



Projects and Procurement Sub-Committee

Date: MONDAY, 16 JUNE 2025

Time: 1.45 pm

Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

Members:	Deputy Benjamin Murphy, (Chairman)	Alderman Timothy Hailes JP
	Philip Woodhouse (Deputy Chairman)	Stephen Hodgson
	Simon Burrows	Deputy Andrien Meyers
	Deputy Anne Corbett	<i>Vacancy (Port Health & Environmental Services Committee representative)</i>

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<https://www.youtube.com/@CityofLondonCorporation/streams>

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Ian Thomas CBE
Town Clerk and Chief Executive

AGENDA

1. **APOLOGIES**

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

3. **MINUTES**

To agree the public minutes and non-public summary of the meeting held on 19 May 2025.

To follow.

For Decision

4. **FORWARD PLAN**

Report of the Chamberlain.

For Information
(Pages 5 - 6)

5. **NEW PROJECT PROCEDURE / P3 FRAMEWORK**

Report of the Chamberlain.

For Decision
(Pages 7 - 68)

6. **PAN-LONDON SEXUAL HEALTH ESERVICE (SHL.UK)**

Joint Report of the Director of Community & Children's Services and the Chamberlain.

For Decision
(Pages 69 - 78)

7. **RESPONSIBLE PROCUREMENT IMPACT REPORT FY24-25**

Report of the Chamberlain.

For Decision
(Pages 79 - 86)

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

9. **ANY URGENT BUSINESS**

10. **EXCLUSION OF THE PUBLIC AND PRESS**
MOTION - That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following item(s) on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act 1972.
- For Decision**
11. **NON-PUBLIC MINUTES**
To agree the non-public minutes of the meeting held on 19 May 2025.
- To follow.*
- For Decision**
12. **UPDATE ON PROCUREMENT TRANSFORMATION**
Report of the Chamberlain.
- For Information**
(Pages 87 - 118)
13. **ART TRANSPORT FRAMEWORK - PROCUREMENT STAGE 2 AWARD**
Report of the Interim CEO, Barbican Centre.
- For Decision**
(Pages 119 - 126)
14. **MANAGED PRINT SERVICES - PROCUREMENT STAGE 2 AWARD**
Report of the Chamberlain.
- For Decision**
(Pages 127 - 134)
15. **CITIGEN AND HEAT NETWORK ZONING – PREFERRED WAY FORWARD**
Report of the City Surveyor.
- For Information**
(Pages 135 - 230)
16. **INCREASE IN CONTRACT VALUE FOR IFM LOT 6 - POLICE AND COURTS**
Report of the City Surveyor.
- For Information**
(Pages 231 - 242)
17. **GW2: SUMNER BUILDINGS**
Report of the Executive Director of Community and Children’s Services.
- For Information**
(Pages 243 - 266)
18. **PORTFOLIO DASHBOARD COVER REPORT - JUNE 2025**
Report of the Chamberlain.
- For Information**
(Pages 267 - 270)

19. **NON-PUBLIC APPENDIX (RESPONSIBLE PROCUREMENT IMPACT REPORT 2024-25)**

To be read in conjunction with Item 7.

For Decision
(Pages 271 - 292)

20. **NON-PUBLIC QUESTIONS RELATING TO THE WORK OF THE SUB COMMITTEE**

21. **NON-PUBLIC ANY URGENT BUSINESS**

PROJECTS AND PROCUREMENT SUBCOMMITTEE – WORK PROGRAMME 2025

Please add the upcoming papers and include the report authors' names in brackets.

Responsible Officer	Paper Type	16 JUNE 25	21 JULY 25	SEP 25 DATE TBC	OCT 25 DATE TBC	DEC 25 DATE TBC	FEB 26 DATE TBC	APR 26 DATE TBC
Paper Review Deadline		22/05/2025	27/06/2025					
REPORT OF THE CHAMBERLAIN	PUBLIC	Responsible Procurement Annual Impact Report (Lisa Moore) Strategic Procurement Review Update Report (Nish Dubey) Portfolio Management Implementation: Project Procedure (Matthew Miles, Nadhim Ahmed) Multifunctional Devices & Managed Print Services contract (Mitchell Walker)		CCPD Risk Report Update (Leah Woodlock) Drafted New Procurement Policy (Sue Smith)	Strategic Procurement Review Update Report	CCPD Risk Report Update (Leah Woodlock)	Strategic Procurement Review Update Report	CCPD Risk Report Update (Leah Woodlock)
	NON-PUBLIC	Portfolio Dashboard (interim reporting) Lara Opebiyi	Portfolio Dashboard (interim reporting) Michael Curtis	Portfolio Dashboard Michael Curtis	Portfolio Dashboard Michael Curtis	Portfolio Dashboard Michael Curtis	Portfolio Dashboard Michael Curtis	Portfolio Dashboard Michael Curtis
	CONFIDENTIAL							
REPORT OF ANOTHER CHIEF OFFICER	PUBLIC	SHL.UK re-procurement (Mona Hayat / Sandra Milburn)						
	NON-PUBLIC	Art Transport Framework Lots 1 to 4 – Stage 2 (Alice Lobb, Taiwo Muraina-Akinboade) Increase in Contract Value to IFM Contract Lot 6 – Police and Courts (Oliquir Chowdhury, Matt Baker) Citigen and Heat Network Zoning – Preferred Way Forward (Mark Donaldson, Emma Bushell, Rob Pine, Oliquir Chowdhury) Sumner Buildings (Sophie Courtright)	Waste Collection, Street Cleansing and Ancillary Services – Veolia Contract (Joe Kingston, Oliquir Chowdhury) Provision of a Comprehensive Waste Disposal Service to the CoL – Cory Environmental (Joe Kingston, Oliquir Chowdhury) Direct Award Central London Forward – Ingeus (Liz Millington / Monica Patel) Sydenham Hill Redevelopment (Feng Qi) Golden Lane Leisure Centre Refurb (Jack Nuttall) Isleden House Infill Project (Dean Elsworth)	Enforcement Agent for Revenues and Parking - Stage 2 – (Tracey Plumb, Stuart McGregor, Onika Syeda)	Heat Zone Procurement Stage 1 Report (Mark Donaldson, Emma Bushell, Rob Pine, Oliquir Chowdhury). Citigen – contract extension (Mark Donaldson, Emma Bushell, Rob Pine, Oliquir Chowdhury).			

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City of London Corporation Committee Report

Committee(s): Projects and Procurement sub-Committee – For decision City Bridge Foundation Board – For decision Finance Committee – For decision Policy and Resources Committee – For information Court of Common Council – For decision	Dated: 16 th June 2025 1 st July 2025 1 st July 2025 3 rd July 2025 24 th July 2025
Subject: New Project Procedure / P3 Framework	Public report: For Decision
This proposal: <ul style="list-style-type: none"> • Delivers Corporate Plan 2024-29 outcomes • Provides business enabling functions 	Providing excellent services
Does this proposal require extra revenue and/or capital spending?	No
If so, how much?	N/A
What is the source of Funding?	
Has this Funding Source been agreed with the Chamberlain's Department?	N/A
Report of: Caroline Al-Beyerty, Chamberlain and Chief Financial Officer	For approval
Report author: Genine Whitehorne Director, Commercial, Change and Portfolio Delivery	

Summary

This paper proposes a new framework for the City of London Corporation, developed to address long-standing issues in the governance and delivery of projects and programmes. The changes respond to Lord Lisvane's governance review and subsequent assessments by external consultants, which found inconsistent practices, slow decision-making, and insufficient visibility for Members.

To more accurately reflect the direction of travel for the City Corporation and the changes that are required, it is proposed to rename the project procedure to the Project, Programme, Portfolio (P3) Framework. The revised P3 Framework proposes a simplified, proportionate governance model that is aligned with a project's scale,

complexity, and strategic importance. All project types—including capital, transformation, and innovation— will be brought under a single framework. A new tiering system will focus Member scrutiny on higher-value and higher-risk projects, engaging Members at strategic points of decision-making. Lower value projects and programmes will benefit from streamlined governance. These proposals will streamline the gateway process into five strategic stages, with a greater emphasis on early alignment with Corporate Plan outcomes, climate action, social value, and return on investment.

Development of the new framework has been shaped through extensive consultation. Project managers, directors, and senior officers from across the City Corporation and the institutions have contributed through workshops. At the same time, a Guiding Coalition—including representatives from Town Clerks, Chamberlains, Community and , Innovation and Growth, City Surveyors, and institutions—has guided the design. The City of London Corporation Portfolio Board (officer board chaired by the Town Clerk) endorsed the changes on 13th May 2025.

Implementation is underway in two phases. Phase one, which was not dependent on the approval of the new framework, went live in April 2025 with the launch of the Cora enterprise-wide project portfolio management system and the introduction of new portfolio reporting to the Portfolio Board and the Projects and Procurement Sub-Committee. The implementation of the new P3 Framework is proposed as part of the second phase. It is scheduled to launch in November 2025, following a transition period to support in-flight projects, project managers, and finalise supporting materials.

This new framework strengthens strategic focus, improves accountability, and provides Members with more timely and meaningful oversight, aiding projects to deliver not only on time and on budget but also in line with the City of London Corporation’s strategic priorities.

Recommendation(s)

Members are asked to:

1. Approve the new P3 Framework, including:
 - a) Approve the new project gateways – paragraphs 16-21
 - b) Approve the increase of delegated authority to £5m for Chief Officers – paragraph 21
 - c) Approve the increase of the threshold for Court of Common Council to receive gateway submissions to £20m – paragraph 21
 - d) Note the increase to £250k threshold for entering the gateway process – paragraph 21
 - e) Approve that once a “Red” project approves a rebaselined plan with the Service Committee and Project and Procurement SubCommittee, it can then proceed as a “Green” project – paragraph 21
 - f) Approve the SRO of a project or programme to have delegated authority to draw down against the agreed costed risk profile – paragraph 21

2. Expand the use of optimism bias with the established 'optimism bias' reserve to be authorised from the Service Committee and Finance Committee – paragraph 21
3. Note that the new P3 Framework will take effect at a launch event on 25th November 2025
4. Approve that further updates can be made to the P3 Framework with approval from CoL Portfolio Board with Members approving changes to the delegation levels
5. Authorise the Chamberlain to make the necessary amendments to other documentation i.e. the Corporation's Financial Regulations and the Procurement Code in order to align these documents with the Framework.

Main Report

Background and context

1. In 2019, Lord Lisvane was commissioned to undertake a review of the Corporation's governance. Amongst his findings, he found that "The complexity and slowness of decision-making within the Corporation is extraordinary. It is not too much to describe it as sclerotic." His findings were presented to the Right Honourable the Lord Mayor, Aldermen, and Commons of the City of London in Common Council assembled on 9th December 2021. Additionally, in October 2022, a Project Governance review was commissioned by the Operational Property and Projects subcommittee and approved by the Policy and Resources Committee. In March 2023, the Policy and Resources Committee amended the scope of the review to include an independent assessment of existing Member governance (i.e. committee structures). This element of the review was conducted by Paul Martin, a former local authority Chief Executive. As a result, service committees were recognised as the sponsoring body for projects. They were responsible for making decisions about the delivery of individual projects, except for capital projects exceeding £100 million. Changes were also made to the terms of reference for the Operational, Property and Projects sub-Committee (OPPSC) to establish it as the oversight body for a new portfolio management approach.
1. In 2022, Red Quadrant, a consultancy, were commissioned by the then Operational Property and Projects sub-committee to undertake a review of project management within the Corporation. The review aimed to assess existing governance arrangements and recommend a future approach that would support an effective and proportionate governance and assurance framework for project delivery across the Corporation. Red Quadrant found "a fragmentation of approaches, with common practices within individual departments becoming inconsistent with each other." They also found that project and programme managers had capability gaps. The consultants recommended that the Corporation adopt a portfolio management model for delivery, establish an enterprise-wide project and programme office, refresh the project procedure, and further develop the project management academy. The Policy and Resources Committee endorsed the report's findings in July 2023.

2. The Corporation is now adopting Portfolio Management practices. Portfolios are groups of projects and programmes. They are used to select, prioritise and control an organisation's programmes and projects, in line with its strategic objectives and capacity to deliver. Their goal is to balance the implementation of change initiatives and the maintenance of business as usual while optimising return on investment." Association of Project Management.
3. In late 2023, a maturity assessment was undertaken against the functional standard project delivery (Infrastructure and Projects Authority). This review assessed the Corporation to be 'in development' in its adoption of portfolio, programme and project management governance and processes. Since this date, the Corporation has undertaken considerable work to design and implement the findings of the various reviews. The project team has:
 - Defined the new portfolio structure and ownership – including sub-portfolios - clarifying the outcomes, accountabilities and initial tiering
 - Rationalised and undertook a baseline of all the projects in the Corporation and aligning projects to new portfolio structures
 - Undertaken health-checks on projects and programmes within the Corporation - using the findings to inform the development of new structures
 - Established a corporation-wide City of London portfolio board chaired by the Town Clerk
 - Created a new Commercial, Change and Delivery function within the Corporation, which contains an enterprise-wide PMO, skills and capability development and expanded impact and reporting teams
 - Procured, implemented and launched a new enterprise-wide Portfolio Management tool (Cora) which provides "a single source of truth" for projects in the Corporation, as well as supporting project managers in project delivery
 - Launched stakeholder communications – including the construction of a Guiding Coalition and Change Champions bringing together directors and project managers to work to common goals
 - Enabled Portfolio Dashboard Reporting to CoL Portfolio Board and Project and Procurement sub-Committee
 - Over 20 training sessions covering SRO development for Chief Officers and Directors
4. The first phase of the implementation has successfully laid the foundation for the further development of the Corporation's maturity in project and programme delivery. It provided the technology and organisational foundations upon which further enhancements can now be made. The complex change is now to governance structures, project and programme management processes as well as enhancing the capability of project and programme managers across the Corporation. Critical to implementing portfolio management is the development and operation of a new P3 Framework.

The purpose of the project, programme and portfolio framework

5. The project procedure is the framework for the operation of the Corporation's projects and programmes. It provides a strategic and operational model to ensure consistent, effective and value-driven delivery of projects and programmes. The project procedure enables the alignment of projects with the Corporation's corporate plan, provides the basis for prioritising scarce resources, establishes governance structures, ensures transparency, provides clarity on accountability, and establishes a standard approach to managing risks, benefits, and dependencies. In particular, the purpose of the P3 Framework is to:
 - Provide a structured decision-making framework to ensure that projects are viable and have a high likelihood of success.
 - Support strategic decision making for Members and senior officers, with an emphasis upon impact, including climate impact, social value, benefits realisation and Return on Investment (ROI)
 - Encourage consistency of delivery across the organisation whilst allowing for flexibility to respond to circumstances.
 - Provide oversight of the conception and delivery of projects – the framework provides the basis for compliance, and the governance requirements are proportionate to the project's complexity and risk.
 - Ensure that we have policies to discharge our statutory and non-statutory duties with proper oversight and control.
6. The P3 framework includes a gateway process that provides a structured framework for decision-making at key stages, ensuring the project or programme remains viable, is aligned, and offers value for money before proceeding further. At each stage of the gateway process, cost and benefit estimates are produced, which become progressively more accurate as business cases are developed and refined. The critical decision at each stage is to assess whether the project or programme remains viable.

Why the framework needs to change

7. The current project procedure does not adequately serve the needs of Members, as it does not provide them with a sufficient view of the project's or programme's progress. Projects and Programmes were often considered in isolation, making it harder to see how they contributed to overall strategic priorities. It also did not suit the needs of project managers as it was disproportionate and often resulted in delays for projects and programmes.
8. In particular, the current project procedure:
 - Has several exceptions and bespoke arrangements for some departments, leading to inconsistencies in the project delivery approach
 - Was only applicable to capital and construction projects, and excluded transformation or innovation projects

- Focuses Members and project managers on individual gateways rather than being able to see the progress and cost of a project as a whole
 - Had many gateways and governance requirements, which slowed down the delivery of projects and led to increased delivery costs
 - Focused project managers to obtain project funding to the next gateway rather than to assess the overall viability of a project; standalone procurements were often submitted.
 - Did not adequately differentiate between small and larger projects
 - Frequently did not appraise the full extent of the risk of a project or programme
9. For many Members and Chief Officers, the gateway submissions provided the only means of transparency for the development of projects and programmes. Contextual information on gateway submissions, such as trends in project cost, was not always visible. This meant that Members were often immersed in operational details and did not have the correct information to step back and evaluate the direction.
10. The combined impact of these problems meant that projects were frequently delayed and/or cost more than necessary. According to work undertaken by the City Surveyor department, compared to the typical construction process outside the Corporation, project duration was often 50% longer, and professional fees were sometimes 25% higher within the Corporation.

Our Approach

11. The team has consulted widely across the Corporation in the development of the new P3 Framework. All levels of the Corporation have been engaged in developing, testing, and iterating its design. These reviews enabled the team to co-create the framework with project managers and those who manage them. These forums have included the use of:
- Workshops with project managers and directors to identify pain points of the current project procedure, as well as providing an opportunity to seek solutions
 - A 'Guiding Coalition' including senior management representatives from the Town Clerk's office, Chamberlain's, DCCS, Innovation and Growth, City Surveyor's, City Bridge Foundation, the Barbican, Environment and City of London Police
 - A 'Change Champions' forum which brought together practitioners, including project and programme managers for different sizes of projects and across a variety of departments
 - Review by Departmental Leadership Teams – The new P3 Framework has been endorsed by all departments and institutions, except for Freeman's School.

- Review by the City of London Corporation Portfolio Board, containing the Chief Officers and representation from institutions

12. In addition, to illustrate the framework, workshops were conducted with project managers from several real-life projects to understand how the new method will reduce, streamline, and improve the current gateway process. These workshops examined the changes in documentation produced at each stage, the process steps that the project manager needed to undertake, and the understanding of the proposed governance changes. The forums provided an opportunity for project managers to further engage in the development of the new framework and demonstrated how it would work in practice.

Project Tiering

13. Under the new P3 Framework, all projects and programmes will be tiered according to their financial value, complexity, and impact on people. This will help ensure that the governance provided to a project or programme is proportionate to its size and complexity. The intention is that through this new tiered approach, Members' time is used efficiently, focusing scrutiny on more strategic decisions as well as higher-risk, high-cost or politically sensitive projects. At the same time, lighter governance is applied to those projects with more routine delivery.

14. These new tiering categories are as follows:

	Description	Typical cost	Estimated no. of projects
Tier 0	High-profile to the City of London Corporation, directly addresses the strategic outcomes of the Corporation	£100m+	2 (FPE and Barbican Renewal)
Tier 1	Delivers strategic outcomes for the City of London Corporation, high levels of uncertainty, requires new or innovative practice, complex to deliver	£20m-£100m	16
Tier 2	Contributes to strategic outcomes, contains uncertainty, requires some technical innovation and with moderate impact upon people	£5m-£20m	64
Tier 3	Aligns to strategic outcomes, clearly defined approach, requires some	£250k-£5m	102

	technical innovation and with minimal impact upon people		
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15. Please note that the number of projects in the table above are provisional estimates and will require amending when the new tiering tool has been produced. At the time of writing 72 projects are awaiting to be tiered. A tiering tool will be developed to aid the categorisation of projects and programmes and provide an indicative tiering for the project or programme manager. The initial tiering can be revised as business cases are developed. In addition, City of London Portfolio Board or Project and Procurement Sub-Committee can revise tiering should they consider it appropriate to do so. The ePMO will review tiering across the Corporation to ensure consistency.

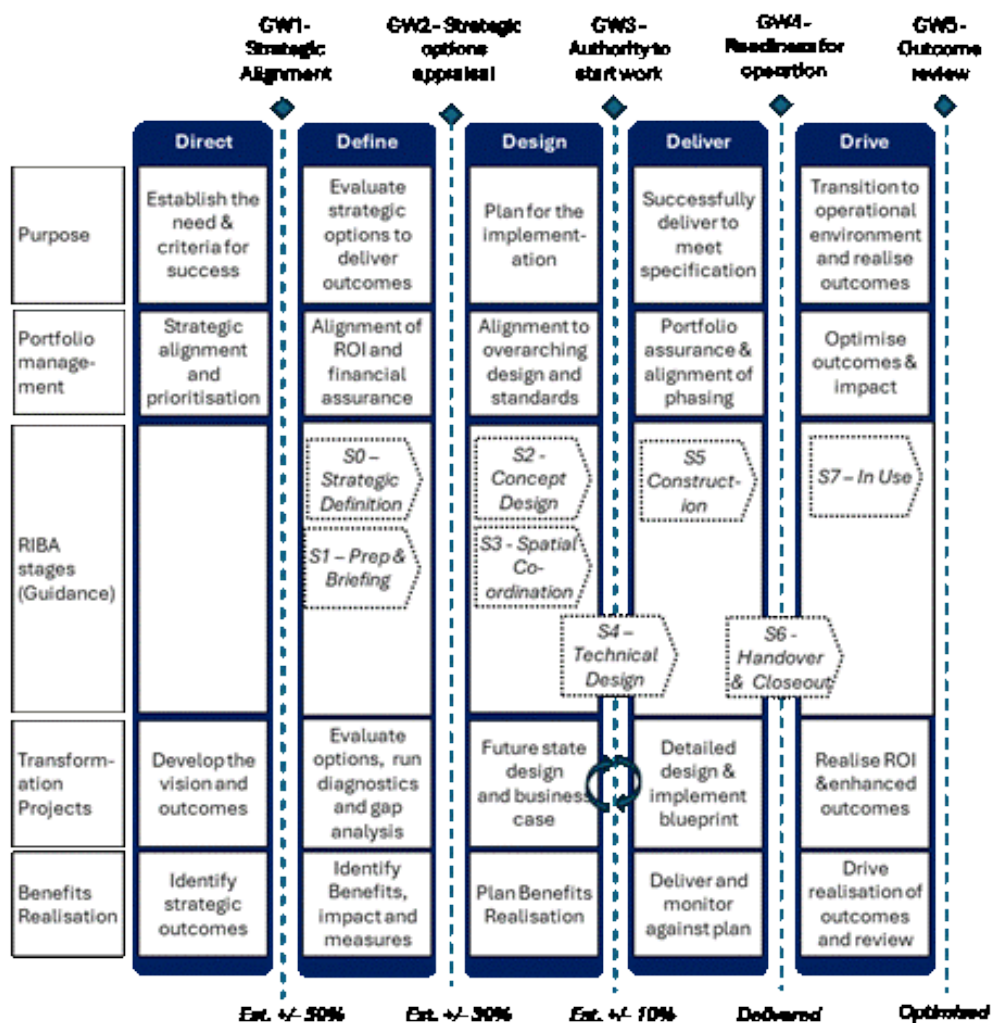
The new gateways and governance

16. The new gateway process structures the lifecycle of all Tier 3 and above projects and programmes into five sequential stages, each with mandatory deliverables and decision points. The new gateways are designed to be simplified and consolidated. The intention is to provide a framework for project managers to operate within, rather than a prescriptive operating procedure.

17. The new gateways are:

- Gateway 1 – Direct (Strategic Alignment) – Establishes the project need, ensures strategic alignment, and establishes early estimates of costs, benefits, and funding sources. At this stage, the project's strategic case is developed.
- Gateway 2 – Define (Strategic Options Appraisal) – Explores delivery options and refines costs and benefits. At this stage, the outline business case is produced.
- Gateway 3- Design (Authority to Start Work) – Finalises the preferred option, confirms funding, develops the project schedule and the outcomes expected from the project or programme. At this stage, the full business case is produced.
- Gateway 4 – Deliver (Readiness for Operation) – Delivery of agreed outputs, resource management, progress reporting and issue resolution. At the end of this stage, a readiness for operation assessment is undertaken.
- Gateway 5 – Drive (Outcome Review) – Transition to business as usual, benefits review, lessons learned and formal project closure. At this stage, a closure report is written, and lessons learned are formally documented.

18. These gateways are aligned to both RIBA stages and to transformation approaches. The gateway process is streamlined and embedded with sustainability, outcome planning and benefits realisation as mandatory components. The following diagram explains these gateways:



19. Tier 2 and Tier 3 projects and programmes have 'fast track' routes. For example, where no options appraisal is required, the second gateway can be combined or skipped. This approach enables members to retain governance authority while providing a basis for projects to respond to time-sensitive environments (e.g., those related to health and safety) or when the project is externally funded.

20. The P3 Framework clearly defines mandatory and optional documentation for each Gateway. This will include business cases, which will consist of more contextual information for members, such as trends in costs over time.

Key changes to the procedure

21. The following table indicates the key changes to the project procedure:

Topic	Description of change	Benefits
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Strategic emphasis	<ul style="list-style-type: none"> • First two gateways focus upon alignment with City of London Corporation strategic outcomes, as well as Institution priorities and Climate Action • Earlier culling of non-viable projects 	<ul style="list-style-type: none"> • Members can be confident that investment decisions support agreed policy priorities • Easier to demonstrate tangible delivery against strategic commitments and Member priorities
Scope of Framework	<ul style="list-style-type: none"> • A single framework covering construction, transformation and innovation projects • The P3 Framework will now cover all projects types over £250k. This is an increase from the previous threshold of £50k • No exclusions to the framework • Tier 0 (Major programmes) to now be included within the Gateway process 	<ul style="list-style-type: none"> • Members have better oversight of all major projects and programmes – enabling Members to hold officers to account • Better alignment to City's strategic goals
Clearer oversight and accountability	<ul style="list-style-type: none"> • Clear definition of accountable and responsible departments • Accountable departments are the client departments with the Senior Responsible Owner (SRO). • Responsible departments deliver the project or programme, typically handling the Design and Delivery stages 	<ul style="list-style-type: none"> • Members have clearer lines of accountability, enabling more effective challenge, assurance and follow up across committees and portfolios

Gateways	<ul style="list-style-type: none"> • Reduction of the current six gateways (under complex route) to five gateways • The current Project Briefing and Project Proposal Gates combined into one Gateway which covers "Strategic Alignment." • Removing the detailed options appraisal from the current gateways • Remove the current light, regular and complex routes and instead have options for fast-tracking relevant projects (Tier 2 and Tier 3 only) • A new Gateway 4 (Readiness for Operation) introduced to assess for readiness to handover into an operational state. By default, it will be approved by the SRO. • Gateway 5 is concerned with driving through the benefits of the project or programme and realising its objectives • Once a "Red" project agrees a rebaselined plan with the Service Committee and PPsC, it can proceed as a "Green" project 	<ul style="list-style-type: none"> • Gateways at the right points to enable impactful strategic interventions by Members • Enhances strategic value from the outset as well as upon the realisation of benefits and outcomes
Member Governance	<ul style="list-style-type: none"> • It is proposed for the Court of Common Council to approve projects and programmes over £20m • Proposed for Service Committees to receive business cases for projects and programmes over £5m in cost 	<ul style="list-style-type: none"> • Members focus on those projects that matter most to the achieve of political and community priorities

	<ul style="list-style-type: none"> Each portfolio, including sub-portfolios, will have a summary Portfolio Dashboard received at PPsC. 	<ul style="list-style-type: none"> Members gain timely visibility of project performance and emerging risks – empowering earlier intervention and reducing reliance upon the gateway process
Officer Governance	<ul style="list-style-type: none"> Introduction of City of London Portfolio Board which will receive Monthly portfolio dashboards on projects and programmes Portfolio Board to also receive Gateway submissions and business cases for Tier 0 and Tier 1 (£20m+) projects prior to submission to members Remove the use of the officer led corporate projects board and replace with departmental portfolio boards to provide a hierarchy for resolution of project issues Chief Officers can approve all Gateway reports for Tier 3 projects and programmes (up to £5m) The Chamberlains Assurance Board will receive Gateway Tier 0 and Tier 1 papers and will provide financial assurance and recommendations to the CoL Portfolio Board 	<ul style="list-style-type: none"> Enhanced strategic oversight, advice on trade-offs between investments and financial assurance to Members An officer hierarchy for the resolution of project related issues

Risk Management	<ul style="list-style-type: none"> • The SRO will have delegated authority to draw down against the agreed costed risk profile • In addition, expand the use of optimism bias to Tier 1 projects at a minimum but also available to lower tier projects • The 'optimism bias' reserve can only be drawn down from authorisation from the Service Committee concerned and Finance Committee. 	<ul style="list-style-type: none"> • Better understand and manage the full extent of the risk of a project or programme – and quantify known and unknown risks
Focus on benefits, outcomes and climate impact	<ul style="list-style-type: none"> • A benefits realisation plan is required and a new benefits framework is in development for benefits identification and realisation • A new phase specifically addressing the needs of benefits realisation 	<ul style="list-style-type: none"> • Members can evaluate whether projects deliver not just on time and budget but also wider public value – supporting stronger public accountability

Financial Governance Changes

22. The current financial regulations refer directly to the project procedure as the overarching guidance for Capital and Supplementary Revenue project budgets within the City Corporation. Therefore, updating the framework will, in current formats, remove the previous guidance on how to manage project budgets.

23. The previous approach led to several issues including;

- Lack of clarity around approved budgets
- Duplication of budget approvals
- Duplication of governance processes for revenue expenditure
- Duplication of information within financial systems impacting on the quality of reporting

- Delays in processing budget adjustments aligned to gateway stages

24. The update to the framework gives an opportunity to update financial governance and improve transparency and accountability for budget managers. In order to achieve this, the financial regulations will also require updating in order to ensure there is a complete overarching financial governance framework. A draft update to the Capital Budget financial regulations has been drafted and is included as Appendix A.

25. The key principles of the changes to the financial regulations are based on budgets being either 'Revenue' or 'Capital', with budgets approved in line with those governance arrangements. This means a move away from the previous drawdown of funding at each gateway stage. The reasons for this and other key changes are set out in the table below.

Old process	New Process	Why change?
Budget drawn down at each gateway stage	Budget approved in line with annual budget setting or in line with financial regulations	Greater clarity for budget managers of approved amounts. Less chance of budget "creep" at each gateway stage
Recharging <u>all costs</u> to project budget codes (inc revenue projects)	Recharge staff costs to capital projects where appropriate, but keep other revenue costs within local/central risk budgets and bring funding into these if needed (i.e. s106)	Currently have a process where costs are moved out of revenue into SRP projects, then brought back into revenue at year end. This does not aid transparency and reporting and also created unnecessary admin.
Gateway process and spend control in CBIS used to provide assurance	Quarterly budget monitoring provides earlier identification of pressures. Requirement to remain within budget remains and should be considered at each gateway stage	Previous process meant prioritisation was taken on a case by case basis when reports came forward. Aligning more to budget cycle will allow members to consider the broader impact
Approvals linked to progression through gateway stages	Approvals linked to procurement thresholds and financial regulations	Removes duplication of approvals and increases emphasis on monitoring and reporting

Scenarios

26. A number of scenarios of existing projects were reviewed to understand how the new P3 framework will reduce, streamline and improve the current gateway process. These scenarios provided an opportunity to further engage project managers in the development of the P3 Framework and to demonstrate how it would work in practice for a particular project.

Project	Description	Key benefits of the new framework for the project	Member Approval Steps (Old)	Member Approval Steps (New)
COLPAI Tier One	– Housing development – complications which resulted in costs increasing from £25m to £61m.	<ul style="list-style-type: none"> • Greater strategic focus - First two gateways focus upon 'why' and 'what' of the programme • Better manage our known and unknown risks – use of optimism bias 	21	13
ERP – Tier One	High profile systems implementation – complexities in governance	<ul style="list-style-type: none"> • Governance interventions focused upon strategic decision points • Better risk and financial management 	28	13
Future Network Programme- Tier 2	Future Corporation Network – required combined gateways to create feasibility fund	<ul style="list-style-type: none"> • Framework accommodates a faster approval process for Tier 2 • Faster approvals for changes within scope and budget 	12	6
Tower Bridge Trenches – Tier 3	Alignment to City Bridge 50 year plan – required 3-4 committee approvals at each gateway	<ul style="list-style-type: none"> • Project gateways will be approved by the chief officer 	10	N/A

Implementation

27. It is proposed that the new P3 Framework be implemented as part of the second phase of Portfolio Management. The first phase of this programme successfully went live in April 2025 with the launch of the new ePMO system (Cora) and reporting to the CoL Portfolio Board. Feedback on the new system was well received by those who attended the training. Upon seeing the new system, some departments wish to adopt its use without requiring a corporate requirement to do so. The ePMO system can embed the processes and governance arrangements of the P3 Framework within its workflows and checklists, thereby easing adoption by project managers and enabling compliance.
28. However, transitioning to the new gateways proposed in this document carries risk. It is not considered feasible to operate two gateway systems simultaneously within the Corporation, and therefore, a transition of in-flight projects and programmes is required to the new gateways. There are projects and programmes which are currently operating through an existing gateway which may may not exist under the new arrangements, with potential implications for project funding or commercial arrangements. In addition, Members, Chief Officer and Projects will need to be adequately supported to adopt the new arrangements.
29. To address these risks, the team is proposing as part of the implementation to undertake an assessment of project's readiness to transition to the new gateways. This will include an assessment of a project's contractual arrangements, project funding, member awareness, supporting tools and templates, governance and project manager understanding of the changes required. This assessment will be formally documented and will feed into an informed decision as to the readiness to transition.
30. The following are the workstreams of the second phase of the programme.

Workstream	Description	Key outputs
Cora Implementation (Phase 2)	<ul style="list-style-type: none">• Detailed process mapping and workflows for Cora• Requirements gathering for Benefits Module and Workflow• Systems configuration and testing	<ul style="list-style-type: none">• Cora phase 2 complete with Benefits and Workflow modules

	<ul style="list-style-type: none"> • Project Manager Training on Cora 	
Benefits Management	<ul style="list-style-type: none"> • Development of a benefits framework • Requirements for the benefits module of Cora 	<ul style="list-style-type: none"> • Benefits management framework
PPM Framework	<ul style="list-style-type: none"> • Development of guidance material for the P3 Framework and placing on the intranet • Development of tiering tool • Manual forms for the PPM framework (for those who cant use Cora) • Development of Business case and gateway submission templates 	<ul style="list-style-type: none"> • Intranet Guidance • PPM Framework • Gateway submission documentation
Operational Readiness	<ul style="list-style-type: none"> • An assessment of individual projects and Portfolios to determine their readiness to transition to the new gateways ahead of implementation • Hands-on support to project managers to transition to new gateways and support to users upon go-live of the system • Establishment of Departmental Portfolio Boards and support to Chief Officers • Agreeing exceptions to the 	<ul style="list-style-type: none"> • Departmental portfolio boards in operation • Go/No Go Decision for transition • Successful transition of projects to new gateways

	<p>new gateways for individual projects (e.g. those close to closure)</p> <ul style="list-style-type: none"> • Drop in sessions to support users 	
Skills and Capability Development	<ul style="list-style-type: none"> • Development of a wider range of training for different learner types – including Members, Portfolio Executives and Senior Responsible Owners, project managers and project officers, as well as Finance Business Partners • Development of a Capabilities Analysis system to proactively identify areas of focus and development for learners • Increase the visibility of industry memberships (such as APM) to support further CPD opportunities 	<ul style="list-style-type: none"> • Online e-learn training modules on key project management competences • In-person training designed with different learner types in mind • Alignment with other CoLC training offers • Alignment with internal processes and industry best practices • Regular stakeholder engagement and communication
Communications and Stakeholder Engagement	<ul style="list-style-type: none"> • Communication to Directors, Project Managers and Members • Revision of the current guiding coalition to a forum which supports Directors in establishing the new governance in their services • Ongoing feedback loops – feedback 	<ul style="list-style-type: none"> • Regular communication

	<p>will be collected on change readiness assessment of project management teams</p> <ul style="list-style-type: none"> • Videos to explain aspects of the key changes 	
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31. The system and supporting material will be ready and live in October 2025. To provide sufficient time to prepare Members, Chief Officers and Project Managers for the change, it is proposed that the launch occur in November 2025.

Corporate & Strategic Implications

Financial implications – Integration of financial data drawn from SAP (as part of Programme Sapphire) with the Portfolio Management tool, Cora, is currently unfunded.

Resource implications – The implementation plan for the new project procedure includes a revised training offer for project managers and a wide number of other learner types.

Legal implications – None.

Risk implications – Freeman's school not supportive of new project procedure, ensuring that project managers are ready to transition to the new structure, currently funding for financial integration implementation is unconfirmed.

Equalities implications – The new framework provides an opportunity to enhance and further embed inclusive thinking. Implementation requires accommodation of disabilities in systems usage appropriately and to provide flexible training for carers. An EQIA assessment has been carried out (Appendix C).

Climate implications – The new framework mandates climate action reviews as part of the gateway process.

Security implications – None.

Conclusion

The revised Project, Programme and Portfolio (P3) Framework represents a significant step forward in strengthening the City of London Corporation's approach to project governance. It provides Members with clearer oversight, improved assurance and greater alignment between investment decisions and strategic outcomes.

Appendices

Appendix A – Finance Regulations

Appendix B – Risk Register

Appendix C – EQIA Assessment

Appendix D – Proposed new project procedure

Background Papers

[Project Governance Review - Finance Committee - 18th July 2023](#)

[Independent review of project related member governance – Court of Common Council – 7th September 2023](#)

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Appendix A – Finance Regulations

Managing Capital Budgets

- 1.1 Capital budgets are generally managed in accordance with the Corporate Project Procedure via the gateway process and associated guidance. City Bridge Foundation projects are managed in accordance with the Corporate Project Procedure subject to the City Bridge Foundation Board being the responsible Committee for all decisions except where reserved to the Court of Common Council. Further, the City Corporation's Major Projects (under City Fund and City's Estate) are not required to follow the gateways and are under the direct control and management of the Capital Buildings or Policy and Resources Committees.
- 1.2 Capital projects are major one-off expenditures (>£50k capitalisation threshold) relating to the acquisition, creation or enhancement of an asset that yields benefits to the authority and the service it provides for a period of more than one year. For example, cyclical replacements of major components (e.g. windows, roofs, M&E infrastructure) are capital but cyclical repairs are not.
- 1.3 Project expenditure that does not meet the accounting definition of capital expenditure, e.g. preliminary project costs at feasibility and option appraisal stages and one-off major repairs (>£50k) should be identified and approved in line with revenue guidelines set out above. Classification of expenditures between capital and Revenue should be made in consultation with the Chamberlain's department.
- 1.4 All capital budgets should be approved as part of the annual bid process with approval sought from the Resource Allocation Sub, Policy and Resources and Finance Committees and subject to final approval of the Court of Common Council, which informs the Capital Strategy which feeds into the Medium-Term Financial Plan (MTFP). For City Bridge Foundation, all approvals shall be sought from the City Bridge Foundation Board including approval for capital projects which are cross cutting across all three funds (City Fund, City's Estate and City Bridge Foundation) within the framework set by, and subject to any reservations to, the Court.
- 1.5 If an urgent capital project is required and will incur expenditure in the financial year, then then the following action should be taken depending on the funding source.
 - i. S106/CIL/OSPR

- Reports will be taken on a quarterly basis to the Priorities Board, with proposals then taken to RASC and P&R for approval and inclusion to the Capital (or Revenue) budgets.

ii. External grants

- Reports will be taken on a quarterly basis to the Priorities Board, with proposals then taken to RASC and P&R for approval and inclusion to the Capital (or Revenue) budgets.

iii. Central Funds (CF/CE)

- Any drawdown from the central contingency within the Capital programme each year requires RASC and P&R approval to ensure the overall affordability of the programme is maintained.

1.6 The level of business case required for new bids is set out in the project procedure. Full business cases following Treasury Green Book guidance are required for capital projects over £20m (Tier 1 and Tier 0).

1.7 Capital projects under £20m should still consider the business justification and strategic alignment, along with the revenue benefits of undertaking the work.

1.8 Inclusion of a budget within the Capital programme does not automatically approve all spend associated with it. Spend approvals must still follow the limits set out in the procurement code and scheme of delegation when entering into commitments.

1.9 Capital budgets are not generally specific to a financial year unless the source of funding is restricted by time (e.g. external grant funding). Maintaining an annual profile is however an essential requirement of each Project Manager and all projects will be approved annually through the MTFP process.

1.10 Moving forward Capital expenditure must be recorded on Capital cost centres (SAP) and Revenue expenditure on Revenue cost centres. Where staff costs are to be capitalised these should be recharged on a minimum quarterly basis to ensure clarity around reporting.

Virement of Capital

- 1.11 Virements within approved Capital budgets are permitted, provided the overall approved sum is not exceeded and the scope remains unaffected. Movement between budget heads (e.g. from fees to works) requires approval of Chief Officer and Head of Finance other than for City Bridge Foundation. For City Bridge Foundation the approval shall be sought from the Finance Director of City Bridge Foundation and the Managing Director of City Bridge Foundation.
- 1.12 Capital Project Budgets cannot be vired between projects unless approval is sought from Resource Allocation Sub and Policy and Resources Committees.

Appendix B – Strategic Risks and Mitigations

The following are the key strategic risks identified.

Risk	Description	Impact	Likelihood	Overall	Mitigation
Reporting of financial data	Effective project governance relies upon timely financial data.	4	3	12	<ul style="list-style-type: none"> • Interim reconciliation procedures • Flag financial data status in Cora (e.g. verified or pending) • Operational finance process improvements (e.g. cost codes)
Disruption to inflight projects	In-flight projects may face confusion, governance gaps, or funding shortfalls.	4	3	12	<ul style="list-style-type: none"> • Conduct structured readiness assessments • Agree exceptions • Offer project-specific support and drop-in sessions via PMO liaisons
Cultural resistance and legacy behaviours	Departments may revert to informal or inconsistent practices e.g. Freeman’s School did not endorse	4	3	12	<ul style="list-style-type: none"> • Use Change Champions to embed new behaviours • Ensure leadership-level advocacy from Chief Officers • Track compliance and follow up on variances via dashboards • Carry out structured communications and engagement activity to share key messages and progress
High-profile failure during transition	A Tier 0/1 project failure could damage trust in the new approach	4	3	12	<ul style="list-style-type: none"> • Use readiness assessments to identify failure risks • Prioritise transition support for high-profile projects

					<ul style="list-style-type: none"> • Maintain senior officer oversight and assurance • Use Gateway 4 readiness checks to spot early warning signs
Support to Portfolio Executives / Chief Officers	Chief Officer (Portfolio Executives) may lack the capacity to implement Portfolio model within their departments	3	3	9	<ul style="list-style-type: none"> • Provide toolkit (e.g. Terms of Reference and roles) • Assign central PMO liaison to support each department • Offer targeted leadership briefings and support
Insufficient Member or officer buy-in	Key stakeholders may view the new model as unnecessary or too complex	3	3	9	<ul style="list-style-type: none"> • Engage Members through briefings (including assurance and control mechanisms) and real-project walkthroughs • Use early adopter testimonials and success stories
Capability gaps in delivery teams	Staff may lack experience in benefits management, tiering, or strategic appraisal	3	3	9	<ul style="list-style-type: none"> • PM Academy training to focus on key skill areas and expectations • Inclusion of coaching and mentoring from experienced officers • Guidance material on the intranet • Development of a wider learning and development offer as part of P3 professionalisation
Dilution of strategic focus in smaller projects	Fast-track routes may lead to weak outcomes/ focus for Tier 2/3 projects	2	2	4	<ul style="list-style-type: none"> • Randomly audit fast-tracked projects for compliance • Escalate high-risk Tier 3 projects for closer review by Chamberlains

					Assurance Board and CoL Portfolio Board
Misuse of optimism bias	Teams may use contingency as a crutch rather than improving risk maturity	2	2	4	<ul style="list-style-type: none">• Train SROs and Chief Officers (Portfolio Executives) on appropriate use of optimism bias• Require service committee sign-off for OB drawdowns• Monitor trends in OB use across portfolios

Appendix C - Equality Impact Assessment

Section 1: To be completed by all

Proposal Title	New Project, Programme and Portfolio Framework
Details of the lead officer completing the Assessment/ Role responsible for the completion of the EQIA	Matthew Miles – Portfolio Management Implementation lead
Department Responsible:	Chamberlains
Who has been involved in creating the EQIA: (please summarise/list stakeholders you have engaged with and how)	<p>Nadhim Ahmed (Assistant Director Portfolio Management) and Genine Whitehorne (Commercial Director).</p> <p>gement) and Genine Whitehorne (Commercial Director).</p> <p>The new framework has been developed through consultation with a guiding coalition and change champions.</p>
Date of Initial assessment:	29 th May 2025
Dates of review (as applicable)	

1.PROPOSAL OVERVIEW

This Equality Impact Assessment (EQIA) accompanies the proposed implementation of the City of London Corporation's revised Project, Programme and Portfolio (P3) Framework. The new procedure introduces a tiered approach to project governance, simplifies gateway approvals, and strengthens the focus on benefits realisation and strategic alignment with corporate objectives. As part of its commitment to inclusion, the Project Procedure also mandates that individual projects must undertake Equality Impact Assessments where appropriate.

The new framework is largely neutral or positive in its impact on individuals with protected characteristics, as well as other priority inclusion groups such as carers, parents, care leavers, veterans, and people from lower socio-economic backgrounds. The procedure itself does not directly discriminate against any group

and provides an opportunity to enhance and further embed inclusive thinking. This includes using benefits frameworks to identify outcomes for disadvantaged groups and requiring Equality Impact Assessments at the project level where appropriate. The risks are primarily associated with the implementation of the new framework.

These include:

- People with disabilities may be disproportionately affected if the new system (Cora) and training materials are not accessible.
- Staff may require additional support to adapt to new digital tools and procedural changes.
- Carers and parents could be negatively impacted if engagement with training is not offered in flexible formats or within family-friendly hours.

These are considered to be relatively low risks.

Sign off

1. Officer completing the EQIA

Name	Matthew Miles
Job Title	Portfolio Management Implementation Lead
Date	29 th May 2025
Signature	

2. Line Manager

Name	Nadhim Ahmed
Job Title	Assistant Director – Portfolio Management
Date	29 th May 2025
Signature	

3. Senior Manager or Chief Officer

Name	Genine Whitehorne
Job Title	Director – Commercial, Change and Portfolio Delivery
Date	
Signature	

Once this form has been signed off, please send a copy of the form to the EDI Team: CSPT.EDI@cityoflondon.gov.uk

City of London Corporation

Project, Programme and Portfolio (P3) Framework

1 INTRODUCTION

- 1.1 The P3 Framework provides the framework for the conception, delivery, monitoring and closure of programmes and projects within the City of London Corporation. The purpose of the P3 Framework is to:
- Provide a structured decision-making framework to ensure that projects are viable and likely to succeed
 - Support strategic decision making for Members and senior officers – with an emphasis upon impact including climate impact, social value, and benefits/outcomes realisation. and Return on Investment (ROI)
 - Encourage consistency of delivery across the organisation whilst allowing for flexibility to respond to circumstances
 - Provide oversight of the conception and delivery of projects – the P3 Framework provides the basis for compliance and the governance requirements are proportionate to the complexity and risk of the project concerned
 - Ensure that we have policies to discharge our statutory and non-statutory duties with proper oversight and control
- 1.2 This document is not intended to be used as a project or programme management methodology; different standards can be adopted according to the specific requirements of the project or programme.
- 1.3 Unless otherwise mentioned, all figures provided in this document for the value of projects and programmes exclude any provision for risk or Value Added Tax (VAT).
- 1.4 If you have any queries or comments about the P3 Framework, portfolio, programme, or project management generally at the City Corporation, please contact the ePMO team at epmo@cityoflondon.gov.uk.

2 PORTFOLIOS, PROGRAMMES AND PROJECTS

2.1 The City Corporation has adopted Portfolio Management practices. The Corporation uses the following definitions :¹

- Portfolios: 'are used to select, prioritise and control an organisation's programmes and projects, in line with its strategic objectives and capacity to deliver. Their goal is to balance the implementation of change initiatives and the maintenance of business as usual while optimising return on investment.'
- Programmes are 'unique and transient strategic endeavours, undertaken to achieve a defined set of objectives, incorporating a group of related projects and change management activities.'
- Projects are 'unique, transient endeavours, undertaken to bring about change and achieve planned objectives, which can be defined in terms of outputs, outcomes or benefits.'

2.2 A transformation project will introduce a new service, policy or capability. Such projects deliver significant change in services, systems or processes. They will likely require dedicated resources and governance to succeed. Ongoing operational activities and services that maintain current performance levels and are repeatable should not be considered to be transformational and should not be constructed as a project.

2.3 Related projects that are interdependent upon each other and work towards shared outcomes should be grouped together as a programme and clearly identified as such within the relevant Corporation frameworks, reporting, and tools.

2.4 Each project or programme must have a defined accountable owner and a responsible owner.

- Accountable owner - This is the department or institution with the ultimate accountability for the delivery of the project or programme and for defining its desired outcomes and budget constraints. The accountable departments assign a Senior Responsible Owner (SRO) to the programme or project (see section 5)
- Responsible owner—The responsible owner is the department or party delivering the project or programme. The project or programme can be delivered by the same department as the accountable department, an external supplier, or another department within the Corporation.

2.5 The use of portfolio managers to manage individual portfolios is optional and can be assigned by individual departments as required. This role can also be undertaken using local PMO structures where these exist.

¹ Derived from the Association of Project Management (APM)

3 SCOPE OF THE FRAMEWORK

- 3.1 All revenue and capital projects or programmes considered to be Tier 3 or above (typically over £250k in total estimated cost of the project) come under the requirements of the P3 Framework.
- 3.2 Please note the following specific inclusions to the P3 Framework:
- Projects funded through revenue, transformation projects, capital projects, investment property projects, climate action strategy and innovation projects and programmes
 - The P3 Framework includes projects and programmes undertaken by the Corporation's Institutions
 - The P3 Framework applies to projects and programmes whether funded through ring-fenced funds or otherwise
- 3.3 Standalone procurements are explicitly excluded from the P3 Framework although a project or programme may contain a procurement as part of its wider delivery.
- 3.4 Any projects that start out below Tier 3 and are therefore out of scope and then develop to be Tier 3 projects will become in scope and enter the gateway approval process and requirements of the P3 Framework. It is not, in general, expected that projects will need to start from the beginning when they do so. However, advice should be sought from the EPMO on individual cases.
- 3.5 To allow projects to proceed at the appropriate speed and to ensure that the City Corporation can take advantage of circumstances as they arise, Standing Order 50(04) authorises the Town Clerk, in consultation with the Projects and Procurement Sub-Committee or the Chairman and Deputy Chairman thereof as appropriate, to vary the P3 Framework in relation to individual projects in cases when it is deemed relevant to do so. Before individual projects are proposed to be varied they must consult with the EPMO and agree an alternative structure to provide a sound basis for justifying the project or programme and for its oversight and control. Variations to the P3 Framework will only be agreed in exceptional circumstances.

4 PROJECT AND PROGRAMME TIERS

- 4.1 All projects and programmes must be tiered according to financial value, complexity and impact on people. The following are the broad definitions of each Tier:
- Tier 0 – Major capital infrastructure programme – High-profile to the City Corporation, directly addresses the strategic outcomes of the Corporation and typically has a total delivery cost of over £100m
 - Tier 1 – Complex – Delivers strategic outcomes for the City Corporation, high levels of uncertainty, requires new or innovative practice, complex to deliver – typically £20m-£100m
 - Tier 2 – Strategic – Contributes to strategic outcomes, contains uncertainty, requires some technical innovation and with moderate impact upon people – typically £5m - £20m total delivery cost

- Tier 3 – Aligns to strategic outcomes, clearly defined approach, requires some technical innovation and with minimal impact upon people – typically costs £250k to £5m
- 4.2 A project or programme that is less than a Tier 3 project (typically less than £250k) is considered to be “Business as Usual.” However, departments and institutions are encouraged to utilise the ePMO system to manage these projects.
- 4.3 Project or programme managers should use the Corporation’s tiering tool to perform the initial assessment. An estimated Tier should be undertaken at the early stage of project conception and will be refined as business cases are developed. This tiering tool should be used as guidance with the proposal for the actual tiering made by the project or programme manager with their justification for their proposed tiering of a project. City of London Corporation Portfolio Board or Project and Procurement Sub-Committee can revise tiering should they consider it appropriate to do so. The ePMO will review tiering across the Corporation and ensure consistency.
- 4.4 Investment property projects and programmes have increased Tier 3 financial provision and an increased threshold for entering the Gateway process. These levels can vary and are approved separately in agreement with RASC, Investment Committee and City Bridge Foundation.

5 PORTFOLIO GOVERNANCE

Member Governance

- 5.1 The Policy and Resources Committee will approve the City Corporation’s portfolios. This approval will occur at the annual meeting of committee Chairs at the Resource Allocation Subcommittee (RASC).
- 5.2 Projects and Procurement Sub-committee is responsible for:
- Overseeing the total portfolio of projects within the City Corporation and receiving regular high-level dashboard reports on their progress, identifying notable risks and proposed mitigations
 - Maintaining the definition of the portfolios in use within the Corporation and their constituent project and programmes, including any updates to them
 - Recommending how political oversight of relevant Tier 1 and Tier 2 projects can best be achieved where several committees are stakeholders on the proposed project
 - Reviewing the City Corporation’s project management processes, developing project management skills and expertise and systematically embedding commercial approaches that share investment and risk
 - Calling in Tier 1 – Tier 3 projects or programmes for “deep dives” into their progress where the project or programme has Corporation funding (i.e. purely CBF or CoLP projects and programmes are excluded).
- 5.3 Service Committees will oversee Tier 1 and Tier 2 projects and programmes. These Committees will:

- Approve gateways for Tier 1 and Tier 2 projects and programmes
 - Review change requests where the change will result in the total project expenditure exceeding £5m (although the authorisation for the increased budget will rest with RASC or Finance Committee and, where appropriate, Court of Common Council)
 - Receive Issues Reports on programmes and projects that have been categorised as “Red” under the status reporting of the City Corporation (including Tier 3 projects).
- 5.4 Project steering or working groups can be created for a project or programme and include Members on the governance. There are no formal terms of reference for their governance, however they could be used to engage with external stakeholders and provide recommendations to the Project or Programme Board.
- 5.5 Projects that are fully funded by City Bridge Foundation (CBF) have specific governance approvals separate to that from the remainder of the Corporation. Where projects are part funded by CBF then they should seek approval from service committees and City Bridge Foundation.
- 5.6 Tier 0 projects and programmes (i.e. capital programmes with a value of £100m+ directly delivered by the City Corporation) require approval by the Court of Common Council and Policy and Resources Committee following a full business case. Prior to approval by Court of Common Council and whilst the project or programme is in a feasibility stage, Tier 0 projects and programmes will be overseen by Service Committees.

Officer Governance

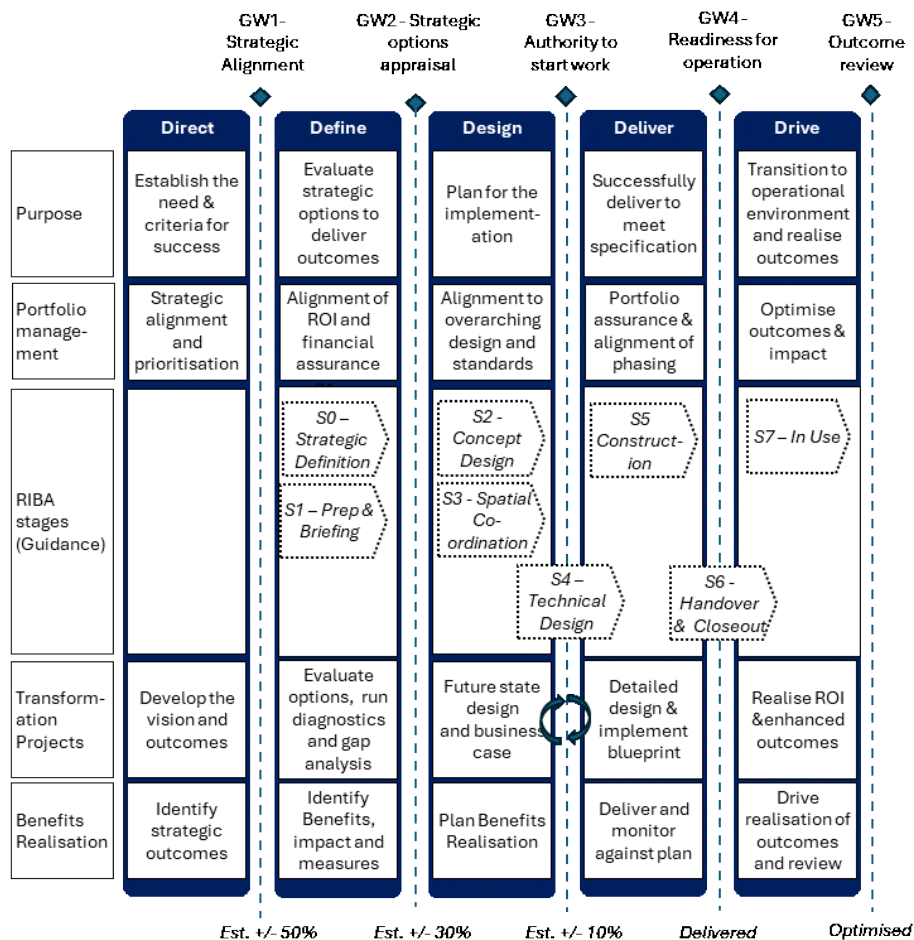
- 5.7 The City Corporation operates an officer-level City of London Corporation Portfolio Board. Town Clerk chairs this board and it meets monthly. The City of London Corporation Portfolio Board:
- Holds strategic oversight of delivery and strategic risks and opportunities, ensuring investment delivers the Corporation’s strategic aims, value for money and social value.
 - Has oversight of each of the Corporation’s portfolios and will receive regular strategic dashboards - updating on key projects which require intervention and oversight by Portfolio Board as well as Portfolio level risks and benefits
 - Makes recommendations to Members on the relative strengths and weaknesses between potential investments in projects and programmes
 - Undertakes “Deep dives” into portfolios, programmes and projects at its request
 - Endorses business cases for Tier 0-Tier 1 gateway papers before they are submitted to Member Committees – Portfolio Board can require changes before submission to Members and can advise Members on these submissions
- 5.8 In addition, each Portfolio of the City Corporation has its own departmental Portfolio Board or Institution Portfolio Board. Departmental Portfolio Boards oversee the pipeline of projects and programmes within their portfolio and are chaired by a ‘Portfolio Executive’. The boards assign SROs to Tier 1-3 projects and programmes within their Portfolio.

- 5.9 In addition, sub-portfolio boards may be established at the instigation of the departmental portfolio board. Should a Portfolio Executive deem these necessary, then they will assign an SRO to the sub-portfolio.
- 5.10 The department concerned will provide any secretariat requirements for the portfolio, programme or project boards.
- 5.11 The Chamberlain and Chief Financial Officer chairs the Chamberlain Assurance Board. The board makes recommendations to the Portfolio Board on the financial viability of gateway submissions and deep-dive financial issues to be addressed. It also makes recommendations to Portfolio Board on investments required in the Corporation's pipeline of projects and programmes. The board is primarily focused upon Tier 0 - Tier 1 projects although can also call in projects of any other tier.
- 5.12 Each Portfolio will have a 'Portfolio Executive' who holds overall accountability for the portfolio. This is normally a Executive Leadership Board (ELB) member assigned by the City of London Corporation Portfolio Board and who will sit on this board.
- 5.13 Senior Responsible Owner (SROs) will be assigned to portfolios, sub-portfolios, projects and programmes as follows:
- Sub-Portfolios – A direct report to an ELB Member assigned by the 'Portfolio Executive' of a Portfolio
 - Tier 0 Project or Programme (Pipeline and Delivery) – SLT member assigned by the City of London Corporation Portfolio Board
 - Tier 1 project or programme – SLT member or next tier assigned by the Departmental Portfolio Board
 - Tier 2 project or programme – A Direct report to a SLT member assigned by Departmental Portfolio Board
 - Tier 3 project or programme – Assistant Director or above assigned by the Departmental Portfolio Board
- 5.14 Each programme under the scope of the P3 Framework must have a programme board. These will normally be chaired by the SRO (Senior Responsible Officer) of the programme. All programmes and projects must define their decision making governance. This is normally expected to be exercised through a project board although the decisions for this board can be undertaken via correspondence where the size of the project does not warrant dedicated meetings. Advice can be provided by the Corporate EPMO team.
- 5.15 The department responsible for the delivery of a project or programme will assign a project or programme manager to each project or programme.

6 THE CITY OF LONDON CORPORATION GATEWAY PROCESS

- 6.1 All projects within the scope of the P3 Framework will follow a gated process for project development and delivery. Projects and programmes are generally expected to follow each

gate in sequence, although options exist for fast-tracking the gateways for Tier 3 and Tier 2 projects. The governance levels and extent of documentation required will differ according to each tier of the project or programme. The gateways are shown in the diagram below.



- 6.2 The gated process aims to ensure a sound basis for project delivery. At the initial gateways, business cases will be produced, and unviable projects and programmes should be identified early and closed. As the project evolves and more accurate business cases are made, the expectation is that the confidence range of costs and benefits will narrow as Officers obtain greater certainty about the project and the associated risks and issues.
- 6.3 Projects, from their conception, should estimate the total cost of delivery and benefits and state the assumptions used in their calculations. At the first gateway, these may, for example, be based on estimates from other similar projects undertaken previously. Reviewers of business cases should challenge the assumptions, examine any potential bias, and seek dissenting opinions. The critical decision at each gateway is to determine whether there is sufficient clarity as to whether it is worth investing further resources to proceed to the next gateway or whether the project should be stopped.
- 6.4 Projects and programmes proceed through a sequential series of phases and gates.

Phase	Key Activities	Documentation and artefacts
1 – Direct	<p>The purpose of the direct phase is to develop a compelling argument for the necessity of the programme/project and to ensure its alignment with strategic objectives whilst recognising affordability limitations.</p> <p>Where there are two departments involved in a project, an accountable and responsible department, then it is expected that the accountable portfolio (client) will normally undertake this stage of the work. They will specify when they intend to hand the work over to any delivery team.</p> <p>A strategic case is produced that:</p> <ul style="list-style-type: none"> • Outlines the compelling narrative as to why the project or programme is required and required at this time • Assesses the proposed outcomes consistent with the City Corporation's strategic objectives – including alignment to the Climate Action Strategy, impact on communities and businesses • An initial tiering is produced using the tiering assessment tool • An assessment of the cost saving potential, revenue generating potential, as well as the extent to which it addresses statutory requirements • Considers early cost/benefit analysis where applicable • Provides initial assessments of timescales and complexity • Outlines affordability and budget constraints • The source of proposed funding is identified and whether the funds have already been included within the capital plan • Explains the alignment to sustainability goals of the Corporation and the net zero design standard • The governance arrangements for the future gateways have been identified • Relevant lessons learned from other similar projects • The likely procurement stages that will be required and at which stages of the gateway process 	<p>Mandatory documents:</p> <ul style="list-style-type: none"> • Strategic Case – including cost and benefits estimate • First iterations of tiering Assessment <p>Optional documents:</p> <ul style="list-style-type: none"> • Governance schedule • Procurement schedule • RAID Log

Phase	Key Activities	Documentation and artefacts
	Once the gateway has been approved, assign Project or Programme Manager and establish the project or programme board as required.	
2 - Define	<p>The purpose of the define phase is to explore strategic options and develop a robust outline business case that will inform decision-making and ensure that the best approach is selected.</p> <ul style="list-style-type: none"> • An outline business case is produced containing several options for the delivery of the project or programme • Evaluate costs estimates for each option – this includes the cost of doing nothing • Evaluate the funding strategy for each option • Re-evaluate the Governance & Procurement Approval Timeline • The RAID log is further updated - Identify high-level risks and assumptions (early RAID log) • Perform a sustainability climate impact assessment against the design standard – where relevant, this should include taking a full life cycle view from inception to decommissioning • Develop the plan for the subsequent gateways together with the budget for the design stage – this will be encapsulated in a project brief • Benefits development - Gather data and evidence for community/business need, consider co-design and stakeholder engagement and define 'measures for success'. <p>At this stage, any requirement for people and change management and transformation is identified within the business case. In addition the define stage is where the design standard would be first implemented.</p>	<p>Mandatory documents:</p> <ul style="list-style-type: none"> • Outline Business Case – including cost estimates with assumptions and benefits • Climate Impact Assessment (Net Zero Design standard for construction) and other climate action considerations • Project Brief <p>Optional documents:</p> <ul style="list-style-type: none"> • Tiering Assessment • An initial project initiation document (PID) (will be iterated throughout the project) • Governance & Procurement Approval timeline • Stakeholder engagement plan and change management plan • Equalities Impact Assessment (when relevant) • Benefits map • Procurement strategy (PT3)

Phase	Key Activities	Documentation and artefacts
		<ul style="list-style-type: none"> Procurement award report (PT8) post-tender
3 - Design	<p>The purpose of the design phase is to develop a detailed business case, create comprehensive project plans, and ensure the project is ready for implementation. This stage involves refining the preferred option and undertaking an outline design. By the end of this stage the programme or project must have secured the necessary budgetary approvals.</p> <p>Key activities include:</p> <ul style="list-style-type: none"> Develop a detailed business case for the preferred option approved at GW2 Re-evaluate cost estimated for the preferred option Re-evaluate funding strategy for preferred option Re-evaluate the Governance & Procurement Approval Timeline for preferred Option Create a Project Schedule Update the RAID log. Develop an Outcomes Delivery Plan Establish the project/programme budget. Develop a Procurement Plan. Prepare a Project Brief <p>At Gateway 3 (“Authority to start work”), a proposed confidence range for all benefits, costs, and schedules must be submitted.</p>	<p>Mandatory documents:</p> <ul style="list-style-type: none"> Full Business Case – including cost estimates with documented assumptions Project Initiation Document (PID) – including resource schedule Project Schedule Updated RAID log Outcomes Delivery Plan (incl. benefits register) <p>Where relevant, the next iterations of:</p> <ul style="list-style-type: none"> Tiering Assessment Governance & Procurement Approval timeline Stakeholder engagement plan and change management plan Equalities Impact Assessment (Mandatory when relevant) Climate Impact Assessment <p>Optional documents:</p> <ul style="list-style-type: none"> Procurement strategy (PT3)

Phase	Key Activities	Documentation and artefacts
		<ul style="list-style-type: none"> Procurement award report (PT8)
4 - Deliver	<p>The purpose of the deliver phase is to successfully deliver the project or programme by executing the project plan, managing resources, and ensuring that deliverables meet the specified requirements and objectives. This stage focuses on the actual implementation of project activities for projects and coordination of benefits and outputs for programmes. This phase can include completing the detailed technical design.</p> <p>Projects:</p> <ul style="list-style-type: none"> Execute project tasks according to the project plan. Monitor and control project progress, ensuring alignment with the project schedule. Manage project resources, including personnel, budget, and equipment. Implement change control processes to manage project changes. Conduct regular status meetings and report progress to stakeholders. Perform quality assurance to ensure deliverables meet specified requirements Handle project risks and issues as they arise. <p>Programmes:</p> <ul style="list-style-type: none"> Coordinate and oversee the execution of multiple related projects. Ensure alignment of projects with the programme's strategic objectives. Manage interdependencies and resource allocation across projects. Monitor the delivery of programme benefits and outputs. Implement change control processes to manage programme-level changes. Conduct regular programme status reviews and stakeholder communications. 	<p>Mandatory documents:</p> <ul style="list-style-type: none"> Project/ Programme Status Reports Action and Decision log (updated continuously) RAID log (updated continuously) Benefits dashboard <p>Optional documents:</p> <ul style="list-style-type: none"> Issues Reports Change Requests Operational readiness review Closure plan Procurement strategy (PT3) Procurement award report (PT8)

Phase	Key Activities	Documentation and artefacts
	<ul style="list-style-type: none"> Perform quality assurance to ensure programme outputs meet strategic objectives. <p>The default approval for the end of the deliver phase is the SRO of the project a programme. This can be changed to the project manager or a service committee according to the nature of the project or programme. Where delegated to the project manager, they must mark the completion of the end of phase on the ePMO system. However, in most circumstances, it is also recommended that an operational readiness review and accompanying documentation is produced.</p>	
5 - Drive	<p>The purpose of the drive phase is to complete the project or programme by transitioning deliverables to the operational environment, capturing lessons learned, and formally closing the project or programme. This stage ensures that all objectives are met, benefits are realised, and the success of the project or programme is measured against financial, non-financial, and strategic goals.</p> <ul style="list-style-type: none"> Oversee the transition of programme outputs to business-as-usual operations. Conduct a final programme review and gather feedback from stakeholders. Perform a benefits realisation review to confirm that expected benefits have been achieved (this should address the realisation of sustainability goals) Capture and document lessons learned. Formally close the programme and release programme resources. Ensure ongoing monitoring of benefits delivery is established <p>The Audit Team will:</p> <ul style="list-style-type: none"> Select projects and programmes for formal evaluation and audit reports developed as necessary 	<p>Mandatory documents:</p> <ul style="list-style-type: none"> Programme or Project Closure Report Outcome Report Lessons Learned Report <p>NB This can be one document if the project or programme is closed prior to Gateway 3.</p> <p>Optional documents:</p> <ul style="list-style-type: none"> Project Casestudy

- 6.5 The ePMO monitors the progress of projects from start to finish and will use the ePMO system as the basis to do so. Departmental project teams should use the system as a working tool and maintain up to date information regarding each project or programme. This specifically includes project schedules, risk and issues, gateway submissions, tiering assessment, project team resourcing, issues reports, closure reports, status reports and change control.
- 6.6 The above requirements are a minimum for project and programme management within the City Corporation. Other documentation may be required to adhere to standards such as RIBA, the City Corporation's net zero design standard, or specific project or programme requirements. The City Surveyor's Property Projects Division provides advice on the equivalent RIBA stages.
- 6.7 Projects and programmes are expected to consult with the ePMO, the commercial team, DITS, the Governance team and Chamberlains in the first phase and on an ongoing basis.

Alignment with Financial Processes

- 6.8 The approval of budgets (both capital and revenue) and funding is set out within the financial regulations. Progress through the gateway stages will not supersede or replace other financial approvals. (Interim updates/proposal)
- 6.9 No expenditure should be incurred, either capital or revenue, without appropriate approvals as per the scheme of delegation.
- 6.10 A project may consist of both capital and revenue budgets, but these would be classified as one project in total.
- 6.11 A project with purely revenue costs will be managed inline with other revenue budgets, meaning costs must be coded directly to revenue cost centres to ensure clarity and transparency of reporting. Should feasibility costs initially incurred as revenue costs, subsequently be identified as capital, these can then be transferred to a capital cost centre.
- 6.12 Quarterly forecasts for the current financial year, and life of the project must be provided in line with the corporate monitoring guidelines to identify over/underspends and slippage within the capital programme. Major projects (Tier 0) must provide monthly forecasts in line with Major Project reporting timelines.
- 6.13 Gateway reports should include the capital and revenue budgets confirming these are still sufficient to cover the remaining forecast expenditure. If forecasts are expected to exceed these budgets, appropriate approvals to increase budgets must first be confirmed before proceeding to the next gateway.

Alignment with Procurement Processes

- 6.14 A project or programme may have procurements throughout the conception and delivery of the project or programme. These can include the need for client advisors or for a main delivery contractor. At the first Gateway, the project or programme should identify the procurements that will be necessary at each phase and provide a plan in alignment with the gateways.

- 6.15 Procurement governance is designed to ensure that all procurement is adequately scrutinised without creating unnecessary delay. Specific consideration has been given to procurements which are a part of wider project. For procurements which are part of a project, development and approval of the procurement strategy will follow the same governance as any other procurement. However, at the award stage, either the Chief Officer or the Category Board (dependent on contract value) will prepare their recommendation report which will be sent to the Senior Responsible Officer for the project. From that point it is back within project governance and the Commercial Services team will await confirmation that the award decision has been approved before continuing to complete the documentation.
- 6.16 All contracts will be subject to the Responsible Procurement Policy that requires contractors to contribute toward the City Corporation's responsible procurement commitments. Expectations of supply chain should be considered as part of the benefits realisation plan.

Alignment with Impact and Benefits Realisation Management (BRM)

- 6.17 Project and programme managers will ensure that the impact of projects and programmes, including Responsible Procurement, climate impact, social value and benefits/outcomes are assessed and managed throughout the project lifecycle. Project Managers should consult the benefits strategy and framework which defines the unified approach to Benefits Management to be taken throughout the Corporation. The Corporate impact and benefits team can be consulted upon for advice and will work with Project Managers on assurance and monitoring throughout the project's delivery and closure.
- 6.18 Responsible procurement is a critical aspect of delivering impact through our contracts and project delivery. The Responsible Procurement Policy applies to all contracts awarded by the City Corporation. It specifies specific actions required from project managers with purchasing responsibilities as well as suppliers. Where appropriate, project managers will ensure that the Benefits Realisation Plan of the project contains appropriate actions upon suppliers.
- 6.19 All projects are encouraged to demonstrate measurable outcomes to meeting the targets within the Climate Action Strategy (CAS). This is mandatory for those projects which are fully funded or co-funded by the Climate Action Strategy (CAS). All projects are required to complete a Climate Impact Assessment at Gateways 2 and to obtain approval from the Climate Action Strategy team. For construction projects, this will include compliance with the Net Zero Design Standard. Where at Gateway 2 it has been assessed that there is a climate impact, then at Gateway 3 there will be a further quantification and mitigation of the assessment.

Variations on the Gateway process

- 6.20 Project managers can access variations to fast-track projects through the gateways for Tier 2 and Tier 3 projects and programmes.
- Tier 2 projects can combine Gateways 2 and 3 where, for example, no options are to be considered for the delivery of the project or programme
 - Tier 3 projects can combine Gateways 1 to 3 and proceed directly to 'Authority to Start Work' where, for example, there is already agreed funding for the project or programme

- 6.21 When Gateways are combined, the justification must be included within the first Gateway submission that the project or programme undertakes. The Departmental Portfolio Board or Portfolio Executive decides whether to accept the proposed combination. The ePMO team can be consulted for advice.
- 6.22 An additional gateway can be utilised after Gateway 2 (Gateway 2b). This Gateway is only for those projects or programmes that need to fix a budget before entering the design phase and then subsequently vary the scope of the work during this phase. This additional gateway needs to be established and proposed as part of the first gateway submission and in consultation with the Service Committee concerned, the ePMO team and Financial services team. Any additional Gateway 2b will follow the same governance approvals as Gateway 2.
- 6.23 Programmes may have individual projects or phasing that require a funding request separate from the main programme submission. In this situation, these projects can commence the gateway process at the last stage of the overall programme and do not need to recommence from the first gateway.

7 APPROVAL OF GATEWAY SUBMISSIONS

- 7.1 The pathway for approving gateway submissions will depend upon the project or programme's tiering and the specific gateway involved. The principle is that the required governance for the project or programme increases as its cost and impact increases. The general routes for approval are as follows:
- Tier 3 – Authority for approval of all gates rests with the Portfolio Executive
 - Tier 2 – Authority for approval rests with the Service Committee(s) for Gateways 2, 3 and 5
 - Tier 1 – Gateway submissions must be approved by City of London Portfolio Board prior to submission to Service Committee(s) and at Gateway 3 (“Authority to Start Work”) the project will need to be approved by Court of Common Council
 - Tier 0 - Whilst Tier 0 programmes are at a feasibility stage (i.e., gateways 1 and 2) and are part of the pipeline of potential projects and programmes, they will be overseen by the relevant Service Committee. At Gateway 3, the project or programme will need to propose the Member governance for the programmes which will be approved by the Court of Common Council.
- 7.2 In addition, where Tier 0 - Tier 2 programmes require approval for entry onto the Capital Programme then they must do so prior to Gateway 3 (“Authority to Start Work”) through an approval by Resource Allocation Sub Committee (RASC).
- 7.3 Please see Appendix C for the precise officer boards and committees required at each Gateway for each Tier.
- 7.4 All gateway submissions must be submitted and managed through the ePMO system.
- 7.5 All officer boards must be cleared prior to entering Member Committees. For each Gateway Paper, officers will liaise with the Town Clerk’s department in order that the Report is considered

by all relevant Committees in a timeframe and order which will ensure governance is both expeditious and effective.

Officer Approvals

- 7.6 The relevant project or programme board will endorse all gateway submissions (except for the first Gateway).
- 7.7 Chamberlain's Assurance Board must receive all Gateway submissions for Tier 0 and Tier 1 (except Gateway 4). The board may call in Tier 2 projects and programmes if it wishes.
- 7.8 City Corporation Portfolio Board will act in an advisory capacity to Members for Projects and Programmes. Before submission to Members, it must endorse all gateway submissions for Tier 0-1 projects and programmes.
- 7.9 Projects or programmes fully funded by City Bridge Foundation have their own approval route. These projects will be approved by the CBF Portfolio Board. They are not required to be endorsed by either City of London Corporation Portfolio Board or Chamberlain's assurance board. Where projects are part funded by CBF then they should seek approval from both the relevant committees.
- 7.10 Projects requiring City of London Police (CoLP) endorsement will need to attend both the CoLP Strategic Change Board and the CoLP Strategic Finance Board. Other officer boards within CoLP are not required. However, the membership of these boards should be consulted as part of the construction of business cases and in project delivery.
- 7.11 No additional officer governance requirements exist for projects fully funded by the City Corporation. Any further proposed officer-level governance should be considered optional and non-mandatory.

Member Approvals

- 7.12 The Court of Common Council must approve Gateway 3 submissions with estimated costs above £20m.
- 7.13 Additional member governance requirements may apply to individual departments or institutions with cross-policy implications or cross-funding arrangements. The EPMO can advise on these requirements. In addition, the Projects and Procurement Sub-Committee and/or the Policy and Resources Committee will advise on the precise member governance requirements for individual projects and programmes with multiple member interests. This includes explicitly ICT (Information Communication Technology) and transformation projects and programmes that are cross-cutting in nature.
- 7.14 Whilst capital Tier 0 programmes are at a feasibility stage (i.e., gateways 1 and 2) and are part of the pipeline of potential projects and programmes, they will be overseen by the relevant Service Committee. At Gateway 3, the project or programme will need to be approved by the Court of Common Council. After this approval, oversight will be undertaken by a committee determined by Court of Common Council.

Urgency and delegated authority

- 7.15 Officers planning to submit papers to committees should understand the committee timetables and plan around them accordingly. A governance schedule should be constructed at the early stages of project planning and advice sought from the governance team. Urgency procedures should only be used in exceptional circumstances.
- 7.16 Where a decision is required rapidly and must be made outside of the regular Committee timetable, this can be done via the 'Urgency' system (see Standing Orders of the Court of Common Council: 41. Decisions between Meetings). In these instances, the power to make a decision will be delegated to the Town Clerk. Before exercising this power, comments from the Chairman and Deputy Chairman of the relevant Committee(s) will be sought.
- 7.17 Urgent requests are submitted to the relevant Committee clerk, who will make representations to the Town Clerk and Chairman and Deputy Chairman of the Committee.
- 7.18 A full gateway report as would normally be submitted to the relevant committee(s)) must be provided. If the decision is urgent and delegated authority has not previously been requested, you must provide a justification for the urgent decision (i.e. why can it not wait until the next meeting, why were you unable to present it at the previous meeting?). Once a decision has been taken it is reported to the next meeting of a committee and is reflected in the minutes of that meeting.
- 7.19 At meetings, Committees may decide they do not have enough information on the sitting date to make an informed decision and they may request additional information to be provided. Under such circumstances they may decide to delegate that decision outside of committee on receipt of the requested information. In these circumstances, the approval process is the same as for urgent approvals.

8 PORTFOLIO, PROGRAMME AND PROJECT STATUS REPORTING

- 8.1 The project or programme manager for every programme and project under the scope of the P3 Framework will submit a monthly status update report according to the City of London Corporation programme reporting timetable and using the ePMO system.
- 8.2 The following broad definitions are used as the status for each project or programme:

	Description	Indicative Budget Variance (Excl. Risk provision)	Indicative Schedule Variance
GREEN	Successful delivery of the project/programme to time, cost and quality appears highly likely, and there are no major outstanding issues that at this stage appear to threaten delivery	<5%	<5%

AMBER	Successful delivery appears feasible, but significant issues already exist requiring management attention. These issues appear resolvable at this stage and, if addressed promptly, should not present a significant cost/schedule overrun.	5-15%	5-15%
RED	Successful delivery of the project/programme appears unachievable. Major issues at this stage do not appear to be manageable or resolvable. The project/programme may need rebasing and overall viability re-assessed.	>15%	>15%

8.3 Please see Appendix D for other recommended criteria.

8.4 The City Corporation ePMO will produce strategic Portfolio Dashboards for each Portfolio according to the reporting timetable. These will be used as the basis for departmental portfolio board meetings. In addition, they will produce a single Portfolio Dashboard for the City of London Corporation portfolios and Tier 0 programmes. This document will report the progress of the Corporations' Portfolios, Programmes, and Projects at the City of London Corporation Portfolio Board and the Project and Procurement Sub-Committee, with the individual portfolio dashboards attached for information.

8.5 In addition, the impact and reporting team will produce Portfolio dashboards relating to benefits realisation and management, working with Project Managers and Portfolio Executives to provide assurance against benefits forecasts, delivery and risk.

8.6 There are in addition separate budget monitoring requirements from the financial services team of Chamberlains.

9 CHANGE CONTROL

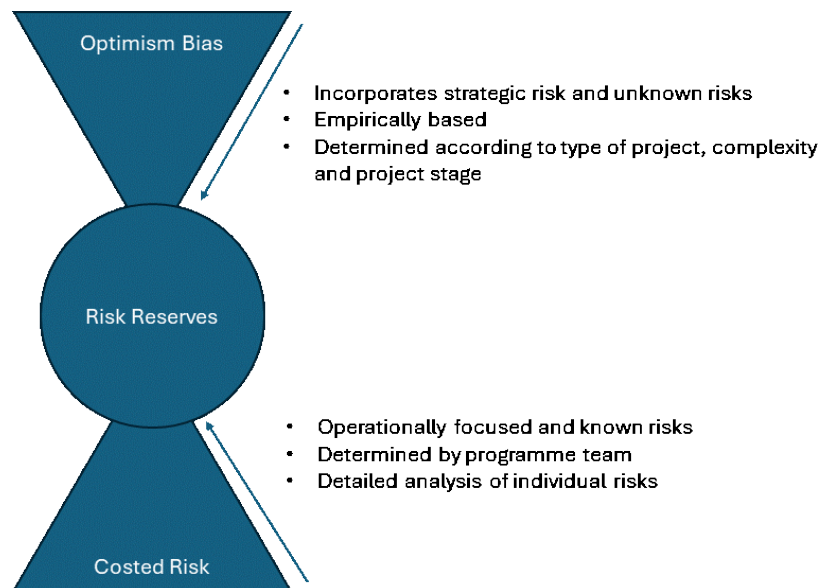
9.1 Throughout the production of gateway submissions, a proposed confidence range for the overall benefits, costs, and schedules of the project must be submitted. The project or programme manager must raise a change control whenever:

- The outcomes or specifications will be significantly different to that which have been agreed upon, i.e. there will be a shortfall against one or more of the key objectives
- The scope changes significantly due to regulatory changes, stakeholder requirements, project risk mitigation or missing requirements
- The financial implications will be higher than the agreed confidence range (capital or revenue expenditure)
- The expected benefits are lower than the agreed confidence range

- 9.2 When smaller changes are required below these thresholds then they should still be recorded in the ePMO system but can be approved by the Senior Responsible Owner (SRO).
- 9.3 The process contained within this section is separate to any contractual project change process that individual projects or programmes may have with suppliers.
- 9.4 The relevant departmental Portfolio Board must review the change control. Changes to projects and programmes can then be approved as follows:
- Tier 3 projects: by the relevant departmental Portfolio Board, providing that the total estimated expenditure of the project will not exceed £5m or if the change is accounted for by costed risk provision
 - Tier 2 projects: by the Service Committee concerned
 - Tier 1 projects: by the Service Committee concerned via the City of London Portfolio Board
 - Tier 0 project: All change requests for Tier 0 projects are submitted to the City of London Corporation Portfolio Board. The lead Service Committee approves the change if the project is before Gateway 3. If it is after Gateway 3, then the agreed governance committee approves the change control.
- 9.5 In addition, if additional City Corporation resources are required (i.e., from central resources, not local risk budgets), the change request must be approved at the next meeting of the Resource Allocation Subcommittee and from Finance Committee for appropriate adjustments to the City Corporation's Capital Programme. If the change control results in additional expenditure then the business case should be reviewed by the project manager and the SRO to determine whether the project is still viable.
- 9.6 Once approved, the change is integrated into the project schedule and resourcing, and a revised PID is issued to the Project or Programme Board. The project will no longer be considered "Red," and progress will be reported against the new plan.
- 9.7 Any proposed project scope, timeline, updated PID or resource changes must be submitted using the ePMO system. This will include details such as the nature of the change, rationale, budgetary impact, and resource implications.

10 RISK MANAGEMENT

- 10.1 Risk management is designed to address the proven tendency to be biased regarding capital costs and operating costs, project duration, and benefits delivery. Within the Corporation both 'costed risk' and 'optimism bias' approaches are utilised. Both approaches are mandated for projects which are Tier 0 or Tier 1. They are outlined in the diagram below.



- 10.2 The costed risk analysis determines the overall costed risk provision. Any agreed Costed risk provision will be set aside from the project budget and cannot be accessed without a budget adjustment being authorised by the project or programme's SRO. If the cumulative total costed risk drawn down by a project exceeds or is equal to £500,000, then a progress report detailing the reasons for the drawdown will be required for City of London Corporation Portfolio Board and the Service Committee concerned.
- 10.3 Where an optimism bias analysis has determined that there is likely to be further risk that has not yet been identified, then the additional provision can form an 'optimism bias' reserve. This provision can only be drawn down from authorisation from the Service Committee concerned as well as Finance Committee.
- 10.4 A completed corporate risk register is a compulsory requirement upon all projects and programmes within the scope of the P3 Framework. The ePMO system will be used for all aspects of the risk management process, including risk registers, assessment results, mitigation plans, and contingency plans.
- 10.5 Officers can request a costed risk provision at each Gateway stage based on seeking a provision to deal with contingent items (should they arise) before the next Gateway. The provision will not automatically roll forward at each gateway, and the case for costed risk must be made again. In addition, costed risk or optimism bias provision funding awarded for closed risks will be returned to its source at the next Gateway opportunity.
- 10.6 The ePMO, as well as the Audit service, will instigate reviews of risks across the Corporation's portfolios, programmes and projects.

11 PROJECT AND PROGRAMME CLOSURE

- 11.1 Once a project has entered the Gateway process it must have a formal closure. The closure process is triggered upon practical completion of deliverables or the project's cancellation.

Formal procedures apply both at the planned conclusion of the project after delivery (Gateway 5) or when the project or programme is closed at an earlier Gateway.

- 11.2 Closure reports must be submitted within twelve months of a project or programme entering Gateway 4 or after the decision to close a project. Should this not be possible (e.g., due to a commercial dispute), the closure report is still required within the twelve-month window; however, a supplementary outcome report can be produced later.

- 11.3 Closure reports are required to be submitted as follows:

	Before Gateway 3 (Authority to Start Work)	After Gateway 3 (Authority to Start Work)
Tier 0	The relevant Service Committee	The relevant Committee
Tier 1	The relevant Service Committee	The relevant Service Committee
Tier 2	City of London Corporation Portfolio Board	City of London Corporation Portfolio Board
Tier 3	Departmental Portfolio Board	Departmental Portfolio Board

- 11.4 The project or programme manager must update the status of the project or programme on the ePMO system. Projects and programmes should continue to provide status reports and be updated on the portfolio dashboard until they have been formally closed. A project can only be formally closed once a member of the ePMO team has approved it to do so.
- 11.5 The Project and Procurement sub-committee (PPsC) will be informed of projects and programmes that have been closed through portfolio reporting.
- 11.6 Projects are encouraged to capture lessons learned throughout the project lifecycle, but this exercise must be undertaken as part of the final phase. The approach to lessons learned should be defined and approved as part of the Project Initiation Document (PID).
- 11.7 The closure report must follow the template and should outline the project's outcomes, its benefits (and disbenefits), completion of project deliverables, stakeholders' satisfaction, resolution of any commercial disputes, settlement of accounts for the project, and successful handover to an operational environment.
- 11.8 Projects must consider case study opportunities with communities, businesses and stakeholders as the project delivers against its aims. In addition, consideration should be given to lessons learned concerning benefits management to apply to future projects/programmes.

APPENDIX A – GLOSSARY OF TERMS

Term	Definition
Benefit/output/outcome	<p>Benefit A positive and measurable impact of change.</p> <p>Output The tangible or intangible product typically delivered by a project. Used interchangeably with deliverable and product.</p> <p>Outcome The changed circumstances or behaviour that results from the use of an output and leads to realisation of benefits</p> <p>Definition from APM Body of Knowledge 7th edition</p>
Benefits Management and Realisation	<p>Benefits management is the identification, definition, planning, tracking and realisation of benefits. Benefits realisation is the practice of ensuring that benefits are derived from outputs and outcomes.</p> <p>Project success is the satisfaction of stakeholder needs and is measured by the success criteria agreed at the start of a project.</p> <p>Definition from APM Body of Knowledge 7th edition</p>
Biodiversity	The variety of plants and animals and other living things in a particular area or region. It encompasses habitat diversity, species diversity and genetic diversity. Biodiversity has its own value and has social and economic value for society.
Capital project	A long-term, substantial investment project aimed at creating, improving or maintaining a significant physical asset such as infrastructure, buildings or machinery.
Carbon Footprint	The amount of carbon dioxide (CO ₂) emissions associated with all the activities of a person or other entity (e.g., building, corporation, country, etc.).
Carbon sequestration	The process by which a carbon sink, such as forestry, reduces the amount of greenhouse gases in the atmosphere. The City Corporation is protecting and enhancing carbon removal potential through land management practices and habitat creation.
Climate Action	Efforts taken to reduce greenhouse gases and build resilience to create adaptability to climate change.
Climate Action Strategy	<p>The City Corporation's Climate Action Strategy was adopted in 2020 and is a fully funded strategy with £68m to invest across six years. We have committed to the following four targets:</p> <p>Achieve net zero carbon emissions from our own operations by 2027:</p> <p>Emissions refers to direct emissions produced by our activities and assets that we own or control.</p>

	<p>Operations refers to the sites, mainly buildings, that the City Corporation owns and operates, which include offices, residential housing, open spaces, schools and markets.</p> <p>Achieve net zero carbon emissions across all our activities, including investments and supply chain, by 2040:</p> <p>Emissions refers to indirect emissions produced by our activities and assets that while we do not control of, we have influence over them.</p> <p>Value chain refers to our financial investments, leases and supply chain.</p> <p>Support the Square Mile to reach net zero by 2040:</p> <p>Emissions refers to city emissions produced from buildings, public spaces, infrastructure, operations and stakeholders in the Square Mile.</p> <p>Square Mile refers to all buildings, public spaces, infrastructure, operations and stakeholders within the 1.12 square mile of the City of London.</p> <p>Building climate resilience across our buildings, public spaces and the Square Mile:</p> <p>Building resilience refers to making interventions to mitigate the risks of climate change.</p>
Climate Change	The United Nations Framework Convention on Climate Change defines this as a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere, and which is in addition to natural climate variability observed over comparable time periods.
Climate Impact Assessment	An Assessment to be carried out for every project, tailored to project type and tier, which assesses the impact of the project on the climate and CAS. It might include compliance with our Net Zero Design Standard, Circular Economy Framework, planning guidance, climate resilience, and impact on nature and biodiversity.
Climate Resilience	The ability to prepare for, recover from and adapt to the impacts of climate change. For the City of London this will mean hotter drier summers, warmer wetter winters, more extreme weather events and sea level rise.
Costed risk provision	Funding allocated to project budgets to deal with risk items, should they arise.
Embodied Carbon	The carbon footprint of a material. It considers how many greenhouse gases (GHGs) are released throughout the supply chain and is often measured from cradle to (factory) gate, or cradle to site (of use).
Gateway Process	Current governance procedures for projects within the City Corporation. Projects proceed incrementally through stages subject to approval at each gateway.
Greenhouse Gases (GHGs)	Greenhouse gases contribute to the greenhouse effect, which prevents heat loss from the Earth's atmosphere. Primary greenhouse gases include carbon dioxide, methane, and water vapor, with others like nitrous oxides

	and fluorinated gases. Human activity has increased concentrations of these gases.
Issue	Issues are risks that have materialised. They are the current problems or obstacles that are affecting the project or programme.
Issues Report	Reports outlining issues which could impact on project delivery and require attention. Issues reports can be submitted at any stage.
Nature Recovery	The process of restoring and improving the natural environment to benefit wildlife and people. It includes creating wildlife-rich places, restoring habitats, and improving access to nature.
Net Zero Design Standards	An internal set of standards to accelerate the net zero transition of our housing, corporate and investment portfolios. Designers and developers must comply by incorporating net zero and climate resilience considerations across the whole life cycle of an asset.
Net Zero Emissions	This is achieved when emissions of greenhouse gases caused by human activity to the atmosphere are balanced by removals over a specified period.
P3 Framework	Framework for application of projects to ensure consistency in how projects are delivered across the organisation.
RAID	A RAID (Risks, Assumptions, Issues and Dependencies) serves as the centralised repository for capturing, tracking and monitoring these elements throughout the project lifecycle.
Responsible Procurement and Policy	<p>The Responsible Procurement Policy applies to all contracts awarded by the City Corporation. It requires action from officers with purchasing responsibilities and suppliers.</p> <p>Responsible procurement — or in other words, sourcing products and services ethically, sustainably, and from organisations that share our values — is integral to the broader Corporate Plan at the City Corporation. As a responsible business we seek to use our spending power to the benefit of our community and wider stakeholders.</p>
Responsible Procurement Policy Commitments	<p>The City Corporation commits to working with its supply chain to:</p> <p>Take Climate Action and minimise environmental impacts of procurement on our operations and throughout our supply chain</p> <p>Encourage and facilitate Supplier Diversity (Diverse Owned Enterprises and SMEs) through direct contracts, partnerships and active monitoring</p> <p>Embed equity, diversity and inclusion throughout the contract process and work with suppliers who have proven to take active steps within their own organisations, supply chain and industry</p> <p>Protect human rights in our supply chain by working with suppliers who undertake due diligence to guard against modern slavery and other human rights abuses</p>

	<p>Facilitate meaningful work-related opportunities, which are actively targeted to enable social mobility and inclusion</p> <p>Achieve meaningful social value outcomes according to organisational and stakeholder priorities through internal collaboration, community input and supplier engagement</p> <p>There are toolkits with more information on why each commitment is important and how to implement.</p>
Risk	<p>A risk can be defined as “the effect of uncertainty on our objectives”. It can also be expressed as the chance of something affecting our business objectives. Once realized it becomes an issue.</p>
Senior Leadership Team (SLT)	<p>The leadership team for the City of London Corporation comprised of Chief Officers. SLT holds officer executive oversight of Tier 0 programmes, strategies, processes and systems. It includes:</p> <ul style="list-style-type: none"> • Town Clerk and Chief Executive • Chamberlain and Chief Financial Officer • Comptroller and City Solicitor • Chief Strategy Officer • Executive Director of Community and Children’s Services • Chief People Officer • Deputy Town Clerk • Executive Director, Innovation and Growth • Executive Director, Environment • Executive Director, Corporate Communications and External Affairs • City Surveyor and Executive Director of Property • The Remembrancer
Service Committee	<p>Committee that specialises in a certain area and holds the budget/is seeking the works. Sometimes called Spending Committee.</p>
Service Committees	<p>Committee that specialises in a certain area and holds the budget/is seeking the works. Each department has a representative Committee. Sometimes called Spending Committee.</p>
Social Value	<p>Whilst the Corporation does not yet have an organisation-wide definition of social value, in addition to responsible procurement social value can refer to the benefit of a project/programme to communities and wider stakeholders including:</p> <p>the sum total of all the positive effects deriving from an activity, project, or intervention of any kind. This goes beyond the direct economic impact that a project has (i.e. the income/revenue it generates minus the cost of completing it) to factor in:</p>

	<p>Indirect economic benefits - e.g. money recirculating through local supply chains, the upskilling of workforces, job creation</p> <p>Environmental benefits - e.g. reductions in carbon emissions, the restoration of natural environments and preservation of biodiversity</p> <p>Wellbeing benefits - e.g. measures to support the physical and mental health of workforces and communities, providing well-paid, meaningful work</p> <p>Social benefits - e.g. provision of communal amenities like libraries, playgrounds, and community spaces, support for and involvement with community group.</p> <p>Definition from Thrive Platform</p> <p>Projects and programmes can create additional social, economic and environmental benefits. In the built environment social value is created when buildings, places and infrastructure improve people's quality of life (UKGBC)</p> <p>Using our levers through 'Impact investing' to generate positive, measurable social and environmental impact alongside a financial return - Global City Report, 2024</p> <p>The enduring and systemic change created within communities that leads to improved quality of life and results in a more inclusive, equitable and just society - ARUP, whitepaper 2022</p>
Total estimated cost	The total estimated cost to design and deliver the project from start to finish, including fees, works, staffing etc. As you proceed through the gateway process, you will vary this total incrementally and any costed risk provision drawn down should be included in the next update to the total estimated cost.
Total estimated cost	The total estimated cost of the total package of activity on a project, itemised into different line items such as Staff, Works, Fees etc.
Transformation Project	A transformation project is a strategic initiative aimed at fundamentally changing the operations, processes, culture or technology within the Corporation or one of the institutions. They also include Transformation portfolio currently also includes cost-saving projects or income generation.
Whole Life Costing	Measuring the cost of an asset over its entire life including maintenance, repair, operational cost, potential disposal cost.

APPENDIX B – TIERING DEFINITIONS

Tier	Definition	Estimated total cost
er Tier 0 – Major Programme	<ul style="list-style-type: none"> • Major capital infrastructure programme • High-profile to the City of London Corporation • Directly addresses the strategic outcomes of the Corporation 	£100m+
Tier 1 - Complex	<ul style="list-style-type: none"> • Delivers strategic outcomes • Complex to deliver • High levels of uncertainty • Requires new or innovative practice • Significant impact on people 	£20m-£100m
Tier 2 - Strategic	<ul style="list-style-type: none"> • Contributes to strategic outcomes • Some uncertainty • Requires some technical innovation • Moderate impact on people 	£5m-£20m
Tier 3 – Tactical	<ul style="list-style-type: none"> • Aligns to strategic outcomes • Clearly defined delivery approach • Requires little innovation • Minimal impact on people 	£250k-£5m

APPENDIX C – GATEWAY APPROVALS BY TIER

Please note for all tiers: Projects fully funded by City Bridge Foundation are not required to be seen at Portfolio Board, Chamberlains Assurance Board or RASC.

TIER 0

	GW1	GW2	GW3	GW4	GW5
Officer Boards					
Programme or Project Board		✓	✓		✓
Chief Officer Approval/Portfolio Executive	✓	✓	✓	**	✓
Chamberlain Assurance Board	✓	✓	✓		✓
Priorities Board (new capital bids)	✓*				
City of London Portfolio Board	✓	✓	✓		✓
Member Committees					
Service Committee(s)	✓	✓	✓		
Nominated Committee (***)					✓
RASC	✓*				
Court of Common Council			✓		

(*) = Prior to Gateway 3 (Authority to Start Work) the project must approve the budget for the delivery of the project or programme with RASC where it is to be included in the capital programme. This can occur at any stage prior to GW3.

(**) = At Gateway 4 (~Readiness for Operation) responsibility defaults to the SRO of the project or programme. However, this can be specified to reside elsewhere at the previous Gateway 3.

(***) = At Gateway 3 ("Authority to Start Work") responsibility for the delivery of the project or programme is assigned to a particular committee and approved at Court of Common Council

TIER 1

	GW1	GW2	GW3	GW4	GW5
Officer Boards					
Programme or Project Board		✓	✓	**	✓

Chief Officer Approval/Portfolio Executive (***)	✓	✓	✓		✓
Chamberlain Assurance Board	✓	✓	✓		✓
Priorities Board (new capital bids)	✓*				
City of London Portfolio Board	✓	✓	✓		✓
Member Committees					
Service Committee(s)		✓	✓		✓
RASC (new capital bids)	✓*				
Court of Common Council			✓		

(*) = Prior to Gateway 3 (Authority to Start Work) the project must approve the budget for the delivery of the project or programme with RASC where it is to be included in the capital programme. This can occur at any stage prior to GW3.

(**) = At Gateway 4 (~Readiness for Operation) responsibility defaults to the SRO of the project or programme. However, this can be specified to reside elsewhere at the previous Gateway 3.

TIER 2

	GW1	GW2	GW3	GW4	GW5
Officer Boards					
Programme or Project Board		✓	✓	**	✓
Chief Officer Approval/Portfolio Executive (***)	✓	✓	✓		✓
Priorities board (new capital bids)	✓*				
Chamberlain Assurance Board					✓
City of London Portfolio Board					✓
Member Committees					
Service Committee(s)		✓	✓		✓

RASC (new capital bids)	*				
Court of Common Council					

(*) = Prior to Gateway 3 (Authority to Start Work) the project must approve the budget for the delivery of the project or programme with RASC where it is to be included in the capital programme. This can occur at any stage prior to GW3.

(**) = At Gateway 4 (Readiness for Operation) responsibility defaults to the SRO of the project or programme. However, this can be specified to reside elsewhere at the previous Gateway 3.

(***) = Projects requiring CoLP endorsement need to attend both the Strategic Change Board and the Strategic Finance Board. Other officer boards within CoLP are not required. However, the membership of these boards should be consulted as part of project delivery.

TIER 3

	GW1	GW2	GW3	GW4	GW5
Officer Boards					
Programme or Project Board		✓	✓	*	✓
Chief Officer Approval/Portfolio Executive(**)	✓	✓	✓		✓
Chamberlain Assurance Board					
City of London Portfolio Board					
Member Committees					
Service Committee(s)					
RASC (new capital bids)					
Court of Common Council					

(*) = At Gateway 4 (~Readiness for Operation) responsibility defaults to the SRO of the project or programme. However, this can be specified to reside elsewhere at the previous Gateway 3.

(**) = Projects requiring CoLP approval are endorsed at both the Strategic Change Board and the Strategic Finance Board. Other officer boards within CoLP are not required. However, the membership of these boards should be consulted as part of project delivery.

APPENDIX D – RAG STATUS DEFINITIONS

Status	Recommended criteria
RED	<ul style="list-style-type: none"> • Increase of greater than 15% or more in the total estimated cost • Significant increase requested against approved budget • Delays against critical milestones, causing slippage of 10% or more against the estimated baseline completion date/range • Problems with quality that lead to significant work at additional cost or impact the VFM/benefits realisation • Failure to meet one or more of the project's SMART targets • Significant lack of resources that cannot be resolved by the Project Manager • Dissatisfaction or resistance from stakeholders that mean acceptance may be delayed or the benefits not achieved • Scope change that creates significant negative impact on the project costs/timescales, VFM or benefits realization
AMBER	<ul style="list-style-type: none"> • Increase of 5-15% in the total estimated cost • Moderate increase requested against approved budget • Delays against baseline critical milestones, causing slippage of up to 5-10% against the estimated baseline completion date/range • Problems with quality that can be managed with minimal impact • Danger of being unable to meet one or more of the project's SMART targets • Lack of resources that can be mitigated by the Project Manager; • Dissatisfaction or resistance from stakeholders addressed by the Project Manager • Possibility of scope change being mitigated by the Project Manager
GREEN	<ul style="list-style-type: none"> • Up to 5% change in total estimated cost • Delays against baseline critical milestones, causing slippage of up to 5% against the estimated baseline completion date/range • Quality at expected levels • Project SMART targets expected to be met • No resource problems identified • Stakeholders remain satisfied • No changes to scope or scope change with no further implications for cost/quality/time.

APPENDIX E – ILLUSTRATIVE QUESTIONS AT EACH GATEWAY

Gateway 1 – Strategic Alignment	<ol style="list-style-type: none"> 1. Does the programme meet its Portfolio outcomes and objectives? How does this project contribute towards achievement of the Corporate Plan, Climate Action Strategy, SME Strategy or other corporate objectives? 2. Is this programme needed now? 3. Have critical stakeholders been identified? How will the public react? 4. What are the criteria for successfully delivering this project? What are the cost constraints and ROI expectations. 5. Are the strategic risk scenarios plausible?
Gateway 2 – Strategic Options Appraisal	<ol style="list-style-type: none"> 1. Have credible alternatives been assessed? 2. To what extent are we free from bias in our financial estimates? 3. Have the cost and benefit assumptions underpinning the business case been challenged? 4. Which option maximises social value and financial return, given the risk? How ambitious are our climate impact requirements? 5. Have lessons been learned from previous project delivery?
Gateway 3 – Authority to start work	<ol style="list-style-type: none"> 1. Do I have confidence in the business case to approve the investment? 2. How do we know that plans are accurate? 3. Is the risk provision appropriate for a project of this type? 4. Have stakeholders and the public been adequately engaged? 5. Has a budget been secured to deliver the programme?
Gateway 4 – Readiness for Operation	<ol style="list-style-type: none"> 1. Is the operation ready to accept the programme outcomes and deliverables? Are criteria suitable? 2. Have all deliverables been quality-assured? 3. Are the original outcomes still going to be achieved? 4. Have all the critical risks and issues been resolved? 5. How will the operation drive through the realisation of outcomes and benefits?

<p>Gateway 5 – Outcome Review</p>	<ol style="list-style-type: none"> 1. Did the project and programme deliver the outcomes expected from it – what evidence do we have? e.g. did we realise climate impact requirements or other social value benefits post completion 2. What lessons did we learn from this programme? 3. How will these lessons impact other projects and programmes? 4. What changes have been made to the business plan? 5. Have all defects now been resolved?
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City of London Corporation Committee Report

Committee(s): Health & Wellbeing Board Finance Committee – For decision (Delegated Authority) Projects & Procurement Sub-Committee – For decision Court of Common Council – For decision	Dated: 15/11/2024 04/06/2025 16/06/2025 26/06/2025
Subject: Pan-London Sexual Health eService (SHL.UK)	Public report: For Decision
This proposal: <ul style="list-style-type: none"> delivers Corporate Plan 2024-29 outcomes 	Providing excellent services
Does this proposal require extra revenue and/or capital spending?	No
If so, how much?	N/A
What is the source of Funding?	The Public Health Grant
Has this Funding Source been agreed with the Chamberlain’s Department?	N/A
Report of: Joint report of the Director of Community & Children’s DCCS and the Director of Commercial Services	For approval
Report author: Mona Hayat, Director of Sexual Health, DCCS	

Summary

Local Authorities are obliged, by the Health and Social Care Act 2012, to provide open access sexual health services, including STI testing, treatment, and contraception.

The existing SHL.UK service is a public health success story: by providing a discreet, convenient, and cost-effective online platform, we have broken down barriers to care, reaching more residents than ever before. This service ensures that everyone, regardless of their circumstances, can get the support they need from the privacy of their own home. The existing service contract expires in August 2026 and so the second iteration of SHL.UK is required to replace it.

High-quality sexual and reproductive health services are critical to improving health and wellbeing, as are our efforts to address barriers such as stigma, discrimination, language, and cultural competence.

The SHL.UK service provides remote STI testing, results management, and contraception services. It has high user satisfaction and significant testing activity, focusing on cost savings and improved access. The service has been particularly effective in shifting lower-risk and asymptomatic users from clinics to the online platform, freeing up clinic capacity for urgent needs.

The new service will be required to provide enhanced communication, use inclusive imagery, and provide awareness training for other organizations who work with key communities. Specific changes to service requirements include making contraception a core service, exploring multi-lingual support, and improving result communication. The new service also aims to lower the minimum age for access and increase testing kit limits to better meet the needs of the populatio

The successor service aims to enhance communication, inclusivity, and access to sexual health services. It includes aspirations for remote PrEP care, multi-lingual support, and targeted promotion for underserved populations. The service will continue to provide core STI testing and treatment, with optional modules for contraception, PrEP care, and condom distribution. The successor service is set to commence in August 2026 with an initial term of 5 years, until 2031. There is an option for two additional extensions of 2 years each, potentially extending the contract to August 2035. The estimated contract value is £235 million over 9 years, with annual costs rising from £22 million to £29 million.

A PIN was issued in January 2024, where interested suppliers were asked to complete a questionnaire about the services they provide and the structure of the replacement SHL.UK e-Service. We received 7 responses to this. Following the review of the questionnaire responses, interviews were conducted with each of these suppliers to gather more detail. Finally, a market engagement day was conducted in March 2025 where 22 representatives from interested bidders attended.

The service is divided into two areas: the online portal and the testing service. The expenditure is allocated with 20% on the online portal and 80% on the testing service. In accordance with the Health Care Services (Provider Selection Regime) Regulations 2023, soft market testing has confirmed market competition. Therefore, the Competitive Process is deemed the most suitable route to market.

Recommendation(s)

Members are asked to endorse the procurement to Court of Common Council for the replacement E-services contract, due to commence on 15 August 2026.

This recommendation is made following the approval of City Corporation continuing to act as the Lead Authority and accountable body for the procurement of a new Pan-London Sexual Health E-services contract and the host of the programme management service under an inter-authority agreement.

As the Projects & Procurement Sub-Committee meets after the Finance Committee in June, **FC Members** are requested to provide Delegated Authority to the Town

Clerk, in consultation with the Chairman and Deputy Chairman of the Finance Committee to approve this recommendation, once PPSC Members have scrutinised the Report.

Main Report

Background

1. London's Sexual Health E-Service is part of the Pan London Sexual Health Programme (LSHP) which aims "to manage and deliver an efficient virtual service as part of a wider healthcare system that responds effectively to the sexual and reproductive health needs of London's residents."
2. In 2017 the 30 London local health authorities, including the City Corporation acting in that capacity, agreed to collaborate to deliver these sexual health services under an Inter-Authority Agreement (IAA) dated 16th May 2017, with the City Corporation also agreeing to be appointed as the Lead Authority, being the accountable body responsible for hosting the programme management service and procuring the E-service.
3. The contract for the provision of the E-Service, valued at over £200m, was awarded by the City Corporation on 15 August 2017, for a minimum 5-year term with options to extend it by a maximum of 4 years. The contract was extended for a further 3-years extension in 2022, and then a final 1-year extension was applied, taking the contract end date to 14 August, 2026.
4. The current E-Service is provided by Preventx Ltd who sub-contract with Chelsea and Westminster NHS Trust and Lloyds Online Doctor for clinical leadership, patient care and the supply of medical treatments.
5. It provides online assessment for sexual health testing services by post with remote treatment for chlamydia. The E-Service is partnered with London's NHS Trusts who provide ongoing care to E-Service users as required. It provides contraception to residents of 16 authorities, who have called off this optional service line.
6. The E-Service has performed well against the key performance indicators, the supplier has been responsive to our evolving needs and service user feedback is consistently positive. When compared with providing similar care pathways in a traditional clinic setting, the E-Service provides value for money to the participating Authorities and convenience for their residents.
7. A small Programme team, the London Sexual Health Programme Team (LSHPT) hosted by the Directorate of Community and Children's Services within the City Corporation, manages the E-Service contract on behalf of 30 participating authorities under the IAA. The arrangements provide for the costs of the hosting to be met by the participating authorities as well as for recharging each of the local authorities for their residents' usage in a timely manner so that liquidity risk is managed for the City Corporation as the accountable body.
8. An E-Service Management Board (ESMB), comprising of representatives from each participating Authority, provides strategic oversight for the contract and makes recommendations to the City Corporation when variations, including extensions, to the contract are needed.

Current Position

9. The 30 participating Authorities have recommended to the City Corporation, via the E-Services Management Board (ESMB), that the current E-Services contract is reprocured and to go live on 15 August 2026.
10. Publishing the tender documentation in June 2025 will ensure there is adequate time for the delivery of a comprehensive competitive procurement process by the City Corporation as Lead Authority, allowing all participating Authorities to obtain their own authorisations throughout the process, and to participate in the subsequent service contract awarded by the City Corporation. The competitive procurement (including legal advice) will be funded by all the participating authorities.
11. The new Provider Selection Regime (PSR) sets out the rules for procuring health care services in England by organisations termed Relevant Authorities. The key criteria under regulation 5 of the PSR are (a) quality and innovation, (b) value, (c) integration, collaboration and service sustainability, (d) improving access, reducing health inequalities and facilitating choice and (e) social value.
12. The participating Authorities reached a consensus in the ESMB of the 18 April 2024 for a competitive process to be undertaken for the (re)procurement of the Sexual Health E-services and this was endorsed by the authorities at a subsequent meeting of the LSHP's Strategic Board. City Corporation as the host authority has taken this decision on behalf of the Related Authorities via the IAA.

Options

13. There were four options identified to take forward the re-procurement:

Option 1: Run a “Competitive Process” under the Health Care Services Provider Selection Regime

Advantages to this Option:

- Value for Money: Encourages cost-effective service provision.
- Innovation: Promotes new approaches and improvements in service delivery.
- Transparency & Fairness: Reduces legal and reputational risks associated with direct awards.

Disadvantages to this Option:

- Time & Resource Intensive: Longer procurement timelines and higher administrative costs.
- Potential Disruption: Transitioning between providers may pose risks to service continuity.
- Market Uncertainty: Can create instability for existing providers.

Possible risks associated with this Option:

The key risk to this option is the continued provision of a quality service to residents of London. This has been mitigated through extensive market engagement and the

drafting of a detailed specification. The ITT will seek responses to key method statements, with minimum scores required to ensure continued quality. A period of 4 months has been allowed for the new service to “ramp up” prior to the cessation of the current service (a term confirmed with all potential bidders to be sufficient). The contract will contain key performance indicators to allow for robust contract management post award.

Option 2: Use the “Most Suitable Provider” process under the Health Care Services Provider Selection Regime.

Advantages to this Option:

- Flexibility: Enables authorities to tailor service selection to strategic priorities.
- Reduced Procurement Burden: Avoids lengthy competitive processes.
- Continuity of Care: Maintains stability when transitioning to a new contract.

Disadvantages to this Option:

- Subjectivity Risk: Requires clear justification, which may be challenged.
- Limited Market Testing: Does not always ensure the best value for money.
- Potential Provider Discontent: Other providers may dispute the selection process.

Possible risks associated with this option:

Due to the complexity of this service (value, cross-borough), conducting a desktop exercise to identify the most suitable provider would be a huge risk, as it would be unlikely to sufficiently allow us to be satisfied that any provider would be able to meet the requirement to the scale and complexity required.

Option 3: Use the “Direct Award Process C” process under the Health Care Services Provider Selection Regime (awarding to the incumbent).

Advantages to this option:

- Efficiency: Faster procurement with reduced administrative burden.
- Continuity: Ensures stability in service delivery.
- Market Confidence: Reduces uncertainty for providers currently delivering services.

Disadvantages to this option:

- Limited Competition: May not encourage innovation or cost savings.
- Legal Challenge Risk: Could be subject to scrutiny if the justification for direct award is weak.
- Equity Concerns: Could be perceived as favouring incumbent providers unfairly.

Possible risks associated with this option:

The soft market testing that has been conducted has demonstrated that there are several providers working in this space. They have demonstrated an appetite to bid for this contract and bring with them new and innovative ideas regarding service delivery. Having engaged with them throughout the process so far, The City would stand a significant risk of challenge should the contract not be competed. Whilst the service being provided is of a high quality, some Boroughs are happier than others with the incumbent provider performance.

Option 4: Use a framework agreement.

Advantages to this Option:

- **Reduced Procurement Burden:** Avoids lengthy competitive processes.
- **Risk Management:** With established terms and conditions, there is more certainty and stability in the procurement process, reducing potential risks and uncertainties.
- **Compliance:** They help demonstrate and justify decision-making and best practices, ensuring compliance with procurement regulations.

Disadvantages to this Option:

- **Reduced Competition:** Framework Agreements limit access to new or alternative suppliers, hindering the opportunity to achieve the full service requirement, and negotiate better prices or terms (the Framework Terms and Conditions must be used).
- **Lack of Flexibility:** The scope and T&Cs of the Framework may restrict our ability to adapt to changing needs or circumstances and explore new or improved ways of delivering goods or services.
- **Simplistic:** Framework Agreements are not designed for such complex service delivery models of SHL.UK

Possible risks associated with this option:

There is currently no Framework Agreement in the market available for us to use should this have been the preferred route to market. NHS SBS are putting a Framework in place, but it will not be active until after we have awarded our contract. As such, it is not clear whether the incumbent and other providers included in the soft market testing will be on the Framework. Going to market later using a Framework that may not include these suppliers would provide a significant risk of challenge.

Proposals

14. In April 2024, contract law specialists held a workshop for London commissioning and procurement teams to review the new legislative framework for sexual health services. A consensus emerged that both Direct Award Process C and a Competitive Process were viable procurement routes.

During the LSHP Strategic Board meeting in October 2024, a number of Authorities agreed on their preferred procurement route for the London e-Service being the Competitive Process; the rationale being that since the award of the existing contract, a number of new entrants have entered the market. With new entrants in the market, this approach fosters competition and innovation, ensuring value for money while enhancing service quality for users.

Key Data

15. The London Sexual Health Programme has made significant strides in both clinic-based and online sexual health services. The NHS operates 34 specialist sexual health clinics that now offer contraception services aligned to a common service specification, ensuring consistent performance indicators. In the 2023/24 period, these clinics activated 409,648 STI testing currencies, with Chelsea and Westminster Hospital NHS Foundation Trust and Central and North West London NHS Foundation Trust being the largest providers. Notably, there has been a 26.1% reduction in out-of-area activity since 2013, with 27.4% of residents attending these services.

Between 2019/20 and 2023/24, there was a 20% reduction in overall attendances at NHS clinics, leading to a £9.6 million reduction in overall spend. Specifically, attendances for STI care dropped by 28%, resulting in an £11 million reduction in spend on STI interventions. Overall, London's total local authority expenditure on STI testing and treatment decreased by £13.1 million from 2018 to 2023.

NHS clinics have referred over 500,000 individuals to the SHL.UK website, with more than 200,000 of these referrals occurring in clinics, allowing test kits to be taken away and freeing up clinic capacity for urgent needs. A 2024 survey of 1,420 London residents confirmed the effectiveness of this shift, with two-thirds having visited a sexual health clinic in the past 12 months, and over a third of these also using SHL.UK. Additionally, over half of those who did not visit a clinic used the online service.

16. Corporate & Strategic Implications

Strategic implications

Having a 99% service user satisfaction rate, the SHL.UK E-Service fully supports the City's outcome of "Providing Excellent Services".

The current contract has so far delivered high user satisfaction (99% recommendation rate), award-winning service, and significant testing activity (57% of all testing in London). The service has recently been awarded 'Environmental Sustainability Project of the Year' at the HSJ Partnership Awards 2025 for the recycling and reuse of testing equipment.

Performance against KPIs is reviewed with the supplier at quarterly Contract Board and reported to all Authorities at quarterly E-Service Management Board.

Results savings, efficiencies and benefits

The current contract for E-services provides value for money to the participating authorities when compared with providing similar care pathways in a traditional clinic setting. Currently the participating authorities are spending £11 million less on STI interventions than in 2019/20. The greater the proportion of activity that happens online, the greater the efficiencies for the Authorities individually and collectively. Public Health England predict that the next 10 years will see a return on investment based on £9.00 saving for every £1 invested in publicly provided contraception.

The E-Service is addressing accessibility challenges for residents from deprived areas. 69% of STI Kits were ordered from the top 5 most deprived areas in London with 74% for routine contraception and 81% for Emergency contraception.

Providing the same care at lower prices enable the participating Authorities to meet the challenge of rising demand for sexual health testing that accompanies expanded uptake of Pre- Exposure Prophylaxis (PrEP) and fulfil the capital's commitment to becoming the first nation in the world to achieve zero new HIV transmissions by 2030.

The LSHP Team have a new dedicated senior Health Business Analyst joining the team in September 2024 to undertake all the data and financial modelling to detail the efficiency, effectiveness, value and behaviour of Pan-London residents accessing the Sexual Health E-Service and how it is critically improving health outcomes across all participating authorities. This information has underpinned the Business Case for the re-procurement and has been approved across all Related Authorities to proceed to market via a PSR route.

Financial implications

City Corporation acting as a trusted broker on behalf of the LSHP is of no cost to the Corporation.

The value of the monthly invoices from the existing supplier under the current contract requires enhanced approval processes involving the Chamberlain, Chamberlain's Department, and the Executive Director of Community & Children's Services. The programme team includes a dedicated resource for recharging the participating authorities each month according to their residents' usage. The level of liquidity in the funds under the arrangements is regularly reviewed with the Chamberlain and any new measures to manage risk for the City Corporation as accountable body are then implemented.

Resource implications

There is already a team in place within City of London who manage the SHL.UK service on behalf of the London Boroughs; the re-procurement will not require additional resource to be brought in.

Legal implications

There will be a continuation of the existing governing arrangements, including financial commitments; this will include the City Corporation as local authority which decisions are for the Health and Wellbeing Board and will be considered separately by that Board should this reports recommendations be supported. The City Corporation, as the Lead Authority can then take the relevant steps to (re)procure the Sexual Health E-Service in accordance with the City Corporation's standard procurement procedures and a new IAA will be required after approvals are confirmed at City Corporation. The IAA will clearly state the apportionment of liabilities across all participating authorities.

Risk implications

There is significant risk for London's sexual health system if the City Corporation does not re-tender the SHI.UK E-Service on behalf of the Related Authorities.

If the mandate is not approved as recommended by the participating Authorities, this would create significant risk of major reputational damage for all participating Authorities and potential adverse publicity for all Authorities, including the City Corporation because the activity currently managed through the sexual health E-Service will be transferred back to in-person clinics across London. If this were to occur the LSHP team will have to support participating authorities with a streamlined contingency plan service due to service disruption and financial constraints.

The re-procurement of the SHL.UK E-Service gives the Programme's capability to seek a more effective and efficient supplier in a competitive market under the PSR regime. The current pan London Needs Assessment indicates that there are critical changes in resident profiles and trends that require an updated service model and specification.

A lack of continuity of service will create a significant rise in financial burden for all participating authorities that has not been accounted for. The LSHP would have to seek advice and guidance from each participating authority finance teams (including City Corporation through its own participation).

A disruption in service will have a impact on residents requiring STI and contraception support across the region. This is counter-intuitive to the values and principles of the City Corporation's Corporate Plan, specifically Outcome 2: Diverse engaged communities, providing excellent services.

Equalities implications

The Programme has sought external support from the Equalities & Human Rights Commission to ensure Public Sector Equalities Duty compliance. To ensure the Programme remains fully compliant throughout the duration of the Programme an Equity Equalities Diversity & Inclusion Advisory Board (EEDIAB) has been established as part of the existing governance structure to provide advice to the Statutory Board and Clinical Advisory Board on all matters related to the delivery of the Programme. The EEDIAB consists of diverse service user representation to ensure service users' voices are heard and represented on all matters related to the Programme. This Group will be consulted on the Equalities Impact Assessment (EQIA) completed by the Programme.

Climate implications

The following initiatives around climate and responsible procurement are in place currently and will be built upon throughout the new service:

- The existing e-Service as recently won a national environmental award:
- Environmental impact (energy use, managing waste)
Community benefits (engagement with neighbours, residents & businesses, service user involvement)
- Workforce representation (ethos, culture, mindset)
- Economic outcomes (recruitment of workers from London's diverse communities, local volunteering opportunities)

Security implications

N/A

Conclusion

17. The City Corporation as a Lead Authority (and through its own participation as a local authority) will ensure an exemplary LSHP procurement process will be undertaken on behalf of all participating authorities with the re-procurement of the SHL.UK E-Service.

By conducting this re-procurement, the City Corporation is provided with the opportunity to continue to enhance its reputation for delivering excellent public services, technological innovation and cost effectiveness.

Appendices

- Appendix 1 – List or write ‘None’
NONE

Report author

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City of London Corporation Committee Report

Committee(s): Projects & Procurement Sub-Committee – For decision	Dated: 16 June 2025
Subject: Responsible Procurement Impact Report FY24-25	Public report: For Decision
This proposal: <ul style="list-style-type: none"> • delivers Corporate Plan 2024-29 outcomes 	All six outcomes (see appendix two)
Does this proposal require extra revenue and/or capital spending?	No
If so, how much?	£0
What is the source of Funding?	N/A
Has this Funding Source been agreed with the Chamberlain’s Department?	N/A
Report of:	Caroline Al-Beyerty, Chamberlain
Report author:	Lisa Moore, Responsible Procurement Manager

Summary

As the governing body of the Square Mile, the City of London Corporation recognises its responsibility to deliver value through every pound spent. With an annual third-party spend of approximately £700 million, we are committed to ensuring that our procurement practices generate measurable, positive outcomes for our workers, residents, learners and visitors.

This report holds us and our supply chain partners accountable, measuring success against the commitments in our Responsible Procurement Policy. It also publicly recognises suppliers who have fulfilled their commitments and showcase ‘what good looks like’ to the City Corporation. With 28 impact statistics and 11 supplier spotlights—14 in total which feature SMEs—this report sets a benchmark for excellence in the sector.

The impact report 24-25 showcases work from suppliers and contract managers across the City Corporation. This committee report acknowledges an improvement in data collection compared to the previous year and highlights ongoing efforts under the Commercial Improvement Programme to further embed practices that support measurable impact.

Recommendation(s)

Members are asked to approve the publication of the Responsible Procurement Impact Report 2024-25 on our external website.

Main Report

Background

1. In July 2022, the Policy & Resources Committee approved an updated Responsible Procurement Policy which outlines the importance of responsible procurement (RP) as part of the overall value delivered through procurement; the responsibilities of buying officers at each stage of the commercial life cycle and the six RP commitments the City Corporation actively work on with its supply chain.
2. The six RP commitments are: taking climate action; promoting supplier diversity (diverse owned enterprises and SMEs); embedding equity, diversity and inclusion; guarding against modern slavery; facilitating work-related opportunities and delivering meaningful social value outcomes. Please refer to appendix one for full wording.
3. This policy also increased the RP weighting to a mandatory 15% for all strategic procurement tenders (over £100k). To ensure we were taking advantage of that weighting, the City Corporation committed to compiling an annual impact report from FY23-24 to be published in Q1 of the following financial year.
4. The first RP impact report was published in June 2024 and a mid-year report was published in December 2024.
5. RP impact reporting aims to inform City Corporation officers, suppliers and Members about the positive impact their work is having on our communities and beyond. Our residents can observe how the City Corporation leverages supply chain spend for their benefit. Our stakeholders will recognise us as a responsible business. (e.g. Charities Commission, potential applicants, investors, etc).
6. The previous Impact report has been positively received by City Corporation officers and members, our peers in London, and external stakeholders such as suppliers and partner organisations. Feedback from other councils has indicated that this report serves as a benchmark for excellence in RP reporting.

Current Position

7. The annual impact report (provided as a PDF in non-public appendix three) showcases the best added value delivered by and with our supply chain partners; gives praise to suppliers who have fulfilled their commitments and displays what good looks like to the City Corporation.
8. This year, we have introduced several new features. In response to Member feedback from last year, we have contextualised some of the outcomes by providing equivalents for carbon emissions saved and best practice notes explaining why certain items are considered 'good'. Additionally, we aimed to

highlight the contributions of our SME contractors. Contrary to common misconceptions, SMEs have demonstrated their capacity and capability to support our RP commitments.

9. The introduction of the mid-year report, which focuses on actions taken by our organisation to facilitate our RP commitments, has enabled us to use the annual report to highlight outcomes and impact delivered by our supply chain. The exception is the new benchmarking section which was added in direct response to Member feedback from last year.
10. We aim to provide more timely updates on the positive contributions of our supply chain. As part of a pilot initiative, our Responsible Procurement Apprentice utilised their apprenticeship project to trial more frequent posts showcasing impact delivery and enhancing visibility through LinkedIn. The project was successful, demonstrating a 91% increase in engagement figures, from 179 to 342, over the course of a few months. We have recruited a Responsible Procurement Officer, one of whose responsibilities will be to apply the learnings from this project and continue to advance the transition to real-time impact reporting.

Key Data

11. The impact report contains a blend of quantitative and qualitative data. It includes information from 42 suppliers (up from 30 last year), 11 supplier spotlights (short case studies), and 28 impact statistics. Such as:
 - Page five, our spotlight and stats on Social Pantry and their inspirational ethical employment (supporting prison leavers) and a sustainable catering approach with lots of examples of how they're striving to be a responsible business
 - Page 16, spotlight showcasing 17 SME suppliers graduated from Heart of the City's Net Zero Accelerator (funded by the Climate Action Strategy), committing to saving 13,525 tonnes of CO₂e when they reach net zero – equivalent to emissions from over 12,000 one-way economy flights from London to New York.
 - Page 18, Sykes & Son spotlight on their partnership with Hestia to support survivors of modern slavery shows a deep ethical commitment, supported by impressive impact stats inc. £10K raised, 152 volunteer hours, 242 beneficiaries supported.
12. Of the £700m spent with third party contractors in 24/25, at least £224m was with suppliers that are mentioned in this report totalling 37%. Some of the suppliers in this report will be providing services on our sites or on our behalf that are paid for by external stakeholders e.g. event catering. That figure also does not include suppliers that provided information for the report but were not included either due to unsuitability or space constraints. The impact report was thoughtfully crafted to highlight meaningful progress across all six commitments, balancing comprehensive insights with clear, accessible language to ensure all stakeholders stay engaged.

13. We have also highlighted 14 statistics or spotlights delivered by SMEs and included six best practice pointers.
14. Last year's report has encouraged more suppliers and contract managers to come forward this year. One of the outcomes of the Commercial Improvement Programme is to embed and mobilise our RP commitments. New procurement and contract management procedures are being reviewed and developed to ensure greater awareness and capability to report on RP impact.
15. A RP dashboard is being built by the Impact and Reporting team which will measure KPIs on climate action and supplier diversity for reporting to Members and procurement category boards. Additional RP KPIs will be included in dashboards for the Commercial Service.

Corporate & Strategic Implications

Strategic implications – The six RP commitments are strongly aligned with the priorities outlined in our the Corporate Plan. Appendix two has more information. Additionally, the central government's National Procurement Policy Statement emphasises the responsibility to deliver added value for taxpayers. The impact report also provides benchmarking information on our efforts in supplier diversity, supporting the City Corporation's SME Strategy.

Financial implications – No direct financial implications. The impact report provides examples of money being raised for charity through organisational social value.

Resource implications – Compiling this report is resource-intensive due to the predominantly manual data collection process. CCPD has repurposed a frozen role within the structure to accommodate an additional resource in the Responsible Procurement team (within the Impact & Reporting division), who has increased responsibility for collaborating with contract managers and suppliers to compile and produce impact report materials.

Legal implications – All suppliers mentioned in the report have confirmed their willingness to be included.

Risk implications – None

Equalities implications – The commitments in the Responsible Procurement Policy aim to positively impact or mitigate negative impacts on individuals with protected characteristics.

Climate implications - The commitments in the Responsible Procurement Policy aim to positively impact or mitigate negative impacts on climate and other aspects of environmental sustainability. Climate action is our top responsible procurement commitment, and we have a dedicated project plan for purchased goods and services under the Climate Action Strategy. The project plan commits us to collaborating with the top 25 suppliers, supporting contract managers, and providing training for SMEs in our supply chain to develop net zero carbon strategies.

Security implications - None

Conclusion

16. The City Corporation's Corporate Plan calls for values-driven leadership. Through this report, we reaffirm our position as a national leader in responsible procurement.

17. By embedding equity, sustainability, and social value into our procurement processes, we are not only meeting our commitments—we are shaping the future of public sector procurement. This report is a testament to the collaborative efforts of our officers, suppliers, and partners, and we will continue to build on this momentum through ongoing engagement and innovation.

Appendices

- Appendix 1 - City Corporation Responsible Procurement Commitments in full
- Appendix 2 - Corporate Plan Objectives mapped against relevant responsible procurement commitments
- Non Public Appendix 3 – Responsible Procurement Impact Report (separate PDF)

Background Papers

- PPSC, December 2024, Responsible Procurement Midyear Impact Report

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Appendix 1: Responsible Procurement Commitments

Each commitment is a strategic theme based on related policy outcomes that reflect the City Corporations priorities. The City Corporation commits to working with its supply chain to:

1. Take climate action and minimise environmental impacts of procurement on our operations and throughout our supply chain.
2. Encourage and facilitate supplier diversity (Diverse Owned Enterprises and SMEs) through direct contracts, partnerships and active monitoring.
3. Embed equity, diversity and inclusion throughout the contract process and work with suppliers who have proven to take active steps within their own organisations, supply chain and industry.
4. Protect human rights in our supply chain by working with suppliers who undertake due diligence to guard against modern slavery and other human rights abuses.
5. Facilitate meaningful work-related opportunities, which are actively targeted to enable social mobility and inclusion.
6. Achieve meaningful social value outcomes according to organisational and stakeholder priorities through internal collaboration, community input and supplier engagement.

Appendix 2: Corporate Plan Objectives mapped against relevant responsible procurement commitments as a vehicle for delivering the desired corporate plan outcomes.

Corporate Plan Outcome: Diverse Engaged Communities

- Supplier Diversity - supporting the SME Strategy.
- Equity Diversity & Inclusion - suppliers contributing and sharing information for the City Belonging Project.

Corporate Plan Outcome: Leading Sustainable Environment

- Climate Action - Working in partnership with our supply chain to take climate action on our contracts; promoting more accurate carbon emissions data; seeking to reduce emissions on our sites; and supporting the circular economy and just transition.

Corporate Plan Outcome: Dynamic Economic Growth

- Supplier diversity supporting SMEs and diverse owned enterprises boosting economic growth.

Corporate Plan Outcome: Providing Excellent Services

- Work Related Opportunities, Social Value - support for education, learning and skills, carers strategy and proving support for young people and schools
- EDI - focus on equality, diversity and inclusion to improve social mobility and reduce inequalities through employment, skills and other support.
- Climate Action - improve air quality in Square Mile

Corporate Plan Outcome: Vibrant Thriving Destination

- Social Value delivered by supply chain partners to strengthen offering of the Business Improvement Districts, City businesses and charities.
- Climate Action/ Work Related Opportunities – promoting training and skills for a sustainable built environment (Skills for a sustainable skyline)
- Supplier Diversity - supplier readiness and engagement with SMEs

Corporate Plan Outcome: Flourishing Public Spaces

- Climate Action, Supplier Diversity EDI, Modern Slavery, Work Related Opportunities, Social Value on Salisbury Square and Barbican Renewal

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