



Establishment Committee

Date: THURSDAY, 9 JUNE 2016

Time: 11.30 am

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

Members: Randall Anderson
Mark Boleat
Nigel Challis
Deputy Billy Dove
Alderman Peter Estlin
Deputy Kevin Everett
Deputy the Revd Stephen Haines
Deputy Jamie Ingham Clark
Edward Lord
Jeremy Mayhew
Sylvia Moys
Deputy Joyce Nash
Barbara Newman
Deputy Richard Regan
Deputy Elizabeth Rogula
Angela Starling
Philip Woodhouse

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

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **ORDER OF THE COURT OF COMMON COUNCIL**
To receive the Order of the Court of Common Council from 21 April 2016.

For Information
(Pages 1 - 2)
4. **ELECTION OF CHAIRMAN**
To elect a Chairman in accordance with Standing Order 29.

For Decision
5. **ELECTION OF DEPUTY CHAIRMAN**
To elect a Deputy Chairman in accordance with Standing Order 30.

For Decision
6. **MINUTES**
To agree the public minutes and summary of the meeting held on 19 April 2016.

For Decision
(Pages 3 - 8)
7. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.

For Information
(Pages 9 - 12)
8. **APPOINTMENT OF THE JOINT CONSULTATIVE COMMITTEE**
To appoint four Members, in addition to the Chairman, Deputy Chairman and representative of the Finance Committee, to the Joint Consultative Committee.

The Joint Consultative Committee will meet at 1.45pm on 9 June 2016.

For Decision
9. **TRADE UNION ACT**
Report of the Remembrancer.

For Information
(Pages 13 - 14)
10. **REFRESHING THE PAY AND REWARD STRATEGY FOR THE CITY OF LONDON CORPORATION**
Report of the Director of Human Resources.

For Decision
(Pages 15 - 18)

11. **CENTRAL CRIMINAL COURT - REPORTING LINES**
Report of the Deputy Town Clerk.

For Information
(Pages 19 - 28)
 12. **REVISED DISCIPLINARY AND DISMISSAL PROCEDURE FOR THE HEAD OF PAID SERVICE, MONITORING OFFICER AND CHIEF FINANCIAL OFFICER**
Report of the Director of Human Resources.

For Decision
(Pages 29 - 42)
 13. **NEW APPRENTICESHIP LEVY AND TARGET**
Report of the Director of Human Resources.

For Information
(Pages 43 - 46)
 14. **ANNUAL EQUALITIES IN EMPLOYMENT MONITORING REPORT**
Report of the Director of Human Resources.

For Information
(Pages 47 - 74)
 15. **HUMAN RESOURCES DASHBOARDS**
Report of the Director of Human Resources.

For Information
(Pages 75 - 84)
 16. **OPERATION OF THE SCHEME OF DELEGATIONS - JANUARY - MARCH 2016**
Report of the Director of Human Resources.

For Information
(Pages 85 - 86)
 17. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
 18. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
 19. **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**
20. **NON-PUBLIC MINUTES**
To agree the non-public minutes of the meeting held on 19 April 2016.

For Decision
(Pages 87 - 88)

21. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

For Information
(Pages 89 - 90)

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

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

Part 3 - Confidential Agenda

24. **CONFIDENTIAL MINUTES**

To agree the Confidential minutes of the last meeting held on 19 April 2016.

25. **CONFIDENTIAL APPENDIX TO THE QUARTERLY REPORT ON THE OPERATION OF THE SCHEME OF DELEGATION**

Appendix to a report of the Director of Human Resources.

For Decision
For Information

26. **CITY SURVEYOR'S DEPARTMENT - EXTENSION OF HONORARIA PAYMENTS**

Report of the City Surveyor.

For Decision

27. **CHAMBERLAIN'S DEPARTMENT - MARKET FORCES SUPPLEMENT**

Report of the Chamberlain.

For Decision

28. **2016/17 PAY AWARD**

Report of the Director of Human Resources.

For Decision

29. **TOWN CLERK'S DEPARTMENTAL RECONFIGURATION: UPDATE**

Town Clerk to be heard.

For Decision

Agenda Item 3

MOUNTEVANS, Mayor	RESOLVED: That the Court of Common Council holden in the Guildhall of the City of London on Thursday 21st April 2016, doth hereby appoint the following Committee until the first meeting of the Court in April, 2017.
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ESTABLISHMENT COMMITTEE

- 1. Constitution**
A Non-Ward Committee consisting of,
 - one Alderman nominated by the Court of Aldermen
 - 15 Commoners elected by the Court of Common Council at least two of whom shall have fewer than five years' service on the Court the time of their appointment
 - a representative of the Finance Committee

- 2. Quorum**
The quorum consists of any four Members.

- 3. Membership 2016/17**

ALDERMAN

- 2 Peter Estlin

COMMONERS

- 4 (4) William Harry Dove, O.B.E., J.P., Deputy
4 (4) Wendy Mead, O.B.E.
8 (4) Sylvia Doreen Moys
6 (4) Angela Mary Starling
4 (3) Kevin Malcolm Everett, Deputy
7 (3) The Revd. Stephen Decatur Haines, Deputy
8 (3) Charles Edward Lord, O.B.E., J.P.
2 (2) Randall Keith Anderson, *for three years*
4 (2) Nigel Kenneth Challis
4 (2) Richard David Regan, O.B.E., Deputy
6 (2) Elizabeth Rogula, Deputy
2 (2) Philip John Woodhouse
4 (1) Jeremy Paul Mayhew
30 (1) Joyce Carruthers Nash, O.B.E., Deputy
20 (1) Barbara Patricia Newman, C.B.E.

together with the ex-officio Member referred to in paragraph 1.

- 4. Terms of Reference**

- (a) The Establishment Committee has specific authority to deal with or make recommendations to the Court of Common Council where appropriate on all matters relating to the employment of City of London Corporation employees where such matters are not specifically delegated to another Committee. These matters include:-
 - Conditions of employment;
 - Superannuation (apart from investments);
 - Workforce planning;
 - Wages, salaries structure, job evaluation, staff grading and remuneration of Senior Officers;
 - Organisation reviews;
 - Employee relations;
 - Joint consultation;
 - Learning and employee development;
 - Recruitment and selection;
 - Discipline, dismissal, redundancies in line with the appropriate stages in policy etc.;
 - Occupational health, safety and welfare;

NB. The exception to this rule is, whilst the support staff in the City of London Police come within the purview of this Committee, the uniformed Police come under the Police Committee.

- (b) To approve:-
 - (i) Reports of Heads of Departments recommending changes to senior management posts of Grade I and above which need the approval of the Court.
 - (ii) The structure and application of Job Evaluation Schemes and any amendments thereto.
- (c) To approve and promulgate Human Resources policies and practices so that the City of London Corporation can recruit, retain and motivate its employees and carry out its functions to the highest standards of quality and cost effectiveness;
- (d) To instigate and promulgate organisational reviews of departments and to approve their reports and comments on proposed changes in organisation to ensure that manpower resources are deployed in an efficient and effective manner.
- (e) To make amendments to:-
 - (i) the general terms and conditions of employment which are contained in the employee handbook, such as working hours, annual leave, superannuation, leave of absence, allowances, parental leave provisions, and sick pay;
 - (ii) those procedures which form part of the contract of employment to include the grievance, disciplinary, capability, harassment, and appeals procedures, the learning and employee development scheme, motor car, and motorcycle assisted purchase scheme and the staff suggestion scheme.
- (f) To appoint seven members (including the representative of the Finance Committee):-
 - (i) to act as the Employer's side of the Joint Consultative Committee when meeting 8 members of the recognised unions, AMICUS and GMB for the purpose of collective consultation and negotiation on general matters relating to salaries and terms and conditions of service etc. of City of London Corporation employees up to and including Grade G but excluding teachers and City Police Officers;
 - (ii) to act as the Employer's side of the Senior Management Joint Consultative Committee when meeting representatives of senior management of grades H and above, including High and Table Officers, for the purpose of collective consultation and negotiation on general matters relating to salaries and terms and conditions of service, etc.;
- (g) To increase Judges' salaries if they follow the recommendations of the Top Review Board and are approved by the Lord Chancellor.
- (h) To increase the salary of the Coroner if it follows the recommendations of the Joint Negotiating Committee for Coroners.
- (i) To consider submissions of the Board or Boards of Governors relating to teaching staff, which, inter alia, may have to be finally submitted to the Court of Common Council.
- (j) To approve any increase in the salaries for teachers at the three City Schools if they are in excess of that recommended by the School Teachers' Review Body and any proposed changes to the basic salary structure or restructuring of the common pay spine for teachers.
- (k) To approve:-
 - (i) the learning and employee development policy, strategy and budget;
 - (ii) the Health and Safety and Occupational Health policies and strategies.
- (l) To be the service Committee for the following Departments:-
Town Clerk's (Policy and Democratic Services, including Corporate HR)
Comptroller and City Solicitor's
- (m) To be responsible for the appointment of the Coroner (and see (h) above).
- (n) In accordance with the Scheme of Delegation, to receive details of:
 - i) redundancies and early retirements
 - ii) Professional Fees and Annual Subscriptions
 - iii) Market Forces Supplements
 - iv) Long Service Awards
 - v) payment to an officer of an honorarium, gratuity or payment for extra services
 - vi) the extension of service of an officer who has reached retirement age or for an extension of sick leave of an officer whether on full or half pay
- (o) To be responsible for the monitoring and control of overtime, sickness absence, changes to staffing resources, equal opportunities, job evaluation and the termination of employment.
- (p) To have oversight of the City of London Corporation's policies and practices in respect of equality and inclusion, including the implementation of the Equality Act 2010 and other relevant legislation.
- (q) Dealing with requests for grants to support staff welfare initiatives from funds under the Committee's control.

ESTABLISHMENT COMMITTEE

Tuesday, 19 April 2016

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

Present

Members:

Deputy the Revd Stephen Haines
(Chairman)
Edward Lord (Deputy Chairman)
Nigel Challis
Deputy Billy Dove
Alderman Peter Estlin
Deputy Jamie Ingham Clark
Jeremy Mayhew

Sylvia Moys
Deputy Joyce Nash
Barbara Newman
Deputy Richard Regan
Deputy Elizabeth Rogula
Angela Starling

Officers:

John Barradell	- Town Clerk and Chief Executive
Simon Murrells	- Assistant Town Clerk
Christopher Braithwaite	- Town Clerk's Department
Caroline Al-Beyerty	- Chamberlain's Department
Chrissie Morgan	- Director of Human Resources
Janet Fortune	- Human Resources Department
Tracey Jansen	- Human Resources Department
Damian Nussbaum	- Director of Economic Development

1. APOLOGIES

Apologies for absence were received from Randall Anderson, Deputy Kevin Everett, Wendy Mead and Philip Woodhouse.

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

There were no declarations of interest.

3. MINUTES

RESOLVED – That the public minutes and summary of the meeting held on 10 March 2016 be approved as an accurate record.

4. OUTSTANDING ACTIONS REPORT

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

RESOLVED – That the Committee notes the report.

5. **MINUTES OF THE JOINT CONSULTATIVE COMMITTEE**

RESOLVED – That the public minutes and summary of the meeting of the Joint Consultative Committee held on 10 March 2016 be noted.

6. **RESOLUTION FROM FINANCE COMMITTEE**

The Committee considered a resolution from the Finance Committee which set out the Finance Committee's concerns that there may be a potential "bow wave" risk regarding recruitment and retention due to a lack of pay rises for local government employees.

Members commented that the Establishment Committee did act to ensure that, where specific cases were brought to their attention, Market Forces Supplements were paid to staff whose pay was demonstrably below the market rate for their role. The Committee also noted that the next item for consideration on the agenda was regarding the revising of the Pay and Reward structure of the Corporation to ensure that it was modernised.

RESOLVED – That the Committee notes the resolution from the Finance Committee.

7. **REFRESHING THE PAY AND REWARD STRATEGY FOR THE CITY OF LONDON CORPORATION**

The Committee considered a report of the Director of Human Resources which provided the Committee with information regarding the proposals to refresh the reward and recognition approach within the Corporation.

The Committee commented that it welcomed this work being undertaken and agreed that it was a vital area for the Committee to address. Members particularly noted the need, in the short term, to reassess the approach to Market Forces Supplements (MFSs) to allow these to be awarded more quickly where necessary, to avoid unnecessary delays to recruitment or the risk of losing key members of staff.

The Committee agreed that a more responsive approach to MFSs would be very beneficial, and agreed that this could be achieved by increasing the threshold for approval of MFSs by the Director of Human Resources, adding a threshold for which approval of MFSs could be delegated to the Town Clerk (in consultation with the Chairman and Deputy Chairman of the Establishment Committee) and thereby increasing the threshold at which approval was required to be sought at a meeting of the Establishment Committee.

The Committee indicated that it would be likely to be appropriate for the thresholds to be based on the percentage increase in salary that proposed MFSs constituted, rather than being based on the financial value of the MFS. The Committee indicated that the following threshold may be appropriate:

- MFS of up to 15% of salary – approval by the Director of Human Resources;
- MFS of between 15% and 25% of salary – approval by the Town Clerk, in consultation with the Chairman and Deputy Chairman of the Establishment Committee;

- MFS of over 25% of salary – approval by the Establishment Committee.

The Committee requested that the Director of Human Resources provide the Committee with a report setting out the implications of these proposals.

RESOLVED – That the Committee:

- a) notes the report;
- b) requests that the Director of Human Resources provide a report to the Committee setting out proposals for revisions to the procedure for the approval of Market Forces Supplements.

8. **TOWN CLERK'S BUSINESS PLAN 2016/17**

The Committee considered a report of the Town Clerk which set out the Town Clerk's Departmental Business Plan 2016/17.

Members commented that the report only provided those risks which were on the Corporate Risk Register, and did not provide the full Departmental Risk Register. The Committee agreed that the Departmental Risk Register should be provided to the Committee following the meeting.

A Member commented that the Key Performance Indicators within the Business Plan indicated a relatively narrow focus upon specific targets, rather than using more strategic measures and metrics (such as employee satisfaction). The Town Clerk advised that it was hoped that the Member survey could assist in providing some such metrics. The Town Clerk also advised that he was intending to host a briefing for Members in early June 2016 to discuss improving the strategic framework of the organisation around people, place and prosperity, and ensuring that Business Plans were linked to these priorities.

Members commented that the format of the Business Plan could be improved to be focused upon the issues which would be of concern to Members. The Town Clerk explained that the format would be reviewed to ensure that the Business Plans were useful for both Members and Officers, as that was not currently the case. The Town Clerk advised that Members would be consulted as part of this process.

The Town Clerk also updated Members on the work to improve the IT Service Provision for the Corporation and the Police.

RESOLVED – That the Committee approves the Town Clerk's Departmental Business Plan 2016/17.

9. **COMPTROLLER AND CITY SOLICITOR'S BUSINESS PLAN 2016/17**

The Committee considered a report of the Comptroller and City Solicitor which set out his Departmental Business Plan for 2016/17.

A Member commented that it would have been beneficial for the Risk Register to be presented in the full format, rather than in the summary format presented within the report.

RESOLVED – that the Committee approves the Comptroller and City Solicitor's Departmental Business Plan 2016-2019.

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

There were no questions.

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

There were no urgent items.

12. **EXCLUSION OF THE PUBLIC**

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

Item	Paragraph
13, 16, 22	3
14, 20	1, 3
15	4
17	1, 2
21	1
23	1, 2, 4

13. **NON-PUBLIC MINUTES**

The non-public minutes of the meeting held on 10 March 2016 were approved.

14. **OUTSTANDING ACTIONS REPORT**

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

RESOLVED – That the Committee notes the report.

15. **NON-PUBLIC MINUTES OF THE JOINT CONSULTATIVE COMMITTEE**

The non-public minutes of the meeting of the Joint Consultative Committee held on 10 March 2016 were noted.

16. **RESOLUTION FROM CORPORATE ASSET SUB-COMMITTEE**

The Sub-Committee considered a resolution from the meeting of the Corporate Asset Sub-Committee on 11 March 2016, regarding recruitment.

17. **STAFF RESOURCES IN THE COMPTROLLER AND CITY SOLICITOR'S DEPARTMENT - CONTRACTS AND PROCUREMENT**

The Committee noted a joint report of the Chamberlain and the Comptroller and City Solicitor which advised Members of additional resources being sought within the Comptroller and City Solicitor's Department in the area of contracts and procurement.

18. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There were no questions.
19. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**
There were no items of urgent business.
20. **CONFIDENTIAL MINUTES**
The confidential minutes of the meeting held on 10 March 2016 were approved.
21. **DEPARTMENT OF THE BUILT ENVIRONMENT - SENIOR LEADERSHIP TEAM CHANGE PROGRAMME**
The Town Clerk advised that this report had been withdrawn.
22. **REQUEST FOR MARKET FORCES SUPPLEMENT - CHAMBERLAIN'S DEPARTMENT**
The Committee considered and approved a report of the Chamberlain which requested approval for a Market Forces Supplement for a post within the Chamberlain's Department.
23. **TOWN CLERK'S DEPARTMENT - RESTRUCTURE OF A DIVISION**
The Committee noted a report of the Town Clerk which provided the Committee with information regarding a potential restructure of a Division within the Town Clerk's Department.

The meeting closed at 3.00 pm

Chairman

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Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	19 April 2016, Item 8	The Town Clerk to host a briefing for Members in early June 2016 to discuss improving the strategic framework of the organisation around people, place and prosperity, and ensuring that Business Plans were linked to these priorities.	Town Clerk	June 2016	An all-Member Breakfast event has been scheduled for 8 June 2016.
2.	10 March 2016, Item 5	<u>Unconscious Bias Training</u> The Committee requested that the Member Development Steering Group consider whether equality and inclusion training, including training on unconscious bias, should be mandatory for all Members.	Town Clerk	May 2016	A resolution from the Member Development Steering Group is appended to this report.
3.	10 December 2015, Item 8	<u>Central Criminal Court</u> A report to be submitted to his Committee and other relevant Committees regarding the reporting lines for the Central Criminal Court.	Town Clerk	Completed	A report is included on the agenda for this meeting. This report has also been considered by various other Committees.
4.	28 October 2015, Item 6	<u>Trade Union Bill</u> Further updates on the implications of the Trade Union Bill to be provided as the Bill progresses through Parliament.	Remembrancer	As required with progress of the Bill	A report is included on the agenda for this meeting

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TO: **ESTABLISHMENT COMMITTEE**

Thursday, 9 June 2016

FROM: **MEMBER DEVELOPMENT STEERING GROUP** Monday, 16 May 2016

UNCONSCIOUS BIAS TRAINING

The Steering Group received a resolution from the Establishment Committee asking that they consider whether equality and inclusion training, including training on unconscious bias should be mandatory for all Members.

The Town Clerk advised that HR had already been asked to provide the details of a suitable training provider to deliver a briefing to Members on equality and diversity issues and further information was awaited. The Group asked that written guidance be provided to Members ahead of a briefing being scheduled to ensure that all Members were aware of the key issues and their responsibilities as elected Members. The Steering Group stressed that whilst attendance at training could be strongly encouraged, no training was mandatory.

RESOLVED – That:

- a) the Steering Group noted the report and instructed the Town Clerk to send a response to the Establishment Committee on behalf of the Steering Group; and
- b) the Town Clerk liaise further with HR regarding the circulation of written guidance to Members about equality and inclusion and a learning and development session on this topic be scheduled at the earliest opportunity.

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Committee: Establishment Committee	Date 9 June 2016
Subject: Trade Union Act	Public
Report of: Remembrancer	For Information
Report author: Sam Cook	

Summary

This report advises the Committee of the enactment of the Trade Union Act, the Bill for which was the subject of a report to the Committee last year. The most significant measures in the Act are the introduction of minimum turnout thresholds for industrial ballots and a requirement for union members actively to opt in to financial contributions to political activity. Of more direct interest to the Committee is a new requirement to publish information about ‘facility time’ afforded to union representatives employed by public sector bodies. Plans to end ‘check-off’ (the automatic deduction of union subscription fees from pay packets) in the public sector were abandoned in the face of opposition in the House of Lords, but the costs of such arrangements will in future have to be funded by the unions.

Recommendation

It is recommended that the Committee notes the report.

Main Report

1. The Trade Union Bill was the subject of a written report to the Committee in October last year. It has now completed its passage through Parliament and entered into law as the Trade Union Act 2016.
2. As described in the earlier report, the main proposal in the Bill was the introduction of minimum turnout thresholds for ballots on industrial action. The Government intends to use the measure to require fifty per cent of eligible union members to vote in order for a ballot to be valid, with a further requirement in certain key public sectors that forty per cent of eligible members vote in favour of the proposed industrial action. Those key sectors include health, education, fire and transport, but not local government. In order to secure agreement to the thresholds in the House of Lords, the Government agreed to carry out a review of the feasibility of allowing electronic balloting, which unions believe will encourage higher turnouts.
3. The other main controversy during the passage of the Bill concerned a proposal to require union members actively to opt in to financial contributions to political activity carried on by or through the union (including donations to political parties). Following cross-party opposition in the Lords, the Government conceded that the measure should apply only to those who become union members after the new law takes effect, and the Act provides accordingly.
4. A provision of more direct interest to the Committee will require public sector bodies to publish information about the ‘facility time’—time allocated for

carrying out union duties—afforded to union officials employed by them. The details of the information to be published will be contained in regulations, but are likely to include the number of union officials employed, the proportion of their paid time spent on union activities, and the proportion of the employer's total pay bill spent on facility time. So far as local government is concerned, such requirements will overlap substantially with those already laid down in the Local Government Transparency Code. Dialogue with officials has clarified that the requirements will apply to the Common Council only in its capacities as a local authority, police authority and port health authority—in effect, in relation to employees paid from public funds. No firm indication has been given as to when the requirements will be brought into force, but it is not expected to be before the autumn.

5. The Bill also proposed a power to impose legal restrictions on facility time in the public sector. The Government indicated that the power was only intended to be used as a last resort if publicity requirements did not curtail what it considered to be the excessive use of facility time in some quarters. After initial resistance in the Lords, this provision was agreed to with the addition of further safeguards. They will mean that the power only becomes available three years after the publicity requirements take effect, and after the employer concerned has been given an opportunity to respond to the Government's concerns.
6. At its meeting last October, the Committee was advised orally that the Government was seeking to insert further provision into the Bill which would end the practice of 'check-off'—the automatic deduction of union subscription fees from pay packets by an employer—in the public sector. Amendments to this effect were agreed to by the Commons but encountered resistance in the Lords. The Government subsequently abandoned its plan to prohibit check-off. Instead, the Act requires that the administrative costs of check-off be met by the union concerned, and that union members be offered alternative means of paying subscription fees. These requirements will have to be applied to the check-off arrangements operated by the Common Council, so far as they concern employees paid from public funds. The Government has indicated that it will wait at least one year before bringing the changes into force, in order to enable the necessary arrangements to be put in place.

Sam Cook

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Committee: Establishment Committee	Date: 9 June 2016
Subject: Refreshing the Pay and Reward Strategy for the City of London Corporation	Public
Report of: Director of Human Resources	For Decision
Report author: Janet Fortune, Human Resources Department	

Summary

This report follows the report in April on refreshing pay and reward in City of London. It sets out a proposal for a short term measure to increase delegation of awarding a Market Forces Supplement to the Market Forces Board, which is an officer panel.

Market Forces Supplements are applied to posts where the job is graded by internal relativities but has a higher market value which can be independently verified. Honoraria, on the other hand, are applied to an individual on the basis of work done above and beyond their objectives.

Although this report considers similar delegation of Honoraria payments it does not recommend any changes.

Recommendations

The Committee is recommended to agree that:

- a) In order to retain the robust system all supplements can only be awarded on the basis of independently verified market data, using valid comparators.
- b) Submissions have to include what has been done to make the job and the department more attractive to candidates or to retain existing staff.
- c) Submissions must also include what terms and conditions have been considered to widen the field of candidates including increasing diversity.
- d) Market Forces Supplements can be awarded by the Market Forces Board up to:
 - i. £10,000 for posts grade F and below
 - ii. £15,000 for Grades G & H
 - iii. £20,000 for Grades I & J
- e) All supplements awarded are summarised and reported to Establishment Committee four times a year.
- f) Payment of honoraria remains unchanged

Main Report

Background

1. The Committee considered a report on 19 April on refreshing the Pay and Reward Strategy for the City of London. One of the short term measures in that report was for the Committee to consider giving more delegated authority to Officers in respect of MFS and Honoraria.
2. The Committee agreed this in principle and asked for a report back to this Committee meeting with a proposal for revising the system as a short term measure.

Current Position

3. The current delegation is for Honoraria or Market Forces Supplements of £5,000 or less for Grade A to H to be awarded by the Director of HR in consultation with the Market Forces Panel. All applications for Grade I and J and Chief Officers come to this Committee and any submission for an award over £5,000 for any grade has to be agreed by this Committee. These levels were set some time ago and are generally felt to be too low for today's markets and salaries.

Market Forces Supplements

4. Whilst the general principle of increasing these limits was agreed by the Committee in April, there was some discussion on whether a percentage differentiation for Market Forces Supplements would be more appropriate than a monetary figure, which would then keep pace with inflation. Members also discussed whether there should be two levels of approval by officers, to a certain level approved by the Market Forces Board, and a second higher level that could be agreed under delegated authority by the Town Clerk, in consultation with the Chairman and Deputy Chairman of Establishment Committee.
5. It is important that any revised system does not reduce the rigorous test for the application of a market forces supplement, but at the same time does not unnecessarily increase the bureaucracy or complexity of the process.
6. A percentage of salary, as a basis for distinguishing between those approved by Committee or by Officers has been investigated, but it does present some issues. If say 15% is applied to all the grades it equates to less than £5,000 for all grades up to Grade E. In effect more submissions may be made to Establishment Committee than at present.
7. It would seem to make sense therefore that for Grades below F that a monetary limit is more appropriate. The proposal would be for this to be £10,000, so any submissions for a supplement less than £10,000 would be agreed at the point of submission by the Market Forces Panel, and then reported to Establishment Committee with a summary of the rationale.

8. The £10,000 limit would be increased each year by the cost of living increase so as to keep pace with inflation.
9. There are 4 grades above Grade F, a limit of 20% for the top of the each grade would equate to:
 - a. Grade G - £54, 470: £10,894
 - b. Grade H - £63,110: £12,622
 - c. Grade I - £73,150: £14,630
 - d. Grade J - £87,370: £17,474
10. For the sake of simplicity it is proposed that these percentages are grouped rounded up to the nearest £5,000 and therefore it is proposed that Grades G & H have a limit of £15,000 and I & J a limit of £20,000 at which can be awarded by the Officer panel and then reported to Establishment Committee. All supplements for those in the Senior Management Group would still come to Establishment Committee for approval.
11. For simplicity, I have not included in the recommendations a second threshold for consideration under delegated authority from the Committee by the Town Clerk. If there is a requirement to approve a larger MFS in a short timescale, this can be approved by the Town Clerk, in consultation with the Chairman and Deputy Chairman, in line with the existing urgency procedures.

Honoraria

12. There are two ways that an individual can be awarded additional monies as a one off payment; Honoraria and Contribution Pay. Honoraria are distinct from Contribution Pay in that Contribution Pay is awarded for performance which contributes to the organisation. Individual objectives are linked to departmental and corporate objectives and together provide organisational performance. Honoraria are awarded where a significant contribution has been made to the Department specifically and are generally not an individual objective but for something achieved over and above the objectives.
13. Someone works longer hours, or takes on a role outside of their remit for example. Contribution pay is therefore Corporately funded and controlled by a forced distribution curve, whereas honoraria is funded from local risk and often rewards individuals where a saving has been made because of their contribution.
14. The same rules apply currently to honoraria as Market Forces Supplements, so up to £5,000 can be awarded by the officer panel, and over that limit or for Grade I and above the submission comes to Establishment Committee.
15. It is proposed that there are no changes to the delegations from Committee to officers for honoraria. As there is a currently a low level of honoraria granted, the officer panel will consider whether these could be delegated directly to chief offices (with certain conditions).

Proposals

16. In order to maintain a robust system of the awarding of market forces supplements it is proposed that:

- a) All supplements can only be awarded on the basis of independently verified market data, using valid comparators.
- b) Submissions have to include what has been done to make the job and the department more attractive to candidates or to retain existing staff.
- c) Submissions must also include what terms and conditions have been considered to widen the field of candidates including increasing diversity.
- d) Market Forces Supplements can be awarded by the officer panel up to:
 - i. £10,000 for posts grade F and below
 - ii. £15,000 for Grades G & H
 - iii. £20,000 for Grades I & J
- e) All supplements awarded are summarised and reported to Establishment Committee four times a year.
- f) It is further proposed that payment of honoraria remains unchanged.

Corporate & Strategic Implications

17. The scheme of delegations to Chief Officers would have to be amended if this proposal was agreed.

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Committees:	Dates:
Finance Committee	10 May 2016
General Purposes Committee of Aldermen	17 May 2016
Policy and Resources Committee	19 May 2016
Corporate Asset Sub (Finance) Committee	25 May 2016
Establishment Committee	9 June 2016
Subject: Central Criminal Court– Reporting Lines	Public
Report of: Deputy Town Clerk	For Information
Report author: Susan Attard	

Summary

This report provides Members with an opportunity to review the Committee reporting arrangements for the Central Criminal Court (CCC). The CCC currently reports to the Corporate Asset Sub (Finance) Committee (CASC). At a recent meeting of the Establishment Committee, it was questioned whether CASC was the appropriate body to which the CCC should report, as CASC is mainly tasked with operational property maintenance.

This is a particularly important time for the CCC in view of the extensive refurbishment works planned for the building over the next few years and the work currently in-hand with the Recorder and Sheriffs to review and improve working arrangements and practices, and to extend the community engagement role. Bearing this in mind, the CCC has been identified as an area that would benefit from greater coordination and dedicated attention in terms of Member support and oversight.

The CCC does not currently fit naturally within the existing workload of any single Committee. Therefore, this report proposes the creation of a new Committee, reporting directly to the Court of Common Council to oversee virtually all aspects of the work of the CCC for a period of five years. This proposal would ensure a single dedicated point of Member oversight and decision making across the various parts of the operation of the Court at a critical time for the service. The proposed Terms of Reference for this Committee are set out in Appendix 1.

There would be no change to the role of the Court of Aldermen in relation to the appointment of the Secondary and Under Sheriff and all matters relating to the Shrievalty. This report also proposes that the Court of Aldermen establish and agree terms of reference/duties for the Sheriffs to cover their areas of activity at the CCC.

Extracts of the minutes from the Finance Committee on 10 May 2016 and the Policy and Resources Committee on 19 May 2016 are attached at Appendix 2.

Recommendations

The **Court of Aldermen, Corporate Asset Sub (Finance) Committee, Establishment Committee** and **Finance Committee** are asked to note the report and endorse the proposal for the establishment of a new stand-alone Committee for a period of five years from June 2016.

The **Policy and Resources Committee** is asked to:

- a) Recommend to the Court of Common Council the creation of the Central Criminal Court Committee, for a period of five years from June 2016 to April 2021, and approve the Terms of Reference set out at Appendix 1 to this report; and
- b) Recommend to the Court of Common Council the amendment of Standing Order 29(3) to add this Committee to the list of those Committees of which a Member is eligible to be Chairman of in addition to another Grand Committee.

The **Court of Aldermen** is invited to establish and agree terms of reference/duties for the Sheriffs to cover their areas of activity at the Central Criminal Court.

Main Report

Current Position

1. The CCC is the premier criminal Crown Court dealing with some of the most serious crimes in London and the South East. It is also the Appeal Court for the Cities of London and Westminster Magistrates Bench.
2. The CCC is one of the City of London Corporation's operational properties. The City Corporation has responsibility for the operational management and is bound by the Courts Act 1971, Section 29 to ensure the 18 Courts are available for sitting. A schedule of agreement is in place with the Court Service regarding payment of operational costs. In addition, administrative support is provided to the two senior resident Judges and the two Sheriffs who reside at the CCC during their year in office. Activity is increasing at the CCC working with the Ministry of Justice to support educational and training initiatives and to host relevant events, involving the wider community.
3. The CCC currently reports through to CASC. The Terms of Reference include: "To be responsible for the upkeep, maintenance and, where appropriate, furnishing for operational properties including the Guildhall Complex, Mansion House and the Central Criminal Court, with the exception of those which fall within the remit of another service committee."

Reporting Arrangements

4. The CCC, including the Secondary and Under Sheriff and his staff, is part of the Town Clerk's Department. At a recent meeting of the Establishment Committee a question was raised over whether the current Member oversight for the CCC was the correct one.

5. Matters affecting the CCC are currently reported to CASC, covering operational aspects of the building e.g. repairs and maintenance and day-to-day operations, including approval of business plans etc. The Court of Aldermen considers all matters relating to the Shrievalty and the appointment of the Secondary and Under Sheriff.
6. The responsibilities and terms of reference of CASC are mainly concerned with asset management, particularly in relation to property, facilities management and repairs and maintenance of operational buildings. They do not extend to day-to-day operations of departments nor is the Sub-Committee a service Committee for any aspect of the Town Clerk's Department.
7. Member oversight of the CCC has, therefore, been reviewed and options considered for how best to serve the Court. This is a particularly important time for the CCC in view of the extensive refurbishment works planned for the building over the next few years and the work currently in-hand with the Recorder and Sheriffs to review and improve working arrangements and practices and to extend the community engagement role. The refurbishment works include the plant replacement works, being undertaken in five phases, with the staged closure of Courtrooms agreed with HM Courts & Tribunals Service. The opportunity is also being taken to prioritise and align planned cyclical and improvement works as part of this programme to improve the working environment, whilst minimising the disruption to the running of the building. Service level agreements and operating level agreements for the delivery of services will need to be reviewed to ensure that value for money is being provided to the City Corporation and the Court Service.
8. Greater emphasis is also being placed on developing further the long-standing relationship between the CCC and the City Corporation. Working with the Recorder and the Court Service, greater use of the building is being promoted to support charitable, training and educational programmes with the Judiciary. The Sheriffs, who reside at the CCC during their year in office, are also keen to oversee this relationship and to promote the use of this asset - 'The Crown Court in the Community'. A programme of themed working events at lunchtime has been developed which has led to increased engagement with a wide variety of different communities. . Bearing in mind these key areas of work and its unusual, high-profile and sensitive nature, the CCC has been identified as an area that would benefit from greater coordination and dedicated attention in terms of Member support and oversight.
9. CASC and the Establishment Committee do not lend themselves to this more joined-up approach, one being about buildings and the other principally about staffing, and to divide reporting arrangements and responsibilities between the two at this critical time would only serve to fragment Member oversight. Members are, therefore, being recommended to consider setting up a stand-alone committee to oversee virtually all aspects of the work of the CCC for a period of five years. This would ensure a single dedicated point of Member oversight and decision making across the various parts of the operation of the CCC at a critical time for the service, reporting directly to the Court of Common Council. In addition, the Court of Aldermen is invited to establish and recommend

terms of reference/duties for the Sheriffs to cover their areas of activity at the CCC. The Sheriffs would be invited to submit a report on their areas of activity and responsibility to the Court of Aldermen and the new Committee. There would be no change to the role of the Court of Aldermen in relation to the appointment of the Secondary and Under Sheriff and matters relating to the Shrievalty.

10. The proposed committee would provide over-sight and focus on the running of the building and its management, together with the extended use of the building to support greater community engagement. The role of such a new committee would encompass responsibility for delivering the planned works of refurbishment and renewal to the building's fabric (taking this away from CASC) and would also be the Service Committee for the purposes of day-to-day operations, including approval of business plans and any changes to the way in which the CCC works. The approval of the Establishment Committee for any matters relating to staffing that fall within the remit of the new Committee would still be necessary, as with all service Committees. This arrangement will be reviewed at the end of the five year period.
11. Proposed Terms of Reference and composition for a new committee are set out in Appendix 1. It is suggested that the Committee should be relatively small, limited to six Members. It is proposed that those Members would comprise:
 - Two Aldermen nominated by the Court of Aldermen
 - Two Members appointed by the Court of Common Council
 - One Member appointed by the Policy and Resources Committee
 - One Member appointed by the Finance Committee
 - Ex-officio the Recorder and the serving Sheriffs at the Central Criminal Court
12. It is also proposed that Chairmanship of this Committee is added to the list of those Committees of which it is possible to be Chairman without rendering a Member ineligible to be Chairman of another Grand Committee, set out at Standing Order 29(3).

Conclusion

13. The CCC would benefit from having a single Committee to report to bringing together over-sight for: the Shrieval and Judicial support; the programme of events and education/training activity; the operational management of the building, and implementation of the major works programme. It would also be beneficial for the Court of Aldermen to agree and establish terms of reference/duties for the Sheriffs to cover their areas of activity at the CCC.
14. It is proposed that the CCC reports through to a single Committee, providing oversight of all activity and that this Committee reports through to the Court of Common Council, initially for a period of 5 years.

Appendices

- Appendix 1 – Draft Terms of Reference
- Appendix 2 – Minutes of Finance Committee, 10 May 2016 and Policy and Resources Committee, 19 May 2016.

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CENTRAL CRIMINAL COURT COMMITTEE

1. **Constitution**

A Non-Ward Committee consisting of,

- Two Aldermen nominated by the Court of Aldermen;
- Two Members appointed by the Court of Common Council.
- One Member appointed by the Policy and Resources Committee;
- One Member appointed by the Finance Committee;
- Ex-officio the Recorder and the serving Sheriffs at the Central Criminal Court;

2. **Quorum**

The quorum consists of any three Members.

3. **Terms of Reference**

For a period of five years, from June 2016 to April 2021, to be responsible for oversight of the management of all matters relating to the Central Criminal Court; there would be no change to the role of the Court of Aldermen in relation to the appointment of the Secondary and Under Sheriff. All matters in relation to the activities and operation of the Shrievalty would be excluded.

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Finance Committee – 10 May 2016

The Committee considered a report of the Deputy Town Clerk which provided Members with an opportunity to review the Committee reporting arrangements for the Central Criminal Court (CCC). The report advised that the CCC currently reported to the Corporate Asset Sub (Finance) Committee (CASC). The report explained that the CCC did not currently fit naturally within the existing workload of CASC or any other existing Committee, and therefore proposed that a new Committee be created to oversee all aspects of the CCC, for a period of five years. The report advised that this was a particularly important time for the CCC and would, therefore, be an area that would benefit from greater coordination and dedicated attention in terms of Member support and oversight.

The Chairman commented that he agreed that CASC was not appropriate as the main Service Committee for the CCC, and commented that he agreed that there was not currently an entirely relevant Committee to oversee the operations of the CCC. The Committee agreed that this was the case.

The Chairman commented that CASC would continue to have a role in relation to the CCC in scrutinising repairs and maintenance projects, similar to that which CASC currently played for departments such as the Barbican Centre, Guildhall School of Music and Drama and the City of London Police.

The Chairman also commented that he believed that it was not appropriate for the new Committee to be a Grand Committee, and that it would be more appropriately formed as a Sub-Committee of the Policy and Resources Committee or the Finance Committee. Members agreed that this would be an appropriate approach, and agreed that this should be suggested to the Policy and Resources Committee.

RESOLVED – That the Committee:

- a) Notes the report;
- b) Endorses the proposal for the establishment of a new stand-alone Committee for a period of five years, with the composition set out within the report, and asks the Policy Committee to consider whether this Committee should be a Sub-Committee of either Policy and Resources Committee or Finance Committee.

Policy and Resources Committee – 19 May 2016

The Committee considered a report of the Deputy Town Clerk concerning the reporting arrangements for the Central Criminal Court and a proposal to create a new Committee for a period of five years to oversee its work.

The Committee noted the proposal had been considered by both the Finance Committee and the General Purposes Committee of the Court of Aldermen. In view of the limited lifespan of the need for oversight of the Central Criminal Court's work, the Finance Committee had recommended that consideration be given to the it being overseen by a sub-committee of either this Committee or the Finance Committee rather than creating a new Committee. The General Purposes Committee was content with this and also with the composition of the new body, subject to the

Recorder and any Sheriff who was not a Member of the Court of Common Council, not having voting rights.

RESOLVED – That a Central Criminal Court Sub-Committee of the Policy and Resources Committee be created for a period of five years to oversee the work of that Court and that its terms of reference and composition be as follows:-

Composition

Two Aldermen nominated by the Court of Aldermen;
Two Members appointed by the Court of Common Council.
One Member appointed by the Policy and Resources Committee;
One Member appointed by the Finance Committee;
the Recorder and Sheriffs at the Central Criminal Court (Ex-officio), with the Recorder and any Sheriff who was not a Member of the Court of Common Council, not having voting rights;

Terms of Reference

For a period of five years, from June 2016 to April 2021, to be responsible for oversight of the management of all matters relating to the Central Criminal Court; there would be no change to the role of the Court of Aldermen in relation to the appointment of the Secondary and Under Sheriff. All matters in relation to the activities and operation of the Shrievalty would be excluded.

Committee: Establishment Committee	Date: 9 June 2016
Subject: Revised Disciplinary and Dismissal Procedure for the Head of Paid Service, Monitoring Officer and Chief Financial Officer	Public
Report of: Director of Human Resources	For Decision
Report author: Tracey Jansen, Town Clerk's Human Resources	

Summary

This report presents a revised disciplinary and dismissal procedure for the Head of Paid Service (the Town Clerk and Chief Executive), Monitoring Officer (the Comptroller and City Solicitor) and Chief Financial Officer (the Chamberlain), to comply with the Local Authorities (Standing Orders) (England) (Amendments) Regulations 2015. Members are asked to approve the new procedure, which will apply with immediate effect.

Recommendation

Members are asked approve the revised Disciplinary Procedure for the Town Clerk and Chief Executive, the Comptroller and City Solicitor and the Chamberlain, as set out at Appendix 1.

Main Report

Background

1. The Local Authorities (Standing Orders) (England) (Amendments) Regulations 2015 (the 2015 Regulations) made changes to the dismissal procedure for the Head of Paid Service, Monitoring Officer and Chief Financial Officer (the Relevant Officers). The 2015 Regulations require that the Court of Common Council as the 'relevant body' must approve dismissal of any of the Relevant Officers by way of a vote at a meeting of the Authority provided it takes into account:
 - any advice, views or recommendations of a Panel
 - the conclusions of any investigation
 - any representations from the Relevant Officer concerned
2. Dismissal for the purposes of the 2015 Regulations does not include redundancy, permanent ill health or infirmity of mind or body and does not include failure to renew a contract of employment for a fixed term unless the authority has undertaken to renew such a contract. It does include conduct and capability dismissals.

3. The implementation of the 2015 Regulations necessitate changes to the current disciplinary procedure for the three Relevant Officers. The basic principles and governance arrangements have been agreed in earlier reports to this Committee and were referred to the Finance Committee and Policy and Resources Committee as the Appointing Committees for the Relevant Officers.
4. The Policy and Resources Committee agreed in February 2016 to recommend to the Court of Common Council the creation of a Statutory Officer Review panel to comply with the requirements of the 2015 Regulations.
5. A revision is required to Standing Order 63 to reflect the implementation of the 2015 Regulations. The Policy and Resources Committee agreed to delegate authority to approve this amendment to Standing Orders to the Town Clerk (in consultation with the Chairman and Deputy Chairman of that Committee). This process to exercise this delegated authority has now been started.
6. A report referring to the matters set out in the preceding two paragraphs will be submitted to the Court of Common Council for approval in June 2016. The delay in presenting these reports to Court of Common Council following consideration by the Policy and Resources Committee was due to it being felt to be preferable to wait until the revised Disciplinary Procedure for the Relevant Officers had been proposed.

Current Position

7. The revised disciplinary procedure attached at Appendix 1 reflects the 2015 Regulations and governance arrangements that have been considered and agreed in earlier reports. The opportunity has been taken to draw on current best practice and to reflect the revised Managing People Policy and Disciplinary Procedure that apply to all staff as far as possible.
8. The three Relevant Officers have been consulted about the revised procedure and have not raised any objections or suggested amendments. It is therefore proposed that, subject to this Committee's approval, the new disciplinary procedure is implemented with immediate effect.

Options

9. Whilst the 2015 Regulations have set out some specific requirements, earlier reports to this Committee and the relevant Appointing Committees have considered and agreed how the City Corporation will operate the governance arrangements and these have been incorporated in the revised disciplinary procedure.

Corporate & Strategic Implications

10. The 2015 Regulations have reduced the statutory requirements in relation to Relevant Officer disciplinary matters. This is in line with the City Corporation's HR Strategy to simplify and standardise HR policies and procedures. The 2015 Regulations have given us the opportunity to review the current procedure that

apply to the Relevant Officers and to bring these in line with our Managing People standards and principles whilst at the same time ensuring compliance with the new statutory requirements.

Conclusion

11. There is requirement to comply with the new 2015 Regulations in relation to the Statutory Dismissal Procedure for the Head of Paid Service, Monitoring Officer and Chief Financial Officer. The revised disciplinary procedure incorporates the statutory changes, revised local governance arrangements and updates the procedure to bring it in line with best practice.

Appendices

Appendix 1 – Disciplinary Procedure in relation to Relevant Officers

Background Papers

Amendments to Standing Orders - Report of the Town Clerk May 28 May 2015
Statutory Dismissal Procedure - Reports of the Director of Human Resources 10 December 2015 and 4 February 2016.

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Disciplinary Procedure in relation to Relevant Officers

Introduction

1. The Chairmen of the Policy and Resources, Establishment and Finance Committees (the Commissioning Chairmen), will be responsible for the management and overview of complaints or concerns regarding the Head of Paid Service (Town Clerk and Chief Executive); the Monitoring Officer (Comptroller and City Solicitor); and the Section 151 Officer (Chamberlain) including action which may result in formal disciplinary action up to and including dismissal.
2. The Court of Common Council is responsible for approving the dismissal of the Town Clerk, Comptroller and City Solicitor or Chamberlain (The Relevant Officers) by way of a vote at a meeting of the Authority provided it takes into account:
 - any advice, views or recommendations of a Panel (see paragraph 17 - 19)
 - the conclusions of any investigation (see paragraph 11 -13)
 - any representations from the Relevant Officer concerned
3. The City of London Corporation expects the conduct and integrity of employees to be of the highest standard. The Director of Human Resources will be responsible for providing advice on the administration, application and overview in relation to the disciplinary procedure for the Relevant Officers. Where the Director of Human Resources considers that there is a conflict of interest, an external senior human resources and/or legal adviser will be sourced to support the process as appropriate.
4. The objectives of this procedure are to:
 - Ensure that Relevant Officers are treated fairly and consistently and are clear about the process that will be followed if there are concerns or complaints about them.
 - Comply with the Local Authorities (Standing Orders) (England) (Amendments) Regulations 2015.
5. In the interests of natural justice, fairness and prompt resolution to work place issues, Relevant Officers are required to cooperate with the disciplinary process including investigations and attending meetings etc. in a timely fashion. Relevant Officers must appear in person when requested to do so

and answer questions asked of them as part of any investigation, meeting or hearing. Relevant Officers under investigation or interviewed as witnesses must maintain an appropriate level of confidentiality about matters being considered.

Scope

6. This procedure applies to the Head of Paid Service (Town Clerk), the Section 151 Officer (Chamberlain) and the Monitoring Officer (Comptroller and City Solicitor) (“the Relevant Officers”).
7. This procedure is applicable to matters of concern and complaints in relation to conduct, behaviour, performance and capability of the Relevant Officer.

Dealing with concerns and complaints – Role of the Commissioning Chairmen

8. The Commissioning Chairmen with advice from the Director of Human Resources will:
 - receive any complaints and concerns about the Relevant Officer.
 - determine whether the matter has substance; can be dealt with informally; or that a formal investigation should be undertaken to determine if there is a case to be answered. This will usually include having an initial discussion about the matter with the Relevant Officer and take into consideration their initial response.
 - request that an appropriate investigator is commissioned to undertake a formal investigation on their behalf.
 - review the findings of the investigation and determine the appropriate way forward.
 - arrange a formal disciplinary hearing to consider the matter as set out at paragraph 15 below where it is considered that formal action short of dismissal may be a possible outcome.
 - request that the matter is referred to the Statutory Officer Review Panel for its views where dismissal is recommended as a potential outcome.
 - present own findings and recommendation for dismissal; the conclusions of the investigation; advice views or recommendations of the Statutory Officer Review Panel and any representations from the Relevant Officer to a meeting of the Court of Common Council as the appropriate decision making body.

- Approve or lift precautionary suspension at any stage throughout the process of investigation.
9. In the event that there is a conflict of interest for any of the Chairmen, then alternative Committee Chairmen and/or Deputy Chairmen will take on this role.
 10. Any previous informal approach or resolution can be taken into account when deciding whether to commence formal disciplinary action but will not normally be taken into account when deciding on any subsequent formal disciplinary penalty.

Purpose of the investigation

11. The role of the investigator is to conduct a fact finding investigation into the complaint/concern, which will include examining documents and other evidence available and to interview the Relevant Officer and other witnesses. The Investigator will be required to attend meetings and/or hearings as required to present findings and recommendations.
12. The Director of Human Resources will source a suitably qualified investigator/s depending on the nature of the complaint/concern on behalf of the Chairmen. In the case of possible fraud, theft, corruption or bribery the Head of Internal Audit will also be informed.
13. The investigation may indicate:
 - there is no case to be answered
 - there are no grounds for formal disciplinary action
 - there is a case to be answered but that the matter can be dealt with informally
 - there are grounds for taking formal action up to and including the possibility of a final warning
 - there are grounds for taking formal action which could result in dismissal

Outcome of the Investigation

14. The Relevant Officer will be advised by the Commissioning Chairmen of the outcome of the investigation. Where the Commissioning Chairmen consider that there might be a formal case to be answered, the Relevant Officer will be invited to make representations to the Commissioning Chairmen about the allegations made before a decision is taken.

Disciplinary Cases -where the possible penalty could be up to final warning

15. For disciplinary cases that could warrant a disciplinary penalty up to a final warning, the Commissioning Chairmen will convene as a Disciplinary Hearing Panel advised by the Director of Human Resources. In some circumstances it may be necessary to have a specialist professional technical adviser present to provide advice at the Hearing on complex technical matters but only in an advisory capacity. The Investigating Officer will present the disciplinary case. The hearing format will be as outlined in Appendix 1.

Disciplinary Cases (where the possible penalty could be dismissal)

16. Where the Commissioning Chairmen consider that there is a case to be answered that could result in dismissal, a meeting of the Statutory Officer Review Panel will be convened.

Role of the Statutory Officer Review Panel

17. The terms of reference for the Statutory Officer Review Panel are set out in Standing Order 63.
18. The Statutory Officer Review Panel will, save for exceptional circumstances, be in place 20 working days before the meeting at which the authority decides whether or not to approve a proposal to dismiss
19. The Statutory Officer Review Panel will review the findings of the investigator and report of the Commissioning Chairmen including any representations made by the Relevant Officer before providing advice, views or recommendations to the Commissioning Chairmen.

Recommendation to the Court of Common Council

20. The Commissioning Chairmen will review the report of the Statutory Officer Review Panel before deciding whether to recommend dismissal of the Relevant Officer to a meeting of the Court of Common Council. The Commissioning Chairmen will present the findings of the investigation and the Statutory Officer Review Panel to the Court of Common Council.
21. The Court of Common Council, will invite the Relevant Officer to make representations in person or in writing to its meeting where dismissal may be confirmed. The Commissioning Chairmen will present the case for dismissal to the Court of Common Council.
22. The Commissioning Chairmen will progress alternative approaches for dealing with the matter, if following receipt of the Statutory Officer Review

Panel's report, they do not wish to recommend dismissal to the Court of Common Council. The Commissioning Chairmen will progress any alternative decision/penalty agreed by the Court of Common Council in relation to the Relevant Officer.

Notification of disciplinary hearing

23. The Relevant Officer will be given 7 working days' written notice of a Disciplinary Hearing. However the Relevant Officer may agree to a shorter period of notice. The notification will include:
 - the date, time and venue;
 - The allegations and the possible outcome;
 - A copy of the Commissioning Chairmen's report and the investigator's report.
 - Any other supporting documents and information;
24. The Relevant Officer may offer a reasonable alternative time within five days of the original date of the Disciplinary Hearing if their chosen companion is unable to attend.
25. The Relevant Officer must submit any documentation or names of witnesses they wish to call and the name of their companion at least 3 working days before the date of the Disciplinary Hearing. It is the Relevant Officer's responsibility to arrange for any witnesses to attend who have not been interviewed by the Investigating Officer or to request the attendance of any additional witnesses who have been interviewed by the Investigating Officer.

Meeting of the Court of Common Council where dismissal is being considered

26. The Relevant Officer will be notified of the date and time of the meeting of the Court of Common Council.

Right to representation during the formal stages

27. The Relevant Officer under investigation has the right to be accompanied by a trade union representative or a co-worker of their choice during all stages of the formal process. In exceptional circumstances the Commissioning Chairmen in consultation with the Director of Human Resources may be prepared to consider an external representative who is not legally qualified. The Relevant Officer will need to submit any such request giving full reasons why an exception should be made to the Chairmen whose decision, in consultation with Human Resources, will be final.

Determining the outcome of the Disciplinary Hearing or meeting of the Court of Common Council

28. The purpose of the Disciplinary Hearing/meeting of the Court of Common Council is to ensure that it is satisfied that it has allowed the Relevant Officer to respond to the allegations; considered the evidence and case put by both sides; and if necessary called for additional information. The Disciplinary Hearing Chairmen /meeting of the Court of Common Council will weigh up all of the evidence and decide on the balance of probability whether the allegations are upheld in full, partially or not at all.
29. The penalty imposed will depend on the seriousness of the case, known mitigating factors, and relevant employment history (the Relevant Officer's disciplinary record including current warnings, general work record, work experience, position and length of service). In the case of a serious offence, a Relevant Officer may be given a final written warning even if it is a first offence. Similarly a Relevant Officer may be dismissed for gross misconduct even if it is a first offence.
30. Disciplinary decisions will not be based on an expired warning but where a pattern emerges, the fact that there is an expired warning may explain why a lesser sanction was not given. In the case of gross misconduct, an employee will usually be dismissed without notice. A non-exhaustive list of examples of conduct which are regarded as gross misconduct is provided at paragraph 33 of this procedure. Should the offence involve financial irregularities then the City Corporation will aim to recover assets and take appropriate action including notifying the police.
31. The outcome of the Disciplinary Hearing/meeting of the Court of Common Council will either be notified at the end of the hearing/meeting or if adjourned, will follow in writing as soon as practicable usually within 5 working days of the Disciplinary Hearing/meeting of the Court of Common Council. Where there is no case to be answered this will also be confirmed in writing.

Penalties and other sanctions

32. If the case is proven on the balance of probabilities, then one or more of the following penalties may be imposed:
 - A written warning
 - A final written warning
 - Dismissal with notice
 - Dismissal without notice

Examples of Gross Misconduct

33. The following non-exclusive list provides examples of offences which are generally regarded as gross misconduct:

- theft, fraud, deliberate falsification of records, corruption or bribery
- fighting, serious abuse towards or assault on another person
- deliberate damage to property
- serious incapability through alcohol or being under the influence of drugs
- serious negligence or dereliction of duty which risks or causes unacceptable loss, damage or injury
- a serious act of insubordination
- unlawful discrimination or harassment of a fellow co-worker or customer
- misuse of information technology, computers and other electronic devices provided for or used for work purposes
- serious contravention of statutory regulations, including those relating to health and safety, that would render the City Corporation or its employees liable to legal action or bring the City Corporation into disrepute
- a breach or omission relating to safeguarding of a pupil, client or young or vulnerable person
- serious breach of confidentiality
- offences or actions within or outside the City Corporation employment which by their nature either:
 - a. prevent the employee from continuing to do the job for which they were employed; or
 - b. seriously call into question the employee's fitness to continue in the job which s/he was employed to do; or
 - c. have or could have a damaging effect on the reputation and integrity of the City Corporation or its partners; or
 - d. considered to be a wilful breach of the trust and confidence that is implicit between the employer, employee and work colleagues.

Administration and other matters

Postponements and non-attendance at formal disciplinary investigations, meetings or hearings

34. A meeting may be re-arranged if the Relevant Officer fails to attend through circumstances outside their control, such as illness. Thereafter and depending on the circumstances, where a Relevant Officer continues to be unavailable to attend a meeting or fails to make contact, they may be advised that the investigation, meeting or hearing will be concluded based on the evidence

available. Alternatives such as telephone interviews and Skype may be considered where agreed between parties. In appropriate cases the Occupational Health Adviser may be consulted about a Relevant Officer's fitness to attend a meeting or hearing.

Precautionary Suspension

35. At any stage before the investigation has begun, or whilst it is being carried out, the Relevant Officer may be suspended from attending work by the Commissioning Chairmen if it is considered necessary or expedient to enable investigations to be made, or if it is considered inappropriate for the Relevant Officer to continue at work during the investigation. The suspension is a precautionary act and not a disciplinary sanction in itself and will be kept under review. Generally a Relevant Officer is suspended only in more serious cases and will continue to receive normal pay only. Excluded from normal pay are; non- contractual overtime payments, reimbursement of expenses, and abnormal or occasional payments.
36. In exceptional circumstances such as serious allegations of fraud or theft or in circumstances where the Relevant Officer has breached the terms of their suspension or has otherwise hampered the investigation, suspension may be on nil or reduced pay as determined by the Chairmen.

Records and notes

37. The Relevant Officer and each witness will be provided with a record of their interview. The record will usually be a note of key points and not a verbatim record of the meeting. In some exceptional circumstances, it may be considered appropriate to record disciplinary interviews or hearings and in such circumstances the employee will be advised of the reason for doing so and will be provided with a copy of the recording and the transcript where one is produced. The Relevant Officer and/or their representatives may take their own notes of meetings but cannot record any meetings or hearings using electronic devices e.g. mobile phones.

Accepting a disciplinary penalty without a hearing

38. Where the decision is that there are grounds for taking formal action short of dismissal, or at the point when the Relevant Officer has received the outcome of the investigation from the Commissioning Chairmen, if the Relevant Officer accepts the allegations made against them, they may request that the Commissioning Chairmen reviews the case on paper and indicates the likely penalty and any standard setting. The Relevant Officer may agree to accept the penalty, which will be confirmed in writing without the need for a formal

hearing or recourse to an appeal against the decision. In all other circumstances a hearing will be arranged. Where the outcome may result in dismissal, this will always necessitate a formal meeting of the Court of Common Council to consider the case in full.

Grievances

39. Where a grievance is raised during the course of a disciplinary process, in some circumstances it may be appropriate to suspend the formal disciplinary action in order to deal with the grievance. In other circumstances where they are related it may be appropriate to deal with the matters concurrently as one investigation but with clear outcomes under each procedure. The Director of Human Resources will determine the appropriate way forward if this arises.

Time limits for warnings

40. All formal written warnings will usually be effective for a specified period, which will be communicated at the time the decision is taken. Generally, final warnings will be effective for 12 months and other warnings for 6 months from the date of the disciplinary decision. They could be longer in certain circumstances. If there is no further misconduct in this period, warnings will usually be disregarded for disciplinary purposes.
41. There may be occasions where a Relevant Officer's conduct, behaviour performance or capability is satisfactory throughout the period the warning is in force, only to lapse very soon thereafter. Where a pattern emerges and/or there is evidence of abuse of the disciplinary process, the Relevant Officer's disciplinary record should be borne in mind in deciding how long any warning should last.
42. Exceptionally, there may be circumstances where the misconduct is so serious that it cannot realistically be disregarded for future disciplinary purposes. In such circumstances it will be noted in the disciplinary decision.

List of appendices

Appendix 1 – Disciplinary Hearing Format

Links / Other resources

[Managing People Policy](#)

[Employee Assistance Programme](#)

ACAS Code of Practice 1 - Disciplinary and Grievance Procedures

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Committee: Establishment Committee	Date: 9 June 2016
Subject: New Apprenticeship Levy and Target	Public
Report of: Director of Human Resources	For Information
Report author: Carolyn Wadey, Human Resources Department	

Summary

The Government is introducing two separate but related apprenticeship policies – the Apprenticeship Levy, and the Apprenticeship Target. These policies complement local initiatives around employment opportunities for younger workers. A Task and Finish Group working on behalf of the Directors of Human Resources and Community and Children Services is looking at the implications of these policies on the City Corporation as an employer. Work is underway with departments to identify suitable opportunities for apprentices and the costs and staffing implications are being considered. The opportunity to look at how we address the levy and target in light of other work priorities, agendas and work streams is also being considered.

Recommendation

Members are asked to note the report.

Main Report

Background

1. The City Corporation will be subject to both the Apprenticeship Levy and the Apprenticeship Target. The mandatory Apprenticeship Levy will come into effect in April 2017. The levy will be 0.5% of gross payroll and collected on a monthly basis via PAYE. All employers will have an allowance of £15000, and will thereafter pay the levy on the pay bill over £3m. A central budget to pay for this has already been identified and will not affect departmental budgets. The City Corporation will draw against this to pay for training costs for apprenticeships but this levy cannot be used to cover the other costs such as salary.
2. The City Corporation will also be subject to an annual target for the number of apprenticeship starts. The current guidance is that the annual target for apprenticeship starts will be equivalent to 2.3% of the workforce but this would only apply to the City Corporation's local authority functions.
3. The Town Clerk has suggested that the City Corporation should be an exemplar in the employment of apprentices and to this end has discussed with Chief Officers a target of delivering 100 apprenticeship starts across all of its functions not just its local authority ones. To achieve this all departments would be expected to participate in the delivery of this target.

4. A Task and Finish Group, sponsored by the Director of Community and Children's Services and the Director of Human Resources, is developing the City Corporation's approach to implementation especially around meeting the target. Detail around the levy is being considered in collaboration with the Chamberlain.
5. An apprenticeship is not a work placement or internship. It is an agreed and formal course of training leading to a recognised vocational qualification. It has to be delivered against an appropriate apprenticeship standard as set out by the Department for Business, Innovation & Skills. It must last for at least 12 months for at least 30 hours per week and include at least one day a week off-the-job-training. It is not limited to the most junior roles and can range from GCSE to degree level.
6. Training costs will be met from the levy. Salary costs will be in addition to this and options regarding how these costs could be met are being considered.

Current Position

7. Each Chief Officer has been asked to nominate senior member of staff from within their department to identify where apprentices can be placed. Work is currently underway with them and their HR Business Partner to identify where suitable opportunities will be made available within each department. On current workforce estimates it is expected that this would involve departments placing between 1 and 9 apprentices a year depending on their number of employees.
8. Meeting the target raises issues around the recruitment, pay, training and support of apprentices. The City Corporation will need to be able to recruit apprentices of suitable calibre and offer them appropriate training. Our aim is to have a range of apprenticeships available across professions and to support the City Corporation's agenda of supporting young Londoners into employment which has recently been launched in the city.
9. The Apprenticeship Levy and target also raises issues around the support available to managers across the organisation in training and delivering apprentices and in generally managing an increased number of apprentices, with different and more diverse skills levels.
10. There are other existing traineeships and City Corporation initiatives schemes and ad hoc arrangements in place for work experience which will need to be considered in light of the Apprenticeship Levy and Target as outlined below.
11. Departments of the City Corporation are already looking at workforce development and succession planning and the apprenticeship targets can be built into these plans.
12. Corporate HR recently commenced a project to look at "Attracting Talent" and will include recruitment of apprentices as part of its recruitment strategy.

Corporate & Strategic Implications

13. The Apprenticeship Target presents a number of opportunities to meet both immediate skills needs as well as taking a longer term and more strategic view of the skills needs of the City Corporation.
14. With a potential 100 new apprenticeships this may impact on our ability to support other voluntary recruitment and work placement schemes. There is a need to explore how this stream of work interfaces with other agendas and work streams of the City Corporation to ensure a coordinated approach and ensuring that appropriate priority is given to this initiative. The following provides an overview of some of the other City Corporation activities and work streams:
 - The City Corporation already offers a number of different types of work experience placement including School Placements, City Business Traineeship Scheme, Student Holiday Placements, Student Training Placements and Adult Placements.
 - The City Corporation receives many requests for work experience. These include requests: directly from individuals; via the Economic Development office for those students who attend one of our city Corporation sponsored academies or from other umbrella organisations trying to secure work placement places.
 - The City Corporation has also had a permanent Graduate Scheme since 2014.
 - The City Corporation has an Education Strategy which has the following vision “To educate and inspire children and young people to achieve their full potential”. The Education Strategy has five strategic objectives one of which is to “promote the effective transition from education to employment” and work experience is known to develop employability and key skills. The Education Strategy refers to “the City Schools” which are then defined as “City of London Academy, City of London Academy (Islington), City of London Freeman’s School, City of London School, City of London School for Girls, Sir John Cass Primary School, The City Academy, and any other school or academy which enters into a formal federation with one of these schools or is otherwise sponsored by the City as a further City school”.
 - The Corporate Responsibility Advisory Group recommends that focus should be given to support disadvantaged young people.
 - The Summit Group and Policy and Resources Committee recently discussed and approved an Employability Framework which focuses on 5 areas: i) greater diversity in the City workforce; ii) City has the skilled workforce it needs; iii) widened access to low-skilled jobs; iv) better prepared Londoners secure more jobs; v) Corporation is a model practitioner and change leader.
 - In November 2013 the City Corporation signed an Armed Forces Community Covenant which encourages local communities to support the armed forces

community in their area and promote understanding and awareness among the public of issues affecting the armed forces community.

- The City Corporation has also been approached by the Recovery Careers Service an organisation who helps ex-armed forces personnel with significant barriers to employment due to their medical conditions back into civilian employment. They are keen to find out what support the City Corporation can offer and also what the City Corporation can do to encourage other City businesses to do to support these individuals.
- The Livery Companies are also very involved in skills and employment training and this would be an opportunity to look at how we could join up with the work that they do.

Conclusion

15. The apprenticeship policies provide the City Corporation with the opportunity to take a longer term and more strategic view of skills needed. Given the potential numbers involved, there will need to be a clear strategy around identifying and recruiting to suitable positions set against a back drop of service based review savings, low turnover, and a number of other schemes and initiatives that the City Corporation supports or would like to support. An overarching strategy will enable and facilitate a joined up approach and ensure we are able to deliver on commitments made or being considered.

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Committee: Establishment Committee	Date: 9 June 2016
Subject: Annual Equalities in Employment Monitoring Report	Public
Report of: Director of Human Resources	For Information
Report author: Tracey Jansen, Human Resources Department	

Summary

This report sets out the workforce profile information for the year 2015-2016. It also provides Members with information on internal promotions, acting up arrangements, maternity leave, paternity, other related provisions and a summary of the main equalities and inclusion initiatives and actions that have taken place over the year.

Recommendation

Members are asked to note the report.

Main Report

Background

1. This report is the annual update presenting data on the workforce profile broken down by six of the protected characteristics defined by the Equality Act 2010. These are gender, age, disability, ethnicity, sexual orientation and religion or belief. The analysis includes salary and grade; the top 5% earners; turnover; recruitment and new starter and leaver information over the year.
2. Over the last three years the reported data has been enhanced and we are now able to track the changing demographic of the workforce. The workforce profile data is used to inform the public sector equality duty in relation to employment. This data along with the HR dashboards and workforce planning data helps to inform the human resources strategy.

Current Position

3. Attached as Appendix 1 is a breakdown of the workforce as at the end of March 2016. The reported number of employees during this reporting period stands at 3362. Whilst gender and age can be captured corporately, it is a matter for individual employees to provide their own sensitive data in relation to religion or belief, ethnicity, sexual orientation and disability.
4. The level of sensitive data held across the reported protected characteristics ranges between 62.56% and 100%. There has been a slight drop in the overall percentage of sensitive data entered on City People by employees. A refreshed campaign to encourage staff (especially new starters) to enter their data on the system will be launched this year.

5. Appendix 1 also provides a breakdown of recruitment activity for the period January – December 2015. An analysis of new starter and leaver data by grade and protected characteristic is also included. This has informed the three year attracting talent project that has just commenced which forms part of the Town Clerk's business plan. The starter data indicates that whilst overall the make-up of the workforce remains broadly the same as last year, in terms of new starters to the organisation, we are gradually changing the demographic of the workforce.
6. Care needs to be taken with extrapolating statistical significance given the small numbers involved, but overall the information provides a reasonable guide.

Equalities and inclusion initiatives during 2015 -16

7. Quarterly update reports are now made to the Establishment Committee.
8. Highlights over the year have included the launch and establishment of six staff networks. The networks have developed their own business plans, hosted individual and joint events for staff and have a voice at the quarterly Equality and Inclusion Board chaired by the Town Clerk. Each network has a Chief Officer sponsor.
9. The City Learning Live staff learning and development events held during the month of November and the launch of City Well the City Corporations strategy for addressing employee wellbeing have included stands from the networks. For the first time, this year the Staff Award nomination criteria were amended to include contribution towards equality and inclusion in service delivery.
10. A new public sector equality duty toolkit and assessment templates have been developed and launched. The new approach is to embed consideration of 'due regard' to the duty as part of 'business as usual' and guidance has been included in the business planning process and revised report writing guidance.
11. A new equalities and inclusion action plan for 2016 has been agreed and is being monitored at the Equality and Inclusion Board. Revised equality objectives have been agreed and published and departments have been asked to develop their own plans setting out how they will meet these objectives.
12. The Equalities and Inclusion Board continue to meet quarterly to oversee progress of the equality action plan and strategic direction of the equality and inclusion agenda. The Board meetings with the chairs of the networks and their sponsors, invites input to the wider equalities and inclusion agenda and considers issues raised by the networks.
13. The 2015 summary of all corporate and departmental equalities related service delivery activities are in preparation for publishing on the City's internet site to comply with the Public Service Equality Duty.

Maternity, Paternity, and related provisions 2015/6

14. 56 women started their maternity leave in 2015/16. During the year 9 out of 65 women who were due to return from maternity leave during 2015/16 did not return at the end of their maternity/leave. A further six left within three months of returning.
15. No staff took adoption leave during this reporting period.
16. There were 46 occurrences of paternity leave. Six employees took Parental Leave. Three employees took Shared Parental Leave.

Requests to work flexibly

17. Members will recall that requests to work flexibly, which can be for any reason, will be agreed unless one of the specified statutory business grounds applies. During the year there were 13 requests to work flexibly. Of these 11 were agreed and two were declined. In these two cases one was due to an inability to reorganise work amongst staff and the other was due to the detrimental effect on the ability to meet customer demand.
18. These figures do not capture the various informal and temporary arrangements that are agreed at the local level. Participating in other provisions that also exist such as flexitime, home working, job sharing and reducing hours for work life balance reasons are also not captured in this figure.

Promotions and acting up arrangements

19. Promotions and acting up arrangements are a way of enabling staff development and opportunities for progression. There have been 97 promotions and 27 acting up arrangements during the course of the year. Some of the 97 promotions would have started as acting up arrangements prior to permanent recruitment to posts and some of the 27 acting up arrangements may well result in permanent promotions. In addition to acting up and promotions staff may also have progressed through established career grades which allow for progression subject to meeting the set criteria for progression within the career grade. All departments and institutions have created acting up and promotional opportunities for staff. An analysis by gender and ethnicity is tabled below.

	Promotions & Acting ups	Workforce profile %
Women	42%	44%
Men	58%	56%
White	73%	72.2%
BAME	20%	16.16%
Ethnicity unknown	7%	11.63%

New Employment Policies and Guides

20. Discussion with the trade unions staff networks and feedback from the wellbeing survey have indicated a desire to review some of the work life balance policies such as the flexible working scheme and the new shared parental leave provisions. Whilst we are confident that our provisions are generous and comparable to or better than other organisations, over time the establishment of different provisions has meant that there is some confusion about what is available. As members of the Committee will be aware the HR Strategy is to streamline and simplify our HR policies and procedures and so the opportunity will be taken to create an overarching work life balance policy under which the current policies will sit with improved guidance and sign posting for employees and managers. A wider review of policies will be considered as part of the pay and rewards project which forms part of the Town Clerk's business plan considered by the Committee at its last meeting.
21. New guides on Ramadan, the menopause and carers have also been drafted in collaboration with the staff networks.

Proposals

22. Members are asked to note the report.

Corporate & Strategic Implications

23. This report identifies a number of actions and activities that contribute towards meeting our public service equality duty. The Equality and Inclusion Action Plan is reviewed regularly at the Equality and Inclusion Board. The Establishment Committee has oversight of the City of London Corporation's policies and practices in respect of equality and inclusion, including the implementation of the Equality Act 2010 and other relevant legislation.

Conclusion

24. The annual workforce profile analysis informs the wide equalities and inclusion strategy and our public sector equality duty as it relates to employment. It is published along with our outward facing service delivery activities over the over the year on the City of London Corporation's website.

Appendices

Appendix 1 – Workforce Profile March 2016

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City of London - Employee Profile

March 2016

1 Introduction

This document illustrates and describes the profile of the workforce which informs the City of London's Public Service Equality Duty and is used to inform HR policy review and development.

2 Scope

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

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

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

- Barbican Centre and Guildhall School of Music & Drama, all school based employees i.e. both teachers and non-teaching employees working in the City's three schools i.e. City of London Freeman's School, City of London School (Boys) and City of London School for Girls.

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

The workforce profile data reflects the workforce profile recorded as at the 31 March 2016 unless otherwise stated. Recruitment analysis reflects the calendar year 2015. Starter and leaver information covers the financial year April 2015 – March 2016.

Because employees are not required to provide all personal and sensitive information this means that not all of the categories relate to 100% of the workforce. These are indicated as 'Unknown'. Information is drawn from basic payroll and HR data from the HR information system. Additional sensitive information is added on a voluntary basis by employees through the self-service facility on the HR information system.

Workforce Profile - Protected Characteristics: The data analysis looks at 6 out of the 9 nine protected characteristics identified in the Equality Act 2010. These are: Gender, Age, Ethnicity, Disability, Religion and Belief and Sexual Orientation. Where numbers in relation to protected characteristics are very small these have been grouped together, where it is appropriate to do so, to maintain the integrity of the data, but also to ensure that no individual/s can be easily identifiable.

Categories of analysis This report covers an analysis of the overall workforce profile; salary and grade; top 5% of earners; turnover; recruitment; starters and leavers.

3 Overview of the Workforce

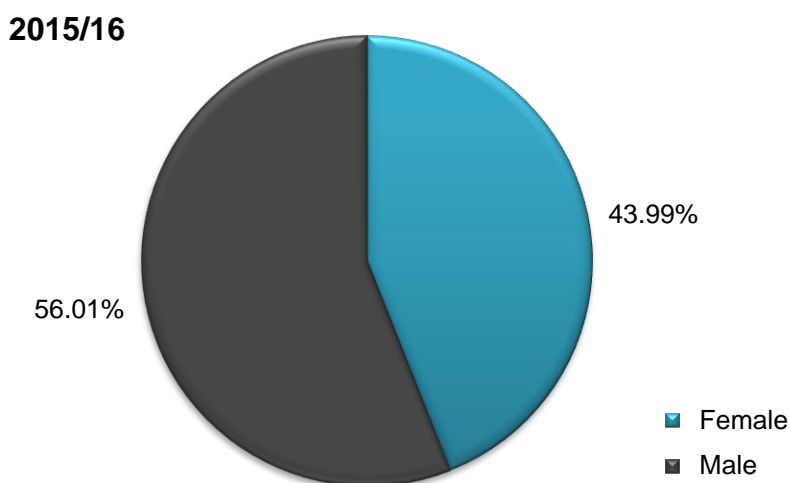
As at 31 March 2016 there were a total of 3,362 employees across the departments and functions in scope, covering a wide range of service areas. There have been 506 starters and 515 leavers during the reporting period. 2,959 employees are full time and 403 are part time (defined as employees working less than 85% of a full time equivalent (FTE) post). For ease of reference it should be noted that 1 employee is equivalent to 0.03% of the workforce and 1% of the total workforce is approximately 33.5 employees.

3.1 Gender

Gender data is held on 100% of the workforce.

As shown below, 43.99% of the workforce is female and 56.01% are male. This is comparable to the split for 2014/15 (42.93% female and 57.07% male). The average for all London Councils is 61.7% female and 38.3% male respectively (Source: London Councils- Human Capital Metrics Survey Scorecard 2014/15). It should be noted that whilst some comparison can be useful, the unique nature of the City of London Corporation makes a direct comparison with other Councils difficult. For example, other local authorities have a larger education and schools provision, which is traditionally a more female-oriented service and which impacts on the overall statistical comparison. An alternative comparison can be made with the 2011 census, which identifies the workday population of the “square mile” as 360,075 and is split 61% male to 39% female (Office for National Statistics).

The proportion of part-time employees who are female is just under 75% of the total of 403 part-time employees. This figure is the same as the national picture of women as a percentage of all part-time workers according to the most recent data (as at February 2015) provided by the Office of National Statistics (ONS).



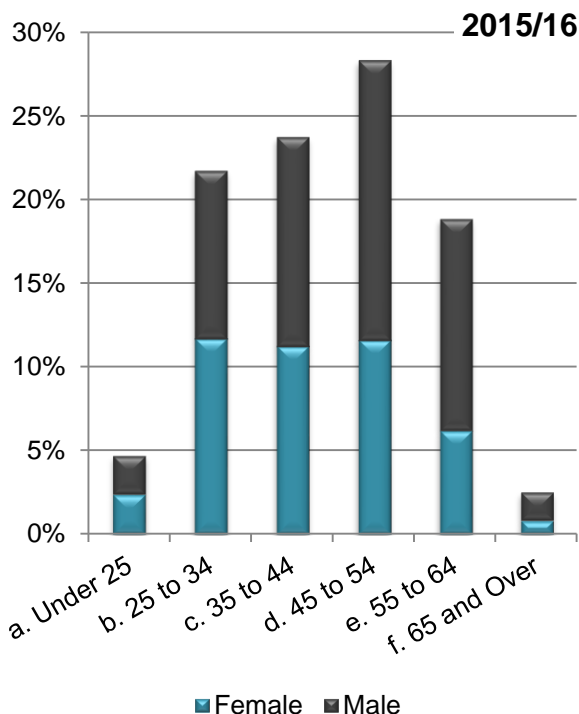
Headcount		
Gender	2014/15	2015/16
Female	42.93%	43.99%
Male	57.07%	56.01%
Grand Total	100.00%	100.00%

FTE		
Gender	2014/15	2015/16
Female	41.33%	42.19%
Male	58.67%	57.81%
Grand Total	100.00%	100.00%

3.2 Age

Age data is held on 100% of the workforce.

The age distribution is essentially unchanged from the previous year.



Age Range	2014/15 Female	2014/15 Male	2015/16 Female	2015/16 Male
a. Under 25	1.65%	1.59%	2.41%	2.32%
b. 25 to 34	11.06%	9.73%	11.69%	10.05%
c. 35 to 44	11.13%	13.32%	11.24%	12.52%
d. 45 to 54	12.08%	17.63%	11.60%	16.75%
e. 55 to 64	6.28%	13.28%	6.22%	12.67%
f. 65 and Over	0.73%	1.52%	0.83%	1.70%
Grand Total	42.93%	57.07%	43.99%	56.01%

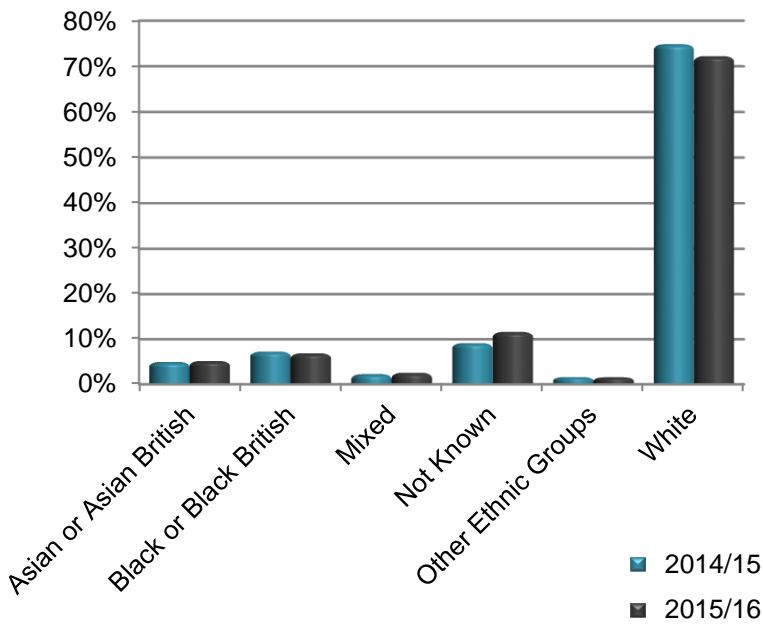
3.3 Ethnicity

Ethnicity data is held on 88.37 of the workforce.

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

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

The ethnicity profile is displayed on the next page. It shows no discernable change over the past 12 months. The most recent comparative data for London Councils shows that across all London Boroughs, the workforce is 65.1% White and 34.9% Black Asian and Minority Ethnic (BAME). This compares to 72.21% White; 16.15% (BAME) and 11.63% unknown at the City of London Corporation.

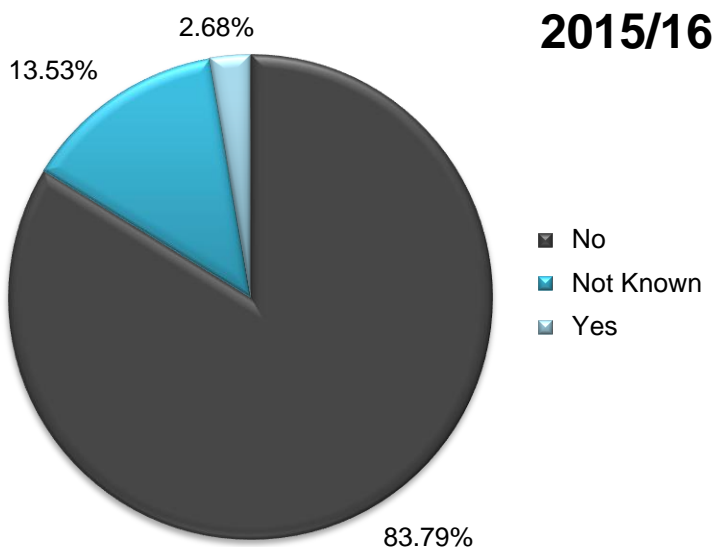


Ethnic Group	2014/15	2015/16
Asian or Asian British	4.95%	5.18%
Black or Black British	7.26%	6.87%
Mixed	2.25%	2.56%
Not Known	9.13%	11.63%
Other Ethnic Groups	1.59%	1.55%
White	74.82%	72.21%
Grand Total	100.00%	100.00%

3.4 Disability

Disability data is held on 86.47% of the workforce.

2.68 % of the total workforce have declared themselves as having a disability. Employees are asked to state whether they “self-certify” as having a disability on the HR information system and similarly job applicants are asked to indicate Yes or No to the statement of “I consider myself to have a disability”. Therefore this indicator does not necessarily accurately measure whether an employee meets the definition of “disability” under the Equality Act 2010.

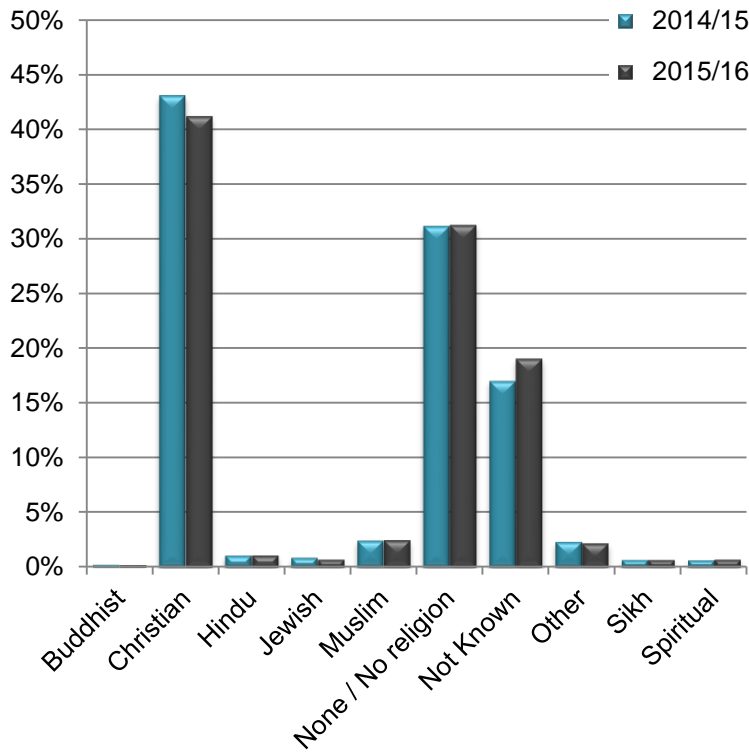


Disability	2014/15	2015/16
No	85.86%	83.79%
Not Known	11.07%	13.53%
Yes	3.07%	2.68%
Grand Total	100.00%	100.00%

3.5 Religion and Belief

Religion and belief information is held on 80.89% of the workforce.

Of the overall workforce 41.25% are Christian. 31.32% stated that they have None/No religion or belief. Other religions and beliefs remain at around 8.32%.



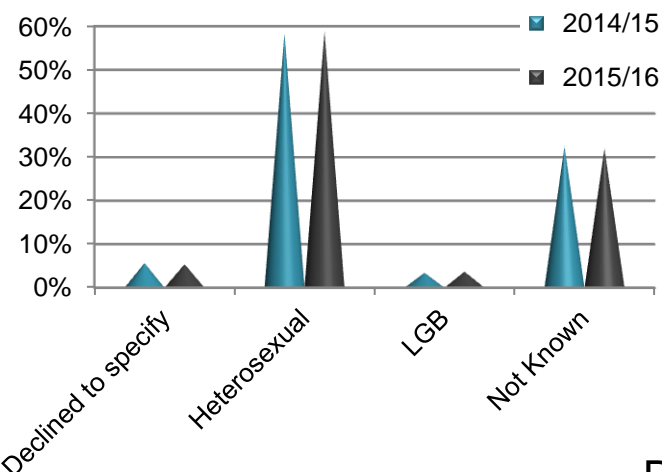
Religion & Belief	2014/15	2015/16
Buddhist	0.26%	0.24%
Christian	43.11%	41.25%
Hindu	1.11%	1.12%
Jewish	0.92%	0.75%
Muslim	2.51%	2.53%
None / No religion	31.23%	31.32%
Not Known	17.12%	19.11%
Other	2.37%	2.23%
Sikh	0.70%	0.71%
Spiritual	0.67%	0.74%
Grand Total	100.00%	100.00%

3.6 Sexual Orientation

Sexual orientation information is held on 67.97% of the workforce.

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

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



Sexual Orientation	2014/15	2015/16
Declined to specify	5.67%	5.41%
Heterosexual	58.37%	58.87%
LGB	3.43%	3.69%
Not Known	32.53%	32.03%
Grand Total	100.00%	100.00%

4 Salary and Grade Profile

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

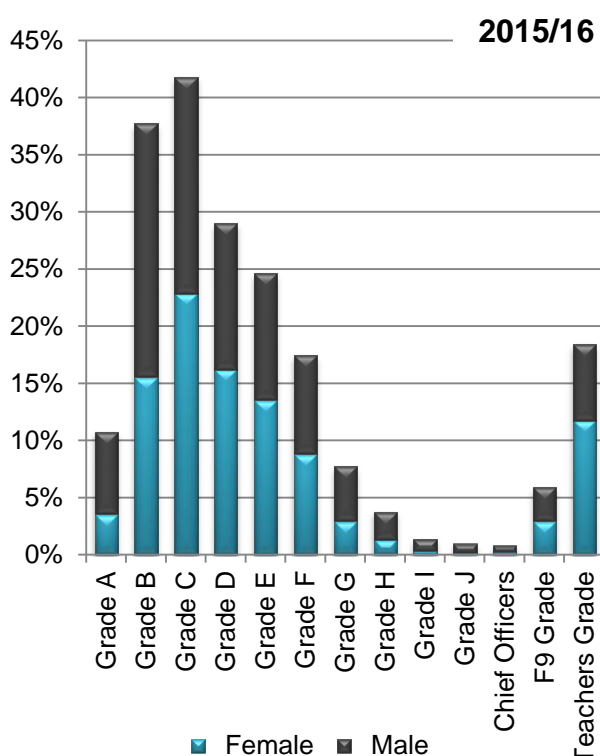
Salary Scales

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

Grade	Min Salary (£)	Max Salary (£)	% Workforce
Grade A	£13,200	£14,440	5.37
Grade B	£16,190	£18,800	18.85
Grade C	£21,140	£24,530	20.9
Grade D	£26,780	£31,060	14.48
Grade E	£31,060	£35,980	12.28
Grade F	£39,320	£45,610	8.72
Grade G	£46,960	£54,470	3.84
Grade H	£54,470	£63,110	1.86
Grade I	£63,110	£73,150	0.67
Grade J	£75,360	£87,370	0.47
Chief Officers Group*	£77,600	£231,660	0.4
F9 Grade	No fixed values		2.94
Teacher Grades	£27,120	£85630	9.19

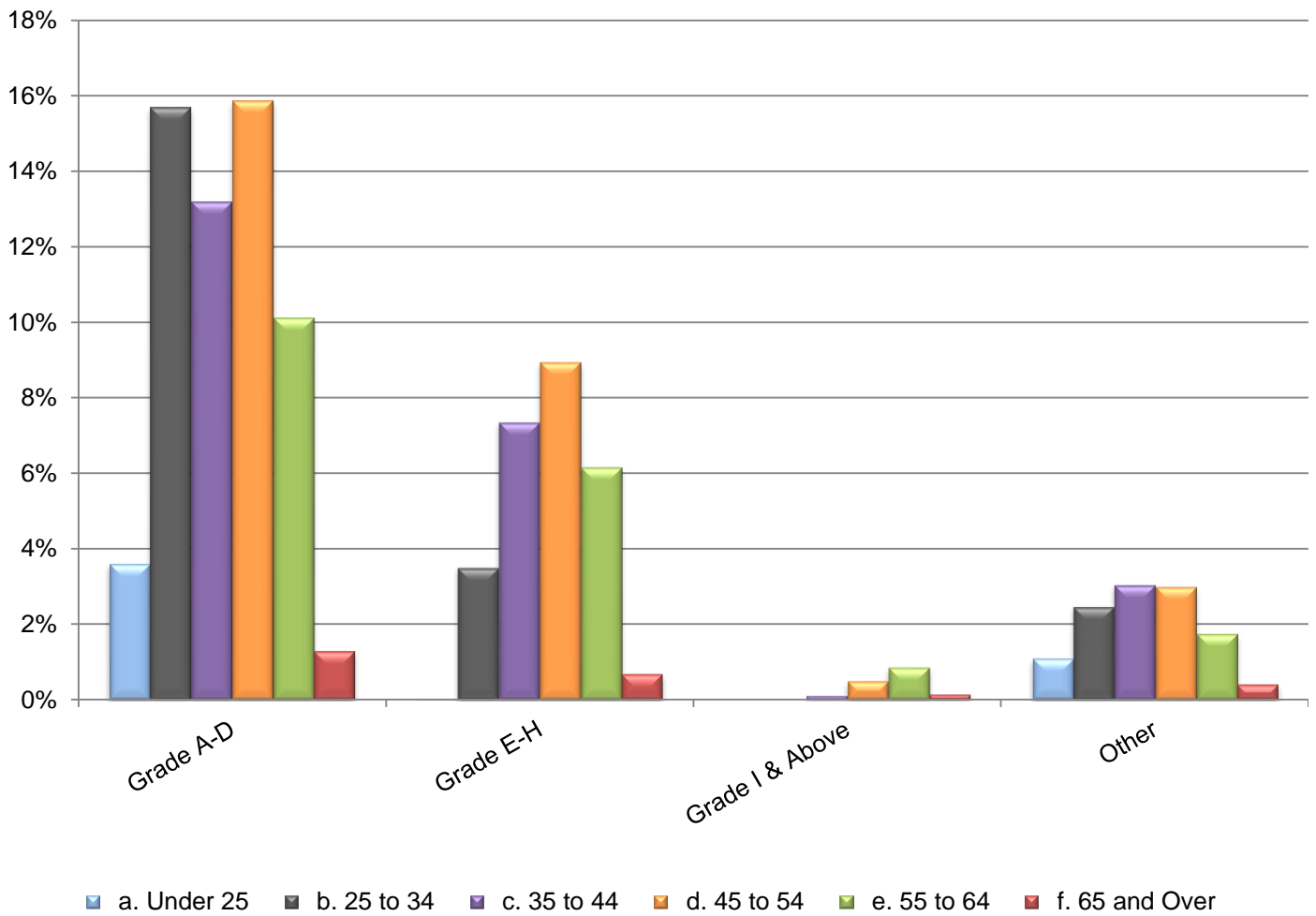
Figures exclude London Weighting and other allowances
***Chief Officers have individual salary scales within this broad range.**
This group also includes Head Teachers.

4.1 Gender and grade profile



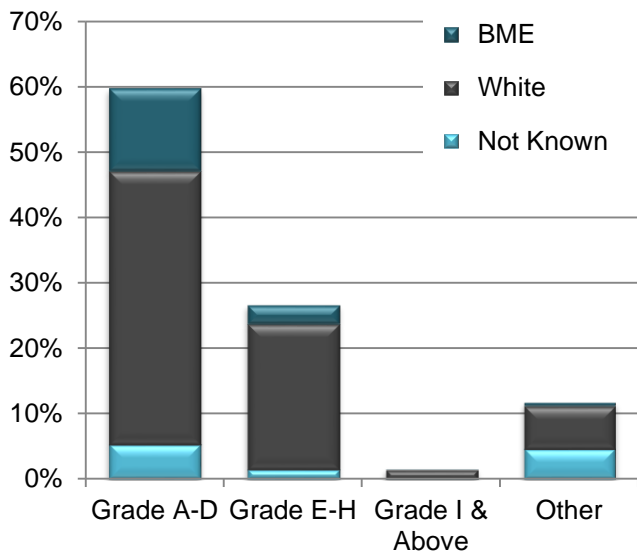
Grade Range	2014/15 Female	2014/15 Male	2015/16 Female	2015/16 Male
Grade A	3.32%	7.95%	3.52%	7.22%
Grade B	14.40%	23.11%	15.55%	22.15%
Grade C	23.86%	18.61%	22.85%	18.96%
Grade D	16.54%	12.72%	16.16%	12.80%
Grade E	14.11%	10.61%	13.52%	11.05%
Grade F	9.60%	9.11%	8.79%	8.66%
Grade G	2.95%	4.61%	2.91%	4.78%
Grade H	1.40%	2.61%	1.28%	2.44%
Grade I	0.44%	1.00%	0.34%	1.01%
Grade J	0.30%	0.84%	0.20%	0.74%
Chief Officers	0.37%	0.72%	0.27%	0.53%
F9 Grade	1.70%	1.89%	2.91%	2.97%
Teachers Grade	11.01%	6.22%	11.70%	6.69%
Grand Total	100.00%	100.00%	100.00%	100.00%

4.2 Age and grade profile



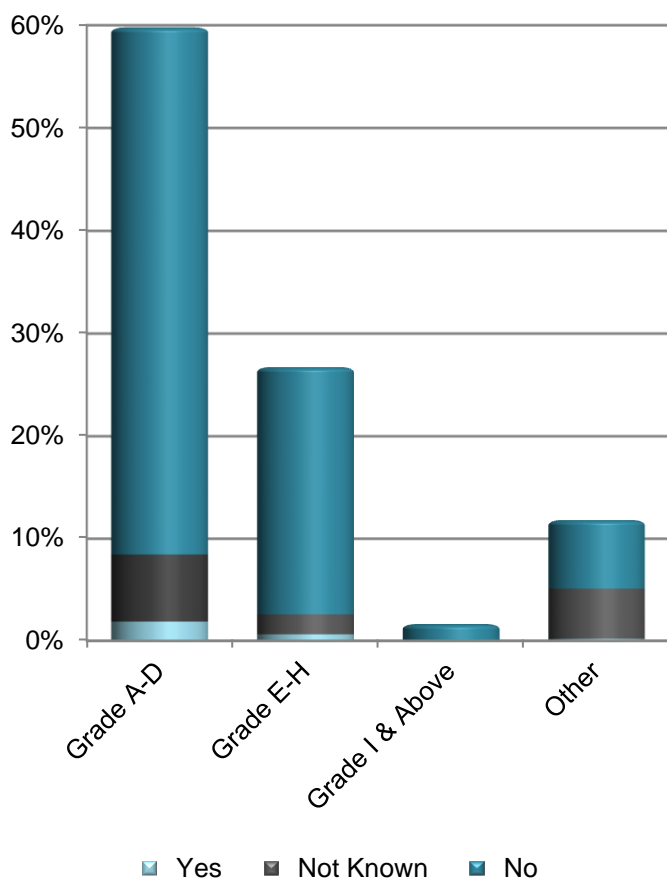
Grade	a. Under 25	b. 25 to 34	c. 35 to 44	d. 45 to 54	e. 55 to 64	f. 65 and Over
Grade A-D	3.60%	15.70%	13.21%	15.88%	10.11%	1.28%
Grade E-H	0.03%	3.54%	7.38%	8.95%	6.16%	0.68%
Grade I & Above	0.00%	0.00%	0.12%	0.51%	0.86%	0.15%
Other	1.10%	2.50%	3.06%	3.01%	1.75%	0.42%
Grand Total	4.73%	21.74%	23.77%	28.35%	18.88%	2.53%
<i>2014/15 Total</i>	<i>3.23%</i>	<i>20.80%</i>	<i>24.45%</i>	<i>29.71%</i>	<i>19.56%</i>	<i>2.25%</i>

4.3 Ethnicity and grade profile



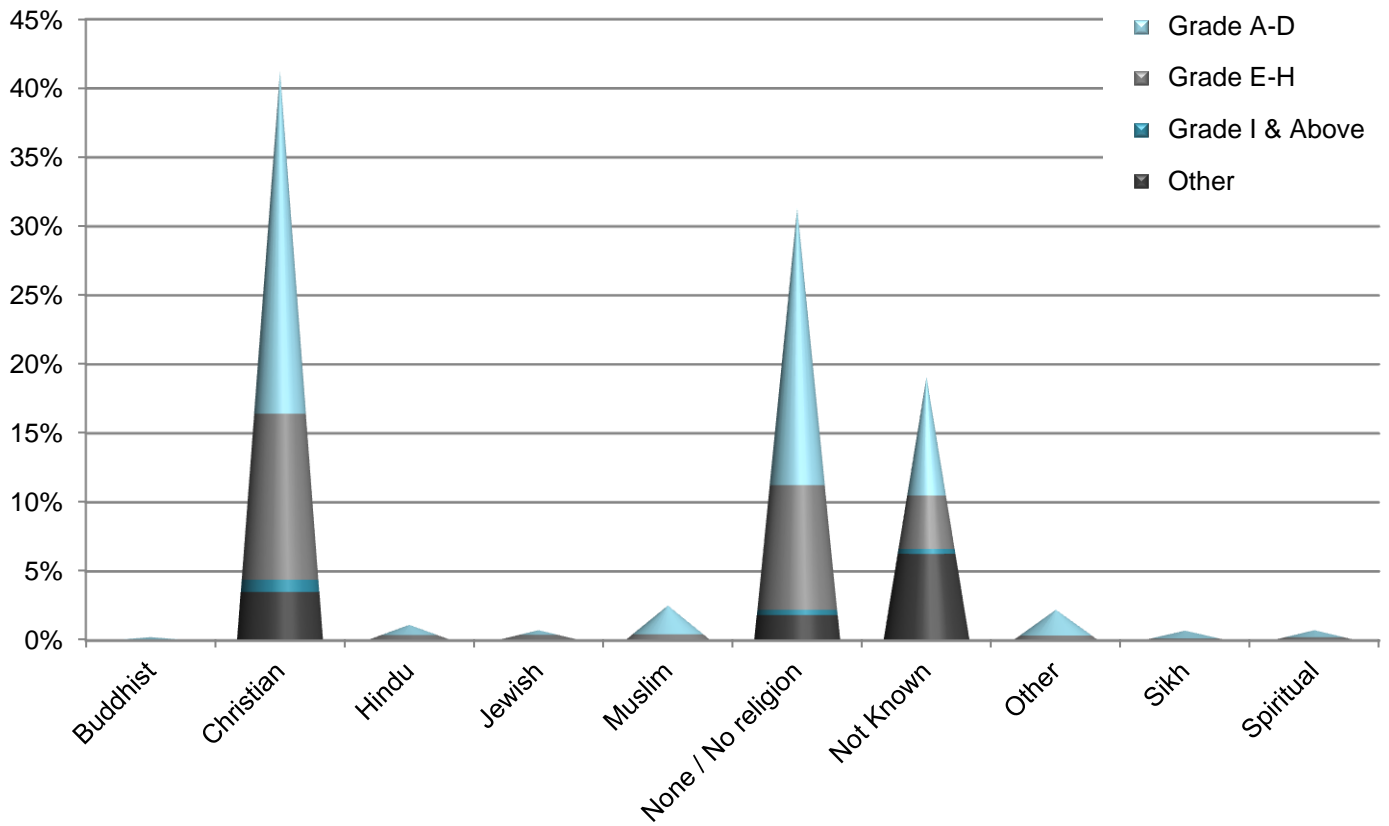
Grade Range	BME	White	Not Known
Grade A-D	12.67%	41.79%	5.32%
Grade E-H	2.91%	22.28%	1.55%
Grade I & Above	0.06%	1.46%	0.12%
Other	0.51%	6.69%	4.64%
Grand Total	16.15%	72.22%	11.63%
2014/15 Total	16.04%	74.83%	9.13%

4.4 Disability indicator and grade profile



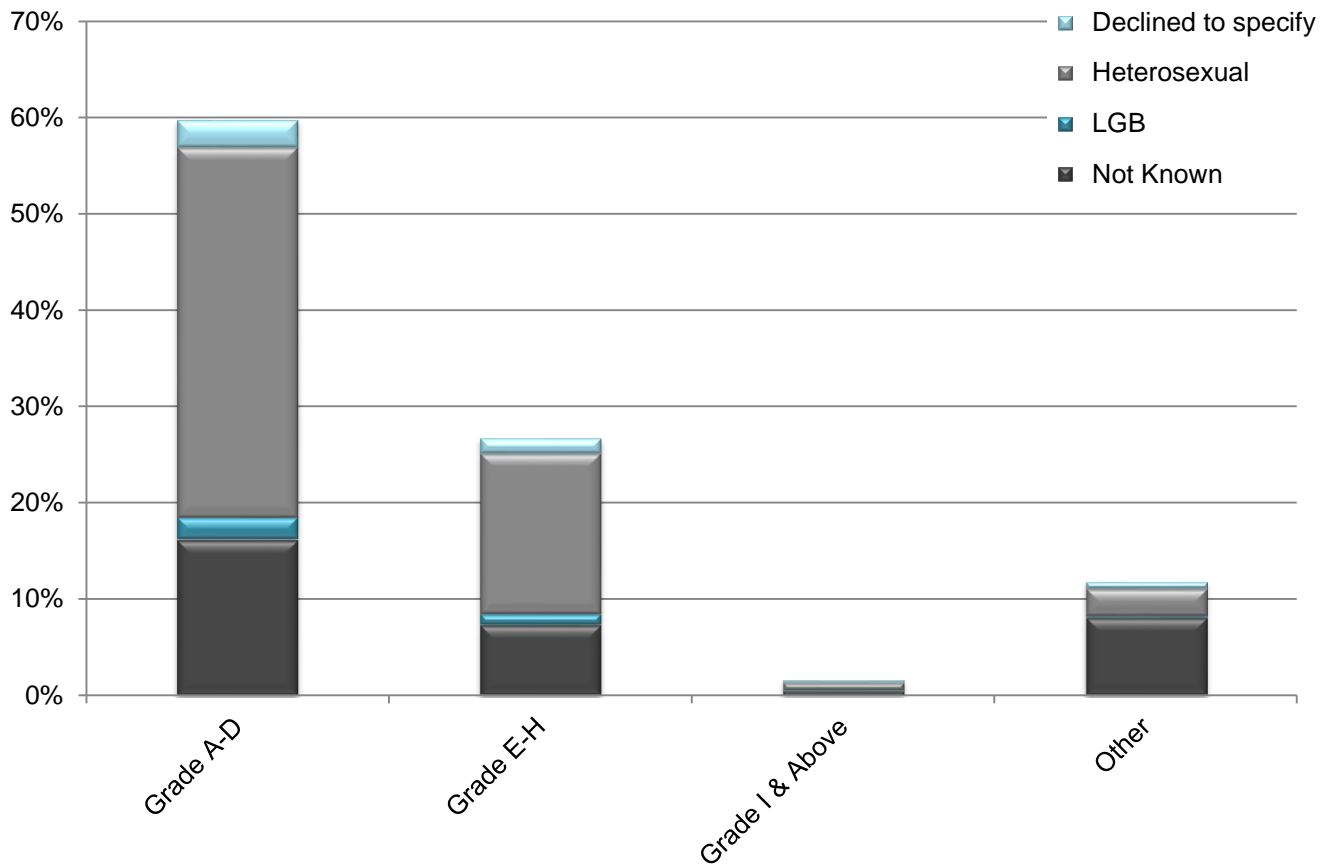
Disability	No	Not Known	Yes
Grade A-D	51.34%	6.57%	1.87%
Grade E-H	24.15%	1.96%	0.63%
Grade I & Above	1.58%	0.06%	0.00%
Other	6.72%	4.94%	0.18%
Grand Total	83.79%	13.53%	2.68%
2014/15 Total	85.87%	11.06%	3.07%

4.5 Religion and belief and grade profile



Religion & Belief	Buddhist	Christian	Hindu	Jewish	Muslim	None / No religion	Not Known	Other	Sikh	Spiritual
Grade A-D	0.18%	24.84%	0.74%	0.33%	2.08%	20.08%	8.60%	1.87%	0.56%	0.50%
Grade E-H	0.06%	12.01%	0.38%	0.36%	0.36%	9.01%	3.87%	0.30%	0.15%	0.24%
Grade I & Above	0.00%	0.89%	0.00%	0.00%	0.00%	0.39%	0.36%	0.00%	0.00%	0.00%
Other	0.00%	3.51%	0.00%	0.06%	0.09%	1.84%	6.28%	0.06%	0.00%	0.00%
Grand Total	0.24%	41.25%	1.12%	0.75%	2.53%	31.32%	19.11%	2.23%	0.71%	0.74%
2014/15 Total	0.26%	43.11%	1.11%	0.92%	2.51%	31.24%	17.12%	2.38%	0.70%	0.65%

4.6 Sexual orientation and grade profile



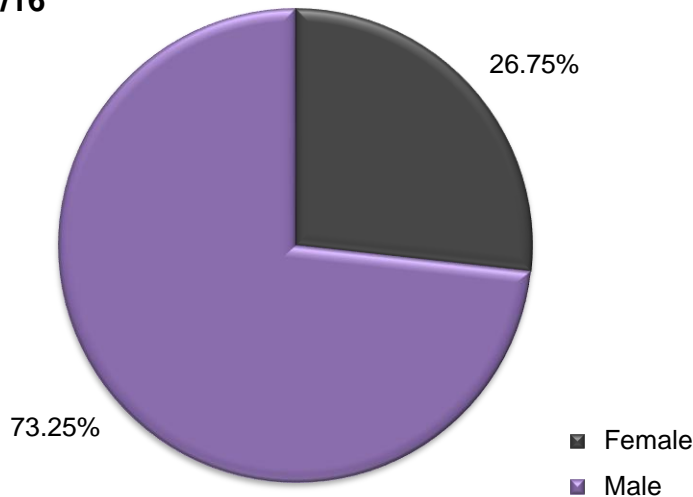
Sexual Orientation	Declined to specify	Heterosexual	LGB	Not Known
Grade A-D	2.85%	38.49%	2.29%	16.15%
Grade E-H	1.58%	16.72%	1.10%	7.35%
Grade I & Above	0.27%	0.80%	0.12%	0.45%
Other	0.71%	2.85%	0.18%	8.09%
Grand Total	5.41%	58.86%	3.69%	32.04%
2014/15 Totals	5.68%	58.37%	3.42%	32.53%

5 Top 5% of Earners

The following section examines the profile of the top 5% of earners. This includes basic pay, London Weighting and Market Forces Supplements. There are currently 157 employees in the top 5% of earners in the City of London Corporation as at 31 March 2015. The ranking used to establish the top 5% of earners is based on the top 5% of gross salaries. This actually equates to 4.67% of the workforce.

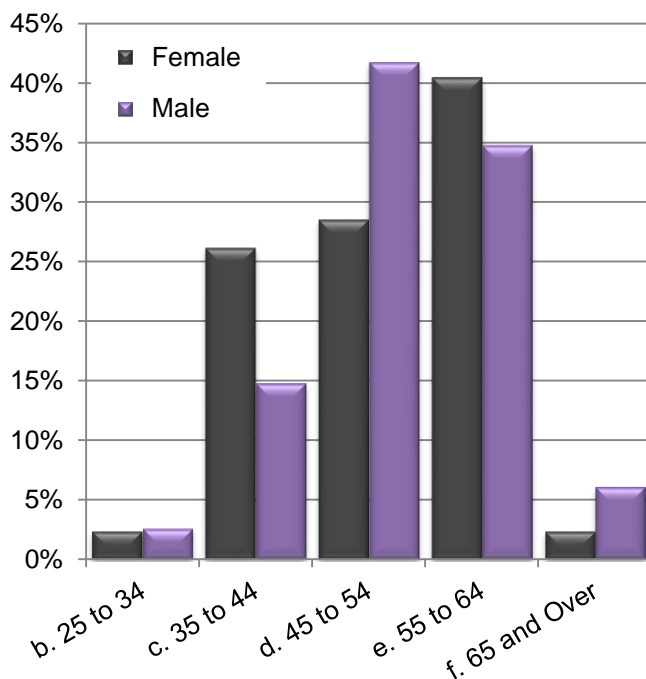
5.1 Top 5% earners by gender

2015/16



Gender	2014/15	2015/16
Female	27.15%	26.75%
Male	72.85%	73.25%
Grand Total	100.00%	100.00%

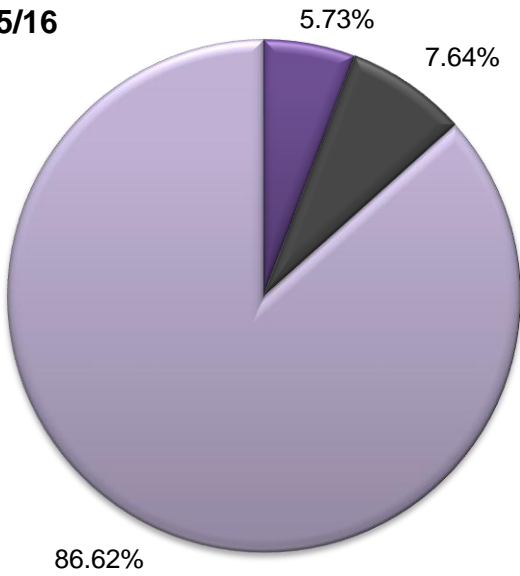
5.2 Top 5% earners by age



Age Range	2014/15 Female	2014/15 Male	2015/16 Female	2015/16 Male
b. 25 to 34	4.88%	0.91%	2.38%	2.61%
c. 35 to 44	21.95%	11.82%	26.19%	14.78%
d. 45 to 54	36.58%	34.55%	28.57%	41.74%
e. 55 to 64	34.15%	45.45%	40.48%	34.78%
f. 65 and Over	2.44%	7.27%	2.38%	6.09%
Grand Total	100.00%	100.00%	100.00%	100.00%

5.3 Top 5% earners by ethnicity

2015/16

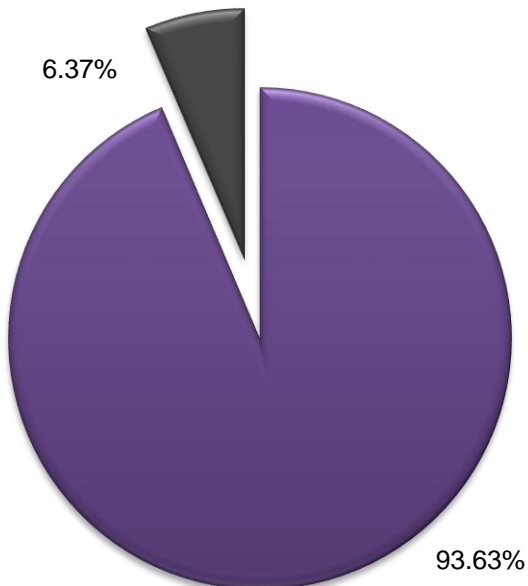


- BME
- Not Known
- White

Ethnic Group	2014/15	2015/16
BME	3.31%	5.73%
Not Known	7.29%	7.64%
White	89.40%	86.63%
Grand Total	100.00%	100.00%

5.4 Top 5% earners by disability indicator

2015/16

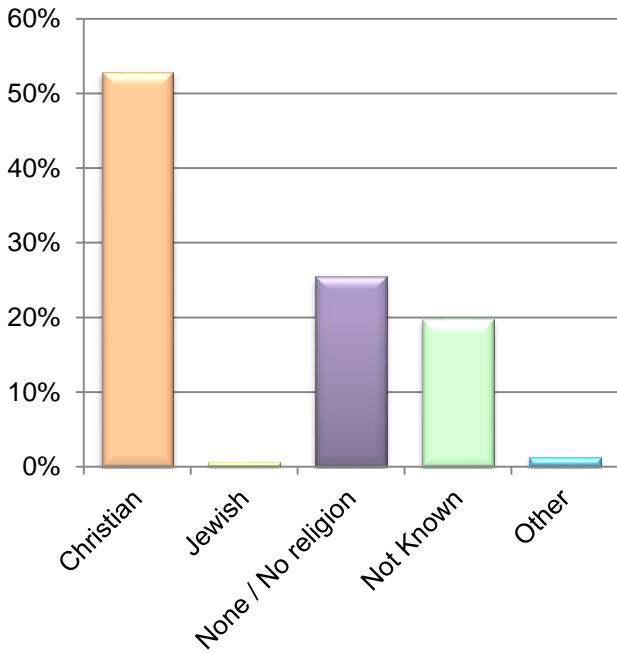


- No
- Not Known
- Yes

Disability	2014/15	2015/16
No	93.38%	93.63%
Not Known	5.96%	6.37%
Yes	0.66%	0.00%
Grand Total	100.00%	100.00%

5.5 Top 5% earners by religion and belief

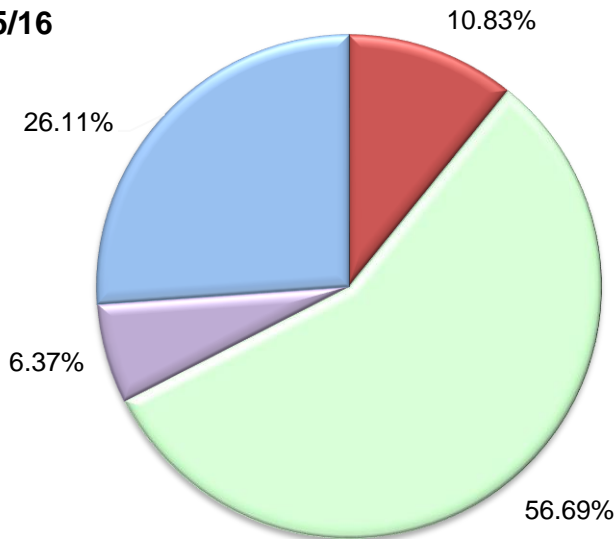
2015/16



Religion & Belief	2014/15	2015/16
Buddhist	0.66%	0.00%
Christian	57.61%	52.87%
Jewish	0.66%	0.64%
None / No religion	21.20%	25.48%
Not Known	18.55%	19.74%
Other	1.32%	1.27%
Grand Total	100.00%	100.00%

5.6 Top 5% earners by sexual orientation

2015/16



Sexual Orientation	2014/15	2015/16
Declined to specify	10.60%	10.83%
Heterosexual	52.98%	56.69%
LGB	5.96%	6.37%
Not Known	30.46%	26.11%
Grand Total	100.00%	100.00%

■ Declined to specify
 ■ Heterosexual
 ■ LGB
 ■ Not Known

6 Turnover

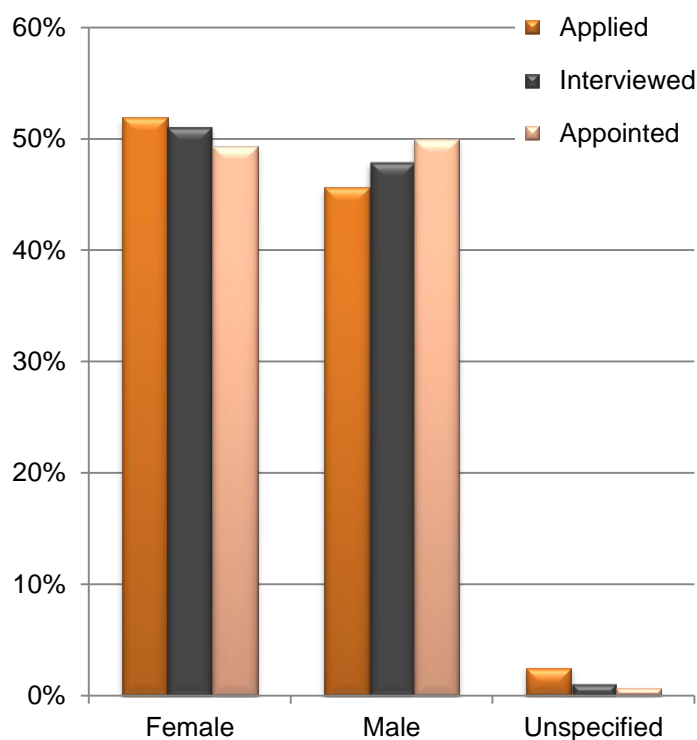
6 Recruitment Data 2015

The turnover rate which include leavers who were on a fixed term contract is 15.91%. This figure compares closely to the overall turnover across London Councils and a national level of 14.6% according to the Hay Group.

The following charts summarise the recruitment activity covering the calendar year 1 January to 31 December 2015. This does not include all recruitment such as recruitment in schools and specialist recruitment where search and section organisations have been commissioned. This covers a slightly different period compared to the main workforce profile of current employees, owing to the time it takes between completing a recruitment exercise and new employees joining the organisation, processing references and completing starter information on the HR information system.

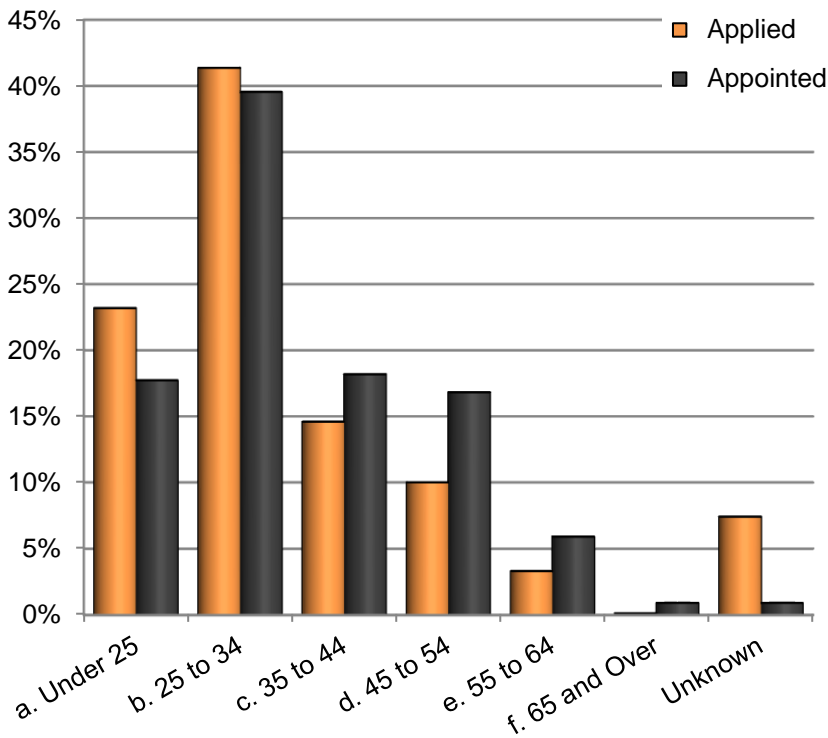
Over the period, there were 14,291 job applicants, 1,845 of those were shortlisted for interview (12.91% of applicants) and 440 appointments were made (3.08% of applicants).

6.1 Recruitment by gender



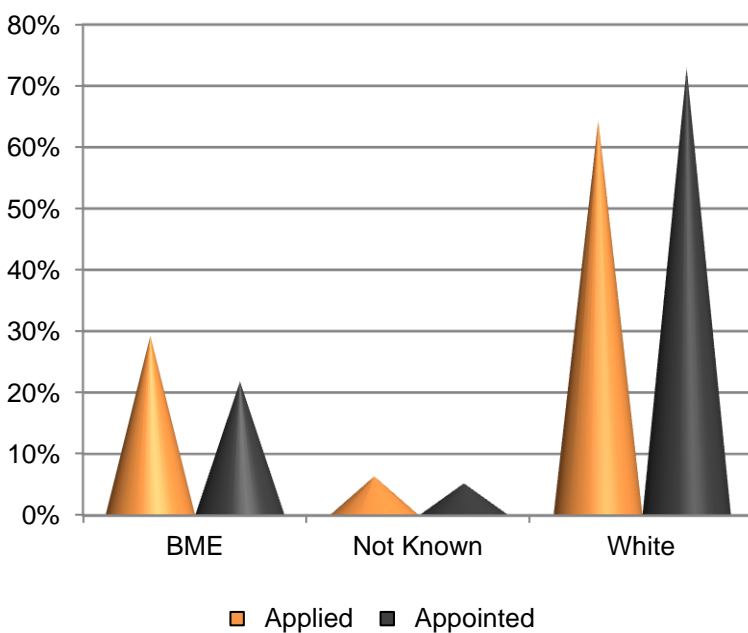
Stage	Female	Male	Unspecified
Applied	51.93%	45.60%	2.47%
Interviewed	51.00%	47.86%	1.14%
Appointed	49.32%	50.00%	0.68%

6.2 Recruitment by age



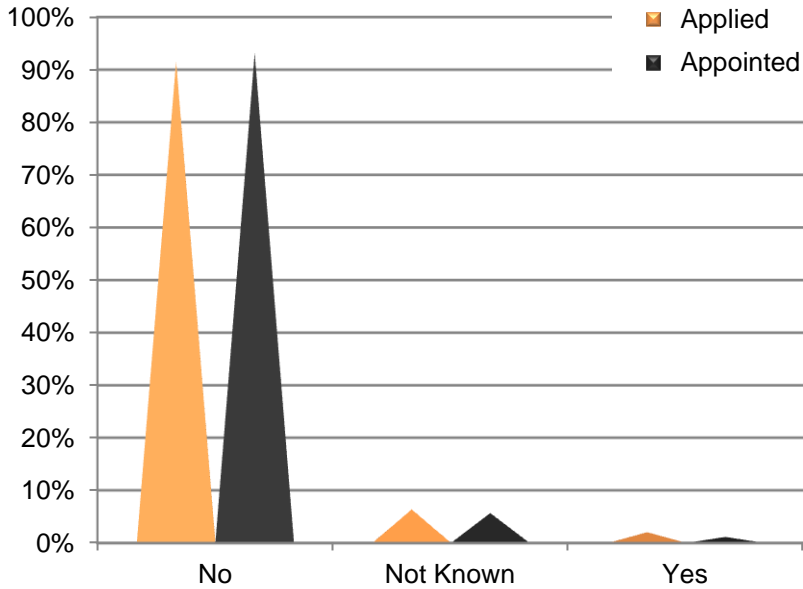
Age Range	Applied	Appointed
a. Under 25	23.19%	17.73%
b. 25 to 34	41.36%	39.54%
c. 35 to 44	14.60%	18.18%
d. 45 to 54	10.01%	16.82%
e. 55 to 64	3.31%	5.91%
f. 65 and Over	0.11%	0.91%
Unknown	7.42%	0.91%
Grand Total	100.00%	100.00%

6.3 Recruitment by ethnicity



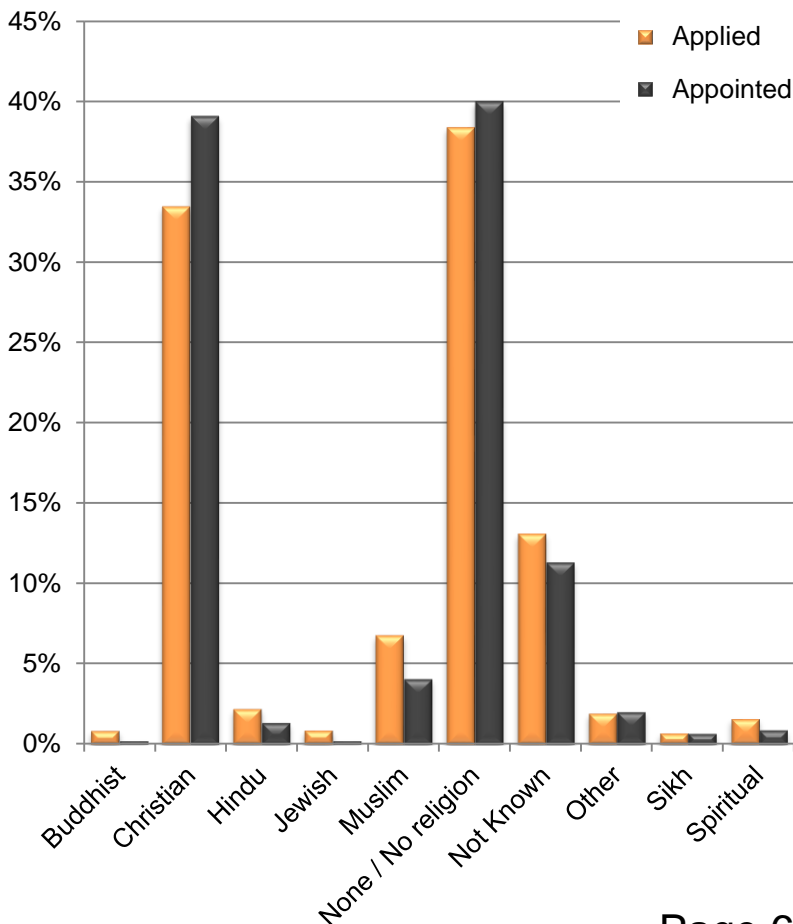
Ethnic Group	Applied	Appointed
BME	29.24%	21.82%
Not Known	6.38%	5.23%
White	64.38%	72.95%
Grand Total	100.00%	100.00%

6.4 Recruitment by disability indicator



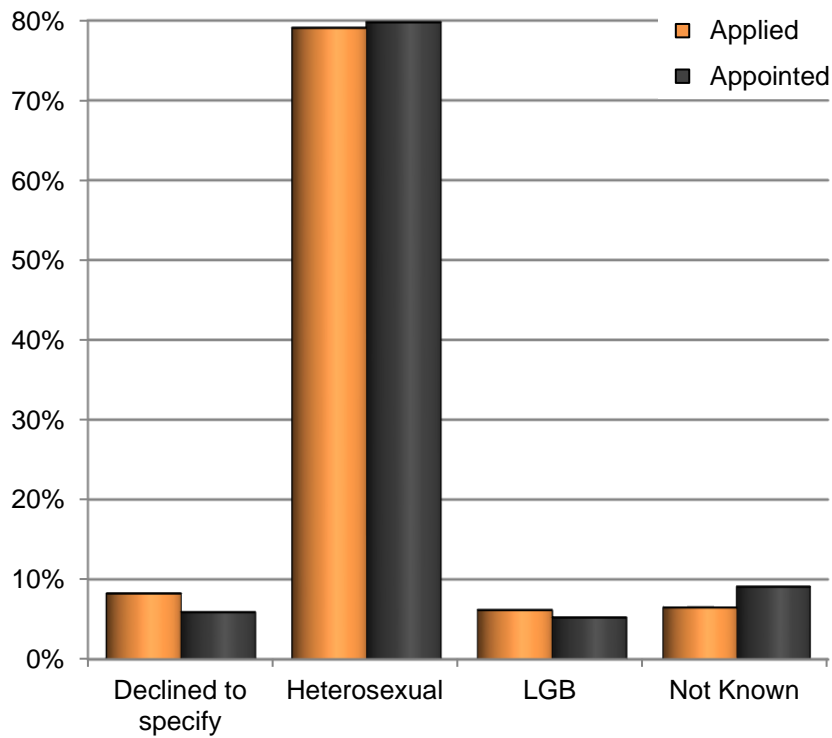
Disability	Applied	Appointed
No	91.58%	93.18%
Not Known	6.38%	5.68%
Yes	2.04%	1.14%
Grand Total	100.00%	100.00%

6.5 Recruitment by religion and belief



Religion & Belief	Applied	Appointed
Buddhist	0.85%	0.23%
Christian	33.49%	39.09%
Hindu	2.22%	1.36%
Jewish	0.88%	0.23%
Muslim	6.80%	4.09%
None / No religion	38.40%	40.00%
Not Known	13.12%	11.36%
Other	1.94%	2.05%
Sikh	0.70%	0.68%
Spiritual	1.60%	0.91%
Grand Total	100.00%	100.00%

6.6 Recruitment by sexual orientation

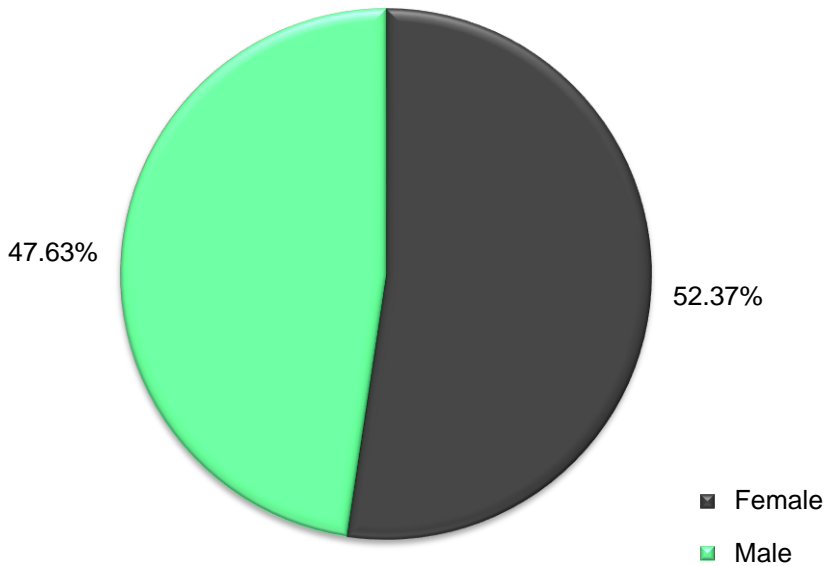


Sexual Orientation	Applied	Appointed
Declined to specify	8.25%	5.91%
Heterosexual	79.08%	79.77%
LGB	6.18%	5.23%
Not Known	6.49%	9.09%
Grand Total	100.00%	100.00%

7 Starter information April 2015 – March 2016

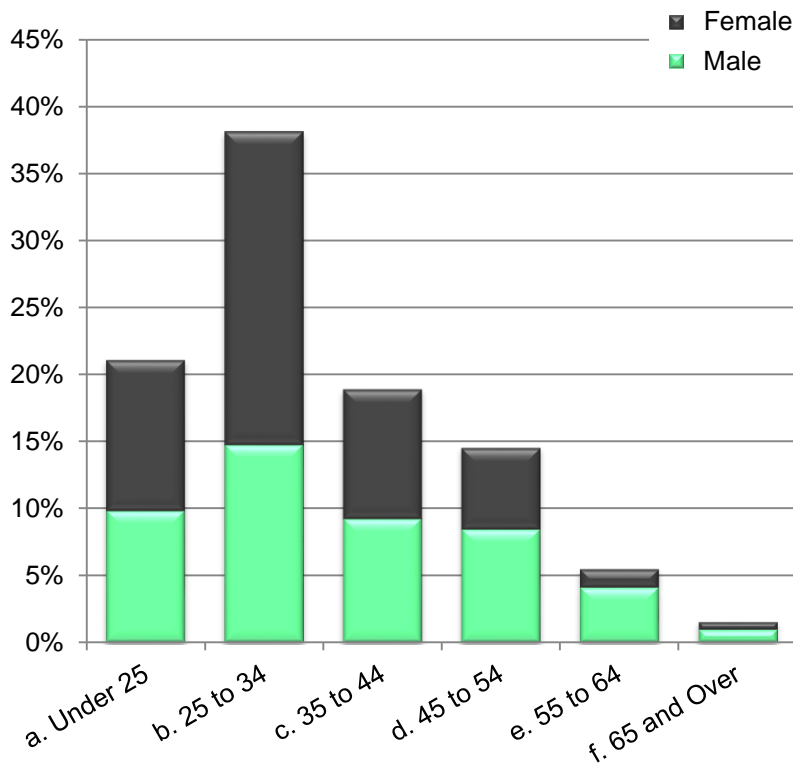
The tables below give a breakdown of the 506 new starters to the organisation. This data does not include those employees who already work for the City of London Corporation but have changed jobs.

7.1 Starters by gender



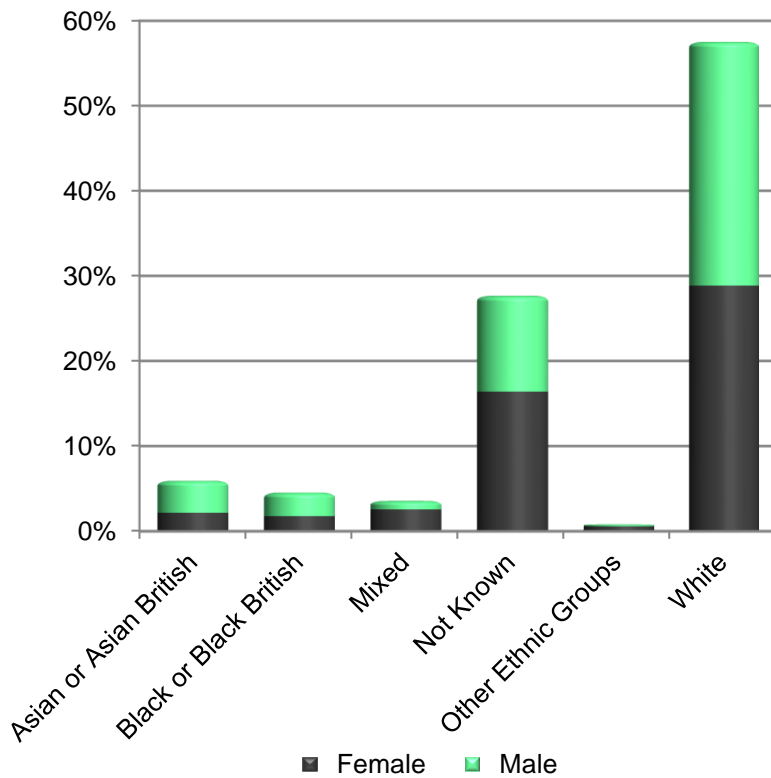
Gender	Total
Female	52.37%
Male	47.63%
Grand Total	100.00%

7.2 Starters by age



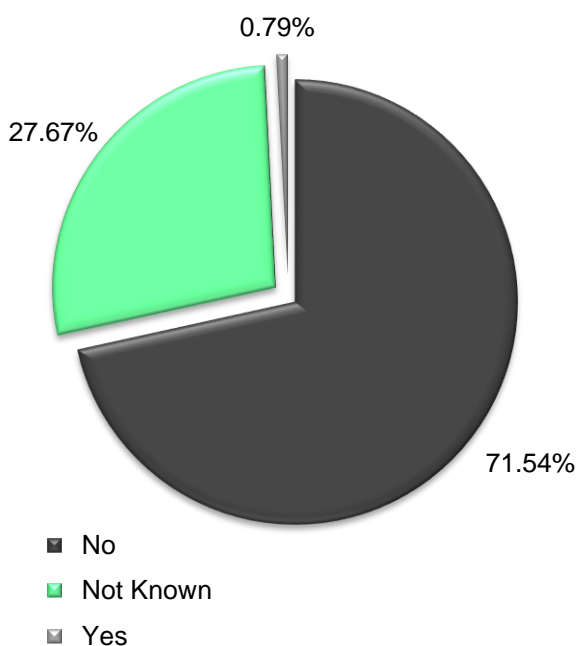
Age Range	Female	Male
a. Under 25	11.27%	9.88%
b. 25 to 34	23.32%	14.82%
c. 35 to 44	9.68%	9.29%
d. 45 to 54	6.13%	8.50%
e. 55 to 64	1.38%	4.15%
f. 65 and Over	0.59%	0.99%
Grand Total	52.37%	47.63%

7.3 Starters by ethnicity



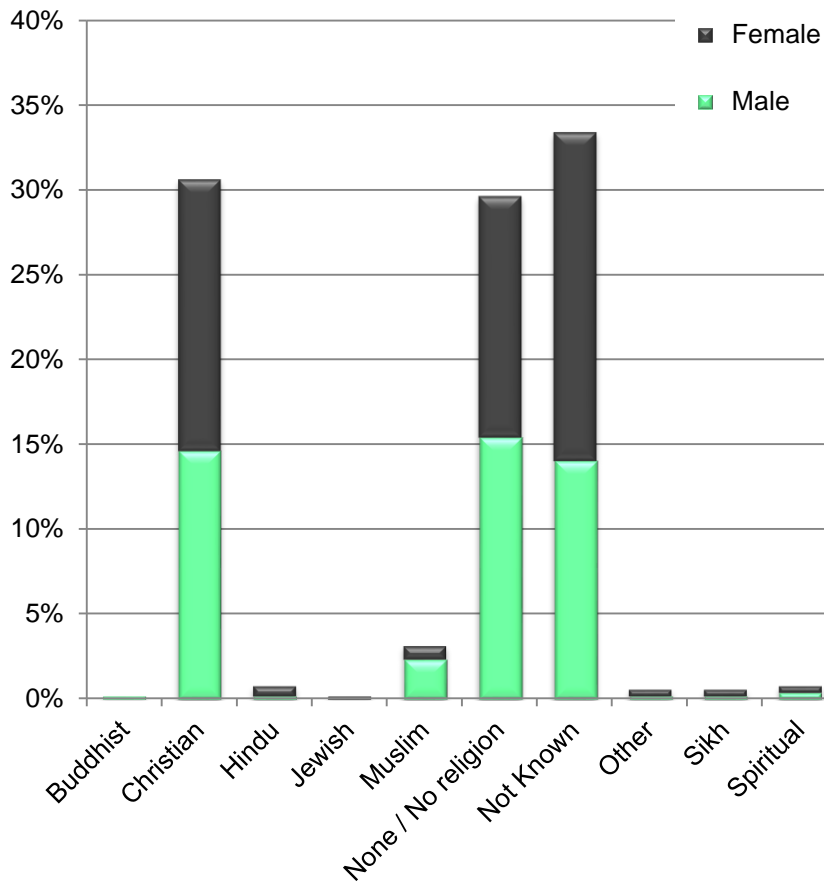
Ethnic Group	Female	Male
Asian or Asian British	2.17%	3.75%
Black or Black British	1.78%	2.77%
Mixed	2.57%	0.99%
Not Known	16.40%	11.26%
Other Ethnic Groups	0.59%	0.20%
White	28.86%	28.66%
Grand Total	52.37%	47.63%

7.4 Starters by disability indicator



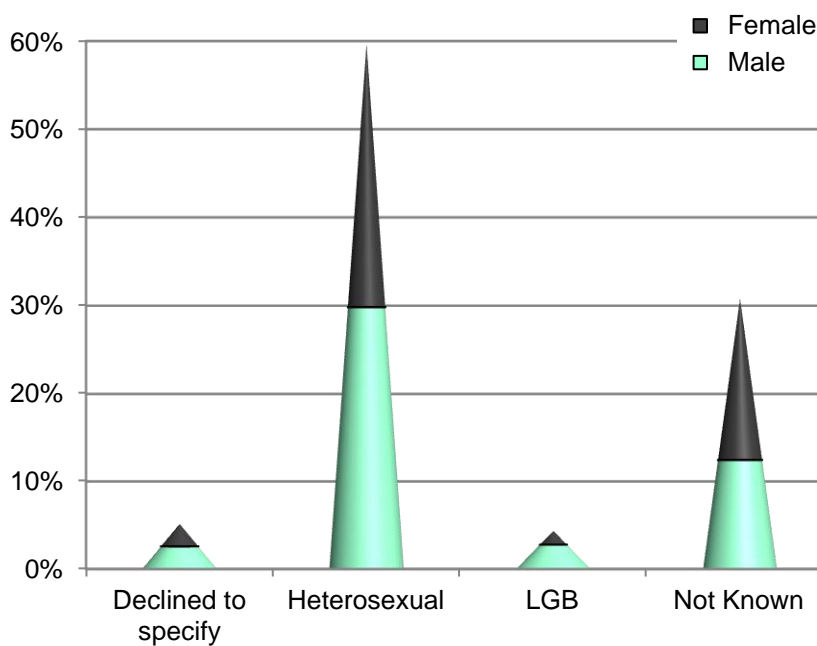
Gender	Female	Male	Grand Total
No	36.16%	35.38%	71.54%
Not Known	16.01%	11.66%	27.67%
Yes	0.20%	0.59%	0.79%
Grand Total	52.37%	47.63%	100.00%

7.5 Starters by religion and belief



Religion & Belief	Female	Male
Buddhist	0.00%	0.20%
Christian	16.01%	14.62%
Hindu	0.59%	0.20%
Jewish	0.20%	0.00%
Muslim	0.79%	2.37%
None / No religion	14.23%	15.41%
Not Known	19.37%	14.03%
Other	0.39%	0.20%
Sikh	0.40%	0.20%
Spiritual	0.39%	0.40%
Grand Total	52.37%	47.63%

7.6 Starters by sexual orientation

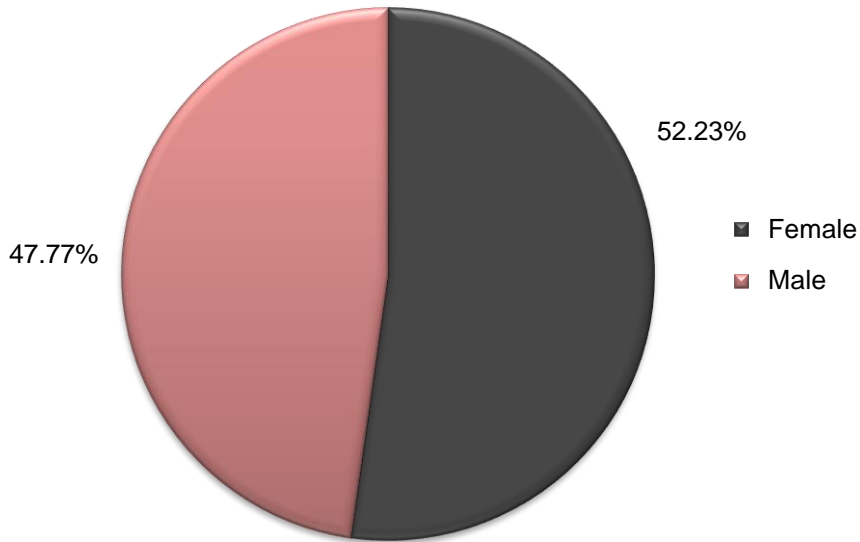


Sexual Orientation	Female	Male
Declined to specify	2.57%	2.57%
Heterosexual	29.84%	29.84%
LGB	1.58%	2.77%
Not Known	18.38%	12.45%
Grand Total	52.37%	47.63%

8. Leaver information April 2015 – March 2016

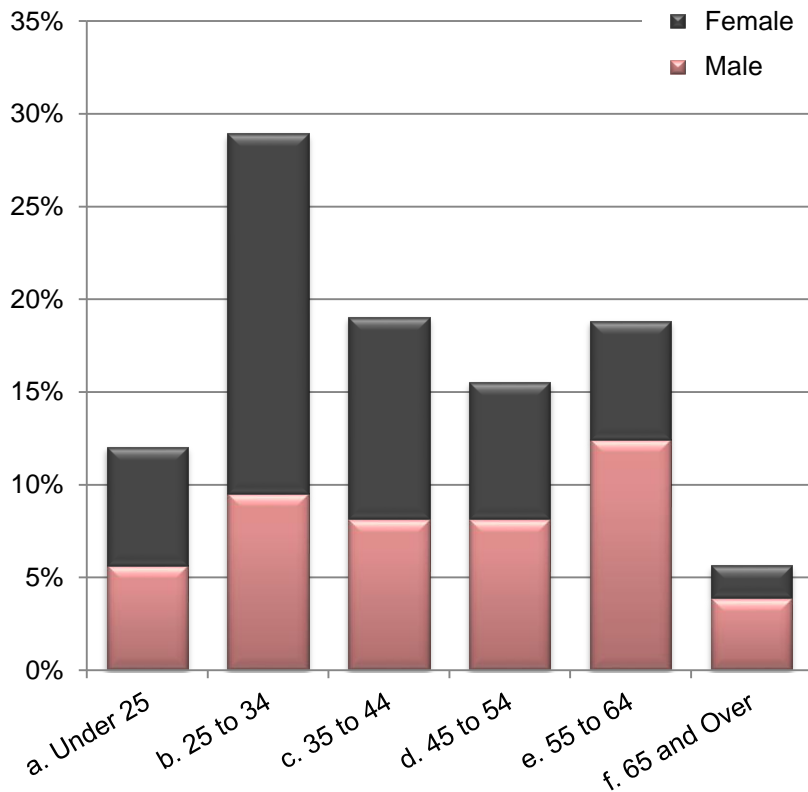
The tables below give a breakdown of the 515 leavers from the organisation.

8.1 Leavers by gender



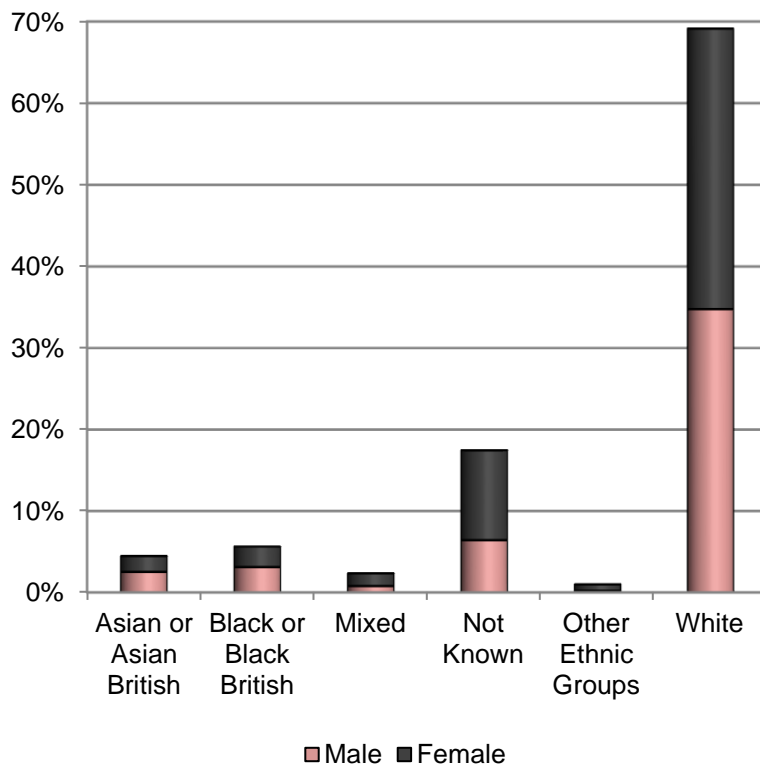
Gender	Total
Female	52.23%
Male	47.77%
Grand Total	100.00%

8.2 Leavers by age



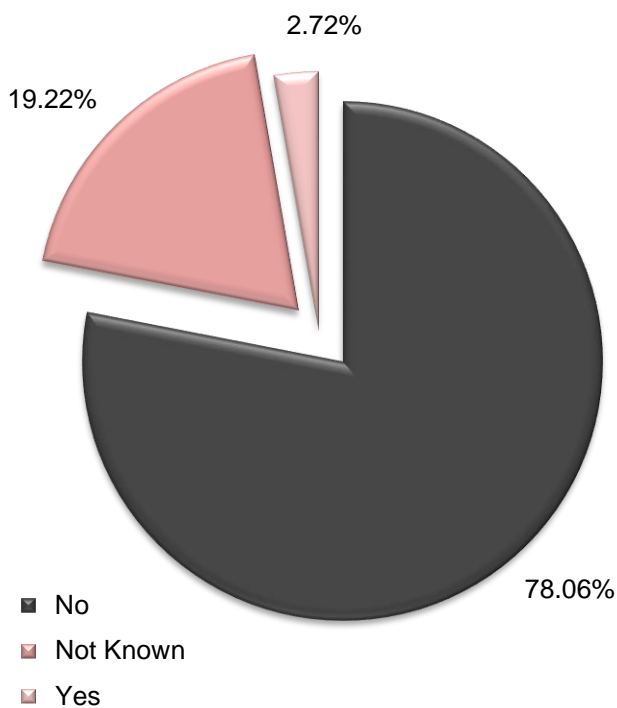
Age Range	Female	Male
a. Under 25	6.41%	5.63%
b. 25 to 34	19.41%	9.51%
c. 35 to 44	10.87%	8.16%
d. 45 to 54	7.38%	8.16%
e. 55 to 64	6.41%	12.43%
f. 65 and Over	1.75%	3.88%
Grand Total	52.23%	47.77%

8.3 Leavers by ethnicity



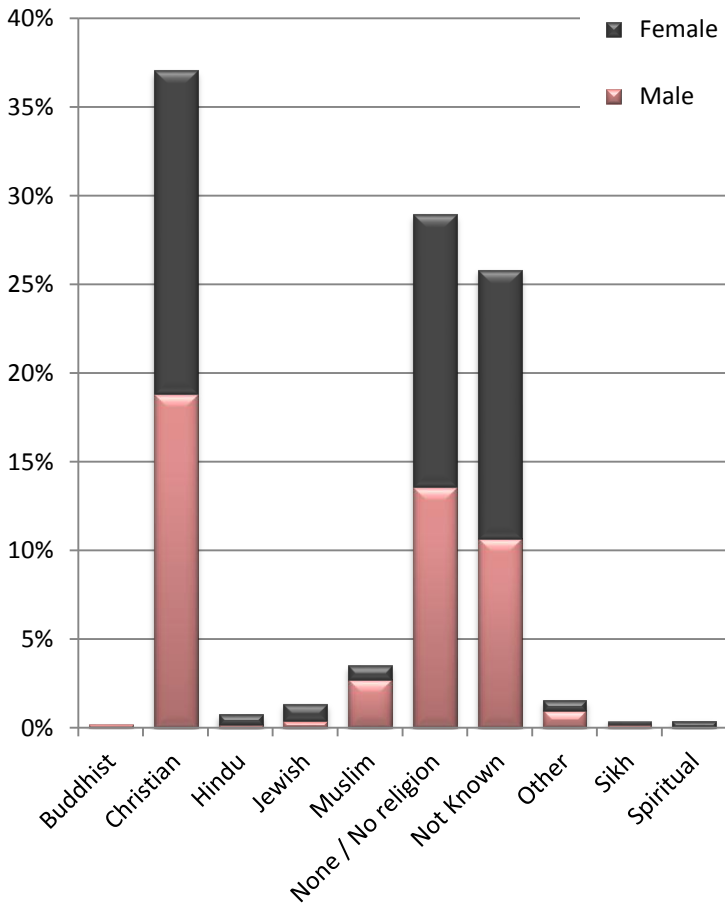
Ethnic Group	Female	Male
Asian or Asian British	1.94%	2.52%
Black or Black British	2.52%	3.11%
Mixed	1.55%	0.78%
Not Known	11.07%	6.41%
Other Ethnic Groups	0.78%	0.19%
White	34.37%	34.76%
Grand Total	52.23%	47.77%

8.4 Leavers by disability indicator



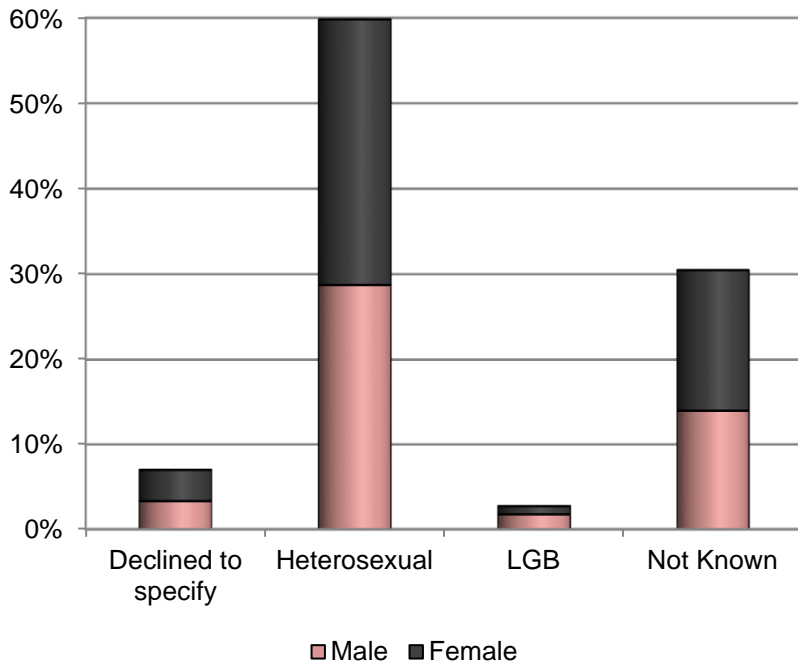
Disability	Female	Male	Grand Total
No	39.22%	38.84%	78.06%
Not Known	11.65%	7.57%	19.22%
Yes	1.36%	1.36%	2.72%
Grand Total	52.23%	47.77%	100.00%

8.5 Leavers by religion and belief



Religion & Belief	Female	Male
Buddhist	0.00%	0.19%
Christian	18.25%	18.84%
Hindu	0.58%	0.20%
Jewish	0.97%	0.39%
Muslim	0.78%	2.72%
None / No religion	15.34%	13.59%
Not Known	15.15%	10.68%
Other	0.58%	0.97%
Sikh	0.19%	0.19%
Spiritual	0.39%	0.00%
Grand Total	52.23%	47.77%

8.6 Leavers by sexual orientation



Sexual Orientation	Female	Male
Declined to specify	3.69%	3.30%
Heterosexual	31.07%	28.74%
LGB	0.97%	1.75%
Not Known	16.50%	13.98%
Grand Total	52.23%	47.77%

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Committee: Establishment Committee	Date: 9 June 2016
Subject: Human Resources Dashboards	Public
Report of: Director of Human Resources	For Information
Report author: Oliver Sanandres, Human Resources Department	

Summary

This report provides the Committee with data from our Corporate HR Dashboard. It also specifically provides the dashboards for the two Departments to which Establishment Committee is Service Committee to (the Town Clerk's Department and the Comptroller and City Solicitor's Department).

The full electronic version of the dashboard will be available at the meeting and will provide the opportunity for members to 'drill down' into each specific area, to obtain greater detail and undertake further analysis. Please note that while this report is in the public part of the agenda, it may be necessary for the meeting to move into non-public for some detailed analysis.

Recommendation

The Committee is recommended to note the report.

Main Report

Background

1. The HR Dashboards help support the Town Clerk, Chief Officers and Managers through the provision of monthly data on key "people" metrics.
2. Copies of the front page of the HR Dashboard for the Corporation as a whole, the Town Clerks Department and the Comptrollers and City Solicitors Department are attached to this report. These show the nine key corporate metrics currently for April 2016, which are:
 - Current Full Time Equivalent Headcount
 - Percentage staff turnover
 - Monthly sickness level
 - Total establishment v opportunities / unfilled vacancies
 - Number of recruitment campaigns closed (running total)
 - Formal Processes (Disciplinary, Grievance and sickness cases totals)
 - Monthly overtime running total
 - Health Safety Accident statistics
 - Total Training statistics

3. At the meeting you will have the opportunity to see the full version of the HR dashboard on the interactive electronic display.

Current Position

Highlight Information

4. Based on the April 2016 figures the following should be noted at the Corporate level:
 - a) Full Time Equivalent (FTE) has remained fairly static compared to last year. Currently sitting at 3565.15 FTE, headcount currently at 3,768 staff. This is being monitored as part of the Service Based Review budget monitoring.
 - b) Turnover remains fairly constant at 14%, increasing slightly by 0.55% in the last year. This figure includes fixed term and temporary contracts
 - c) Occupied positions at 3778 is higher than the current staff at 3768 due to various consultants being included in our reporting structure who may have some line manager responsibility.
 - d) Unoccupied positions, which should be an indication of the number of vacancies, are at 538. This figure has more than halved since the last report to this committee in November. This is partly due to the number of restructures in Police and other Departments which have now been completed, however, the figure previously reported in November's meeting of 1502, was incorrect. We carried out a "data quality" review to identify the number of unoccupied positions and identified that police positions were not being removed from the system. This has now been rectified and the dashboard is now reflecting the true position.
 - e) Sickness since the last reporting period has dropped from 0.48 to 0.41, therefore we are, overall, well below the corporate target of 0.5. You will note the categorisation of the largest reason for sickness is "other". The Wellbeing strategy recently launched in HR will seek to review the categorisations and tighten up the procedures to ensure meaningful reasons for sickness are recorded to enable us to identify causes and offer support more effectively to prevent or manage absence even further. This overall figure will be tracked closely and compared to our recently populated Wellbeing Dashboard. The roll out of the City People absence module in July will also enable managers to record the reasons for sickness direct on the system. With the renewed categories we also expect this to decrease the unidentified categories of 'other'.
 - f) 351 recruitment campaigns have been closed in the last rolling year of which 285 were successful. Although the number of unsuccessful campaigns seems high in comparison to the overall number of campaigns (18.8%), this does not actually represent a comparable number of actual applications (6.7%). The reasons for campaigns being unsuccessful is not easily quantified, however this could be down to a number of factors, i.e. campaign put on hold, campaign cancelled, limited applications due to specialist role, offer declined/withdrawn.

- g) The total costs over and above base salary (including overtime and unsocial hours) for 2015/16 were £4,940,421. Costs over and above base salary (including overtime and unsocial hours) for the financial year to date are £501,334. The split of these costs vary across the Corporation.
- i. The Service Departments account for just over half of these costs at £288,089 (57.4%)
 - ii. Corporate Departments account for 26% (mainly Surveyors and Central Criminal Court)
 - iii. Institutions account for 16% (mainly Barbican and GSMD)
 - iv. Police civilian staff account for 8.5%.
- h) The Dashboard developers identified that the comensura reporting figures are inaccurate and as such we are currently reviewing these figures. This is down to how comensura have compiled their reporting which is currently being revised by them. This is one of the many benefits of the dashboard approach as we are able to analyse and compare data to various other metric points to assure reliable data.
- i) Reported accidents year to date are 331. This is an increase in the last year of 131 accidents. It is important to note this is a positive for the organisation and not an indicator of it becoming more dangerous. We are seeing this increase as a result of the simpler enhanced reporting mechanisms and better engagement with the corporate accident reporting system by the Departments. The key KPI for our accident metrics is on investigation (accidents being investigated within a 14 day period) as this demonstrates the effective behaviour required in understanding, rectifying and preventing a recurrence of accidents as required by law. This level is currently sitting at 79%. This is lower than desired and as such the HR Health, Safety & Wellbeing team are currently delivering an accident reporting and investigation campaign designed to highlight the importance of accident investigation. It is also being tracked closely by the Health, Safety & Wellbeing Committee and the Town Clerk has already requested an action around this.

Corporate & Strategic Implications

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

Conclusion

6. Members are asked to note this report.

Appendices

Appendix 1 – Corporate Dashboard April 2016

Appendix 2 – Town Clerks Dashboard April 2016

Appendix 3 – Comptrollers and City Solicitors Dashboard April 2016

Oli Sanandres, Corporate HR

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3,768 Current Staff - Headcount

3,565.15 Current Staff - FTE



Apr-2015 Levels

- Headcount **3,769**
- FTE **3,562.93**

14.90%

Turnover in the current rolling year



Starters 568
Leavers 561
- Voluntary 11.21% (422)
- Involuntary 3.69% (139)

Previous rolling year's turnover 14.35%

Monthly Sickness Level

0.41

Short-Term **0.23**
Long-Term **0.18**

Previous Levels
Mar-2016 **0.48**
Apr-2015 **0.45**



4,441 Total Positions

3,778 Occupied Positions

538 Unoccupied Positions

125 Positions Being Recruited To



351

Number of recruitment campaigns closed in the current rolling year

Applications 10,704
- Interviewed 1,340
- Appointed 340



92

Average Days From Requisition Start to Appointment/Closure

Disciplinarys

in the last year **21** currently open **5**

Grievances in the last year **7** currently open **2**



Sickness Cases in the last year **336** currently open **131**

£218,595.08

Monthly Overtime



Monthly Additional Hrs **£282,739.57**

Monthly Casual Costs **£308,087.14**

Monthly Agency Costs **£706,573.57**

YTD Overtime **£218,595.08**

YTD Additional Hours **£282,739.57**

Health & Safety

331 Accidents in the rolling year

130 Incidents in the rolling year

Incidents of which were near misses

70



Accidents in the previous rolling year

203

7,018 Completed courses in the rolling year

2,041

of which were e-learning

Total Cancellations **201**

Cancellation Costs **£ 7,388**





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. Figures are based on permanent staff, and does not include 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, involuntary leavers relates to all other leavers.



Overall monthly sickness levels are measured against the corporate target of 6 days per year (divided by 12 for a monthly level of 0.5). CoL values are for the same reporting month.



Disparity between the number of unoccupied positions and positions being recruited to could be representative of inaccuracies in your structure and may need reviewing.



A recruitment requisition is only closed once a successful applicant starts in their position. This can obviously impact on average days from requisition start to appointment where long notice periods are in effect.



Disciplinary, Grievances and Sickness Cases are based on formal casework, informal values are not included. Grievances may also be referred to as Complaints. In the last year refers to the rolling year.



Monthly agency costs are based on Comensura values only. Additional staff costs outside of Comensura and normal payment streams are not included. Year to date values relate to the financial year beginning the 1st of April.



Health & Safety incidences could include occurrences which do not relate to department staff, but which occurred in areas under the department's control.



Training values include department specific and mandatory courses.

228 Current Staff - Headcount

219.54 Current Staff - FTE

- HC vs COL 6.05%
- FTE vs COL 6.16%



Apr-2015 Levels

- Headcount 226
- FTE 216.39

22.91%

Turnover in the current rolling year

14.90%

CoL Turnover

- Starters 52**
- Leavers 52**
- Voluntary 17.18% (39)
- Involuntary 5.73% (13)



Previous rolling year's turnover **21.10%**

Monthly Sickness Level

0.58

CoL

0.41

- Short-Term 0.30
- Long-Term 0.28

Previous Levels

- Mar-2016 0.44
- Apr-2015 0.83



289 Total Positions

228 Occupied Positions

48 Unoccupied Positions

13 Positions Being Recruited To



31

Number of recruitment campaigns closed in the current rolling year

- Applications 1,242**
- Interviewed 166
- Appointed 38



Average Days From Requisition Start to Appointment/Closure **94 (92)** CoL

Disciplinarys

in the last year **0** currently open **0**

Grievances

in the last year **1** currently open **0**



Sickness Cases

in the last year **21** currently open **7**

£5,147.53

Monthly Overtime



Monthly Additional Hrs **£577.70**

Monthly Casual Costs **£234.52**

Monthly Agency Costs **£92,108.51**

YTD Overtime **£5,147.53**
YTD Additional Hours **£577.70**

Health & Safety

5 Accidents in the rolling year

1 Incidents in the rolling year

Incidents of which were near misses

1



Accidents in the previous rolling year

2

840

Completed courses in the rolling year

195

of which were e-learning

Total Cancellations

27

Cancellation Costs

£ 719





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Training values include department specific and mandatory courses.

56 Current Staff - Headcount

51.06 Current Staff - FTE

- HC vs COL 1.49%
- FTE vs COL 1.43%



Apr-2015 Levels

- Headcount 56
- FTE 51.31

7.14%

Turnover in the current rolling year

14.90%

CoL Turnover



- Starters** 3
- Leavers** 4
 - Voluntary 7.14% (4)
 - Involuntary 0.00% (0)
- Previous rolling year's turnover** 7.34%

Monthly Sickness Level

0.31

CoL

0.41

- Short-Term 0.31
- Long-Term 0.00

Previous Levels

- Mar-2016 0.43
- Apr-2015 0.37



62 Total Positions

56 Occupied Positions

5 Unoccupied Positions

1 Positions Being Recruited To



6

Number of recruitment campaigns closed in the current rolling year

- Applications** 41
 - Interviewed 14
 - Appointed 5



Average Days From Requisition Start to Appointment/Closure

73 **(92)**
CoL

Disciplinarys

in the last year 0 currently open 0

Grievances

in the last year 0 currently open 0



Sickness Cases

in the last year 5 currently open 2

£970.71

Monthly Overtime



Monthly Additional Hrs £-

Monthly Casual Costs £-

Monthly Agency Costs £1,081.63

YTD Overtime £970.71

YTD Additional Hours £-

Health & Safety

0 Accidents in the rolling year

0 Incidents in the rolling year

Incidents of which were near misses

0



Accidents in the previous rolling year

1

119

Completed courses in the rolling year

21

of which were e-learning

Total Cancellations

0

Cancellation Costs

£ 56





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Training values include department specific and mandatory courses.

Committee(s): Establishment Committee – For Information	Date: 9 June 2016
Subject: Operation of the Scheme of Delegations January – March 2016	Public
Report of: Chrissie Morgan, Director of Human Resources	For Information
Report author: Chris Formosa, Town Clerk's	

Summary

In line with the Scheme of Delegations the report provides information on any redundancies, early retirements (including those made under the '85 year rule') and ill health retirements in the reporting period January to March 2016.

The report also provides information on total numbers in the last rolling year.

Recommendation

Members are asked to note the actions taken under delegated authority.

Main Report

Background

1. In line with the Scheme of Delegations the report provides information on redundancies, early retirements (including those made under the '85 year rule') and ill health retirements in the period January to March 2016.
2. There have been 21 redundancies in this reporting period. There have been 2 early retirements on grounds of ill-health. Appendix 1 (within the confidential section of the agenda) provides a table summarising the information.
3. In the last 12 months there have been 31 total redundancies; 4 early retirements; and 9 ill health retirements.

Conclusion

4. The Establishment Committee is asked to note the actions taken under delegated authority.

Appendices

5. Appendix 1 - Table summarising information for the period January – March 2016 (in the Members Only section)

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

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of the Local Government Act 1972.

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