

# Delta Capita



## Sustainability Report 2022

Delta Capita

December 2022



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# 1. Sustainability at Delta Capita

## 1.1 Introduction

At Delta Capita (DC), we are committed to responsible business practices that benefit our people, clients, communities and planet. This commitment sits at the core of our DC Values and informs our approach when working with people across our ecosystem.

We partner with EcoVadis — one of the world’s most trusted sustainability ratings providers — and with our clients, to continually assess and improve our position in all aspects of ethics and sustainability. These aspects include the environment, human rights and procurement. We maintain this focus through strong executive sponsorship and active global colleague networks, who create and embed actions that drive our sustainability agenda.

At DC, we strongly advocate human rights. We have zero tolerance of any rights abuses — from discrimination, to slavery and unsafe working practices — in any part of our business or supply chains. We believe strongly that the success and long-term sustainability of our business depends on our people. We invest heavily in recruiting, developing and retaining the best talent in the industry. We actively seek to create diversity of gender, ethnicity, age, skills and experience across our global workforce. This will enable us to serve a greater purpose in our local communities and take responsibility for the people who work for and with us.

## 1.2 Sustainability Recognition

From the start, DC has been focused on being a socially-responsible organisation. In recent years, it has become more important than ever to demonstrate our Sustainability credentials – to clients, to our employees and ultimately to the outside community.

In **January 2023**, Delta Capita achieved a **Silver Badge** from EcoVadis in recognition of our commitment to sustainability in 2022. EcoVadis is arguably the most respected organisation globally to evaluate ESG credentials, rating and benchmarking more than 75,000 companies.

DC was evaluated in the highest standard category, against a peer group that includes all companies with over 1,000 employees, where our score placed us in the 79th percentile of these companies.



## 1.3 Our Delta Capita Values

Since the positive integration of the JDX Consulting business into Delta Capita earlier this year, we reviewed colleague feedback using our employee engagement tool, 'Peakon', to support us in the creation of our ten Delta Capita values.

Our values represent who we are, our fundamental and strategically sound beliefs that permeate everything we do: from strategy, to how we run the business day to day. Our approach throughout the integration has always been to bring the best of both firms into one combined organisation so that we can be stronger together and this is demonstrated in our core values. Our values determine our culture, and it is the culture that gives us energy and helps us drive innovation and achievement.

At Delta Capita, we are committed to ensuring we operate as sustainably as possible. This commitment sits at the core of our DC Values, which inform how we work together to achieve our goals. The work to launch our integrated values has fed the way that we, as a company, approach sustainability.



## 1.4 Purpose of this Document

Delta Capita has made a commitment to implement sustainable business practices that align with our Environment, Social, Governance (ESG) goals. This document details this commitment by describing our approach to sustainability, our accomplishments / progress that we have made throughout 2022, and additionally notes our ambitious goals for 2023.

## 1.5 Our Approach to Sustainability

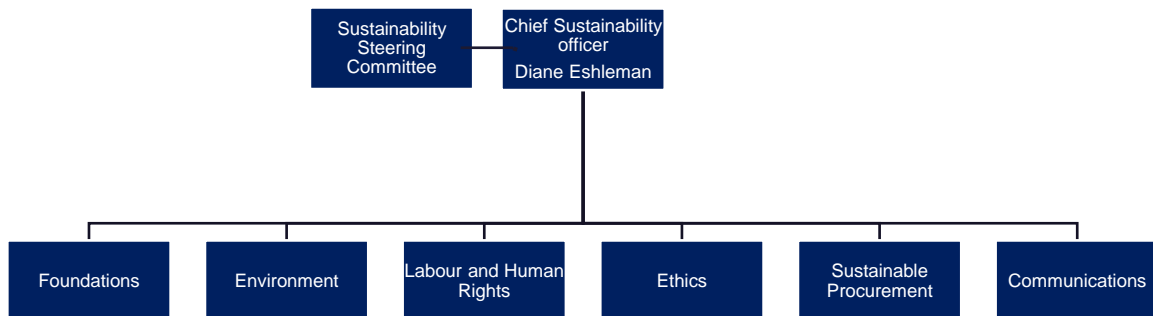
### 1.5.1 Our six streams

Ensuring end-to-end (E2E) coverage of sustainability and aligning the industry breakdown of **Environmental, Social and Governance (ESG)** frameworks, Delta Capita operates across six core streams:

- [Foundations](#)
- [Environment](#)
- [Labour and Human Rights](#)
- [Ethics](#)
- [Sustainable Procurement](#)
- [Communications](#)

### 1.5.2 Management

Diane Eshleman is Delta Capita's Global **Chief Sustainability Officer**. We additionally have a **Sustainability Steering Committee** of dedicated executive-level representatives:



### 1.5.3 Sustainability Steering Committee – Terms of Reference:

Purpose	Participants	Frequency of Meetings	Standard Agenda
To provide guidance and support on the global sustainability agenda for Delta Capita	<ul style="list-style-type: none"> <li>▪ Chief Administrative Officer</li> <li>▪ Chief Financial Officer</li> <li>▪ Chief Marketing Officer</li> <li>▪ Chief Operating Officer</li> <li>▪ Chief People Officer</li> <li>▪ Chief Sustainability Officer</li> <li>▪ Risk and Control Officer</li> <li>▪ ESG Executive Sponsor</li> </ul>	Quarterly - following the Risk and Compliance Committee Meeting  (and more frequently as required)	<ul style="list-style-type: none"> <li>Review of progress related to key Sustainability initiatives</li> <li>Status of KPIs and relevant targets</li> <li>Update on ESG regulatory and reporting requirements</li> <li>Tracking of deliverables related to the SDG's</li> </ul>

Each of the six streams as noted in 1.4.1 will additionally follow the management structure of:

- **Executive Sponsor:** A member from the executive committee that provides oversight on progress and remains informed of the stream progression
- **Stream Lead:** A Delta Capita employee that takes ownership of the stream responsibilities, actions and management. The stream lead is responsible for establishing and ensuring momentum towards goals

- **Global Participation:** Volunteers and representatives across all global locations that are involved in the day-to-day activities within the stream that contribute towards individual stream goals

Each stream meets weekly and stream-leads attend a fortnightly meeting with our Chief Sustainability Officer to report on progress.

**Additionally**, we have identified 'Regional Sustainability Champions' for each Delta Capita Locations. Beginning in 2023 The Regional Sustainability Champions will play a critical role in helping us to monitor our progress and build impact and engagement across our global DC team with our sustainability practices and initiatives.

Roles and responsibilities will include:

- Represent DC's drive for sustainability within their region
- Manage the regional sustainability activities to both educate and engage our local staff
- Help coordinate Environmental, Social and Governance (ESG) events, including volunteer activities with our charity partners
- Act as liaison with the global sustainability team, keeping their region involved and up-to-date with DC's sustainability initiatives

## 2. Foundations

The foundations stream focuses on the governance of the sustainability initiative at Delta Capita. Goals and targets focus on management, representation, stream organisation and Delta Capita's alignment to wider goals, commitments and reporting standards.

### 2.1 Key Achievements – 2022



- **Appointed a Chief Sustainability Officer:** In January 2022, we invested in Diane Eshleman to be our Chief Sustainability Officer in efforts to implement sustainable business practices globally
- **Regional Sustainability Champions:** Across each Delta Capita location we have built a network of 'Sustainability Champions.' Each regional representative will take ownership of monitoring our progress and building impact and engagement across our global DC team with our sustainability practices and initiatives
- **Launch of our e-Learning platform 'Kallidus'** - 100% of our Delta Capita Employees now have access to compliance and ESG modules, and access to other non-mandatory e-learning modules
- **Commitment to the Sustainable Development Goals (SDGs):** Delta Capita, with ExCo approval, have committed to SDG 4 'Quality Education', SDG 5 'Gender Equality' and SDG 9 'Industry Innovation and Infrastructure'. See **Section 8** for more detail.
- **Achievement of Silver Badge EcoVadis Rating:** Placing Delta Capita amongst the 79<sup>th</sup> percentile of companies ranked by EcoVadis, we are proud to achieve a Silver Badge rating in recognition of our commitment to sustainability

### 2.2 Policies

- **Terms of reference for the Sustainability committee**
  - We have established the Sustainability Steering Committee with participation from senior leadership
  - The risk and compliance committee at Delta Capita signed off on the terms of reference, delegating ownership to the Sustainability Steering Committee (SSC)
  -

### 2.3 Key focus areas and 2023 Goals

Topic	Progress to date	2023 Goal	Agreed Approach
Metrics / KPI	Produced a Delta Capita 'ESG Scorecard' establishing baseline statistics for our 2022 KPIs  Identified owners for KPI's and had approval from SCC for our scorecard approach launching Q1 2023	Ensure that 100% of the established KPIs are updated quarterly and reviewed at Sustainability Steering Committee	Establish a 'Global ESG Scorecard' and identify owners to global metrics / KPI's  Regional leads to be responsible for a quarterly refresh of the 'Regional ESG Scorecard'
Aligning to reporting standards	SFDR-compliant reporting on our Carbon Emissions using Planety (Onetrust) Technologies  Aligning to the GRI standards for our ESG scorecard  Submitted disclosure to the Carbon Disclosure Project	Continue to monitor the evolving standards (GRI, ISO standards) to ensure we remain compliant with reporting recommendations	Persistent review of industry standards and internal audit of our 'ESG Scorecard' to conform with new / updated standards  Regional Leads to be responsible for quarterly reporting of metrics and next quarter goals

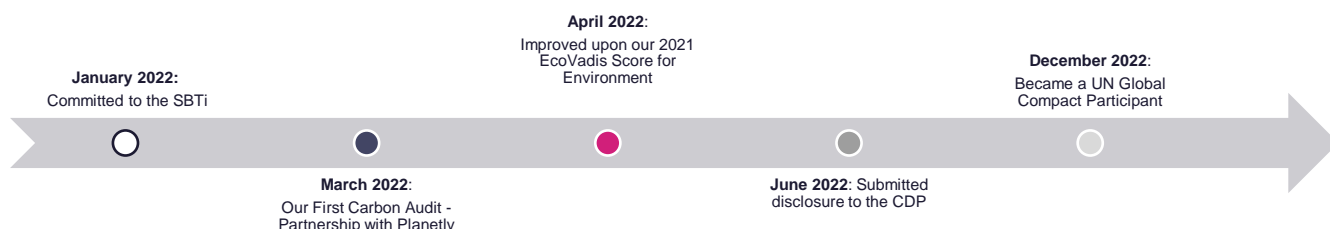
<p><b>Training</b></p>	<p>100% of our employees now have access to ESG and Compliance modules on Kallidus (our e-learning platform)</p> <p>Tracking of completion metrics for in-scope employees</p> <p>Completion of mandatory trainings are factored into promotion and performance review</p>	<p>Develop and launch a DC-specific sustainability <b>mandatory</b> module</p> <p>Track completion of mandatory modules and report on a quarterly basis</p>	<p>Work with Learning and Development to build out the content for enhanced ESG modules</p> <p>Quarterly reporting on the completion of mandatory modules</p> <p>Improve discipline on making mandatory modules a pre-requisite for promotion</p>
<p><b>Management</b></p>	<p>Appointed a 'Chief Sustainability Officer' – Diane Eshleman</p> <p>Launch of our Sustainability Steering Committee</p> <p>Developed an organisational structure for each stream within the (see section 1.4.2)</p> <p>Identification of a 'Sustainability Champion' for each Delta Capita Location</p>	<p>Expand the DC Sustainability team with dedicated engagement across all of our geographical locations</p>	<p>Expanding the Delta Capita resourcing to help drive internal initiatives</p> <p>Extend the discipline around the sustainability steering committee to engage staff more frequently on ESG matters</p> <p>Sustainability Champion to have greater ownership and responsibilities and oversight of ESG initiatives in their location</p>
<p><b>Budget</b></p>	<p>Agreement across our ExCo to dedicate a percentage of our 2023 budget to ESG related initiatives</p> <ul style="list-style-type: none"> <li>- Tools and certifications</li> <li>- Resourcing</li> <li>- Events</li> <li>- Professional Development</li> </ul>	<p><del>Tracking engagement for each of the 4 categories to enhance the target our 2024 budget</del></p> <p>Tracking engagement for each of the 4 categories to monitor 2023 investment and inform the target for our 2024 budget</p>	<p>Work closely with each region to ensure there is active engagement across all of our Delta Capita geographies.</p>



## 3. Environment

Delta Capita has made a commitment to consciously limit its impact on the environment and, as such, aspires to operate in a manner that minimises its carbon footprint. Delta Capita Group aims and has publicly committed to become carbon neutral by 2030 in partnership between 'Pledge to Net Zero' and the UNFCCC's 'Race To Zero' campaign, Delta Capita will operate in compliance with all relevant environmental legislation in each jurisdiction we operate within.

### 3.1 Key Achievements – 2022



- **Science Based Target Initiatives (SBTi):** At the beginning of this year Delta Capita committed to the SBTi, making a commitment to follow the SBTi criteria and recommendations in goals of progressing our pledge to net zero
- **Carbon Disclosure Project (CDP):** Delta Capita disclosed key climate risks, KPIs / Metrics and qualitative governance factors to the CDP to help guide goals for 2023
- **SFDR Compliant emissions reporting - Partnership with Planety:** In March 2022, Delta Capita partnered with Planety, to conduct our first carbon audit. Collating 2021 data across each office location for commutation, electricity, waste, procurement, business travel and employee headcounts, we were able to successfully calculate our baseline greenhouse gas emissions (tCO2e) and evaluate our goals for 2023
- **United Nations Global Compact (UNGC):** Our CEO, Joe Channer, signed confirmation of Delta Capita's support and integration of the United Nation's Ten Principles into Delta Capita's strategy. Delta Capita has also committed to disclosing annual progress against these principles. As of 8<sup>th</sup> of December 2022, Delta Capita Group Ltd has been accepted as a participant of the United Nations Global Compact.

### 3.2 Policies

- **Sustainability, Environmental Impact and Waste Management Policy**
  - Harmonised the sustainability and waste management policies post-merger
  - Defined our environmental target: pledging our commitment to net zero by 2030

### 3.3 Focus Areas and 2023 Goals

Topic	Progress to date	2023 Goal	Agreed Approach
<b>Biodiversity</b>	Employee Engagement Survey sent out with questions focusing on biodiversity opinions of DC Staff  Plants in all offices	Enhanced plant maintenance in new flagship office – London Canary Wharf	Purchase plants with maintenance contracts from suppliers for our new office  Work with suppliers to choose most efficient plants for our office
<b>Carbon Emissions</b>	Pledged to Net Zero within our Environmental Policies  SFDR-compliant Carbon Audit performed to identify our Scope 3 GHG emissions  Commitment to report our scope 3 GHG emissions annually  Committed to the SBTi  Announced our 'Cycle To Work' (CTW) Scheme and tracked employee engagement	Select a new tool to replace Planety Work with new tool to agree an ambitious reduction target for our Scope 3 GHG Emissions for 2023  Improve communication on energy-saving 'tips' both internally and externally  Increase employee engagement of CTW scheme by 50%	Work with our employees to ensure they are using the most carbon efficient methods of commuting and travelling  Communicate materials internally (circulating energy saving guidance across all offices) + externally to clients and suppliers  Implement new eco-friendly practices into our new HQ office design (see below for specific goals)

	Submitted disclosure to the Carbon Disclosure Project (CDP)		Work with internal communication on approaches to better promote CTW scheme
<b>Employees Per Desk</b>	<p>Bi-annual review of number of employees per desk in every region</p> <p>Display Screen Equipment (DSE) assessment provided to all employees</p>	Continue to monitor employees per desk figures to optimise space utilisation	Assign ownership to regional leads to report on employees per desk figures
<b>Energy</b>	Our London flagship and Wrexham Offices use 100% renewable energy for electricity	<p>Gain better visibility into the breakdown of our global energy footprint</p> <p>100 coverage of our energy consumption in permanent office locations</p>	<p>Regional heads to record energy usage in collaboration with landlords</p> <p>Work with third party tool to better manage collection and reporting of our energy data</p>
<b>Lighting &amp; electricity</b>	<p>Motion sensor lighting in all locations</p> <p>Low-power electrical equipment employed in flagship office</p> <p>Clean desk policy – employing a practice of switching off all electrical equipment once individuals have left the office</p>	Continue to implement energy saving practices in new office expansion	Communicate materials internally (circulating energy saving guidance across all offices)
<b>Stationary / Printing</b>	<p>Eco-friendly printing paper</p> <p>Toner and ink cartridges are recycled</p> <p>Emphasis on running as a 'paper-free' office to the maximum extent; Ensuring that printing occurs on only a need to print basis</p> <p>Emphasis on minimised plastic consumption across office locations</p> <p>Digital noticeboards to avoid printing office communication materials</p>	Implement and publish our new sustainable practices with the launch of our new flagship premises	<p>Eco-friendly printer default settings in all offices</p> <p>Purchase eco-friendly stationary (e.g. notebooks that use recycled materials)</p> <p>Launch FAQs that cover guidance on sustainable printing</p> <p>Repurpose old furniture from our legacy offices into the new flagship office</p>
<b>Waste Management</b>	<p>Waste Management Policy updated</p> <p>Implemented waste separation bins across 100% of our Delta Capita sites – Paper/ cardboard/ glass</p> <p>We will be re-purposing all the furniture from the legacy city office in our newly expanded flagship Canary Wharf site</p>	Track and report on the total weight of waste (in kg)	Work with regional landlords to obtain agreement that they will report on associated volumes

## 4. Labour and Human Rights

Delta Capita are committed to tracking and integrating Labour and Human Rights considerations into our operations and strategic decisions. The Labour and Human Rights theme encompasses our Diversity, Equity and Inclusion workstreams as well as topics including health and safety and employee working conditions.

### 4.1 Key Achievements – 2022

**January 2022 (ongoing):** Refresh of all company policies to reflect our newly combined organisation

**September 2022:** Launch of DC's new set of Corporate Values

**May 2022:** Employer Defence Recognition Scheme (ERDS) Bronze Award

**September 2022:** Executive endorsement of the UN Sustainable Development Goals

- **Our acquisition of 'JDX Consulting':** following the announcement of the acquisition in January 2022, Delta Capita has worked hard to refresh all our company policies
- **Endorsement of our commitment to the Sustainable Development Goals:** Our executive committee endorsed our commitment to three Sustainable Development Goals (SDG's)
- **New Delta Capita Values:** The Launch of our new ten global values and supporting campaigns to realise them across the global organisation
- **International Women's Day Panel / International Men's Day Panel** – panel sessions discussing mental wellbeing (for both women and men) made accessible to 100% of our global staff
- **Employer Defence Recognition Scheme (ERDS) Bronze Award** - Delta Capita has been awarded the Employer Defence Recognition Scheme (ERDS) Bronze Award in acknowledgement of our achievements related to employing and supporting veterans

### 4.2 Policies

- **Employee Handbook**
  - Internal audit and gap analysis of our employee handbook to ensure alignment with industry standards
  - Mid-year update of the handbook to remedy gaps identified in audit
- **Policy Refresh**
  - Following the acquisition, Delta Capita has worked to merge and refine all internal company policies in order to reflect the new structure and size of our organisation

### 4.3 Focus Areas and 2023 Goals

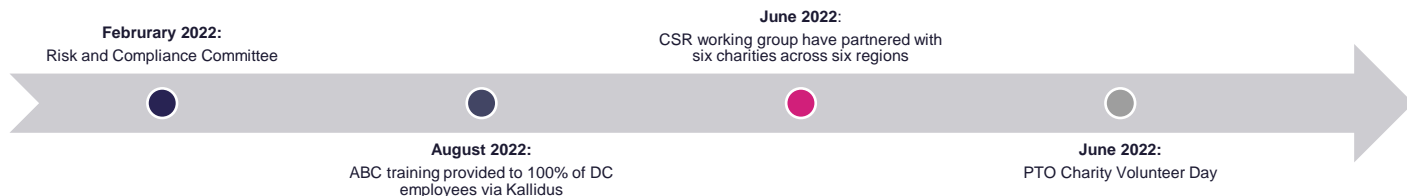
Topic	Progress to date	2023 Goal	Agreed Approach
Anti-Discrimination	<p>In-person 'Unconscious Bias' training made mandatory for all managers involved in promotion processes and recruitment activities</p> <p>Policy and Employee handbook refresh to reflect Delta Capita's approach to handling discrimination in the workplace</p> <p>'Breaking Barriers' interview with 3 members of our senior management team, discussing race, gender, background and disability in the workplace</p>	Continue to roll out 'Unconscious Bias' training to 100% of staff at management level and/or involved in recruitment at any level	<p>In scope employees to complete unconscious bias training on the same day to ensure consistency in training and completion standards</p> <p>Track attendance and factor attendance into performance reviews and promotion processes where applicable</p>

Delta Capita Values	<p>We launched ten new global DC Values internally and externally (See <a href="#">section 1.2</a>)</p> <p>Campaigned our values globally hosting a 'Living your DC Values' competition</p> <p>Assigned a global ambassador to each of the values</p>	<p>Extend the reach of and employee participation in the DC values globally</p>	<p>Each DC Value to be represented by an internal initiative &amp; communicated to staff globally</p> <p>Each DC Value to be assigned to an ExCo sponsor</p> <p>Launch of DC Values video series</p>
Disability	<p>Delta Capita officially committed to be 'Disability Confident'</p> <p>Commenced work on a new Disability Awareness in the Workplace e-learning module in collaboration with Learning &amp; Development.</p> <p>DSE assessments accommodating individual working from home requirements</p> <p>Conducted sign language and disability workshops</p> <p>Noticeboard page containing insightful disability focused podcasts, articles and national days</p>	<p>Continue to raise disability awareness via internal communications and campaigns</p>	<p>Sensitive data collection on disabilities on a voluntary basis – allowing DC to better cater to its employees</p> <p>Engage with employees to ensure training contains relevant information that will support them in understanding how disability can impact colleagues and customers in the workplace</p>
Employee Engagement	<p>An anonymous pulse employee engagement survey (Peakon) sent out every two weeks with six questions rotating around 9 key engagement areas</p> <p>Two-way engagement survey allows managers to be anonymously presented feedback</p> <p>Track and manage employee participation, generating monthly reports</p> <p>Our Benelux region is covered by a Works Council with representation of 6 formally elected DC employees from the Amsterdam Office</p>	<p>Improve our employee benchmark score to achieve the Peakon industry benchmark of 8.0</p>	<p>Continue to monitor and report on Peakon engagement scores</p>
Ethnicity	<p>Hosted internal events including; Nigerian Cultural Evening to celebrate the 62<sup>nd</sup> anniversary of Nigerian independence</p> <p>South Asian Cultural Evening in celebration of South Asian Heritage Month</p> <p>Black History Month live panel discussion with guest speakers</p>	<p>Continue to promote a work environment that encourages inclusivity and learning</p> <p>Increased number of ethnic and religious events</p> <p>Report on ethnic diversity where regional restrictions allow</p> <p>Continue to attract, interview, and hire a diverse pool of talent</p>	<p>Highlight the key ethnic and religious events via internal communications and through hosting cultural events</p> <p>Delta Capita to internally capture data on ethnic diversity on a voluntary basis and report annually moving forward</p> <p>Engage all DC employees on the importance of diversity in the workforce, in order to increase survey engagement</p>
Gender	<p>Monthly MI reporting on gender split globally and by region</p> <p>We have committed to and implemented a 50:50 gender split in each of our 2022 graduate intakes</p> <p>Launch of our Women's Interactive Network in November 2022</p> <p>Hosted International Women's Day &amp; International Men's Day panels accessible to all DC employees</p>	<p>Begin annual reporting on pay gap as a newly combined organisation</p> <p>UK Gender Pay Gap Report due April 2023 – reporting on April 2021-22</p>	<p>Revisit gender goals following the internal restructuring of executive titles and grade structures</p> <p>Increase frequency of gender reporting at regional level (using 'Regional ESG Scorecard')</p>

<p>Grassroots</p>	<p>Established relationships with local secondary schools and sixth forms and delivered our first student engagement day in March 2022</p> <p>Built a partnership with London College of Creative Arts, with plans to organise a CV and interview workshop</p> <p>Built a relationship with Spark! Charity</p>	<p>Continue to partner with local schools and deliver engagement sessions and skills workshops</p> <p>Continue to communicate the grassroots workstream mission of breaking down preconceived myths of financial services and empowering students</p>	<p>Track the engagement and impact of the Spark! Mentoring programme to begin in January 2023</p> <p>Publish regular updates from the Grassroots workstream via the D&amp;I newsletter and continue to encourage employee</p>
<p>Health and Safety</p>	<p>External Health and Safety Risk Assessment Audit (Croner) at our HQ location and Wrexham Offices</p> <p>Updated DC BCP 2022</p> <p>Action Plan of Health and Safety</p> <p>Identified first aiders and fire marshals at each UK office location</p>	<p>Build an overarching facilities management handbook, outlining core H&amp;S requirements, first aiders and contacts for each office</p>	<p>Work with each office manager at each of our global locations to review health &amp; safety assessments</p>
<p>LGBTQIA+</p>	<p>Promoting the use of pronouns in email signature template</p> <p>Launched an LGBTQ+ Ally training</p>	<p>To roll out the Ally Training within the L&amp;D programme at Delta Capita</p> <p>Extend our reach to external organisations to help drive the inclusion of LGBTQ+ in the workplace</p>	<p>Work with third-party organisation Stonewall to help assess our progress on LGBTQ+ inclusion in the workplace</p>
<p>Veterans</p>	<p>Since May 22 we have grown the number of veterans working at Delta Capita Consulting from 2 to 7 and made a further 3 hires who will start work in Feb 2023</p> <p>We have run 2 insight events for veterans to obtain a view into working in management consulting and financial services</p> <p>Delta Capita has been awarded the Employer Defence Recognition Scheme (ERDS) Bronze Award in acknowledgement of our achievements related to employing and supporting veterans</p>	<p>Expand our military recruitment scheme from Consulting to Delta Capita as a whole</p> <p>Obtain the ERDS Silver Award.</p> <p>Continue to grow the number of veterans employed by Delta Capita and support the wider veterans community through the provision of further insight events</p>	<p>Determine operating model for how our military recruitment scheme will be expanded across Delta Capita as a whole</p> <p>Conduct gap analysis to understand actions required to achieve ERDS Silver and then Gold Awards</p> <p>Hire veterans via existing networks and insight events</p>
<p>Wellbeing</p>	<p>Named and Identified Mental Health Champions</p> <p>'Improving Mental Health Awareness' - training module launched in Kallidus</p> <p>Mental Health First Aiders Programme</p> <p>Established a DC Wellness Committee</p> <p>Hosted a Wellness Week in September 2022, including a variety of sessions and activities to support employees health and wellbeing</p>	<p>Continue to provide a support network and raise awareness of wellness related topics by organising inclusive events and awareness campaigns</p> <p>'Blue Monday' internal event in January 2023 to raise mental health awareness</p>	<p>Promote relevant events / campaigns via company-wide internal communications and the internal events calendar</p>

# 5. Ethics

## 5.1 Key Achievements – 2022



- **Constitution of the Risk and Compliance Committee at Delta Capita** – The body that manages and governs risk and compliance through monitoring and reviewing risk registers, reviewing compliance registers (see below), and updating policies
- **Charity Partnerships** – Established a charity partner in six of our geographical office locations; London, Amsterdam, New York, Birmingham, Wrexham and Dublin.
- **PTO Charity Volunteer Day** – All Delta Capita employees are entitled to one day paid time off (PTO) following launch of programme designed to promote engagement with our charity partners
- **Charity Partnership with Spark! Charity** – all DC employees are offered the opportunity to mentor a year 10 student over an eight week period and offering 1-2-1 mentoring sessions
- **Compliance Logs, Monitors and Testing** - Gifts and entertainment, Conflict of Interest and Incidents/ client complaints logs – established to monitor, measure compliance and address deficiencies
- **Moved our mandatory compliance training into our e-learning platform ‘Kallidus’** – Attendance is trackable and measurable to ensure completion

## 5.2 Policies

- **Ethical code of conduct re-launched**  
– Setting in stone our commitment and standards expected of all Delta Capita Employees
- **Updating ABC and Conflict of Interest policies** – To align ourselves with industry best practice

## 5.3 Focus Areas and 2023 Goals

Topic	Progress to date	2023 Goal	Agreed Approach
CSR	<p>Charity Partners identified in six geographical locations:</p> <p>Employee Engagement with the following charities:                      New York – Urban Synergy                      Birmingham – Sport for Life                      Wrexham – We mind the Gap                      Singapore – Children’s Wishing Well</p> <p>One day PTO granted to all Delta Capita Employees</p>	<p>Establish charity partners across all nine of our major geographical locations</p> <p>Follow the guidance provided by the ISO26000 standard to create and implement formal processes around the acquisition of charity partners.</p> <p>Enhance the discipline on tracking and monitoring Charity partnership engagement across workforce, in order to be able to identify impact</p>	<p>Review and refresh list of regional charity partners</p> <p>Maintain focus on identifying quality organisations whose mission is to minimise the unemployment of youth within minority groups.</p> <p>Track the attendance, employee engagement in one day PTO and engage more closely with charity partners to identify and monitor impact.</p>

IT Security

Implementing 'Cyrebro' as an automated IT service platform to capture all potential security incidents

Progress towards and assume successful ISO27001 and SOC2 accreditation

Target completing the assessment for ISO27001 by the end of Q2 2023

Ensure policies and procedures are compliant with SOC2 as well as ISO27001

Training & Compliance

Launch of monthly meeting of the Risk and Compliance Committee

Launched our first ABC testing in Q4

Annual attestation / compliance training

Carry out the ABC testing quarterly, and for all global locations

Improve completion statistics of ABC training

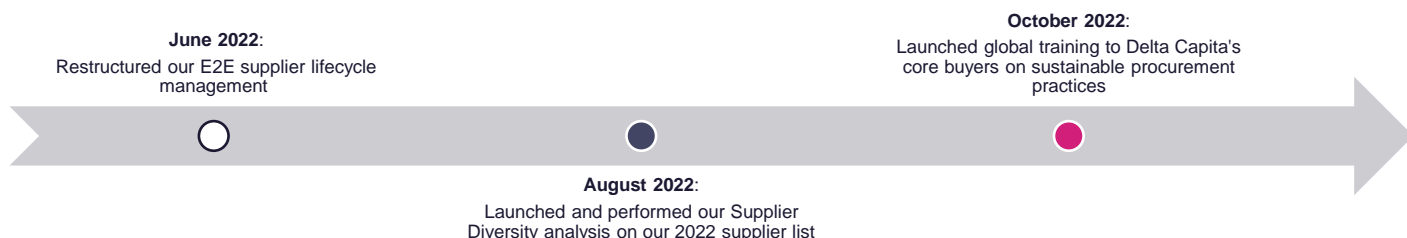
Collect reports from Kallidus to monitor and track employee completion of compliance training

Factor in training completion into mid and end-of-year performance reviews

## 6. Sustainable Procurement

Delta Capita operates in many markets and countries throughout the world. In all instances, we require our suppliers to respect and abide by national and relevant international laws and standards of sustainability. We are committed to acting ethically in all aspects of our business and to maintaining the highest standards of honesty and integrity. This includes not only our employees, but also all of our suppliers (including subcontractors). As a result, DC expects **all suppliers** to abide by the same principles as in its 'Code of Business Conduct'

### 6.1 Key Achievements – 2022



- **Restructured our E2E supplier lifecycle management:** We implemented a pre-screening risk analysis prior to supplier onboarding factoring in ESG related risk factors (environment, social, governance, operational, cyber security and reputational risk). If a supplier is deemed a 'priority supplier' due to spend and/or materiality to DC, annual performance reviews become mandatory. The annual performance review is an opportunity to ensure acknowledgement of supplier code of conduct and gain visibility into supplier performance
- **Supplier Diversity:** Launched and performed a supplier diversity analysis on all of our global suppliers (£5k spend and over), identifying the % breakdown of our suppliers that are diverse or minority owned
- **Global Training:** Our Chief Financial Officer hosted a training session to all of our core global buyers to train them on sustainable procurement practices and new system of procedure for supplier onboarding (Attendance to training was additionally reported on)

### 6.2 Policies

- **Sustainable Procurement Policy**
  - Included clause to seek the integration of CSR in supplier contracts
  - Refreshed labour and human rights section to reflect
- **Supplier Code of Conduct**
  - Factored acknowledgement of supplier code of conduct into the performance review of priority suppliers
  - Circulated supplier code of conduct to all priority suppliers

### 6.3 Focus Areas and 2023 Goals

Topic	Progress to date	2023 Goal	Agreed Approach
Policies / Processes	Refreshed our supplier code of conduct to reflect the same values as in our ethical code of conduct		
	Restructured our end-to-end supplier onboarding journey, factoring a pre-onboarding risk assessment, an onboarding decision tree and performance management procedures	Ensure policies and processes are compliant with ISO20400	Continually refresh and monitor policies and processes to reflect Factor completion of sustainable procurement training into buyer performance reviews
	Built out training materials to train future procurement team members on risk analysis and supplier diversity		



Priority Supplier Performance Management

Circulated refreshed supplier code of conduct to all priority suppliers and factored supplier acknowledgement into supplier performance reviews

Restructured our supplier performance management review to get clearer visibility into the compliance of our priority suppliers to our supplier code of conduct

Aim to complete 25% of priority supplier performance reviews per quarter – to obtain 100% annually

Obtain acknowledgement on supplier code of conduct back from at least 75% of our priority suppliers

Accountable executives to confirm ownership of priority suppliers for 2023

Accountable Executives to complete as much of supplier performance review internally, ahead of scheduled meeting

Procurement team to schedule in priority supplier performance reviews in the calendar for accountable executives

Supplier Diversity

Launched and completed our own supplier diversity analysis on all suppliers – 25.34% of suppliers considered diverse

Obtained the breakdown of our suppliers that are

- a) Women owned
- b) Small businesses
- c) Veteran owned
- d) LGBTQIA Owned
- e) Disability Owned
- f) Social Enterprise
- g) Supported Business

Record and perform supplier diversity analysis in Q1 2023

Monitor any changes with our refreshed 2023 priority supplier list (as a newly combined organisation) and create action plan accordingly

75% of core buyers trained on sustainable procurement practices via Kallidus

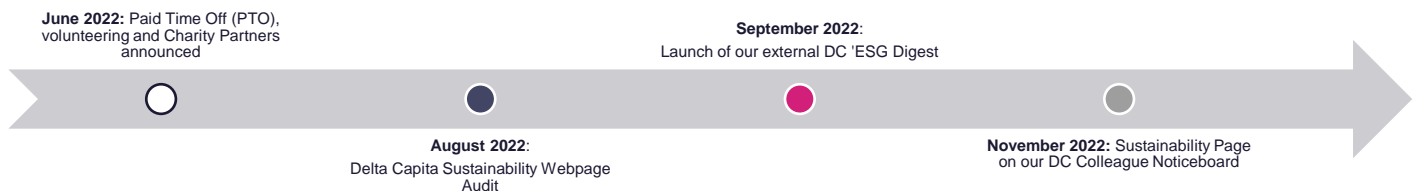
Work with third party assurance agency to validate the results of our 2023 supplier diversity analysis on our new consolidated supplier list

Ensuring discipline within the supplier selection process to incorporate supplier diversity goals

# 7. Communications

The communications workstream is for the purpose of promoting company-wide engagement with sustainability events, initiatives and schemes and updating the DC community on sustainability-related developments. Our Delta Capita value 'Collaborate for Better Outcomes' lies at the heart of this stream, where it drives reach and contributes to incorporating sustainability into our Delta Capita DNA.

## 7.1 Key Achievements – 2022



- **Charity Partnership announcement / PTO scheme communication to all Delta Capita employees** – Giving all DC staff exposure to the relevant charity partners for each region, information on how to sign up and on the kind of volunteering they could take part in. This was communicated internally as well as externally via our website.
- **External ESG Digest** – In September 2022, we released our external 'ESG Digest.' The digest covers key market activities, informing our clients and stakeholders of the ever-growing impact of ESG demands. Sponsored by our Chief Sustainability Officer, each digest is released alongside a corresponding ESG Blog, which can be viewed on our website.
- **Full DC Sustainability Website Audit and Refresh** – In August 2022, the Delta Capita Sustainability page has had a complete refresh, updated with current accreditations, a list of DC policies, our current charity partners and visibility of their locations.
- **Colleague Noticeboard** - the internal sustainability noticeboard is now available for all staff to access. This holds key information for DC employees and can be used as a "hub" for all sustainability related content.

## 7.2 Policies

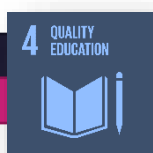
- **Internal Communications Policy**

## 7.3 2023 Goals

Topic	Progress to date	2023 Goal	Agreed Approach
Internal Communications	Monthly ESG Digest sent out to all global staff		
	Quarterly D&I Newsletter sent to all global staff		
	'Good Fri-brations' – Weekly newsletter detailing achievements/ events and sustainability-focused initiatives	Increase the number of sustainability lead events	Work with internal communications to integrate calendars and plan ahead for 2023
	Sustainability Noticeboard site	Track engagement and attendance to ESG events	Host a sustainability stand at the Delta Capita event's fair
	Green Employee Benefits / PTO for volunteering / Cycle to Work Scheme	Increase awareness of internal policies and initiatives in the ESG space	Create a sustainability virtual noticeboard in new HQ office premises
	Dedicated CSO presentation in our Global Monthly Update to all staff		
External Communications	2022 D&I Achievements Video		
	Launch of the monthly 'external' ESG Digest and supporting sustainability blog	Increase employee contribution / engagement	Launch of Delta Capita Sustainability Video
	Collaboration with Charity Partners via Social Media platforms Sustainability Webpage refresh	Establish increased awareness for our ESG focused offering	Host an external facing ESG Event

# 8. Our Commitment to the Sustainable Development Goals

In September 2022, we obtained agreement across our Executive Committee to align to the UN Sustainable Development Goals. Relevant to our size as a company and the industry we operate within, we agreed to report our progress to the UNGC annually on three of the seventeen SDGs – SDG 4, 5 and 9.



Please see below the internal **commitments** that we have made in order to align with each of the SDGs, supported by the progress we have made as an organisation in 2022:

## 8.1 SDG 4 – Quality Education

*'There is a lot of talent out there and we need to let them know that this is a safe and supportive place to be. DC are striving to make the pathway into financial services seem more accessible. We will continue to innovate and make efforts towards these goals.'*

- **Joe Channer (CEO)**

### Premise:

Clearly it is a DC priority to provide ongoing learning and development, both for our own staff and as part of our efforts to support charitable enterprises that provide educational and mentoring opportunities for disadvantaged populations.

### Delta Capita's related actions:

#### Extend Kallidus (our e-learning platform) access to the 100% of our DC Employees

- June 2022 – ESG and Compliance modules made available to all DC staff
- 1372 e-learning modules available on Kallidus
- January 2023 – all modules to be made available to 100% of DC staff

#### Graduate Learning & Development (L&D) introduction sessions during 3 week graduate training:

- In-person learning sessions led by SMEs on industry-relevant topics (e.g. financial market infrastructure, business process transformation, change management)
- Overview of Kallidus, including mandatory and non-mandatory courses and explanation of pre-requisite trainings for promotion and performance review procedure
- Skills-based training, including Excel workshops
- Dedicated learning time to complete online modules

#### Continue to deliver the comprehensive Academy curriculum to junior-level recruits

- Continual refinement of the Academy curriculum following its adaptation from DCO

#### Extend the company-wide L&D offer so it encompasses all parts of the business and add new accreditations and learning modules

- Plans to develop a tailored ESG module in 2023, educating employees on how DC is driving for sustainability and responding to ESG challenges
- Continual refinement of modules available on Kallidus

#### Further publicise the course catalogue for the ongoing training and education of existing staff

- Relevant updates to internal training courses to be announced via company-wide communications

#### Launch of Delta Capita's proprietary 'London Banking Academy' in November 2022

- Our aim is to increase and diversify the talent pipeline into banking by creating opportunities for individuals with no prior experience or knowledge of Capital Markets, helping them to secure a successful career in banking

- Any Delta Capita employee who has passed probation can access the LBA Foundation Course for free, which includes an ESG investing Module

**Support charitable enterprises that provide educational opportunities for disadvantaged youth, military veterans and other disadvantaged populations.**

- All 2023 charity partners to align with mission of helping disadvantaged people into employment – review and refresh of charity partners in Q1 2023.

**Launch a new apprenticeship program in three of our UK locations**

- Providing young individuals (age 18+) who have not attended university with an opportunity to gain an external qualification whilst they work and find a route into financial services that may otherwise have been out of reach
- Extending our existing Academy offer to apprentices

**UK School Leavers Support Programme planned to launch in 2023**

- Through this programme, DC aim to give young people from disadvantaged backgrounds the support and training needed to help ease them into professional work
- The programme will seek to deliver core employability skills that young people may not have had the opportunity to previously develop
- The programme aims improve diversity into professional and financial services:

**Plans to launch a School Leaver Programme in Ireland offering the APA qualification and on-the-job/academy learning to young individuals who have not studied at university**

- The Ireland programme is currently in the discovery stages and is proposed for further development in 2023

## 8.2 SDG 5 – Gender Equality

*'DC will do more to continue the progress made on gender diversity through continuous training and support to allow real roles of influence to be made available to women in our business.'*

- **Joe Channer (CEO)**

**Premise:**

DC is committed to gender equity in all aspects of our employee lifecycle from recruitment through to career development, compensation and advancement.

**Delta Capita's related actions:**

**Maintain the momentum of our existing DEIA committee, encouraging full global participation across all regions in which we operate**

- Meet every two weeks: discussing and organizing events / communications
- Monthly gender report produced and reviewed by HR monthly
- Striving for global representation in the general D&I group – with oversight from our Chief People Officer, Lindsay Jones

**Strive for a 50/50 gender balance in our Graduate Recruitment**

- Consulting Graduate program implements a 50:50 gender split where possible
- DC Operate Academy Recruitment are aiming to implement a 50:50 gender split moving forward

**Ensure diverse candidate slates for outside hires**

- All job descriptions to have 'anti-discrimination' statements in 2023
- We are currently are exploring best practices to encourage internal and external recruiters to promote diversity in the candidate slates

**Develop and launch a DC Leadership Academy for high-potential employees with a target of 50% female participants**

- In early discovery phases – looking to develop in the new year (March 2023)

**Participate in relevant external women's initiatives**

- Women in Banking and Finance Partnership confirmed
- Madhvi Tailor – a DC Principal Consultant – was shortlisted for 'WeAreTechWomen's' TechWomen100 award
- DC representation at WeAreTechWomen's' in-person award

**Gender focused events at Delta Capita**

- International Women's Day Panel – panel of 6 representatives from DC held at our one of our London offices and streamed online for global reach
- International Men's day Panel - panel of 6 representatives from DC streamed online for global reach

#### **Extend the reach of our internal Women's Networks**

- Extending the invite to the 'Women's Interactive Network' launch event to all DC UK employees, providing an opportunity for DC employees to contribute to the launch and vision of the network
- Quarterly newsletter sent to all global staff informing them of achievements, goals, events, initiatives and opportunities & inviting staff to participate in D&I / Gender Diversity Efforts
- Regular updates to the Gender page of our DC Noticeboard

## **8.3 SDG 9 – Industry Innovation and Infrastructure**

*'Delta Capita is establishing a business model that creates mutualised services for financial institutions. If firms have highly extensive and complex infrastructures that they run themselves, energy consumption for these firms will soar. Delta Capita's business model contributes to wider ESG goals by providing a shared infrastructure, designed with economy of energy in mind, that can act as a green highway for financial institutions.'*

### **– Joe Channer (CEO)**

#### **Premise:**

SDG 9 is consistent with our objective to “reinvent the financial services value chain” through the creation of mutualised operations that drive both efficiency and innovation. Similarly, our managed services support our clients' success through resource efficiency, innovative business solutions and cutting-edge technology.

#### **Delta Capita's related actions:**

#### **Upgrade capital markets infrastructure to drive sustainability, with increased resource-use efficiency and greater adoption of environmentally-sound technologies / processes**

- Presently we provide both CLM & SRP services as part of our mutualised offerings
- Plans to extend offerings to Post-Trade and Risk and Compliance
- Delta Capita attended the Insurance Innovators Summit 2022 in London - Team DC joined over 850+ experts, innovators, and disruptors, who came together to network, learn, and connect with like-minded people who share the same goal of redefining the future of insurance

#### **Work with clients to identify and implement business solutions that result in innovation, improved customer service and overall efficiency gains**

- Identifying where our clients are wasting resources or time and establishing more innovative and efficient pathways
- Introducing technology including Karbon, inSPire and Klarion, allowing clients to reduce their dependency on outdated legacy systems and giving them greater control over data

#### **Provide opportunities for staff to advance professionally through participation in mutualised operations that provide new job opportunities and support career growth**

- Taking over non-differentiated services (i.e. processes or tasks) and allowing the release of talent into performing higher value-added jobs

#### **Increase access to financial services and markets**

- Continuing our efforts to increase accessibility of financial services careers to under-represented groups, through our partnerships with charities, apprenticeship schemes and the launch UK School Leavers Programme in 2023
- Launch of the London Banking Academy in November 2022 – our bespoke, expert-led training academy supporting the entry, transition and growth of individuals into a career in Capital Markets

## 9. KPIs

Delta Capita acknowledge the importance of tracking our progress against the ambitious goals we have set as a firm. In 2023 our focus is to refine our baseline metrics to report accurately and transparently as a newly combined organization, which in turn will help us work towards aligning ourselves with the industry's best practice.

Workstream	KPI Name (Key Performance Indicator)	Metric
Environment	Carbon Emissions	Scope 3 Emissions in t CO2e
	Supplier Diversity	% of suppliers that are 'diverse or minority' owned
Sustainable Procurement	Supplier Performance Management	# of priority supplier reviews per quarter
	Buyer Education	% of core buyers trained on sustainable procurement practices
Labour and Human Rights	Performance Reviews	% workforce who receive regular performance and career development reviews
	Gender	Gender Split (Female: Male)
		Gender Split for Management Team (Female: Male)
	Anti-Discrimination	% Completion of Unconscious Bias Training
Ethics	Compliance	% Completion of Mandatory Compliance Training

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