

GREATER **LONDON** AUTHORITY

CODE OF ETHICS AND STANDARDS FOR STAFF

Audit Review – November 2019

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1. INTRODUCTION

- 1.1. The Greater London Authority believes it is important to promote the highest standards of conduct in public service and ensure that its standards and statutory obligations are fully met.
- 1.2. This Code presents the standards of conduct that the GLA expects staff to achieve. These standards may be developed further by the GLA.
- 1.3. The GLA has a variety of measures in place to encourage and support staff to adhere to the standards set out in this Code. However, breaches of this code may lead to formal disciplinary action being taken.

2. CONDUCT OF THE AUTHORITY'S BUSINESS

2.1. The role of the Authority's staff is to assist the Mayor and the Assembly, whatever their political complexion, in formulating their policies, carrying out decisions and administering the Authority's public responsibilities. This role needs to be undertaken with integrity, honesty, impartiality and objectivity.

2.2. Standards and Responsibilities

2.2.1 Staff of the Authority have the following duties and responsibilities:

2.3. Proper advice and support

- (a) To give the Mayor, the Assembly and the public as full information as possible about the policies, decisions and actions of the Authority, and not to deceive or knowingly mislead them;
- (b) To uphold the political impartiality of the Authority's staff, not to use public resources for political purposes and not to act in any way which would conflict with this Code;
- (c) To give the Mayor, the Assembly and the public fair, considered and impartial advice;
- (d) To uphold the confidentiality of any advice given to the Mayor by any employee of the Authority. To not disclose, give evidence or produce documents or information relating to that advice, except where that advice has been given in public or given to the Mayor in public by the Metropolitan Police Authority or London Fire & Emergency Planning Authority, or with the Mayor's consent. The Mayor is committed to an open, accessible and inclusive style of government and takes the view that advice given to the Mayor would not be held back if requested from the Mayor unless there are exceptional circumstances. Where maintaining confidentiality gives rise to a reportable incident under the Whistleblowing standards, the provisions of 2.16 of this Code will apply.

- (e) To comply with the law, including international law and treaty obligations, and to uphold the administration of justice;
- (f) To conduct themselves with integrity, impartiality and honesty, avoiding any kind of impropriety;
- (g) To give honest and impartial advice to the Mayor and Assembly without fear or favour, and make all information relevant to a decision available to them, whilst upholding the confidentiality of any advice given in private to the Mayor by any employee of the Authority.
- (h) To deal with the affairs of the public sympathetically, efficiently, promptly and without bias or maladministration.
- (i) To ensure the proper, effective and efficient use of public money.
- (j) To comply with the Authority's standing orders and financial regulations.

2.4. Confidence and trust

- (a) To avoid using their official position or information acquired in the course of their official duties to further their private interests or those of others and to avoid receiving benefits of any kind from a third party which might reasonably be seen to compromise their personal judgement or integrity. If an employee is approached to breach these requirements they should report the matter to their line manager who should record the details and seek advice from the Monitoring Officer.
- (b) To award contracts in accordance with the standards set out in the Authority's Contracts and Funding Code.
- (c) To not conduct themselves in a way that, in the reasonably held belief of the Authority, is likely to fundamentally undermine the required relationship of trust and confidence between themselves and the Authority.
- (d) To not disclose official information which has been communicated in confidence within the Authority, or received in confidence from others.
- (e) To not frustrate or influence the policies, decisions or actions of the Mayor and Assembly by the unauthorised, improper or premature disclosure of any confidential information. Work done to serve the Mayor and/or the Assembly in a proper manner in accordance with the responsibilities of the employee will not be in breach of this requirement.

2.5 Declaration of Interests

- (a) Staff who have an interest whether financial or otherwise, or if any person related to them or with whom they have a close personal relationship, has any interest in any organisation which has any business dealings with the Authority, are required to disclose such interests immediately and ensure that the details are recorded in the Authority's Register of Interests.

- (b) Staff must make a declaration of interest on any issue on which they are advising the Mayor or Assembly which affects an interest held by them, or any person related to them or with whom they have a close personal relationship whether financial or otherwise, and ensure that the details are recorded in the Authority's Register of Interests. The register of declarations of interests is maintained in the office of the Monitoring Officer.
- (c) To ensure openness and transparency, declarations of interest may be published on the GLA's website.

2.6 Activities in Professional or other organisations

- (a) The Authority encourages staff to be members of their professional organisation, and to participate in activities relating to their professional development, which would be of benefit to the Authority. Staff must seek agreement from their relevant Director to take part in professional activities, which may include meetings of societies and/or undertaking speaking engagements. This will not confer automatic rights to receive reimbursement of professional subscriptions. To ensure that the interests of the Authority are protected any requests to speak at conferences or produce articles in the press or relevant professional journals may only be undertaken with prior approval from the relevant Director. When a fee is offered for such work this must be remitted to the GLA unless specific authority has been obtained from the employee's Director or from the Head of Paid Service to undertake the work in their own time.

2.7 Standards in the workplace

- (a) Staff have a duty to work at all times within the law and according to Authority procedures. At no time should public confidence or the interests of the Authority be put at risk by the actions or words of an Authority employee.
- (b) Staff have a duty to behave in a way that reflects well on the Authority. This requires treating employees of other organisations and members of the public with courtesy, respect, efficiency and helpfulness at all times whether on the phone, in a letter or face to face, and following the Authority's guidelines on telephone and letter answering and response to complaints
- (c) Every employee has a right to a working environment, which encourages harmonious, considerate and dignified working relationships. Staff should show respect at all times to other colleagues at all levels and should not disrupt their work in any way. Staff should apply the same high standards of conduct in dealings with their colleagues at all levels, as with the public.

2.8 Working relationships between managers and employees

- (a) Staff and managers have a mutual responsibility to ensure good working relationships. As part of this, staff should:
- I. carry out any reasonable and lawful requests that their manager makes and to the best of their ability;
 - II. behave courteously, reasonably and fairly in all dealings with their managers
- (b) Managers should endeavour to:
- I. support staff in the proper performance of their duties, including assistance, where necessary, in dealing with other employees;
 - II. advise staff of the Authority's human resources policies;
 - III. behave courteously, reasonably and fairly in all dealings with their staff.

2.9 Working relationships with the Mayor and Assembly Members

- (a) Staff (unless their job descriptions indicate otherwise) serve the Mayor and all Assembly Members, and should avoid any action or behaviour which breaches, or could be construed as breaching, the principle of political neutrality. The Authority's Head of Paid Service has powers of appointment over staff (except the statutory officers and those staff appointed by the Mayor under S.67(1) of the GLA Act (as amended)). The staff appointed by the Head of Paid Service to discharge the functions of the Mayor must be managed in a way that enables the staff to properly carry out the Mayor's functions.
- (b) Dealings between officers and the Mayor and Assembly Members should be both polite and efficient. Mutual respect between officers and the Mayor and Assembly Members is important.
- (c) Where there is a close personal relationship, the professional standards of the GLA require that:
- Confidentiality is maintained at work and outside of work on confidential matters
 - Probity is maintained, for example it would not be appropriate for a manager to be signing off significant items of expenditure for somebody with whom they have a close personal relationship.
 - Professional conduct of staff is required at all times

2.10. Attendance

- (a) The GLA is committed to improving employee attendance through fair and effective attendance management procedures. The GLA will endeavour to balance the needs of individual staff with the need for an effective and efficient organisation, recognising the impact of sickness absence on productivity, value for money and staff morale.

- (b) The GLA will endeavour to be sympathetic and supportive in its approach to attendance management and will deal with issues in a confidential and sensitive manner. Managers will be encouraged to seek and follow expert advice on managing complex sickness issues.
- (c) The GLA will ensure that the management of attendance is consistent and fair and without bias in relation to age, disability, gender reassignment, marital status and civil partnership, pregnancy and maternity, race, religion or belief, sex, gender identity, gender expression, and sexual orientation.
- (d) Managers and staff should ensure that they comply with the provisions of the GLA's Sickness Absence Policy.

2.11. Alcohol, drugs and smoking

- (a) Staff should not knowingly take any non-medical substance, including alcohol or drugs that may affect their ability to work. If drugs prescribed by a doctor may have an adverse effect on an employee's work, the employee should inform their manager, the Human Resources and Organisational Development (HR&OD) Unit or the Occupational Health Service in confidence.
- (b) The consumption of alcohol by staff is not normally allowed on the Authority's premises within work hours. Any exceptions to this rule will require the prior authorisation of the Head of Paid Service, Director, the Mayor or relevant Assembly member. Staff are responsible for ensuring that any alcohol which is consumed whilst off-duty does not affect their work in any way.
- (c) Smoking is not allowed on Authority premises.
- (d) Staff should note that the consumption or possession of illegal drugs within the workplace, during working hours, and/or while representing the Authority will be treated as gross misconduct.

2.12. Behaviour outside the workplace

- (a) Staff's off duty hours are their personal concern but they must not subordinate their duty or their private interests or put themselves in a position where duty and private interests conflict. Staff may not to engage in any other business or take up any other additional appointment for financial gain without the agreement in advance of their Director.
- (b) Where staff break the law outside work in any way that would damage public confidence in the Authority if their employment were allowed to continue and/or has a direct effect on their work, this may result in disciplinary or other action being taken against them.

2.13. Gifts and Hospitality

- (a) Offers of hospitality must be treated with caution whenever any suggestion of improper influence could arise. To prevent any improper behaviour, or

suggestion of improper behaviour arising staff must take great care when hospitality is offered. Hospitality accepted should not be extravagant and nor should it be taken from the same client/individual on a frequent basis.

- (b) If staff are in doubt about whether hospitality offered can be accepted advice should be sought from the relevant Director. Staff must register receipt of any hospitality. The hospitality register is maintained in the office of the Monitoring Officer.
- (c) To ensure openness and transparency, declarations of gifts and hospitality may be published on the GLA's website.

2.14. Contact with Press and Media

- (a) Unauthorised staff must not talk directly to the press or media. Any approach from the press or media representatives must be referred directly to the relevant Press Office unless otherwise agreed.

2.15. Use of the Authority's Internet and email

- (a) Staff must comply with the protocol set out in Appendix A of this code.

2.16. Whistleblowing Standards

- (a) The standards of conduct within this Code are intended to ensure the accountability of public officers to conduct themselves at all times with honesty and integrity. However, sometimes malpractice and wrongdoing may occur. In order to maintain high standards, it is essential that anyone working for the GLA feels able to raise any concerns where there is a belief that the public interest is not being served. This includes any activity which is:
 - fraudulent or corrupt
 - a criminal offence
 - the breach of a legal obligation
 - a miscarriage of justice
 - a danger to the health and safety of any individual
 - damage to the environment
 - the deliberate covering up of information relating to any of the above matters
- (b) Employees who raise concerns relating to any such these activities (whistle blowing) will be protected from victimisation as a result of the disclosure, provided the concern is raised in good faith.
- (c) Guidance on whistleblowing is available on the GLA intranet.

3. EQUAL OPPORTUNITIES STANDARD

3.1. Introduction

The Authority recognises that it is essential to promote equal opportunities to all persons without discrimination in all aspects of employment and encourages staff at all levels to act fairly and prevent discrimination because of age, disability, gender reassignment, marital status and civil partnership, pregnancy and maternity, race, religion or belief, sex, gender identity, gender expression, and sexual orientation. These are referred to as *protected characteristics* under the law.* We have added gender identity and gender expression which goes above and beyond the law, in recognition that for some individuals their sex, is different from their gender identity or their gender expression.

3.2. Definition of discrimination

- (a) Direct discrimination occurs when one person is treated less favourably than another because of a protected characteristic they have or are perceived to have or in certain circumstances because they are associated with someone who has a protected characteristic.
- (b) Indirect discrimination occurs where a provision, criteria or practice is applied that has the effect of disadvantaging a group of people with a particular protected characteristic (see 3.1 above), more than persons in another group, unless it can be objectively justifiable in the given situation.

3.3. Equality at work policy statement

- (a) The Greater London Authority intends that its workforce reflects London's diversity at all levels of the organisation. The Authority aims to be an inclusive employer that positively values the contribution of all employees. Through both its employment policies and its strategies for London, the Authority aims to achieve equality of opportunity for all sections of the workforce and the community it serves. The Greater London Authority's policies apply to all employees.
- (b) The Authority will work towards eliminating all discrimination, because of age, disability, gender reassignment, marital status and civil partnership, pregnancy and maternity, race, religion or belief, sex, gender identity, gender expression, and sexual orientation. It believes that all employees should be treated with dignity and respect at all times and it will not tolerate bullying, harassment or victimisation of any groups or individuals.
- (c) To achieve this, the GLA shall take steps to:
 - I. Encourage diversity and eliminate unfair treatment and discrimination through a full range of human resource policies and procedures in particular in the areas of recruitment, training and development and promotion.

- II. Recognise that staff have rights as employees to work in a supportive, safe and harassment free environment and that staff have individual and collective responsibility to value and respect each other's contributions.
- III. Promote an environment where standards of conduct are of the highest level and to ensure that no one is harassed, bullied or victimised.

3.4. Recruitment and selection

- (a) The Authority recognises its staff as being fundamental to its success and is committed to ensuring the staff with the right skills and abilities are employed by the organisation. Appointment of the highest calibre candidates is dependent on effective recruitment and selection processes.
- (b) The Authority aims to recruit a workforce at all levels that reflects the rich diversity of London's population. Equality of opportunity is integral to the recruitment process and therefore, it is important to ensure the processes used for recruitment and selection are fair, consistently applied, transparent, objective and efficient.
- (c) The Authority will ensure the recruitment and selection of its staff is conducted in a professional, timely and responsive manner and in compliance with current employment legislation and best recruitment practice.
- (d) The Authority will provide appropriate training and support to those involved in recruitment and selection and panel members must attend the training before participating in recruitment and selection activities.
- (e) The Authority will adhere to these principles to ensure the best candidates are appointed fairly.
- (f) Managers and staff should ensure that they comply with the Authority's Recruitment and Selection policy and guidance.

3.5 Employment

- (a) The Authority will not discriminate on the basis of age, disability, gender reassignment, marital status and civil partnership, pregnancy and maternity, race, religion or belief, sex, gender identity, gender expression, and sexual orientation, in the allocation of duties between staff employed in any grade or grades with comparable job descriptions.
- (b) All employees will be considered solely on their merits for career development and promotion with equal opportunities for all.
- (c) All employees of the Authority are required to comply with the Authority's equality aims and to treat colleagues with dignity and respect.
- (d) Employees must not canvass any officer of the Greater London Authority, the Mayor, Assembly Members (or declared prospective candidates for the Assembly) on recruitment or any matters relating to their terms and conditions of employment.

3.6 Exceptions to recruitment and employment standards

- (a) There are exceptions to these recruitment standards, which relate to appointments by the Mayor. As prescribed in the Greater London Authority Act 1999 (as amended) the Mayor may appoint two political advisors. The Mayor will decide their terms and conditions and report these decisions to the Assembly.
- (b) The Mayor may also, as prescribed in the 1999 Act (as amended) appoint ten members of staff. These appointments are required to be on merit. The appointments and terms and conditions of these staff will be decided by the Mayor and reported to the Assembly.
- (c) The 'Protocol on Mayoral Appointments' sets out the general principles and procedures to be followed where the Mayor is to exercise these powers.

3.7. Learning and development

- (a) Employees will be provided with appropriate learning and development opportunities regardless of age, disability, gender reassignment, marital status and civil partnership, pregnancy and maternity, race, religion or belief, sex, gender identity, gender expression, and sexual orientation.
- (b) All employees will be encouraged to discuss their career prospects and training needs with their line manager.

3.8 Discrimination and victimisation

- (a) Everyone is entitled to be treated fairly and not to be discriminated against. Staff must never harass, bully or discriminate against people they meet in the course of their work, particularly in relation to age, disability, gender reassignment, marital status and civil partnership, pregnancy and maternity, race, religion or belief, sex, gender identity, gender expression, and sexual orientation.. Harassment may take a number of forms including verbal, physical or the use of offensive material. It may be an isolated incident or repeated action but whatever form it takes, it will be uninvited, unwanted, un-reciprocated, unreasonable and offensive to the recipient.
- (b) It is not acceptable to display "pin-ups" or racist material in the workplace, or to make racist, sexist, homophobic, transphobic or suggestive remarks.
- (c) The Authority emphasises that discrimination, victimisation, bullying and harassment is unacceptable conduct that may lead to disciplinary action under the Authority's disciplinary procedure.
- (d) The Authority will apply the Dignity at Work policy relating to behaviour at work and will treat harassment as a disciplinary offence.
- (e) Any complaints of discrimination, victimisation, bullying or harassment may be pursued through the Authority's Resolution Policy and Guidance.

3.9. Monitoring

- (a) It is the responsibility of all Directors to ensure that the Authority's equality aims are kept under review and are operated throughout the Authority. The Executive Director of Resources will lead and co-ordinate this work across the Authority.
- (b) Where it appears that applicants/employees are not being offered equal opportunities, circumstances will be investigated to identify any policies or criteria that exclude or discourage certain employees and, if so, whether these are justifiable.

4. PERFORMANCE STANDARD

4.1 The GLA is committed to:

- developing a working environment where employee performance is linked to the GLA's strategic and business plans; and
- maintaining and improving employee performance through fair and effective performance management and capability procedures.

4.2 Performance measures

4.2.1 The Authority operates the following performance measures:

- (a) Structured induction into the Authority of all new staff
- (b) A formal probation process for all new employees
- (c) Employee performance review to underpin the Authority's commitment to a performance culture
- (d) Effective communication of standards to all employees including regular team briefings
- (e) Regular support and guidance to employees to enable them to perform effectively
- (f) Commitment to continuous learning and development amongst employees
- (g) A formal capability procedure to address work performance issues

4.3. Probation

- (a) All appointments to the Greater London Authority (GLA), including employees on fixed term contracts, are offered on the basis that the employee will complete a six month probation period. During this time the employee's performance will be assessed to ensure that they are reaching or capable of reaching the required standards of performance, attendance and conduct to complete the job.
- (b) The purpose of the probation period is:

- To give initial guidance to the probationer in adapting to the new job and to provide a structured programme of support and monitoring designed to enable the probationer to reach the required standards of performance quickly.
- To draw up action plans with the probationer if they do not achieve the required standards as quickly as expected and to assist the probationer in achieving those standards.
- To identify employees who do not meet the required standards after the GLA has exhausted all reasonable and practical remedial action.

(c) Managers and staff should ensure they comply with the Authority's Probation Procedure.

4.4 Performance Review Scheme

(a) All employees should comply with the Authority's Performance Review Scheme and its aims to improve standards of performance through the provision of effective support to individual employees.

5. CONDUCT STANDARD

5.1 Disciplinary Procedure

5.1.1 The Authority believes it is important to promote order and fairness in the treatment of employees through the application of rules of conduct and procedure. These are set out in full in the Authority's Disciplinary Procedure.

5.1.2 The purpose of the Disciplinary Procedure is to help employees achieve and maintain satisfactory standards of conduct and to comply with the GLA's rules. The procedure also provides a fair and consistent way of dealing with allegations that the required standards have not been met.

5.1.3 Managers are responsible for specifying standards of conduct and behaviour and ensuring that breaches of these are dealt with promptly and consistently.

5.1.4 No disciplinary action should be taken until the facts of the case have been established and any action taken must be reasonable in the circumstances.

5.1.5 No employee will be dismissed for a first breach of standards except in the case of gross misconduct, when the outcome will normally be dismissal.

5.2 Resolution Policy and Guidance

5.2.1 The Authority's Resolution Policy and Guidance gives employees a means to deal with any employment-related issue or concern. Informal and formal processes are available and at any stage the aim is to ensure good working relationships and to settle issues promptly, fairly and as close as possible to the point of origin. It applies to both individual and collective issues.

- 5.2.2 The GLA places responsibility upon all employees and managers to develop and maintain constructive working relationships. It is important that employees are treated as individuals, with respect, and that their needs and expectations acknowledged and these are balanced together with the needs and objectives of the GLA.
- 5.2.3 When dealing with an employee's issue, managers must endeavour to understand the reason for it and have a shared responsibility, with the employee, for identifying solutions to the problem or concern.
- 5.2.4 The Authority has a number of employees in key roles to support the resolution process including Resolution Champions, Resolution Team Assessors and a pool of Facilitators, Mediators and Investigators.
- 5.2.4 The responsibilities of managers, staff and roles in the Resolution Team are set out fully in the GLA's Resolution Policy and Guidance.

6 HEALTH AND SAFETY STANDARD

6.1. The GLA's aims and responsibilities

- 6.1.1. The Authority aims to maintain a safe and healthy environment for its employees and others who may be affected by the Authority's operations. The Authority will actively seek to maintain and improve a good record of safe and careful planning, organisation monitoring, control, education and the application of relevant practices and codes of conduct.
- 6.1.2. All Authority employees are required to actively support these aims. The Authority also expects the co-operation of all those within scope of the policy to work in such a way that accidents to themselves and others are prevented. Any employee will render themselves liable to action for proven breaches of this policy.
- 6.1.3. Insofar as is reasonably practicable the Authority will:
 - (a) Maintain work equipment and systems that are safe and without risks to health.
 - (b) Make arrangements for assessing risk thereby ensuring the health and safety and well-being of all staff in connection with the use, handling, storage and transport of articles and substances.
 - (c) Ensure all employees are made aware of the known or suspected hazards associated with or arising out of the work or duties assigned to them, and where necessary shall be suitably trained or instructed to enable them to carry out their tasks in a safe and efficient manner.
 - (d) Ensure that appropriate health and safety training is provided for staff. The practicalities and method of work training will be carried out by the Authority's managers and overseen by the Head of Facilities and Squares Management.
 - (e) Ensure the requirements of any legislation or codes of practice applicable to the processes or operations being undertaken and/or the premises which they are undertaking are observed.

- (f) Maintain any place under the Authority's control in a condition that is safe and without risk to health and provide and maintain means of access to, and egress from, in ways that are safe and without risk.
- (g) Ensure all activities are conducted in a responsible manner and so planned and controlled that the possibility of unplanned events occurring is reduced to the practicable minimum. It is recognised that accident prevention is a joint responsibility of all those mentioned within scope of the Authority's Health and Safety Standard.
- (h) Provide and maintain a working environment for all employees and sub contractors that is safe, without risk to health, and adequate as regards to facilities and arrangements for their welfare at work. The services of professional Health and Safety advisors may be used to provide advice, monitor implementation of systems when working in difficult or non-standard environments.
- (i) Ensure that Authority's health and safety aims are formally reviewed on an annual basis and amended from time to time to take account of changes in legislation as and when they occur.
- (j) Ensure that the following persons comply with all arrangements made to implement this Authority's health and safety aims:
 - Employees of the Authority,
 - Sub-contractors to the Authority,
 - Visitors to the Authority's premises, sites of operation,
 - Those to whom the Authority owes a duty of care or over whom the Authority exercises control.
- (k) The Authority's Health and Safety Standard and its aims shall be displayed at all sites/locations where the Authority undertakes works, and shall be issued to all new employees on appointment.

6.2 Employees duties and responsibilities

6.2.1. Employees have a duty to:

- (a) Take reasonable care for the health, safety and welfare of themselves and of others who may be affected by their activities at work and not intentionally to do anything likely to endanger themselves or others.
- (b) Co-operate fully in enabling the Authority to fulfil its health, safety and welfare responsibilities.
- (c) Not intentionally or recklessly to interfere with, misuse or remove anything provided in the interest of health, safety or welfare or for the use of employees.

**PROTOCOL ON THE USAGE OF INFORMATION AND COMMUNICATIONS TECHNOLOGY
IN THE GREATER LONDON AUTHORITY**

1. Introduction

- 1.1. All staff in the GLA have access to a range of equipment and technology classified under the heading of Information and Communications Technology (ICT). Such equipment and technology includes the following: PC, telephones, mobile phones, BlackBerrys, intranet/internet, e-mail, printers, facsimile machines and photocopiers. This protocol covers the usage of all such ICT, together with any information and communication equipment and/or technology that is introduced within GLA in the future.
- 1.2. Note that GLA's ICT includes equipment and technology owned or leased by the GLA, hired by the GLA, supplied by the GLA or equipment used by the GLA and not necessarily owned or leased by the GLA.
- 1.3. This protocol also applies to staff's personal equipment when being used to undertake work on behalf of the GLA on GLA premises.
- 1.4. ICT is available to help staff with their day to day work. The GLA aims to promote the use of information and communications technology as an effective means of working. As ICT is widely used within the GLA it is necessary to issue some guidance on its use to ensure that staff are aware of good practice, the required standards and implications of breaching this protocol.

2. Rules on Information and Communications Technology use, disciplinary action and criminal offences

- 2.1. Use of ICT is subject to the same rules of abuse and misconduct as other GLA equipment and facilities. Failure to comply with the protocol will constitute misuse of the facilities and could lead to disciplinary action under the Code of Ethics and Standards or any other action the GLA considers appropriate, being taken against the employee. Depending on the circumstances and the seriousness of the case, disciplinary action could result in dismissal.
- 2.2. Staff using the GLA's ICT must ensure that their use is in no way in breach of the GLA's Equality at Work policy. Such activity could be regarded as gross misconduct, may damage the reputation of the Authority or bring it into disrepute and could lead to disciplinary action being taken up to and including dismissal.
- 2.3. Staff are specifically reminded that there are a number of criminal offences that might arise from the misuse of ICT. These include, but are not limited to:
 - (a) Unauthorised duplication of computer software;
 - (b) Publishing obscene material which tends to deprave or corrupt;
 - (c) Deliberate unauthorised access to computer programmes or data ("hacking").

- 2.4. The GLA will inform the police if it suspects that any misuse of its ICT constitutes illegal activity and will co-operate with the police if requested in any investigation or prosecution.

3. Scope of this protocol

- 3.1. The guidance and recommendations set out in this protocol are not exhaustive and must not be treated as such. Employees are expected to use judgement, prudence, and care in using ICT.
- 3.2. The GLA reserves the right to amend this protocol in the interests of ensuring its relevance to current legislation, best practice and in light of experience. Staff will be notified of any changes to the protocols using whatever mechanism the GLA deems appropriate.

4. Access

- 4.1. All staff have access to a telephone, computer and hence email, Internet and Intranet. Access to the Internet and Intranet is available from any computer within the GLA connected to the network. Access may also be available to computers owned, leased or in the care of the GLA not connected to the network, but whose access is via a direct connection. Staff also have access to other forms of ICT including mobile telephones, photocopiers, facsimile machines and printers.

5. Software

- 5.1. The GLA purchases and licences the use of various computer software programs. Neither the GLA nor any of the GLA's employees, officers or agents have the right to duplicate this computer software or any related documentation without obtaining the prior, express written consent of the copyright owners of the software and documentation. It is expressly forbidden for any member of staff to copy for their own private use any software licensed to the GLA.
- 5.2. Software must be used in accordance with appropriate licensing agreements. To protect the GLA against actions for copyright infringement and the introduction of computer viruses, staff must not install or run *any* software on any GLA ICT without prior agreement of the IT Unit. This covers software available for downloading from the internet, although the IT Unit will usually agree to the installation/running of such software where the consent of the copyright owner is clearly given. Staff should always check with the IT Unit when in doubt and should be aware that the use or installation of unlicensed software is a criminal offence with a penalty of up to two years imprisonment.

6. Personal Use

- 6.1. Staff are not forbidden from using ICT for personal purposes, however such use should be limited, should not interfere with job performance and must comply with this protocol.
- 6.2. The GLA recognises and accepts that there will be occasions when a member of staff needs to make a personal phone call that cannot be made outside office hours, however, such use

of the telephone should be limited. The GLA expects staff to exercise appropriate discretion in these matters.

- 6.3. Staff are also able to access the Internet or send and receive email for personal purposes but should, as far as reasonably practicable, do so in their own time (e.g. during the lunch break) and not during normal working hours. Staff must not spend long periods of time browsing the Internet or engaging in personal e-mail correspondence as this can be time consuming and will impact on their overall productive capacity.
- 6.4. The GLA reserves the right to withdraw permission for personal use from any member of staff if it believes that it is interfering with their work or disrupting GLA's activities. In cases of excessive or inappropriate personal use, the GLA may take disciplinary action.
- 6.5. Staff must not use their PC for playing games.
- 6.6. Staff who use the internet for personal shopping should ensure that deliveries are sent to their home address rather than City Hall. If this is not possible City Hall Security staff should be notified that a package is due, especially if that package is to include electrical equipment. It is the responsibility of the person ordering the item to pick it up from the Post Room.
- 6.7. All ICT equipment and software provided to staff remains the property of the GLA. When the staff member is no longer employed by the GLA, arrangements must be made by the staff member to return all GLA property within 14 days after the date of termination. Please see the policy for 'Arrangements relating to ICT equipment for staff' attached at Annex 1.

7. Legal implications

- 7.1. There is a large amount of relevant legislation and case law governing the use of ICT. This includes legislation/case law concerning race; sex discrimination; obscenity and human rights. Recently, legislation on the monitoring of electronic forms of communication called The Telecommunications (Lawful Business Practice) Interception of Communications) Regulations 2000 have come into force.

Computer Misuse Act (1990)

- (a) Under this legislation a person is guilty of an offence if they access any system or data for which they are unauthorised.
- (b) There are further criminal offences of gaining unauthorised access to computer material with intent to commit a further offence (e.g. fraud, theft etc.) and the unauthorised modification of computer material.
- (c) Staff should therefore take steps to ensure that their usernames and passwords are kept private as well as ensuring that computers are locked (using Control, Alt and Delete) when not in use.

General Data Protection Regulations (GDPR) & Data Protection Act (2018)

- (a) Under this legislation, all handling, processing, collection and disposal of personal information is regulated. Staff who process personal data must comply with the data protection principles set out under the GDPR and have a thorough understanding of their effects. These principles form the framework for the proper handling of any personal or identifiable data.
 - (b) Staff should therefore ensure that ANY personal or identifiable data, whether electronic or manual, held is:
 - processed lawfully, fairly and in a transparent manner in relation to individuals (i.e. the data subject has been made aware of its collection and use, and that we have identified a legal basis for processing that data under GDPR)
 - only collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes;
 - adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed
 - accurate and, where necessary, kept up to date;
 - every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay
 - Held for no longer than necessary and erased or rectified without delay
 - kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed
 - processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures
 - Not to be transferred outside the European Union.
- 7.2. This document will be reviewed as necessary in order to take account of further changes in the law and all staff will be notified of these.

8. Appropriate use of E-Mail

- 8.1. Staff must never send or distribute any e-mail, where for personal or business purposes, which:
 - (a) Contains information that is confidential or personal, except where authorised;
 - (b) May damage the reputation of the GLA or that of any person or organisation with which it deals;
 - (c) Makes representations or express opinions purporting to be those of the GLA, except where authorised;

- (d) Contains defamatory, obscene, indecent, sexually explicit, pornographic, or any material which a reasonable person might consider to be pornographic, offensive, racist, sexist or violent material or which may reasonably be considered by others to cause offence or distress;
- (e) Involves a breach of the GLA's Equalities Policy;
- (f) Involves sexual harassment (this means unwanted conduct of a sexual nature, conduct based on sex which affects the dignity of women (or men) at work or conduct which denigrates, ridicules or is abusive on grounds of sex and is offensive to the recipient. Sexual attention becomes sexual harassment if it is persisted in once it has been made clear that it is regarded by the recipient as offensive, although one incident of harassment may constitute sexual harassment if sufficiently serious);
- (g) Involves racial abuse, racial harassment or the distribution of racist material (this means abusive/aggressive/insulting behaviour towards an individual on grounds of race, making or distributing comments or jokes based on the assumption that races have distinctive cultural characteristics determined by hereditary factors (i.e. racial stereotyping) and any other behaviour likely to leave a reasonable person feeling disadvantaged on grounds of their race);
- (h) Involves any other kind of harassment, bullying or intimidation whether on grounds of sex, race, disability or other personal grounds. (This includes conduct that is unwanted, unreasonable and offensive to the recipient and creates an intimidating, hostile or humiliating working environment for the recipient).

9. Passwords and Unauthorised Access

- 9.1. Staff should change their passwords on a regular basis. Email passwords can be changed via a link on the Intranet in the IT section. Network passwords can be changed by pressing 'Control Alt Delete' and then selecting change password.
- 9.2. In order to prevent your PC being used when you are away from your desk, you should get into the habit of locking your PC by pressing 'Control Alt Delete' and then selecting the option 'Lock Workstation'. Upon return to your PC you will need to re-enter your password to continue working.
- 9.3. Passwords are unique to each member of staff and must not be disclosed to anyone except a member of the IT Unit. No member of staff should permit another individual to log on to a computer using that member of staff's password. Similarly, no member of staff should log on to a computer using another member of staff's password. Any member of staff suspecting that there may have been unauthorised access to their computer should contact the IT Unit immediately.

10. The GLA's Website

- 10.1. There are strict protocols regarding information published on the GLA's Website, which presents information relating to the Mayor and Assembly.

- 10.2. The site is maintained by the London Engagement Unit in the External Affairs Directorate and any requests to post material on the site, or queries regarding information currently posted, should be made to that Unit.

11. Inappropriate use of the Internet

11.1. Pornographic obscene and offensive material

- (a) You must not use the GLA's Internet facilities to deliberately access, view, download, print or distribute pornographic, indecent, sexually explicit or obscene material or material likely to cause offence, whether or not this would constitute a criminal offence and irrespective of whether you do so during working hours or whether you personally find such material insulting or distasteful. To do so may result in disciplinary action, which may result in dismissal.
- (b) Staff are advised to exercise caution and not access any sites that may contain information that could be interpreted in this way.

11.2. Racist material

- (a) You must not use the GLA's Internet facilities to access, view, download, print or distribute racist material. Staff who do so may be subject to disciplinary action, which may result in dismissal.
- (b) Staff are advised to exercise caution and not access any sites that may contain information that could be considered to be racist.

11.3. Other inappropriate material

- (a) The Internet has numerous sites containing material inappropriate to be accessed using the GLA's Internet facilities. Examples include sites containing material that is sexist, homophobic, transphobic or publicising hate campaigns that would be deemed contrary to the equalities ethos of the GLA or illegal
- (b) If the GLA has evidence that you have used the GLA's equipment and ICT systems to deliberately access, view, download, print or distribute such material, you may be subject to disciplinary action which may result in dismissal.
- (c) Generally, staff should exercise all reasonable care to ensure that they do not access any site that may contain material that could offend others.

11.4. Unintentional access of inappropriate sites

You may inadvertently access material described above because of misleading site descriptions, and innocent searches. If this should happen, the site should be exited immediately and for your own protection, you should report the matter to your line manager. The line manager is then responsible for advising the IT Unit of the address of

the site regarded as inappropriate. Failure to exit the site with due speed may result in the GLA's conclusion that you have deliberately accessed and/or viewed material in question.

11.5. Downloading information

- (a) Do not download software from the Internet without prior approval from the IT Unit as such software may contain viruses or may not be licensed.
- (b) Care should be taken when downloading any information from a website, as some pages have programs imbedded in them which may be downloaded inadvertently.

12. Subscription

- 12.1. You must obtain the budget holder's permission before using any service on the Internet that requires payment.

13. Appropriate use of other ICT

- 13.1. The use of any GLA ICT to distribute pornographic, obscene, racist or otherwise inappropriate material (as defined above) is strictly forbidden and may result in disciplinary action, including dismissal in appropriate cases. This includes using faxes or photocopiers for the purposes of copying and distributing any material that may be regarded as offensive or inappropriate. Staff must not use the telephone in a manner that would be regarded as being abusive, or to deliver information or messages that would be likely to cause offence to the listener.

14. Profit or Gain

- 14.1. You must not use GLA's Information and Communications Technology facilities for profit or gain making activities not authorised by the GLA. If there is evidence that you have used GLA ICT in this way, you may be subject to disciplinary action which may lead to dismissal.

15. Monitoring

- 15.1. The GLA allows access to ICT systems to all staff, and therefore gives staff a wide degree of autonomy in how their time is utilised and relies on trust in using these systems to apply this protocol (for example, sometimes temporary staff may only be contracted for one day only). Managers and supervisors will still be responsible for the general supervision of staff and the GLA reserves the right to monitor staff usage of the internet, intranet, e-mail and telephone at any time and without express consent for the purposes set out below.

- 15.2. The GLA will use a variety of methods to monitor staff use of its ICT systems but does not have the intention of unnecessarily intruding on staff privacy and autonomy. The GLA may use a variety of methods to monitor staff use of its ICT systems, however, monitoring will only take place for reasons relevant to the business of the GLA and for the following purposes:

- i. for the monitoring or recording of communications:

- ii. to establish the existence of facts;
- iii. to ascertain compliance with regulatory or self-regulatory practices or procedures;
- iv. to ascertain or demonstrate standards which are or ought to be achieved (quality control and training);
- v. in the interests of national security (in which case only certain specified public officials may make the interception);
- vi. to prevent or detect crime;
- vii. to investigate or detect unauthorised use of telecommunication systems;
- viii. to secure, or as an inherent part of, effective system operation;
- ix. monitoring received communications to determine whether they are business or personal communications; or
- x. monitoring communications made to anonymous telephone helplines.

15.3. Monitoring will be carried out only by staff authorised by the GLA.

15.4. All staff should be aware that deleted emails may be retrievable by the System Administrator and that details of sites accessed from each desktop machine are recorded in the GLA's network log and routinely kept for three months.

15.5. All staff should not treat any form of ICT communication as confidential or private and are not advised to use GLA's ICT to communicate sensitive personal details

15.6. No member of staff should monitor any communication sent or received using GLA's ICT by another member of staff unless specifically authorised to do so (for one of the purposes set out in 15.2) by the Executive Director of Resources (for staff appointed by the Head of Paid Service), the Mayor (for staff appointed directly by the Mayor), the Mayor and Assembly (for the Statutory Officers)..

15.7. Where monitoring reveals unauthorised usage of GLA's ICT systems, disciplinary action may follow, including dismissal in appropriate cases.

16. Conclusion

16.1. The GLA is committed to quality of service and ensuring compliance with the law in addition to our internal protocols. If any member of staff is in any doubt as to what behaviour and communication this protocol applies to they should contact their manager in the first instance. Staff will also need to apply the equalities standard which is set out in this document and any other protocol which may be relevant.

ARRANGEMENTS RELATING TO ICT EQUIPMENT FOR DEPARTING STAFF

1. Who these arrangements apply to

- 1.1 The provisions in this document apply to all employees of the GLA including the Mayor's appointees.¹

2. Definitions

In this document:

- 2.1 "ICT" means the range of equipment and technology classified under the heading 'information and communications technology' (ICT). It includes any information, documents and equipment and/or technology owned by the GLA at any relevant time.
- 2.2 "Equipment" may include some or all of the following:
- PC or laptop
 - Telephone
 - Mobile phone (or Blackberry)
 - Printers
 - Facsimile machine
- 2.3 "Information" may include some or all of the following:
- Any document, records or information the copyright in which is owned by the GLA; or
 - Any document, records or information in which the copyright is owned by a third party, but where the GLA has purchased a licence in respect of the copyright;
 - Any confidential document, records or information; or
 - Any GLA related e-mails, email addresses, circulation lists, electoral register or any part thereof.
- 2.4 "Date of termination" means the date that an employee's employment ends.

3. GLA ICT Equipment

- 3.1 All equipment and software provided by the GLA remains the property of the GLA at all times. The equipment is provided solely for the legitimate GLA business use of the person to whom the equipment is provided.

¹ Appointed by the Mayor under section 67(1) of the GLA Act 1999 as amended.

- 3.2 Unless a request to keep any item of GLA ICT equipment has been made in accordance with paragraphs 3.3 – 3.4 below, all such equipment must be returned (or if so agreed to by the GLA, made available for collection) within 14 days after the date of termination.
- 3.3 A request by an employee to keep any item of GLA ICT equipment must be made (using a form available on the intranet) via their line manager to the Head of IT at least 14 days before the expiry of their contract of employment.
- 3.4 A decision to grant requests will only be made if the following conditions are met:
- The equipment has no residual value at the date of termination.
 - There are no contractual obligations between the GLA and the provider of the equipment and/or software which would prevent the GLA releasing the equipment; and
 - The costs, in officer time and effort, of removing any software and taking any necessary steps or making arrangements to prepare the equipment for release is not disproportionate.
- AND
- will be communicated to requestors within 14 days after the date of termination.
- 3.5 If equipment is released by the GLA then, in some cases, it may be possible for the number of a mobile phone to be transferred from the GLA account to a personal account at the member of staff's own cost.

4. GLA Information

- 4.1 When returning ICT equipment staff must have regard to the Protocol on the Usage of ICT in the GLA.
- 4.2 Staff should remove any information to which they are legitimately entitled before the date of termination, but nobody must remove or copy any GLA related information from the equipment before it is returned. Any information remaining on the GLA ICT equipment at the date of termination remains at all times the property of the GLA. It is subject to the Data Protection Act 1998 and the Freedom of Information Act 2000.
- 4.3 Any ICT accounts (including phone, blackberry, and email) will be closed down within 1 month of the employee's date of termination.
- 4.4 However, any material contained within an email account that has been closed down or which has been deleted by an individual before returning equipment, will be retained on back up tapes for a period of 3 months. Should employees require access to such information after the date of termination, and within 3 months, a formal request should be made via their line manager to the Head of ICT.
- 4.5 In addition, should any individual wish for out-of-office messages to be displayed in response to emails or for emails to be re-directed to them after they leave the GLA, they

should contact the Technology Service Desk for advice and assistance, before, or as soon as possible after, their date of termination.

5. Failure to comply with these arrangements

- 5.1 If any GLA ICT equipment or information is not returned in accordance with the provisions of this document, the GLA may seek to recover from the individual concerned (if necessary via legal proceedings) any losses or costs it incurs and which are related to the individual's failure to comply with these arrangements.

PROTOCOL FOR MEMBER SERVICES STAFF

1. Purpose of protocol

1.1 This Protocol provides general, formal guidance to those Secretariat staff who work within the party Groups' teams or directly to individual Assembly Members (collectively and formally known as 'Member Services', as part of the Committee and Member Services Unit), in relation to their role, duties and responsibilities when working in support of Assembly Members. The Protocol forms part of the Authority's Code of Ethics and Standards for staff and is to be read in conjunction with the Code and the other relevant documents referred to below.

2. Appointment of Member Services staff

2.1 The Authority's Chief Executive, as Head of Paid Service, is responsible for the appointment of all staff (with the exception of those posts appointed to by the Mayor under section 67(1) of the GLA Act 1999 as amended and the Authority's 3 statutory officer posts appointed jointly by the Mayor and the Assembly) within the Authority, for setting the terms and conditions of employment and for all other employment matters.

2.2 In relation to the appointment of staff of the Authority, including those working within the Assembly's Secretariat Directorate, the procedures for appointment are set out within the HoPS's Scheme of Delegation of Functions - <http://legacy.london.gov.uk/about/corp-gov/docs/scheme-of-delegation-hops.pdf>.

2.3 The processes and procedures by which the Chief Executive, as Head of Paid Services (HoPS), undertakes these general functions are set out within the HoPS' Staffing Protocol - <http://legacy.london.gov.uk/about/corp-gov/docs/hops-staffing-protocol.pdf>.

2.4 As a general rule, the procedures outlined above in relation to the appointment of Heads of Unit posts within the Secretariat shall apply to the appointment of staff working in the party Groups on the London Assembly and to any individual Members – namely, that relevant officers will serve as the interview and appointment panel but that Assembly Members can attend and, subject to any direction from the chair of the panel, participate in the appointment panels but can not vote on or decide the appointments.

2.5 Appointments will be made:

- (a) On merit, without reference to political preference;
- (b) In accordance with the Authority's Recruitment and Selection Policy and on advice of HR officers as necessary; and
- (c) Subject to standard terms and conditions of service of GLA employees.

3. Nature of support staff's work

3.1. The job description for each post will detail the nature of the work required and the line management arrangements. The line manager will allocate work, monitor performance, provide guidance and training as necessary and ensure that the Authority's performance review processes (including compliance with the Competency Framework) are undertaken.

3.2 All members of staff working directly in support of Assembly Members are employees of the Authority, are not under the management of the Member(s) to whom they provide support and are not employed to provide party political support or advice to the Members. (The Assembly's statutory role is set out at section 59 of the Greater London Authority Act 1999 as amended.) However, within that framework, Assembly Members are properly able directly to provide such members of staff with direction and guidance as to the nature of the work required and relevant timescales. Assembly Members' views on the performance of such members of staff can routinely be sought as part of the performance review process and at other times as may be necessary.

3.3 The Authority's Code of Ethics and Standards for members of staff sets down formal guidance, as part of the terms and conditions of employment, for officers in relation to the expected standards of conduct in the performance of their duties, including in relation to the following areas:

- [Standards and responsibilities](#)
- [Proper advice and support](#)
- [Confidence and trust](#)
- [Declaration of interests](#)
- [Activities in professional or other organisations](#)
- [Standards in the workplace](#)
- [Working relationships between managers and employees](#)
- [Working relationships with the Mayor and Assembly Members](#)
- [Attendance](#)
- [Alcohol, drugs and smoking](#)
- [Behaviour outside the workplace](#)
- [Gifts and hospitality](#)
- [Contact with press and media](#)
- [Use of the Authority's internet and email](#)
- [Whistleblowing - standards](#)

3.4 The Code of Ethics also sets down the disciplinary procedures for GLA staff.

4. Role of Head of Office and Head of Unit

4.1 The Head of Office will be the overall line manager for all staff working within each team supporting the relevant party Group on the Assembly. They are responsible for leading and managing the staff and resources allocated to the relevant party Group on the London Assembly, providing those Assembly Members with key policy, research, communications advice and administrative support and representing their GLA positions/interests within the organisation and beyond.

4.2 The Heads of Office discharge this responsibility by:

- managing staff and resources in accordance with the Authority's policies and Code of Ethics and Standards;
- developing and ensuring delivery of plans and tasks;
- managing the budget allocated to the Group;
- ensuring the provision of the research, communications and administrative support required by Assembly Members;
- acting as a key source of high quality advice and support for the Assembly Members in the Group on all matters relating to their GLA roles and functions and to represent their GLA positions/interests within the organisation and beyond as required

4.3 The Heads of Office will:

- allocate the work for all members of staff within their team
- undertake the probationary and performance review procedures for staff within their team
- agree the implementation of terms and conditions of service for all members of staff (determining requests for annual or special leave, flexible or remote working etc)
- take action to address matters of misconduct or capability as necessary, in accordance with the Authority's Disciplinary and Capability Procedures
- provide guidance, support, training and information to staff

4.4 Some of the above functions may be delegated to another officer (either permanently or for other, defined periods of time) – in which case all relevant members of staff will be made aware of the revised formal arrangements.

4.5 In the course of performing their duties, the Heads of Office are expected to liaise closely with the Group Leader, all other Members of the relevant party Group and their Head of Unit (the Head of Committee and Member Services).

4.6 The Head of Unit has overall responsibility for: the management of the Heads of Office and other staff working to Assembly Members as required; the overall provision of staffing support for Assembly Members; the overall provision of budgets and resources for Members; for ensuring overall provision of all other support services for Members (IT equipment, offices etc); the provision of advice and guidance in relation to the Authority's governance rules (with particular reference to the rules governing the use of the Authority's resources by Members); for providing guidance, support, training and information to the Heads of Office; for acting as Head of Office for a particular team as and when necessary; for conducting disciplinary matters for staff working in the party Groups as necessary; for the overall provision of information and induction processes for all new Assembly Members; for all procedures and processes in relation to the meetings of the London Assembly and its committees (including the committee structure of the London Assembly); for the provision of procedural advice and guidance to the Chair of the London Assembly and Members both within and without formal meetings; for the provision of legal services to the London Assembly; for the management of the Committee Services Manager. The Head of Unit reports to the Executive Director of Secretariat.

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Document author	Viv Kemsley
Issue no.	2
Date of release	January 2011
Approved by	Head of Paid Service for all s.67(2) appointments. The Mayor for all s. 67(1) appointments. The Mayor and Assembly for the Statutory Officers.
Next review date	November 2016
Status	Live

Issue no.	Description of change	Release Date
1	Original version.	June 2003
2	Updated version	January 2011
3	Minor amendment to 2.13	August 2011
4	Reviewed version	September 2013
5	Minor changes to language to remove gendered terms e.g. he/she, and inclusion of gender identity and gender expression.	August 2018