



Establishment Committee – Main Agenda Pack

Date: WEDNESDAY, 23 JUNE 2021
Time: 1.45 pm
Venue: VIRTUAL PUBLIC MEETING (ACCESSIBLE REMOTELY)

Members:

Tracey Graham (Chair)	Sheriff Christopher Hayward
Deputy Edward Lord (Deputy Chair)	Deputy Jamie Ingham Clark
Randall Anderson	Jeremy Mayhew
Deputy Keith Bottomley	Deputy Richard Regan
Alderman Sir Charles Bowman	Deputy Elizabeth Rogula
Henry Colthurst	Ruby Sayed
Karina Dostalova	Deputy Tom Sleigh
Deputy Kevin Everett	Deputy Philip Woodhouse
The Revd Stephen Haines	

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Accessing the virtual public meeting

Members of the public can observe this virtual public meeting at the below link:

<https://youtu.be/FrnkTtDQeJU>

This meeting will be a virtual meeting and therefore will not take place in a physical location. Any views reached by the Committee today will have to be considered by the Director of Human Resources after the meeting in accordance with the Court of Common Council's Covid Approval Procedure who will make a formal decision having considered all relevant matters. This process reflects the current position in respect of the holding of formal Local Authority meetings and the Court of Common Council's decision of 15th April 2021 to continue with virtual meetings and take formal decisions through a delegation to the Town Clerk and other officers nominated by him after the informal meeting has taken place and the will of the Committee is known in open session. Details of all decisions taken under the Covid Approval Procedure will be available online via the City Corporation's webpages.

A recording of the public meeting will be available via the above link following the end of the public meeting for up to one municipal year. Please note: Online meeting recordings do not constitute the formal minutes of the meeting; minutes are written and are available on the City of London Corporation's website. Recordings may be edited, at the discretion of the proper officer, to remove any inappropriate material.

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES**
To agree the public minutes of the meeting held on 12 May 2021.

For Decision
(Pages 7 - 14)

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

For Information
(Pages 15 - 16)

Strategic Business

5. **UPDATE ON OVERALL TOM FLIGHT PATH SAVINGS**
Report of the Chamberlain.

For Information
(Pages 17 - 28)

6. **DEVELOPMENTS IN EMPLOYMENT LAW**
Report of the Director of Human Resources.

For Information
(Pages 29 - 34)

For Formal Decision

7. **MEMBER GOVERNANCE OF THE ERP PROJECT DELIVERY**
Report of the Chamberlain.

For Decision
(Pages 35 - 40)

8. **MENTAL HEALTH AND WELLBEING POLICY REVIEW**
Report of the Director of Human Resources.

For Decision
(Pages 41 - 54)

For Information

9. **EQUALITY AND INCLUSION UPDATE**
Report of the Director of Human Resources.

For Information
(Pages 55 - 64)

10. **STONEWALL UPDATE**
Report of the Director of Human Resources.

For Information
(Pages 65 - 68)

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

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

13. **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

14. **NON-PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on 12th May 2021.

For Decision
(Pages 69 - 70)

15. **DEEP DIVE REPORT FOR COMPTROLLER - TOM SAVINGS**

Report of the Comptroller and City Solicitor.

For Information
(Pages 71 - 76)

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

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

Part 3 - Confidential Agenda

18. **CONFIDENTIAL MINUTES**

To agree the Confidential minutes of the last meeting held on 12 May 2021.

For Decision

19. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

For Information

For Formal Decision

20. **TARGET OPERATING MODEL PROPOSALS - COMMUNITY AND CHILDREN'S SERVICES DEPARTMENT**

Report of the Executive Director of Community & Children's Services.

For Decision

21. **CHAMBERLAIN'S PROPOSED TIER 2 STRUCTURE**

Report of the Chamberlain.

For Decision

22. **TARGET OPERATING MODEL PROPOSAL - CITY SURVEYOR'S DEPARTMENT**

Report of the City Surveyor.

For Decision

23. **SCHOOL OPERATIONS PILOT (TARGET OPERATING MODEL)**

Joint Report of the Head of the City of London School and the Head of the City of London School for Girls.

For Decision

24. **TEACHER PAY AND REWARDS UPDATE**

Joint Report of the Head of the City of London School, the Head of the City of London School for Girls, and the Head of the City of London Freemans School.

For Decision

25. **HONORARIUM**
Report of the Remembrancer.

For Decision

For Information

26. **PAY AWARD UPDATE**
The Chair to be heard.

For Discussion

27. **FURLOUGH UPDATE**
The Director of Human Resources to be heard.

For Discussion

28. **TOWN CLERK'S UPDATE**
The Town Clerk to be heard.

For Information

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ESTABLISHMENT COMMITTEE Wednesday, 12 May 2021

Draft Minutes of the meeting of the Establishment Committee held virtually on
Wednesday, 12 May 2021 at 1.45 pm

Present

Members:

Tracey Graham (Chair)
Deputy Edward Lord (Deputy Chair)
Randall Anderson
Deputy Keith Bottomley
Alderman Sir Charles Bowman
Henry Colthurst
The Revd Stephen Haines
Sheriff Christopher Hayward
Deputy Jamie Ingham Clark
Jeremy Mayhew
Ruby Sayed
Deputy Tom Sleigh
Deputy Philip Woodhouse

Officers:

John Barradell	- Town Clerk and Chief Executive
Angela Roach	- Assistant Town Clerk
John Cater	- Committee Clerk
Chrissie Morgan	- Director of Human Resources
Bob Roberts	- Director of Communications
Janet Fortune	- Human Resources Department
Tracey Jansen	- Human Resources Department
Dorian Price	- City Surveyor's Department
Marion Afoakwa	- Human Resources Department
Peter Lisley	- Assistant Town Clerk
Nick Senior	- Comptroller and City Solicitor's Department
Justin Tyas	- Human Resources Department
Tim Fletcher	- Communications Department
Amanda Lee-Ajala	- Human Resources Department
Paul Wilkinson	- City Surveyor
Carol Simpson	- Human Resources Department
Sandrine Pluviaux	- Human Resources Department
Ian Simpson	- Human Resources Department

1. APOLOGIES

Apologies for absence were received from Karina Dostalova, Deputy Kevin Everett, and Elizabeth Rogula.

On behalf of the Committee, the Chair took the opportunity to thank the departing Sylvia Moys for her huge contribution during her time on the Committee.

The Chair welcomed Tom Sleigh to the Committee.

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

There were no declarations of interest.

3. **VOTE-OF-THANKS**

Tracey Graham moved a voted of thanks to Edward Lord, the immediate past Chairman.

RESOLVED UNANIMOUSLY: That the Members of the Establishment Committee express their sincere thanks to:

DEPUTY EDWARD LORD OBE JP

for the exemplary manner, diligence and dedication in which they have presided over their deliberations and the detailed attention and interest they have shown in all aspects of the work of the Establishment Committee for the past three years.

The sheer range of policies and initiatives that Edward has successfully overseen during this time has been nothing short of remarkable; from family friendly policies, including uplifts to maternity, adoption & shared parental pay, the introduction of the Premature Baby Paid Leave Scheme, which earned the City Corporation the award of the "Employer with Heart Charter", and additional provision for paid leave under the Parental Bereavement (Leave and Pay) Act 2018, to significant new initiatives with the wellbeing of staff and Members at their core, including the introduction of a Mental Health and Wellbeing Policy, the roll-out of free private flu vaccinations for all staff and Members, and the expansion of the Employee Volunteering Programme.

However, it is Edward's drive and passion for the equalities agenda that will stand as their greatest impact. Quite simply, the work of the Committee over the last three years has helped to bring about a transformation to the culture of the Corporation, the legacy of which will leave a truly more diverse and inclusive workplace in the years ahead.

During their period as Chair, we have continued to enhance data collection and analysis to inform our Equality and Inclusion Action Plan, both at the departmental level and corporately. This has been a vital tool in identifying areas of concern and where further analysis and detailed work needs to be done. This has led us to changing the way the City Corporation attracts and recruits talent so as to enrich the diversity of our work force and to reduce potential barriers to entry.

Other vital initiatives include anonymised recruitment for all senior roles, which is now being introduced for roles at all levels of the organisation; ensuring that all job adverts are written in inclusive and gender-neutral language; and, the introduction of Gender, Ethnicity and Disability Pay Gap reporting, and the development of actions to address these.

Finally, it would be remiss not to reflect that during these last 14 months, Edward has successfully led the Committee during a time of extraordinary circumstances, with the pandemic presenting a set of unenviable decisions and challenges, including the revision to the Pay Award, Furlough, and remote working.

It is to Edward's huge credit that we have successfully navigated these challenges whilst also playing a leading role in undertaking the fundamental transformation of the Corporation's structure through the Target Operating Model, a key early outcome of which has been the diversification of the Corporation's senior leadership team.

This Committee and the whole Corporation are indebted to Edward's contribution.

AND SO in taking leave of Deputy Edward Lord as their Chair, Members of this Establishment Committee wish to thank them for their service and outstanding leadership during this most challenging and transformative period. The Committee gives to Edward its best wishes for their future health and happiness.

4. **MINUTES**

RESOLVED – That the public minutes of the meeting held on 26th March 2021 be approved as an accurate record.

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

After requesting expressions of interest, it was:

RESOLVED – that the following appointments be made to the Joint Consultative Committee for 2021/22:-

- Chair of the Establishment Committee (Chair of the JCC);
- Deputy Chair (Deputy Chair of the JCC);
- Randall Anderson;
- Deputy Keith Bottomley;
- Sheriff Christopher Hayward;
- Jamie Ingham Clark and;
- The Finance Committee representative, Jeremy Mayhew.

6. **APPOINTMENT OF THE SENIOR REMUNERATION SUB COMMITTEE**

After requesting expressions of interest, it was:

RESOLVED – that the following appointments be made to the Senior Remuneration Sub- Committee for 2021/22:-

- Chair of the Establishment Committee (Chair of the Sub Committee);
- Chair of the Policy and Resources Committee (Deputy Chair of the Sub Committee, subject to confirmation by the Policy and Resources Committee);
- Deputy Chair of the Establishment Committee;
- a Deputy Chair of the Policy and Resources Committee – subject to confirmation by the Policy and Resources Committee
- Chairman of the Finance Committee
- Chairman of the General Purposes Committee of Aldermen;
- Keith Bottomley
- Henry Colthurst
- Jeremy Mayhew
- Ruby Sayed

7. **TAKING FORWARD TACKLING RACISM TASKFORCE RECOMMENDATION ON WORK PLACEMENTS**

The Committee considered a Report of the Director of Human Resources concerning the Tackling Racism Taskforce staffing workstream.

Whilst supportive of the recommendations, Members asked the Director of Human Resources to go back and identify an explicit funding source and/or de-prioritise something else in order to afford the recruitment of the proposed Coordinator.

If an internal funding source wasn't available, then an appeal to Policy & Resources should be made for additional funding.

RESOLVED – that the Committee:

- Approved the proposed targeted work experience/internship scheme that will complement the current offers by targeting not only students from BAME, and lower socio-economic backgrounds, but also those from the most underrepresented groups across the City Corporation (Disability, LGBT and Women). This programme will be offered to our academies as a first priority and the Corporation will work with external organisations wherever possible to widen its reach.
- Requested the Director of Human Resources go back and identify an explicit funding source and/or de-prioritise something else in order to afford the recruitment of the proposed Coordinator.

If an internal funding source wasn't available, then an appeal to Policy & Resources should be made for additional funding at its meeting on 13th June.

- Endorsed the proposed changes to the way that current training budgets are allocated and accessed in that all departmental training budgets are put into a central holding account until costed development plans are

agreed and the monies can be reallocated. This will be proposed to the Policy and Resources Committees on the 13 June 2021 for approval. Development pathway programmes will be developed during 2021 combining internal and external providers. External providers being subject to procurement under the City of London Procurement Code of Practice.

8. **WORKPLACE DESIGN PRINCIPLES**

The Committee received a Report concerning workplace principles.

Members welcomed the paper as forward thinking and looked forward to seeing a further update in due course.

RESOLVED – that the Committee noted the Report.

9. **MEMBER REMOTE WORKING AND RETURN TO GUILDHALL**

The Committee received a Report of the Town Clerk concerning remote working arrangements for Members and the plans for a return to Guildhall.

RESOLVED – that the Committee noted the Report.

10. **BREXIT UPDATE**

The Committee considered a Report of the Director of Human Resources concerning Brexit.

RESOLVED – that the Committee agreed to the removal of Brexit updates as a standing item on the Establishment Committee agenda, pending any future developments.

11. **CORPORATE HOME / REMOTE WORKING POLICY (HEALTH AND SAFETY) (DRAFT)**

The Committee considered a Report of the Director of Human Resources concerning a proposal for a new corporate policy for Home and Remote Working.

Officers confirmed that, when it came to adhering to the Corporation's remote working policies, there was a high level of compliance amongst the workforce during the pandemic and the tools were in place for HR to carry out robust assessments.

A Member asked what the Corporation had spent to equip people to work from home over the course of the pandemic. Officers would return with the figure at the next meeting of the Committee.

In response to a query, officers confirmed that both policies (ITEMS 11 and 12) apply to officers only (i.e. not Members).

RESOLVED – that the Committee endorsed the draft Home Working and Remote Policy (Health and Safety).

12. **CORPORATE NOISE AND VIBRATION POLICY (DRAFT)**
The Committee considered a Report of the Director of Human Resources concerning a proposal for a new corporate policy for Noise and Vibrations.

RESOLVED – that the Committee endorsed the proposed draft Noise and Vibration Policy (Health and Safety).
13. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There were no questions.
14. **ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT**
There were no urgent items.
15. **EXCLUSION OF THE PUBLIC**
RESOLVED – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.
16. **NON-PUBLIC MINUTES**
RESOLVED – That the non-public minutes of the meeting held on 26th March 2021 be approved as an accurate record.
17. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
There were no questions.
18. **ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**
There were no items of urgent business.
19. **CONFIDENTIAL MINUTES**
The confidential minutes of the meeting held on 26th March were approved.
20. **TARGET OPERATING MODEL - UPDATE ON PROGRESS**
The Committee received a Report of the Town Clerk concerning the Target Operating Model (TOM).
21. **COMPTROLLER & CITY SOLICITOR'S DEPARTMENT - TOM UPDATE**
The Committee considered a Report of the Comptroller and City Solicitor concerning the Target Operating Model (TOM) and Organisational Design (OD) principles.
22. **EXTENSION TO THE 55-59 FLEXIBLE RETIREMENT OPPORTUNITY**
The Committee considered a Report of the Director of Human Resources concerning an extension of the flexible retirement opportunity.
23. **HONORARIUM (1)**

The Committee considered a request for an honorarium.

24. **HONORARIUM (2)**

The Committee considered a request for an honorarium.

25. **TOWN CLERK'S UPDATE**

Further to the Town Clerk's comments earlier in the meeting, there was no further updates.

The meeting ended at 3.20 pm

Chair

john.cater@cityoflondon.gov.uk

DRAFT

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Agenda Item 4

PUBLIC ACTIONS		
Meeting Date	Item reference	Action
12/05/21	Item 7 (TRT Staffing Workstream – Work Experience and Training Budget)	Whilst supportive of the recommendations, the Chief Officer needs to go back to identify an explicit funding source/de-prioritise something else to afford the recruitment of the proposed Coordinator. If they can't find a funding source in the first instance, then an appeal to P&R should be made for additional funding
12/05/21	Item 11 (Corporate Home / Remote Working Policy (Health and Safety) (Draft)	A Member asked what the Corporation had spent to equip people to work from home over the course of the pandemic. Officers would return with the figure at the next meeting of the Committee

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Agenda Item 5

Committee: Efficiency & Performance Sub Committee Establishment Committee – for information	Date: 16 June 2021 23 June 2021
Subject: Securing ‘flightpath’ savings and understanding service impacts: 2021/22 progress	Public
Which outcomes in the City Corporation’s Corporate Plan does this proposal aim to impact directly?	All
Does this proposal require extra revenue and/or capital spending?	No
If so, how much?	N/A
What is the source of Funding?	N/A
Has this Funding Source been agreed with the Chamberlain’s Department?	N/A
Report of: The Town Clerk & Chief Executive and The Chamberlain	For Information
Report author: Sonia Virdee, Assistant Director - Strategic Finance, Chamberlain’s	

Summary

The Court of Common Council on 4th March approved a general budgetary reduction of 12% against 2021/22 departmental budgets (or 6% in case of social care and children services), continuing to protect the most vulnerable services. This report takes a first look at how departments are progressing with their in-year savings to date.

In order to ensure the delivery of savings and understand the service impact the Efficiency & Performance Sub Committee agreed to scrutinise the following areas below.

- Delivery of Fundamental Review savings approved by Policy & Resources Committee; and where proposals have been moved out of year due to delays caused by COVID impacts.
- The Target Operating Model (TOM) implementation savings tacker
- Delivery of the 12% savings target, including scrutiny of any overspending committees or departments/institutions.

Establishment Committee will be scrutinising achievement of Target Operating Model Savings, the impact of flexible retirement policies and translation of vacancies into post permanent savings; alongside costs of the scheme.

Whilst savings are being achieved across the Corporation, additional costs are being incurred as the Corporation progresses through the new Target Operating Model (TOM). This report highlights the total expenditure to date and forecast for 2021/22, noting that costs remain within budget.

Recommendation

- Members are asked to note the report.

Main Report

Background

1. As the new target operating model enters the second phase, departments are progressing under separate and staggered 'waves' to ensure a smooth transition across the City Corporation. During the period of transformation, Officers will be able to explore fully the opportunities for savings within the 12% budget reductions.
2. Resource Allocation Sub Committee (RASC) is keen to understand:
 - The service changes that have happened in 2020/21 as a result of the Fundamental Review and what has been agreed for future years, potentially through a 'parity' lens of the proportional budget cut from the Fundamental Review; and
 - Service changes that will happen as part of 2021/22 budget to stay within the 12% envelope allocated by RASC (approved by the Court of Common Council on 4 March), including likely service impacts of a COVID-secure return to work in the Square Mile and London more widely.
3. The Chamberlain's department is working with departmental management teams as they transition through the separate waves to ensure proposals are within budget envelopes; and compile an overview of the progress with Fundamental Review schemes and timeframes for securing TOM savings. Additionally, Officers will be building the picture of 2021/22 service impacts with Chief Officers and Heads of Finance as Service Committees and departments/institutions develop their thinking. The analysis will identify any proposed savings being put forward by Service Committees which would conflict with corporate priorities, could be disproportionately damaging, or could undermine the delivery of front-line services (for example, services to vulnerable people).
4. Finance Committee is keen to mitigate the risk to the sustainability of the Medium-Term Financial Plan, ensuring that the 'flightpath' savings remain on track, in particular:
 - Fundamental Review savings
 - 12% savings; part of which are savings from the TOM; and
 - COVID impacts on main income streams and service delivery, in particular from lower rental income and volatility on retained business rates.
5. In light of the above requirements, the Efficiency & Performance Sub Committee have agreed to scrutinise:
 - Delivery of Fundamental Review savings approved by Policy & Resources Committee; and where proposals have been moved out of year due to delays caused by COVID impacts.
 - The TOM implementation savings tacker.

- Delivery of the 12% savings target, including scrutiny of any overspending committees or departments/institutions.

Context on TOM savings

6. To add more context on the Target Operating Model (TOM) savings within the flightpath of savings for 2021/22:
 - The purpose of the TOM is not just a cost saving exercise, but rather about effective and efficient running; ensuring the TOM principles are adhered to in structural design. The TOM savings target agreed by Court of Common Council in 2020/21 was £4.5m (£3m City Fund and £1.5m City's Cash). Members will recall that the TOM programme was delayed by a year due to the pandemic.
 - 12% savings were identified as essential in 2021/22 budget setting, as part of the flight path of savings needed across the medium-term financial plan. This 12% figure totalling £15.6m (£7m City Fund and £4.7m City's Cash) included the TOM savings and is a permanent reduction in resource levels.
 - It is not currently possible to estimate what the TOM savings will be and allocate to departments. Each department has a different cost base - some departments are mainly staff costs, other departments have proportionately much smaller staff costs within their overall spend. As each department progresses through the TOM, Chamberlain's are capturing the post savings under the TOM, and building an overall snapshot of ongoing savings to date. At an officer level, securing TOM savings and outputs are challenged by the Design Authority Board and at Member level by the Efficiency and Performance Sub Committee in the deep dives - the outcomes of which are reported to Establishment Committee.
 - The TOM target is therefore a range, with a minimum value of £4.5m

Update on overall savings target

7. This report takes a first look at the overall savings identified to date under City Fund and City Cash.

Table 1 below provides a summary of total savings to be achieved against overall savings identified, totalling £10.918m (60% of over savings target).

Summary Table	2021/22 £'000's
Savings - FR	2.718
Savings - TOM/12%	15.607
Total Savings	18.325
Total amount held from vacancies	2.104
Total amount held from flexible retirement	0.471
Total amount from other pay initiatives	0.818
Total amount from non-pay initiatives	8.178
Cost incurred via backfill for vacancies	(0.653)
Total Savings identified	10.918
Total Unidentified (or Overachieved) Savings	7.407

8. Whilst some departments have achieved their savings, the majority have achieved these through one off measures such as holding vacancies and flexible retirement, comprising of 24% of total savings achieved. These vacancies and flexible retirements are not necessarily permanent year on year post savings, until departments are able to confirm future structures through the TOM process. As departments go through the Design and Authority Board, Chamberlain's are translating what is achieved for this financial year (2021/22) and future years, presenting the information via deep dives to the Efficiency and Performance Sub Committee. Of the vacancies held and flexible retirements, costs of £0.654m have been incurred through backfills through either short-term or fixed-term contracts.
9. Other pay initiatives include savings from normal retirements, post reductions, and or changes in grades and are likely to be more permanent savings. However, as with all savings, these will be finalised through the deep dives and as departments go through the Design and Authority Board.
10. Non-pay initiatives include one-off savings as well as permanent on-going savings. The deep dives will be an opportunity to explore these further to ensure permanent savings are sustainable, through challenge and scrutiny. Also, an opportunity to identify changes in practice, new innovative ways of working.
11. The Design and Authority Board have since approved the design and delivery of the TOM structure for three departments: Comptrollers & City Solicitors; Director of Community and Children's Services; and City Surveyor. Chamberlain's have worked closely with the departments to translate the delivery of savings for this financial year (2021/22) and future years (see appendices 1 to 3). It is clear from the financial review, further work is still required to ensure full delivery of 2021/22 savings and subsequent years. Deep dive reports will be presented to the Efficiency and Performance Sub Committee with further information in accordance with the timetable.

Deep Dives

12. Although overall scrutiny is being provided by the Efficiency and Performance Sub Committee, information for the delivery of savings is being requested by members from other committees, including Establishment Committee. In order to accommodate such requests and avoid duplication in work, Chamberlain's has taken the opportunity to review the information needed collectively with Town Clerk's and Surveyors. An overarching and expanded information capture template is being completed by departments, analysing the following:
- Progress of delivery of 12%, fundamental review and TOM
 - Including vacancies, post savings, flexible retirement;
 - Differentiating between one off savings and permanent changes.
 - Impact on 21/22 budget, 23/23 budget and capturing key changes across the medium term; and
 - Progress against the Departmental Business Plan, highlighting initiatives for increasing collaborative working.
13. The information return will provide a rounded view for the Deep Dives. Currently departments have all submitted their 2021/22 impacts, work on the medium-term assumptions has commenced in line with budget setting and business planning timetable.
14. Deep dives will be delivered as per the revised timetable in appendix 1 (original timetable enclosed for information in appendix 2). Revisions have been made to reflect:
- Risk: departments that have been more dependent on one off savings for 21/22; struggling to achieve the savings 'flightpath' or fundamental review proposals; pressures in delivering services on ground; or are experiencing delays through the TOM process;
 - Timing of departments progressing through the TOM process and recruitment of Chief Officers; and
 - Scrutiny provided elsewhere e.g. in-depth discussion at Policy and Resources on funding allocations between Academies and the three independent schools.
15. Please note the main changes to the original deep dive timetable removes the three independent schools as per the direction taken above and inserts Environment and Community and Children Services.

Costs incurred in delivering the target operating model

16. At its meeting on 3rd December 2020, the Court of Common Council agreed the governance arrangements and timetable for the approval of the Corporation's new Target Operating model and Organisational Design.
17. The approval of £1.5m transformation fund p.a. was agreed in the budget setting and medium-term financial plan at that point. This is over and above the amounts budgeted for under redundancy costs and costs for flexible retirement.

Table 2 below provides a breakdown of one-off costs relating to the target operating model totalling £6.623m, of which is spent or committed to date.

Transformation Fund	2019/20	2020/21	2021/22	Total
C/Fwd requested	-	0.021	-	
Budgets Approved	0.155	1.500	1.500	
Total Budget incl. c/fwd	0.155	1.521	1.500	
TOM Programme Team	0.094	1.390	1.212	2.696
Other non-pay	0.040	0.131	0.096	0.267
Total Costs	0.134	1.521	1.308	2.963
Underspend	0.021	-	0.192	

Additional TOM Costs	2019/20	2020/21	2021/22	Total
C/Fwd requested	-	-	1.787	
Budgets Approved	-	4.900	2.100	
Total Budget incl. c/fwd	-	4.900	3.887	
Termination costs	-	0.313	0.547	0.860
Flexible retirements	-	2.800	-	2.800
Total Costs	-	3.113	0.547	3.660
Underspend	-	1.787	3.340	

Total TOM costs	0.134	1.521	1.308	6.623
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18. The additional spend of £0.021m in 2020/21 above the transformation fund budget has been off set against the approved carry forward requested from 2019/20. For the financial year 2021/22 the costs remain within budget.

19. £3.9m and £1m budget was set aside for redundancy costs and flexible retirement respectively for 2020/21. With the delivery of TOM continuing into 2021/22,

request to carry forward the underspend of £1.787m will be sought under the correct governance. 2021/22 budget includes the carry forward amounts plus budgeted amounts of £1.0m and £1.1m under redundancy costs and flexible retirement. It is expected these amounts will be committed as and when departments go through their transition.

Conclusion

This paper sets out, for Member comment: progress on savings achieved; revised timetable plus information on additional costs incurred under the new target operating model.

Appendix 1 – Summary of savings achieved for Director of Community and Children’s Services, City Surveyor and Comptrollers & City Solicitors

Appendix 4 – Revised Deep Dive Timetable

Appendix 5 – Original Deep Dive Timetable, submitted on 30th March

Sonia Virdee

Assistant Director - Strategic Finance, Chamberlain’s

E: sonia.virdee@cityoflondon.gov.uk

Hayley Hajduczek

Corporate Strategy & Performance Officer, Town Clerk’s

E: hayley.hajduczek@cityoflondon.gov.uk

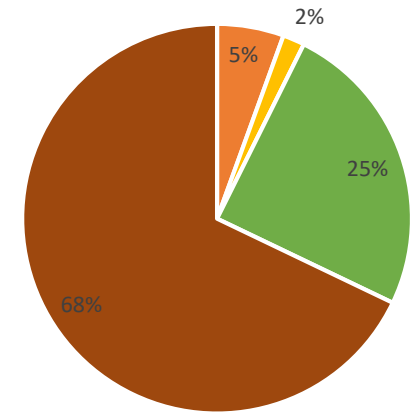
Appendix 1

Department of Community & Children's Services (including libraries, education board and Barbican residential)

Summary Table	21/22	22/23	23/24	24/25	25/26
Savings - FR	541,000	566,000	566,000	566,000	566,000
Savings - TOM/12%	1,228,000	1,237,000	1,237,000	1,237,000	1,237,000
Total Savings	1,769,000	1,803,000	1,803,000	1,803,000	1,803,000
FR savings delivered					
FR Savings Planned					
TOM/12% saving delivered					
Vacancies	98,000	107,000	107,000	107,000	107,000
Flexible Retirement	32,000	37,000	37,000	37,000	37,000
Other Pay Initiatives	438,000	221,000	221,000	221,000	221,000
Non-pay initiatives	1,201,000	917,000	1,058,000	1,058,000	1,023,000
Cost incurred via backfill	149,000	-	-	-	-
Total Savings	1,620,000	1,282,000	1,423,000	1,423,000	1,388,000
Total Unidentified (or Overachieved) Savings	149,000	521,000	380,000	380,000	415,000

Breakdown of 21/22 Savings

■ Vacancies
 ■ Flexible Retirement
■ Other Pay Initiatives
 ■ Non-pay initiatives

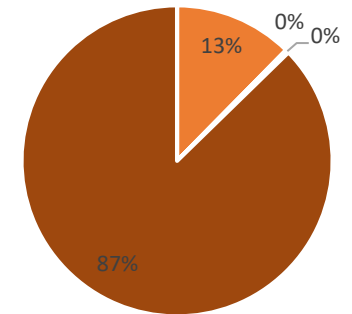


City Surveyors

Summary Table	21/22	22/23	23/24	24/25	25/26
Savings - FR	601,000	1,031,000	1,031,000	1,031,000	1,031,000
Savings - TOM/12%	3,600,000	3,600,000	3,600,000	3,600,000	3,600,000
Total Savings	4,201,000	4,631,000	4,631,000	4,631,000	4,631,000
FR savings delivered					
FR Savings Planned	75	75	75	75	75
TOM/12% saving delivered					
Vacancies	493,163	493,163	493,163	493,163	493,163
Flexible Retirement	-	-	-	-	-
Other Pay Initiatives	13,000	13,000	13,000	13,000	13,000
Non-pay initiatives	3,477,000	3,477,000	3,477,000	3,477,000	3,477,000
Cost incurred via backfill	-	-	-	-	-
Total Savings	3,983,163	3,983,163	3,983,163	3,983,163	3,983,163
Total Unidentified (or Overachieved) Savings	217,837	647,837	647,837	647,837	647,837

Breakdown of 21/22 Savings

- Vacancies
- Flexible Retirement
- Other Pay Initiatives
- Non-pay initiatives

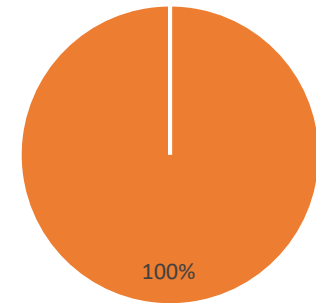


Comptroller and City Solicitor

Summary Table	21/22	22/23	23/24	24/25	25/26
Savings - FR	375,000	375,000	375,000	375,000	375,000
Savings - TOM/12%	101,000	101,000	101,000	101,000	101,000
Total Savings	476,000	476,000	476,000	476,000	476,000
FR savings delivered					
FR Savings Planned	-	-	-	-	-
TOM/12% saving delivered					
Vacancies	101,000	100,000	100,000	100,000	100,000
Flexible Retirement	-	-	-	-	-
Other Pay Initiatives	-	-	-	-	-
Non-pay initiatives	-	-	-	-	-
Cost incurred via backfill	-	-	-	-	-
Total Savings	101,000	101,000	101,000	101,000	101,000
Total Unidentified (or Overachieved) Savings	375,000	375,000	375,000	375,000	375,000

Breakdown of 21/22 Savings

- Vacancies
- Flexible Retirement
- Other Pay Initiatives
- Non-pay initiatives



Appendix 2

Revised Deep Dive Timetable

Category	Item	Week Commencing
E&P Deep Dive	E&P Deep Dive Savings Report - Overall Figures to be presented	16 June 2021
E&P Deep Dive	E&P Deep Dive Savings Report - Comptroller	16 June 2021
E&P Deep Dive	E&P Deep Dive Savings Report - City Surveyors	16 July 2021
E&P Deep Dive	E&P Deep Dive Savings Report - Innovation & Growth	16 July 2021
E&P Deep Dive	E&P Deep Dive Savings Report - Overall Figures (all departments)	06 October 2021
E&P Deep Dive	E&P Deep Dive Savings Report -Community and Children's Services	06 October 2021
E&P Deep Dive	E&P Deep Dive Savings Report - Barbican Centre	06 October 2021
E&P Deep Dive	E&P Deep Dive Savings Report - Environment	23 November 2021
E&P Deep Dive	E&P Deep Dive Savings Report - COLP	23 November 2021
E&P Deep Dive	E&P Deep Dive Savings Report - Chamberlain's	Jan - TBC
E&P Deep Dive	E&P Deep Dive Savings Report - Deputy Town Clerk	Jan - TBC
E&P Deep Dive	E&P Deep Dive Savings Report - GSMD	Jan - TBC
E&P Deep Dive	E&P Deep Dive Savings Report - Chief Operating Officer	Feb - TBC
E&P Deep Dive	E&P Deep Dive Savings Report - Overall Figures (all departments)	Feb - TBC

Appendix 3 – Original Deep Dive Timetable

Meeting Date	Proposed Departmental Deep Dive
27-May	<ul style="list-style-type: none"> Overall figures to be presented and template for departmental deep dives
07-Jul	<ul style="list-style-type: none"> Innovation & Growth City Surveyors
06-Oct	<ul style="list-style-type: none"> Update on overall figures (all departments) Guildhall School of Music & Drama - update as requested Barbican Centre - update as requested
23-Nov	<ul style="list-style-type: none"> Update on all 3 schools City of London Police
January date TBC	<ul style="list-style-type: none"> Chamberlain's Deputy Town Clerk
February date TBC	<ul style="list-style-type: none"> Chief Operating Officer Update on overall figures (all departments)

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Committee(s)	Dated:
Establishment Committee	23 June 2021
Subject: Developments in Employment Law	Public
Which outcomes in the City Corporation’s Corporate Plan does this proposal aim to impact directly?	n/a
Does this proposal require extra revenue and/or capital spending?	n/a
If so, how much?	n/a
What is the source of Funding?	n/a
Has this Funding Source been agreed with the Chamberlain’s Department?	n/a
Report of: Chrissie Morgan, Director of Human Resources	For Information
Report author: Carol Simpson, Town Clerk’s – Human Resources Jillian Bradbeer, Comptroller & City Solicitor’s	

Summary

The purpose of this report is to update Members on developments in employment law and implications for the City of London Corporation in 2021 and beyond where known.

Recommendation(s)

Members are asked to note the report.

Main Report

Update on employment law developments in 2021:

1. Covid-19

- i. The Furlough Scheme. The government has confirmed that the scheme will continue until 30 September 2021. Where the employee is furloughed for 100% of their work time, the employer contributions towards the cost of unworked hours will be 10% in July and 20% in August and September 2021. Employee’s wages for hours not worked continues at 80% of their usual salary up to £2,500 per month, funded by the government unless the employer elects to top this up. Note also that flexible furlough continues, whereby employees are allowed to be brought back to work on a part-time basis, as has been the case since July 2020.

- ii. The government launched a consultation on staff having Covid-19 vaccines in care homes with older adult residents on 14 April which ran until 26 May 2021. If implemented, the Health and Social Care Act 2008 (Regulated Activities) Regulations would be amended to require that older adult care home providers could engage only those staff who have received the Covid-19 vaccination (or those with a legitimate medical exemption) in line with government guidance. The Equality and Human Rights Commission (EHRC) has said that it is a “proportionate approach” to requiring Covid-19 jabs for care home staff which could “help ease restrictions and allow them to perform their jobs safely, and residents to live more independently”. This is a hotly debated area and we await the outcome of the consultation to assess the likely implications for the wider social care and front-line workforce.
- iii. The government made interim provisions about the carry-over of any untaken statutory 2020 annual leave (the first 20 days for an employee who works for five days a week) where it has not been reasonably practicable to be taken as a result of the effects of the Coronavirus. Approved statutory annual leave that is carried over may be used in either the 2021 or 2022 annual leave year.
- iv. From 31 May 2021, the provision of the Employment Rights Act 1996 that protects employees from detriment for leaving or refusing to return to work if they believe themselves to be in 'serious and imminent danger' will be extended to 'workers'. The protection will be extended under the Employment Rights Act 1996 (Protection from Detriment in Health and Safety Cases) (Amendment) Order 2021 and is significant as individuals are increasingly relying on this protection where they are concerned about travelling to or attending work during the Covid-19 pandemic.
- v. Employers are to continue with Covid secure guidance in workplaces and await further government guidance from 14 June 2021 about the further lifting of restrictions. It remains the case that anyone who tests positive for Covid-19, or has been told by NHS Test and Trace that they have been in contact with someone who has, has a legal duty to self-isolate (effective from 28 September 2020) or face a fine ranging from £1,000 - 10,000. They can, however, work from home if the nature of their work allows.

2. Brexit

i. Points Based Immigration System

Following the ending of freedom of movement between the UK and EU, a new points-based immigration system was introduced on 1 January 2021 that applies equally to EU and non-EU citizens. There are several changes to the former points-based system, including:

- Replacement of the Tier 2 General category with a Skilled Worker route (requires a job offer in an eligible skilled occupation from an approved sponsoring employer)
- Abolition of maximum six-year stay for workers in this category
- Gross basic salary must be a minimum of £25,600
- Skill level must be equivalent to A-levels

- Applicants must have an intermediate-level ability to communicate in English.

EU workers already resident in the UK on 1 December 2020 have until 30 June 2021 to apply for settled status enabling them to remain here.

3. Remuneration and taxation

i. Public Sector Exit Payment Cap of £95k

Consultations on the reform of public sector exit payments began in 2015 and culminated in a final consultation in September 2020. The cap was devised out of concern following a number of highly publicised, large public sector pay-out's, particularly where senior people in receipt of such payments went straight into another public sector job.

The Restriction of Public Sector Exit Payments Regulations 2020 which came into force on 4 November 2020 placed a cap on exit payments of £95k. Various legal challenges to the Regulations then ensued which highlighted that the inclusion of pension strain within the cap affected even those on modest earnings, therefore going beyond the original aims of introducing the cap. On 12 February 2021, the regulations were revoked on the grounds that a review had indicated unintended consequences arising from them.

The Treasury has recently issued internal guidance to Civil Service departments setting out criteria to be applied before agreeing a 'special severance payment', defined as payments over £100k. The Local Government Association has advised that it expects the Ministry of Housing, Communities and Local Government to issue similar guidance shortly to local authorities.

ii. New rates of the National Living Wage (NLW) and National Minimum Wage (NMW)

New rates came into force on 1 April 2021, following recommendations made in the autumn by the Low Pay Commission (LPC). The NLW now applies to all workers aged 23 and over. The previous age of eligibility was 25. This will come down again to 21 by 2024. These increases mark the first step on the path to the government's target of an NLW set at two-thirds of median earnings by 2024. The National Living Wage rate for someone aged 23 and over is now £8.91 (up by 2.2% from 2020). The City Corporation is however a London Living Wage employer, the London rate as such is currently £10.50 per hour.

iii. Gender Pay Gap reporting

Due to the pandemic, there was no expectation on employers to report their gender pay gap data last year and the deadline for the return of 31 March 2020 snap-shot data, was extended from 30 March 2021 to 5 October 2021. However, the City Corporation provided its submission within the

original reporting timeframe. Our figures were submitted to this Committee along with an update on our equality action plan (Ref: Equality and Inclusion Update including Gender, Ethnicity and Disability Pay Gaps, 27 January 2021).

iv. Ethnicity Pay Gap reporting

The government ran a consultation exercise on mandatory ethnicity pay reporting from 11 October 2018 to 11 January 2019 and the gov.uk website states that they are continuing to analyse the feedback received. The original expectation was that mandatory annual reporting would begin in April 2020. Notwithstanding that this is a more complex exercise than gender pay reporting in part due to the inconsistencies around the descriptions for recording different ethnic groups, that staff are not obliged to disclose their ethnicity and some staff will be unwilling to disclose it. The City Corporation has voluntarily reported its ethnicity pay gap annually since March 2017.

v. IR-35 taxation

From 6 April 2021, all public sector clients and medium or large-sized clients outside the public sector are responsible for deciding their off-payroll worker's employment status. An audit of all such workers has been conducted with HR support using the HMRC 'Check Employment Status for Tax' (CEST) service, to ensure compliance. Where the off payroll working rules apply, the worker's fees are subject to deduction of Income Tax and National Insurance contributions.

4. Workers' Rights

i. The Employment Bill

In the December 2019 Queen's speech, the government made its proposals to introduce an Employment Bill, which would include changes already anticipated by the 'Good Work Plan' (an independent review of working practices conducted by Matthew Taylor). These changes included: a new right for all workers to request a more predictable contractual working pattern; a new Single Enforcement Body to help workers enforce their rights and support business compliance; extended protection for pregnant employees from the point an employee informs her employer she is pregnant to six months after her return from maternity leave; a week's leave for unpaid carers; making flexible working the default where an employer does not have a good reason not to allow it; and measures to encourage employers to play their part in retaining disabled people. Whilst headway has been made on some initiatives the Employment Bill will not be introduced this parliamentary session; invariably progress has been impacted by Brexit and Covid.

ii. Working from home

In April 2021 the parliamentary Select Committee on COVID-19 published its report 'Beyond Digital: Planning for a Hybrid World'. The recommendations

include a legal right to Internet access and online healthcare. The government will start a public consultation later this year on how to extend flexible working, potentially ensuring that people who have transitioned to a hybrid of home and office working during the pandemic will be able to maintain that pattern.

iii. Extending redundancy protection for women and new parents

An employee at risk of redundancy while on maternity, adoption, or shared parental leave has the right to be offered any suitable alternative vacancy that is available.

The government is proposing to extend this protection to:

- pregnant employees, once they have told their employer of their pregnancy
- employees returning from maternity or adoption leave within the previous six months
- parents returning from shared parental leave (although how the limits on this right will operate is still to be worked out).

The government has said that legislation will be brought forward when Parliamentary time allows.

iv. Neonatal leave and pay

The Good Work Plan contained a commitment to introduce extra statutory leave and pay for all parents of premature babies needing specialist care in a neonatal unit. In March 2020, the government confirmed its intention to introduce 12 weeks' paid leave in addition to existing maternity and paternity pay provisions. The leave is expected to be introduced in 2023, and will be taken after maternity/paternity leave, in blocks of one or more weeks, and paid at the statutory rate for those employees with 26 weeks' service.

5. Conclusion

Clearly the employment law legislative timetable has been grossly affected by both Brexit and Covid. In a post-pandemic world, the legal debate around modern ways of working will evolve. As such City Corporation employment policies, procedures and practice will require revision; in order to be leading from a position of good employment practice.

This report does not contain a full statement of the law and it does not constitute legal advice. Legal advice should be sought, when needed, from the Comptroller and City Solicitor's department.

Background papers

'Equality and Inclusion Update including Gender, Ethnicity and Disability Pay Gaps',
Establishment Committee, 27 January 2021

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Agenda Item 7

Committee(s)	Dated:
Finance Committee – for decision Police Authority Board – for decision Projects Sub Committee – for decision Establishment Committee – for decision Digital Services Sub Committee – for decision	15 th June 2021 22 nd June 2021 23 rd June 2021 23 rd June 2021 23 rd July 2021
Subject: Member Governance of the ERP Project Delivery	Public
Does this proposal require extra revenue and/or capital spending?	N
If so, how much?	N/A
What is the source of Funding?	N/A
Has this Funding Source been agreed with the Chamberlain’s Department?	N/A
Report of: Chamberlain’s	For Decision
Report author: Sonia Virdee – Chamberlain’s Department	

Summary

To ensure an effective delivery of the Enterprise Resource Planning (ERP) Solution (including the financial system) for the City of London Corporation, it is proposed that a Member Steering Group is established with representation from the following stakeholder committees:

- Finance
- Police
- Establishment
- Digital Services Sub
- Projects Sub

Where decisions as are needed from Finance Committee, these may be delegated to the Member Steering Group to ensure timely implementation. Member oversight provides a level of scrutiny for the relevant Committees in an efficient and timely manner.

Coinciding with the implementation of the Target Operating Model, the effective delivery of the ERP Solution creates the opportunity to increase collaboration and efficiencies across the corporation; change entrenched practice and remove bottlenecks. It will also provide timely and accurate information for Member decision making and create a central hub for corporation financial and staffing information.

Recommendation(s)

Members are asked to approve the governance approach of the ERP Solution.

Main Report

Background

1. The 2020/21 Capital Programme included an Enterprise Resource Planning (ERP) solution as a replacement of the financial, HR and payroll business applications. The ERP Solution aims to deliver a consolidated and integrated platform across the Financial, HR and Payroll functions. In support of the Target Operating Model (TOM), the implementation of an ERP solution is a key enabling tool that efficiently and effectively paves the way to a shared service approach across the Corporation.
2. Drawing upon the key lessons learned from the previous Oracle (Finance system) upgrade in 2016, it is evident that the Governance of the programme was insufficient at the time. This oversight led to downfalls with programme delivery, business engagement and change management. In consideration of this the proposal included in this report address and plans the first steps to mitigate any risks of the same/new issues arising, by establishing a Member Steering Group in addition to a Project Board to oversee and challenge the programme in a timely manner. As well as giving access to swift decision making to keep the momentum going without causing any delays.

Current Position

3. Following the approval of the New Financial System and ERP Project Gateway 2 Document, the project has progressed into the 'define' phase in preparation for procurement of the new ERP system. A Project Board chaired by the Chamberlain has been established to oversee the delivery of the ERP Project from design to procurement and throughout delivery and implementation.
4. The objectives of the Project Board are to provide a strategic steer for the project, approve the activities of the ERP Programme, address any escalations or significant risks arising and oversee the efforts of the teams and groups delivering the programme. The Project Board is established with representatives from HR, Finance, IT, Procurement, COLP and representatives from the delivery team.
5. During the kick-off meeting of the ERP Solution Project Board, it was recommended that a Member Steering Group should be established to give oversight and steer to the Project Board. Suggested Members for this group include the Chairmen or their nominated person of the following committees:
 - Finance Committee
 - Establishment Committee
 - Projects Sub Committee
 - Digital Services Sub Committee
 - Police Authority Board

6. As the ERP solution crosses over a few Committees, it is recommended the Member Steering Group are empowered to take decisions on behalf of the Committees. Where a Finance Committee decision is needed this may be delegated to the Steering Group to ensure the smooth transition of the ERP solution and avoid any delays. Update to other Committee's will be for information only.
7. With the Oracle replacement being a key driver of the ERP solution, plus delegation for approval to the Finance Committee, it is recommended the Member Steering Group is chaired by the Chairman of the Finance Committee.
8. The nominated members are the Member counterparts of the key stakeholders impacted by the delivery of the ERP Project; it aligns with the representatives that are on the project board to ensure there is equal representation of HR, Finance, IT, Procurement, COLP and the Project team.
9. It is proposed that the Member Steering Group will meet monthly (or as a required) to provide scrutiny of the delivery of the project, the oversight of the responsibilities undertaken by the Project Board, the efforts of the Tender Working group and future programme and delivery functions. More details of the responsibilities of the Group are detailed in appendix 1; the draft Terms of Reference of the Member Steering group that will be considered at the first meeting of the group pending the approval of this report.
10. The Group allows Officers to draw upon the knowledge and guidance of Members representing these committees in a less formal setting. In addition to monthly meetings, the Member Steering Group will be provided with regular highlight reports with the chance to raise any potential risks, opportunities or questions on the activities or decisions in a timely manner.
11. Gateway Papers will continue to be presented to the Committee Cycle for approval.

Conclusion

It is proposed a Member Steering Group is formed from the key stakeholders impacted by the delivery of the ERP Project, to provide additional scrutiny and challenge to ensure an effective delivery of a new ERP solution.

It is recommended the Member Steering Group is chaired by the Chairman of the Finance Committee.

It is also recommended the Member Steering Group are empowered to take decisions on behalf of the Committees. Where a Finance Committee decision is needed this may be delegated to the Steering Group to ensure the smooth transition of the ERP solution and avoid any delays. Update to other Committee's will be for information only.

Appendices

- Appendix 1 – Draft Terms of Reference

ERP Member Steering Group Terms of Reference (DRAFT)

Context

The 2020/21 Capital Programme included an Enterprise Resource Planning (ERP) solution as a replacement of the financial, HR and payroll business applications. The ERP Solution aims to deliver a consolidated and integrated platform across the Financial, HR and Payroll functions. In support of the Target Operating Model (TOM), the implementation of an ERP solution is a key enabling tool that efficiently and effectively paves the way to a shared service approach across the Corporation.

Following activities in 2020, of Softmarket Testing and pain point workshops a tendering route to market and financials have been agreed, enabling the City to mobilise the ERP project. A Project Board has been formed; the board have drawn upon lessons learnt from previous Oracle upgrades and agreed that a Member Steering Group should be established to oversee the delivery of the ERP Programme.

Objectives

The ERP Member Steering Group has been established to provide a strategic oversight of the responsibilities undertaken by the ERP Solution Project Board.

The Member Steering Group's objectives and functions will include the following:

- Overseeing the Project Board's championing of the ERP Programmes
- Providing a strategic steer on the approach, vision and objectives at a senior level.
- Approve key programme deliverables (that are above the responsibilities levels of the Project Board)
- Ensure that the deliverables align with other projects across the Corporation (including the implementation of the Target Operating Model)
- Provide continuous support and direction on the vision and programme delivery.
- Provide or be a point of escalation for significant risk and issues, including cross organisational challenges, difficulties in applying the programme vision in practice, and addressing blockages and barriers as they arise.
- Supporting the ERP Project Board in the management of key deliverables
- Ensuring that business need or opportunity has been identified correctly and is supported by robust information
- That all elements of the programme and the project success criteria are clearly defined and
- The solution is consistent with the Corporate Plan, makes sense commercially and provides best value for money
- Programme independencies are understood and managed. All project risks are identified, owned and mitigation actions managed
- All stakeholders are consulted and appropriate buy-in achieved
- Ensures lessons learnt from previous Oracle implementation are addressed.
- Represent the stakeholder committees in decision making opportunities.

Members

The nominated members are the Member counterparts of the key stakeholders impacted by the delivery of the ERP Project; it aligns with the representatives that are on the project board to ensure there is equal representation of HR, Finance, IT, Procurement, COLP and the Project team.

The Chair of the Member Steering Group

- Chair of Finance Committee

The members of the Project Board will comprise:

- Finance Committee - Deputy Chair (or their nominated delegate)
- Establishment Committee - Chair and Deputy Chair (or their nominated delegates)
- Projects Sub Committee - Chair and Deputy Chair (or their nominated delegates)
- Digital Services Sub Committee - Chair and Deputy Chair (or their nominated delegates)
- Police Authority Board - Chair and Deputy Chair (or their nominated delegates)

Officers:

- Caroline Al-Beyerty (Chamberlain)
- Sonia Virdee (Assistant Director - Strategic Finance - Chamberlains)
- Sean Green (IT Director – Chamberlains)
- Janet Fortune (HR Assistant Director – Town Clerks)
- Nicholas Richmond Smith (Assistant Director Category Management & Sourcing – Chamberlains)
- Michael Edelstein (COLP)
- Project Manager

***should you wish to assign a deputy in your place, please advise*

Structure of the Project Board

- Minutes will be taken of the meeting and circulated subsequently.
- The chair will act as a co-ordinator at all meetings. All decisions are made based on a consensus basis.

Member Steering Group meetings and Updates

- Meetings will be held monthly or more frequently aligning with key milestones however agreed but the frequency of said meetings will be reviewed regularly
- An agenda will be produced and issued to members at least three working days before each meeting.
- Steering Group Members will be invited to contribute items to the agenda if they wish.
- Meeting minutes will be taken and circulated to all participants no later than one week after the meeting.
- The Member Steering Board will exist until the ERP Programme has delivered its objectives or until such time that an alternative governance mechanism is agreed.
- Regular highlight reports will be provided to Members of the Steering Group

Review

These Terms of Reference will be reviewed every 2 months, or as requested by its members. Next review will take place at the kick off meeting.

Revision Date	Previous Revision Date	Summary of Changes	Changes Marked
Version 1.0			

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Agenda Item 8

Committee(s)	Dated:
Establishment Committee	21 May 2021
Subject: Mental Health and Wellbeing Policy Review (Version 01 – 01 Draft)	Public
Which outcomes in the City Corporation’s Corporate Plan does this proposal aim to impact directly?	1, 2, 3
Does this proposal require extra revenue and/or capital spending?	N
If so, how much?	
What is the source of Funding?	
Has this Funding Source been agreed with the Chamberlain’s Department?	
Report of: Director of Human Resources	For Decision
Report author: Health Safety and Wellbeing Manager	

Summary

The mental health and wellbeing of employees remains a key priority for the City of London Corporation especially in times of organisational change and during the recovery from the Covid-19 national emergency.

The City Corporation has an existing Mental Health and Wellbeing Policy that was endorsed by the Establishment Committee in May 2018. It is now due for its 3-year periodic review.

Stakeholders were consulted on proposed minor revisions to the policy to ensure it remains relevant.

The policy is supported by a Mental Health and Wellbeing Action Plan along with subordinate procedures and guidance. The action plan has also been reviewed and refreshed. A brief summary of some of the key achievements from the action plan are included in this report.

Recommendation(s)

Members of the Establishment Committee are asked to:

- Approve the revised corporate Mental Health and Wellbeing Policy

Main Report

Background

1. According to the Mental Health Taskforce one in four persons will experience some form of mental health issue in any given year. The Chief Medical Officer, (Department of Health) indicates that mental illness is the largest single source of burden of disease in the UK – no other health condition matches mental illness in combined extent of prevalence, persistence and breadth of impact.
2. The latest estimates from the Labour Force Survey (LFS) show: The total number of cases of work-related stress, depression or anxiety in 2019/20 was 828,000, a prevalence rate of 2,440 per 100,000 workers.
3. Such large numbers do not describe the human cost of mental ill-health.
4. In the UK, the rate of work-related stress, depression and anxiety has increased (statistically significantly higher) in recent years (ibid).
5. The Health and Safety Executive (HSE) noted that:
“Disruption to the economy towards the end of 2019/20 due to the emergence of COVID-19 as a national health issue had the potential to have impacted on workplace injury and work-related ill health data for 2019/20” (HSE, 2020).

Current Position

6. **Sickness absence reporting (rolling year) to December 2020** at the City of London Corporation indicates that the top three recorded reasons for absence, accounting for almost 40% total were:
 - Anxiety/stress/depression/other psychiatric illnesses (1st)
 - All MSD problems -including back and neck problems (2nd)
 - Other reason (not classified elsewhere) (3rd)
7. Mental ill-health and MSDs are often skewed towards longer-term absence. A manager will be aware if an employee considers any sickness to be work related or not and will manage sickness accordingly. However, only the type of sickness is recorded for monitoring purposes and so it is not possible to differentiate between absence due to home and/or work factors in the statistics.
8. Grounded in a growing body of evidence including awareness of best practice, the “CityWell” (employee wellbeing) programme was re-focused, following a report to the Establishment Committee in February 2018 on mental health as the top priority, supported by a wider health promotion / wellness programme.
9. The City Corporation introduced a Mental Health and Wellbeing Policy which was agreed by the Establishment Committee in May 2018 and is now due for a 3-year periodic review.
10. The Policy is supported by a subordinate guidance and a corporate Mental Health and Wellbeing Action Plan (**2018-2023: Last updated March 2021 as Version 2.8**). Key achievements include:

- Over 150 employees trained as Mental Health First Aiders, representing most departments.
- Implementation and embedding of a Wellbeing Ambassadors' Network
- Regular wellbeing events and campaigns (mental health and lifestyle promotions) including supporting the annual Lord Mayor's *This is Me* campaign
- Mental health awareness training for managers and leaders – over 30% trained. Paused during the Covid-19 Pandemic but to be restarted virtually from April 2021
- Increase in storytelling and sharing experiences. Anecdotal and other evidence (e.g. staff *Your Voice Matters* survey) that City Corporation colleagues generally feel more able to talk about their mental health and know how to access further support
- Routinely monitor employee mental health (monitor and review sickness absence data –developing of wellbeing Key Performance Indicators (KPIs)
- Development of mental and wellbeing resources (guidance, documents, assessment tools) including bespoke support and resources during the Covid-19 pandemic and *Concerns about suicide – just ask* guidance with tools
- Work collaboratively with Occupational Health, Public Health, Staff Networks and external partners / initiatives including the Responsible Business working group

11. During the Covid-19 pandemic a dedicated Mental Health Resources Hub was developed. Additional counselling support has been made available and the City Corporation's Mental Health First Aiders stepped up by implementing a virtual support network. Monitoring of key data including the anonymised use of the Employee Assistance Programme (EAP) is ongoing.

Proposals

12. The corporate Mental Health and Wellbeing Policy was reviewed by the Health Safety and Wellbeing Team and is judged to be still fit for purpose. Reference was made to the new Bullying and Harassment Procedure that was agreed by the Establishment Committee in December 2020 and explicit reference made to '*Managers will demonstrate leadership by active and visible participation in and promotion of wellbeing programmes*'. Stakeholders including the Safety Managers' Forum and Health Safety and Wellbeing Committee are being consulted on the proposal to ensure it remains relevant.
13. The Town Clerk agreed to the revised (draft) Mental Health and Wellbeing Policy returning to the Establishment Committee.
14. The corporate Mental Health and Wellbeing Action plan has also be reviewed and refreshed to ensure it remains fit for purpose and continues to support positively the Policy.

Corporate & Strategic Implications

15. As there are no substantive changes proposed to the existing Mental Health and Wellbeing Policy the implications are expected to be neutral.

Strategic implications

16. Everything we do supports the delivery of the Corporate Plan's three strategic objectives, including contributing to a flourishing society, especially:

- *People are safe and feel safe (Outcome 1)*
- *People enjoy good health and wellbeing (Outcome 2)*
- *People have equal opportunities to enrich their lives and reach their full potential (Outcome 3)*

17. The corporate Mental Health and Wellbeing Policy is entirely consistent with the above, providing the governance and framework to support these outcomes, and drive performance.

Financial and resource implications

18. Employers that take steps to support mental health at work will benefit from a more productive, happy and loyal workforce. Those that ignore the issue, or who undermine the mental health of their staff, risk not only the health of the people who work for them but the wealth of their business and the health of the economy as a whole.

Legal and risk implications

19. Robustly implementing our corporate Mental Health and Wellbeing Policy and subordinate procedures and guidance reduces the potential risk of civil action and / or potential enforcement or criminal prosecution.

Equalities implications

20. The City Corporation is committed to:

- Eliminating discrimination and promoting equality and diversity in its Policies, Procedures and Guidelines, and
- Designing and implementing services, policies and measures that meet the diverse needs of its population and workforce, ensuring that no individual or group is disadvantaged

21. As an employer we aim to create and promote a culture where employees can talk openly about their job and mental health concerns and to report difficulties without fear of discrimination. Our Mental Health and Wellbeing Policy positively supports this aim.

Climate implications

22. None identified

Security implications

23. None identified

Conclusion

24. The Mental Health and Wellbeing Policy remains relevant. It provides a corporate framework for articulating responsibilities and is supported by subordinate procedures and guidance and an action plan.

25. Mental health and wellbeing remain a key priority nationally and for the City Corporation, especially during times of organisational change and external challenges: The policy will support our transition to new ways of working under the TOM and during the recovery from Covid-19 pandemic.

Appendices

- Appendix 1 – Mental Health and Wellbeing Policy (draft 01 – 01)

References

Health and Safety Executive (2020). [Work-related stress, anxiety or depression statistics in Great Britain, 2020](#)

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HSP 03 - Corporate Mental Health & Wellbeing Policy (Incorporating the Stress at Work Policy)

VERSION number	01-01 DRAFT – Revision 2021
DATE	May 2021
REVIEW DATE	May 2024
AUTHOR	Justin Tyas
Approved by	Establishment Committee

This Policy can only be considered valid when viewed via the CoL Intranet website. If this document is printed in hard copy or saved to another location, you must check that the version number on your copy matches that of the one on-line.

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POLICY

1. Introduction

Mental ill-health issues are common, especially depression, anxiety and those associated with misuse of alcohol and other drugs. Research indicates that one in four persons experiences some form of mental health challenges issue during a year. Throughout the course of any person's life it is highly likely that they will either develop mental ill-health or have close contact with someone who does.

Many people are often not well informed about mental health issues including about what effective treatment and support may be available. In addition, there are numerous myths and misunderstandings about mental ill-health which can reinforce the stigma associated with it.

Stigma involves negative attitude (prejudice) and discrimination refers to negative behaviour. Stigma can have several adverse effects. It may lead to people hide their difficulties from others. People often feel ashamed to discuss mental ill-health and may be reluctant to seek treatment and support. The longer people delay getting help and support, the more difficult recovery may be.

Mental ill-health and stress (excessive pressure) can be associated; the symptoms and signs of some of the more common mental ill-health conditions and stress can be similar. Stress may result in mental ill-health conditions when it is experienced over a longer time. However, mental ill-health and stress can exist independently. In practice, it can be difficult to distinguish when 'stress' turns into a '*mental ill-health problem*' and when existing mental ill-health problems become aggravated by stress at work and/or from elsewhere.

A more holistic approach to mental health is to consider it as being a continuum that can change over time and will be different from person to person. It is possible for a person with a diagnosis of mental ill-health to be coping at a point in time and experiencing positive mental health. It is equally possible for a person with no diagnosed mental illness or disorder to be experiencing mental health challenges. There are no absolutes.

2. Policy statement

The City of London Corporation (City Corporation) has a duty to ensure the health, safety and welfare of all its employees. It aims to establish a positive health and wellbeing culture that includes awareness and understanding, effective processes, and positive behaviour by staff at all levels. The City Corporation recognises that mental and physical health and wellbeing are equally important and acknowledges the potential impact that work can have on both. Well-designed work and management process / behaviours and attitudes can have a very positive impact.

Everything we do must support delivery of the Corporate Plan and our top-level outcomes include *people enjoy good health and wellbeing*. The City Corporation signed the public 'Time to Change' pledge and committed to act to reduce mental health discrimination.

3. Purpose of the policy

This policy provides a framework within which the City Corporation will encourage and facilitate working practices and services that support employee health and wellbeing; minimise wherever possible the detrimental impact of organisational stressors on all staff and their work; and ensure that staff are appropriately supported in their workplace.

The City Corporation will

- promote health and wellbeing through its management policies and support services;
- prevent, so far as is practicable, those circumstances detrimental to health and wellbeing;
- provide a culture where all health and wellbeing issues can be discussed openly in a supportive way;
- encourage a working environment free from bias and stigma, and where staff who have health difficulties receive appropriate support and consideration of reasonable adjustments to allow them to achieve their full potential;
- monitor and review indicators of organisational health and wellbeing, and to take steps to respond where issues are identified;
- seek to ensure that those who support or manage staff who are experiencing health and wellbeing issues are themselves supported as they respond to the needs of colleagues;
- improve understanding and awareness of health and wellbeing issues and the support available both within and outside of the City Corporation;
- consult with recognised trade union safety representatives on all proposed action relating to the prevention of mental ill-health.

4. Scope

This policy applies to all staff employed by the City Corporation. While recognising that the City Corporation has a legal obligation to manage work-related factors that could harm employees' health and wellbeing, including work-related stress, wellbeing is affected by situations at work and outside of it. As a good employer, this policy makes no explicit distinction between work-related and personal factors in supporting employee health and wellbeing. However, it is acknowledged that the City Corporation has a greater responsibility to those factors at work that may be causing or contribution to mental ill-health.

5. Definitions, terminologies and legal responsibilities

5.1 Wellbeing and mental health

Mental health is a state of wellbeing in which the individual realises his or her own abilities, can cope with the normal stresses of life, can work productively and fruitfully and is able to contribute to his or her own community. In order to avoid stigmatised terms which may deter staff from accessing the guidance and support required at work, in this policy the terms **health and wellbeing** are used as alternatives to **physical and mental health**.

5.2 The law

The City Corporation has a statutory duty under the Health and Safety at Work etc. Act (1974) to ensure the health, safety and welfare of all its employees. The Act also places a general duty on the employee to co-operate with his/her employer to enable that duty to be complied with. The City Corporation will support and promote policies and practices which uphold this statutory duty and any statutory requirements made under the Act including the duty to undertake risk assessments.

5.3 Stress

Stress is a physical and psychological reaction when pressures and demands are beyond an individual's ability to cope at that time. In the workplace, it is important to distinguish between excessive pressure and demands from those that are reasonable and provide stimulating and challenging work. Much will depend on an individual's ability to cope with the pressures and demands placed upon them at that particular time, and different individuals will have differing abilities to cope. Chronic stress can have a serious impact on physical as well as psychological health due to sustained high levels of the chemicals released when pressure becomes excessive. Over the long term, people who react more to stress have a higher risk of cardiovascular and other diseases.

5.4 Equality

Under the Equality Act 2010 employers have a duty not to discriminate against employees on account of their disability as defined under the Act. This involves considering reasonable adjustments to the workplace or to the way the work is done, if the existing working arrangements or physical features place the disabled person concerned at a substantial disadvantage.

6. Interactions with other policies and guidance

This Policy supports and is aligned with other City Corporation policies and guidance which offer further information to staff in relation to health and wellbeing, including but not limited to:

- Health Safety and Wellbeing Policy
- Drugs and Alcohol Misuse Policy
- Supporting Employees with Caring Responsibilities
- Transgender Equality
- Sickness Absence Policy
- Stress Risk Assessment Guidance
- Employee Assistance Programme
- Union Recognition
- Bullying and Harassment Procedure

This Mental Health and Wellbeing Policy should be read in conjunction with another key City Corporation documents including the above.

Attention is drawn to:

This policy and the General Data Protection Regulations (GDPR) Policy and Guidance
While all dealings with staff are subject to the City Corporation's GDPR Policy, confidentiality is often of paramount importance to those experiencing wellbeing difficulties. However, that confidentiality may be necessarily breached where the individual is deemed to be a risk either to him/herself or to other people. The safety of the individual and/or the safety of other members of our community must take precedence over confidentiality.

This policy and the Equality and Inclusion Policies and Guidance

The City Corporation also aims to provide an inclusive, respectful and discrimination-free work environment for our staff. We will use best practice in employment in accordance with legislation to ensure that employees feel respected and able to give their best. As far as possible, we would like our workforce to be broadly representative of all sections of society.

7. Responsibilities

7.1 Responsibility of the City Corporation

The City Corporation is responsible for:

- promoting a culture of co-operation, trust and mutual respect;
- providing support and advisory services through the Staff Counselling, Occupational Health Service, and the Employee Assistance Programme (EAP);
- providing information on resources and services external to the City Corporation;
- ensuring that there is advice and guidance on procedures to support staff experiencing health and wellbeing issues, and their colleagues/line managers;
- ensuring that framework is in place for mental health training and development;
- encouraging a non-stigmatising work environment for all staff within the City Corporation;
- ensuring sensitivity in disclosure and maintaining confidentiality unless it is clearly unsafe to do so.

7.2 Responsibility of Chief Officers, Assistants Directors, Head Teachers, Bursars and other Senior Officers.

The Chief Officers and other senior Officers are responsible for ensuring that health and safety issues reported to them, as senior line managers, are addressed at the appropriate level and in a timely manner. In the day-to-day management of health and safety matters within the various, departments, divisions or institutions, the responsibility lies with the senior operational manager (e.g. in a school, it is Bursar, in a division it is the Assistant Director). Tasks can be delegated; responsibility cannot.

7.3 The responsibility of managers

Managers are responsible for:

- risk assessing work-related stressors within their area of responsibility
- providing staff with wellbeing awareness information;
- defining clear roles for employees and ensuring that the employees are competent to undertake their roles;
- treating team members with consideration and dignity, and supporting steps taken to promote a culture of co-operation, trust and mutual respect;
- ensuring that any member of their staff who is affected by health and wellbeing issues is appropriately and sensitively supported;

- ensure that they are aware of guidance, policy and available support and advisory services in relation to health and wellbeing;
- undergo the City Corporation's mandatory mental health awareness training;
- ensure that they, and appropriate members of their staff, attend training on health and wellbeing;
- encouraging staff to participate in events and initiatives undertaken by the City Corporation to promote wellbeing;
- supporting and encouraging flexible working practices wherever practical to do so;
- take appropriate action where the performance and/or behaviour of a staff member may be causing distress to their colleagues
- Managers will demonstrate leadership by active and visible participation in and promotion of wellbeing programmes

7.4 Responsibilities of all staff

All employees have a responsibility to take care of their own health and safety and that of others who may be affected by their actions. This includes:

- taking responsibility for their own health and wellbeing;
- informing their manager of health and wellbeing difficulties that affects them at work so that appropriate support can be put in place;
- raising concerns with their manager about work-place pressures and asking for help;
- participating in appraisals and responding to training and development opportunities;
- treating all team members with consideration and dignity and supporting steps taken to promote a culture of co-operation, trust and mutual respect;
- contributing towards a non-stigmatising culture;
- upholding confidentiality (wherever safety is not compromised);
- supporting peers within appropriate limits and boundaries.

7.5 Responsibility of Human Resources

Human Resources is responsible for:

- ensuring the provision of appropriate networks to support staff;
- supporting the management of sickness absence and monitoring employee turnover;
- providing advice and guidance to managers and employees and signposting support for health and wellbeing issues;
- advising on the Occupational Health referrals process and assisting managers with considering and implementing adjustments;
- facilitating appropriate arrangements to support individuals experiencing health and wellbeing issues; and their managers;
- supporting managers experiencing problems with employee performance and attendance;
- collating management information on sickness absence for the Sickness Advisory Group (SAG); and facilitating action where issues are identified;
- providing mental health awareness and prevention courses via the Corporate training programme.

7.6 Responsibility of the Health Safety and Wellbeing Team

The Health Safety and Wellbeing Manager is responsible for:

- providing guidance on risk assessments;
- conducting audits on the management mental health / stress through the audit programme;

- ensuring the H&S and Wellbeing Consultative Committee provides opportunities for discussion of health and wellbeing issues;
- Implementing and embedding mental health awareness training for all managers;
- Developing a Wellbeing Workplace Action Plan in consultation with other stakeholders through the *CityWell* programme;
- Developing a network of Mental Health First Aiders and Wellbeing Ambassadors.

7.8 Responsibility of Occupational Health

The Occupational Health Service is responsible for:

- Providing advice at recruitment regarding fitness to work and reasonable adjustments;
- Advice in relation to return to work following ill health or injury;
- Advice on maximising attendance including lifestyle advice;
- Facilitating referral to in house rehabilitation and external support networks;
- Offering timely appointments for work related health issues on management referral and providing reports on functionality and reasonable adjustments;
- Conducting statutory health surveillance and advising on statutory requirements in relation to risk assessment and the prevention of work related ill-health.

8. Monitoring & Review

The Health Safety and Wellbeing Team has lead responsibility for reviewing this policy and reporting to the Corporate Health Safety and Wellbeing and other committees as required.

This Policy will be reviewed on a regular basis at no more a than three yearly intervals.

Revisions

Version	Page/ Para No	Description of change	Date Approved
01 - 00	n/a	New Policy	May 2018 By Establishment Committee
01 - 01	P4	Added reference to the <i>Bullying and Harassment Procedure (Dec 2020)</i>	<i>Revised May 2021</i>
	P6	<i>Added bullet: Managers will demonstrate leadership by active and visible participation in and promotion of wellbeing programmes</i>	

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Committee Establishment Committee	Date: 23/06/2021
Subject: Annual Employee Profile Report 2020 - 2021	Public
Report of: Director of Human Resources	For Information
Report authors: Tracey Jansen; Carol Simpson; Amanda Lee-Ajala Corporate Human Resources	

Summary

This report sets out the employee profile information for the year 2020-2021. It also includes the Gender, Ethnicity and Disability Pay Gaps previously reported for the snapshot date March 2020. It provides a breakdown of the workforce by six protected characteristics identified in the Equality Act 2010. These are sex, age, ethnicity, disability, religion and belief and sexual orientation. The report also provides a summary of the wider initiatives undertaken during the reporting period. The Appendix 1 to the report is included in our Annual Equality and Inclusion Performance report which is published on the internet. Appendix 2 provides a trend analysis since we started collecting this data 8 years ago. Additional information is included on leavers, casework, family friendly policies, covid sickness and a summary of our Equality and Inclusion initiatives during the year.

Recommendation

Members are asked to note the report and the Employee Profile data 2020-21 at Appendix 1 and 2.

Main Report

Background

1. Equality and inclusion fall under the remit of this Committee and the Committee receives a number of update reports throughout the year. The Equality and Inclusion Board chaired by the Town Clerk and Chief Executive oversees the E&I Action Plan in relation to employment and service delivery. The Equality and Inclusion Action Plan is reported to the Committee periodically and has been updated to include the employment related recommendations made by the Tackling Racism Taskforce. This report is the annual update presenting data on the employee profile broken down by 6 protected characteristics defined by the Equality Act 2010. These are sex, age, disability, ethnicity, sexual orientation and religion or belief. The analysis includes salary and grade; the top 5% of earners; Gender, Ethnicity and Disability Pay Gaps; turnover, recruitment and new starter and leaver information during the year.
2. The employee 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 priorities and the Equality and Inclusion Board Action Plan.

Current Position

3. Attached as Appendix 1 is an analysis of the workforce as at the end of March 2021. Data has been collated in this format for 8 years now and this report includes the trend information at Appendix 2.
4. The Committee will recall that the new trend information was included for the first time in the annual equality performance report in March of this year (see Appendix 2). The main highlights can be summarised as follows:
 - The proportion of all City Corporation staff who identify as female, BAME, LGBT and who practice a religion or belief has increased steadily during the last 8 years.
 - There has been an increase in the number of staff in BAME groups in middle management (grades E-H).
 - The numbers of staff who self-identify as having a disability has remained constant over this period.
 - The proportion of staff who self-identify as members of a minority group generally reflects the resident population of the City of London, with the exception of disabled staff.
 - However, it falls short in comparison to the Civil Service and other London Councils. While these are not direct comparisons, they nevertheless provide a useful context.
 - The number of employees who self-identify as either female, LGBT or are aged over 55 appointed over the last 8 years has increased steadily.
 - However, for appointees self-identifying as either BAME, disabled or minority religious groups, the proportion of appointees is broadly the same as it was 8 years ago, with occasional improvements not being sustained.
 - The percentage of BAME staff represented in leavers has grown from 11% in 2015 to 20% in 2020.
 - Staff self-identifying as LGBT, leavers has doubled between 2017 (3%) and 2020 (6%), albeit from a low base. This could be attributable to a greater number of staff adding their sexual orientation on City People.
5. The Committee asked for a more detailed analysis of the leavers to identify any particular concerns. There were 344 leavers in the reporting period of which 67 or 19.48% were end of fixed term contracts (FTC). Of the remaining 277, the reason for leaving is broken down as follows:

224	Resignations
25	Retirements
11	Redundancies
10	Dismissals (ill health, misconduct or capability)
3	Death in Service
4	Other
6. The table below gives a comparison of voluntary resignations and end of fixed term contracts, compared to all new starters and the overall workforce profile by,

sexual orientation and ethnicity which were highlighted as possible areas of concern to explore together with sex as a comparator. Whilst these figures are relatively small, they indicate that if you are female, LGBT or BAME you are more likely to resign or have a fixed term contract end, than if you were male, heterosexual or white. This in itself does not give an insight into reasons for resigning. All leavers are provided with a link to complete an exit questionnaire and/or have an exit interview with the line manager or HR. In this reporting period only 35 leavers completed the exit questionnaire and one asked for an exit interview. In the main most people had a positive experience of working for the City Corporation. As the new HR management information system is developed, we will include in the specification a more robust arrangement for capturing leaver reason information.

Leaver Type	Resignation % (224 leavers)	End of FTC % (67 leavers)	New Appointments %	All workforce profile %
Female	54%	63%	59.43%	47.8%
Male	46%	37%	40.57%	52.2%
LGB	7%	6%	10.85%	5.02%
Not stated/not known	33%	43%	17.93%	30.46%
Heterosexual	60%	51%	71.22%	64.52%
BAME	20%	20%	26.42%	17.69%
Not stated/not known	17%	37%	6.6%	12.18%
White	63%	43%	66.98%	70.13%

7. Recruitment over the last two years has been slower due to the on-going moratorium on filling most posts on a permanent basis whilst the Target Operating Model is in progress and also as a result of the pandemic. The turnover rate in the reporting period is 9.44% compared to 13.11% in the last reporting period.

Year	Starters	Leavers	Turnover
2017/18	692	488	13.89%
2018/19	575	535	14.7%
2019/2020	484	479	13.11%
2020/2021	318	344	9.44%

8. The number of starters during the last 2-year period has fallen by 44.7%. Similarly, leavers have fallen by 35.7%. Clearly this in turn has an impact on how quickly we can influence and change the workforce profile.
9. The top 5% of earners has been analysed over a number of years and was formerly a key performance indicator for local authorities. We now include data on the gender, ethnicity and disability pay gaps and these have previously been reported in detail to the Committee along with the measures being taken to

address the imbalances identified. As noted previously, the differences are largely due to under-representation in senior grades.

Casework

10. There were 7 formal grievances raised in the reporting period. 5 were mutually resolved and 2 were found to be no case to answer. None resulted in an appeal against the decision. Clearly these are very low numbers and care should be taken to attach statistical significance to them or identify individuals. However, the cases related to:

- 4 Bullying and Harassment one of which was on grounds of race
- 2 Management Issues
- 1 Terms and Conditions of Employment

Of the complainants

- 3 were female and 4 were male.
- 1 had a disability 6 did not.
- 4 were white; 3 were BAME.

11. There were 18 formal disciplinary cases in the reporting period. These included 1 dismissal; 8 warnings; 5 other outcomes; 4 no case to answer.

Of those disciplined:

- 17 were male 1 was female
- 15 did not have a disability; 1 had a disability; and 2 declined to specify
- 12 were white; 5 were BAME; 1 was other

12. It should be noted that our Managing People Policy statement of intent requires Managers to deal with issues (both complaint and conduct matters) swiftly and informally wherever possible mediating between parties, notwithstanding the employee's right to progress such matters through the formal process where necessary. This means that most issues can and are dealt with informally and successfully at the informal level or by informal resolution.

Family Friendly Policies

13. In this reporting period:

- 61 employees began their maternity leave.
- No employees began adoption leave.
- 34 employees began paternity leave.
- 10 employees began their shared parental leave.

Maternity and post maternity leavers

14. The Committee will be aware that significant improvements have been made to our maternity pay and leave provisions. Together with our wider family friendly policies we aim to retain and support maternity returners so that we retain their skills and at the same time facilitate a good work life balance supported by our family friendly provisions that have been introduced. An indication that our maternity and family friendly initiatives are having a positive affect can be gleaned from the maternity returners. Of the 55 women who had return from maternity during the reporting period only 5 have subsequently left.

Women in Finance Charter and Gender, Ethnicity and Disability Pay Gaps

15. In November 2017, the City Corporation signed up to the Women in Finance Charter. As part of this commitment we have set a target of 45% of senior officers (at grade G and above) to be filled by women by 2023. The target date was amended this year to 2025 due to the ongoing recruitment moratorium and the pandemic's impact on recruitment as outlined in paragraph 7 and 8 above. In 2017 there were 20% of women in senior positions. In 2020/21 this has increased to 35%. We are confident that given our various initiatives, we will be able to meet the 2025 target. Specific targets were not set for disability and ethnicity when the analysis of these pay gaps were introduced in March 2019; however the actions put in place to address the women in senior positions pay gap will be extended to include disability and ethnicity in the updated action plan 2021-2023.
16. We have published for the third year our pay gap analysis which can be found at page 16 of Appendix 1.

Covid sickness

17. Our stance has been to comply with Public Health England advice and to provide timely support and guidance to staff and managers. Throughout the pandemic we have expected those who can work from home to do so. A core of our frontline staff has, out of necessity, had to attend a workplace on either a full time or part time basis. Others have been able to continue to attend for wellbeing and mental health reasons. We have continued to pay full pay to staff who have had to self-isolate and have excluded covid sickness from sickness management triggers. We have also encouraged staff to undertake Lateral Flow Tests. These measures have been to assure staff that they can comply with government advice to self-isolate and get tested without this impacting on their pay and attendance record. We have also collaborated with PHE and Hackney colleagues to deliver zoom sessions for different communities who may be vaccine hesitant. We have produced a wealth of guidance, training and advice for staff on the intranet, including increasing our counselling availability for staff and guidance and advice for managers.
18. We have been tracking covid sickness (confirmed and symptomatic) by gender, ethnicity disability and age throughout the pandemic and our statistics broadly reflect the national picture. We have had 345 cases (8.38% of the workforce) of confirmed covid or covid symptoms resulting in sickness absence since recording started in March 2020. It should be noted that this analysis does not include staff who may have been symptomatic but were able to continue to work from home and only reflect cases resulting in sickness absence. In addition, as the public were asked not to attend their own GP unless they became extremely unwell, some cases reported as covid symptoms may not in fact have been covid. The figures also include police staff (not officers). However, the figures nevertheless do give a fairly good indication of the impact of covid sickness on the workforce.
19. The majority of cases have been in those areas where staff have had to attend a workplace (such as open spaces and markets and consumer protection). We have in place strict covid secure working practices and workplaces. In addition, we have put in place a process of premises, activities and individual risk

assessments to minimize risk to individuals and the possibility of outbreaks in the workplace. There have been 4 reportable outbreaks to PHE, however it should be noted that the criteria has changed which would mean that not of these would be considered reportable now due to the very small numbers involved. The breakdown of the 345 covid and symptomatic cases by sex disability ethnicity and age is as follows:

By sex:		By Disability:	
women	6.13%	no	9.78%
men	10.56%	yes	8.39%
By Ethnicity:		By Age:	
asian or asian british	14.22%	up to 30	7.74%
black or black british	14.68%	31-40	8.11%
mixed	8.57%	41-50	8.72%
other ethnicity	9.59%	51-60	8.31%
white	8.37%	61 plus	9.47%

Summary of Equalities Inclusion Activities 2020/21

20. We have reported throughout the year on various equality and inclusion initiatives including the employment strands of the work of the Tackling Racism Taskforce. Set out below is a summary of the work of the City of London Corporation over the period 2020/21 to create a more equitable, diverse and inclusive organisation for our workforce. Despite being amid a pandemic and significant pressure placed on our workforce we have still been able to achieve some significant milestones.

Departmental Progress

21. All departments have completed their individual business plans and have included Equality considerations.

There has been steady progress being made to remove the barriers that may be preventing those from particular protected characteristics from progressing at the City Corporation, a new application form has been approved and has been built into the system. The sensitive data fields have been revised to include gender identity and social mobility.

For many senior appointments we use executive search and select. There is now new and updated wording used for search and select agency proposals that better captures how they conduct their searches to capture a diverse pool of people particularly at the higher grades.

Tackling Racism Taskforce

22. The final report of the taskforce was completed in January 2021 and continues to be monitored for progress by this same group. Staffing recommendations approved by the Establishment Committee and the Policy & Resources Committee which have been implemented or are in progress are summarised as follows and progress is reported periodically to this Committee:

- a. Anonymised recruitment across all grades (not just at senior levels) be introduced.
- b. Mentoring and reverse mentoring schemes be developed.

- c. Investigate a mechanism that can enable all local training budgets to be amalgamated to Corporate Human Resources or remain in a centralised account, for allocation via a transparent process to staff, who would like to be or have the potential to be developed within their job role linked to their appraisals.
- d. A scheme be developed that provides and defines a “safe space” that is separate to the Staff Diversity Networks; This is a space for support, but not for staff to share their experiences if the individuals are or can potentially be identified.
- e. Current and possible schemes that support work experience programmes with schools and young adults be explored and an enhanced.
- f. The City Corporation’s Bullying and Harassment Procedure is re-established in consultation with the Comptroller and City Solicitor.
- g. Consideration be given as to how the City Corporation could better utilise the collected, published data and information on diversity of its workforce at all levels.

Accreditations and Programmes

23. Work continues with the follow

Business in the Community) Race at Work Charter, to show our commitment to prioritise action on race. We implemented the 5 calls to action, then in April 2020, we became members of BITC Race Campaign to further express our commitment to truly creating an inclusive culture.

Stonewall Diversity Champions

Stonewall did not open the Workplace Equality Index for submissions this year but we are preparing to make an entry in September 2021 as endorsed by the Equality and Inclusion Board. The focus is on networking, leadership, procurement, and service delivery. Resources and positive programmes developed by Stonewall are shared with City Pride our staff network.

Disability Confident – Employers

We aspire to becoming Disability Confident - Leaders in the future, but we realise that we have more work to do and this is an ongoing process.

Women in Finance

Our progress is set out in paragraph 15 above.

Social Mobility

We have added four new questions to capture social mobility applicant data and will be asking all staff to update their personal information to also capture this information in the coming months. This will ensure that we positively engage and attract a diverse pool of talent from all sections of society.

Business Engagement

24. The Diversity and Business Engagement Lead Officer has continued to engage with the wider business community throughout the year. Highlights include:

Celebrating International Women’s Day (IWD) The City Corporation partnered with the Association of Foreign Banks (AFB) to host a virtual Breakfast on 5 March 2021 Key speakers included: Catherine McGuinness, Policy Chair at the City of London Corporation, Sandra Husbunds, Director of Public Health at London Borough of Hackney & City of London Corporation, Yasmine Chinwala, Partner at New Financial LLP, Harriet Minter, journalist and author, Emma Revie, CEO of the

Trussell Trust and Emma Reynolds, Managing Director, Public Affairs and Policy and Research at TheCityUK

SOCITM (Society for innovation, technology, and modernisation) and Microsoft – Accessibility - From compliance to confidence

The City Corporation joined an exciting two-day event in February 2021, hosted by Socitm and Microsoft as a panel member of a diverse range of expert speakers to debate and challenge thinking about what it is to be truly accessible.

Common Purpose

The City Corporation took the opportunity when invited to sit on a panel for emerging leaders looking at how the structure of an organisation changes the way in which you lead; and how it affects leadership style when trying to lead change.

Stephen Lawrence Day Foundation

The City Corporation is keen to forge new links and partnerships and are exploring ways to possibly work with the foundation in our schools and will participate in Stephen Lawrence day this year on the 22 April 2021.

Diversity Networks

25. Our six staff diversity networks have grown and continue to provide our employees with different protected characteristics an active and collective voice. The networks have significantly expanded this year to 915 members up by over 200 employees. There have been many obstacles facing the networks this year due to the COVID 19 pandemic, but they have risen to the challenge with some stand out initiatives, such as the Women's Inclusivity Network's monthly "Pipeline to Success", webinars covering topics including role models, intersectionality which enabled collaborative working with the BAME and City Pride networks and the real impacts of career breaks that have engaged nearly 100 staff.
26. In addition to the "Let's talk about Race" event, hosted by the BAME network in conjunction with BITC, invited employees from different racial backgrounds to talk about their experiences. This was a successful event sparking many new conversations about this topic, which would not have happened otherwise and attracted over 120 staff.
27. The City Pride Network hosted a successful Virtual Pride week, with the widest reach and engagement to date. Activities included intranet campaigns and infographics on gendered language, a quiz, a Pride network video and daily activities.
28. All networks have worked tirelessly to work with Public Health England teams across the City and surrounding boroughs, to provide a platform to engage and encourage community groups and staff, particularly from the Black, Asian and Minority Ethnic groups, who were disproportionately affected by the effects of COVID 19; to discuss the available vaccines and dispel some of the misconceptions that surrounded them. They were able to reach hundreds of people.

Corporate & Strategic Implications

29. Monitoring our workforce by protected characteristics provides us with key data that informs the equality and inclusion agenda and progress being made to address areas of concern. E&I initiatives link to the Corporate Plan aim of 'contributing to a flourishing society'.

Implications

30. There are no specific costs arising from this report, but the data helps us to identify where there is a disproportionate impact in relation to protected characteristics.

Conclusion

31. This report sets out the latest annual employee profile by six of the protected characteristics. The data enables us to understand our workforce better and identifies areas of concern that need to be addressed. It also enables comparison and benchmarking with industry and monitors progress being made to reduce imbalances identified in our workforce. The report notes that the significant reduction in recruitment, starters and leavers impacts on our ability to change the diversity of our workforce as quickly as we would like. However, a number of other initiatives to attract and retain staff are continuing to be developed and have an impact.

Appendices

- Appendix 1 - City of London Corporation - Employee Profile March 2021
- Appendix 2 - Trend analysis

Background

Annual Equality Performance Report 2020 - Establishment Committee March 2021
Managing People Policy – Employee Handbook

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Agenda Item 10

Committee(s) Establishment Committee	Dated: 23 June 2021
Subject: Stonewall - Update	Public
Which outcomes in the City Corporation's Corporate Plan does this proposal aim to impact directly?	3, 4, 5, 8,10
Does this proposal require extra revenue and/or capital spending?	No
If so, how much?	
What is the source of Funding?	
Has this Funding Source been agreed with the Chamberlain's Department?	
Report of: Chrissie Morgan, Director of Human Resources	For Information
Report authors: Amanda Lee-Ajala, Diversity and Business Engagement Lead	

Summary

This report provides the Establishment Committee, with an update relating to the Stonewalls Diversity Champions programme and Workplace Equality Index (WEI) 2021 submission. This is the definitive benchmarking tool for employers to measure their progress towards LGBT inclusion in the workplace at a cost of £2,500 per year.

This year there has been numerous negative media coverage about the Stonewall Diversity Champions programme. However, at a meeting of the Equality and Inclusion Board, the City of London Corporation, reaffirmed its commitment to making the organisation a place where LGBTQ+ communities can be there authentic selves, as it keeps the organisation focused and makes good business sense. It will, therefore, proceed to demonstrate its work as an employer in different areas of employment policy and practice. This will be scored against 10 criteria of the WEI (see appendix 1).

Recommendations

The Establishment Committee is asked to:

- Note this report.

Main Report

Background

The City of London Corporation became members of Stonewall Diversity Champions programme in March 2019 and made its first submission to their Workplace Equality Index that year. This index is a useful benchmarking tool for employers to measure their progress towards LGBT inclusion in the workplace.

1. Participating employers demonstrate their work in different areas of employment policy and practice and receive a score. The aim is that these scores, enable them to understand what's going well and where they need to focus their efforts on.
2. They can also assess how they have performed in comparison with their sector and region. The top 100 best-performing organisations are celebrated publicly.

Adapting our work

3. The 2021 Workplace Equality Index was due to open for submissions in June 2020. However, due to the ongoing challenges of responding to the COVID-19 pandemic, Stonewall decided not to open the 2021, Index for submissions or publish a 2021 Top 100 Employers list.
4. In place of this submission and benchmark they provided comprehensive support to get the City Corporation ready for the 2022 Index, through the Workplace Equality Index support series.

New criteria

5. Stonewall introduced new criteria for submissions along with, information regarding the new Gold, Silver and Bronze Employer awards in June 2020.
6. A two-hour, in-depth sessions focusing on up to three index areas, of our choice, were facilitated to the City Corporations task and finish group in January 2021, by our account manager. This included discussions about individual sections and specific questions, providing support to the group on understanding how previous work can be improved, in line with the new criteria. Best practice, common pitfalls, and effective solutions were also shared with the group.
7. Some index criteria ask about work from within historical timeframes and some are not timebound. However, Stonewall have taken into consideration the constraints caused by the pandemic and strongly encourage adaptations are made wherever possible to continue the LGBT inclusion work planned this year.

Workplace Equality Index – Task and Finish Group

8. The Workplace Equality Index Task and finish group is made up of all relevant contributors from across the City Corporation. They have a project plan, meet bi-monthly and are working through the criteria to ensure the submission is made on time.
9. Meetings have also taken place in between scheduled meetings, with Newcastle City Council (Currently at the top of the league table) and the Client manager assigned to the City Corporation, to gain the support and advice necessary to gain the best outcomes possible.

Value for Money

10. There has been recent negative media coverage of the Diversity Champions programme since the Equality and Human Rights Commission withdrew its membership stating, "that it was not offering [value for money](#)".

11. The City Corporation believe that this programme keeps the organisation focused on creating a more inclusive culture for LGBTQ+ customers and employees. This programme also makes good business sense, as it strengthens its aspiration of being a more diverse organisation and the associated benefits. Particularly, on the grounds that the criteria within the WEI can be widened to cover all protected characteristics as detailed in the Equality Act 2010.

Corporate & Strategic Implications

12. The proposals contained in this report are aligned to the City Corporation's Corporate Plan 2018-2023 by contributing to a flourishing society, people having equal opportunities to enrich their lives and fulfil their potential. Notably, for employees from the most under-represented groups across the workforce. This will assist with building a sustainable diverse talent pipeline across the organisation in the future.

Implications

13. A report detailing the status of the submission 2022, will be presented, for the approval of any changes to the September 2021, meeting of Establishment Committee.

Conclusion

14. This report update outlines the actions that the Workplace Equality Index task and finish group are taking to make a submission in October 2021, and the City Corporations continued endorsement of the Diversity Champions programme.

Supporting Documents:

Appendix 1 – New Criteria

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