

Managing People Policy

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Statement of intent

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

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

Scope

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

Purpose of the Managing People Policy

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

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

Aims

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

Responsibilities

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

17. Employees are expected to:

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

18. HR will:

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

Levels of authority

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

Level 1

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

Level 2

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

Level 3

Managers at Grade E, F, G, H

Level 4

Managers/supervisors at Grade D or below

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

21. In addition in exceptional circumstances:

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

List of appendices

None

Links / Other resources

[Code of Conduct](#)

[Disciplinary Procedure](#)

[Grievance Procedure](#)

[Capability Procedure](#)

[Sickness Absence Policy](#)

[Probationary Policy](#)

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

Table: Management levels authorised to take action

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

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