

## 出國報告（出國類別：考察）



主辦機關：行政院人事行政總處

姓名職稱：國防部人事室簡任編纂曾惠絹

行政院海岸巡防署人事處科長趙子瑩

派赴國家：英國

出國期間：106年9月10日至9月17日

報告日期：106年11月9日

## 摘要

本次考察重點在於行政法人制度實施概況及運作成效、中央政府管理公務人員規模之模式、正式職員外之其他非正式人力運用情形等，選定英國作為考察對象，與我國行政法人制度的創設理念，係取自該國的經驗，及其即使面臨脫歐之巨大考驗，近年來文官規模仍持續精簡，維持其公部門服務品質，有值得借鏡與學習之處。

行政院人事行政總處經指派人事人員 2 員於 106 年 9 月 10 日至 17 日間赴英考察，共計 8 天（含往返路程）。期間安排 1 場閉門座談會、拜會內閣辦公室（Cabinet Office）2 團隊、參訪 2 訓練機構，與英國政府機關及民間訓練機構人員共 11 人就本次考察內容進行意見交換，並從公務人力管理、人事費控管模式、行政法人設立及評鑑機制、公務人員訓練等方面提出心得與建議。

# 英國人事政策與法制考察報告

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## 壹、考察目的及過程

### 一、考察目的

外國人事政策與法制考察，為行政院人事行政總處（以下簡稱人事總處）定期辦理之計畫項目，期透過人事人員親身走訪瞭解各國公部門人力資源發展現況與趨勢，汲取相關經驗作為我國公務人力政策規劃之參考。

本（106）年考察重點在於行政法人制度實施概況及運作成效、中央政府管理公務人員規模之模式、正式職員外之其他非正式人力運用情形等，選定英國作為考察對象，與我國行政法人制度的創設理念，係取自該國的經驗<sup>1</sup>，及其即使面臨脫歐之巨大考驗，近年來文官規模仍持續精簡，維持其公部門服務品質，有值得借鏡與學習之處。

### 二、考察過程

本年人事總處係由 105 年度績優人事人員中指派國防部人事室簡任編纂曾惠絹及行政院海岸巡防署人事處趙子瑩科長於本年 9 月 10 日至 17 日間赴英考察，共計 8 天（含往返路程）。期間安排 1 場閉門座談會、拜會內閣辦公室（Cabinet Office）<sup>2</sup> 團隊、參訪 2 訓練機構，與英國政府機關及民間訓練機構人員共 11 人就本次考察內容進行意見交換（如行程表）。

本次考察承蒙外交部駐英國代表處林代表永樂、程副代表祥雲、行政組陳副組長雅惠、徐秘書步瑤及軍協組袁組長力強等相關長官及同仁鼎力協助，包括行前參訪機構的規劃接洽、考察過程中的周妥安排與陪同拜會；也感謝外交部人事處及人事總處綜合規劃處之妥善規劃，遂使考察活動順利達成任務；又行前人事總處組編人力處吳專門委員宛樺就我國推動行政法人制度之情形說明及林專門委員延增訪英經驗談分享，在此併致謝意。

訪英期間，當地時間 9 月 15 日上午尖峰時段因倫敦地鐵發生爆炸案，人事

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<sup>1</sup> 前行政院研究發展考核委員會主任委員施能傑於 2006 年 4 月 7 日原行政院人事行政局（按：行政院人事行政總處前身）主辦之「外國經驗及我國行政法人推動現況研討會」中指出，行政院組改會在設計行政法人制度時，其設計理念並非來自日本的經驗，而是來自英國的經驗（詳見研討會實錄第 92 頁）

總處綜合規劃處及外交部人事處即刻與訪團及代表處聯繫確認人員安全無虞，徐秘書並隨即應變處理，搭計程車趕赴帕丁頓（paddington）車站，並未延誤前往牛津大學參訪之行程，顯見各相關單位人員之應變能力與用心程度。

日期	拜會人士與 參訪機關（構）	活動重點與 考察內容	地點
9月11日	倫敦政經學院國際貿易中心（International Trade Policy Unit, LSE Enterprise）研究員 Julius Sen 閉門座談會	英國脫歐後貿易談判政策及政府人力配置	駐英國代表處會議室（50 Grosvenor Gardens, London）
	駐英國代表處程副代表祥雲、行政組副組長雅惠	說明本次考察意旨，就當前人事業務推動相關政策、人力資源培訓發展以及駐外單位組織等議題進行意見交流	駐英國代表處交誼廳及午餐餐敘處
9月12日	內閣辦公室政府公務人力策略小組副主任 Kathryn Al-Shemmer（Deputy Director of Civil Service Workforce Strategy, Cabinet Office）及其團隊	透過簡報與意見交流，瞭解英國政府公務人力運用策略	內閣辦公室會議室（100 Parliament Street, London）
9月12日	內閣辦公室公共組織體改革小組策略經理 Elliot Brinkworth（Strategic Assurance Lead,	透過簡報與意見交流，瞭解近年英國公共組織體（Arms Length Bodies, ALB）改革情形	內閣辦公室會議室（100 Parliament Street）

	Public Bodies Reform)及其團隊		
9月13日	文官學院 (Civil Service College)	透過實地參訪文官學院培訓場地、簡報與意見交流，瞭解文官學院規模、課程內容、培訓能量與其他國外政府機關合作辦理公務人員培訓之相關經驗	文官學院(25 Queen Anne's Gate, London)
9月15日	牛津大學在職教育部公共行政及國際事務學程主任 Professor Angus Hawkins (Director of Public and International Programmes, Department For Continuing Education, Oxford University)	實地赴牛津大學參訪在職教育部之訓練設施、瞭解針對公務人員規劃之課程內容、與其他國外政府機關合作辦理公務人員訓練之經驗	牛津大學在職教育部 (1 Wellington Square, Oxford)

## 貳、英國公務人力資源管理發展

### 一、近年來 OECD 國家人力資源管理措施兼論英國情形

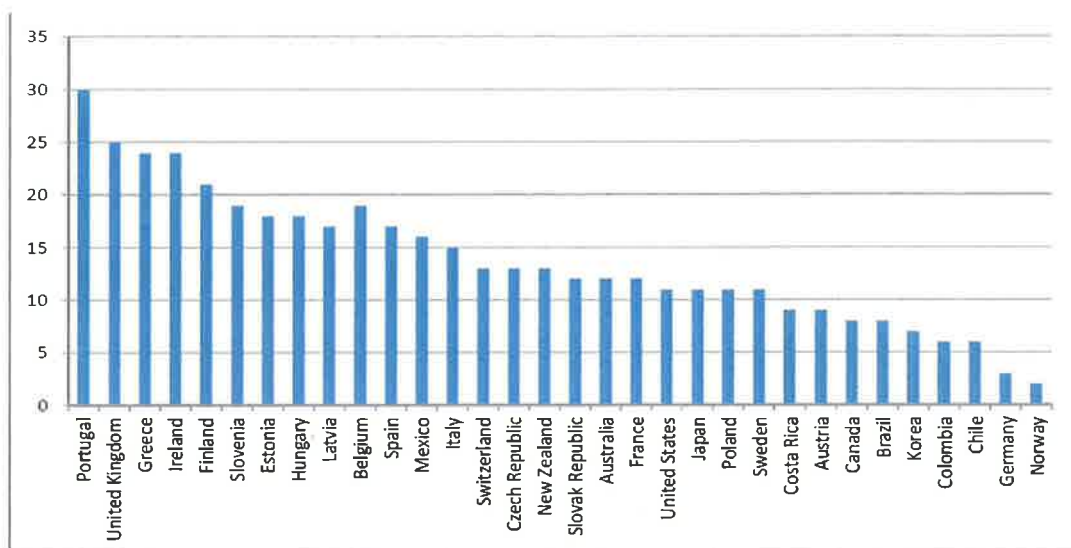
我們正進入一個由資源缺少主導公共預算、人力資源與計畫管理的新時代。對政府管理者而言，將會是一個艱困的時局，他們必須管理擲節、取捨施政優先順序、重新配置資源、終結計畫等等，亟需要發展一個方法論，我稱之為擲節管理 (cutback management)

~~~Levine, C.H.(1979:179)

上述這一段三十年前擲節管理之父 Levine C.H.的一席話，現在看來仍是許多國家之最佳寫照，各國莫不亟思突破困境之創新作法。OECD 調查自 2008 年全球金融危機以來至 2013 年，32 個國家（其中 28 個為 OECD 國家）為縮減開支所採取大約 40 項的人力資源管理措施，大致可分為 7 類，分別是公部門僱用、待遇制度、訓練制度、降低成本措施、工時、工作安全感及僱用狀態（公務人員 (civil servants) 或公部門員工(public employees)）。有幾個主要發現：(1) 大多數的 OECD 國家都採取相關措施縮減中央政府規模；(2) 75% 國家公務人員減薪或凍薪；(3) 62% 國家減少公務人員訓練投資。

調查同時也評估這些改革對公務人員所造成工作壓力、行為與認知的影響，整體而言，工作場域的強度與壓力顯著增加、一些國家調查顯示員工對組織及領導者的信賴感減低，工作滿意度也降低；然而，並沒有發現負面的行為結果，例如不道德行為、不當運用資源、貪污等等，顯示公部門價值及倫理可能扮演了控制行為的重要角色 (OECD, 2016: 9-10)。

在 OECD 調查中，英國所採取人力資源管理措施高達 25 項，僅次於葡萄牙的 30 項（如圖 1）。以下整理在僱用、訓練及待遇方面各國所採取的相關作為並兼論英國的情形。



Source: OECD (2014b). *Survey on Managing Budgeting Constraints: Implications for HRM and Employment in Central Public Administration*. OECD, Paris. [www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf](http://www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf)

圖 1：2008-2013 年各國執行的人力資源管理措施數目一覽表 (OECD, 2016: 24)

### (一) 公務人力僱用方面

在重整及減少中央政府僱用方面，有 28 個國家凍結進用及凍結全部或部分替代退休人力；23 個國家採取外包；18 個國家裁員；13 個國家鼓勵自願退離；9 個國家採取民營化。在 8 項措施中，英國採用了 7 項 (如圖 2)。

|                                                | #Countries | Australia | Austria | Belgium | Canada | Chile | Czech Rep | Estonia | Finland | France | Germany | Greece | Hungary | Ireland | Italy | Japan | Korea | Mexico | New Zealand | Norway | Poland | Portugal | Slovak Rep | Slovenia | Spain | Sweden | Switzerland | United Kingdom | United States | Colombia | Latvia | Costa Rica | Brazil |  |
|------------------------------------------------|------------|-----------|---------|---------|--------|-------|-----------|---------|---------|--------|---------|--------|---------|---------|-------|-------|-------|--------|-------------|--------|--------|----------|------------|----------|-------|--------|-------------|----------------|---------------|----------|--------|------------|--------|--|
| <b>Employment Measures</b>                     |            |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Privatisation                                  | 9          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Decentralisation of employment                 | 9          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Supporting voluntary departures                | 13         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Dismissals                                     | 18         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Annual productivity targets                    | 19         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Outsourcing                                    | 23         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Recruitment freeze                             | 28         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| Non or partial replacement of retiring persons | 28         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |
| <b>Numbers of Measures</b>                     |            | 4         | 3       | 6       | 3      | 4     | 7         | 3       | 8       | 6      | 0       | 6      | 5       | 5       | 4     | 5     | 4     | 7      | 6           | 0      | 5      | 6        | 4          | 4        | 4     | 6      | 4           | 7              | 4             | 3        | 5      | 4          | 5      |  |

Source: OECD (2014b). Question 5, *Survey on Managing Budgeting Constraints: Implications for HRM and Employment in Central Public Administration*, OECD, Paris. [www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf](http://www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf)

圖 2：2008-2013 年各國重整及減少中央政府僱用之運用工具 (OECD, 2016: 29)

### (二) 公務人員訓練方面

儘管公務人員的學習與培訓對公共行政絕對有好處，但各國中央政府在面對財政壓力下，縮減訓練經費仍是首選項目之一。有 24 個國家朝提升訓練成效；22 個國家訓練政策受到影響及運用電子化學習；18 個國家減少預算；14 個國家加強評估訓練需求；11 個國家減少訓練活動旅費；10 個國家減少了訓練日數。在 7 項措施中，英國除未減少活動旅費外，其他 6 項均採行（如圖 3）。

|                                             | # Countries | Australia | Austria | Belgium | Canada | Chile | Czech Rep | Estonia | Finland | France | Germany | Greece | Hungary | Ireland | Italy | Japan | Korea | Mexico | New Zealand | Norway | Poland | Portugal | Slovak Rep | Slovenia | Spain | Sweden | Switzerland | United Kingdom | United States | Colombia | Latvia | Costa Rica | Brazil |  |  |
|---------------------------------------------|-------------|-----------|---------|---------|--------|-------|-----------|---------|---------|--------|---------|--------|---------|---------|-------|-------|-------|--------|-------------|--------|--------|----------|------------|----------|-------|--------|-------------|----------------|---------------|----------|--------|------------|--------|--|--|
| <b>Training System Measures</b>             |             |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| Reduction of training days                  | 10          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| Reduce travel costs to travel to events     | 11          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| Assessment of training needs                | 14          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| Reduction of budgets                        | 18          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| Shift employee training to employment desk  | 22          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| Have training policies been affected?       | 22          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| Measures introduced to increase efficiency? | 24          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |        |            |        |  |  |
| <b>Numbers of Measures</b>                  |             | 5         | 6       | 6       | 3      | 0     | 2         | 6       | 6       | 1      | 0       | 4      | 5       | 6       | 2     | 0     | 2     | 6      | 0           | 2      | 5      | 7        | 5          | 5        | 5     | 1      | 5           | 6              | 6             | 3        | 5      | 3          | 3      |  |  |

Source: OECD (2014b). Question 9. *Survey on Managing Budgeting Constraints: Implications for HRM and Employment in Central Public Administration*. OECD, Paris. [www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf](http://www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf).

圖 3：2008-2013 年各國執行的訓練措施及改革（OECD，2016：37）

### （三）公務人員待遇部分

待遇是對人力資源品質與效能具有關鍵影響力的工具之一，與吸引及留任人員產生直接關連。統計結果，15 個國家進行凍薪；10 個國家廢除津貼；9 個國家廢除績效獎金；6 個國家減少高階或所有人員的待遇。英國採行了凍薪、減少績效獎金及其他（按：調查報告並未敘明其他措施為何，本次考察因拜會時間有限未及多所瞭解）（如圖 4）。

|                                         | #Countries | Australia | Austria | Belgium | Canada | Chile | Czech Rep | Estonia | Finland | France | Germany | Greece | Hungary | Ireland | Italy | Japan | Korea | Mexico | New Zealand | Norway | Poland | Portugal | Slovak Rep | Slovenia | Spain | Sweden | Switzerland | United Kingdom | United States | Colombia | Costa Rica | Brazil |  |
|-----------------------------------------|------------|-----------|---------|---------|--------|-------|-----------|---------|---------|--------|---------|--------|---------|---------|-------|-------|-------|--------|-------------|--------|--------|----------|------------|----------|-------|--------|-------------|----------------|---------------|----------|------------|--------|--|
| <b>Remuneration System Measures</b>     |            |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |            |        |  |
| Reduction of remuneration for top-level | 6          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |            |        |  |
| Reduction of remuneration for all staff | 6          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |            |        |  |
| Reduction or abolishment of allowances  | 10         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |            |        |  |
| Reduction of Performance Related Pay    | 9          |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |            |        |  |
| Pay freeze                              | 15         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |            |        |  |
| Other                                   | 11         |           |         |         |        |       |           |         |         |        |         |        |         |         |       |       |       |        |             |        |        |          |            |          |       |        |             |                |               |          |            |        |  |
| <b>Numbers of Measures</b>              |            | 1         | 0       | 1       | 1      | 0     | 2         | 3       | 0       | 1      | 1       | 4      | 5       | 3       | 1     | 1     | 2     | 1      | 0           | 2      | 4      | 2        | 5          | 3        | 1     | 0      | 3           | 0              | 1             | 3        | 1          | 1      |  |

Source: OECD (2014b). Question 7c. Survey on Managing Budgeting Constraints: Implications for HRM and Employment in Central Public Administration. OECD, Paris. [www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf](http://www.oecd.org/gov/pem/2014-human-resource-management-survey.pdf).

圖 4：2008-2013 年各國減少公務員待遇之方式 (OECD, 2016: 34)

## 二、英國公務人力發展計畫 (2016-2020)

於拜會英國內閣辦公室公務人力策略小組 (Civil Service Workforce Strategy) 時，其簡報係由介紹公務人力發展計畫開始，以下係摘錄其簡報內容及官方網站公布之公務人力發展計畫 (Civil Service Workforce Plan 2016-2020) (詳見附錄一及二)：

數位科技的出現，改變了工作型態與方式；職涯模式也在改變中，員工不再只是為單一雇主工作；英國決定脫離歐盟獨立，公務體系也必須確保人員具備所需的技術及能力，種種都驅使公務體系要能前瞻地肆應這些變動中的工作環境。自 2010 年以來，英國文官體系已進行一連串改革，2014 年度節省公帑達 186 億英鎊，公務人力減少 20%，在財政壓力仍然不減、民眾期望持續高漲及脫歐必成之前提下，公務體系必須持續增進效率、改善服務品質及積極回應。計畫的五大主軸如下：

- (一) 吸引及留任各行各業的人才：將讓進出公務體系更加容易，引進能解決最艱難國家問題的技術，獲取經驗與新知識。
- (二) 建構就業路徑，發展經驗的廣度及專業的深度：確認各層級所需的技術與經驗，並透過制度設計，讓人員有機會獲取。
- (三) 培養能啟發人、具自信且能授權的世界級領導者：為因應技術及社會的變遷，公務體系需要能挖掘人才、激勵人心的領導者，這不只是高階文



官或有正式領導職稱的工作，在每一階層都需要。

- (四) 成為多元且包容的模範雇主：公務體系應作為其他雇主之模範，善用社經背景、性別、種族等多元性，維持社會流動，提供有能力者於公務人力團隊服務的機會，確保政策及服務能反映所服務的多元族群。
- (五) 有效且彈性的獎勵制度足以吸引、留任及培養人才：公部門獎勵制度應作為公私部門間工作轉換之後盾，同時讓人才持續精進其專業之深度。



圖 5：公務人力發展計畫主軸（節錄自附錄一）



## 參、英國政府公務人力管理相關作為

### 一、公務人員規模與人力結構

如同英國文官長（Cabinet Secretary and Head of the Civil Service）Sir Jeremy Heywood 所言，脫歐（Brexit）是英國文官體系承平時以來所面臨最大也最複雜的挑戰，迄今已投入超過 4 億英鎊，為了處理脫歐相關議題，創造了超過 2 千個新政府角色，引進如財務、會計、法律、數位、專案管理、貿易談判等專才，來處理與歐盟談判、在國會通過脫歐立法等事務。儘管傾注所有資源來達成政府目前第一政治要務「脫歐成功」，英國整體公務人員數量仍持續縮減，是二次大戰以來最精簡的規模<sup>2</sup>。

依據英國國家統計辦公室（Office for National Statistics）所公布 2017 年公務人力統計（Civil Service Statistics），截至 2017 年 3 月底，英國公務人員人數為 41 萬 9,399 人<sup>3</sup>，較去（2016）年同時期增加 0.3%，人數增加 1,056 人，自 2008 年以來人數持續減少，已減少 20%，相當 10 萬 5,758 人<sup>4</sup>。



Sir Jeremy  
Heywood



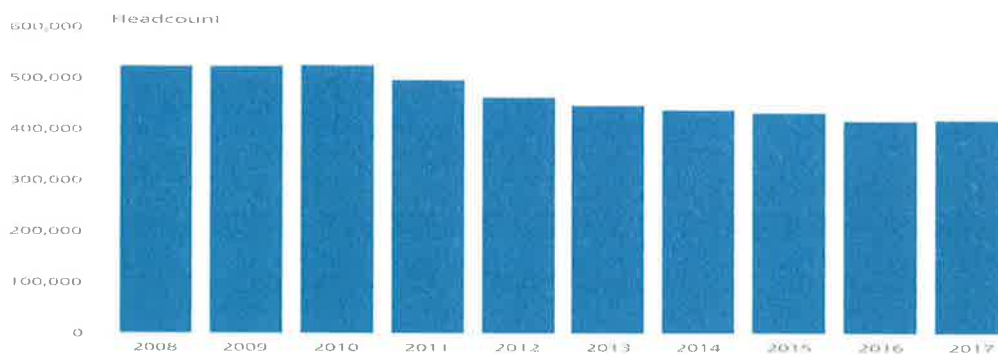
<sup>2</sup> Sir Jeremy Heywood (2017) “How the Civil Service is preparing for Brexit” 摘錄自 <https://civilservice.blog.gov.tw/2017/07/11/how-the-civil-service-is-preparing-for-brexit/>，擷取時間 2017 年 10 月 17 日。

<sup>3</sup> 依據國家統計辦公室(Office for National statistics, ONS)公布資料係呈現兩種計算方式：有員額（headcount）及相當全時人力（FTE（full-time equivalent））。所謂員額係指支薪人數而非職務數，相當全時人力則係以實際工作時數折算人力，例如全職員工一週工作 37 小時，一個一週工作 10 小時的人，則折算為 0.27 個 FTE 人力(10/37)。因此，員額將多於相當全時人力。此處公布資料為員額數。

<sup>4</sup>資料摘錄自國家統計辦公室網站

<https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/publicsectorpersonnel/bulletins/civilservicestatistics/2017>，擷取時間：2017 年 10 月 16 日。

Figure 1: UK Annual Civil Service Employment Survey time series, 2008 to 2017



Source: Office for National Statistics

圖 6：2008 年至 2017 年英國公務人力員額數

資料來源：2017 年公務人力統計 (Civil Service Statistics, UK:2017)

於內閣辦公室公務人力策略小組簡報內，並未觸及人力精簡，強調的是其所扮演的角色是設定公務人力發展優先順序，規劃整體人力結構調整，再由各部會依所設定之人力策略並考量其業務需要，自行決定該機關人力配置情形。特別提到的是，目前整體公務人力結構呈現金字塔型，基層行政人力偏高，將透過建立跨部會內部行政作業的電子化及資訊化，進而減少各部會行政人力需求，逐步調整公務人員結構（如下示意圖）。

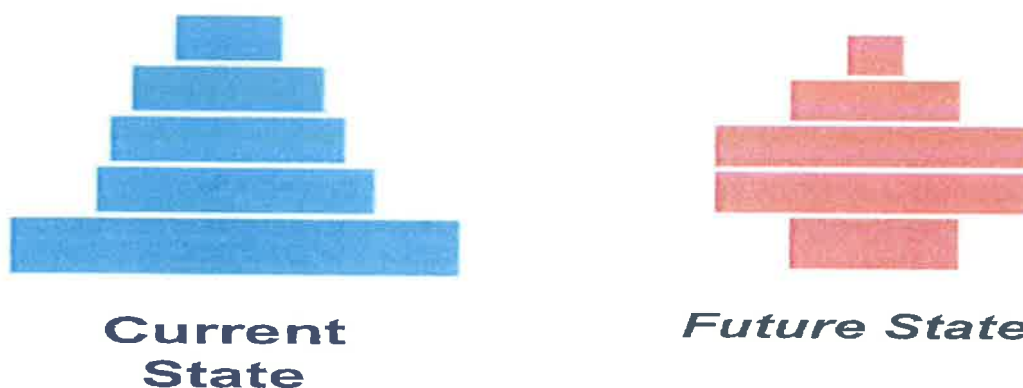


圖 7：英國公務人力結構調整示意圖（節錄自附錄一）

依據 2017 年公務人力統計資料顯示，有超過三分之一（35.7%）公務人員屬行政職員及助理，26.4%屬專員層級，23.6%屬資深專員層級，9.9%為第 6 職等及第 7 職等管理職，1.2%是高階公務人員。又自 2008 年以來，行政職員及助理比例逐漸減少，中高階管理層比例略增，資深專員層級大致維持一定比例（如圖 8），確實驗證公務人力策略小組成員所規劃人力結構板塊之逐步移動。

Figure 3: UK Civil Service employment by responsibility level, 2008 to 2017

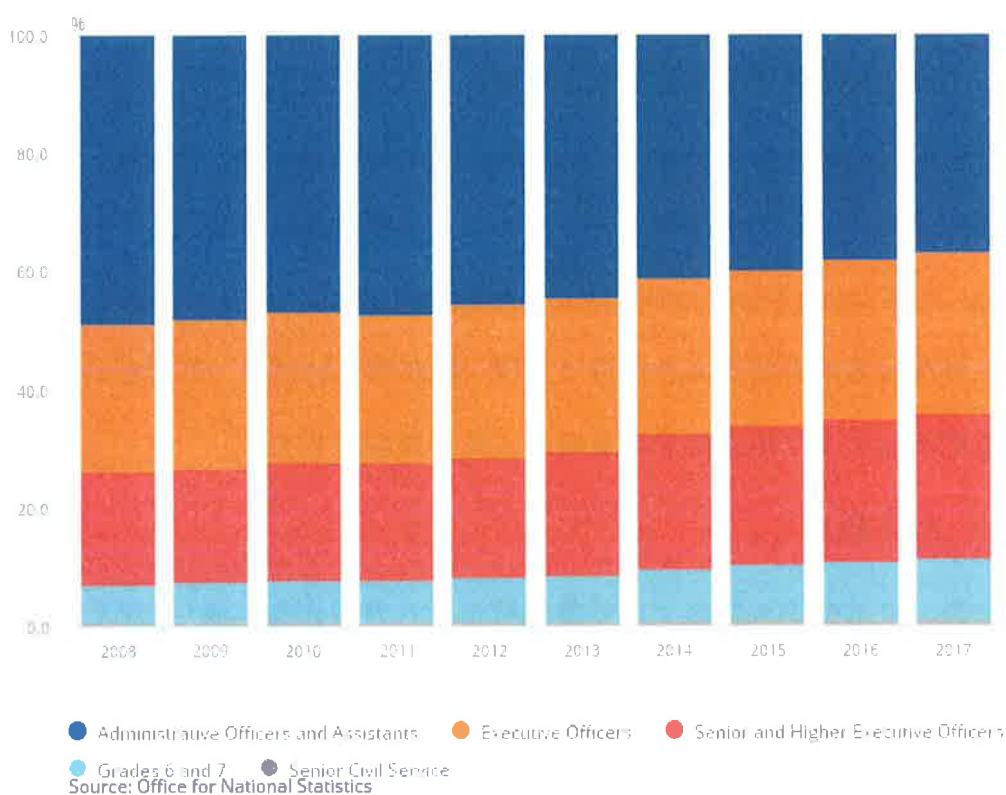


圖 8：英國公務人力結構（依職責程度）<sup>5</sup>

資料來源：2017 年公務人力統計（Civil Service Statistics, UK:2017）

也因此，當詢問前於 2010 年 5 月所宣布凍結新進人員之政策是否仍持續時，

<sup>5</sup>除了高階公務人員外，英國公務人員等階及待遇均已授權各部會自行決定，但為利統計之需要，係要求各部會將所屬公務人員依職責程度區分為行政職員及助理、專員、資深專員、第 6 職等及第 7 職等、高階公務人員。

該小組成員回覆以，為配合其調整公務人力結構之長遠規劃，相關部會如能提出需進用新進人員之充分理由並做好其人力規劃(如所需知能確為機關所需，現職人員無此專長或對機關人力結構調整確有幫助等等)，仍可能新進用人員。

至據行前所蒐集資料，英國政府係透過控制人事成本的方式，控制其用人數量。對每一個部會設定營運成本的上限，各部會用人成本如占其營運成本一半以上，則必須取得財政部的同意（彭錦鵬，2003：73）。經詢問公務人力策略小組副主任 Al-Shemmer 女士，獲知目前仍循此模式，人事費用仍能適度予以控制。

## 二、其他非正式人力運用情形

如同內閣辦公室公務人力策略小組簡報中針對非正式人力所下的標題「策略性人力規劃下的契約人力管理」(Managing Contractors in the Context of Strategic Workforce Planning) 及次標題「人力策略：人才管理與臨時性人力」(Workforce Strategy-Total Talent Management and Contingent Labour) 所示，英國政府係將非正式人力納入其政府整體人力運用之一環，採取彈性的模式，用適當的代價，讓具有所需技能的人才迅速地且容易地加入政府服務的行列。

### (一) 人員類別

公務人力策略小組簡報中將非屬機關僱用人力區分為二類，一類是臨時性人力 (contingent workforce)，基本上是短期僱用，支援處理偶發性、暫時性工作；另一類是專業服務 (professional service)，負責短、中、長期計畫，依據契約從事獨立工作，在一定時間內，提供公部門所缺乏之專業或技能，受最低限度之公部門監督或指揮。

### (二) 階段性發展

英國政府獲致非正式人力的方式逐步調整中，從分散式、由偏好廠商提供、趨向集中式由單一廠商透過標準化作業流程，管理機關需求、再進階到管理服務提供商 (Managed Service Provider)，及邁向全面人才管理 (Total Talent

Management)。

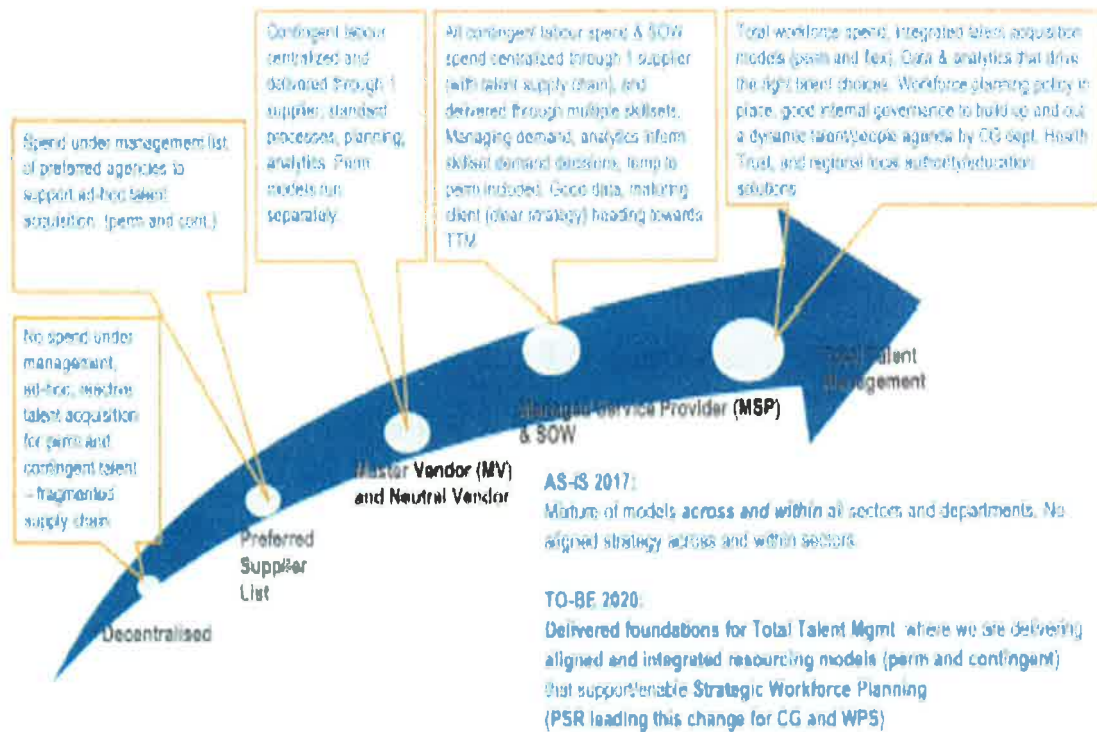


圖 9：臨時性人力管理策略發展路徑（節錄自附錄一）

### （三）臨時性人力進用模式之特點

據公務人力策略小組簡報說明，其所採用臨時性人力進用之商業模式，讓進用過程公開透明、節省成本、人力即時補充、可彈性因應需求、線上平臺可更容易處理支付過程、人員可以在部會間流動且能追蹤其績效，提供所有公部門臨時人力所需。

## 肆、執行性非部會公共組織(Executive NDPBs)之運行制度、發展成效

### 一、背景

二次世界大戰後，英國政府組織持續膨脹，卻面臨政府失靈和內閣部會超載等問題，為了減少國家規模和治理範圍，並借重非民選的專業管理人才和私部門管理技術，創設了大量的政府外圍組織體 (fringe bodies)，到了 1970 年代遭到社會輿論與國會的批評，認為其數量過多、浪費、資訊不夠透明、董事會任命私相授受以及課責制度不足等，於是 1979 年英國政府委託研究此類政府外圍組織，並於隔年提出非部會公共組織報告 (Report on Non-Departmental Public Bodies)，定名為非部會公共組織 (Non-Departmental Public Bodies, 簡稱 NDPBs)，並對其進行盤點、調查並加強管理 (劉坤億，2013：7-8)。

非部會公共組織 (NDPBs) 可分為四種類型，分別是執行性非部會公共組織 (Executive NDPBs)、諮詢性非部會公共組織 (Advisory NDPBs)、仲裁性非部會公共組織 (Tribunal NDPBs) 及獨立監督委員會 (Independent Monitoring Boards)。上述之執行性非部會公共組織即為通稱之英國行政法人。其特徵如下 (彭錦鵬，2014：11-12)：

- (一) 通常由部長提議設置，代表英國政府履行行政、商業、執行或管制功能；
- (二) 任務範圍涵蓋全國；
- (三) 組織屬性為法人組織，具有權利能力的法律人格，透過國會法律、皇室特許、皇室特權委託及依公司法登記設置；
- (四) 不是政府部會，也非政署 (executive agency)；
- (五) 不是英國皇室下轄單位，且不具有皇室地位；
- (六) 組成董事會之人選，是由部長、代表部長的官員和由英國女皇在部長建議下所指派；
- (七) 部長對於這些機構之績效和存續，負有最終說明的責任。

行政法人數量從 1979 年之 492 個、2006 年 198 個（劉坤億，2006：21），截至 2016 年 3 月 31 日止，已降至 112 個，占 399 個非部會公共組織的 28% (Public Bodies 2016：19)。

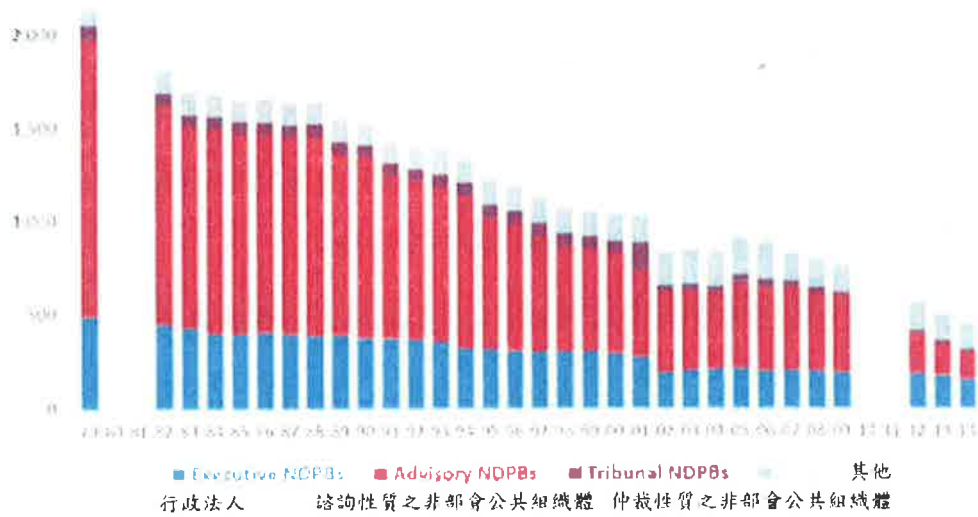


圖 10：1979 年以來 NDPBs 數量變化圖

資料來源：轉引自蔡承芳，2016：62

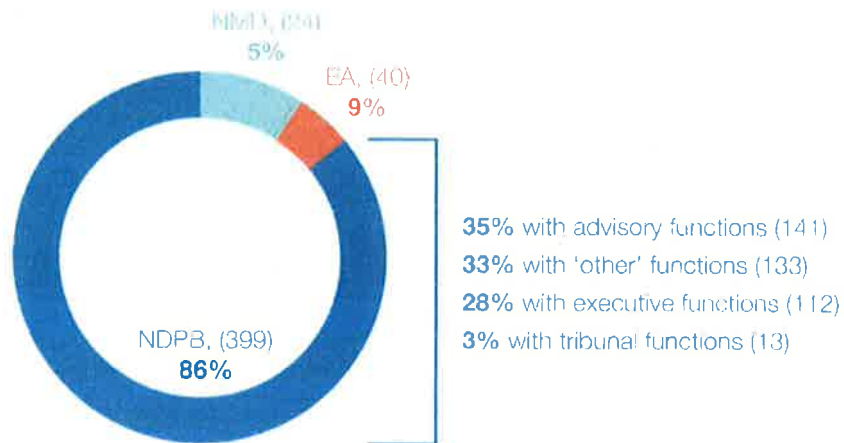


圖 11：公共組織體類型分布圖

資料來源：Public Bodies 2016

茲本次考察目的主要係針對英國行政法人，即執行性非部會公共組織之運行制度與成效進行瞭解，惟經公共組織體改革小組策略經理 Elliot Brinkworth 表示，因行政法人係屬其公共組織體之一類，適用其針對公共組織體所訂各種規章，爰



以下有關改革成效及績效評鑑制度係適用包括行政法人在內之所有公共組織體。

## 二、近期改革情形

2010 年英國政府鑑於對非部會公共組織 (NDPBs) 仍缺乏有方法、過程嚴謹的定期評估機制，宣示開始推動公共組織體改革，強化其資訊透明與課責，減少浪費、功能重複與非必要之活動，同時確保主管部會首長對這類組織提供之重要公共服務、決策與支出負責 (劉坤億，2013：8-9)。

據內閣辦公室所公布資料，2010 年至 2015 年間，公共組織體數量減少超過 290 個，廢止超過 190 個，並整併 165 個組織至 70 個以下，且 98% 原預期的廢止或整併都已完成；截至 2015 年 3 月，減少 3 兆英鎊開支 (原預期減少 2.6 兆)；2011 年完成公共組織體法 (Public Bodies Act 2011)，以幫助廢除、整併及改革。

2015 年至 2020 年的改革則會分二層次進行，第一部份，將透過功能性評估，將跨部會、性質相近的公共組織體合併檢討，評估是否能共享輔助單位或共同運作。第二部分則是針對沒有納入功能性評估或需要更進一步個別評估者進行量身訂製的評鑑，評鑑範圍擴大到政署及所有非內閣部會，所有公共組織體在每一任國會至少要進行 1 次評鑑<sup>6</sup>。

據內閣辦公室公務人力策略小組簡報中表示，因前 30 大公共組織體佔了所有公共組織體預算之 97%，其餘中、小型公共組織體佔了其他 3% 預算，因此其現階段工作聚焦於以下三方面：

- (一) 改善效能及促進效率：透過部會轉型計畫、功能性及量身訂製評鑑等方式協助前 30 大公共組織體運作，簡報者策略經理 Elliot Brinkworth 特別提及其預計在近期內發布針對文化類公共組織體之功能性評估結果，可為參考。

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<sup>6</sup>資料摘錄自英國政府網站 (GOV.UK) "Achievements of the 2010-15 Public Bodies Reform Program" <http://www.gov.uk/government/speeches/achievements-of-the-2010-15-public-bodies>，擷取日期：2017 年 8 月 11 日。拜會內閣辦公室當日，公共組織體改革小組策略經理 Elliot Brinkworth 拿出本份資料影本時，本訪團成員亦秀出同份資料，彼此會心一笑。



(二) 提升透明及課責：將督促部會依照內閣辦公室所頒訂「部會與公共組織體之夥伴關係：良好治理守則」(Partnership between Departments and ALBs: Code of Good Practice)之原則及標準落實執行。

(三) 有效管理及簡化：適度控制新公共組織體成立；透過分類改革，刪除無法歸類或多種身分之公共組織體；明確界定小型公共組織體。

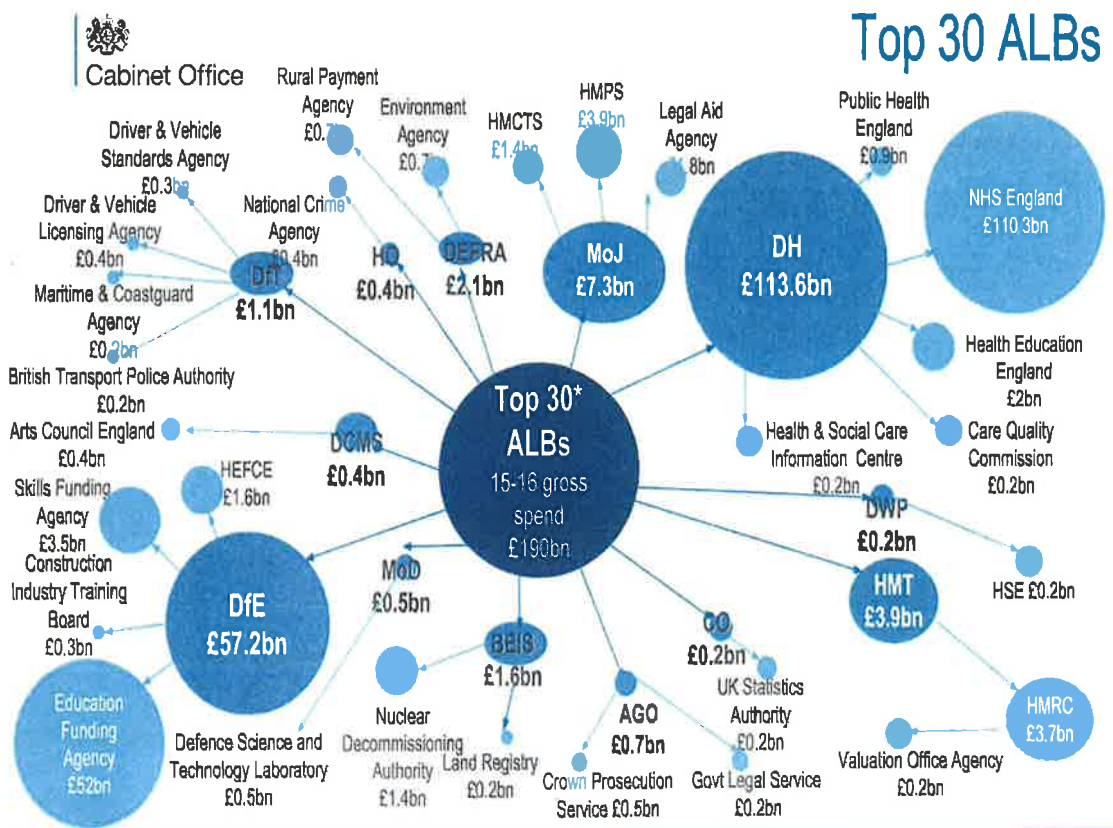


圖 12：前 30 大公共組織體示意圖（如附錄一）

### 三、績效評鑑制度

內閣辦公室繼發布「三年期評鑑：非部會公共組織體評鑑準則」(Triennial Reviews: Guidance on Reviews of Non-Departmental Public Bodies)，以規範非部會公共組織體之評鑑範圍、計畫目的和評鑑基本原則，並提供評鑑指導、協助部會進行評鑑(詳見蔡承芳，2016：62-66)，2016 年 1 月 4 日以後之績效評鑑，係以「量身訂製評鑑：公共組織體評鑑準則」(Tailored Reviews: Guidance on Reviews

of Public Bodies<sup>7</sup>) 取代上述的三年期評鑑。赴英參訪前，內閣辦公室公共組織體改革小組於駐英國代表處聯繫拜會行程時，即主動提出可先參考上述公共組織體評鑑準則，雖實際拜會時因時間有限，並未深入討論該準則，但其內容確可為我國評估行政法人運作成效之參考，爰摘要如下（如附錄三）：

### （一）評鑑目的

1. 針對組織功能及存在形態，確定其是否應繼續存續。
2. 如決定維持其組織型態，則接續評估以下項目：
  - （1）其服務是否具效率及效能：包括擷節開支的情形、對經濟成長的貢獻等。
  - （2）內控和治理安排是否妥當、組織及其補助者是否依循良好治理原則，並允許因公共組織體性質而異。

### （二）基本原則

#### 1. 適當性（Proportionality）：

評鑑不應過於官僚，並應符合組織的規模及性質。在當屆國會已做過評鑑的公共組織體，不需要再接受評鑑。

#### 2. 挑戰性（Challenge）：

評鑑應具有挑戰性，評估是否仍需要其功能、由非部會公共組織提供是否較有效率或對核心業務有貢獻。如果仍需要其提供服務，則評估現存模式是否為最適<sup>8</sup>，部會同時可以進行以下 3 項檢驗：

- （1）是否是須外部專家提供的技術性功能。
- （2）是否需保持政治中立。
- （3）是否需獨立運作，不受部會影響，以提供公正的事實。

<sup>7</sup> 資料來源

[http://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/633573/Tailored\\_Review\\_Guidance\\_on\\_public\\_bodies\\_V1.2\\_July\\_2017.pdf](http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/633573/Tailored_Review_Guidance_on_public_bodies_V1.2_July_2017.pdf)（擷取日期：106 年 8 月 11 日）

<sup>8</sup> 提供選擇之模式有：裁撤、移出中央政府、商業模式、由政府部門提供、整併至其他組織、非正式組織、由新的政署提供、繼續由 NDPB 提供（考量因素參見本報告附錄三之公共組織體評鑑準則附錄 A）

另應將該公共組織體委任或移轉功能的情形、受脫歐政策影響的程度、治理安排程度、效率及成本效益分析等納入評估。

### 3.策略性 (Being Strategic)

- (1) 評鑑範圍擴大到政署及所有非內閣部會，所有公共組織體在每一任國會至少進行 1 次評鑑。
- (2) 可以先前所做過的三年期評鑑計畫為基礎，內閣辦公室會協助與其他部會相似的公共組織體共同進行評估。
- (3) 部會應規劃於 2019 年 9 月前完成所有公共組織體的評鑑，以在本屆國會完成建議事項的執行。

### 4.即時性 (Pace):

評鑑應盡量減低對公共組織體日常運作的影響。正常情況下，應在 6 個月內完成，小規模組織應該在 1 個月內完成。部會必須配置足夠資源以在期限內完成評鑑，規劃評鑑時應徵詢受評鑑組織之意見。

### 5.包容性 (Inclusivity):

評鑑應該公開及全面。受評鑑組織應全程參與，並對可能的結論及建議表達意見。關鍵利害關係人亦應有機會表達意見，並在評鑑報告中呈現。可透過組成工作小組，確保相關利害關係人、主要團體的回應及報告草案及建議初稿都能被適當納入與檢視。

部會宜思考國會在評鑑過程的參與角色。也許是藉由書面的部會聲明宣布評鑑的開始及結論，也可配合預算年度提出評鑑聲明，並應先徵詢內閣辦公室有關書面聲明提出的內容及時機。所有的評鑑都應有適當的參與、讓服務使用者及納稅人明確感受到錢花得值得。

### 6.透明性 (Transparency):

最後的報告應提出具體建議，執行計畫應經公共組織體及補助者的同意。應妥善現有資源並將評鑑成本降至最低。報告並應在政府網站 (GOV.UK)

中公布，涉及機敏資料應為特別處理後公開。

### （三）評鑑方式及組織

評鑑依優先順序分為三級。第一級及第二級列為優先評鑑。優先評鑑之公共組織體評鑑計畫必須經內閣辦公室同意。擇選標準為：預算規模(超過5億英鎊)、組織大小(100個員工以上)、敏感度、商業模式的可能性、前次評鑑的時間及對政府的貢獻度。

第一級評鑑，將會由內閣辦公室的公共組織體改革小組檢視主要發現後，由內閣辦公室部長在出版前的最後報告簽署。第二級評鑑，會由公共組織體改革小組檢視主要發現並簽署。至於第三級評鑑，則由公共組織體改革小組抽樣檢查評鑑計畫。

部會所組之評鑑小組最好包括內閣辦公室的專家，例如企業模式小組的成員以協助評估是否能以其他企業模式提供服務。部會非執行董事(departmental non-executive directors)應該監督計畫確保補助的品質、服務提供的及時性等。如果公共組織體屬第一級評鑑，其主管部會或其他部會的非執行董事應擔任主導角色，如屬第二級評鑑，非執行董事應參與評鑑過程。至屬第三級評鑑，則由部會依組織體不同情形自行決定非執行董事的參與程度。

## 伍、英國公務人員訓練及參訪訓練機構情形

### 一、文官學習

英國整體文官訓練政策在財政困難與預算赤字的壓力下，透過公務人員數位學習改變訓練方式、制定共同培訓課程、提供規格化訓練內容、並進而藉由委外及競標方式讓民間機構可參與公務人員訓練之運作與執行，具體的做法就是提出文官學習 (Civil Service Learning, CSL)。文官學習具有訓練體系及運作機制兩項內涵，而其主要功能即主導英國文官訓練體系的民營化與學習方式的數位化。

#### (一) 文官訓練體系民營化

自 2011 年 4 月起「國家政府學院 (National School of Government, NSG)」重新回歸內閣辦公室並隸屬「效率改革小組」，同時建立「文官學習」。此時，國家政府學院與文官學習之間可謂為夥伴關係，國家政府學院的文官訓練功能並逐步移轉至文官學習，並於 2012 年功成身退，正式由文官學習接棒。

「文官學習」主要任務係將「共同核心課程」藉由統一採購、競標方式委由民間公司提供，以達減少政府訓練經費支出之目的。而自 2012 年迄今，文官學習之外包訓練課程係由卡皮塔商業服務公司 (Capita) 得標，二者之間為訓練課程的委託契約關係 (陳碧蓮，2016)。時至今日，文官學習實務上仍由內閣辦公室管轄，但已不具政府文官訓練主管機構之角色，而英國文官訓練體系的運作，已透過委外方式而由民間訓練機構執行，即邁向民營化發展。

#### (二) 文官學習機制數位化

英國文官訓練體系可分為跨部會的「共同核心課程」及單一部會的「專業課程」，除將過去實體課程大部份改為數位學習，併同前開共同核心課程透過網路登錄學習課程，所有訓練課程由文官學習負責統一採購工作，少部份訓練 (包括各部會部分專業課程) 如無法改成數位學習，則亦配合外包作業由民間訓練機構、各大學院校承接辦理。

總之，文官學習機制主要就是由中央統籌所有的文官基本學習和發展，採用數位學習的訓練模式為主，以工作場域取代傳統教室為基礎的學習方式，所有英國文官都透過「文官學習」的網站進行學習和註冊課程，啟動了全新的訓練體制，即整個文官學習機制的執行運作完全民營化（彭錦鵬，2012）。

儘管數位學習是擷節公務人員訓練支出的良方，但仍僅限於教授一些基础性、無爭議性、及政策性的訓練課程，對於發展性、經驗性、及對話性的專業課程則顯侷限，包括單一部會的專業性訓練及高階文官培訓課程。

## 二、訓練機構參訪情形

本次考察行程特別安排參訪承接公部門客製化訓練極具經驗民間機構，分別參訪民間管理學院—文官學院（Civil Service College），及拜會英國牛津大學在職教育部（Department for Continuing Education, Oxford University）公共行政及國際事務學程主任 Professor Angus Hawkins，並就該機構所提供的訓練課程聽取簡報並交換意見。

### （一）文官學院

文官學院於 2012 年成立，該學院定位為可依國內外公部門與公務人員需求，客製化訓練課程之民間訓練機構，該學院除承接了過去國家政府學院許多的培訓課程，並賡續增加課程數量，以確保現有培訓內容得以反映公務人員目前的訓練需求。

文官學院的總部位於威斯敏斯特，距離議會大廈、唐寧街、白廳以及維多利亞火車站僅兩分鐘路程；培訓場地座落於聖詹姆斯公園旁，亦位於倫敦市中心。文官學院的訓練課程可分為三種，分別為開放式課程（Open Programmes）<sup>9</sup>、組織內部培訓（In-House Training）<sup>10</sup>以及客製化課程（Bespoke Training），透過需求評

<sup>9</sup> 這類課程方案（10 人）隨時可以在該學院位於倫敦聖詹姆斯公園的訓練場地舉行，適合那些希望有機會與各種組織中的其他成員相互學習的人，因在假日施行，表示參訓者可專心學習，並將日常工作的影響減至最低限度。資料參閱英國文官學院網站：[www.civilservicecollege.org.uk/](http://www.civilservicecollege.org.uk/)（擷取日期：106 年 10 月 5 日）

<sup>10</sup> 這類培訓方式係根據組織的特殊需求進行規劃與設計，且如場地許可，該學院的訓練團隊亦可

估以確保所提供的培訓內容滿足顧客需求。而該學院亦自許與英國公部門的學習與發展部門緊密合作，以確保所提供之課程能充分反應各部會以及整個公部門及公務人員的發展變化。

文官學院提供跨學科的培訓課程，從課責、良善治理、領導力培訓、財務管理、計畫專案管理和個人發展等等課程，均可具體依培訓需求進行客製化設計。其師資以在英國政府部門、歐盟、及國際政治和行政機構工作，具有豐富經驗之前政府官員或具有公部門背景人員為主，渠等對英國公部門與公務人員的瞭解與經驗是該學院吸引英國各界以及海外政府和組織與其合作之重要因素。目前該學院國際合作的國家包括印度、中國、韓國、孟加拉、印尼和越南政府<sup>11</sup>等。

在與文官學院代表交換意見時，詢及其對現今英國文官學習機制之看法，Sr. Christopher Ng 表示，對一些基礎課程或訓練，數位學習有其功能性與便利性，但無法涵蓋發展性、經驗性、及對話性的專業課程。這些課程包括單一部會的專業性訓練、經貿談判課程、高階文官培訓課程等等，這些都仍須透過實體訓練來完成，而這也是文官學院存在的必要性，亦是近來重點發展之所在。

另考察成員亦對文官學院現行培訓場地僅得以滿足 10 人以下小班制提出實務訓練執行疑義，據與會代表 Sr. Christopher Ng 回應，如有必要，會與倫敦和英國市政中心附近的訓練場館合作，以滿足委託者之具體需求；但該學院近來之辦班，已傾向就訓練內容的專業性尋得相對應的公部門，並直接規劃運用該部門的訓練場地與資源，在課程期間採多點移地方式予以施訓，以達實地觀察與就近體驗之訓練成效。

此種觀念，與過去配合教室及住宿為主，並視訓練內容搭配參訪行程的定點訓練不同，這或許是民營化訓練機構成本效益下的權宜考量，亦可視為文官學院與英國公部門有其良善的合作關係下的積極權變，然無論如何，在受訓者的角度

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依組織需求移地至該組織內施訓。這通常可以使組織中忙碌的工作人員更容易參加，並減少旅行和住宿費用支出。資料參閱英國文官學院網站：[www.civilservicecollege.org.uk/](http://www.civilservicecollege.org.uk/)（擷取日期：106年10月5日）

<sup>11</sup> 資料參閱英國文官學院網站：[www.civilservicecollege.org.uk/](http://www.civilservicecollege.org.uk/)（擷取日期：106年10月5日）

如能更直接、更積極的深入所需探究專業主題的部門學習，實屬不可多得的機會。

## （二）牛津大學在職教育部

牛津大學位於英國近郊牛津市，由 38 所獨立書院及 4 所學術學院組成，該校並沒有自己的主校區，其各個大樓和設施分散於市中心的各個角落裡。英國牛津大學在職教育部公共行政與國際事務學程，係應英國各界或海外國家之需求，提供短期、密集、互動式客製化訓練課程。這些訓練課程，由在職教育部整合牛津大學學者和各個專業領域的翹楚所提供，尤其在領導、公共政策及專業發展等相關領域，課程內容著重於領導和創新。

牛津大學為世界響富盛名的頂尖學術機構，在牛津大學舉辦的訓練課程，可體驗牛津大學學術氛圍；亦可獲得牛津在教學和研究方面的相關資源；可參與相關專業性會議；並與頂尖產官學者互動與交流。另在課程期間提供全膳宿舍（住宿、早餐、午餐和晚餐）。是以，在此的訓練課程提供了牛津大學校園歷史感、尖端技術優勢、和舒適的膳宿安排<sup>12</sup>。

意見交換過程中除詢及其與其他政府機關及機構合作之情形外，特別瞭解其如何評估訓練成效，據 Professor Angus Hawkins 表示，在過去合作的經驗中，會與委訓單位先行溝通討論，個別設計出針對該訓練課程適合的成效評估模式。訓練期間可透過教學互動、課程測驗、問卷表單、觀察紀錄等作為，以瞭解並評估其訓練成效，並在訓練結束後，向委訓單位提交整體書面報告。至考察成員進一步詢問，是否有更深入的擴及學員返回職場之成效評估時，Professor Angus Hawkins 回應，只要委訓單位有需求，該訓練機構有能力也有經驗，將訓練成效評估設計深入到各學員返回工作職場之訓後評估，但這需與委訓單位作詳細且深入的細節討論。

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<sup>12</sup> 參閱牛津大學在職教育部網站，[www.conted.ox.ac.uk/](http://www.conted.ox.ac.uk/)（擷取日期：106 年 10 月 5 日）



## 陸、心得與建議

### 一、公務人力管理

這是一個對公共服務非常具有挑戰性的時代，公務人員有複雜的政策問題要解決，但人民期待愈來愈高、資源愈來愈少（OECD，2016：9），在各國普遍面對預算及人員縮減下，英國政府文官精簡之規模，著實令人驚艷，雖在過往人事總處赴英相關考察報告中，均會提及公務人員之減少可能係因機關改制，轉換至其他公共組織，並非人數真正減少（城忠志，1999；王崇斌、林延增，2014），但其透過「減事」-建立跨部會內部行政作業電子化及資訊化，確實也達到「減人」-減少行政人力需求。107 年度行政院辦理員額評鑑業宣示以「業務、經費、人力」為主軸，朝機關內部工作分析方式進行業務盤點，或可達到減事以減人的效果。

在非正式人力之運用上，在各國擲節政策下，也許最先受到影響，但據 OECD 調查結果顯示，各國公部門反而想要以較彈性的契約人力取代公務人員，前三大主要原因為需要完成特定的工作、取代暫時不在的公務人員、補償暫時性組織增加的需求（OECD，2016：48）。在英國政府係將其納入整體人力運用之一環，思考的是如何讓進用過程公開透明、節省成本，補充政府人力所不足部分，尤其在英國面臨脫歐挑戰，亟需各方面專業人才進入政府服務之此刻。

### 二、人事費控管模式

台灣時間 106 年 9 月 13 日各大報的頭版刊登了我國軍公教員工 107 年度調薪 3% 的消息。無獨有偶，英國時間同日包括泰晤士報（The Times）、金融時報（Financial Times）及衛報（The Guardian）等頭版亦刊載梅伊政府解除 7 年來的公部門調薪上限 1%，同意警察調薪 2%、獄政人員調薪 1.7%，獄政人員溯及從今年 4 月開始<sup>13</sup>，警察人員則在接下來的 12 個月實施，加薪 1%，另 1% 以一次

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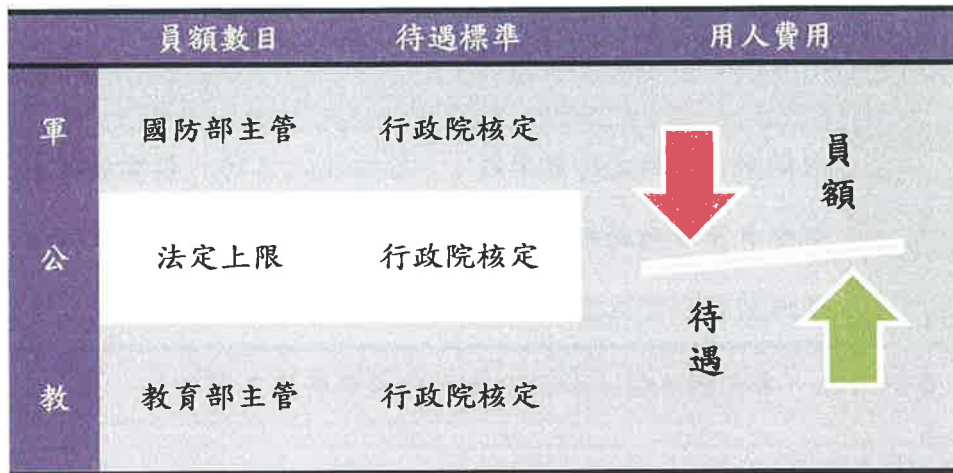
<sup>13</sup> 英國會計年度為年度 4 月起至次年 3 月底。

性獎金給與。至於其他公務人員能否比照辦理，則需等到 11 月 22 日以後才會明朗（參見附錄五）。

相較於我國發布調薪訊息後，各縣市政府要求補助之聲浪不斷，英國宣布解除部分人員調薪上限之同時，即聲明調薪所需增加經費均需由現有預算支應。在英國機關用人數（或人員組合）及人員待遇標準均授權由部會自行決定，與我國依中央政府機關總員額法及員額管理辦法規定，訂有總員額上限，並管控各部會用人數，復依公務人員俸給法規定，所有俸給項目及數額均須經核定之情形有所不同。也因此，如果英國所有公部門均放寬調薪上限 1%而調薪 2%，以預算不變的狀況下，據預算責任辦公室（Office of Budget Responsibility）估算，將需要裁減約 5 萬名員工。

茲用人費用係由員額數(headcount)及人員給與(compensation)相乘而來，其中待遇(Pay)又佔了大宗，在財政緊縮下，如何適度控制用人費用之成長為各國政府治理之一大課題。英國已將員額、人員職等、待遇授權由各部會自行訂定，但各部會用人成本如占其營運成本一半以上，則必須取得財政部的同意。自 2010 年起採取更為緊縮之措施，凍結新進人員並設定調薪 1%上限，目前雖已有鬆動，但其將用人費方程式中的員額數及待遇標準二大變數回歸部會，讓部會以最適切之人事成本組合，來提供公共服務之作法，可謂財主單位、部會及人事主管機關間之三贏。我國目前各機關公務人員員額管控及待遇訂定均有法定機制，但軍職人員及教育人員員額係由國防部及教育部主管，或可擷取英國模式，評估以人事費總額控管方式，試行軍教待遇授權鬆綁之可行性，以增加募兵制及教育政策設計攬才時之配套彈性。





### 三、行政法人設立及評鑑機制

#### (一) 我國與英國行政法人制度比較

我國行政法人制度設計雖師法英國，但成立目的、時間、規模都有一定之差距，試比較如下表：

|        | 英國                                  | 我國                                                                        |
|--------|-------------------------------------|---------------------------------------------------------------------------|
| 成立目的   | 強化課責並將預算效益極大化，矯正準政府組織缺乏監督、浪費政府預算之問題 | 讓不適合或無需由行政機關推動之公共任務，由行政法人處理，使政策執行方式更具彈性，適當縮減政府規模、引進企業精神，不受現行政府機關人事、會計制度束縛 |
| 成立時間   | 近 40 年                              | 除中正文化中心（現已納入國家表演藝術中心）13 年、餘約 3 年                                          |
| 規模     | 112 個                               | 4 個                                                                       |
| 管理決策機構 | 一般設有董事會，控制之權限由內閣部會授權給董事會，但部會首長對其具有間 | 一般設有董事會，控制之權限由行政院各部會授權給董事會，但部會首長對其具有間接控制權                                 |

|      |                                  |                                     |
|------|----------------------------------|-------------------------------------|
|      | 接控制權                             |                                     |
| 職員身分 | 大多為非公務員身分                        | 公務員可繼續任用，兼採公務員與非公務員之人事雙軌制度          |
| 績效評鑑 | 內閣辦公室設定評鑑準則、部會負責評鑑過程之規劃並經內閣辦公室同意 | 行政法人自評、監督機關邀集有關機關代表、學者專家及社會公正人士完成複評 |

資料來源：參考劉坤億（2006）及自行彙整所蒐集資料

## （二）他山之石

### 1. 數量控制

英國非部會公共組織在 1970 年代快速增加至近 2000 個，執行性非部會公共組織(即英國行政法人)將近 500 個，因為數目過多、管理機制不健全，受到輿論及國會之諸多批判。因此。在後續改革中，數量之減少一直都列為主要的努力目標之一。我國因立法院通過行政法人法時作成附帶決議（行政法人公布施行 3 年內，改制行政法人數以不超過 5 個為原則），對於新設或改制行政法人個數有所限制，不致如英國施行初期發生數目過多又無法管理之情形。

### 2. 透明公開

據公共組織體改革小組策略經理 Elliot Brinkworth 所提供之官方出版品「2016 年公共組織體介紹」(Public Bodies 2016)，除簡介公共組織體現況及策略目標外，於後針對每一公共組織體詳細列出包括所屬類型、主管部會名稱、地址、電話、網站、執行長姓名、性別、薪水、僱用員工數、政府補助經費、年度經費支出、董事會成員是否為有給職、性別比例等相關資訊，可供外界查詢，其公開透明作法可值借鏡（如以下文化、媒體及運動部所轄之行政法人國家肖像館）。

Department for Culture, Media and Sport

|                                 |                                                                                                                                                                                                                                                         |                                           |                           |                       |                             |
|---------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|---------------------------|-----------------------|-----------------------------|
| Dept                            | Department for Culture, Media and Sport                                                                                                                                                                                                                 |                                           |                           |                       |                             |
| Name                            | <b>National Portrait Gallery</b>                                                                                                                                                                                                                        |                                           |                           |                       |                             |
| Type                            | NDPB                                                                                                                                                                                                                                                    |                                           |                           |                       |                             |
| No. Bodies                      | 1                                                                                                                                                                                                                                                       |                                           | Regulatory Function       | No                    |                             |
| Address                         | 2 St. Martin's Place, London, WC2H 0HE                                                                                                                                                                                                                  |                                           |                           |                       |                             |
| Phone                           | 020 7306 0055                                                                                                                                                                                                                                           | Email                                     | archiveenquiry@npg.org.uk |                       |                             |
| Website                         | http://www.npg.org.uk/                                                                                                                                                                                                                                  |                                           |                           |                       |                             |
| Description/ Terms of Reference | To promote, through the medium of portraits, the appreciation and understanding of the men and women who have made and are making British history and culture; and to promote the appreciation and understanding of portraiture in all media.           |                                           |                           |                       |                             |
| Notes                           | Established 1856 The Chief Executive/Secretary remuneration included in this return relates to Sandy Naime CBE who retired as the Gallery's Director in February 2015. His successor, Dr Nicholas Cullinan, took up the post of Director in April 2015. |                                           |                           |                       |                             |
| †SRO                            | Victoria MacCallum (Head of Museums, ALBs, Honours and Appointments)                                                                                                                                                                                    |                                           |                           |                       |                             |
| Statistics                      |                                                                                                                                                                                                                                                         |                                           |                           |                       |                             |
| Chair                           | Sir William Proby                                                                                                                                                                                                                                       | Chair's Remuneration                      | £0                        | Staff Employed (FTE)  | 290                         |
| *AO (Chief Exec/Secretary)      | Dr Nicholas Cullinan                                                                                                                                                                                                                                    | *AO's (Chief Exec/Secretary) Remuneration | £95,000 - £100,000        | Public Minutes        | Yes                         |
| Ombudsman                       | PHSO                                                                                                                                                                                                                                                    | Public Meetings                           | No                        | Register of Interests | Yes                         |
| Government Funding (£000)       | £6,634                                                                                                                                                                                                                                                  | *Gross RDEL or Gross Expenditure (£000)   | £21,733                   | Audit Arrangements    | NAO                         |
| Last Review                     |                                                                                                                                                                                                                                                         | Last Annual Report                        | 2015-16                   | OCPA Regulated        | Yes                         |
| Appointments                    |                                                                                                                                                                                                                                                         |                                           |                           |                       |                             |
|                                 | Ministerial or Non-Ministerial                                                                                                                                                                                                                          | Paid or Unpaid                            | Male                      | Female                | Gender Unknown / Undeclared |
| Chair                           | Ministerial                                                                                                                                                                                                                                             | Unpaid                                    | 1                         |                       |                             |
| Members                         | 16 ministerial                                                                                                                                                                                                                                          | Unpaid                                    | 9                         | 6                     | 0                           |

### 3. 評鑑機制

我國行政法人之績效評鑑規定於行政法人法第三章「營運（業務）及監督」內，依第 16 條及第 17 條規定，係由監督機關邀集有關機關代表、學者專家及社會公正人士，就行政法人年度執行成果、營運（業務）績效及目標達成率、年度自籌款比例達成率及經費核撥等事項進行評鑑。英國係由內閣辦公室訂定評鑑準則作為各部會評鑑公共組織體之依據。其內容及作法可供我國參考之部分如下：

- (1) 退場機制：英國因公共組織體發展歷時較久遠，能否以最適之組織型態提供公共服務，為其評鑑關注之首要目的，如已無存續必要或應轉換由其他組織模式提供服務，即無後續評估其經營績效或服務優劣與否之必要。
- (2) 國會知悉或參與：國會代表人民監督政府，又過往公共組織體存在令人詬病之浪費問題，爰評鑑準則特別點出評鑑過程應有國會適度之參與，在諮詢過內閣辦公室意見後，可配合預算年度提出書面報告或主動告知評鑑啟動或評鑑結論。

(3) 分級分類評鑑：近期開始依據預算及組織規模等標準訂定各式公共組織體分級評鑑，愈重要者，內閣辦公室介入之程度也愈深；也評估跨部會性質相近之公共組織體共同運作之可能性。以上評鑑機制之進階作法，讓內閣辦公室得以有限之人力及經費有效率地從不同視角協助部會進行評鑑並適度監督。

#### 四、公務人員訓練

在財政困難與預算赤字的壓力下，削減公務人員訓練成本常為各國政府首要選項之一，而最立竿見影且具體的做法就是訓練方式的數位化與訓練機構的民營化。以下就英國公務人員訓練體系數位化與民營化所帶來的影響與衝擊，提出心得與建議：

(一) 一昧的縮減培訓經費可能對個人、組織以及中央訓練政策制定部門三方產生負面影響：培訓是資產，應以人力資源的投資角度出發，而非以節省成本的概念視之。誠如 Metsma 所提，培訓具有提升公務人員技能、維持組織高績效、及建立團隊共同價值等多重角色 (OECD, 2016: 37)。但是訓練成效非屬立竿見影，這造成部份國家縮減培訓經費以因應政府預算赤字；相對而言，弱化訓練所造成的負面影響亦非立即可見，因次，一昧的採取縮減培訓開支措施，長期必然對公務人員、機關組織以及中央訓練政策制定部門三方產生負面影響。

(二) 公部門數位學習的成效在於公務人員自主學習意識的建立：現今公務人員訓練大量運用數位學習，具有不受時空限制等多重優點，多有共識不容贅述，但論及學習成效時，即差異甚大。究其原因則屬國人自主學習意識未見成熟，公務人員學習時數政策的推動，尚須強加最低時數予以規範，致使數位學習時而淪為補足學習時數之最佳利器。日後，當公務人員學習不再受時數規範束縛時，而數位學習仍蓬勃，屆時公部門數位學習成效自然不言而喻。

- (三) 個別議題之專題研究，應進一步直接與該專題契合之公部門合作施訓：團體辦班如遇個別專題研究，如能就訓練內容的專業性，尋得相對應的公部門，並直接規劃運用該部門的場地與資源，採移地方式予以施訓（而非僅是參訪行程），將更達實地觀察與就近體驗之訓練成效。當然，此舉對行政作業與預算經費勢必形成挑戰與壓力，但在受訓者的角度，如能更直接、更積極的深入所需探究專業主題的部門學習，實屬不可多得的機會。
- (四) 英國牛津大學（在職教育部公共行政及國際事務學程）可為目前國內尋求合作辦班之參考對象：牛津大學為全球頂尖大學，擁有豐富的研究成果與教學經驗，以及與國外培訓機構合作辦理國家公務人員培訓之豐富經驗等優勢、另該校軟硬體設備資源豐富，可為目前國內為培育中高階公務人員之國際視野而積極尋求合作辦班對象之參考。

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附錄一

英國內閣辦公室公務人力策略小組及公共組織體改革小組簡報



Cabinet Office

# Workforce Strategy

Kathryn Al-Shemmeri - Deputy Director for Civil Service Workforce  
Strategy

12th September 2017



Cabinet Office

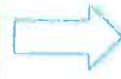
# The Civil Service Workforce Plan



## The Civil Service Workforce Plan



Permeability



Career Paths



Developing world-class leaders



Most inclusive employer in the UK



Cost effective and flexible reward structures



# The Five Strands

Attract and  
retain

Easier to move in and out the Civil Service, bringing skills to tackle the hardest national problems, acquiring experience and new expertise.

Career  
Pathways

Create a common understanding of the skills and experiences needed at each level across our core functions and the opportunity to gain these in a structured way.

World class  
leaders

To embrace technological and social changes we want the best talent, and we want to promote and reward the best. Inspirational leadership that develops talent and motivates people is vital.

Diversity and  
inclusion

Our drive on social mobility aims to give every talented individual across our workforce opportunity to progress and ensure our policies and services reflect the diverse communities we serve.

Reward

We've developed a flexible reward framework to ensure we continue to obtain value for money across our functions and professions.



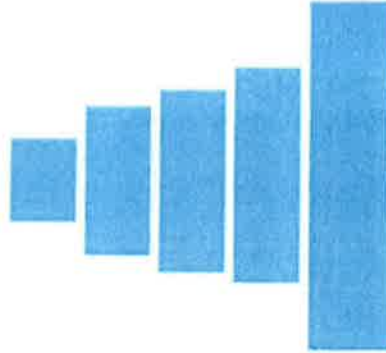


# Current efficiency programmes

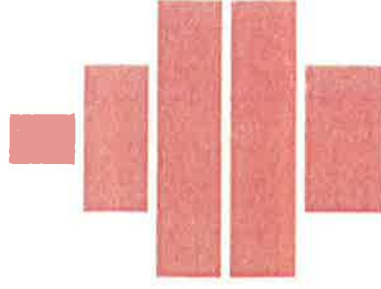
**Civil Service Workforce Strategy**  
Central enablers/programmes which facilitate delivery of key priorities

**Strategic Workforce Planning**  
Understand the workforce shape, now and in the future to deliver against changing requirements

**Departmental Workforce Strategies**  
Informed by HR's strategic priorities and departmental/business needs to drive change at a departmental level



**Current State**



**Future State**



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# Managing Contractors in the Context of Strategic Workforce Planning



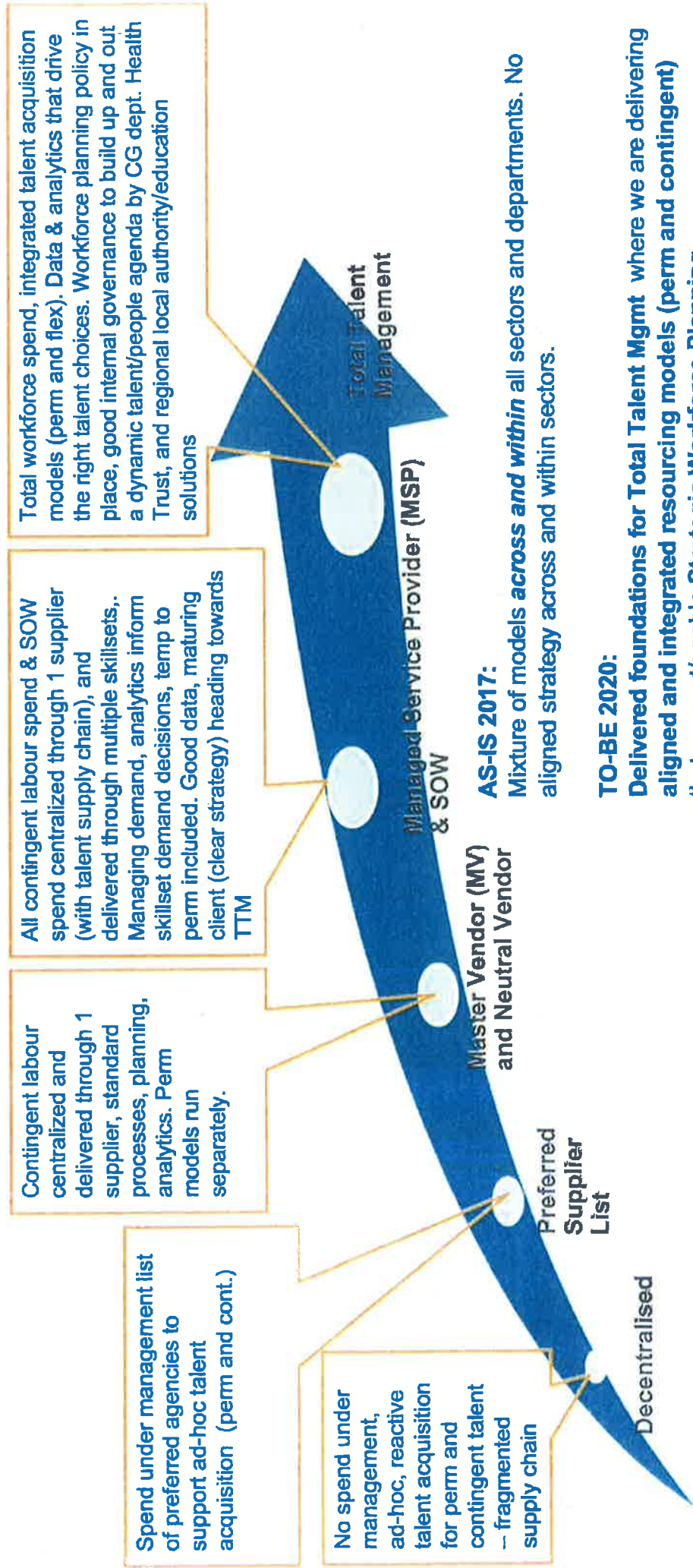
# Overview of Management of Contract Workers

- **Payroll Employee** - Those on a fixed-term or permanent contract paid directly from the organisations payroll
- **Non-Payroll Resource**
  - **Contingent Workforce** - Non-permanent workers within the organisational structure and are ideally used on a short term basis. They can be engaged on an ad-hoc or temporary basis, or provide project based support to fulfill requirements within established posts
  - **Professional Service** - External resources, and non-permanent workers, that would not be recorded in the organisational structure, used on short, medium and long term projects/ programmes.
    - **Statement of Work Roles** - Deliver work as a supplier, the workers doing separate pieces of work under contracts, they are paid separately rather than working for a specific employer
    - **Consultancy Workers** - provide specialist, niche skills not available within the Civil Service, will be time-limited, will most likely be of a 'call-off' nature, be largely location independent and have no, or minimal, Civil Service supervision or direction.





# Workforce Strategy - Total Talent Management and Contingent Labour



Spend under management list of preferred agencies to support ad-hoc talent acquisition (perm and cont.)

No spend under management, ad-hoc, reactive talent acquisition for perm and contingent talent -- fragmented supply chain

Contingent labour centralized and delivered through 1 supplier, standard processes, planning, analytics. Perm models run separately.

All contingent labour spend & SOW centralized through 1 supplier (with talent supply chain), and delivered through multiple skillsets. Managing demand, analytics inform skillset demand decisions, temp to perm included. Good data, maturing client (clear strategy) heading towards TTM

Total workforce spend, integrated talent acquisition models (perm and flex). Data & analytics that drive the right talent choices. Workforce planning policy in place, good internal governance to build up and out a dynamic talent/people agenda by CG dept. Health Trust, and regional local authority/education solutions

Master Vendor (MV) and Neutral Vendor

Managed Service Provider (MSP) & SOW

Total Talent Management

**AS-IS 2017:**  
Mixture of models **across and within** all sectors and departments. No aligned strategy across and within sectors.

**TO-BE 2020:**  
**Delivered foundations for Total Talent Mgmt** where we are delivering aligned and integrated resourcing models (perm and contingent) that support/enable Strategic Workforce Planning (PSR leading this change for CG and WPS)

Decentralised



# Management of Talent

A **Big and Bold** commercial solution that enables us to understand **contingent worker footprint** and creates significant **value** – through improving the **user journey**, creating **additional savings** and encouraging **SME usage** to over 60%. This will be done through enabling a **flexible model** that ensures the right talent, with the right skills, at the right price, are engaged quickly and easily.

**Range of Routes to talent** including Direct access to **SMEs** & end worker, talent pooling & direct hire

**Value for money** outcomes / best value & savings to Government

**Full transparency** of opportunities, pricing & processes – for our customers, the market and candidates

**Compliance** in terms of security, tax, payroll & legislation  
With **timely, streamlined onboarding**

Online platform making it **easy to transact** with streamlined P2P processes

**An eco-system** - allowing workers to move between departments and tracks performance

**Flexibility** to change to meet market / customer demands. Ability to incorporate **social values** requirements

A **solution** that could work for **all public sector contingent labour** requirements



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# Transforming the Arms Length Bodies (ALB) Landscape

Elliot Brinkworth - Strategic Assurance Lead, Public Bodies Reform



# The ALB Landscape

**331**

Arm's length bodies  
of which:

- 40 are executive agencies;
- 267 are non-departmental public bodies;
- 24 are non ministerial Departments.

**£195.3 billion**

Gross resource spend

**£190 billion** of  
gross spend is by the  
top 30 organisations.

**266,120**

Staff employed  
(Full Time  
Equivalent) by  
public bodies.





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Rural Payment Agency

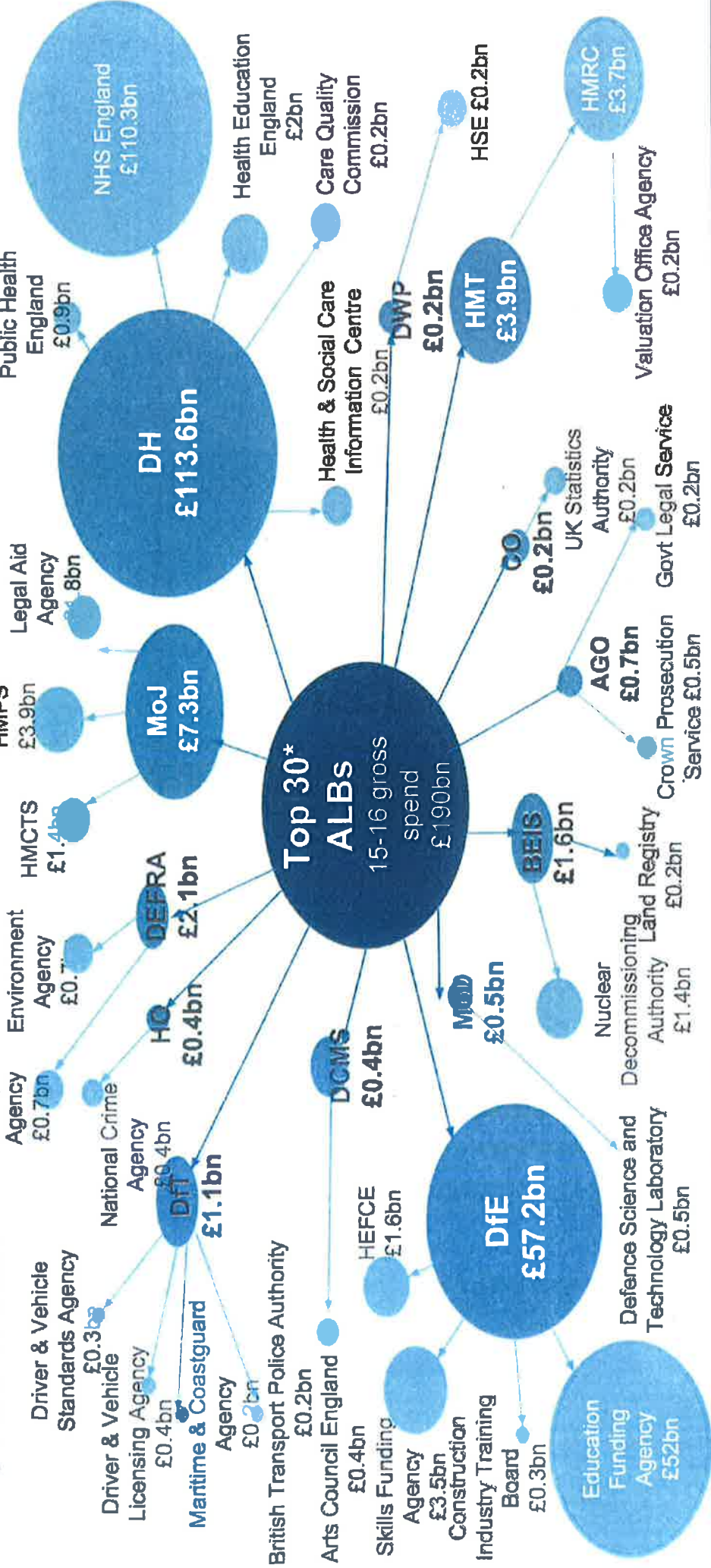
Environment Agency

HMPS

Legal Aid Agency

Public Health England

# Top 30 ALBs



Source: Public Bodies Dec 2016 (post MOG changes)  
The 2017 Public Bodies publication is planned for October



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# 97% of ALB expenditure sits with just 30 ALBs

## Spending of Public Bodies

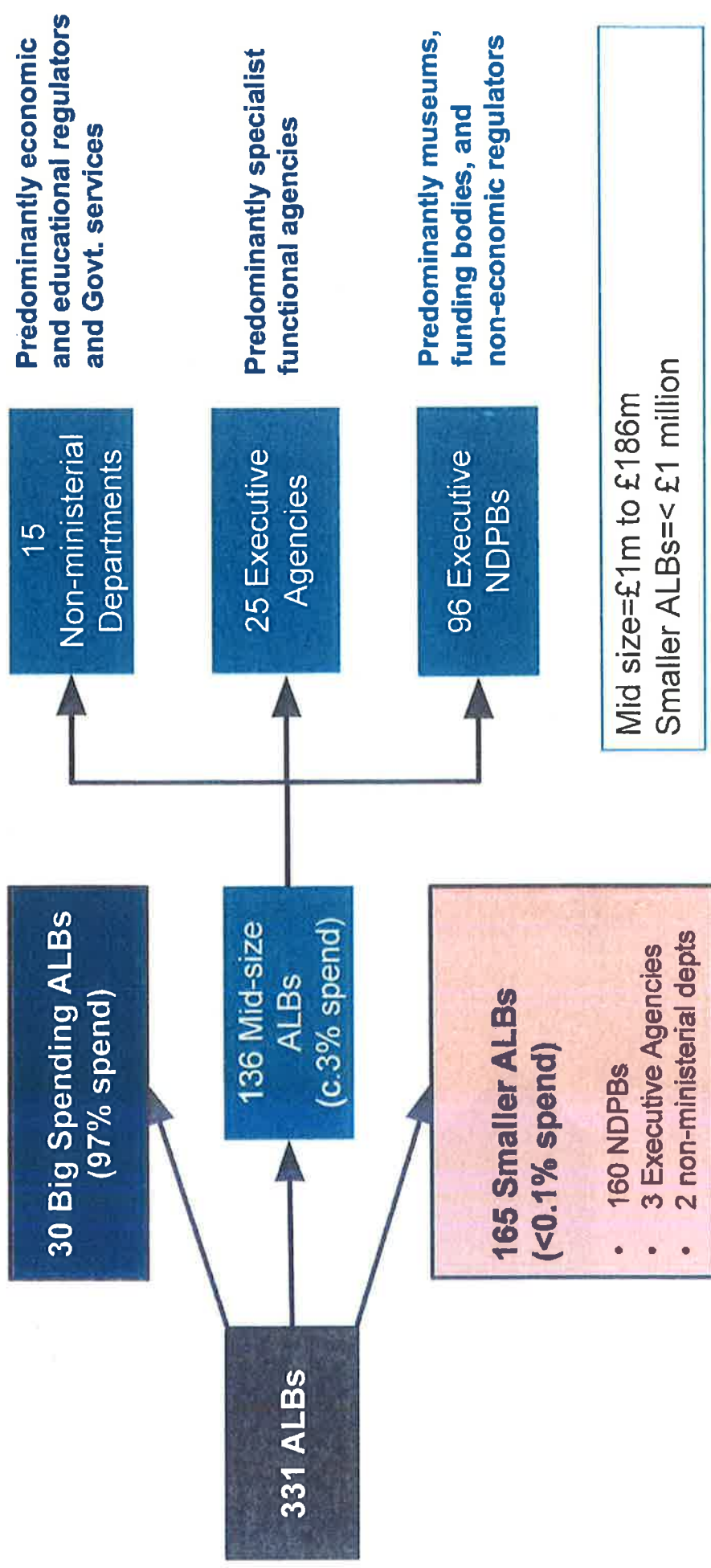


Source: Public Bodies 2016

\* The biggest two ALBs account for 83% of this: NHS England (£110bn) and EFA (£52bn).



# Dissecting the Arm's Length Bodies





# Our current focus

## 1. Improve effectiveness and drive efficiency

- Target the 30 large spenders through:
  - Departmental transformation programmes
  - Tailored\* and Functional\*\* reviews
  - Extend the Functional lens to these ALBs

## 2. Promote transparency & accountability

- Drive departments implementation of the principles and standards of the *Partnership between Departments and ALBs: Code of Good Practice*, the Cabinet Office tool to transform relationships.
- Leverage departmental Non-Executive Directors through their role on Departmental Boards and on priority Tailored Reviews

## 3. Manage and simplify

- **Control proliferation of new bodies**
- **Eliminate non & multi classified bodies through classification reform**
- **Clarify and contain the small bodies landscape**

\* Tailored Review: A specific review covering a single body.

\*\* Functional Review: looks across departments and examines holistically the functions of several public bodies in similar or related areas of government.





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Thank you and any questions...

## 附錄二

### 英國公務人力發展計畫（2016-2020）



Civil Service

Civil Service

# Workforce Plan

2016 - 2020



Realising our vision of *A Brilliant Civil Service*

Improved outcomes from effective leaders and skilled people, in a great place to work

# Foreword

The Civil Service has a mission to support, secure and improve the nation it serves. Each and every civil and public servant plays an important role in fulfilling this mission and so improving the lives of their fellow citizens.



Our Civil Service is rightly admired as one of the best in the world. Over the generations it has helped successive governments to overcome unique and complex challenges. While the shape and nature of the state has changed, the Civil Service has maintained a core set of responsibilities, and the expertise to fulfil them: supporting the Prime Minister and Cabinet; delivering the Government's programme; developing and implementing its policies; ensuring that the money paid by citizens in taxes is spent effectively; and delivering services for the public at home and abroad. In carrying out this mission, there is no other organisation quite like the Civil Service in the extraordinary range of opportunities that it offers its people.

Despite the huge changes that have taken place since its modern foundation 160 years ago, the principles that underpin the Civil Service – open and meritocratic recruitment and core values of objectivity, honesty, integrity and impartiality – have endured. Today, these remain priceless assets. Not because they are ends in themselves but because honest and economical administration, a strong public service ethos, and impartial advice given without fear or favour, deliver better government; a safer, more prosperous society; and more secure and fulfilling lives for all our citizens.

Our task today, just as in previous eras, is to continue to build on these foundations. To deliver for the public, we need to maintain a confident, professional, expert Civil Service that speaks truth unto power, where talent and hard work are fairly rewarded, and where execution is first rate.



While our core purpose remains, the result of the EU referendum has set a new direction for our country outside of the European Union. In response, we have set up the Europe Unit, helping the Government to determine our future relationship with Europe and the rest of the world. Understanding the skills and capability this requires is a priority. In particular, we need to ensure that we have the right people, with international negotiation skills, to deliver the best outcome for Britain.

So today, we move forward against a backdrop of unprecedented change. But whatever the new challenges the business of government must continue. As in the last Parliament we need to save money and become more efficient, whilst maintaining high quality public services. And we need to harness the power of the revolution in digital technology that is sweeping the world, giving ever more demanding citizens more choice, information and power than ever before.

To do this, we need to attract the most capable and public-spirited people Britain has to offer, and build a culture and ways of working that are as good, if not better, than anything on offer anywhere else.

This Workforce Plan sets out what we need to do to make that happen and provides the mechanisms to react flexibly to national priorities.

The Civil Service has already shown that it can adapt to change. Since 2010, civil servants have helped transform the way government operates, improving the quality and efficiency of services at a time of challenging public finances.

The Civil Service Reform Plan, published in 2012, helped the Civil Service to progress against some key priorities: creating a more modern employment offer; increasing openness and accountability; and building capability and skills in specialist areas previously under-valued.

This Parliament, we must up the pace again. We want the Civil Service to be a great place to work – and seen as such – with more porous organisational borders, where people from a broad range of backgrounds, professions and experiences can build a successful career and achieve their potential. We must continue to strengthen professional capabilities, develop world-class leaders and ensure we attract, retain, reward and develop the best talent from right across our society. Organisations work better when they are diverse, inclusive and open and where challenge and innovation are prized and recognised.

When people work hard and succeed, they should be appropriately rewarded. Where people fail to deliver, the Civil Service must be able and willing to address this quickly. And we need to ensure people are encouraged to develop deep expertise, not move too frequently from job to job. High quality leadership is a must to ensure the Civil Service operates as even greater than the sum of its parts.

All this requires harnessing the best that modern, cutting-edge technology has to offer, in an open, inclusive culture that embraces continuous improvement and innovation in the business of running a government.

As in the wider economy, unprecedented new technology is both a challenge and an opportunity. Technology is changing many of the tasks we need civil servants to do and at the same time freeing up our staff so they can focus on what they do best – solving the biggest challenges facing the the UK and serving their fellow citizens with dedication and distinction.



Progress is already well under way. In HM Revenue and Customs, for example, we have already seen the automation of mail processes, allowing resources to be switched to vital work tackling tax evasion and avoidance. Before the end of the Parliament every company will have a digital tax account, providing big savings in administrative costs. And in the Department for Work and Pensions, the digitalisation of Universal Credit will transform how welfare services are delivered to the public.

But change is never easy, and new technologies inevitably change the shape of the workforce we need. They also put an even greater emphasis on training, and we have a duty to ensure civil servants have the new skills they need to harness the power of technological change and deliver in this new world.

There are five areas that will have the greatest impact on readying the Civil Service's workforce to respond to the challenges the UK will face immediately, and in the years to come.

- The Civil Service must do all it can to attract and retain people of talent and experience from a range of sectors and all walks of life.
- The Civil Service must build career paths that encourage a breadth of experience and depth of expertise.
- The Civil Service must develop world-class leaders, who are inspiring, confident and empowering
- The Civil Service must be the most inclusive employer in the UK
- The Civil Service must develop cost-effective and flexible reward structures that enable us to attract, retain and develop the very best talent.

This Workforce Plan sets out how we intend to deliver on these priorities, building on the far-reaching programme of reform already underway. It is rightly ambitious for the Civil Service, and for the vital role it plays. Yet it is also practical and deliverable. Indeed it must be delivered for the Civil Service to meet commitments made to the public we serve, and ensure we are able to successfully tackle the challenges of the future.

A handwritten signature in blue ink that reads "Matt Hancock" followed by a stylized number "92".

**Rt Hon Matt Hancock MP &  
Sir Jeremy Heywood**

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# Civil Service Workforce Plan: Summary

The Civil Service Board has established three broad priorities for the current Parliament:

- Improving the **commercial** capability of the Civil Service;
- Ensuring that the Civil Service is world leading in terms of **digital** transformation;
- Improving the **diversity** and inclusiveness of the Civil Service.

All underpinned by stronger leadership at all levels.

To support the delivery of these strategic priorities this new Civil Service Workforce Plan sets out five areas where further attention is needed. A set of actions and interventions for each build upon what is already under way across the Civil Service, and make fresh commitments on how we will shape our workforce.





1 The Civil Service will do all it can to attract and retain people of talent and experience from a range of sectors and all walks of life

We will do this by **opening up recruitment across the Civil Service**, advertising roles externally by default by the end of this Parliament. This will give every talented individual the opportunity to apply and compete for roles in the Civil Service and ensure we have the most skilled and capable people delivering national priorities.

2 The Civil Service will need to build career paths that develop breadth of experience and depth of expertise

We will do this through **building career paths at all levels** by creating professional development frameworks for key Civil Service professions. This will build on the success of the Project Delivery and Policy professions that have co-designed externally accredited qualifications in partnership with academic organisations. These frameworks will help to map out key skills and experiences required at each level, and how we provide structured opportunities to develop these.

3 The Civil Service will develop world-class leaders, who are inspiring, confident and empowering

We will do this by **underpinning our Leadership Statement, for example with the establishment of a flagship Leadership Academy** to develop world-class leaders. The academy will work with leading educational institutions and thought leaders to promote an ethos of excellence, where leaders learn from each other. This will help develop leaders who are confident, inspiring and able to create a culture where staff are empowered, listened to and valued.

4 The Civil Service will become the most inclusive employer in the UK

We will do this through a **fundamental review of the employee experience** that integrates social mobility and inclusion principles into every aspect of the way the Civil Service works. As part of this we are undertaking a critical review of the way the Civil Service defines and identifies talent. This aims to ensure every talented individual in our workforce has the opportunity to progress. We must recognise and reward 'potential', and 'achievement' not 'polish' to deliver a culture that champions and values difference.

5 The Civil Service will develop cost effective and flexible reward structures that enable us to attract, retain and develop the very best talent

We will **review the Senior Civil Service pay framework** in line with Senior Salary Review body recommendations and develop a **flexible reward framework for scarce skills**, starting through the creation of the new Government Commercial Organisation. This will help the Civil Service to attract and retain the skills it needs to operate effectively now and in the future.

# “World Of Work Is Changing”: Case For Change

The types of work that people do, and how they do them is changing. It is important that the Civil Service proactively adapts to the changing world of work and shape of the labour market.

Digital technologies are revolutionising how businesses work and increasing the public's expectations of the speed and convenience of the services they use. It also provides opportunities to work in new ways and we are already starting to see new types of work emerging in the wider labour market, with increased self-employment and platform working. Alongside this, models of career progression are changing with employees more likely to work for a number of different employers over the course of their career.

All of these changes will have an impact on the Civil Service and we will need to ensure we are well placed to exploit the opportunities this presents. Emerging technology will provide opportunities to transform how we deliver services making them more targeted and effective for the public we serve. This is also likely to change how we work and the skills required from the workforce in future.

Alongside this, we need also to ensure that we have the skills and capabilities required to deal with the implications of Britain's decision to leave the European Union.

We are confident that this plan will create the mechanisms to transform the way we operate, enabling the Civil Service to respond to the challenges of today and in the future.

The Civil Service has already made great progress. Since 2010 we have transformed delivery models, implemented a programme of reform, centralised services such as procurement to increase efficiency, and improved government transparency.

Over the last Parliament the Civil Service achieved savings for the taxpayer of £18.6bn by 2014/15 whilst increasing value for money and providing better quality services to the public. Additionally, the Civil Service has reduced by 20% since 2010, representing a significant increase in efficiency and productivity, which has helped to save taxpayers £2.8bn in 2014/15.

Against this on-going backdrop of financial restraint, higher public expectations and emerging priorities following the EU referendum, we must continue building upon these strong foundations to increase efficiency, improve service delivery, and respond to changes in the wider economy.

We are confident that delivering this workforce plan will ensure that the Civil Service continues to respond proactively to the changing world, maximising opportunities to exploit the benefits this presents.

## Attracting and retaining people of talent and experience from a range of sectors and all walks of life

The Civil Service should be a place where the UK's most talented people want to work at some point in their careers and make a contribution to their country. To facilitate this we should make it easier for people to be able to move in and out of the Civil Service, bringing their skills into government to tackle the hardest national problems, and acquiring experience and new expertise that they can take into new roles either in the Civil Service or the wider economy.

### The case for change

In future the Civil Service will need to be smaller, more agile and have different operating models to deliver services. The world of work is changing too as technology reshapes roles and enables smarter more flexible working.

Models of career progression are also changing, and along with them the concept of a 'job for life'. People are more likely to expect to change employer during the course of their working life, and they want choice about their careers.

To ensure that our people have the right skills to deliver our national priorities we need to create more opportunities for movement. This will allow civil servants to gain a more diverse and broad range of experiences from working across a number of different departments, agencies and in the wider public and private sector. It will also ensure we are able to respond to emerging priorities and can swiftly move people into, and across, the Civil Service to deliver key priorities.

Our people must also be able to work confidently with other sectors, and international organisations, as we share delivery of outcomes with external partners. Developing partnerships with other sectors will help develop these skills, and also increase secondment opportunities in and out the Civil Service, creating more opportunities for civil servants to spend part of their career in the private and other sectors. The Civil Service can offer unique experiences to those in other sectors and bring valuable public sector skills (e.g. policy development and implementation) to the private sector.

Increasing the mix of people from different sectors of the economy, and walks of life, will ensure that we have best practices from all sectors and improve the quality of services delivered to the public. We are confident that

we can continue to develop excellent people in the civil service who are able to compete with the best from other sectors.



### Where we are now

- Despite lower overall numbers, Civil Service recruitment is at a post 2010 high and Fast Stream appointments were at a record level in 2015, over double the number of appointments in 2010. The number of new entrants to the SCS is at historically high levels.
- The Civil Service Fast Stream is bringing in the brightest and the best with the Civil Service recently recognised in the top 5 of 'The Times Top Graduate Employers' in the UK.
- We have opened up Senior Civil Servant recruitment advertising roles externally by default, since January 2016, to ensure we attract and recruit the most talented and skilled people. Over the last year 23% of new entrants to the Senior Civil Service vacancies were external.

## But, we have more to do

- Overall, our recruitment from outside the Civil Service remains below pre-2010 levels.
- We are often not considered as a viable career option for those working outside the Civil Service.
- Our current exit practices can be too slow, inefficient and risk averse.
- The Baxendale Report found that the Civil Service had more to do to provide effective induction, develop an alumni network to maintain links with leavers and a richer recruitment selection process.
- The Grimstone Review in 2015 found the Civil Service, particularly at senior levels, requires more effective mechanisms to move the best people into the right jobs, and recruitment processes that are flexible enough to adapt approach for the most senior and complex roles.
- Cultural and administrative barriers can make it challenging to move across the Civil Service and reduce the level of internal movement of civil servants between departments.

## What we will need in future

- A Civil Service that is proactive in changing its employee offer to reflect modern career trends supporting both short and long term careers.
- We will deliver at least 30,000 Civil Service apprenticeship starts in England over the course of the Parliament enabling us to recruit high potential individuals from diverse backgrounds. They will also provide high quality development opportunities for existing civil servants.
- Movement in and out of the Civil Service with ease; both through our recruitment processes and secondment and interchange opportunities.
- Increasing opportunities for the movement of Civil Servants, and their skills and knowledge, across Civil Service departments. This will ensure the most effective use of people and skills to deliver Government priorities.
- Open recruitment channels that ensure we are recruiting the very best people into roles, whether they are already in the Civil Service or apply from outside.
- Partnerships that proactively operate with private sector organisations and the wider public sector to create opportunities for movement in and out of the Civil Service, ensuring valuable public and private sector skills are accessible across all sectors.

In the next year we will...

| Action:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Delivering:                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | When:                                          |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|
| <p>Building upon the recommendations in the first Grimstone review of the Civil Service Commission, we will strengthen our recruiting function to ensure the Civil Service identifies and attracts the very best talent into our most senior roles by:</p> <ul style="list-style-type: none"> <li>• Developing a centre of expertise within Cabinet Office, centralising the senior recruitment function.</li> <li>• Modernising recruitment processes by removing paper based processes and introducing more robust, science based recruitment short-listing, and selection processes</li> <li>• Aligning our corporate talent offer, including Fast Stream and Fast Track, in order to strengthen our talent pipeline for senior roles.</li> <li>• Building stronger relationships with executive search firms to provide access to the best pool of candidates whilst ensuring value for money for the taxpayer.</li> <li>• Build the brand of the Civil Service to increase attraction and develop communication methods that enable effective continuous marketing opportunities.</li> </ul> | <p>Recruitment processes that identify and attract people from a range of backgrounds, professions and experiences to strengthen the pipeline of talent into our more senior roles, and ensure we have the skills and capability to deliver national priorities.</p> <p>Maintaining and strengthening public confidence in the system and quality of appointments, with a strong framework in place based upon a combination of self-regulation, and robust external scrutiny.</p> | <p><b>December 2016</b></p>                    |
| <p>More support for joiners and maintain links with alumni:</p> <ul style="list-style-type: none"> <li>• Providing a tailored service to support the induction of our most senior civil servants (Directors General and above). And for all other staff, improving the corporate induction experience through the use of an online portal, accessible before they join the Civil Service.</li> <li>• Build and maintain links with Civil Service alumni through the Alumni Network.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <p>Support to improve the experience for new joiners to the Civil Service when they begin their career so they maximise their impact more quickly and increase retention of talented people.</p> <p>Mechanisms to retain strong links with Civil Service alumni and to encourage them to act as ambassadors building partnerships with other sectors.</p>                                                                                                                          | <p><b>Network embedded by October 2016</b></p> |



| Action:                                                                                                                                                                                                                                                                                                                                 | Delivering:                                                                                                                                                                                                                                                                                                                                  | When:                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
| <p>Implement the updated secondment and interchange strategy to facilitate better mobility between the Civil Service and other sectors building reciprocal secondment relationships with, and through, delivery partners such as Whitehall and Industry Group and leading external organisations in the private and public sectors.</p> | <p>The development of a culture of mobility where skills and expertise are exchanged between sectors, and secondments or loans are built into career paths.</p> <p>The mechanisms to move people, with key skills and expertise, across the Civil Service to respond flexibly to changing priorities and deliver Government commitments.</p> | <p><b>March 2017</b></p>     |
| <p>Streamline the exits process and make changes to the Civil Service Compensation Scheme</p>                                                                                                                                                                                                                                           | <p>Efficient, cost-effective exit processes where this is appropriate, which ensure people leaving the organisation are treated with dignity, respect and fairness whilst ensuring value for money for the taxpayer.</p>                                                                                                                     | <p><b>September 2016</b></p> |

#### And over the course of Parliament we will...

| Action:                                                                                                    | Delivering:                                                                                                                                                                                                                                 | When:                  |
|------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| <p>Open up recruitment across the Civil Service by advertising roles externally by default.</p>            | <p>Opportunities for the most talented individuals to be able to apply and compete for roles in the Civil Service, ensuring we have the most skilled and capable people right across the organisation to deliver Government priorities.</p> | <p><b>May 2020</b></p> |
| <p>Deliver at least 30,000 apprenticeship starts in England over the course of the Parliament.</p>         | <p>A more skilled and diverse workforce as apprenticeships will enable our existing workforce to re-train and develop new skills, and recruit and welcome new people with diverse backgrounds and experiences.</p>                          | <p><b>May 2020</b></p> |
| <p>Piloting alternative approaches to competency based recruitment and promotion in the Civil Service.</p> | <p>Civil Service recruitment processes that are open, transparent and accessible which ensure we identify, attract and recruit people with a range of backgrounds, professions and experiences.</p>                                         | <p><b>May 2020</b></p> |

## Build career paths that develop breadth of experience and depth of expertise

We need our talented people to build breadth of experience and depth of expertise. To do this we have to build career paths for our core professions that create a common understanding of the skills and experience needed at each level and the opportunity to gain these in a structured way. As part of this, we need to ensure that functional, and other, experts can have a career path to the most senior levels of the Civil Service. This will support the recruitment, development and retention of our most talented people and expose them to the right opportunities to build a successful career.

### The case for change

Technological and social change will reshape public expectations and influence the way services are delivered and the skills required from our people. To meet these challenges civil servants should develop a breadth of experience and deep expertise in their chosen profession, be it policy, operational delivery, commercial or elsewhere. Transforming services will also increase the requirement for specialist skills such as digital.

We will require clear career paths if we are to attract and retain our talented people. Career paths should clearly set out the experience, skills and qualifications required, enabling people to deliver in their complex and challenging roles. Without this people may move frequently and in an unstructured way, as they are unclear of the experiences and expertise required.

Career paths should establish, for each profession, a common understanding of the skills and experience required at every level, and give people the opportunity to gain these in a structured way. This will provide the mechanism for people to develop expertise in their chosen profession from solid 'career anchors' and ultimately become skilled leaders of multi-disciplinary teams. Clear professional development frameworks, and external accreditation of internal courses where appropriate, will help to gain recognition of Civil Service professional skills across all sectors and attract and retain talented individuals.

Career paths, supported by a significant commitment to learning and development, will ensure our people are equipped and trained with the right expertise to deliver services to the public.

### Where we are now

- We have 26 professions across the Civil Service ranging from operational delivery, policy, tax, finance and commercial. These currently offer a broad range of qualifications for their communities ranging from entry-level qualifications, such as NVQs and those recognised by professional bodies, such as the Chartered Institute of Purchasing and Supply.
- Heads of Professions are developing professional standards, qualification requirements, and assessing the capability of those within their profession. Operational delivery and policy, for example, now have a specific learning curriculum linked to the profession.
- Where appropriate, we are also developing our own bespoke professional qualifications. Two externally accredited courses delivered in partnership with awarding bodies include: the Major Projects Leadership Academy in partnership with Saïd Business School and the Executive Masters in Public Policy in partnership with the London School of Economics.
- We have Heads of Functions for the ten key functions with accountability for developing standards, professional capability and career pathways for specialists across the Civil Service.
- We have specialist Fast Stream Programmes for Commercial, Digital, Data and Technology, Finance, Project Delivery and HR which have created new entry routes into professions with structured development opportunities.

## The Functional Model

The functional model of Government provides strong central leadership of cross-departmental corporate functions. This will help to professionalise the Civil Service leading to improved decision-making, cross-departmental working and increased efficiency. The functional model will help reduce operating costs and create more attractive careers and enhanced skills civil servants. Ultimately, it will help deliver better public services

The functions represent ten priority areas of common, cross-departmental activity where central leadership will improve services and benefit Government.

The ten core functions are:

- Commercial
- Communications
- Corporate Finance
- Digital, Data and Technology
- Finance
- HR
- Internal Audit
- Legal
- Project Delivery
- Property

### But, we have more to do

- We have not always rewarded or valued staying in post for tenures that help people to develop deep professional expertise.
- All core professions require career paths, which set out experiences, skills and qualifications required at each level, and structured opportunities to develop these, so that we can retain and develop our people. These career paths should help to build deep levels of expertise across the organisation.
- For specialists, such as those in Commercial and Digital, Data and Technology, clear career paths would make it easier to attract external experience into the Civil Service.
- Without career paths our people are not always able to make informed decisions about how they can develop their career across the Civil Service, and to know when they have appropriate levels of depth of expertise to move role or seek promotion.
- Cultural change is required so that all civil servants recognise, value and continually develop their professional skills, and leaders encourage structured movement to develop both depth and breadth of expertise.
- decisions about how they develop their career across the Civil Service.
- A structured programme of development and learning opportunities linked to these career paths, which our people use to build capability and professional expertise, whilst recognising that certain roles require sufficient time in post to build a depth of experience. This will become increasingly important as emerging technology reshapes roles.
- To value different types of experience in addition to our key traditional policy and operational delivery capabilities. This includes ensuring functional specialists get the opportunity to progress to the top of the Civil Service by being part of talent programmes.
- Professional development frameworks for core professions and externally accredited frameworks with partners, including for apprenticeships, where appropriate.

### What we will need in future

- Clear career paths for core professions with structured opportunities for career progression, with competencies and experience used to assess readiness. This will help people to make better informed

In addition to this, to help facilitate movement across departments and provide a modern career offer, the Government Hubs Programme will set up multi-departmental hubs in locations across the UK by 2023. Smart working will be at the heart of these new offices, with improved technology untethering us from our desks and creating truly shared spaces where departments can work effectively together. This will make it easier for people to grow their careers locally across the Civil Service, gaining exposure to different experiences, and building their depth of expertise.



## In the next year we will...

| Action:                                                                                                                                                                                                                                                                                         | Delivering:                                                                                                                                                                                                                                 | When:                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| Expand our 'Surge and Response' Team made up of apprentices that provides a new entry route in the operational delivery profession and opportunities to work across government in departments with peaks of work.                                                                               | New entry routes into the operational delivery profession and expanded pool of mobile, skilled and flexible resource. This will help us become a more resilient organisation whilst developing the skills and capability of civil servants. | <b>December 2016</b>  |
| Lead the way by co-chairing the development of national apprenticeship standards for professions, initially focussing on where the Civil Service needs to increase capability, such as leadership and management, digital commercial, policy, operational delivery and international diplomacy. | New entry routes and career development pathways for professions where the Civil Service needs to increase capability.                                                                                                                      | <b>September 2016</b> |

## And over the course of Parliament we will...

| Action:                                                                                                                                                                                                                                                                        | Delivering:                                                                                                                                                                                                                                              | When:            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| The heads of the ten core functions are developing Single Functional Plans setting out how they will develop clear career paths, professional standards and frameworks, and enhanced professional capability across the Civil Service.                                         | Clear career paths for professionals in the functions so they can make informed decisions about how they develop their career across the Civil Service, and know when they have appropriate levels of depth of expertise to move role or seek promotion. | <b>Late 2016</b> |
| Developing how we recruit and promote, moving away from the competency framework, to a more meaningful and business focused framework of assessment.<br><br>We will be piloting alternative approaches to the competency based recruitment and promotion in the Civil Service. | Recruitment and promotion processes that value experience and expertise alongside potential to ensure we attract, recruit and progress the most talented people at the right stage of their career.                                                      | <b>May 2020</b>  |



## Developing world-class leaders who are inspiring, confident and empowering

To embrace technological and social changes we want the best talent, and we will promote and reward the best. Inspirational leadership that develops talent and motivates people is vital. This is not just the task of senior civil servants or those in formal people leadership roles; we all have a part to play in ensuring the Civil Service has world-class leaders at every level.

### The case for change

The Civil Service is a complex organisation that faces unique challenges with far reaching consequences for its shape and composition. The services that we deliver are some of the most complex and challenging in the UK, touching every citizen in some way. The Civil Service is also transforming these public services, delivering major programmes that will fundamentally change our operations. We will also be delivering the complex emerging priorities linked to the EU Referendum outcome. As a result of these changes, end-to-end implementation of Government policy will become more complex and leaders will require different sets of skills.

Technology is also likely to reshape roles and we will need effective leaders who can support people through these changes and equip them with the right skills. In response, we must do things differently: becoming smaller, more agile whilst transforming our services, and improving the capability of our staff. To deliver all of this we need world-class leaders who are inspiring, confident and empowering, not just for their people but also for the public that we serve.

### Where we are now

- The Civil Service has developed great policy and operational delivery experts with a broad range of skills and experiences.
- We have launched the Leadership Statement, which sets out key behaviours required from our leaders and what our people can expect from the leadership community. This is being embedded throughout the organisation, reflected in recruitment and selection processes and performance management.
- We have reviewed the learning and development curriculum to ensure it effectively develops the right leadership capability we need across the organisation.
- We are working with employers across all sectors along with professional bodies, to develop leadership and management apprenticeship standards that will provide a high quality route to increase the capability of our leaders throughout the organisation.

## Civil Service Leadership Statement

As Civil Service leaders, we take responsibility for the effective delivery of the Government’s programme and Ministers’ priorities, living the Civil Service’s values and serving the public.

### Inspiring

#### about our work and its future

- We will show our pride in and passion for public service, communicating purpose and direction with clarity and enthusiasm
- We will value and model professional excellence and expertise
- We will reward innovation and initiative, ensuring we learn from what has not worked as well as what has

### Confident

#### in our engagement

- We will be straightforward, truthful and candid in our communications, surfacing tensions and resolving ambiguities
- We will give clear, honest feedback, supporting our teams to succeed
- We will be team players, and will not tolerate uncollaborative behaviour which protects silos and departmentalism

### Empowering

#### our teams to deliver

- We will give our teams the space and authority to deliver their clearly set objectives
- We will be visible, approachable, and welcome challenge, however uncomfortable
- We will champion both difference and external experience, recognising the value they bring
- We will invest in the capabilities of our people, to be effective now and in the future

## But, we have more to do

- As technology reshapes how we deliver services our leaders will require new skills, and will have to confidently support their people to develop these too.
- Our leaders are not always confident in knowing what is required to lead in this new environment, including collaborative working across multi-disciplinary teams.

## What we will need in future

- Civil Service leaders who can enable those at all levels to work effectively within the Civil Service and proactively develop capability. Leadership support should enable people to adjust to the Civil Service environment, demystifying the organisation and making it easier for people to thrive when they join from other sectors.
- Civil Service leaders who are supported to become confident, inspiring and empowering who deliver our high quality services while transforming the organisation.
- Civil Service leaders who have a breadth of experience and depth of expertise with professional career anchors, enabling them to lead with authenticity and confidence.
- Civil Service leaders who influence within wider systems facilitating the delivery of shared outcomes with other public and private sector organisations and international partners.
- We will need a whole workforce capable of exploiting opportunities that technological changes will bring and equip leaders to recognise and respond accordingly.
- Inclusive leaders who value diversity and seek to make the Civil Service representative of the people we serve.

## In the next year we will...

| Action:                                                                                                                                                           | Delivering:                                                                                                                                                                                                                                                         | When:                                                                                                                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| Increase capability of leaders at all levels of the organisation through launch of the flagship Leadership Academy and leadership and management apprenticeships. | Leaders who are confident, inspiring and able to effectively manage the unique challenges the Civil Service faces, helping to develop world class leaders at all levels of the organisation and create a culture where staff are empowered, listened to and valued. | <b>Leadership apprenticeship Standards – September 2016</b><br><br><b>Leadership Academy – First stage by March 2017</b> |
| Review of the learning and development offer for Civil Servants and ongoing promotion of the new curriculum.                                                      | Access to a high quality learning and development offer that will support the development of more skilled, capable, and confident leaders throughout all levels of the organisation.                                                                                | <b>December 2016</b>                                                                                                     |
| Extend the use of the Leadership 360 degree tool beyond Senior Civil Servants to a wider range of senior leaders including Grades 6 and 7.                        | Leaders who are self aware and able to improve and develop their leadership skills so that they are inspiring, confident and empowering.                                                                                                                            | <b>October 2016</b>                                                                                                      |

**And over the course of Parliament we will...**

| Action:                                                                                                                                                                             | Delivering:                                                                                                                                                                                           | When:                              |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
| <p>Embed the leadership statement, using it to set clear standards for world class leadership, building it into recruitment and selection processes and performance management.</p> | <p>Leaders throughout the Civil Service who understand what world class leadership looks like and using these expectations to assess and evaluate our leaders.</p>                                    | <p><b>Embedded by May 2020</b></p> |
| <p>Expand the reach and quality of corporate talent schemes.</p>                                                                                                                    | <p>A diverse pool of world class leaders for senior roles in the Civil Service by attracting the most talented Civil Servants from a range of backgrounds and experiences onto talent programmes.</p> | <p><b>Embedded by May 2020</b></p> |

## Most inclusive employer in the UK

The Civil Service should be a role model for other UK employers. We must not only attract the best talent wherever it is found, but also make the best use of this diversity – whether of socio-economic background, gender, race, sexual orientation, disability, or experience – by celebrating and valuing differences and challenge. Our drive on social mobility aims both to give every talented individual in our workforce the opportunity to progress, and to ensure our policies and services reflect the diverse communities we serve.

### The case for change

Tackling inequality is a strategic aim and this isn't just an ethical imperative – evidence shows that organisations with a diverse range of people with different backgrounds and experience work more effectively. The Civil Service needs to be fully representative of modern Britain. We have an opportunity to provide exemplary leadership on social mobility, not only as an employer, but also to lead the way for other organisations.

Making sure the Civil Service is full of people from different backgrounds with different experiences and attitudes, tackling problems in different ways will get us better decisions, new approaches and more innovative solutions and better customer service. We need everyone to feel they can be themselves at work, so they can thrive personally and perform at their best. We are missing out on an enormous pool of talented individuals who could, given the opportunity, not only flourish personally in the civil service, but also broaden the range of ideas we can offer.

If we are going to succeed on improving the diversity of our workforce, we need to continue to broaden our outreach in schools to raise aspirations, educate about the role of the Civil Service and showcase the career opportunities that are available. We want to measure how successful our interventions are and collecting information on background measures will help us to assess this. There is currently no common measure used by employers to understand the socio-economic backgrounds of their workforce and applicant pools. Therefore, we are undertaking an exercise, with employers and organisations, to develop a common measure. These would be collected on an entirely voluntary basis, used anonymously and would not form the basis of any individual recruitment decision. Appointments into the Civil Service are made on merit and this will continue to be the case.

### Where we are now

- We are already the most diverse we have ever been. Women occupy two in five senior posts in the Civil Service and that proportion is growing. Our Fast Stream cohorts are very close to being broadly representative of the wider population in most diversity characteristics.
- We have exceeded our initial target of 1,000 places on the Positive Action Pathway, a development programme for civil servants from underrepresented groups, and promotion rates from the first two cohorts are encouraging.
- The most senior leaders in the Civil Service are supporting our aim to become the UK's most inclusive employer. We have five Permanent Secretary Diversity champions leading on: Race, Disability, Gender, Social Mobility and LGB&Ti issues and initiatives.
- All Permanent Secretaries have an objective on improving Diversity and Inclusion within their departments. These are directly accountable to the Head of the Civil Service and ensure that this is a core leadership responsibility.
- In April 2015 we appointed [four expert advisors](#) to provide external advice and challenge into our strategic thinking and delivery.
- We launched a Mutual Mentoring programme for our most senior leaders to be mentored by those from underrepresented groups.
- 'Name-blind' and 'school blind' recruitment is now applied by 16 out of 17 of the main departments.



## The Talent Action Plan

On 24 March 2016, the Civil Service published its [Talent Action Plan: One Year on Progress Report](#) that includes plans for delivering a Civil Service Social Mobility strategy.

The report reflects the persistent commitment to deliver our vision for the Civil Service to be recognised as the most inclusive UK employer. The Civil Service is the most diverse it has ever been and the majority of actions within the Plan have been implemented or are well in train.

In our second year we have increased our ambitions for diversity and inclusion in the Civil Service with a focus on four priorities: recruitment, talent, inclusive culture, and increasing social mobility. These additional priorities reflect our aims to be representative of modern Britain and the public. For example, our leading research and plans to measure socio-economic background in the Fast Stream has informed work we are doing in the wider Civil Service and has the potential to influence activity in the other employment sectors.

### But, we have more to do

- The Bridge Group found that our Fast Stream is deeply unrepresentative of lower socio-economic groups in society: the Civil Service should be an engine of social mobility for the UK.
- BAME and disabled civil servants in particular are underrepresented at senior grades; and there is a need to increase diversity at the most senior levels, including the Permanent Secretaries Group, where women, BAME and disabled employees are less well represented.
- Our data shows disabled civil servants have significantly lower engagement scores and along with LGB colleagues are more likely to experience bullying and harassment.
- In addition, with a constantly changing demographic we commit to investigating any barriers faced by individuals on the basis of their age. We will identify and learn from those parts of the Civil Service that have already made progress in these areas.



### What we will need in future

- To reflect the modern UK and have a workforce that is truly representative of the nation we serve at all levels.
- To build on the foundations of the Talent Action Plan sustaining the improvements that it delivers and embedding changes to HR practices and processes.
- A longer-term strategy on inclusion that will embed a culture which values individuals' talent and their contribution to the work of a modern Civil Service.



## In the next year we will...

| Action:                                                                                                                                                                                                              | Delivering:                                                                                                                                                                                                                                                                                                   | When:                                                |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|
| Undertake a critical review of the way the Civil Service defines 'talent'.                                                                                                                                           | Confidence that the Civil Service recognises and assesses potential and the skills required rather than 'polish'.                                                                                                                                                                                             | Autumn 2016                                          |
| Work with other employers and organisations to develop, and publish, a common national set of measures for employers to use for understanding the socio-economic background of their workforces and applicant pools. | Data that can be used to inform decision-making. Collection of data is critical to inform Civil Service decisions about social mobility through evidence and analysis. The collection of this data will be voluntary. It would be used anonymously and would not inform any individual recruitment decisions. | Autumn 2016                                          |
| Implementing name-blind and school-blind recruitment as the default across the Civil Service is underway.                                                                                                            | Recruitment processes that are as transparent, fair and open as possible creating an inclusive culture.                                                                                                                                                                                                       | Embedded in main departments by September 2016       |
| Develop a strategy to tackle exclusion, discrimination, bullying and harassment in the Civil Service.                                                                                                                | Where positive ways of working encourage people to deliver at their best.                                                                                                                                                                                                                                     | Toolkit by Summer 2016<br>Strategy developed by 2017 |

## And over the course of Parliament we will...

| Action:                                                                    | Delivering:                                                                                                                     | When:                 |
|----------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| Undertake a fundamental review of the employee experience.                 | This will ensure that social mobility and inclusion principles are at heart of this Workforce Strategy.                         | Throughout Parliament |
| Implement the Removing Barriers to Success Programme (Talent Action Plan). | This will create an inclusive environment where we recruit and retain the most talented people irrespective of their background | March 2017            |

| Action:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Delivering:                                                                                                                                                                                                             | When:                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|
| <p>Implement all recommendations on the Fast Stream from the Bridge Group report as outlined in the Talent Action Plan (TAP). Key actions include:</p> <ul style="list-style-type: none"> <li>• Reducing length of application process from 2016, with an ambition that the majority of applicants will know if they have met the Fast Stream standard within 12 weeks of applying.</li> <li>• Teams of Fast Streamers to undertake outreach activity for the next recruitment intake in 2017.</li> </ul> | <p>This will increase the number of applicants from lower socio-economic backgrounds and increase the proportion that are successful so that we recruit from all backgrounds and reflect the society that we serve.</p> | <p><b>All delivered by January 2018</b></p> |
| <p>Deliver against an ambitious target to halve the gap in engagement scores, and gap in bullying and harassment scores, between our disabled and non-disabled colleagues by 2020.</p>                                                                                                                                                                                                                                                                                                                    | <p>A culture where all our people feel valued, motivated and are able to thrive.</p>                                                                                                                                    | <p><b>May 2020</b></p>                      |
| <p>Build aspiration and promote the Civil Service as an inclusive employer through increased outreach, mentoring and re-defining the Civil Service brand.</p>                                                                                                                                                                                                                                                                                                                                             | <p>This will support raising aspiration and promote the Civil Service as an inclusive employer.</p>                                                                                                                     | <p><b>Throughout this Parliament</b></p>    |

## Cost effective and flexible reward structures that enable us to attract, retain and develop the very best talent

Civil Service reward structures should support movement between it and other sectors, as well as opportunities to develop expertise in depth and progress in their chosen career areas. They should be fair to civil servants and ensure value for money for the taxpayer.

### The case for change

The external environment is changing. Technology is revolutionising ways of working and creating requirements for different sets of skills. The wider economy is also becoming more globalised, competitive and dynamic. The demand for scarce skills, such as digital and commercial, mean that experts in these fields have multiple employment options and can seek work globally. Internally the Civil Service is also changing its own operating models, meaning we will require more specialist skills.

The Civil Service can provide excellent opportunities for all professionals in a challenging and unparalleled environment. We would enhance our ability to attract scarce skills by providing structured career development, and opportunities to progress with an attractive reward offer.

This means that we need a reward offer that is able to compete more effectively with the external labour market for certain skills and enable movement across the Civil Service. Our reward structure can also encourage too frequent movement at the expense of developing deep experience and expertise.

### Where we are now

- In many ways, we are ahead of the game with a modern employment offer and a range of terms and conditions, including flexible working arrangements that support our people at different stages in their lives, and pension arrangements that are still amongst the best available in the UK.

### But, we have more to do

- Civil Service reward systems do not always recognise effectively the acquisition of scarce skills and experience. There is limited opportunity for significant pay increases within pay bands to retain specific skills and experience.
- In some areas where there is direct external market competition for scarce skills, pay scales do not always reflect the external labour market and can in some areas create an unhelpful internal market.
- This can encourage more frequent movement with individuals changing roles or seeking promotion at the expense of building deep experience.
- Our total reward package, including pensions, needs to be flexible enough to meet the needs of current and prospective civil servants.

## What we will need in future

- Reward the acquisition of deep experience and scarce skills where these are lacking.
- Coherent and effective pay systems that maintain fiscal constraint, enable workforce transformation and deliver long-term savings, as the Department for Work and Pensions is doing.
- A system that enables us to attract and retain staff with certain scarce skills (i.e. Digital, Data and Technology and Commercial).
- Ensure our total reward package can continue to attract the very best leaders in to the Civil Service.
- A reward framework that does not encourage people to change jobs solely in pursuit of better salaries.

## In the next year we will...

| Action:                                                                                                                                      | Delivering:                                                                                                                | When:                                 |
|----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| As recommended by the Senior Salaries Review Body, review the Senior Civil Service pay framework, looking at the total remuneration package. | A motivated and engaged SCS cadre rewarded for their performance, contribution and leadership.                             | <b>November 2016</b>                  |
| Creating the new Government Commercial Organisation to develop a flexible reward framework.                                                  | The recruitment and retention of scarce commercial skills to manage Government contracts more efficiently and effectively. | <b>By end of financial year 16/17</b> |
| Review pay and reward structures for Digital, Data and Technology function, for commercial specialists and for other specialist groups.      | The recruitment and retention of professional skills to manage Government delivery more efficiently and effectively.       | <b>By end of financial year 16/17</b> |

## And over the course of Parliament we will...

| Action:                                                          | Delivering:                                                                                                                                                                               | When:                                                                      |
|------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|
| Develop a longer term reward framework across the Civil Service. | A strategic approach to reward that supports the workforce strategy and acts as an incentive for the transfer of valuable skills into and out of the civil service and the wider economy. | <b>Principles agreed by March 2017.</b><br><br><b>Embedded by May 2020</b> |

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### 附錄三

量身訂製評鑑：公共組織體評鑑準則





Cabinet Office

# Tailored Reviews: Guidance on Reviews of Public Bodies

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## Introduction

Good government requires public bodies that are efficient, effective and accountable. That in turn requires us to ensure our public bodies are set up correctly. The Government's approach to public bodies' reform for 2015 to 2020 builds on the successes of the 2010 to 2015 Public Bodies Reform Programme. Our new strategy, which this guidance supports, is based on a two-tier approach to transformation: a programme of cross-departmental, functional reviews coordinated by the Cabinet Office, coupled with ongoing, robust 'tailored reviews' led by departments with Cabinet Office oversight and challenge. For the first time, these reviews will now include executive agencies and non-ministerial departments.

The 2010-15 programme delivered a reduction in the number of public bodies by a third, from 904 to 610, and their administrative spend by a cumulative £3 billion. As a result of regular reviews, those bodies remaining have been challenged to become more efficient and effective in their delivery of public services.

Such regular assurance and challenge about the continuing need, efficiency and good governance of public bodies remains central to the Government's Public Body Transformation Programme. This guidance sets out the principles by which Government departments should review public bodies from now on to ensure they remain fit for purpose, well governed and properly accountable for what they do.

This guidance supersedes the 2010-15 guidance *Triennial Reviews: Guidance on Reviews of Non-Departmental Public Bodies* and its supplementary guidance. It is valid for any reviews which commence on or after 4 January 2016, and is supplemented with annexes which set out good practice on efficiency, sharing services and commercial options for delivery, which departments should consider when undertaking these reviews.

As a progression on the triennial review policy, the main changes for tailored reviews include:

- extending the scope of these reviews to include executive agencies (EAs) and all non-ministerial departments (NMDs), not just non-departmental public bodies (NDPBs). These reviews do *not* apply to ministerial departments;
- a more proportionate and flexible approach to reviews;
- the requirement that reviews should be undertaken at least once in the lifetime of a Parliament; and
- a move away from the two stages to a more seamless approach to reviews.

Any questions on the guidance, or on the review process more generally and its remit, should be directed to the Cabinet Office Public Bodies Reform Team (PBRT) at: [publicbodiesreform@cabinetoffice.gov.uk](mailto:publicbodiesreform@cabinetoffice.gov.uk).

All those who serve in public bodies are part of our shared mission to provide security and opportunity, and improve the lives of the citizens we all seek to serve. I look forward to working with public bodies to make that vision a reality.

**The Rt Hon Ben Gummer MP**

## Scope of this Guidance

The public bodies in scope for this guidance are non-departmental public bodies (NDPBs), executive agencies (EAs) and non-ministerial departments (NMDs).

## Purpose

1. Tailored reviews have the following aims:
  - to provide a robust challenge to and assurance on the continuing need for individual organisations – both their functions and form; and
  - where it is agreed that an organisation should be retained, to review:
    - its capacity for delivering more effectively and efficiently, including identifying the potential for efficiency savings, and where appropriate, its ability to contribute to economic growth. The review should include an assessment of the performance of the organisation or assurance that processes are in place for making such assessments; and
    - the control and governance arrangements in place to ensure that the organisation and its sponsor are complying with recognised principles of good corporate governance. These principles will vary according to the public body under review and departments should consult the relevant guidance
2. It is for departments to consider how best to structure and carry out these reviews, in accordance with the principles set out below.
3. The Cabinet Office will oversee and drive the overall programme of reviews, managing interdependencies on behalf of the Minister for the Cabinet Office (MCO) who is responsible for public body review policy. The MCO will clear the terms of reference for all tailored reviews. The MCO will also clear the final report of all Tier 1 priority reviews<sup>1</sup>.

## Key Principles

4. All reviews must be conducted in line with the following principles:
  - Proportionality
  - Challenge
  - Being Strategic
  - Pace
  - Inclusivity
  - Transparency

---

<sup>1</sup> There are three tiers of review - Tier 1, Tier 2 and Tier 3. Tier 1 and Tier 2 reviews are jointly known as priority reviews. They will be identified and agreed by the Cabinet Office in discussion with departments when drafting the tailored review programmes, based on criteria including spend, size of organisation and sensitivity.

## Proportionality

5. Reviews should not be overly bureaucratic and should be appropriate for the size and nature of the organisation being reviewed and the significance of the organisation to the department. Reviews should be aligned to wider policy or strategic reviews and support commitments set out in the Government's manifesto, Single Departmental Plans and the Spending Review. This principle is fundamental and underpins the review process.
6. Where a review of a public body has already been conducted during this parliament, a further tailored review of the body may not be required. If particular functions of a public body have been reviewed during this parliament, those functions may not need to be reviewed as part of any scheduled tailored review. The scoping and terms of reference for the tailored review should draw attention to this.

## Challenge

### Terms of Reference

7. Reviews should be challenging and take a first principles approach to whether each function:
  - is still needed;
  - is still being delivered;
  - is carried out effectively by the organisation; and
  - contributes to the core business of the organisation, the sponsor department and to the government as a whole
8. If the function is still required, the review should consider whether the existing model of delivery is still appropriate and test that against the alternatives set out at **Annex A**. When considering the form of the public body, departments can consider the 'three tests' which are also set out in **Annex A**. Departments may also wish to explore relevant international comparisons for similar bodies. Reviews should not just seek to support the status quo, they should be robust and rigorous and provide evidence for recommendations.

### Devolution

9. It is essential to have considered fully the extent to which a public body's functions are directly or indirectly delivered in a devolved context<sup>2</sup>. In some instances the scope and reach of a body functions may be clear however this is not always the case. For example, a policy area may be owned by the department and/or the body and as such reserved to the UK government but delivery of the policy may be dependent on devolved structures which in themselves may vary across the devolved territories of Scotland, Wales and Northern Ireland. Understanding the remit and reach of the body, dependencies and stakeholders within each of the devolved territories as well as within England, should be a fundamental part of scoping the review.

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<sup>2</sup> More detail is given in **Annex A**.



## The UK Leaving the EU

10. It is appropriate to consider the extent to which a public body's functions are delivered in an environment currently directly affected by EU regulations or processes. Understanding how the body intends to respond to the UK leaving the EU should then be considered as part of the review, where possible.

## Good Corporate Governance

11. Good corporate governance is central to the effective operation of all public bodies. As part of the review process, therefore, the governance arrangements in place should be reviewed. This should be led by the sponsoring department, working closely with the chair and CEO, where applicable, who will have a key responsibility for ensuring that strong and robust corporate governance arrangements are in place. As a minimum, the existing controls, processes and safeguards should be assessed against the principles and policies set out in the relevant code of good corporate governance. More detail is given in **Annex C**. These reflect best practice in the public and private sectors and in particular, draw from the principles and approach set out in *Corporate Governance in Central Government Departments: Code of Good Practice*<sup>3</sup>.

## Efficiency

12. Reviews should consider issues of efficiency, including the potential for efficiency savings<sup>4</sup>, and make relevant recommendations. They should examine whether the public body could provide better value for money, including where appropriate, the body's contribution to economic growth<sup>5</sup>. Reviews should also consider the performance of the body - the extent to which it meets its objectives. Where appropriate, the review should use a cost-benefit analysis. A description of how the review will be structured to meet these aims should be set out clearly in the terms of reference. It is recommended that departments use benchmarking for efficiency and effectiveness. The Cabinet Office can assist with benchmarking for functional efficiencies<sup>6</sup>.
13. The Cabinet Office functional teams should be engaged in the review process, where appropriate. For example, where the public body owns or leases a considerable amount of property, the review team should include the Government Property Unit from an early stage to consider how to make more efficient use of the body's estate.
14. In keeping with the principle of proportionality, the time invested by the review team in considering the form, function, efficiency and effectiveness of the public body will depend on the size and type of body under review. If a recent internal or external review or audit has taken place of the body's efficiency or performance, it may not be necessary for the tailored review to consider the topic again. For this to be the case, the previous review or audit should have been sufficiently robust and evidenced. In cases where a body has recently undergone major transformation it may be appropriate to instead use the tailored review as a post-implementation evaluation.

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<sup>3</sup> To be found at [www.gov.uk/government/publications/corporate-governance-code-for-central-government-departments](http://www.gov.uk/government/publications/corporate-governance-code-for-central-government-departments)

<sup>4</sup> More detail is given in **Annex B**

<sup>5</sup> As committed to in the Government's response to the Heseltine Review into economic growth – available at [www.gov.uk/government/publications/governments-response-to-the-heseltine-review-into-economic-growth](http://www.gov.uk/government/publications/governments-response-to-the-heseltine-review-into-economic-growth)

<sup>6</sup> For further details please contact the PBRT at: [publicbodiesreform@cabinetoffice.gov.uk](mailto:publicbodiesreform@cabinetoffice.gov.uk)

Where the review draws upon other material, that material should be referenced and hyperlinked where published, or appended where not.

### Review Team

15. Departments are responsible for carrying out reviews and will provide all the resources for reviews, including lead reviewers and review teams. Completed reviews represent the view of the department. Reviews should not, however, be led by a member of the team sponsoring the public body or by someone who could have a conflict of interest. Similarly, review teams should not be led by members drawn from the body being reviewed. Departments, however, may wish to call on the expertise of their sponsors to review other bodies where they are not directly involved in the sponsorship relationship. Departments may also wish to utilise resource and expertise in other departments and exchange lead reviewer roles, which will also help ensure there is effective challenge.
16. Sponsor teams and members of the public body being reviewed should be consulted about the review. Departments may wish to consider the merits of bringing in independent expertise, for example, from the National Audit Office or another department. In the case of clustered reviews, where bodies are sponsored by different departments, consideration should be given to which department should lead and how best to involve all others. Cabinet Office can assist in facilitating these conversations.

### Challenge Panel

17. Reviews may be subject to the scrutiny of a Challenge Panel, whose purpose is rigorously and robustly to test and challenge the assumptions and conclusions of the review. Members of the Challenge Panel should be independent of the public body and its sponsoring unit within the department. The panel should include personnel with the right balance of skills and experience to enable them to provide effective challenge, including a Cabinet Office representative for Tier 1 and Tier 2 priority reviews. For Tier 1 priority reviews, a departmental non-executive director (NED) should chair the panel.

### Being Strategic

#### Review Scope and Timing

18. All NDPBs, NMDs and EAs will be subject to a tailored review or equivalent at least once in the lifetime of a Parliament. This document's guidance on tailored reviews should be applied to equivalent departmental reviews where appropriate.
19. The Government's approach to reviewing public bodies in 2015-20 is based on tailored reviews and cross-departmental functional reviews, covering several public bodies in similar or related areas of government; the findings of functional reviews can feed into tailored reviews, reducing the work needed for the latter reviews and avoiding duplication. Where a functional review is recent and comprehensive, further reviews may be very light touch, or may take place later in this parliament.
20. Departments should define the scope of the review depending on any wider policy or strategic reviews that are being conducted, and also consider combining the requirements of a tailored review within the scope of any other planned review or evaluation of the department's public bodies. This will help maximise the benefit in terms of streamlining the review process; identifying synergies across departments

and sponsored bodies or organisations; and considering efficiency and wider transformation, for example, via a digital approach.

21. Where departments have committed to reviewing a public body through a departmental review or as part of a transformation programme, the department will need to ensure that the principles and topics set out in this guidance, where relevant, have been met. The PBRT have produced an assurance toolkit to assist with this process and will support departments in completing this process for Tier 1 and 2 priority reviews.
22. Departments should ensure they explore options for conducting joint or clustered reviews of organisations both internally and across government. It may also be appropriate to consider the timing of any relevant public appointments.
23. In formulating their review programmes, departments could use their existing triennial review programmes as the foundation and build on these to include NMDs and EAs as well as NDPBs. Departments should seek advice from the Cabinet Office as appropriate, and ensure programmes complement and support Single Departmental Plans and the Comprehensive Spending Review. Cabinet Office will also assist in identifying similar bodies in other departments which might form a clustered review and in identifying priority reviews for MCO approval.
24. Departments should also consider having an appropriate distribution of reviews across the lifetime of this parliament, scheduling those that may have recently undergone a review towards the end of their programme. Departments are encouraged to update their programmes annually to take account of any wider policy reviews and engage with the Cabinet Office accordingly. Departments must aim to complete reviews by September 2019 to ensure implementation of recommendations in this parliament.

## Pace

25. Reviews should be completed quickly to minimise the disruption to the organisation's business and reduce uncertainty about its future. Reviews should normally take no more than six months and, in keeping with the principle of proportionality, the review of a smaller public body could be completed within a month. In order to complete reviews at pace, departments should allocate sufficient resource to reviews so as to enable them to be delivered within the agreed timeframe. Departments should consult with the organisation concerned when planning its review.

## Inclusivity

26. Reviews should be open and inclusive. The organisation under review should be engaged and consulted throughout the review and have the opportunity to comment on emerging conclusions and recommendations. In addition, key stakeholders should have the opportunity to provide input for the review where relevant and appropriate, and evidence of such engagement should be included in the report of the review. That engagement may be secured through a workshop with all relevant stakeholders, correspondence with key parties and the sharing of draft reports and recommendations. It will be for departments to define the form such engagement should take, and how it is evidenced in the published report.

27. Departments should also consider whether, and if so how, they might involve Parliament in the review process. They may wish to announce the start and conclusion of the review by way of written ministerial statement (WMS) in both Houses of Parliament and alert the relevant select committee(s) when starting the review. Departments may wish to limit the number of statements they lay, by making an annual announcement setting out the reviews they propose to deliver throughout the financial year. Cabinet Office should be consulted on the content and timing of a WMS. In keeping with the core principles underpinning all reviews, engagement should be proportionate, timely and provide clear value-for-money for users and taxpayers.

## Transparency

### Publication

28. The final report should set out any recommendations, including any that address areas of non-compliance with corporate governance. Any such issues of non-compliance<sup>7</sup> should be considered by the sponsor. An implementation plan for the agreed recommendations should be agreed between the public body and the sponsor.
29. The cost of reviews should be met from within existing resources and be kept to a minimum. Ultimately, it will be for departments to evidence that any individual review is demonstrating good value-for-money.
30. The final report of the review should normally be published on GOV.UK. Redaction of particularly sensitive information should be considered to enable reports to be published.

### Clearance

31. Departments should determine the clearance procedure. Ministerial approval should take place as standard practice. The clearance process should be described in the terms of reference for the review.

## Priority Reviews

32. Reviews will be prioritised into three tiers – Tier 1, Tier 2, and Tier 3. Tier 1 and Tier 2 reviews will be designated priority reviews.
33. Priority reviews will be identified and agreed by the Cabinet Office in discussion with departments when drafting their review programmes, based on one or more of the following criteria: spend of over £50 million; size of organisation (100 or more staff); sensitivity; potential for commercial models; when the public body was last reviewed and whether the body contributes to the Government's manifesto commitments. There is no hard and fast rule and priority reviews will be decided on a case-by-case basis.
34. For Tier 1 priority reviews, the PBRT will review emerging findings, and the MCO will sign off on the final report before publication. For Tier 2 priority reviews, the PBRT will

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<sup>7</sup> Principles of Good Corporate Governance for NDPBs are set out at **Annex C** and follow a 'comply or explain' methodology. Departments may wish to adopt these principles for reviews of other types of public body.

review the emerging findings and then sign off on the final report before publication. For Tier 3 reviews, the PBRT will audit a sample of reviews across the programme.

35. Scrutiny will be applied at a corresponding level for departmental reviews. For example, the MCO will need assurance that Tier 1 priority reviews are conducted in line with the principles of tailored reviews.
36. Cabinet Office involvement in priority reviews will depend on the public body under review but will normally involve input from the PBRT in clearing terms of reference and MCO clearance of the final report. When establishing the review team it may be appropriate to draw on expertise from the Cabinet Office, for example a member of the Commercial Models Team, depending on the potential for functions to be delivered by alternative commercial models.

### **Non-Executive Director Oversight and Involvement**

37. Departmental non-executive directors (NEDs) should have oversight of programmes in order to hold their officials to account, ensuring the quality of sponsorship and governance, and timeliness of programme delivery. NEDs should challenge progress against their department's programme at the board meeting at least quarterly.
38. It is anticipated that departmental NEDs, either from within the department itself or another government department, will take a lead role in Tier 1 priority reviews and chair the Challenge Panel (see paragraph 17 above), and have involvement in Tier 2 priority reviews. Departments should consider the involvement of NEDs in Tier 3 reviews in line with the level of opportunity the review presents, and the level of risk inherent in the body.

## Annex A – Delivery Options, the ‘Three Tests’ and the Devolved Context

### Checklist of delivery options

This checklist sets out a range of delivery options that departments should consider when reviewing the functions of their public body. This is not an exhaustive list, and departments are encouraged to think creatively when reviewing how functions might be delivered with a view to efficiency and accountability.

| Option                                      | Questions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|---------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Abolish                                     | <p>Why does the function need to continue?</p> <p>How does it contribute to the core business of the sponsor department?</p> <p>How does this contribute to wider Government policy objectives?</p> <p>What if the function did not need to continue?</p> <p>Is there a legal requirement for the function?</p> <p>Is providing the function a justifiable use of taxpayers' money?</p> <p>What would be the cost and effects of not delivering the function?</p> <p>Does the function contribute to economic growth?</p>                                    |
| Move out of central Government <sup>8</sup> | <p>Why does central government need to deliver this function?</p> <p>Can this function be delivered by local government, by the voluntary, or by the private sector?</p> <p>Is there an existing service provider, or providers, in the local government or voluntary sectors that could deliver this function?</p> <p>What are the risks and benefits of moving the function out of central government?</p> <p>Could efficiencies be made by delivering the function through a different model?</p>                                                         |
| Commercial model <sup>9</sup>               | <p>Can the function be better delivered by the private sector, or delivered under contract by the voluntary or private sector?</p> <p>Can the function be delivered by a mutual or social enterprise?</p> <p>Is there an existing service provider, or providers, in the private sector that could deliver this function?</p> <p>Could the public body increase its private sector revenues?</p> <p>What are the risks and benefits of moving to a more commercial model?</p> <p>Could efficiencies be made by delivery through a more commercial model?</p> |
| Bring in-house                              | <p>Why does the function need to be delivered at arm's length from ministers?</p> <p>Can the function be delivered more efficiently or effectively by the sponsor department or by an existing executive agency of the sponsor department, or by another department?</p> <p>What would be the costs and benefits of bringing the function in-house?</p> <p>Could efficiencies be made by bringing the functions in-house?</p>                                                                                                                                |

<sup>8</sup> In the case of NDPBs with advisory functions, this option should include assessing whether the functions of the body can be provided by an expert committee engaging directly with users, stakeholders, sectors and communities.

<sup>9</sup> See also **Annex B** on commercial models.



|                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Merge with another body            | <p>Are there any other areas of central government delivering similar or complementary functions?</p> <p>Does the function duplicate work undertaken elsewhere?</p> <p>Could the function be merged with those of another public body, or <i>vice versa</i>?</p> <p>What would be the costs and benefits of merger?</p> <p>Could efficiencies be made by merging the body, or some of its functions, with another body or bodies?</p> |
| Less formal structure              | <p>Why does the function need to be delivered through a formal structure?</p> <p>Could the function be delivered by an informal stakeholder group?</p> <p>Could the function be delivered by an expert committee?</p> <p>What would be the costs and benefits of moving to a less formal structure?</p> <p>Could efficiencies be made by moving to a less formal structure?</p>                                                       |
| Delivery by a new executive agency | <p>Could the function be better delivered by a new executive agency?</p> <p>What would be the costs and benefits of this?</p> <p>Could efficiencies be made by moving to delivery through a new executive agency?</p>                                                                                                                                                                                                                 |
| Continued delivery by an NDPB      | <p>Does the function pass at least one of the government's three tests, as below?</p> <p>How well is the NDPB currently delivering its functions?</p> <p>What are the costs and benefits of remaining with this model?</p>                                                                                                                                                                                                            |

### The 'Three Tests'

- Is this a technical function, which needs external expertise to deliver?
- Is this a function which needs to be, and be seen to be, delivered with absolute political impartiality?
- Is this a function that needs to be delivered independently of ministers to establish facts and/or figures with integrity?

### Understanding the devolved context

Review teams can draw upon support from the UK Governance & Devolution Team (UKGD) including the Territorial Offices to understand better devolution issues in the policy and delivery areas in question. They can also access the Devolution Toolkit,<sup>10</sup> a practical resource for civil servants to help them understand how to operate in our devolved system of government, including advice on working through a devolution impact assessment. The toolkit also sets out the formal governance arrangements for working across administrations and provides contact details for UKGD and devolution leads in central government departments and constitutional teams in the devolved administrations.

<sup>10</sup> To be found at <https://www.gov.uk/government/publications/devolution-toolkit>

## Annex B – Identifying and Realising Improvements in Efficiency and Effectiveness and Wider Benefits

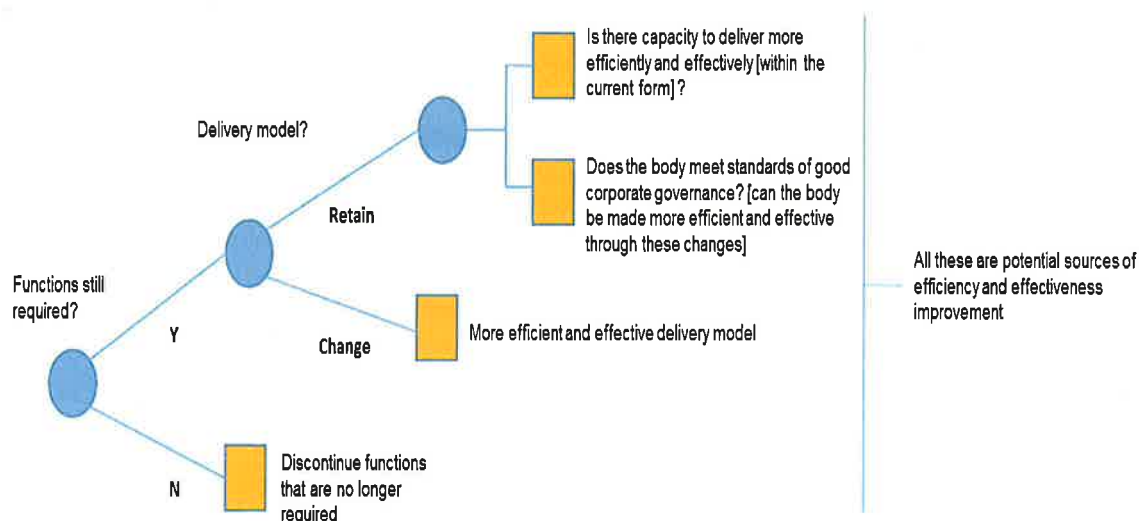
When reviewing public bodies, departments should ensure that questions of whether, how and where efficiencies can be made within bodies are considered as part of the review process, whilst maintaining a proportionate approach, including recognising the progress that may have already been made by ALBs in previous Spending Review periods. This annex provides a number of issues departments could consider when undertaking this assessment. All types of expenditure (CDEL, RDEL, AME) should be considered where appropriate. Additionally, opportunities to generate income to reduce the amount of funding from the Exchequer should also be considered.

Tailored Reviews should be designed to identify real and tangible improvements in the efficiency and effectiveness of the body being reviewed. Improvements in efficiency and effectiveness are part of an integrated approach to benefits realisation.

Where changes to a particular body may create efficiency opportunities or other benefits to bodies or sectors outside the organisation under consideration for the Tailored Review (for example, benefits to business), the Cabinet Office are also interested in understanding these effects.

Incorporating efficiency, effectiveness and wider benefits into a Tailored Review should not be seen as an independent or separate exercise to the process for conducting a review outlined in this document. Figure 1 below demonstrates how the consideration of efficiencies fits into questions around form, function and appropriate delivery models for ALBs.

Figure 1



### Designing Reviews for Impact

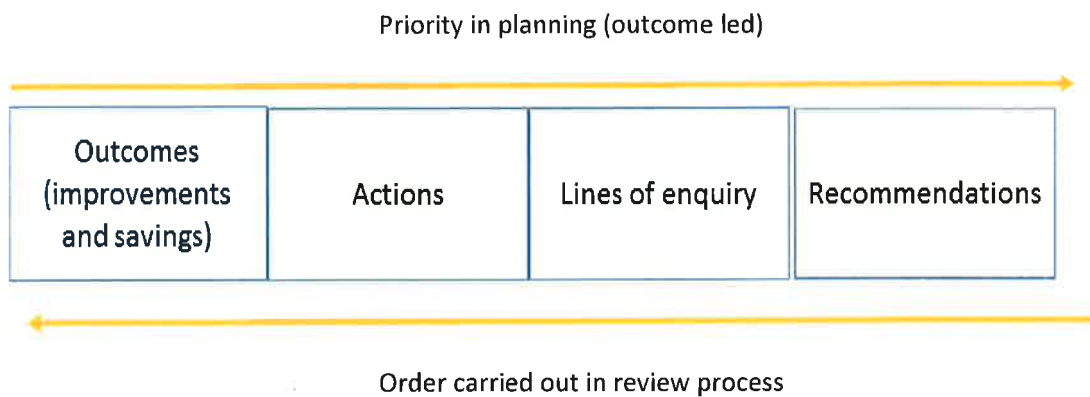
Delivering real benefits from reviews will not happen automatically. Reviews should be planned with a purpose. Reviews should consider the identification, specification and

measurement of benefits throughout the process, from inception through to the recommendations made, to subsequent implementation.

There should be a 'golden thread', traceable in both directions from the benefits sought, to the recommendations made, to the evidence and analysis gathered from the lines of enquiry followed.

This is not to say that reviews cannot, or should not evolve over time. On the contrary, the review's lines of enquiry can be a living document that is added to and refined based on the emerging findings.

**Figure 2**



The Cabinet Office will challenge review teams on the extent to which benefits realisation is integrated into the plans for each review. There is no prescribed format but they should take account of:

- the key lines of enquiry set out in the Tailored Review guidance
- the body's objectives
- existing efficiency commitments
- cross-government functional agendas (see below for specific areas and questions that should be considered)

### Identifying and Specifying Benefits

Reviews should seek and recognise 3 types of benefit:

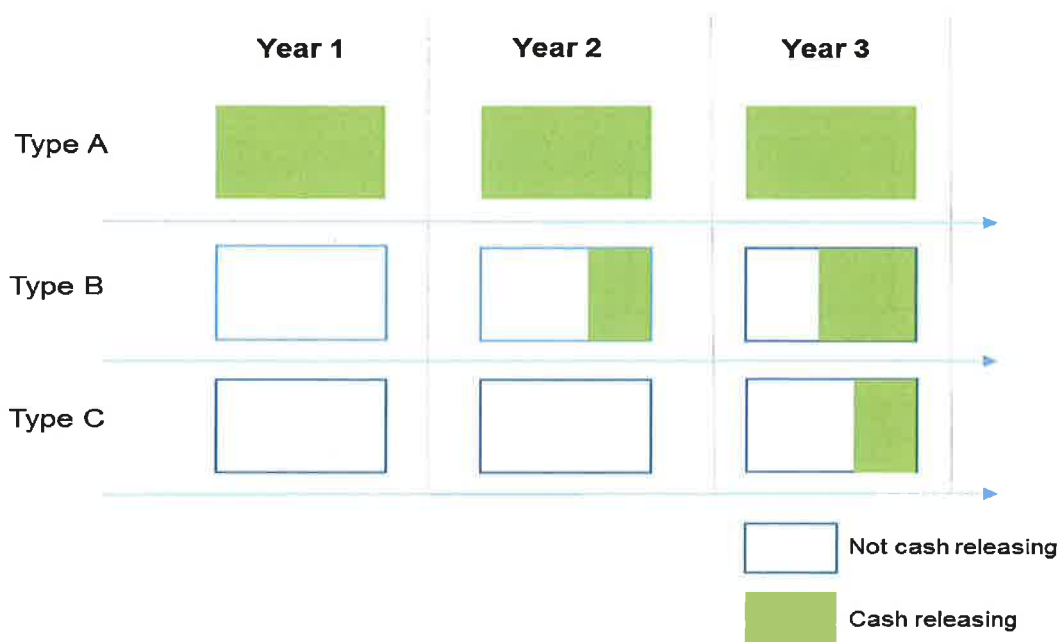
**Type A** – cash releasing or cash generative benefits: (e.g. an increase in charging or better debt recovery). *These benefits should be reflected in immediate cashable savings.*

**Type B** – efficiencies or improvements in outcomes: (greater use of shared services, release of resources to front-line activity). *These benefits should result in increased productivity/other improved performance outcomes of which some will be cashable in the short-medium term.*

**Type C** – wider benefits (for example, improved governance, transparency, accountability, or staff engagement): *These benefits may not result in cashable savings immediately, but some may yield or prompt cashable savings in the medium term.*

Benefits do not always manifest immediately as efficiency improvements. However, other types of benefits that reviews often identify, such as improvements in governance, decision-making and staff morale, should over the longer term, contribute to a more efficient, effective and productive organisation.

**Figure 3**



Benefits are relevant for as long as they are live but will only score as cashable benefits within the relevant Spending Review period from which they originate.

We will track actions as they are implemented working on the principle that improvements in governance, processes and decision making today should lead to savings efficiencies and performance improvements in the future.

### Assessment of Barriers to Implementation

Potential benefits should be assessed for the difficulty or ease with which they can be realised. Benefits that rely on a long delivery chain, such as those that require significant actions from other bodies or departments that are not directly influenced by the review, may be more difficult to realise than implementation actions entirely within the control of the body leading the review. Another example of a barrier could be the cost of investment required to realise the efficiency, weighed against the benefits gained.

### Key elements of proposed approach within each review

| Review stage                      | Key actions for chairs and review boards                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Planning                       | <p>A description of how the review will be structured to deliver benefits should be set out clearly in the terms of reference. This should include potential sources of efficiency and effectiveness improvements and wider benefits, according to the scheme set out above. The planned approach should be proportionate to the body's size, budget and influence.</p> <p>The scale of likely benefits will need to be estimated in broad terms at this stage.</p>                                                 |
| 2. Mid-way                        | <p>Review chairs should firm up estimates of specific benefits including some categorisation of benefits into, for example, workforce, property, commercial and digital.</p> <p>At this stage, it would be helpful if an indicative timescale for benefits could also be included.</p>                                                                                                                                                                                                                              |
| 3. Completion and action planning | <p>The review sign off process will require review chairs to sign off on an implementation action plan, setting out, for each of the recommendations and benefits, the actions, owners and timescales.</p> <p>The action plan will form the basis of follow-up and the Cabinet Office will be tracking implementation of the recommendations and actions to which the department and the body have committed.</p> <p>At this stage, a benefits realisation methodology will need to be agreed for key benefits.</p> |
| 4. Follow-up and tracking         | <p>Key actions and benefits will be tracked and followed up by the Cabinet Office through normal reporting channels between sponsor teams and the Public Bodies Reform team. Any tracking will be done in a proportionate way according to the resources available to departments.</p>                                                                                                                                                                                                                              |

### Role of the Public Bodies Reform Team in Benefits Realisation

The PBR team has an important challenge role within the review process, but we are also a key source of support, both directly and through our enabling role.

- **Challenge** – we will be providing constructive challenge throughout the review process on the extent to which benefits management is integrated.
- **Direct support and guidance** – we will support departments and review teams with

guidance and follow up support on integrating benefits realisation into review plans. We will help with and technical queries, advise on the process, and signpost good practice.

- **Enabling** – the PBR team is a gateway to a wider pool of expertise within the Cabinet Office and beyond. We want Departments to have access to the best support that the Cabinet Office can provide. We encourage departments to think early about where potential efficiencies and other benefits might arise so that we can broker support from specialists and experts in commercial, property, grants, fraud and error and other functional specialisms.
- **Tracking** - Key actions and benefits will be tracked and followed up by the Cabinet Office through normal reporting channels between sponsor teams and the Public Bodies Reform team. Any tracking will be done in a proportionate way according to the resources available to departments.

For any queries please contact [publicbodiesreform@cabinetoffice.gov.uk](mailto:publicbodiesreform@cabinetoffice.gov.uk).

## The Relationship with Other Programmes and Cross-Functional Specialisms

Reviews do not take place in a vacuum. In many cases there will be other reviews or ongoing functional agendas that are already aimed at delivering efficiencies or other improvements. These should still be identified and specified. The Tailored Review should not duplicate the effort put into these reviews, and should not be a competitor to them. It should, however, be used to facilitate, accelerate, and expand the benefits realised from the collective effort. The section below refers to the functional areas in which Cabinet Office has expert teams which can support reviews if required. This list of functions is not intended to be exhaustive with regard to types of efficiency opportunity nor will every functional area be relevant to all Arm's Length Bodies.

### Digital Service Standards

Departments should look at the potential to derive savings from shifting current services to digital channels and transforming transactional services in accordance with the Digital Service Standard. They should follow the design principles when transforming their services and these services should conform to the Equalities Act 2010 and provide a good quality service to all users, regardless of disability.

ALBs should also use the products GDS runs on behalf of government, including GOV.UK, Notify, Verify, Pay, PaaS and Data registers; and feedback to GDS (via these pages) any factor that might justify not using these services.

These activities should follow the principles set out in the Government Transformation Strategy. All public facing transactional services must meet the Digital Service Standard.

Departments should also ensure that data is consistently published on the Performance Platform

Departments should think about:



- What user needs will be met by redesigning their service to be digital?
- What savings can be made by shifting to digital?
- In which years?
- By cost type? (i.e. pay bill, suppliers etc.)

To assess this, the department should consider:

- What users need from the service
- How a service is currently delivered:
- What does the channel mix (e.g. online, telephone, face-to-face) look like now, and what plans are there to encourage users to shift online
- Value by channel
- Cost per channel / cost per transaction
- Full-time equivalent staff (FTE) per channel
- What is the current spend in this area or areas?
- How many transactions are received by the service per channel (online, phone, paper, face to face)
- How many of these transactions end in an outcome, and a user's' intended outcome?
- How many phone calls, letters or in-person visits are there to the service?
- What are the reasons for those phone calls, letters or in-person visits (to get information, chase progress, challenge a decision etc)
- What will the expenditure be after transformation?
- When will savings start to be realised?
- What will be the reduction in average cost per transaction, service or channel?
- Is there potential in other areas of the public body's activities to consider digital work that will contribute to spending reductions and improved services?

## Technology Infrastructure

Departments should consider what savings can be made on the public body's current technology spend, following the [Government Service Design Manual](#) and the [Technology Code of Practice](#).

Things to be aware of:

- Which of the body's main technology contracts are coming to an end?
- How much less will the body spend on the replacements?

## Commercial Models

Explore whether any of the functions performed by the public body could be better delivered in collaboration with other parts of the public sector and/or in collaboration with the private sector, whether that be private businesses or voluntary, community and social enterprise organisations, public service mutuels, public-private joint ventures or any other organisations that sit outside the public sector. The following list of questions will help departments decide whether the body being reviewed may be suitable for a more commercial delivery model.

- Are similar functions carried out in other parts of the public sector?
- Could the functions be provided by people that are not public servants?
- Do the employees of the body have the desire and ability to deliver the service as a

private business?

- Are there existing private sector organisations that provide a similar service to the body? If so, do they tend to be more efficient and/or effective?
- Could the body operate more efficiently and/or effectively if it were not subject to some of the constraints that apply to public bodies?
- Does the body require investment that it cannot currently secure?
- Does the body require skills that it cannot currently recruit?
- Does the body provide services that are, or could be, sold to others outside of government, e.g. to private sector organisations or foreign governments?
- Does the body need to undergo a significant transformation in terms of business processes and/or IT systems?
- Does the body have IT infrastructure that needs to be upgraded? Are private sector comparators equipped with better or more modern IT infrastructure?
- Does the body own assets that are under-utilised? If so, are there other organisations, in the public or private sectors that could use this spare capacity?

If the answer to any of these questions is yes, there may be a commercial model opportunity. The department or public body should contact the Commercial Models Team in Cabinet Office (Email: [commercialmodels@cabinetoffice.gov.uk](mailto:commercialmodels@cabinetoffice.gov.uk)) who will be able to provide further advice. There may be bodies that do not meet any of these criteria but departments still consider there is value in considering alternative delivery models – Cabinet Office may still be able to offer support and advice in these cases.

In addition, departments should consider as part of the review whether there are changes that could be made to the public body to improve the quality of the services provided, reduce the cost to government and or users, generate revenue for government, or otherwise enhance its commercial capability.

## Property

Departments should consider the size of the office occupied by the public body, and consider how better space use per FTE and savings may be derived from planned (e.g. lease breaks) or accelerated building exits, particularly with regard to the implementation of the government's hubs strategy.

Departments should additionally examine how generic office functions housed within properties providing public-facing services (e.g. Job Centres) might be moved to hubs and smaller shared, cross-public sector solutions be found for the remaining location-specific requirements.

Furthermore, the *Building our Industrial Strategy* Green Paper<sup>11</sup> committed to reviewing the location of Arm's Length Bodies (ALBs) to help support regional economic growth. Departments should ensure that all new ALBs are established outside London and the South-East unless there are overriding reasons why this cannot be the case. Similarly,

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<sup>11</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/611705/building-our-industrial-strategy-green-paper.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/611705/building-our-industrial-strategy-green-paper.pdf)

location will be given greater consideration during Tailored Reviews and/or any change in ALB structure.

The Government Property Unit (GPU) publishes an annual State of the Estate (SOFTE) report to Parliament, in compliance with the 2008 Climate Change Act which lists the size and cost of each department's estate<sup>12</sup>.

National Property Controls' (NPC) policy has also been in place since 2010, which assumes departments will exit leased office properties as break options and expiries occur with these departments seeking alternative and cheaper accommodation across the wider civil estate. NPCs mandate that HMT, and ministerial approval is required for any of the following:

- if departments have a total value of £100,000 or more rent payable over the life of the lease on properties where accommodation is for the purpose of office use;
- all new leases;
- renewals of existing leases;
- the non-exercising of lease breaks;
- new property acquisitions;
- any new build developments;
- sale and leaseback; and
- any freehold sales.

GPU also manages an annual office benchmarking programme to measure the efficiency of government offices and the data collected is also made available in the SOFTE report. Data collection and inclusion are therefore key needs for any public body not currently providing this information. Currently all HMG organisations should have made arrangements to provide and place building records on e-PIMS to ensure fullest visibility of the government estate. Local authority bodies should also be taking steps to place their buildings data onto e-PIMS and this is a particular requirement for those signed up in One Public Estate.

A. What is the gross annual running cost of the estate of the body?

GPU report on net running costs in SOFTE

B. How many square metres does the body occupy and what is the net internal area (NIA)?  
How many people (FTEs including contractors) currently occupy it?

NIA divided by FTEs provides the performance of sq.m per FTE.

Departments are expected to meet the workplace standard of:

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<sup>12</sup> <https://www.gov.uk/government/publications/state-of-the-estate-report-2015-to-2016>

- # 10 sq.m or less per FTE overall by end December 2015;
- # 8 sq.m by end March 2018.

C. Are there any major estate changes planned e.g. freehold sales, PFI hand backs, leasehold exits, acquisitions, refurbishments, workplace transformation, moves, asset management, FM procurement?

Please also consider estate related changes planned around building access and common IT solutions.

#### *Strategic Asset Management Plans (SAMPs) and engagement with departments*

Departments are required to maintain SAMPs for their property portfolios, covering their public bodies. Progress against these documents forms the basis of a regular strategic dialogue between the department, the GPU and HMT on delivery of Spending Review ambitions and property-related targets.

#### *Sustainability*

We are working to agreed Greening Government Commitment targets and providing data sets as required.

### **Procurement of Common Goods and Services**

Departments should ensure that all public procurement is based on achieving value for money and that they follow procurement processes that comply with UK public procurement policy.

For the procurement of common goods and services, departments and their Arm's Length Bodies, should make use of the Crown Commercial Service's expertise, frameworks and centralised deals. By bringing to bear its specialist category knowledge and buying capabilities, as well as aggregating demand, the Crown Commercial Service (CCS) helps both central government and the wider public sector access the right suppliers and the most competitive prices for common goods and services, achieving better value for the taxpayer.

### **Commercial Relationships**

Departments should consider what opportunities there are to lower the cost of the commercial contracts held by the public body and what options there might be to reduce and restructure these costs by renegotiating contracts:

- What contracts with a total contract value of £5m or more are held by the body or by the department on their behalf (by total contract value, annual value, start and expiry date, and supplier)?
- What opportunities will there be to renegotiate major contracts?

- What major procurements with a total project contract value of £5m or more will be conducted during 2017-21?

## Areas Subject to Cabinet Office Spending Controls

Unless agreed with the Cabinet Office by exception, the Cabinet Office controls cover all public bodies classified for national accounts purposes as central government. If bodies are expecting to commit expenditure covered by the controls, detailed guidance on what is required is available online at GOV.UK. The controls currently cover expenditure in:

- Advertising, marketing and communications
- Commercial Control, and dispute disclosure
- Digital and technology, including ID assurance
- Consultancy
- Property, including facilities management (FM)
- Redundancy and compensation
- External recruitment
- Learning and development (Civil Service Learning)

## Major Projects

Unless otherwise agreed by Cabinet Office and HM Treasury, all projects of public bodies that meet the criteria for inclusion on the Government Major Projects Portfolio (GMPP) come under the Infrastructure and Projects Authority (IPA) scrutiny and assurance processes. This includes the quarterly provision of project data to IPA in the form of GMPP returns, publication of key project facts in the IPA Annual Report under the transparency agenda, and projects being subject to IPA-led assurance reviews throughout their lifecycle.

## Workforce

Departments should consider the size and cost of the public body's workforce.

- What workforce reductions have already been agreed for the body? Is there potential to go further? Are these linked to digital savings referenced earlier?
- Are the pay and conditions of the workforce in alignment with public sector pay policy?
- What will the size of the body's workforce be in terms of FTE and cost for the following functional categories? Cabinet Office can provide standard definitions for each functional category:
  - Commercial
  - Communications
  - Corporate Finance
  - Digital
  - Finance
  - Fraud, Error, Debt and Grants
  - Human Resources
  - Internal Audit
  - Legal

- Project delivery
- Property

Departments should also consider to what extent cross-government services available are used by the body to deliver the above functional areas, and whether further efficiencies could be sought by using these services further.

## Construction

Collective action under the mandate of *Government Construction Strategy 2011-15* delivered £3 billion of efficiency savings over the life of the strategy. Departments should continue to consider increased productivity and savings the public body can make in line with the *Government Construction Strategy 2016-20*<sup>13</sup>, and should push as far as possible for these to enable the forecast efficiency savings of £1.7 billion by 2020, set out in the strategy, to be exceeded.

## Fraud, Error, Debt and Grants

Departments should consider whether the level of fraud, error and debt for their public bodies is understood and, if they are, what savings can be made through the increased prevention and detection of fraud and error loss, and the efficient and effective debt management and collection of overdue debt.

### Fraud and Error

- Does the organisation have the Counter Fraud Functional Standards in place?
- Does the organisation have a culture that embraces finding fraud and actively talks about and looks for it?
- Does the organisation have a comprehensive fraud risk assessment? Are the top five fraud risks understood at a senior level?
- Has a fraud and error measurement exercise been undertaken on spend areas where there are multiple similar transactions?
- If there are any significant losses through fraud and error, what reductions can be made through increased prevention or detection?
- What is the detected level of fraud and error loss in the last financial year?
- Is there an estimate of the current level of losses due to fraud and error?

### Debt

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<sup>13</sup> <https://www.gov.uk/government/publications/government-construction-strategy-2016-2020>



- Does the department, and each public body have a debt management strategy that has been agreed with their finance director, and adheres to Managing Public Money and the Consolidated Budgeting Guidance?
- Does the department, and each public body know:
  - The level of overdue debt in the last financial year?
  - How much debt was written off or remitted in the last financial year?
  - How much debt has the department collected, both internally and through external debt collection agencies, in the last financial year?
  - What savings could be delivered through preventing overdue debt arising upstream and using more effective and efficient routes for debt collection?
  - How to reduce losses due to writing off or remitting debt?
- Do you have a specific strategy or activity to increase recovery of fraud loss?
- Have you assessed your internal debt management capability?
- Do you have the capacity to actively manage your debt book and if not, have you considered use of the private sector to add capacity?

## Grants

For general grants made using Exchequer funding, departments should ensure that their public bodies are aware of and compliant with the minimum standards for government grants, published in December 2016<sup>14</sup>.

Departments should consider for their public bodies what are the appropriate funding mechanisms in delivering policies. Departments can make savings through understanding the objectives and outcomes of policies at the inception stages and utilise cross government best practice guidance and training in ensuring the efficiency and effectiveness of grant administration throughout the grants lifecycle provides best value-for-money.

- Have similar policies been undertaken previously?
- What was the lessons learned from previous similar grant schemes?
- Have the objectives / outcomes been defined appropriately for this scheme?
- Has a business case been undertaken with the appropriate funding options identified?

## Shared Services

The Next Generation Shared Services (NGSS) programme will deliver efficiencies in Government's back-office transactional costs including finance, HR and payroll. The NGSS Strategy was approved by the relevant cabinet sub-committee in February 2012 and published in December 2012. As part of the tailored review, departments should consider whether separate back-office functions are needed and cost effective. Departments should make the case for why their bodies are not delivering these functions through shared services in their

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<sup>14</sup> The minimum standards for government grants and accompanying guidance is published on gov.uk: <https://www.gov.uk/government/publications/grants-standards>

review. More detail on the sorts of questions departments should consider is given in the Next Generation Shared Service guidance.

A comprehensive review of Shared Services has begun across all departments which includes Arm's Length Bodies.

### *Crown Oversight*

A Crown Oversight Function (COF) in the Cabinet Office manages the contractual relationship with ISSC1 and ISSC2 (shared services centres) and the performance management of the stand-alone centres. COF is the gateway to the NGSS programme, acting as an independent entity able to advise departments and their bodies on NGSS 'fit' and advising on the suitability of the ISSCs for their specific needs.

Using shared back-office services to make savings is as relevant to public bodies as it is to departments. As part of the review, departments should consider why separate back office functions are needed and cost effective. Specific areas to explore with bodies are:

- Whether there is a business need for bodies to operate a full in-house back-office function?
- What drivers could support a change i.e. software upgrade, efficiency savings, contract renewal?
- What support would be needed to initiate a change?

If they have not already, departments should provide support to public bodies conducting a review of their back-office function, thinking carefully about:

- How cost effectively they currently deliver their back-office function?
- What cost savings and other benefits could be gained from a back-office transformation?
- What potential drivers there are for change?

**Annex 1: 'Menu' of example benefits**

|                              | <b>Example benefits</b>                                                     | <b>Cash releasing or income generating?</b> | <b>Type of benefit</b> | <b>Examples</b>                                                                                                                                                                                            | <b>Possible Quantitative measures</b>                                                                                                       |
|------------------------------|-----------------------------------------------------------------------------|---------------------------------------------|------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| Efficiency and effectiveness | Greater efficiency in support functions or increased use of shared services | Yes                                         | A or B                 | The review assesses the body's performance relative to its peers and recommends changes to improve performance.                                                                                            | £ Reduction in workforce or property costs compared to baseline year.                                                                       |
|                              | More efficient use of estate                                                | Yes                                         | A or B                 | The review assesses the properties occupied and concludes that efficiencies could be generated by implementing hot desking measures, reconfiguring office space or occupying fewer buildings.              | More efficient and cost-effective use of space (sq.m per FTE), (£/sq.m) or £ reduction in estates contract costs compared to baseline year. |
|                              | More efficient and flexible procurement and commercial contracts            | Yes                                         | A                      | Contract renegotiation through a competitive tender may yield cheaper delivery of services. This could include having a diversity of suppliers where this brings an advantage.                             | £ Reduction in costs of commercial contracts; Reduction in costs of procured commercial goods compared to baseline year.                    |
|                              | Improved performance outcomes                                               | Potentially                                 | B or C                 | The Arm's Length Body is able to process more customer queries for the same amount of money or lower expenditure by implementing some improvements in its operational processes.                           | Improved unit costs                                                                                                                         |
|                              | Improved income generation or return on capital employed                    | Yes (cash generative)                       | A                      | Services that have been provided to other organisations for free are now chargeable or charges are increased to the level of full costs where they were previously below this level.                       | £ generated/saved                                                                                                                           |
|                              | Increased user or customer satisfaction                                     | Potentially                                 | C                      | The body undertakes an analysis to understand the main sources of customer complaints. It then improves processes to avoid those complaints happening in the first place, improving customer satisfaction. | Better user outcomes; better customer satisfaction measured through surveys or other feedback mechanisms.                                   |

|                              |                                                                                    |                                                                                                                       |        |                                                                                                                                                                                                                                                                                                                                           |                                                                                                    |
|------------------------------|------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|
| Purpose, form and governance | Better alignment of ALB outcomes and objectives to strategic department priorities | Potentially (by focusing activity on value adding or priority areas, or stopping doing things that are not required). | C      | <p>The review assesses the success of the body in delivering on its priorities/KPIs and recommends actions to improve performance</p> <p>The review assesses the suitability of the strategy/priorities/KPIs with reference to the department's Strategic Delivery Plan and recommends changes so that they are more closely aligned.</p> | Comparison between Strategic Delivery Plans between different years showing an improved alignment. |
|                              | Improvement in staff morale                                                        | Potentially                                                                                                           | C      | Management take action on poor feedback from staff. This could eventually lead to higher productivity.                                                                                                                                                                                                                                    | Staff engagement scores from surveys                                                               |
|                              | Stronger internal controls and governance; Better risk management processes        | Potentially                                                                                                           | C      | <p>Review identifies that there is no framework document and recommends that one is produced.</p> <p>Review identifies that the composition of the board does not comply with the principles of good corporate governance, for example, there are no Non-Executive Directors, and recommends changes to address this.</p>                 | £ Reduction in losses relating to fraud, error and debt                                            |
|                              | Clearer or more clearly stated organisational purpose, or mission                  | Potentially (by focusing activity on value adding or priority areas, or stopping doing things that are not required). | B or C | Users are placed more clearly at the heart of the organisation's mission                                                                                                                                                                                                                                                                  | £ - Reduction in expenditure or improved performance outcomes for key areas.                       |
|                              | A more appropriate form for the function the body delivers                         | Potentially                                                                                                           | C      | The body is an NDPB with an advisory function and the review recommends that it becomes an expert committee.                                                                                                                                                                                                                              | Change in numbers of NDPBs                                                                         |
|                              | Ensuring the body's remit is fit for purpose                                       | Potentially (by focusing activity on value adding or priority areas, or stopping doing things that are not required). | C      | The National DNA Database Ethics Advisory Group's review identified areas where practice had moved on (for example, because of advances in technology). The review identified opportunities to revise the body's remit to cover these advances.                                                                                           | Revised governance documents that make the purpose of the ALB clearer.                             |
|                              | Improved relationship with sponsor body / OGDs                                     | Potentially (less staff time spent on engaging with ALB as                                                            | C      | Review identifies issues in the relationship between the ALB and sponsor department and recommends how this can be improved.                                                                                                                                                                                                              | Engagement/relationship index                                                                      |

|  |                                               |                          |   |                                                                                                                |                                                          |
|--|-----------------------------------------------|--------------------------|---|----------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
|  |                                               | more trust is developed) |   |                                                                                                                |                                                          |
|  | Better board effectiveness and NED engagement | Potentially              | C | Improved visibility of the body at departmental board<br><br>Greater involvement and engagement with ALB NEDs. | Number or ratio of NEDs.<br><br>Feedback from the Chair. |

## Annex C: Principles of Good Corporate Governance

### A guide for assessing good corporate governance

This guidance has been designed to assess good corporate governance in non-departmental public bodies (NDPBs) and can be adapted for assessing good corporate governance in executive agencies and non-ministerial departments.<sup>15</sup>

Corporate governance is:

- “the way in which organisations are directed, controlled and led. It defines relationships and the distribution of rights and responsibilities among those who work with and in the organisation, determines the rules and procedures through which the organisation’s objectives are set, and provides the means of attaining those objectives and monitoring performance. Importantly, it defines where accountability lies throughout the organisation.”<sup>16</sup>

### Good Corporate Governance

Good corporate governance is central to the effective operation of all public bodies. Departments should aim to introduce effective governance arrangements when setting up a new public body, and scrutinise these arrangements when the body undergoes a review. The review of governance arrangements should be led by the sponsoring department, working closely with the chair, and for executive NDPBs the CEO, who will have a key responsibility for ensuring that strong and robust corporate governance arrangements are in place. As a minimum, the controls, processes and safeguards in place in NDPBs should be assessed against the principles and policies set out in the relevant code of good corporate governance set out in this guidance. These reflect best practice in the public and private sectors and, in particular, draw from the principles and approach set out in *Corporate Governance in Central Government Departments: Code of Good Practice*<sup>17</sup>. For NDPBs established as companies, or which have charitable status, the public body must also be fully compliant with relevant statutory and administrative requirements.

### Comply or Explain

The “comply or explain” approach is the standard approach to corporate governance in the UK. In keeping with this approach, the department and NDPB will need to identify as part of the review any areas of non-compliance and explain why an alternative approach has been adopted and how this approach contributes to good corporate governance. Reasons for non-compliance might include the need for structures and systems to remain proportionate, commercial considerations or concerns about cost and value for money.

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<sup>15</sup> Cabinet Office will be designing additional guidance for executive agencies and non-ministerial departments in due course.

<sup>16</sup> *Corporate Governance in Central Government Departments: Code of Good Practice*, p.9. To be found at <https://www.gov.uk/government/publications/corporate-governance-code-for-central-government-departments-2017>

<sup>17</sup> To be found at <https://www.gov.uk/government/publications/corporate-governance-code-for-central-government-departments-2017>



## NDPBs: Principles of Good Corporate Governance

### Accountability

#### Statutory Accountability - Principle

The public body complies with all applicable statutes and regulations, and other relevant statements of best practice.

##### *Supporting provisions*

- The public body must comply with all statutory and administrative requirements on the use of public funds. This includes the principles and policies set out in the HMT publication *Managing Public Money*<sup>18</sup> and Cabinet Office/HM Treasury spending controls. The body must operate within the limits of its statutory authority and in accordance with any delegated authorities agreed with the sponsoring department<sup>19</sup>.
- The body should operate in line with the statutory requirements and spirit of the Freedom of Information Act 2000. It should have a comprehensive publication scheme. It should proactively release information that is of legitimate public interest where this is consistent with the provisions of the act.
- The body must be compliant with data protection legislation.
- The body should be subject to the Public Records Acts 1958 and 1967.

#### Accountability for Public Money - Principle

The accounting officer of the public body is personally responsible and accountable to Parliament for the use of public money by the body and for the stewardship of assets.

##### *Supporting provisions*

- There should be a formally designated accounting officer for the public body. This is usually the most senior official (normally the chief executive).
- The role, responsibilities and accountability of the accounting officer should be clearly defined and understood. The accounting officer should have received appropriate training and induction. The body should be compliant with the requirements set out in *Managing Public Money*<sup>20</sup>, relevant “Dear Accounting Officer” letters and other directions. In particular, the accounting officer of the NDPB has a responsibility to provide evidence-based assurances required by the principal accounting officer (PAO). The PAO requires these to satisfy him or herself that the accounting officer responsibilities are being appropriately discharged. This includes, without reservation, appropriate access of the PAO’s internal audit service into the NDPB.
- The body should establish appropriate arrangements to ensure that public funds:
  - are properly safeguarded;
  - used economically, efficiently and effectively;
  - used in accordance with the statutory or other authorities that govern their use; and
  - deliver value for money for the Exchequer as a whole.

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<sup>18</sup> To be found at <https://www.gov.uk/government/publications/managing-public-money>

<sup>19</sup> For NDPBs established as companies, or which have charitable status, departments should also ensure that the public body is fully compliant with relevant statutory and administrative requirements.

<sup>20</sup> To be found at <https://www.gov.uk/government/publications/managing-public-money>

The body's annual accounts should be laid before Parliament. The Comptroller and Auditor General should be the external auditor for the body.

### **Ministerial Accountability - Principle**

The minister is ultimately accountable to Parliament and the public for the overall performance of the public body.

#### *Supporting provisions*

- The minister and sponsoring department should exercise appropriate scrutiny and oversight of the body.
- Appointments to the board should be made in line with any statutory requirements and, where appropriate, with the Governance Code on Public Appointments<sup>21</sup>.
- The minister will normally appoint the chair and all non-executive board members of the body and be able to remove individuals whose performance or conduct is unsatisfactory.
- The minister should be consulted on the appointment of the chief executive and will normally approve the terms and conditions of employment<sup>22</sup>.
- The minister should meet the chair and/or chief executive on an appropriately regular basis.
- A range of appropriate controls and safeguards should be in place to ensure that the minister is consulted on key issues and can be properly held to account. These will normally include:
  - a requirement for the body to consult the minister on the corporate and/or operational business plan;
  - a requirement for the exercise of particular functions to be subject to guidance or approval from the minister;
  - a general or specific power of ministerial direction over the body;
  - a requirement for the minister to be consulted by the body on key financial decisions. This should include proposals by the body to: (i) acquire or dispose of land, property or other assets; (ii) form subsidiary companies or bodies corporate; and (iii) borrow money; and
  - a power to require the production of information from the body which is needed to answer satisfactorily for the body's affairs.
- The minister should ensure Parliament is informed of the activities of the body through publication of an annual report.

### **Roles and Responsibilities**

#### **Role of the Sponsoring Department - Principles**

The departmental board ensures that there are robust governance arrangements within the board of each public body. These arrangements set out the terms of their relationship and explain how they will be put in place to promote high performance and safeguard propriety and regularity.

There is a sponsor team within the department that provides appropriate oversight and scrutiny of, and support and assistance to, the public body.

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<sup>21</sup> To be found at:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/578498/governance\\_code\\_on\\_public\\_appointments\\_16\\_12\\_2016.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/578498/governance_code_on_public_appointments_16_12_2016.pdf)

<sup>22</sup> Where the Chief Executive will also be Accounting Officer for the public body, the Principal Accounting Officer in the sponsor department, usually the Permanent Secretary, should also be consulted.

### *Supporting provisions*

- The departmental board's regular agenda should include scrutiny of the performance of the body. The departmental board should establish appropriate systems and processes to ensure that there are effective arrangements in place for governance, risk management and internal control in the public body.
- There should be a framework document in place which sets out clearly the aims, objectives and functions of the body and the respective roles and responsibilities of the minister, the sponsoring department and the body. This should follow the template set out in *Managing Public Money*<sup>23</sup>. The framework document should be published. It should be accessible and understood by the sponsoring department, all board members and by the senior management team in the body. It should be regularly reviewed and updated.
- The department should set out its accountability relationship with the body within the Accounting Officer System Statement.
- There should be a dedicated sponsor team within the sponsor department. The role of the sponsor team should be clearly defined.
- There should be regular and ongoing dialogue between the sponsoring department and the body. Senior officials from the sponsoring department may as appropriate attend board and/or committee meetings. There might also be regular meetings between relevant professionals in the sponsoring department and the body.

### **Role of the Board - Principles**

The public body is led by an effective board which has collective responsibility for the overall performance and success of the body. The board provides strategic leadership, direction, support and guidance.

The board – and its committees – have an appropriate balance of skills, experience, independence and knowledge.

There is a clear division of roles and responsibilities between non-executive and executives. No one individual has unchallenged decision-making powers.

### *Supporting provisions*

- The board of the public body should:
  - meet regularly;
  - retain effective control over the body; and
  - effectively monitor the senior management team.
- The size of the board should be appropriate.
- Board members should be drawn from a wide range of diverse backgrounds.
- The board should establish a framework of strategic control (or scheme of delegated or reserved powers). This should specify which matters are specifically reserved for the collective decision of the board. This framework must be understood by all board members and by the senior management team. It should be regularly reviewed and refreshed.
- The board should establish formal procedural and financial regulations to govern the conduct of its business.
- The board should establish appropriate arrangements to ensure that it has access to all such relevant information, advice and resources as is necessary to enable it to carry out its role effectively.

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<sup>23</sup> To be found at Annex 7.2 *Managing Public Money*, <https://www.gov.uk/government/publications/managing-public-money>

- The board should make a senior executive responsible for ensuring that appropriate advice is given to it on all financial matters.
- The board should make a senior executive responsible for ensuring that board procedures are followed and that all applicable statutes and regulations and other relevant statements of best practice are complied with.
- The board should establish a remuneration committee to make recommendations on the remuneration of top executives<sup>24</sup>. Information on senior salaries should be published. The board should ensure that the body's rules for recruitment and management of staff provide for appointment and advancement on merit.
- The chief executive should be accountable to the board for the ultimate performance of the public body and for the implementation of the board's policies. He or she should be responsible for the day-to-day management of the body and should have line responsibility for all aspects of executive management.
- There should be an annual evaluation of the performance of the board and its committees – and of the chair and individual board members<sup>25</sup>.

### **Role of the Chair - Principle**

The chair is responsible for leadership of the board and for ensuring its overall effectiveness.

#### *Supporting provisions*

- The board should be led by a non-executive chair.
- There should be a formal, rigorous and transparent process for the appointment of the chair. This should be compliant with the code of practice issued by the Commissioner for Public Appointments<sup>26</sup>. The chair should have a clearly defined role in the appointment of non-executive board members.
- The duties, role and responsibilities, terms of office and remuneration of the chair should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance<sup>27</sup> and with any statutory requirements. The responsibilities of the chair will normally include:
  - representing the public body in discussions with Ministers;
  - advising the sponsoring department and Ministers about board appointments and the performance of individual non-executive board members;
  - ensuring that non-executive board members have a proper knowledge and understanding of their corporate role and responsibilities. The chair should ensure that new members undergo a proper induction process and is normally responsible for undertaking an annual assessment of non-executive board members' performance;
  - ensuring that the board, in reaching decisions, takes proper account of guidance provided by the sponsoring department or ministers;
  - ensuring that the board carries out its business efficiently and effectively;

<sup>24</sup> In government departments, the committee's responsibilities include setting bonus payments and scrutinising succession planning.

<sup>25</sup> The sponsoring department is responsible for assessing the performance of the chair. The chair is responsible for assessing the performance of non-executive board members.

<sup>26</sup> To be found at

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/578498/governance\\_code\\_on\\_public\\_appointments\\_16\\_12\\_2016.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/578498/governance_code_on_public_appointments_16_12_2016.pdf)

<sup>27</sup> *Public Appointments: Guidance to Departments*. To be found at <https://www.gov.uk/government/publications/code-of-practice-for-ministerial-appointments-to-public-bodies>

- representing the views of the board to the general public; and
- developing an effective working relationship with the chief executive and other senior staff.
- The roles of chair and chief executive should be held by different individuals.

### **Role of Non-Executive Board Members - Principle**

As part of their role, non-executive board members provide independent and constructive challenge.

#### *Supporting provisions*

- There should be a majority of non-executive members on the board.
- There should be a formal, rigorous and transparent process for the appointment of non-executive members of the board. This should be compliant with the code of practice issued by the Commissioner for Public Appointments<sup>28</sup>.
- The duties, role and responsibilities, terms of office and remuneration of non-executive board members should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance<sup>29</sup> and with any statutory requirements. The corporate responsibilities of non-executive board members (including the chair) will normally include:
  - establishing the strategic direction of the public body (within a policy and resources framework agreed with Ministers);
  - overseeing the development and implementation of strategies, plans and priorities;
  - overseeing the development and review of key performance targets, including financial targets;
  - ensuring that the body complies with all statutory and administrative requirements on the use of public funds;
  - ensuring that the board operates within the limits of its statutory authority and any delegated authority agreed with the sponsoring department;
  - ensuring that high standards of corporate governance are observed at all times. This should include ensuring that the body operates in an open, accountable and responsive way; and
  - representing the board at meetings and events as required.
- All non-executive board members must be properly independent of management<sup>30</sup>.
- All non-executive board members must allocate sufficient time to the board to discharge their responsibilities effectively. Details of board attendance should be published (with an accompanying narrative as appropriate).
- There should be a proper induction process for new board members. This should be led by the chair. There should be regular reviews by the chair of individual members' training and development needs.

### **Effective financial management - Principle**

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<sup>28</sup> To be found at <http://publicappointmentscommissioner.independent.gov.uk/the-code-of-practice/>

<sup>29</sup> *Code of Conduct for Board Members of Public Bodies*. To be found at <https://www.gov.uk/government/publications/public-bodies-information-and-guidance>

<sup>30</sup> "Independence" on private sector boards is determined according to criteria set out in the *UK Corporate Governance Code* (Paragraph B.1.1). To be found at <https://www.frc.org.uk/Our-Work/Codes-Standards/Corporate-governance/UK-Corporate-Governance-Code.aspx>

The public body has taken appropriate steps to ensure that effective systems of financial management and internal control are in place.

#### *Supporting provisions*

##### Annual Reporting

- The body must publish on a timely basis an objective, balanced and understandable annual report. The report must comply with HM Treasury guidance.

##### Internal Controls

- The body must have taken steps to ensure that effective systems of risk management are established as part of the systems of internal control.
- The body must ensure that an effective internal audit function is established as part of the systems of internal control. This should operate to government internal audit standards and in accordance with the Public Sector Internal Audit Standards<sup>31</sup>. The effective internal audit function could be provided by a cross-government supplier – e.g. Government Internal Audit Agency.
- There must be appropriate financial delegations in place. These should be understood by the sponsoring department, by board members, by the senior management team and by relevant staff across the body. Effective systems should be in place to ensure compliance with these delegations. These should be regularly reviewed.
- There must be effective anti-fraud and anti-corruption measures in place.
- There must be clear rules in place governing the claiming of expenses. These should be published. Effective systems should be in place to ensure compliance with these rules. The body should proactively publish information on expenses claimed by board members and senior staff.
- The annual report should include a statement on the effectiveness of the body's systems of internal control.

##### Audit Committee

- The board should establish an audit (or audit and risk) committee with responsibility for the independent review of the systems of internal control and of the external audit process.

##### External Auditors

- The body should have taken steps to ensure that an objective and professional relationship is maintained with the external auditors.

#### **Communications - Principle**

The body is open, transparent, accountable and responsive.

#### *Supporting provisions*

##### Communications with Stakeholders

- The public body should have identified its key stakeholders. It should establish clear and effective channels of communication with these stakeholders.

##### Communications with the Public

- The public body should make an explicit commitment to openness in all its activities. It should engage and consult with the public on issues of real public interest or concern. This might be via

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<sup>31</sup> Public Sector Internal Audit Standards can be found at: <https://www.gov.uk/government/publications/public-sector-internal-audit-standards>



new media. It should publish details of senior staff and board members together with appropriate contact details.

- The body should consider holding open board meetings or an annual open meeting.
- The body should proactively publish agendas and minutes of board meetings.
- The body should proactively publish performance data.
- In accordance with transparency best practice, bodies should consider publishing their spend data over £500. By regularly publishing such data and by opening their books for public scrutiny, bodies can demonstrate their commitment to openness and transparency and to making themselves more accountable to the public.
- The body should establish effective correspondence handling and complaint procedures. These should make it simple for members of the public to contact the body and to make complaints. Complaints should be taken seriously. Where appropriate, complaints should be subject to investigation by the Parliamentary Ombudsman<sup>32</sup>. The body should monitor and report on its performance in handling correspondence.

## Marketing and PR

- The public body must comply with the Government's conventions on publicity and advertising<sup>33</sup>. These conventions must be understood by board members, senior managers and all staff in press, communication and marketing teams.
- Appropriate rules and restrictions must be in place limiting the use of marketing and PR consultants.
- The body should put robust and effective systems in place to ensure that the public body is not, and is not perceived to be, engaging in political lobbying. This includes restrictions on board members and staff attending party conferences in a professional capacity<sup>34</sup>.

## Conduct and Behaviour - Principle

The board and staff of the public body work to the highest personal and professional standards. They promote the values of the body and of good governance through their conduct and behaviour.

### *Supporting provisions*

#### Conduct

- A code of conduct must be in place setting out the standards of personal and professional behaviour expected of all board members. This should follow the Cabinet Office code<sup>35</sup>. All members should be aware of the code. The code should form part of the terms and conditions of appointment.

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<sup>32</sup> This requires the public body to be listed in the Parliamentary Commissioner Act 1967. A list of bodies covered can be found at: <https://www.ombudsman.org.uk/>

<sup>33</sup> Government Communication Propriety Guidance: <https://gcs.civilservice.gov.uk/wp-content/uploads/2015/09/Government-Communication-Propriety-Guidance.pdf>

<sup>34</sup> Section 3, *Code of Conduct for Board Members of Public Bodies*. To be found at <https://www.gov.uk/government/publications/public-bodies-information-and-guidance>

<sup>35</sup> *Code of Conduct for Board Members of Public Bodies*. To be found at <https://www.gov.uk/government/publications/public-bodies-information-and-guidance>

- The body has adopted a code of conduct for staff. This is based on the Cabinet Office model code<sup>36</sup>. All staff should be aware of the provisions of the code. The code should form part of the terms and conditions of employment.
- There are clear rules and procedures in place for managing conflicts of interest. There is a publicly available register of interests for board members and senior staff. This is regularly updated.
- There are clear rules and guidelines in place on political activity for board members and staff. There are effective systems in place to ensure compliance with any restrictions.
- There are rules in place for board members and senior staff on the acceptance of appointments or employment after resignation or retirement. These are effectively enforced.
- Whistle-blowing procedures consistent with the Public Interest Disclosure Act<sup>37</sup> are in place.

## Leadership

Board members and senior staff should show leadership by conducting themselves in accordance with the highest standards of personal and professional behaviour and in line with the principles set out in respective codes of conduct.

## NDPBs (with Advisory Functions): Principles of Good Corporate Governance

Advisory NDPBs are set up to provide independent expert advice to ministers on an ongoing basis. They are usually established administratively (although some are set up by statute), financed directly by the department and supported by civil servants of the sponsor department. Advisory bodies are usually accounted for through the accounts of the sponsor department. By contrast, executive NDPBs are often set up through legislation, employ their own staff and prepare their own accounts for presentation to Parliament.

Corporate governance is defined as the way in which organisations are directed, controlled and led. Ultimately, it defines where accountability lies. This guide has been prepared to set out corporate governance arrangements for advisory NDPBs. It takes account of the principles set out in the Corporate Governance Code for Central Government Departments.

The attached framework sets out the broad principles of good corporate governance, and the policies that underpin these, which should apply to all advisory NDPBs. These principles should be applied in a proportionate manner, and when assessing adherence against these principles departments should employ the standard comply or explain methodology.

## Accountability

### Accountability - Principle

The minister is ultimately accountable to Parliament and the public for the overall performance, and continued existence, of the advisory NDPB.

#### *Supporting provisions*

- The minister and sponsoring department should exercise appropriate scrutiny and oversight of the advisory NDPB. This includes oversight of any public monies spent by, or on behalf of, the body.

<sup>36</sup> *Public Bodies Guide for Departments Chapter 5: Public Body Staff*. To be found at <https://www.gov.uk/government/publications/public-bodies-information-and-guidance>

<sup>37</sup> <https://www.gov.uk/government/publications/the-public-interest-disclosure-act>

- Appointments to the advisory NDPB should be made in line with any statutory requirements and, where appropriate, with the code of practice issued by the Commissioner for Public Appointments.
- The minister will normally appoint the chair and all board members of the advisory NDPB and be able to remove individuals whose performance or conduct is unsatisfactory.
- The minister should meet the chair on a regular basis.
- There should be a requirement to inform Parliament and the public of the work of the advisory NDPB in an annual report (or equivalent publication) proportionate to its role.
- The advisory NDPB must be compliant with data protection legislation.
- The advisory NDPB should be subject to the Public Records Acts 1958 and 1967.

## **Roles and Responsibilities**

### **Role of the Sponsoring Department - Principles**

The departmental board ensures that there are appropriate governance arrangements in place with the advisory NDPB.

There is a sponsor team within the department that provides appropriate oversight and scrutiny of, and support and assistance to, the advisory NDPB.

#### *Supporting provisions*

- Depending on the risks to the department's wider objectives and/or the size of the advisory body, the following arrangements may need to be put in place:
  - The departmental board's agenda should include scrutiny of the performance of the advisory NDPB proportionate to its size and role.
  - There should be a document in place which sets out clearly the terms of reference of the advisory NDPB. It should be accessible and understood by the sponsoring department and by the chair and members of the advisory NDPB. It should be regularly reviewed and updated.
  - There should be a dedicated sponsor team within the sponsor department. The role of the sponsor team should be clearly defined.
  - There should be regular and ongoing dialogue between the sponsoring department and the advisory NDPB.
  - There should be an annual evaluation of the performance of the advisory NDPB and any supporting committees – and of the chair and individual members.

### **Role of the Chair - Principle**

The chair is responsible for leadership of the advisory NDPB and for ensuring its overall effectiveness.

#### *Supporting provisions*

- The advisory NDPB should be led by a non-executive chair.
- There should be a formal, rigorous and transparent process for the appointment of the chair. This should be compliant with the code of practice issued by the Commissioner for Public Appointments. The chair should have a clearly defined role in the appointment of non-executive board members.
- The duties, role and responsibilities, terms of office and remuneration (if only expenses) of the chair should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance and with any statutory requirements. The responsibilities of the chair will normally include:

- representing the advisory NDPB in any discussions with ministers;
- advising the sponsoring department and ministers about member appointments and the performance of members ;
- ensuring that the members have a proper knowledge and understanding of their role and responsibilities. The chair should ensure that new members undergo a proper induction process and is normally responsible for undertaking an annual assessment of non-executive board members' performance;
- ensuring that the advisory NDPB, in reaching decisions, takes proper account of guidance provided by the sponsoring department or ministers;
- ensuring that the advisory NDPB carries out its business efficiently and effectively; and
- representing the views of the advisory NDPB to the general public, when required.

### **Role of other members - Principle**

The members should provide independent, expert advice.

#### *Supporting provisions*

- There should be a formal, rigorous and transparent process for the appointment of members to the advisory NDPB. This should be compliant with the code of practice issued by the Commissioner for Public Appointments.
- Members should be properly independent of the department and of any vested interest (unless serving in an ex-officio or representative capacity).
- Members should be drawn from a wide range of diverse backgrounds, but should have knowledge and expertise in the field within which the body has been set up to advise ministers. The advisory NDPBs as a whole should have an appropriate balance of skills, experience, independence and knowledge.
- The duties, role and responsibilities, terms of office and remuneration of members should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance and with any statutory requirements.
- All members must allocate sufficient time to the advisory NDPBs to discharge their responsibilities effectively.
- There should be a proper induction process for new members. This should be led by the chair. There should be regular reviews by the chair of individual members' training and development needs.
- All members should ensure that high standards of corporate governance are observed at all times. This should include ensuring that the advisory NDPB operates in an open, accountable and responsive way.

### **Communications - Principle**

The advisory NDPB should be open, transparent, accountable and responsive.

#### *Supporting provisions*

- The advisory NDPB should operate in line with the statutory requirements and spirit of the Freedom of Information Act 2000.
- The advisory NDPB should make an explicit commitment to openness in all its activities. Where appropriate, it should establish clear and effective channels of communication with key stakeholders. It should engage and consult with the public on issues of real public interest or

concern. This might include holding open meetings or annual public meetings. The results of reviews or inquiries should be published.

- The advisory NDPB should proactively publish agendas and minutes of its meetings.
- There should be robust and effective systems in place to ensure that the advisory NDPB is not, and is not perceived to be, engaging in political lobbying. There should also be restrictions on members attending party conferences in a professional capacity.

### **Conduct and behaviour - Principle**

Members should work to the highest personal and professional standards. They should promote the values of the advisory NDPB and of good governance through their conduct and behaviour.

#### *Supporting provisions*

- A code of conduct must be in place setting out the standards of personal and professional behaviour expected of all members. This should follow the Cabinet Office Code. All members should be aware of the code. The code should form part of the terms and conditions of appointment.
- There are clear rules and procedures in place for managing conflicts of interest. There is a publicly available register of interests for members. This is regularly updated.
- There must be clear rules in place governing the claiming of expenses. These should be published. Effective systems should be in place to ensure compliance with these rules.
- There are clear rules and guidelines in place on political activity for members and that there are effective systems in place to ensure compliance with any restrictions.
- There are rules in place for members on the acceptance of appointments or employment after resignation or retirement. These are enforced effectively.

## Annex D: Additional Guidance for Reviews of Public Sector Research Establishments

### Introduction

Public sector research establishments (PSREs) are a diverse collection of public bodies carrying out research. This research supports a wide range of Government objectives, including informing policy making, statutory and regulatory functions and providing a national strategic resource in key areas of scientific research. They can also provide emergency response services. They interact with businesses around a wide array of innovation-related functions.

### Purpose of the Guidance

This guidance provides a set of high-level principles to be considered for use alongside other existing guidance to inform decision making when reviewing the role and delivery model of PSREs. It provides a framework for considering the role, function and form of the PSRE and which delivery model best serves the role it is required to provide to the Government. It supplements the guidance contained in the core of this document with additional context for reviews of PSREs.

### How to use the guidance

This guide is to be used alongside the methodology described in this tailored review guidance and other Cabinet Office guidance on executive agencies<sup>38</sup>. Additionally reviewers should consult the Director of Business Innovation at the Department for Business, Energy and Industrial Strategy in order to ensure growth impacts are properly considered and to explore scope for efficiencies.

This guidance concentrates on the function and form of the PSRE. It provides a set of questions to be considered, and a framework which can be used when doing this.

### Overview of areas for consideration

Due to the unique nature of PSREs, sponsoring departments need to consider the functional areas alongside the delivery model which best serves them. The three key themes are:

- a) Policy and Regulation - the policy, regulatory and emergency response roles played by the PSRE which is supported by its scientific and technical expertise/capabilities and resources. This should also include services provided across Government, and in an international context. The PSRE may also support Government in enabling it to be an 'intelligent customer' for evidence and research.
- b) Science - the special scientific and technical capabilities, facilities and resources held or maintained by the PSRE and the importance of these to national or international research capability. The PSRE may also have a role in advanced scientific training and education, and the exploitation of technology.
- c) The economic / innovation system - the broader economic roles the PSRE plays in local, regional, national or international systems, such as knowledge transfer, commercialisation activity. It may also provide an advisory service, or have a role in setting and monitoring national or international standards and accreditation.

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<sup>38</sup> To be found at <https://www.gov.uk/government/publications/public-bodies-information-and-guidance>



## Review principles

The review must identify each of the functions of the body, and decide whether those functions are still required. Once decisions have been made on the future of those functions, the review can move on to consider each function in more depth.

The following basic principles should underpin the review process. They are split into two areas – the function and form of the PSRE.

### Function:

- A PSRE must support Government policy and decision-making through its capabilities, expertise and the assets it holds, and the activities it performs, playing a unique or distinctive role in policy/regulatory, science or economic/innovation systems. This is reflected in the PSRE's ability to support the goals, priorities, operations and service delivery of the sponsor and other departments, and to wider science and economic and innovation systems.
- Government needs to consider the public value it seeks to obtain in the short, medium and long-term, and how this can best be obtained. Not only must sponsors and customers be as clear as possible about their likely future needs, but the review must take into consideration cross-Government requirements and over-arching priorities.
- PSREs also function as supports to business in different ways of innovation and firm growth. The review should establish a clear understanding of these functions.

### Form:

- The review must focus on selecting a sustainable business model that can maintain the capabilities, expertise and assets required in the short, medium and long term whilst maximising value for money and avoiding state aid issues. The real costs of maintaining the capabilities, expertise and assets under alternative business models should also be fully considered.
- The possible risks and benefits of closer collaboration with other organisations where synergies might be achievable, within or, where appropriate, outside of the UK, should be considered as part of the business model review.
- The business model should maximise the exploitation of assets, knowledge, technology or expertise for economic benefit, so long as this does not jeopardise their ability to fulfil the role required by Government in the short, medium and longer term. The review must consider not simply the risks and opportunities to the sponsor or customer of alternative business models but must also consider cross-Government risks and opportunities.
- The existing business model should be as rigorously tested as any alternative models, and presumption should not be that the status quo must be the best way.

## Process

It is important to note that the review should not be a closed process involving only the sponsor and the PSRE. Users, including those in industry, audiences and cross-government stakeholders should be genuinely engaged in the review.

The review should ensure that it identifies and takes account of the strategic challenges and opportunities facing the PSRE. It is critical that this is done in consultation with stakeholders who understand the role and potential of the organisation (including those with experience of commercialising research) to help identify the range of opportunities available. This will help to develop a clear sense of the strategic priorities for the PSRE moving forward. Strategic thinking tools such as SWOT analysis and gap analysis may be useful in this regard.

The review framework on page 36 can be used to set out the issues identified with the roles and delivery model of the PSRE. The questions below should be used to supplement the framework.

### Reviewing the function of the PSRE

The first stage of the review should identify and examine the key functions of the PSRE. It should assess how the functions contribute to the core business of PSRE, the sponsor and wider stakeholders including the Government Office for Science, and should consider whether the functions are still needed.

1. Does the PSRE have a unique or distinctive role in national or international policy or regulatory systems?
  - a. Does it provide a statutory or regulatory service?
  - b. What policy advice or support roles does it have?
  - c. Does it provide an emergency response role for government?
  - d. Does it carry out foresight or horizon-scanning research, assessing future threats or challenges, and support longer term UK interests?
  - e. Does the PSRE contribute to cross government functions and capabilities?
  - f. Does the PSRE act as the intelligent customer for evidence and research commissioned from other bodies?
  - g. Does the PSRE perform an international policy role or otherwise contribute to the international obligations of government, for instance, participation in or monitoring for, intergovernmental or treaty bodies, collaboration with partner institutes in other countries?
  - h. Does the PSRE directly develop technology necessary to support one of the functions of Government?
2. Does the PSRE play a unique or distinctive role in its science field, either domestically or internationally?
  - a. Does the PSRE provide special expertise in particular research fields/problem areas? Does it play a distinctive role in major national or international research networks/collaborations/communities in these areas? Are there any barriers to collaboration that need to be addressed by this review?
  - b. Does the PSRE have particular expertise in specific techniques or research methods that are considered to be nationally or internationally important?
  - c. Does the PSRE hold unique resources such as research facilities, sample or specimen collections, datasets, or other resources that are considered to be nationally or internationally important?
  - d. Does the PSRE play a critical role in advanced scientific training and education in its research fields, problem areas, or in relation to its resources that is considered to be regionally, nationally or internationally important?
3. Does the PSRE play a unique or distinctive role/s in local, national, sectorial or international innovation systems, e.g. through the provision of expertise, contract research, special facilities, knowledge transfer, technical services, certification, accreditation, advisory or extension services, or through the provision of other support services or other kinds of 'public good' that the market would otherwise fail to provide?
  - a. Does the PSRE play a role in specific sectors or range of sectors, nationally or internationally?

- b. Does the PSRE provide a service which the market would otherwise fail to provide, or does not have the capabilities to do so?
- c. Does the PSRE play a role in a local economic zone or cluster?
- d. Does the PSRE play a special role in the setting of national standards?
- e. Does the PSRE play a special role in international standards setting activities?
- f. Does the PSRE have a role in encouraging inward UK investment through its international policy advice, monitoring or other roles?
- g. Does the PSRE support patterns of training and mobility that support particular sectors?
- h. Does the PSRE play a role in promoting translation of research?

### **Reviewing the delivery model of the PSRE**

The review should then consider how the function of the PSRE might best be delivered. The existing business model should be as rigorously tested as any alternative models. A checklist of delivery options is available at Annex A on page 10 of this document.

Reviewers should also consider the following questions:

1. How does the PSRE's business model support its particular role e.g. the governance relationship with its sponsor, financial accountability, performance management, HR issues, access to complementary funding streams, relationship with other clients inside/outside government, relationships with other countries, etc.? Could its role be underpinned sustainably by alternative business models? Could this be undermined by alternative business models? Could an alternative business model enhance its ability to carry out its role?
2. Are there other actors capable of playing or contributing to those roles?
3. Are there any constraints which affect the extent to which other actors might perform those roles? For instance, the specialised nature of the expertise/capabilities, resources or training in question, or the need to maintain expertise, facilities or resources required to underpin the special policy roles discussed above, capacity of the parent department/sponsor to act as an intelligent customer/commissioner may be constraints. Are there other reasons why these roles still need to be performed by the PSRE under the current business model? Even with such constraints, can these actors still be involved in some way?
4. Does the business model allow the PSRE to maximise commercial activities without compromising their ability to fulfil the role required by Government and its stakeholders? Would any change minimise complexity or reduce administration costs?
5. Does the business model have a positive or negative impact on the PSRE's eligibility for new or existing funding streams, or are there state aid issues which could arise? Are there implications on VAT exemptions which could affect its tax liability?

| <b>Review framework</b>                                       | <b>Theme 1:<br/>Policy &amp;<br/>Regulation</b> | <b>Theme 2: Science</b> | <b>Theme 3:<br/>Economic/<br/>Innovation<br/>System</b> | <b>Is this supported<br/>by the current<br/>business model?</b> | <b>Can other actors<br/>undertake this<br/>role?</b> | <b>What are the<br/>constraints on which<br/>other actors could<br/>perform this role and<br/>are there benefits?</b> |
|---------------------------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------------------------------|-----------------------------------------------------------------|------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Does the PSRE play a unique role in this area?                |                                                 |                         |                                                         |                                                                 |                                                      |                                                                                                                       |
| Does the PSRE have distinctive expertise?                     |                                                 |                         |                                                         |                                                                 |                                                      |                                                                                                                       |
| Does the PSRE play a specific government /statutory function? |                                                 |                         |                                                         |                                                                 |                                                      |                                                                                                                       |
| Does the PSRE have a cross government function?               |                                                 |                         |                                                         |                                                                 |                                                      |                                                                                                                       |
| Does the PSRE have an international function?                 |                                                 |                         |                                                         |                                                                 |                                                      |                                                                                                                       |
| Does the PSRE have the potential to commercialise this role?  |                                                 |                         |                                                         |                                                                 |                                                      |                                                                                                                       |
| Does the PSRE support businesses on innovation and growth?    |                                                 |                         |                                                         |                                                                 |                                                      |                                                                                                                       |

### **Summary of Considerations**

1. What are the short/medium/long term objectives of the government and how does the PSRE contribute to them?
2. Are other actors capable of playing, or contributing to, or offering assets in support of the roles and activities needed to fulfil the functions of the PSRE? Are there alternative business models which can deliver increased impact and/or overcome any current constraints including allowing other actors be involved?
3. Are there reasons why these roles should continue to be performed by the PSRE and how are the capabilities, assets, expertise and activities which support Government policy and UK interests sustainably underpinned by the current or a revised business model?
4. To what extent could alternative business models support the delivery of the PSRE's functions?
5. Under which business model is the PSRE most likely to maximise the exploitation of assets, knowledge, technology or expertise without risking the ability to generate the public value sought by Government in the short, medium and long term and without creating state aid issues or having an adverse impact on sources of funding?

### **Next Steps**

After examining the role of the PSRE and the most appropriate delivery model, the review should move to scrutinising the governance arrangements of the organisation and the scope for the body delivering efficiencies.

## Annex E: Additional Guidance for Reviews of NDPBs that Provide Scientific Advice to Government

Scientific Advisory Committees or Councils (both terms are abbreviated to SAC) help government departments (and other executive public bodies) access, interpret and understand the full range of relevant scientific information, and to make judgements about its relevance, potential and application. Such committees give advice on a very wide range of issues, spanning everything from the food we grow and eat, to the quality of our environment, the safety of our roads and transport, and the design of buildings we live and work in. They review, and sometimes commission scientific research, and offer independent expert judgement, including highlighting where facts are missing and where uncertainty or disagreement exists. SACs may be required to provide advice on the state of current knowledge, the application of information to specific issues, or both.

SACs that are NDPBs are subject to tailored review. Government Office for Science should be consulted as part of reviews of such advisory NDPBs, at a minimum as part of the development of the terms of reference of the review, and then later in the process once emerging recommendations are in place.

Further advice on the operation of Scientific Advisory Committees are available in guidance maintained by Government Office for Science, including the principles of scientific advice to government and the Code of Practice for Scientific Advisory Committees.<sup>39</sup>

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<sup>39</sup> To be found at <https://www.gov.uk/government/publications/scientific-advisory-committees-code-of-practice>



附錄四

文官學院資料

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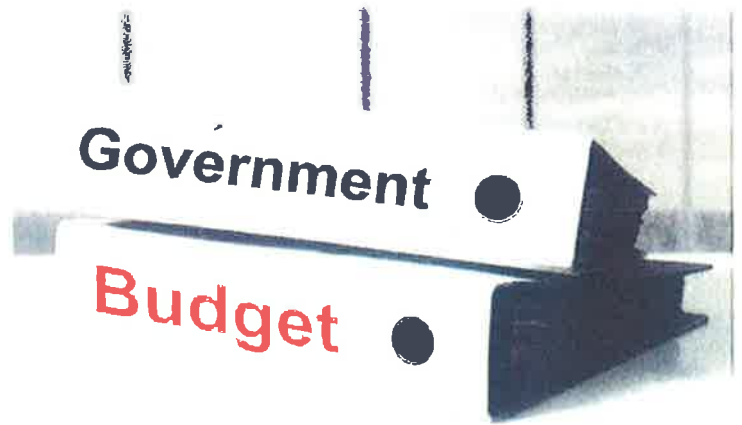
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# Effective Public Financial Management

## Aim:

Since the 1990s, there has been a surge of interest among international agencies in the way public sector budgets are set, managed, and reported on. This reflects not only an increased demand for transparency, but also recognition that effective public financial management (PFM) is pivotal to economic and developmental success.

This five-day programme provides a thorough insight in public finance management (PFM) for those who are involved in policy work, sector programmes, or have management responsibilities in government ministries, departments and agencies. It has been designed specifically with the developing country context in mind. This programme has been designed to better equip the participant to understand the full breadth of PFM functions that impact upon the work in their sectors.



## What you will learn:

- Be aware of the complex nature of PFM reform – the political dimension, the macro-economic context, the legal and regulatory framework, the institutional framework, the constraining dimension of functional linkages and the financial administration network
- Understand what is meant by political economy analysis
- Be equipped with some basic frameworks for identifying the strengths and weaknesses of a country's PFM systems.
- Be equipped with some basic analytical frameworks for looking at Public Finance Management – based upon the objectives for sound PFM: fiscal discipline, allocative efficiency and technical efficiency.
- Understand Budget Formulation; Budget Classification; Budget Preparation; Budget Execution encompassing Budget Releases, the Treasury Single Account, Commitment Control Systems, Establishment Control, the Expenditure Cycle, elements of payroll management and procurement, Financial Management and Reporting, and Internal Control; External Audit and Parliamentary Oversight
- Understand elements of revenue management (tax, non-tax, royalties, grants and dividends) as well as debt management
- Be able to question the nature of relevance of some popularly promoted PFM reforms – such as performance budgeting, budgeting by objectives, activity based budgeting, the use of MTEF, accrual accounting, IFMIS, and public-private partnerships



## Benefits of attending – You will be able to:

- Gain in-depth knowledge of best practice government finance processes
- Understand how all government finance roles should fit together
- Take your public sector finance skills to an advanced level
- Understand how to communicate with people who don't have a finance background
- Be able to move into a different public sector finance role

# PROGRAMME OUTLINE

## Day 1

### *Current approach to public finance*

- What is perceived as excellent financial management
- Key principles and themes in public finance
- Responsibilities of the Treasury, Ministers, National Audit Office and Parliament
- Conditions for use of public funds
- Conditions for access to the contingencies fund
- Governance structure in Central Government and Arm's Length Bodies

### *Obtaining funds*

- Sources of finance for Central Government Departments
- Sources of finance for Non-Departmental Public Bodies and Public Corporation
- Outsourcing
- Criteria for using private finance arrangements
- Tax system

## Day 2

### *Planning for public spending*

- Types of expenditure (Resource/Capital, DEL/AME)
- Processes of budgeting (Spending Review, Budget)
- Constraints and flexibilities (Budget Exchange, New burdens principle)
- Capital ranking exercise

### *Financial reporting*

- Sources of guidance: The Government Financial Reporting Manual
- Preparation and presentation of financial statements: annual report and accounts
- The statement of Parliamentary Supply
- Whole of Government Accounts
- Financial Reporting Advisory Board

## Day 3

### *Sources of financing*

- Outsourcing
- Public-Private Partnership
- Social impact bonds

### *Study visit – Alternative financial instrument – social impact bonds*

- Greater London Authority

## Day 4

### *Measurement and evaluation*

- Evaluation and performance monitoring
- Sources of guidance in the UK, e.g. The Green Book and The Magenta Book
- Case examples of value for money assessment and impact Evaluations

### *Study visit – Government's approach to Value for Money*

- Department for Communities and Local Government

## Day 5

### *Scrutiny of public finance*

- The role of internal audit
- Future of internal audit services in the public sector: a single integrated internal audit service?
- UK Bribery Act 2010
- Case studies on risk management, code of ethics and whistleblowing

### *Financial accountability*

- The role of the Public Accounts Committee
- The role of the Treasury Select Committee
- The role of the National Audit Office
- Managing Public Money Guidance
- Ministers and Accounting Officers

Duration: 5 days

Fees: £2,150

Date: 24th–28th July 2017  
Et 23rd–27th October 2017

Location: London

For further details and programme booking, please email Ade Arimoro on [ade@civilservicecollege.org.uk](mailto:ade@civilservicecollege.org.uk), or telephone him on +44 (0)20 8 069 9003



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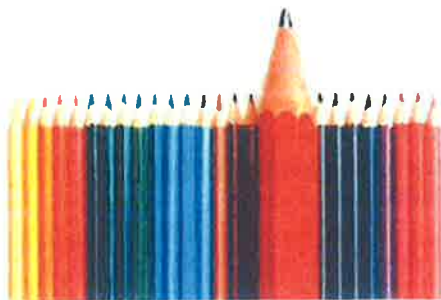


# Leadership and Capacity Building for Senior Public Sector Managers

## Aim:

Effective leadership is essential in current challenging times. Public bodies are asked to deliver more with fewer resources, and public leaders are required to anticipate and think tactically in the face of various possible futures.

This five-day programme is designed to guide those at the forefront of organisations who would like to bring about effective change. This programme offers participants opportunities to develop and practice their leadership skills. The programme will enable delegates to create a personal action plan based on the real issues they have brought to the training which will enable them to start delivering real improvements as soon as they are back in the office.



## What you will learn:

- What we actually mean by leadership and why effective change is impossible without it
- The different types of leadership challenges and the types of tools and techniques that work best for each
- How to effectively develop and utilise your core leadership skills
- How to plan and think strategically and anticipate different possible scenarios
- How to overcome resistance to change

## Benefits of attending – You will be able to:

- Anticipate, plan and lead transformational change
- Seek innovation and develop options for the delivery of organisational objectives
- Lead a high performing organisation with a shared sense of purpose, and common values that genuinely guide behaviour
- Develop the right team to deliver your strategic plan
- Enhance team performance and generate better output from your team

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*"The Quality of the training is excellent. All aspects have been well taken care of. The interaction with all the speakers was of excellent quality and it was good learning experience. I would also like to share this knowledge with my fellow colleagues in External Affairs."*

Deputy Secretary, Ministry of External Affairs, Government of India

*"The training met my expectations. It was very interactive and informative. Rather than providing solutions to issues, the trainer allowed discussion which ultimately generated action points and options to address the issues."*

Deputy Permanent Secretary, Turks & Caicos Islands Government

# PROGRAMME OUTLINE

## Day 1

### *What is leadership*

- Leadership and management
- Leadership and change
- Leadership and power
- Leadership influence on culture
- Key leadership skills

### *Creating a sense of purpose*

- Values and vision
- Developing and communicating the purpose
- Using storytelling framework to develop the right culture

## Day 2

### *Strategic Analysis*

- How to analyse the external environment
- How to analyse the internal environment
- Scenario development
- Resource based capacity review
- Knowledge based capacity review
- Value chain review

### *Strategic Analysis*

- How to combine external and internal analysis to identify the organisation's strategic sweet spot
- Environment, values, and resources

## Day 3

### *Strategic Development: Option generation*

- Porter's generic strategies
- The Ansoff Matrix
- Behavioural insights
- 5 option types

### *Study Visit – The importance of leadership in large infrastructure projects*

- Department for Transport

## Day 4

### *Strategic Delivery: Turning plans into action*

- Envision
- Engage
- Enable
- Enact

### *Strategic Delivery: Overcoming resistance to change*

- Adaptive leadership model
- Observe
- Interpretation
- Intervene

## Day 5

### *Developing the team*

- Getting the right people on the bus
- Recruitment
- Exciting staff
- The importance of diversity

### *Developing the team*

- Facilitating skill development
- Encouraging the right attitudes and mindsets
- Creating leadership throughout the organisation

Duration: 5 days

Fees: £2,150

Dates: 5th–9th June 2017  
Et 11th–15th September 2017

Location: London

For further details and programme booking, please email Ade Arimoro on [ade@civilservicecollege.org.uk](mailto:ade@civilservicecollege.org.uk), or telephone him on +44 (0)20 8 069 9003



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附錄五

106年9月13日英國各大報  
有關公部門待遇調整新聞剪輯



## Public sector

### Ministers face hard decisions to allow for higher pay

GEMMA TETLOW  
ECONOMICS CORRESPONDENT

The chancellor Philip Hammond has struggled to keep a lid on public sector pay since the election, with Conservative MPs demanding a break with austerity to stop Labour's advance.

It was Mr Hammond's predecessor, George Osborne, who first imposed pay restraint back in 2010, with a freeze and then a 1 per cent cap on pay rises.

When Mr Osborne extended that cap for four years in 2015, consumer price inflation of 1.7 per cent was predicted for this year. But data published yesterday showed CPI was 2.9 per cent in the year to August.

As a public sector workers' living standards have been squeezed, ministers have come under pressure to revisit pay plans. They announced yesterday that prison officers will receive 1.7 per cent, while the police will get a one-off 1 per cent bonus on top of their 1 per cent rise.

"The settlement for the prison service is in line with an independent pay review body's recommendations, while that for the police is less generous than the 2 per cent recommended by another review body.

However, more money has not been allocated by the Treasury – the extra pay will be "funded within existing budgets". The Ministry of Justice, which oversees prisons, needs a 17 per cent budget cut in real terms between 2016/17 and 2019/20, according to the Institute for Fiscal Studies. Its budget was cut by 27 per cent between 2010/11 and 2016/17, while spending on the police was cut by 14 per cent in real terms between 2010/11 and 2016/17.

The government has said police spending will be protected in cash terms until 2019/20, but that implies an 8 per cent cut after accounting for inflation. Difficult decisions are expected regarding what other spending should be pared back to allow for higher pay.

Figures published in March by the Office for Budget Responsibility suggest that if a 2 per cent pay rise was offered to all public sector workers rather than the planned 1 per cent cap, employee numbers would need to be cut by about 30,000 to stay within current budgets.

Prime minister Theresa May has favoured a lower pay regime. But Mr Hammond has argued the conservatives can never hope to match Labour in a contest on public sector pay and instead should make the case for sound public finances, which would benefit all.

In arguing for higher pay, the prisons pay review body highlighted difficulties in recruiting and retaining staff. The police body pointed to concerns about morale.

## May bows to pressure with end of public sector pay cap

- Police and prison officers lead way
- Unions attack below-inflation awards

ROBERT WRIGHT — LONDON  
SARAH O'CONNOR  
AND JIM PICKARD — BRIGHTON

The government is to lift the 1 per cent cap on annual pay rises for public sector workers, ending one of the most divisive austerity measures imposed by the Conservative-led government following the financial crisis.

Despite the concession, unions dismissed new pay offers for police and prison officers as "not good enough" in the face of rising inflation.

After seven years of pay control, the government announced a 2 per cent annual pay rise for the police – half in the form of a one-off bonus – and a 1.7 per cent average pay rise for prison officers. It also signalled more "flexibility" over budgets from next year.

But, coming on the day official statistics showed consumer price inflation rising to 2.9 per cent, the offers were attacked by unions as real terms pay cuts. Several unions intend to plan co-ordinated strikes to maximise pressure on the government.

Sensing momentum behind them, union leaders meeting in Brighton for the annual Trades Union Congress pushed for rises of at least 5 per cent for the 5m-strong public workforce.

Theresa May's office insisted there would be no negotiations, describing the announcement as a pay award, not an offer.

The prime minister has been under political pressure to win over less affluent voters, whom she promised to help before June's general election but whose

failure to back her contributed to the Conservatives losing their parliamentary majority.

Union leaders were almost unanimous in their condemnation, with Mark Serfaty, general secretary of the Public and Commercial Services Union, saying it is up to workers to "hold our nerve".

The pay rises for police and prison officers will be met from within departmental budgets for the current year. Steve Hallam, general secretary of the Prison Officers' Association, said the rise was "not good enough".

The move followed months of pressure as inflation ticked up, with most analysts blaming Philip Hammond, the chancellor, who framed the imposition of public finances of ending the cap. George, chief secretary to the Treasury, said "problems with recruiting and retaining public sector workers had played a key role in the decision".

"The government recognises that in some parts of the public sector, particularly in those of high shortage, special difficulty may be required to deliver what these public services include in order to improve them as public services should be delivered."

Prime minister Theresa May, told the BBC that if elected, she would end the "one-way" street all workers "the government has set".

While most public officers will receive a 2 per cent rise, the rest of the workforce on average could be expected for the current financial year. A further public sector pay award is expected to cost 1 per cent of GDP this year.



## FINANCIAL TIMES

'Without fear and without favour'

WEDNESDAY 13 SEPTEMBER 2017

### Trade unions have a role to play in Brexit Britain

Organised labour should avoid returning to a more militant age

Trade unions remain a potent political force in the UK. The government's decision yesterday to scrap the public sector pay cap – which had limited the overall pay bill for national and local government employees to one per cent annually – is a testament to their influence.

Along with the opposition Labour party, the unions have argued that public sector workers deserve a pay increase exceeding the rate of inflation. Political pressure has brought Theresa May, the prime minister, to a similar conclusion.

The unions have also flexed their political muscle in the Brexit process. The Trades Union Congress was one of the most vocal campaigners for the UK to remain in the EU, primarily on the basis of retaining the EU's social protections for workers. It has since become the most consistent voice for a softer approach to leaving the bloc.

Labour's welcome decision to endorse continued membership of the single market and customs union during a transition period followed campaigning by Frances O'Grady, general secretary of the TUC. The alliance between Jeremy Corbyn, opposition leader, and Len McCluskey of the powerful Unite union has ensured that traditional links between Labour and the unions remain strong.

The unions retain this political power despite declining influence in the workplace. From a peak of 13m members in 1979, just over 6m British workers are currently unionised. The unions are struggling to attract younger recruits: 40 per cent of members are over 50, while under 35s represent barely a quarter of membership.

They are also challenged by the changing nature of the British economy. Their traditional stronghold industries of manufacturing and transport have been transformed by auto-

mation and technology, undermining their collective bargaining power. To maintain influence in the workplace, unions will need to devote greater energy to new parts of the economy.

Politically, however, enhancing their power requires moderation. Their campaign against austerity has influenced both Labour and the Conservatives. The risk they face in a post-Brexit Britain is a return to a more militant attitude of the past, on trade and government intervention in business.

Britain's departure from the EU single market and customs union leaves the economy vulnerable. To remain competitive the UK will need to strike new trade deals for the first time in four decades. There will be a heated domestic debate about the benefits and costs of free trade. While Conservative politicians and big businesses are the strongest advocates of liberalisation, the unions could be drawn towards protectionism despite current calls for barrier-free trade with the EU.

At the same time, if European worker protections fall away, British workers will need a voice. Protecting rights and wages with tariffs and other trade barriers will not be the answer. Nor will returning to the era of mass strikes and state aid to select industries.

Unions can remain relevant if they use their power wisely. The success of the GMB union's employment tribunal against Uber (demanding basic rights for drivers) is an example of how unions can fight for better conditions with a more flexible workforce.

Britain's unions have an opportunity: their role is likely to become more important after the UK leaves the EU. They should deploy their influence by advocating for worker protections that fit an open economy and by fighting for workers in 21st-century industries that are driving economic growth.

After six years of pay restraint, the premium paid to workers in the public sector compared to similarly qualified people in the private sector is about the same as it was at the time of the crisis in 2008, according to the IFS. Salaries in the private sector fell as the crisis hit, while pay continued rising in the public sector, leading to a growing gap between the two. Public sector pay restraint since 2011/12 has narrowed the gap again.

The IFS has estimated it would cost £3.1bn a year by 2019/20 if pay across the public sector were increased in line with inflation from next year rather than capped at 1 per cent.

Additional reporting by George Parker



# THE TIMES

Wednesday September 13 2017 | thetimes.co.uk | No 72327

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Sir Peter Hall  
1930–2017

News Page 1  
Obituary Pages 82–83  
Broadcast Highlights Page 2

## Illegal strike threat from unions after pay cap row

Lucy Fisher, Francis Elliott  
Fiona Hamilton, Richard Ford

Three of Britain's biggest trade unions are threatening a wave of illegal strikes this winter if Theresa May refuses to lift the 1 per cent cap on pay rises for the whole public sector.

Union bosses representing more than two million workers issued warnings as the prime minister abandoned the seven-year cap to boost pay for two sectors yesterday. Jeremy Corbyn, the Labour leader, refused to condemn the threats and his party would not say whether it would back illegal strikes.

Mrs May awarded a pay increase of about 2 per cent to the police and 1.7 per cent for prison officers but said that the rises must be funded from existing budgets. The offer was branded pathetic and despicable by Frances O'Grady, the TUC general secretary. She said it fell far below the 2.9 per cent rise in prices revealed in inflation data yesterday.

Mark Serwotka, general secretary of the Public and Commercial Services Union (PCS) union, called the deal "a pile of crap".

The rest of Britain's 5.4 million other public sector workers must wait until the budget on November 22 before hearing about their pay next year. Three unions — Unite, the GMB and the PCS — raised the prospect of illegal strikes if the cap remained in place for them. Unions want a 5 per cent pay rise for workers including nurses, teachers and council staff.

Since March unions' strike ballots have been legally required to reach a turnout of 50 per cent of members. For ballots workers in "important public services" — firefighting, health, education, transport and border protection — 40 per cent of all those eligible to vote must back industrial action to render a strike legal.

Len McCluskey, general secretary of Britain's largest union, Unite, was asked yesterday whether he would back illegal strikes. "I will support our members," he said. "If that means we are outside the law, then so be it." Speaking at the TUC in Brighton, he added: "The reality is that the law is wrong and it has to be revised. I don't say it would have been interesting

Continued on page 2, col 3

## Teachers' pay down by 12% in decade

Rosemary Bennett Education Editor

Britain spends more than any other developed economy on education thanks to private schools and tuition fees, but teachers have failed to benefit, enduring a 12 per cent fall in the real value of their pay over the past decade.

A study by the Organisation for Economic Co-operation and Development (OECD) calculated the average statutory starting salary for a newly qualified primary teacher in England at

\$27,646 (about £20,980). This was lower than in 22 other countries and economies, including Germany, Ireland, South Korea and Portugal.

The findings will add to pressure on ministers to scrap the 1 per cent pay cap on public sector workers. Police and prison officers will have the cap lifted with the government accepting the recommendations of pay review bodies.

In the OECD, pay for primary and lower secondary school teachers has

risen by 6 per cent in the period and by 4 per cent in upper secondary schools.

Britain spends 6.6 per cent of GDP on education compared with an OECD average of 5.2 per cent. However, parents and students are subsidising the system by spending above-average sums, notably on tuition fees.

Turnover in teaching is high, but the OECD's Andreas Schleicher said that things were no different in other professions where people left to take other options.

CONTINUED FROM PAGE 1  
Union threats

Nelson Mandela or Mahatma Gandhi or the suffragettes you'd be telling them that they were breaking the law.

There is a "strong likelihood" of co-ordinated action between unions, he warned. Tim Roache, general secretary of the third biggest union, GMB, told a TUC fringe meeting: "As public sector unions we are pulled... whether it takes us into strike action, whether it takes us into unlawful action, in pursuit of the right of our members to get a decent pay rise... the GMB is proud to stand alongside the Fire Brigades Union, the PCS and all other unions."

Mr Serwotka said that if a ballot came close to the government-imposed threshold, there would be an "overwhelmingly moral and just case to say the law is illegitimate".

He suggested that co-ordinated action this winter could resemble the strike over public sector pensions in 2011 when up to two million workers walked out. The strikes orchestrated by the TUC, prompted 60 per cent of schools in England to close and 6,000 NHS operations to be cancelled. It was described as the biggest round of action since the 1979 winter of discontent.

Steve Gillan, general secretary of the Prison Officers Association, also refused to rule out illegal strike action by some of its members.

Mr Corbyn said that how strike

### Where they stand on strikes

**Unite**  
General secretary Len McCluskey  
Membership 1.28m  
"If... we are outside the law, then so be it."

**GMB**  
General secretary Tim Roache  
Membership 623,000  
"We are united, whether

it takes us into strike action, whether it takes us into unlawful action"

**PCS**  
General secretary Mark Serwotka  
Membership 195,000  
An illegal strike supported by a tiny minority would be "dall", but a close ballot

would entail "an overwhelmingly moral and just case to say the law is illegitimate"

**Union**  
General secretary Dave Prentis  
Membership 1.26m  
Call for widespread marches and lobbying before walkouts.

action was carried out was "a matter for the unions". Richard Burgon, shadow justice secretary, also side-stepped criticising them. In its manifesto Labour pledged to repeal the Trade Union Act so the type of strikes referred to would become legal. It remained unclear last night whether the party would support strikes that are at present against the law. Paul Blomfield, shadow Brexit minister, condemned unlawful action. "I don't think there should be illegal strikes," he told the BBC. "We are a party that respects the law."

Police leaders welcomed the pay rise but expressed concern that it would be allocated from shrunken budgets after years of austerity. Many of the 11 police forces in England and Wales had budgeted for a 1 per cent pay rise but will have to dig into reserves or further cut

services and investigations to fund the £50 million bonus.

Matthew Ellis, the Tory PCC for Staffordshire, said he had been able to handle four years of budget cuts until recently when demand and extra resources required for the terror threat had tilted the balance. He said he was "very disappointed" that the government had not offered funding for the bonus pay.

Strikes over the role of guards on trains may spread to a fourth network. The Rail, Maritime and Transport union (RMT) could walk out on the Greater Anglia line before the end of the month after members voted overwhelmingly in favour of strikes. It caters for 82 million passenger journeys a year. There have been strikes on Southern, Northern and Merseyrail. The RMT is balloting for South Western.



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page 36 →



The Pansy Club  
The invention of  
gay club culture

Glenn Close  
'I'm an outsider  
looking in'



Reviews  
Film: Mother!  
★★★★★  
Pop: Foo Fighters  
★★★★



# the guardian

## NHS unions make £3bn pay demand

Call for 3.9% rise after May signals  
end of public sector wage restraint

Denis Campbell  
Health policy editor

Health unions have ramped up the pressure on Theresa May over public sector pay by demanding a 3.9% rise for 1 million NHS staff plus an extra £800 to make up for lost earnings during austerity.

Health service personnel from nurses and midwives to paramedics and therapists across the UK are urging Philip Hammond to ensure they receive a salary boost that would add an extra £3bn to the NHS pay bill.

Emboldened by this week's scrapping of the pay restraint introduced by the coalition government in 2010, NHS staff say their claim would "stop the rot" in the real-terms cut in their earnings they have experienced as a result of seven years of 1% rises or pay freezes.

"Health workers have gone without a proper pay rise for far too long," said Sara Gorton, head of health at Unison, which has coordinated a joint letter from the 14 unions to Hammond in a direct plea that bypasses the NHS Pay Review Body, which has set their salary rises since 1986.

"Their wages continue to fall behind inflation as food and fuel bills, housing and transport costs rise. NHS staff and their families need a pay award that stops the rot and starts to restore some of the earnings that have been missed out on," Gorton added.

The £800 additional payment the unions are seeking is, in effect, back pay for seven years of 0% and 1% pay rises that they claim have seen wages fall by 15% in real terms. The unions' joint demand comes at the end of a torrid week for May and Hammond over public sector pay, discontent over which played a key role in the election campaign and Labour's surge in popularity under Jeremy Corbyn. Mounting pressure forced May to

abandon the 1% cap on Tuesday in a symbolic rejection of austerity. The police will now get 2% next year while prison officers will get 1.7%, though funding must come from within existing budgets. Then on Wednesday the precariousness of May's position as head of a minority government was underlined when Democratic Unionist MPs, who are keeping the Conservatives in power, backed a Labour motion in the Commons calling on ministers to "end the public sector pay cap in the NHS and give NHS workers a fair pay rise".

However, the size of the 3.9% claim puts the government in a difficult position. Ministers recognise that holding down NHS staff pay has helped to exacerbate the service's workforce shortages. Jeremy Hunt, the health secretary, has recently championed the case for nurses receiving a pay boost several times.

But experts say the service's budget is already so stretched that meeting the unions' demands would force the Treasury to foot the bill as the NHS could not meet the cost from existing resources.

"This is a large amount of money that they are asking for," said Anita Charlesworth, director of research and economics at the Health Foundation thinktank and a former director of public spending at the Treasury.

"It's completely understandable that the unions' pay claim is an attempt to make up the lost ground in earning power of NHS wages. But the NHS isn't funded at a level that would enable it to afford a pay increase at that level," she added.

Saffron Godery, director of policy and strategy at NHS Providers, which represents hospital trusts, said: "Staff morale is suffering. We need an end to pay restraint that is funded with new money. The NHS is already overstretched financially and

Continued on page 7 →

## NHS staff call for backpay over austerity

← continued from page 1

any requirement to divert more scarce resources into pay would inevitably impact on patient care."

Jon Skewes, director of employment relations at the Royal College of Midwives, said "this claim represents fair compensation for the rise in the cost of living" that has eroded the value of NHS personnel's pay. Midwives' salaries have lost £6,000 in value since 2010 and pay restraint has helped leave the NHS short of 3,500 midwives, Skewes said.

Inflation as measured by the consumer price index (CPI) rose to 2.9% in August. That is the more commonly accepted measure of changes to the cost of living, which the TUC and Corbyn have used in public debate over the cap recently. The unions say the 3.9% boost they want is "a pay rise in line with inflation", but their claim is based on the alternative retail price index (RPI), which says that inflation is running at 3.9%, far higher than the CPI definition. The unions say the RPI takes better account of the rising cost of housing and better reflects the financial pressures NHS staff are under.

Then bid comes as signs are growing that the government may use targeted pay to give certain groups of NHS staff a bigger increase than others and also to tackle acute shortages in some areas.

Nurses are likely to benefit from this approach if Hammond decides to use it. Those in London, where the NHS is struggling to fill 15,000 nursing vacancies, may receive even a cash rebate to offset the higher living costs, especially housing.

Ministers did not reject the unions' pay claim, despite its size. But a government spokesman said all claims from across the public sector would be considered during the budget-setting process and that NHS staff would get a "fair" rise.

"Public sector workers, including NHS staff, do a fantastic job and the government is committed to ensuring they can continue to deliver world-class public services," the spokesman said.

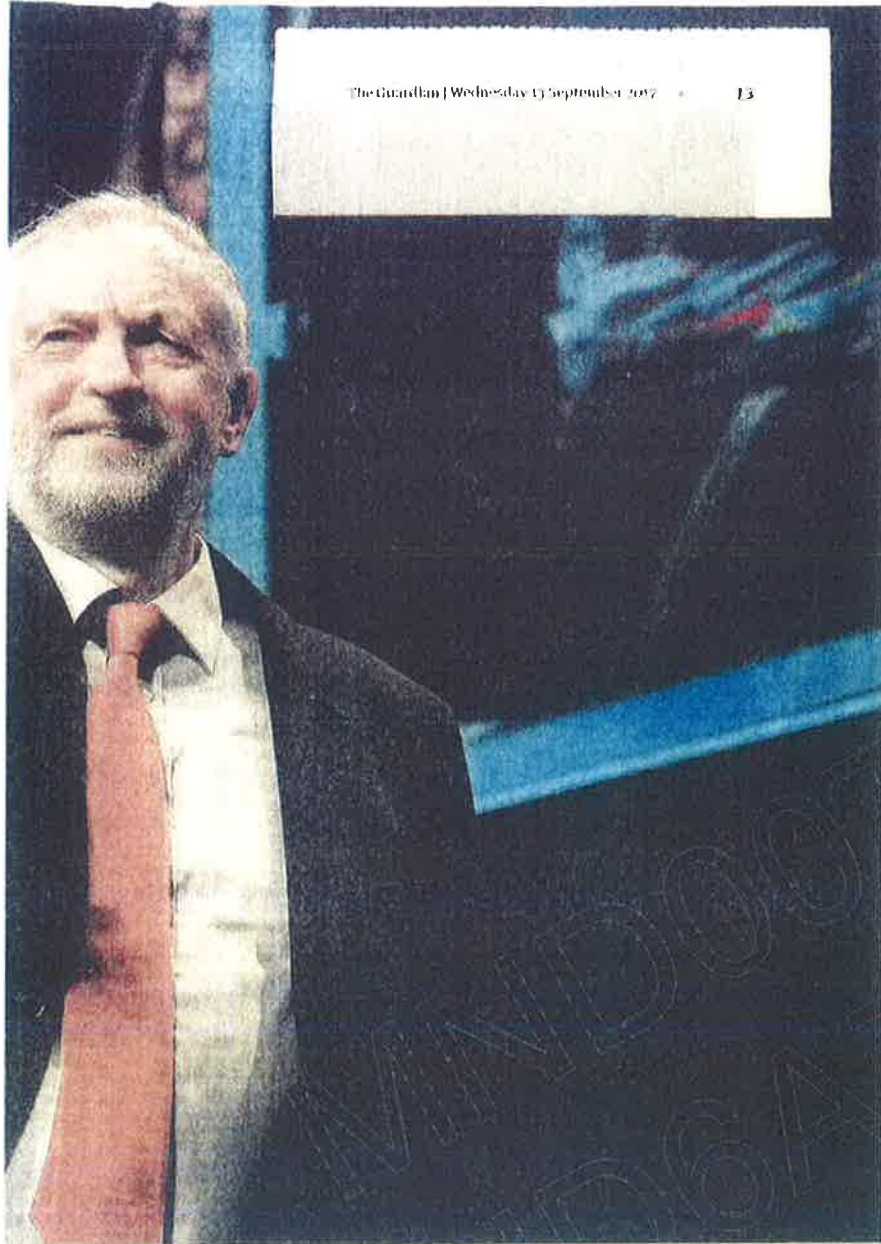
The government will continue to ensure that the overall package is fair while also being affordable to taxpayers as a whole.

"The detail of 2018/19 pay remits for specific pay review bodies will be discussed and agreed as part of the budget process and will be set out in due course."



NHS pay has played a part in Labour's resurgence under Jeremy Corbyn





# Inflation Squeeze on households

Phillip Mann

The squeeze on Britain's living standards worsened last month after the increased cost of importing fuel, clothes and food pushed inflation back up to 2.9%, from 2.6% in July.

Women's clothes were among the items to jump in price in August as the low value of the pound earlier this year pushed up prices in sectors heavily dependent on imported goods.

Labour and the Liberal Democrats said the spike in prices, equaling a four-year high in the consumer price index (CPI) reached in May this year, had put pressure on Theresa May to yesterday scrap the 1% pay cap for all public sector workers.

The latest pay figures are due today and will be keenly watched after three months of rising wage growth, to an annual rate of 2.1% in June.

The Bank of England will give its verdict on the economy on Thursday, when it will judge how much effect the pay squeeze from below-inflation wage rises is having on GDP growth.

In its most recent state of the nation report, Threadneedle Street's monetary policy committee (MPC) said it expected inflation to plateau at about 3% before falling back, while wages were forecast to maintain their upward trajectory, possibly bringing to an end the recent fall in real incomes by the end of the year.

But the Bank could come under pressure to bring inflation down more quickly, leading some City traders to speculate that the MPC may be forced to raise interest rates sooner than had been expected. An

then would be 11 years is on the cards for August next year.

The expectation of an early rate rise pushed the pound to its highest level for a year against the dollar. Sterling rose by just over a cent to hit \$1.327 just after the figures were released. The pound was expected to remain at elevated levels until the central bank's interest rate policy becomes clearer.

The Office for National Statistics said much of the rise in inflation could be attributed to the increasing cost of imports, which have risen steeply in price after the collapse in the pound following the Brexit vote - though the rising cost has taken longer to filter through to the high street than many analysts believed.

Clothing and footwear, most of which is imported, jumped in price by 4.6% year on year after a sharp rise in the price of women's clothing pushed the average price up by 2.4% between July and August.

Fuel costs also rose with petrol prices jumping by 1.8 pence per litre. The Resolution Foundation said that with the poorest fifth of households spending almost twice as much of their income on food and clothing as the richest fifth of households, lower income families are seeing the fastest inflation increases.

Stephen Clarke, policy analyst at the thinktank, said: "The return of rising inflation after a two month pause will put further pressure on already stretched household budgets.

"This time last year the falling cost of food and clothing provided crucial relief for low income families in particular. But the rising cost of imports has meant that

# May faces pay backlash after lifting 1% cap

continued from page 1

rewarded. The government takes a balanced approach to public spending, dealing with our debts ... while also making sure we invest in our public services.

"The government recognises that in some parts of the public sector, particularly in areas of skill shortage, more flexibility may be required to deliver world-class services, including in return for improvements to productivity."

The spokesman said that the specific remit for the various pay review bodies on how high they could go for rises in 2018-19 would be "agreed as part of the budget process and set out in due course".

There was, he added, a need for pay discipline over the coming years.

Doubts about whether this will actually mean higher pay rises were increased by a media briefing document for ministers on the issue, seen by the Guardian. Although it largely used the same language as May's spokesman, one passage was more explicit, saying that for 2018-19 "there will no longer be an across-the-board policy of basic pay awards". However, this section was crossed out by hand, indicating it should not be used.

A written statement from Liz Truss, the chief secretary to the Treasury, gave further details. It showed the extent of the rise for prison officers would vary, depending on factors including the recipients' pay bands and performance ratings.

For police, the statement showed that while the 1% rise would apply to all officers, the extra 0.5% is only for so-called fed-

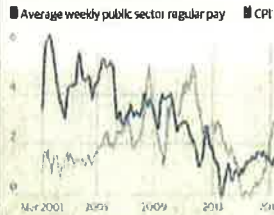
## The public sector in data

Public spending in 2017



SOURCE: IFS

Public sector pay growth is 1.4%, 1.5 points below inflation (year-on-year % change)



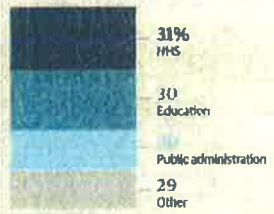
SOURCE: RESOLUTION FOUNDATION, ONS

Employment in the public sector accounted for 17.1% of the workforce in 2016 - 5.4 million people



SOURCE: ONS, LABOUR FORCE SURVEY AND PUBLIC SECTOR RETURNS

3.1 million people were employed in the NHS and education sectors in March 2016, 61% of the total public sector workforce



SOURCE: IFS, ONS

Change in public sector employment, thousands



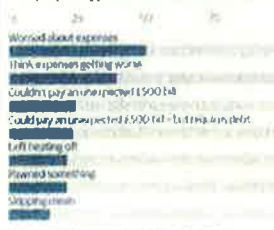
SOURCE: ONS, MARCH 2015 TO MARCH 2017, SEASONALLY ADJUSTED

How much public sector wages would be down in real terms if the pay cap continued until 2020, %



SOURCE: TUC, NPS IN 2016 PRICES

In 7 people stopped meals to make ends meet



# Schools Teachers' earnings fall 12% over past decade

Sally Weale  
Education correspondent

Teachers' salaries in England have dropped by more than a tenth in the last decade while their earnings have risen in comparable countries, according to an influential international organisation.

A survey by the Organisation for Economic Co-operation and Development (OECD) shows that teachers' salaries in England were worth 12% less in 2015 than in 2005 and 6% less in Scotland.

This contrasts sharply with trends elsewhere in OECD countries, where teachers' salaries have gone up in real terms by an average of 10% at pre-primary level and 6% at primary, with the rate of growth slightly slower at secondary level.

The study was published yesterday, the same day that the government said it would from next year lift the long-standing 1% annual cap on public sector pay rises, which has been holding down teachers' salaries and contributing to a crisis in teacher recruitment and retention, according to unions. According to the teachers' union NASUWT, the average pay award for teachers last year was 0.6%.

In a separate report yesterday, the government's spending watchdog, the National Audit Office, said secondary schools in England were struggling to recruit enough teachers to keep up with retiring staff and rising pupil numbers. Tens of thousands of teachers left schools before reaching retirement age last year, and headteachers are finding it difficult to fill posts with good-quality candidates.

The decreasing value of teachers' salaries in England is revealed in the OECD's annual Education at a Glance survey, which provides a picture of the state of education around the world, comparing data in 35 OECD nations plus a number of partner countries.

The broad trend shows the impact of the economic downturn in 2008, with

Average pay rise for teachers last year, according to the NASUWT union. English secondaries are struggling to recruit teachers



pay generally frozen or cut between 2009 and 2013, before starting to increase again, but England's teachers appear to be falling behind. The report notes: "Among the half of the OECD countries with available data on statutory salaries of teachers with typical qualifications for 2000 and 2015 (and no break in the time series), teachers' salaries increased overall in real terms in most of these countries during this period." England was a notable exception, the report said.

"On average across OECD countries and economies with available data for 2005 and 2015 reference years, salaries increased by 6% at primary level, 6% at lower secondary level and 4% at upper secondary level."

The increase exceeded 20% in Poland at pre-primary, primary and secondary levels, as a result of a 2007 government programme that aimed to boost teachers' salaries and to improve the quality of education by providing financial incentives to attract high-quality teachers.

There were also significant increases in Israel, Latvia, Luxembourg, Norway and Turkey, while teachers' salaries decreased in Portugal and also in Greece, where they went down 28% in value. In England and Scotland, as in most OECD countries, teachers are paid less on average than other university-educated workers.

The OECD report also shows that the UK spends the highest proportion of GDP on primary to tertiary educational institutions (6.6% compared with the OECD average of 5.2%), while an above-average share of funding comes from private sources rather than public spending.

While the UK allocates a larger proportion of public spending to education overall than the OECD average, at university level only 28% of expenditure comes from public funding because students pay their own tuition fees, compared with the OECD average of 70%. The OECD survey also notes that tuition fees in England are





addresses the TUC congress in Brighton, where many unions backed a motion calling for a 5% increase for all public sector staff. Left, nurses protest against the 1% cap on pay. Photographs: Gareth Fuller/PA; Yui Mok/PA



# Unions ready to defy law over pay, warns McCluskey

Kevin Swafford  
for the Guardian

Leader of Britain's biggest trade union, Mick McCluskey, has threatened to break the law over the government's plan to scrap the public sector pay cap for all workers, claiming that anyone doing so will be following in the footsteps of Gandhi, Nelson Mandela and the suffragettes. After Jeremy Corbyn and a succession of other leaders criticised an offer from ministers to immediately increase pay just for the police and prison officers, McCluskey, leader of Unite, said unions had to be prepared to back their members in the event of laws that were wrong. McCluskey, whose union is Labour's largest, said he was ready to defy legal requirements in pursuit of a pay rise for public sector workers. "In terms of the concept of a coordinated public service workers' action, yes, that's very likely and very much on cards. If the government has pushed outside the law, they will have to stand the consequences," he said. Following the introduction of trade union legislation, which required a 50% lot turnout, the need to always achieve the law had been removed from

Unite's leader, Len McCluskey, said: "If government has had us outside law, they will go to stand the consequences"



Unite's rule book, McCluskey added, and that he and other union members felt they were willing to go to jail and uphold other historic figures by standing by their principles. "The reality is that the law is wrong. It has to be resisted. I dare say if you'd been interviewing Nelson Mandela, Mahatma Gandhi or the suffragettes, I'd be telling them that they were breaking the law." The threat follows a cabinet agreement last week confirming that police would receive a 2% pay rise for 2017-18 - half of which would be a one-off "non-consolidated" bonus - and that prison officers would get an average 1.7% rise. But the increases will still be lower than inflation rate, which at 2.9% has risen more than economists expected, meaning the offer is a real terms reduction. The Prison Officers' Association has accepted the offer and is planning to coordinate an indicative ballot of members outside the PCS, the civil servants union, to see if members support a strike. The pay announcement is unlikely to find its content in many parts of the public sector, including the NHS. The Royal College of Nursing is threatening a strike, and the UCU, the lecturers union, is consulting members over pay. Many public sector unions backed a motion before TUC congress on Monday asking for a 5% increase for all public sector staff, which would cost the treasury £5bn. Mark Serwotka, head of the PCS, the

said he might be prepared to break the law under certain circumstances. "The law is wrong. But our union's response really does depend on the response we get from our own indicative ballot for industrial action from our members," he said.

The UCU (University and College Union) is planning to consult members over possible industrial action. At least 12 unions have condemned the pay offer but most have taken a more cautious position than McCluskey and Serwotka.

Frances O'Grady, the TUC general secretary, said that a general strike would be a "last resort".

The GMB said the money for the police and prison officers would come from existing departmental budgets rather than new central government funding, so public services would be hit still harder.

Rehana Azam, GMB national secretary for public services, said: "The idea that we have to choose between decent pay for public sector workers and properly funded services is a false choice."

Dave Prentis, general secretary of Unison, called the government's move a "tiny step" in the right direction but not enough. "There must be no selective lifting of the cap. No one part of the public sector is any more deserving than the rest," he said.

Leading unions passed a motion at congress on Monday calling for joint action against the 1% public sector pay cap. The composite motion called for "immediate steps to develop a coordinated strategy of opposition to the pay cap ... including ... pay demands, campaign activities, tactics, ballots and industrial action".

Privately some senior union figures have accused McCluskey and Serwotka of grandstanding and claim that neither of them will break the law and that they will struggle to get enough support for a strike.

"They are both looking for cheap headlines. This will be hammered out with the government in the usual way," one said.

Senior Labour figures are at present steering clear of offering their support for illegality in pursuit of improved pay and conditions.

The shadow justice secretary, Richard Burgon, refused five times to say whether he would back illegal strike action. "We support trade unions and the campaign of people to get the public sector pay cap scrapped. It's for the trade unions to decide what actions they take," he told the BBC's Today programme.

He added: "In relation to the question of turnouts in strike ballots, what we have always been supportive of is encouraging as many people to vote as possible. What a Labour government would do would be to repeal the Trade Union Act, which is seeking to stop trade unions from taking action to stop ordinary people ... from suffering a 14% pay cut in real terms."

The Liberal Democrats' leader, Vince Cable, called for the pay cap to now be lifted across the board. He said: "Nurses, teachers and other public sector workers are set to be hundreds of pounds worse off in real terms as a result of rising inflation. Unless urgent action is taken, the recruitment crisis in nursing and teaching will

## Analysis

# Hammond refuses to be blown off course

Philip Inman

Philip Hammond's re-emergence as a power in the cabinet can be seen clearly as the battle rages inside the government over the thorny question of public sector pay.

There may have been a green light from No 10 to rip up the current 1% public sector pay cap and allow the police and prison officers a 1% bonus, but the Treasury has made sure the bonus is not part of the workers' consolidated, pensionable pay and is funded from within existing budgets. And the police and prison officers, as a group amount to only one in 20 public sector workers. So headlines implying that the 1% cap is in jeopardy across the board are, as yet, premature.

Hammond is refusing to be blown off course to save the government abandoning its third attempt to balance the books by a much-publicised future date. After George Osborne scrapped 2015 and then 2020 as the moment the exchequer achieves a budget surplus, he is determined to stick to 2025, as outlined in the manifesto.

Britain has suffered from the longest period of earnings stagnation for 150 years, according to last week's IPPR economic justice commission report, and since 2011 public sector employees have taken a bigger hit to their salaries than the average worker in the private sector. It is not clear Hammond can hold the line and at the same time implement his own pet projects. The most recent pay

figures, for June, show that private sector pay grew by 3.3% on average over the previous year compared with just 1.4% in the public sector. The gap is expected to continue for the rest of the parliament, leaving public sector workers to suffer the longest squeeze relative to the private sector in a generation.

Inflation figures for August made the situation worse after they showed that the Brexit-induced fall in the pound is pushing up the price of imports. The consumer price index has hit 2.9%.

Paul Johnson, the head of the tax and spending watchdog the Institute for Fiscal Studies, said it would be impossible to prevent a decline in standards across the public sector if the 1% cap remained, or if it was lifted and funded from within existing budgets.

He reckons the public sector would find it impossible to recruit the staff it needed with the cap in place. Cuts to services to fund a pay rise would

hardly qualify as a political solution, he said, earning the applause of neither workers nor the public. But to match the forecast for pay rises in the private sector, the Resolution Foundation says the government will need to spend £10bn extra on public sector wages by 2026. The thinktank said abandoning the current policy of job cuts, as Labour proposes, and allowing the public sector workforce to grow in line with GDP would cost a further £2bn.

Looking further ahead, the IPS says that by 2021-22 a Labour government would need to provide departments and local government with an extra £9.2bn a year to pay for the higher costs of employing more public sector workers on higher rates of pay.

These figures would throw a spanner in the works of Hammond's preparations for his first major budget, on 22 November, which according to those close to the chancellor is focused on his plans for skills training, overhauling university fees, infrastructure spending and public investment.

If Osborne was the tactician, whose budgets were designed to weather a week of headlines, Hammond is the strategist, who must not only help the economy bridge the Brexit gap, but also spend carefully on projects that will come to fruition long after he is retired.

That means risking calls to relax the welfare cap as much as it does planned austerity across Whitehall, local government, the NHS and schools. Few outside the Treasury believe it is a tenable position.

Britain has suffered the longest period of earnings stagnation for 150 years, an IPPR report says



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# May faces pay backlash after lifting 1% cap

## PM's move on public sector salaries met with derision and strike threats

Peter Walker and Rajeev Syal

Theresa May's government faces months of battles over public sector pay after a decision to lift the 1% annual cap on increases was met with derision from Labour and renewed threats of strikes by trade unions.

Downing Street announced pay rises of above 1% for police and prison officers yesterday in the last of the 2017-18 deals as well as a wider commitment to "flexibility" for all public sector workers from next year after prolonged pressure over the issue.

But Jeremy Corbyn accused the Conservatives of trying to divide and rule, while unions for prison officers and police dismissed their rises as insufficient, with the former threatening industrial action.

May's spokesman said a cabinet meeting yesterday had approved a recommendation from the independent pay review body for prison officers that they receive an average 1.7% increase, backdated to April. Ministers agreed a recommendation for police to get the standard 1% pay rise with an extra one-off 1% sum added for the next 12 months, beginning immediately.

The spokesman also announced the end of the wider 1% cap for all public sector staff in the next deals, for 2018-19, saying these would "recognise the vital contribution they make and ensure they can deliver world-class public services".

The Prison Officers' Association (POA) said the offered increase would amount to a real-terms cut, with the announcement on the same day inflation rose to 2.9%. The POA has rejected the rise and is planning to coordinate an indicative ballot of members alongside the PCS civil servants' union to see if members will support a strike.

Steve White, the chairman of the Police Federation of England and Wales, said many of his members would be angry and deflated at their pay award after a requested 2.8% rise in basic pay. "We were not greedy in what we asked for," he said. "Officers have been taking home about 15% less than they were seven years ago."

The police and prison officer pay rises will be financed by their departments, prompting a warning that for the police this could threaten services because of the extra strain on resources. The National Police Chiefs' Council said the extra 1%, expected to cost an additional £50m, was not part of a police budget based around the expectation of a 1% maximum rise.

Chief constable Francis Huggins, who leads for the council on pay, said: "Without better real-terms funding protection from government, an award above 1% will inevitably impact on ability to deliver policing services and maintain staffing."

Speaking at the TUC congress in Brighton, Corbyn said the government must extend the pay rise for civil servants, teachers, health workers and others.

"Today, as inflation rises to nearly 3%, they are trying to divide people on the cheap," he said. "The POA is right, a pay cut is a pay cut. We must be united in breaking the pay cap for all workers."

"Let me be clear today, the Labour party totally rejects the Tories' attempt to divide and rule, to play one sector off against another. A Labour government will end the public sector pay cap and give all workers the pay rise they deserve and so desperately need," he said.

However, Corbyn later sidestepped the question of whether he would back illegal strikes, after claims from some union leaders they might break the law if a significant proportion of their members backed action. This was, the Labour leader said, a "matter for the unions".

The pay announcement is also unlikely to quell discontent in many parts of the public sector, including the NHS.

Announcing the changes in a notable softening of language on the issue, May's spokesman told reporters the cabinet meeting "agreed that our public sector workers are among the most talented and hardworking people in our society". He continued: "They, like everyone else, deserve to have fulfilling jobs that are fairly

12 13 →

Continued on page 13 →

附錄六

考察成員名冊及活動集錦

# 106 年度外國人事政策與法制考察（英國） 成員名冊

一、考察期程：106 年 9 月 10 日至 17 日，共計 8 日

二、團員名單及英文簡歷

| Name                                | Organization                                                       | Title                                      | Experience                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------------------|--------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>曾惠娟<br/>Ms. Tseng, Hui-Chuan</p> | <p>國防部<br/>Ministry of<br/>National Defense,<br/>R.O.C (2016-)</p> | <p>編纂<br/>Senior Executive<br/>Officer</p> | <ul style="list-style-type: none"> <li>● Section Chief of Department of Remuneration and Welfare, Directorate-General of Personnel Administration, Executive Yuan</li> <li>● Director of Personnel Office, Cultural Affairs Department, New Taipei City Government</li> <li>● Section Chief of Central Personnel Administration, Executive Yuan</li> <li>● Executive Officer of Central Personnel Administration, Executive Yuan</li> <li>● Short-Term Researcher for U.S. Federal Personnel Management and Strategic Compensation in Washington, D.C., U.S.A</li> <li>● Delegate of Visit Program to Australia and New Zealand for Personnel Administration</li> </ul> |

| Name                               | Organization                                                                | Title                      | Experience                                                                                                                                                                                                                                                                                                                                                                                                             |
|------------------------------------|-----------------------------------------------------------------------------|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 趙子瑩<br><b>Miss. Chao, Tzu-Ying</b> | 行政院海岸巡防署<br><b>Cost Guard Administration, Executive Yuan, R.O.C (2011-)</b> | 科長<br><b>Section Chief</b> | <ul style="list-style-type: none"> <li>● Executive Officer of Department of Evaluation, Training and Development, Direct-General of Personnel Administration, Executive Yuan</li> <li>● Officer of Department of Evaluation, Training and Development, Direct-General of Personnel Administration, Executive Yuan</li> <li>● Officer of Personnel Office, Department of Information, Taipei City Government</li> </ul> |

### 三、航班行程

| 日期       | 時間／航班                                                                                       |
|----------|---------------------------------------------------------------------------------------------|
| 9月10日(日) | <b>長榮航空 (BR67)</b><br>0900 出發：台北桃園 (TPE) 台灣桃園國際機場<br>經：曼谷 (BKK)<br>1925 抵達：倫敦 (LHR) 倫敦希斯洛機場 |
| 9月16日(六) | <b>長榮航空 (BR68)</b><br>2135 出發：倫敦 (LHR) 倫敦希斯洛機場<br>經：曼谷 (BKK)                                |
| 9月17日(日) | 2115 抵達：台北桃園 (TPE) 台灣桃園國際機場                                                                 |





本團拜會內閣辦公室政府人力策略副主任 Kathryn Al-Shemmeri(右一)、內閣辦公室公共組織體改革小組策略經理 Elliot Brinkworth (右二)



本團聽取內閣辦公室政府公務人力策略小組及公共組織體改革小組簡報並進行與談



本團拜會「文官學院」並與該機構商務經理 Christopher Ng(左二)、事業發展經理 Ade Arimoro (左一) 及 Grace Agatr-Bacon (右一) 合影



本團參訪「牛津大學在職教育部」並與公共行政及國際事務學程主任 Angus Hawkins 教授(中) 合影





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「牛津大學在職教育部」學員交誼廳





本團參訪「牛津大學在職教育部」，並由該部工作人員接待介紹訓練環境



與駐英國代表處行政組陳副組長雅惠（中）合影