | 0.5 |
| CITY SURVEYOR'S DEPARTMENT [73] | 0.53 | 0.1 | 0.42 | 8 | 0.5 |
| COMMUNITY & CHILDREN'S SERVICES DEPARTMENT [25] | 0.79 | 0.4 | 0.39 | 18 | 0.5 |
| COMPTRROLLER & CITY SOLICITOR'S DEPARTMENT [15] | 0.1 | 0.1 | 0 | 3 | 0.5 |
| FREEMEN'S SCHOOL [65] | 0.21 | 0.21 | 0 | 11 | 0.5 |
| GUILDHALL SCHOOL OF MUSIC & DRAMA [19] | 0.05 | 0.05 | 0 | 5 | 0.5 |
| MANSION HOUSE & CENTRAL CRIMINAL COURT [09] | 0.6 | 0.11 | 0.49 | 6 | 0.5 |
| MARKETS & CONSUMER PROTECTION [41] | 0.76 | 0.38 | 0.39 | 20 | 0.5 |
| OPEN SPACES DEPARTMENT [50] | 0.96 | 0.29 | 0.67 | 24 | 0.5 |
| REMEMBRANCER'S OFFICE [59] | 0.21 | 0.21 | 0 | 4 | 0.5 |
| THE BUILT ENVIRONMENT [54] | 0.48 | 0.21 | 0.28 | 12 | 0.5 |
| TOWN CLERKS DEPARTMENT [77] | 0.47 | 0.15 | 0.32 | 15 | 0.5 |
| Total | 0.54 | 0.21 | 0.33 | 182 | 0.5 |

Notes: Totals sickness days lost / Total of FTE in department

Corporate Dashboard June 2019

Sickness lost by Absence reason - June 2019

| Absence Reason | Working days lost in last month | Percentage of working days lost in last | Working days lost in year | Percentage of working days lost in year |
|--|---------------------------------|---|---------------------------|---|
| Anxiety/stress/depression/other psychiatric illnesses | 457 | 21.77% | 6263 | 23.59% |
| Gastrointestinal problems | 278 | 13.24% | 2477.5 | 9.33% |
| Other musculoskeletal problems -excluding back problems, including neck problems | 228 | 10.86% | 2745 | 10.34% |
| Cold, Cough, Flu (Influenza) | 159.5 | 7.60% | 2665.5 | 10.04% |
| Back Problems | 152 | 7.24% | 1753 | 6.60% |
| Genitourinary & gynaecological disorders - excluding pregnancy related disorders | 132 | 6.29% | 1147 | 4.32% |
| Injury, fracture | 125 | 5.95% | 1259 | 4.74% |
| Ear, nose, throat (ENT) | 107 | 5.10% | 786 | 2.96% |
| Other Reason (not classified elsewhere) | 100 | 4.76% | 1573 | 5.92% |
| Heart, cardiac & circulatory problems | 84 | 4.00% | 1043 | 3.93% |
| Benign and malignant tumours, cancers | 81 | 3.86% | 1452 | 5.47% |
| Chest & respiratory problems | 54 | 2.57% | 1134 | 4.27% |
| Headache / migraine | 32 | 1.52% | 623 | 2.35% |
| Skin disorders | 22 | 1.05% | 202 | 0.76% |
| Asthma | 21 | 1.00% | 198 | 0.75% |
| Infectious diseases | 21 | 1.00% | 232 | 0.87% |
| Nervous system disorders - excluding headache/migraine | 19 | 0.90% | 109 | 0.41% |
| Dental and oral problems | 9 | 0.43% | 154 | 0.58% |
| Pregnancy related disorders | 8 | 0.38% | 215 | 0.81% |
| Eye problems | 7 | 0.33% | 212 | 0.80% |
| Endocrine / glandular problems (e.g. diabetes, thyroid, metabolic problems) | 3 | 0.14% | 153 | 0.58% |
| Blood disorders (e.g. anaemia) | 0 | 0.00% | 116 | 0.44% |
| Burns, poisoning, frostbite, hypothermia | 0 | 0.00% | 13 | 0.05% |
| Substance abuse - including alcoholism & drug dependence | 0 | 0.00% | 29 | 0.11% |
| Total | 2099.5 | 100.00% | 26554 | 100.00% |

Corporate Dashboard June 2019

Agency staff – Snapshot June 2019

| Department | Headcount |
|--|------------------|
| Barbican Centre | 6 |
| Central Criminal Court | 9 |
| Chamberlains Department | 10 |
| City Of London Police Civilians | 22 |
| City Of London School | 3 |
| City Surveyors Department | 12 |
| Community & Children's Services Department | 50 |
| Comptroller & City Solicitors Department | 4 |
| Freemen's School | 2 |
| Mansion House | 8 |
| Markets & Consumer Protection | 13 |
| Open Spaces Department | 22 |
| Remembrancer's Office | 1 |
| The Built Environment | 29 |
| Town Clerk's Department | 38 |
| Grand Total | 239 |

| | |
|---|--------------------------------|
| Committee: | Date: |
| Establishment Committee | 5 th September 2019 |
| Subject: | Public |
| Revenue Outturn 2018-19 | |
| Report of: | For Information |
| The Town Clerk, the Chamberlain, the Comptroller and City Solicitor | |
| Report Author: Laura Tuckey, Chamberlain's Department | |

Summary

This report compares the revenue outturn for the services overseen by your Committee in 2018-19 with the final budget for the year. Overall total net expenditure during the year was £13.010m whereas the budget was £12.741m representing an overspend of £269,000 as summarised below.

| | Final Budget £000 | Revenue Outturn £000 | Variations Worse/ (Better) £000 |
|--------------------------------------|----------------------|----------------------------|--|
| Chief Officer | | | |
| Total Town Clerk | 7,326 | 7,362 | 36 |
| Total Comptroller and City Solicitor | 3,514 | 3,642 | 128 |
| Total Chief Officer | 10,840 | 11,004 | 164 |
| Support Services | 1,901 | 2,006 | 105 |
| Net Expenditure | 12,741 | 13,010 | 269 |

The worse than budget position mainly relates to overspends on central risk and support services (further details can be found in paragraphs 3 and 6 of the main report).

The Town Clerk proposed to carry forward £77,000 of the £167,000 local risk underspend and the Comptroller and City Solicitor will not be requesting any carry forward due to the department having a local risk underspend of only £5,000. These proposals have been agreed by the Chamberlain in consultation with the Chairman and Deputy Chairman of the Resource Allocation Sub Committee and have been added to budgets for 2019-20.

Recommendations

It is recommended that this revenue outturn report for 2018-19 and the budgets carried forward to 2019-20 are noted.

Main Report

Budget Position for 2018-19

1. The 2018-19 original budget for the services overseen by your Committee was £11.699m as endorsed by the Court of Common Council in March 2018. This has subsequently been increased to a final budget of £12.741m. An analysis of the increase of £1.042m is provided in Appendix 1.

Revenue Outturn for 2018-19

2. As indicated in the table in the summary, actual net expenditure for your Committee's services during 2018-19 totalled £13.010m compared to a budget of £12.741m, resulting in an overspend of £269,000.

Town Clerk - £36,000 increased net requirement

3. The increased requirement of £36,000 is comprised of underspends of £167,000 on local risk and overspends of £203,000 on central risk. A breakdown of local and central risk spend is shown in Appendix 2. Although the overspend in this committee relates to central risk, the Town Clerk's Department as a whole are underspent.
4. The reduced local risk requirement of £167,000 was largely due to:
 - HR was £37,000 under budget due to the Learning Pool licence being underspent due to timing differences and is to be carried forward into 2019-20.
 - There were vacancies within the Graduate posts which resulted in an underspend of £17,000.
 - Vacancies within Committee & Member Services due to timing issues in filling posts resulted in underspends of £53,000.
 - Printing costs were £39,000 under budget due to a change in contract and uncertainty of the final cost due which resulted in more budget being allocated than required.
5. The increased central risk requirement was due to:
 - Salary and other ancillary costs totalling £120,000 which had no associated budget increase.
 - Union staffing and the associated on costs were over budget due to a redundancy cost of £27,000 as well as an additional over spend against budget of £27,000 for a pension payment relating to the same redundancy. The remaining £16,000 difference is due to variations in substantive posts salaries compared to the union staffing budget.

Comptroller and City Solicitor - £128,000 increased net requirement.

6. The increased net requirement of £128,000 was comprised of minor underspends of £5,000 on local risk and an under recovery of income against budget of £133,000 on central risk as shown in Appendix 2.

7. The central risk worse than budget outcome was due to:
- A reduction in property related legal fee income that has resulted in a worse than budget position of £133,000. This was due to a reduced number of property transactions as a result of market conditions. The income target on central risk will be looked at in the budget setting process.

Carry Forwards to 2019-20

8. In relation to their cash limited budgets, Chief Officers can request up to 10% of the total underspend or £500,000 (whichever is the lesser amount) to be carried forward provided the underspending is not fortuitous and the resources are required for a planned purpose. Such requests are considered by the Chamberlain in consultation with the Chairman and Deputy Chairman of the Resource Allocation Sub Committee.
9. Local Risk overspends are carried forward in full to be met from agreed 2019-20 budgets. However, there are no such overspends in relation to the services overseen by the Establishment Committee.
10. The Town Clerk has proposed to carry forward £77,000 of their underspends. Details of the use of the carry forwards are set out in Appendix 3.
11. These proposals have been agreed by the Chamberlain in consultation with the Chairman and Deputy Chairman of the Resource Allocation Sub Committee and the 2018-19 budgets increased accordingly.

Appendices

- Appendix 1 – Analysis of movements from 2018-19 Original Budget to 2018-19 Final Budget
- Appendix 2 – Local & Central Risk Breakdown
- Appendix 3 – Carry Forwards

Peter Kane
Chamberlain

John Barradell
Town Clerk

Michael Cogher
Comptroller & City Solicitor

Contact Officers:

Laura Tuckey, Chamberlain's Department
020 7332 1761
laura.tuckey@cityoflondon.gov.uk

Sarah Blogg, Town Clerk's Department
020 7332 1982
sarah.blogg@cityoflondon.gov.uk

Nick Senior, Comptroller and City Solicitor's Department
020 7332 1668
nick.senior@cityoflondon.gov.uk

APPENDIX 1

| Analysis of movements 2018-19 Original Budget to Final Budget | £000 |
|--|---------------|
| Original Local Risk Budget (Town Clerk) | 6,529 |
| Contribution Pay & Pension Increases | 57 |
| Local Risk carry forward from Town Clerk's underspend in 2017-18 | 88 |
| 2% Inflation | 124 |
| Apprentice costs met from central allocations | 83 |
| Committee and Member Service Team additional resources | 111 |
| Diversity & Business Engagement | 36 |
| Chauffeur vehicles moved from Finance Committee | 15 |
| Final Local Risk Budget (Town Clerk) | 7,043 |
| Original Local Risk Budget (Comptroller and City Solicitor) | 3,263 |
| Contribution Pay & Pension Increases | 59 |
| Local Risk carry forward from Comptrollers underspend in 2017-18 | 100 |
| Increase above Base Resource Allocation as per Court Common Council approval | 169 |
| Apprentice costs met from central allocations | 8 |
| Senior Research Officer posts moved from Surveyors | 115 |
| Final Local Risk Budget (Comptroller and City Solicitor) | 3,714 |
| Original Central Risk Budget (Town Clerk) | 131 |
| Union Costs | 80 |
| Pensioners Lunch & Annual Staff Meal moved from Grants | 72 |
| Final Central Risk Budget (Town Clerk) | 283 |
| Original Central Risk Budget (Comptroller and City Solicitor) | -200 |
| No change to budget | 0 |
| Final Central Risk Budget (Comptroller and City Solicitor) | -200 |
| Original Support Services and Capital Charges Budget | 1,976 |
| Net movements | -89 |
| Final Support Services and Capital Charges Budget | 1,887 |
| Total Original Budget | 11,699 |
| Total increase | 1,042 |
| Total Final Budget | 12,741 |

APPENDIX 2

| | Original Budget | Final Budget | Revenue Outturn | Variations Worse/(Better) |
|--------------------------------------|------------------------|---------------------|------------------------|----------------------------------|
| | £000 | £000 | £000 | £000 |
| Chief Officer | | | | |
| Local Risk | | | | |
| The Town Clerk | 6,529 | 7,043 | 6,876 | (167) |
| The Comptroller and City Solicitor | 3,263 | 3,714 | 3,709 | (5) |
| Total Local Risk | 9,792 | 10,757 | 10,585 | (172) |
| Central Risk | | | | |
| The Town Clerk | 131 | 283 | 486 | 203 |
| The Comptroller and City Solicitor | (200) | (200) | (67) | 133 |
| Total Central Risk | (69) | 83 | 419 | 336 |
| Total Town Clerk | 6,660 | 7,326 | 7,362 | 36 |
| Total Comptroller and City Solicitor | 3,063 | 3,514 | 3,642 | 128 |
| Total Chief Officer | 9,723 | 10,840 | 11,004 | 164 |
| Support Services | 1,976 | 1,901 | 2,006 | 105 |
| Net Expenditure | 11,699 | 12,741 | 13,010 | 269 |

APPENDIX 3

| To Be Approved Carry Forwards | £000 |
|--|---------------------|
| <p><u>The Town Clerk</u></p> <p>The second instalment of the Learning Pool license was due on 31st March 2019, but the full cost could not be charged to 18/19 as only one day fell in the financial year 18/19. In addition, due to an increase in demand for mandatory training, the City of London Corporation exceeded its allocation of users. Mandatory training applies to almost all staff including FTCs and other short term employees. Each account, which could potentially only have been used once, had to be open for 12 months. This led to an increased amount of users resulting in an increased cost of £4,000.</p> <p>The contract for the leasing of the chauffeur vehicles was due to expire in the financial year 18-19, but this was extended pending agreement by Members of the Corporation's ULEZ strategy and funding arrangements . The intention is to either source a new contract or consider purchasing new vehicles, subject to working with procurement to source the best available option. The intention is to pay a large deposit, which will drive down the overall cost.</p> | <p>37</p> <p>40</p> |
| Total Town Clerk | 77 |

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