AGENDA

Meeting GLA Oversight Committee

Date Wednesday 20 July 2016

Time 2.30 pm

Place Committee Room 5, City Hall, The Queen's Walk, London, SE1 2AA

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Members of the Committee

Gareth Bacon AM (Chairman)   Steve O'Connell AM
Len Duvall AM (Deputy Chair)   Dr Onkar Sahota AM
Shaun Bailey AM   Navin Shah AM
Sian Berry AM   Peter Whittle AM
Tom Copley AM

A meeting of the Committee has been called by the Chairman of the Committee to deal with the business listed below.

Mark Roberts, Executive Director of Secretariat
Tuesday 12 July 2016

Further Information
If you have questions, would like further information about the meeting or require special facilities please contact: Dale Langford, Principal Committee Manager; Telephone: 020 7983 4415; Email: dale.langford@london.gov.uk; Minicom: 020 7983 4458

For media enquiries please contact Alison Bell; Telephone: 020 7983 5769;
Email: alison.bell@london.gov.uk. If you have any questions about individual items please contact the author whose details are at the end of the report.

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Agenda
GLA Oversight Committee
Wednesday 20 July 2016

1   Apologies for Absence and Chairman's Announcements

To receive any apologies for absence and any announcements from the Chairman.

2   Declarations of Interests (Pages 1 - 4)

The Committee is recommended to:

(a)   **Note the offices held by Assembly Members, as set out in the table at Agenda Item 2, as disclosable pecuniary interests;**

(b)   **Note the declaration by any Member(s) of any disclosable pecuniary interests in specific items listed on the agenda and the necessary action taken by the Member(s) regarding withdrawal following such declaration(s); and**

(c)   **Note the declaration by any Member(s) of any other interests deemed to be relevant (including any interests arising from gifts and hospitality received which are not at the time of the meeting reflected on the Authority's register of gifts and hospitality, and noting also the advice from the GLA's Monitoring Officer set out at Agenda Item 2) and to note any necessary action taken by the Member(s) following such declaration(s).**

3   Minutes (Pages 5 - 8)

The Committee is recommended to confirm the minutes of the meeting of the GLA Oversight Committee held on 30 June 2016 to be signed by the Chairman as a correct record.

4   Summary List of Actions (Pages 9 - 12)

Report of the Executive Director of Secretariat
Contact: Dale Langford; dale.langford@london.gov.uk; 020 7983 4415

The Committee is recommended to note the outstanding actions arising from previous meetings of the GLA Oversight Committee.

5   **Head of Paid Service Oral Update**

The Head of Paid Service to provide any service updates not covered in the rest of the agenda.

6   **Proposed Changes to the GLA Establishment - Mayor's Office**
(Pages 13 - 24)

Report of the Head of Paid Service
Contact Juliette Carter, juliette.carter@london.gov.uk, 020 7983 4194

The Committee is recommended to respond to the Head of Paid Service consultation on the proposed changes to the establishment in the GLA (Mayor's Office).

7   **Proposed Changes to the GLA Establishment** (Pages 25 - 30)

Report of the Head of Paid Service
Contact Juliette Carter, juliette.carter@london.gov.uk, 020 7983 4194

The Committee is recommended to respond to the Head of Paid Service consultation on the proposed changes to the establishment in the GLA.

8   **Annual Governance Statement 2015-16** (Pages 31 - 68)

Report of the Head of Paid Service and Executive Director of Resources
Contact Tim Somerville, tim.somerville@london.gov.uk, 020 7983 5780

The Committee is recommended to comment on the draft GLA Annual Governance Statement for 2015-16.

The appendix to the report set out on pages 33 to 67 is attached for Members and officers only but is available from the following area of the GLA's website: www.london.gov.uk/mayor-assembly/london-assembly/oversight

9   **Workforce Report** (Pages 69 - 100)

Report of the Head of Paid Service
Contact Juliette Carter, juliette.carter@london.gov.uk, 020 7983 4194

The Committee is recommended to note the report.

The appendix to the report set out on pages 81 to 100 is attached for Members and officers only but is available from the following area of the GLA's website: www.london.gov.uk/mayor-assembly/london-assembly/oversight

10   People's Question Time (Pages 101 - 104)

Report of the Assistant Director External Relations
Contact: Dáire Basra; daire.basra@london.gov.uk; 020 7983 4033

The Committee is recommended to:

(a)   Note and comment on the proposals for People's Question Time, on Thursday 3 November 2016 contained in this report, particular views are sought on: (i) the geographical area; (ii) the Chair of the event; and (iii) the proposed agenda.

(b)   Provide any views, ideas or suggestions on further ways to improve People's Question Time as a consultative event;

(c)   Consider the Mayor's view that the current stage design could be improved and made to feel more accessible and open; and

(d)   Note the future plans for PQT locations and chairs, subject to further research into venues and formal consultation with the Assembly.

11   Proposed Establishment of EU Exit Working Group (Pages 105 - 108)

Report of the Executive Director of Secretariat
Contact: Katie Smith; katie.smith@london.gov.uk; 020 7983 4423

The Committee is recommended to

(a)   Establish an EU Exit Working Group, with terms of reference as follows:

- **To co-ordinate the work of the London Assembly's committees in relation to the United Kingdom's vote to leave the European Union;**

- **To lead for the London Assembly in the Government's negotiations with the European Union to help to ensure that London's voice is heard;**

- **To consider the activities and approaches of other devolved administrations and relevant bodies across the United Kingdom in relation to the UK's vote to leave the EU, with a view to ensuring any consequential implications arising for London are taken into account; and**

- **To make recommendations to the Mayor, Government and any other relevant parties in relation to the UK's vote to leave the EU;**

(b)   Subject to the decision in recommendation (a) above, agree the size and allocation of seats on the Working Group; appoint Members to the Working Group; appoint the Chair and Deputy Chair of the Working Group; and appoint all other Members of relevant party Groups as substitute Members.

12   Rapporteurship on Promoting Biodiversity in New Housing Developments (Pages 109 - 112)

Report of the Executive Director of Secretariat
Contact: Katie Smith; katie.smith@london.gov.uk; 020 7983 4423

The Committee is recommended to agree the appointment of Leonie Cooper AM as a rapporteur for the Housing Committee, to conduct an investigation into potential ways to improve biodiversity protection in new housing developments.

13   Work Programme for the GLA Oversight Committee (Pages 113 - 116)

Report of the Executive Director of Secretariat
Contact: Dale Langford; dale.langford@london.gov.uk; 020 7983 4415

The Committee is recommended to note its work programme for 2016-17 and identify any additional issues it wishes to consider at future meetings.

14   Date of Next Meeting

The next meeting of the Committee is scheduled to be held on Thursday 22 September 2016 at 2.00pm in the Chamber.

15   Any Other Business the Chairman Considers Urgent

GREATER**LONDON**AUTHORITY   LONDON**ASSEMBLY**

Subject: Declarations of Interests
Report to: GLA Oversight Committee
Report of: Executive Director of Secretariat   **Date: 20 July 2016**
This report will be considered in public

1.   Summary

1.1   This report sets out details of offices held by Assembly Members for noting as disclosable pecuniary interests and requires additional relevant declarations relating to disclosable pecuniary interests, and gifts and hospitality to be made.

2.   Recommendations

2.1   **That the list of offices held by Assembly Members, as set out in the table below, be noted as disclosable pecuniary interests[1];**

2.2   **That the declaration by any Member(s) of any disclosable pecuniary interests in specific items listed on the agenda and the necessary action taken by the Member(s) regarding withdrawal following such declaration(s) be noted; and**

2.3   **That the declaration by any Member(s) of any other interests deemed to be relevant (including any interests arising from gifts and hospitality received which are not at the time of the meeting reflected on the Authority's register of gifts and hospitality, and noting also the advice from the GLA's Monitoring Officer set out at below) and any necessary action taken by the Member(s) following such declaration(s) be noted.**

3.   Issues for Consideration

3.1   Relevant offices held by Assembly Members are listed in the table overleaf:

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[1] The Monitoring Officer advises that: Paragraph 10 of the Code of Conduct will only preclude a Member from participating in any matter to be considered or being considered at, for example, a meeting of the Assembly, where the Member has a direct Disclosable Pecuniary Interest in that particular matter. The effect of this is that the 'matter to be considered, or being considered' must be about the Member's interest. So, by way of example, if an Assembly Member is also a councillor of London Borough X, that Assembly Member will be precluded from participating in an Assembly meeting where the Assembly is to consider a matter about the Member's role / employment as a councillor of London Borough X; the Member will not be precluded from participating in a meeting where the Assembly is to consider a matter about an activity or decision of London Borough X.

Member	Interest
Tony Arbour AM	Member, LFEPA; Member, LB Richmond
Jennette Arnold OBE AM	Committee of the Regions
Gareth Bacon AM	Member, LFEPA; Member, LB Bexley
Kemi Badenoch AM	
Shaun Bailey AM	
Sian Berry AM	Member, LB Camden
Andrew Boff AM	Congress of Local and Regional Authorities (Council of Europe)
Leonie Cooper AM	Member, LFEPA; Member, LB Wandsworth
Tom Copley AM	
Unmesh Desai AM	Member, LB Newham
Tony Devenish AM	Member, City of Westminster
Andrew Dismore AM	Member, LFEPA
Len Duvall AM	
Florence Eshalomi AM	Member, LFEPA; Member, LB Lambeth
Nicky Gavron AM	
David Kurten AM	Member, LFEPA
Joanne McCartney AM	Deputy Mayor
Steve O'Connell AM	Member, LB Croydon
Caroline Pidgeon MBE AM	
Keith Prince AM	Member, LB Redbridge
Caroline Russell AM	Member, LFEPA; Member, LB Islington
Dr Onkar Sahota AM	
Navin Shah AM	
Fiona Twycross AM	Chair, LFEPA; Chair of the London Local Resilience Forum
Peter Whittle AM	

[Note: LB – London Borough; LFEPA – London Fire and Emergency Planning Authority. The appointments to LFEPA reflected above take effect as from 17 June 2016.]

3.2 Paragraph 10 of the GLA's Code of Conduct, which reflects the relevant provisions of the Localism Act 2011, provides that:

- where an Assembly Member has a Disclosable Pecuniary Interest in any matter to be considered or being considered or at

    (i) a meeting of the Assembly and any of its committees or sub-committees; or

    (ii) any formal meeting held by the Mayor in connection with the exercise of the Authority's functions

- they must disclose that interest to the meeting (or, if it is a sensitive interest, disclose the fact that they have a sensitive interest to the meeting); and

- must not (i) participate, or participate any further, in any discussion of the matter at the meeting; or (ii) participate in any vote, or further vote, taken on the matter at the meeting

    UNLESS

- they have obtained a dispensation from the GLA's Monitoring Officer (in accordance with section 2 of the Procedure for registration and declarations of interests, gifts and hospitality – Appendix 5 to the Code).

3.3 Failure to comply with the above requirements, without reasonable excuse, is a criminal offence; as is knowingly or recklessly providing information about your interests that is false or misleading.

3.4   In addition, the Monitoring Officer has advised Assembly Members to continue to apply the test that was previously applied to help determine whether a pecuniary / prejudicial interest was arising – namely, that Members rely on a reasonable estimation of whether a member of the public, with knowledge of the relevant facts, could, with justification, regard the matter as so significant that it would be likely to prejudice the Member's judgement of the public interest.

3.5   Members should then exercise their judgement as to whether or not, in view of their interests and the interests of others close to them, they should participate in any given discussions and/or decisions business of within and by the GLA. It remains the responsibility of individual Members to make further declarations about their actual or apparent interests at formal meetings noting also that a Member's failure to disclose relevant interest(s) has become a potential criminal offence.

3.6   Members are also required, where considering a matter which relates to or is likely to affect a person from whom they have received a gift or hospitality with an estimated value of at least £25 within the previous three years or from the date of election to the London Assembly, whichever is the later, to disclose the existence and nature of that interest at any meeting of the Authority which they attend at which that business is considered.

3.7   The obligation to declare any gift or hospitality at a meeting is discharged, subject to the proviso set out below, by registering gifts and hospitality received on the Authority's on-line database. The on-line database may be viewed here:
        http://www.london.gov.uk/mayor-assembly/gifts-and-hospitality.

3.8   If any gift or hospitality received by a Member is not set out on the on-line database at the time of the meeting, and under consideration is a matter which relates to or is likely to affect a person from whom a Member has received a gift or hospitality with an estimated value of at least £25, Members are asked to disclose these at the meeting, either at the declarations of interest agenda item or when the interest becomes apparent.

3.9   It is for Members to decide, in light of the particular circumstances, whether their receipt of a gift or hospitality, could, on a reasonable estimation of a member of the public with knowledge of the relevant facts, with justification, be regarded as so significant that it would be likely to prejudice the Member's judgement of the public interest. Where receipt of a gift or hospitality could be so regarded, the Member must exercise their judgement as to whether or not, they should participate in any given discussions and/or decisions business of within and by the GLA.

4.   Legal Implications

4.1   The legal implications are as set out in the body of this report.

5.   Financial Implications

5.1   There are no financial implications arising directly from this report.

Local Government (Access to Information) Act 1985	
List of Background Papers: None	
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GREATER**LONDON**AUTHORITY

LONDONASSEMBLY

MINUTES

Meeting: GLA Oversight Committee
Date: Thursday 30 June 2016
Time: 10.00 am
Place: Committee Room 5, City Hall, The Queen's Walk, London, SE1 2AA

Copies of the minutes may be found at www.london.gov.uk/mayor-assembly/london-assembly/oversight

Present:

Len Duvall AM (Deputy Chair)
Gareth Bacon AM (Chairman)
Navin Shah AM
Shaun Bailey AM
Sian Berry AM
Tom Copley AM
Steve O'Connell AM
Peter Whittle AM

1   Apologies for Absence and Chairman's Announcements (Item 1)

1.1   There were no apologies for absence.

2   Declarations of Interests (Item 2)

2.1   **Resolved:**

That the list of offices held by Assembly Members, as set out in the table at Agenda Item 2, be noted as disclosable pecuniary interests.

3 Minutes (Item 3)

3.1 **Resolved:**

That the minutes of the meeting of the GLA Oversight Committee held on 24 May 2016 be signed by the Chairman as a correct record.

4 Summary List of Actions (Item 4)

4.1 The Committee received the report of the Executive Director of Secretariat.

4.2 **Resolved:**

That the outstanding actions arising from previous meetings of the GLA Oversight Committee be noted.

5 Head of Paid Service Oral Update (Item 5)

5.1 The Committee received the oral update of the Head of Paid Service.

5.2 The Head of Paid Service reported that he had discussed with the Senior Management Team the impact of the European Union (EU) referendum result on the GLA's staff, particularly in relation to those members of GLA staff from EU countries outside the UK. He emphasised that it would be some time before the impact on other EU nationals became clear, but that the Mayor was continuing his work to ensure that the Government achieved the best deal for London.

5.3 The Committee noted that the Head of Paid Service would be writing to all staff about the impact of the referendum result, encouraging any staff who had concerns to discuss them with their line manager, the Human Resources Team or the employee assistance programme.

5.4 The Chairman requested details of the number of non-UK EU nationals working for the Greater London Authority, if possible with a breakdown by grade and department.

6 Consultation on Proposed Restructuring of Assembly Party Groups' Teams (Item 6)

6.1 The Committee received the report of the Executive Director of Secretariat.

6.2 The Committee welcomed the proposals as set out in the report.

6.3   **Resolved:**

That the Committee's support for the Head of Paid Service's proposals for the creation and deletion of posts within the Assembly's party Group staffing establishment be noted.

7   Election Review Panel: The Provision of Expert Support (Item 7)

7.1   The Committee received the report of the Executive Director of Secretariat.

7.2   The Chairman reported that the Electoral Commission had recommended that the Assembly use the services of the former Chief Executive of Sunderland City Council.

7.3   In response to a question from Tom Copley AM about whether the Election Review Panel would look at the issue of voter registration, the Scrutiny Team Manager reported that voter registration was not in the Panel's terms of reference. It was agreed that the Panel should consider the issue after it has heard more evidence on the election itself and following publication of the Electoral Commission's report on voter registration, if necessary, seeking a revision to the terms of reference from this Committee.

7.4   **Resolved:**

That the appointment of David Smith, former Chief Executive of Sunderland City Council, to provide consultancy support to the Election Review Panel, with expenditure up to a maximum of £8,000 be approved.

8   Work Programme for the GLA Oversight Committee (Item 8)

8.1   The Committee received the report of the Executive Director of Secretariat.

8.2   Following up Sian Berry AM's proposal at the previous meeting that the Committee consider including data protection and data security within the GLA Group in its work programme, the Committee agreed to delegate authority to the Chairman, in consultation with the party Group Lead Members, to agree the scope, terms of reference and arrangements for a review of data protection and data security.

8.3   **Resolved:**

   (a)   **That the work programme for 2016/17 be noted; and**

   (b)   **That authority be delegated to the Chairman, in consultation with the party Group Lead Members, to agree the scope, terms of reference and arrangements for a review of data protection and data security in the GLA Group.**

9   Date of Next Meeting (Item 9)

9.1   The next meeting of the Committee was scheduled to be held on Wednesday 20 July 2016 at 2.30pm in Committee Room 5.

10   Any Other Business the Chairman Considers Urgent (Item 10)

10.1   There were no items of urgent business.

11   Close of Meeting

11.1   The meeting ended at 10.08am.

_____   _____
Chairman   Date

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GREATER**LONDON**AUTHORITY   **LONDON**ASSEMBLY

Subject: Summary List of Actions	
Report to: GLA Oversight Committee	
Report of: Executive Director of Secretariat	**Date: 20 July 2016**
This report will be considered in public	

1.   Summary

1.1   This report updates the Committee on the progress made on actions arising from previous meetings of the GLA Oversight Committee.

2.   Recommendation

2.1   **That the Committee notes the outstanding actions arising from previous meetings of the Committee, as listed below.**

Action Arising from the Meeting Held on 30 June 2016

Item	Topic	Action	Action By
5	**Head of Paid Service Oral Update** The Chairman requested details of the number of non-UK EU nationals working for the Greater London Authority, if possible with a breakdown by grade and department.	In progress.	Assistant Director of HR and Organisational Development.
7	**Election Review Panel: The Provision of Expert Support** It was agreed that the Election Review Panel should consider the issue of voter registration after it had heard more evidence on the election itself and following publication of the Electoral Commission's report on voter registration, if necessary, seeking a revision to the terms of reference from this Committee.	Ongoing	Election Review Panel

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Item	Topic	Action	Action By
8	**Work Programme** Authority was delegated to the Chairman, in consultation with the party Group Lead Members, to agree the scope, terms of reference and arrangements for a review of data protection and data security in the GLA Group.	Ongoing	Head of Scrutiny

Action Arising from the Meeting Held on 24 May 2016

Item	Topic	Action	Action By
5	**Re-Establishment of Working Groups and Panels** The Chairman requested that the independent technical expert who had been brought in by the Greater London Returning Officer to validate information also be made available for a meeting with the Election Review Panel as part of its work.	In progress.	Greater London Returning Officer

Action Arising from the Meeting Held on 25 February 2016

Item	Topic	Action	Action By
9	**London Assembly Annual Report** That authority be delegated to the Chair of the Assembly, in consultation with the Deputy Chairman and party Group Leaders, to approve the publication of the London Assembly Annual Report 2015-16.	In progress.	Head of Scrutiny and Investigations

3.   Legal Implications

3.1   The Committee has the power to do what is recommended in this report.

4.   Financial Implications

4.1   There are no financial implications arising from this report.

List of appendices to this report:

None.

Local Government (Access to Information) Act 1985
List of Background Papers: None

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GREATER**LONDON**AUTHORITY   **LONDON**ASSEMBLY

Subject: Proposed Changes to the GLA Establishment – Mayor's Office

Report to: GLA Oversight Committee

Report of: Head of Paid Service	**Date: 20 July 2016**

This report will be considered in public

1.   Summary

1.1   This report sets out proposed staffing changes to the Mayor's office.

2.   Recommendation

2.1   **That the Committee responds to the Head of Paid Service consultation on the proposed changes to the establishment in the GLA (Mayor's Office).**

3.   Background

3.1   This paper sets out the proposals for changes to the staffing establishment in the Mayor's Office to meet the needs of the new Mayor.

3.2   Following the 2016 election the Mayor has made a number of appointments to his top team. Further appointments will be made in the coming weeks and months. In undertaking this process the portfolios of some mayoral appointees have changed from those which existed prior to the election.

3.3   The Head of Paid Service, following conversations with the Mayor's Chief of Staff, is proposing that there should be a number of changes to the team directly supporting the Mayor and mayoral appointees to ensure this is as effective as possible and ensures appropriate cover.

4.   Issues for Consideration

4.1   It is proposed that a number of changes take place to the structure of the Mayor's Office which are set out in more detail below. These proposed changes aim to ensure the efficiency and effectiveness of the Mayor's Office support and to ensure the Mayor's Office meets the needs of the new Mayor and his appointees.

4.2   The structure of the Mayor's Office leading up to the election (current structure) is set out in **Appendix 1** and the proposed new structure is in **Appendix 2**. A summary of the posts proposed for deletion and creation are outlined below. In summary 22 posts are proposed for deletion and 17 for creation. Of the 22 posts proposed for deletion, 9 are vacant.

22 Posts Proposed for Deletion

Job title	Grade
Assistant Private Secretary	Grade 10
Private Secretary Operations x 2	Grade 8
Special Assistant, Business and Science	Grade 11
Special Assistant to the Chief Economic Adviser	Grade 10
Special Assistant, Education	Grade 9
Special Assistant, Culture	Grade 9
Research and Policy Assistant	Grade 9
Executive Assistant to the Mayor	Grade 9
Senior Executive Assistant and Business Manager	Grade 9
Assembly Liaison Manager	Grade 8
Assistant to the Director of Communications	Grade 7
Executive Personal Assistant x 4	Grade 7
Business Support Personal Assistant	Grade 6
Senior Personal Assistant x 5	Grade 6

17 Posts Proposed for Creation

Job Title	Indicative Grade
Deputy Head of Office	Grade 8 tbc
Senior Aide to the Mayor	Grade 8 tbc

Speechwriter	Grade 11 tbc
Senior Adviser to the Mayor – Business and Digital Policy	Grade 13 tbc
Senior Adviser to the Mayor – Stakeholder Relations	Grade 13 tbc
Head of Digital Communications	Grade 11 tbc
Executive Assistant x 2	Grade 8 tbc
Senior Personal Assistant x 5	Grade 7 tbc
Head of Advance	Grade 8 tbc
Senior Assembly Liaison Manager	Grade 10 tbc
Mayoral Research and Support Officer	Grade 7 tbc
Adviser to the Mayoral Director, Communications (in the press team)	Grade 9 tbc

6 Posts staying the same

Private Secretary / Head of Office	Grade 12
Mayor's Correspondence Manager	Grade 8
Mayor's Correspondence Senior Co-ordinator	Grade 7
Diary Secretary to the Mayor	Grade 7
Assembly Liaison Manager	Grade 8
Administrative Officer	Grade 4

4.3   **Mayor's Private Office**

4.3.1   The Mayor's Head of Office role is broadly similar to the role of Principal Private Secretary in the old structure and will report to the Chief of Staff. The core requirements of this role are managing and leading a small team in the Mayor's private office to co-ordinate and support the Mayor's activities. The role will provide a high level gateway to the Mayor and it will also ensure effective co-ordination of the work of the Mayor.

4.3.2   The following posts will report to the Head of Mayor's Private Office:

> ➤ *Deputy Head of Office* **–** grade 8(tbc) (with responsibilities to support the Head of Mayor's Private Office and manage the flow of papers to and from the Mayor).
> ➤ *Senior Aide to the Mayor* – grade 8(tbc) (this role will support the Mayor at his external engagements).
> ➤ *Mayor's Correspondence Manager* – grade 8 (existing post but with changed reporting line).
> ➤ *Mayor's Correspondence Senior Co-ordinator – no change*
> ➤ *Diary Secretary to the Mayor* – grade 7 (existing post but with changed reporting line).

4.4 **Executive and Senior Personal Assistants**

It is expected that Mayoral appointees under the current Mayor will be more self-sufficient than those under the previous administration and that they will work closely with the relevant policy teams within the GLA and across the GLA group.   It is felt there is less of a need for each Mayoral appointee to have one on one dedicated support person and it is proposed support to be provided on the basis of one Executive/Senior Personal Assistant to two Mayoral appointees. This has now been trialled with current appointees for a couple of months and has appeared manageable.

There will continue to be a mix of Executive assistants and Senior Personal Assistants. It is proposed there are two Executive Assistants in the new structure. These positions will report to the Head of the Mayor's Private Office and will be the team leaders and line managers for the Senior Personal Assistants. It is expected there will be additional complexities within the roles and therefore it is likely these will be higher graded roles, subject to job evaluation.

The position of Administrative Officer will be retained to provide general office administrative support. The reporting line for this group of posts will be to the Head of the Mayor's Private Office.

Posts proposed for this team are as follows:
> ➤ Administration Officer – grade 4 (existing post)
> ➤ Executive Assistant - grade 8(tbc) (new position) to act as one of the team leaders managing the Senior Personal Assistants
> ➤ Executive Assistant - grade 8(tbc) (new position) to act as one of the team leaders managing the Senior Personal Assistants.
> ➤ 4 x Senior Personal Assistants – (portfolios to be confirmed) grade 7 (tbc) (new positions).
> ➤ Senior Personal Assistant Support grade 7 (tbc) (new position) - – to provide support across the teams.

4.5 **Political and Public Affairs**

This team will be managed by the Mayoral Director, Political and Public Affairs. The team will comprise the following positions:
> ➤ *Speechwriter* – grade 11 (tbc) (new position) – This post will be a speechwriter for the Mayor: commissioning briefings, analysing and summarising the critical points, developing speeches and tailoring those for the audience the Mayor is addressing.

- ➢ *Senior Adviser to the Mayor – Stakeholder Relations* grade 13(tbc). New position reporting to the Mayoral Director, Political and Public Affairs, with a dotted line to the Mayoral Director, External and International Affairs, with responsibility for managing relationships key stakeholders across business, community, third sector central government and boroughs.
- ➢ *Senior Assembly Liaison Manager* – grade 10(tbc) (new position). This position will take on a greater level of responsibility for managing Mayoral relations with the Assembly and will manage the Assembly Liaison Manager position. It will also play a wider role in reviewing and preparing for sign off FOI's for the Mayor's Office.
- ➢ *Assembly Liaison Manager* - grade 8 - (existing position but with changed reporting lines)
- ➢ *Mayoral Research and Support post* – grade 7 (tbc).   This position will provide research and analysis support across the Mayor's Office.

The existing Government and EU Relations team will report into the Mayoral Director, Political and Public Affairs.

iv.   **External and International Affairs**

- ➢ *Head of Digital Communications* grade 11 (tbc). This is a new position reporting to the Mayoral Director, External and International Affairs. This role will be responsible for preparation of the Mayoral strategy for digital communications and establishing standards for Mayoral social media connectivity with the electorate.
- ➢ *Head of Advance* (*title to be confirmed*) – grade 8(tbc) - this role is similar to the Assistant Private Secretary role in the previous structure and will support the Mayor at his external engagements.

The existing International Affairs team will report into the Mayoral Director, External and International Affairs.

v.   **Policy**

- ➢ *Senior Adviser – Business and Digital Policy* grade 13(tbc). This a new position reporting to the Mayoral Director, Policy. This role will be responsible for providing the Mayoral appointees with sound business and digital policy advice with an emphasis on stakeholder engagement.

vi   **Press**

- ➢ *Advisor to the Mayoral Director, Communications* – grade 9 (tbc). A role is being proposed for creation in the press team which will work closely with the Mayoral Director of Communications and the Head of Media to ensure the position and policies of the Mayor of London are effectively communicated to a range of media, with particular regard to key political correspondents.

5. Consultation

5.1 Consultation with Unison and staff commenced on 5ᵗʰ July 2016 and will continue up to 8ᵗʰ August 2016. There will be one to one meetings with staff affected, and they will be offered the chance to submit comments in writing throughout the consultation period. Staff at risk will have priority consideration for posts in the organisation and where possible staff will be redeployed to try to reduce the number of compulsory redundancies.

5.2 An equality impact assessment (EQIA) has been completed and is attached as **Appendix 3**.

5.3 Job descriptions for all these posts are available on request

6. Legal Implications

6.1 Under section 67(2) of the Greater London Authority Act 1999 (as amended) (the "GLA Act"), the Head of Paid Service may, after consulting the Mayor and the Assembly, appoint such staff as he considers necessary for the proper discharge of the functions of the Authority, having regard to the resources available and the priorities of the Authority.

6.2 Under section 70(2) of the GLA Act, the Head of Paid Service may, after consulting with the Mayor and the Assembly, appoint staff appointed under section 67(2) on such terms and conditions as the Head of Paid Service thinks fit.

6.3 The Assembly has delegated its powers of consultation on staffing matters to the GLA Oversight Committee (formerly called the Business Management and Administration Committee, "BMAC").

6.4 After consultation with the Mayor and the Assembly, the Head of Paid Service Staffing Protocol, was adopted by the Head of Paid Service in November 2009. The Head of Paid Service Staffing Protocol sets out the Authority's agreed approach as to how the Head of Paid Service will discharge his staffing powers contained in sections 67(2) and 70(2) of the GLA Act.

6.5 Paragraph 5.1 of the Head of Paid Service Staffing Protocol states that *"The Head of Paid Service will consult with BMAC and the Mayor on any 'major restructure', namely the creation or deletion of more than five posts within any one unit"*. As set out above, BMAC is now known as the GLA Oversight Committee.

6.6 This proposal falls within the definition of a "major restructure" contained within the Head of Paid Service's Staffing Protocol and therefore formal consultation with the Mayor and the GLA Oversight Committee is required. The Head of Paid Service is consulting with the GLA Oversight Committee by way of this paper.

6.7 The GLA should follow its Management of Change Policy in implementing this restructure. If any persons are made redundant, the GLA's Compensation Payments Policy may apply. Any recruitment to vacant posts should be done in accordance with the GLA's Recruitment and Selection Policy and Equal Opportunities Policy.

7. Financial Implications

7.1 A net reduction of five posts is proposed. This would represent a financial saving of £119,000 per annum if the proposal were to be implemented in its current form. Any savings arising from this restructuring will be factored into the GLA's 2017-18 budget setting process.
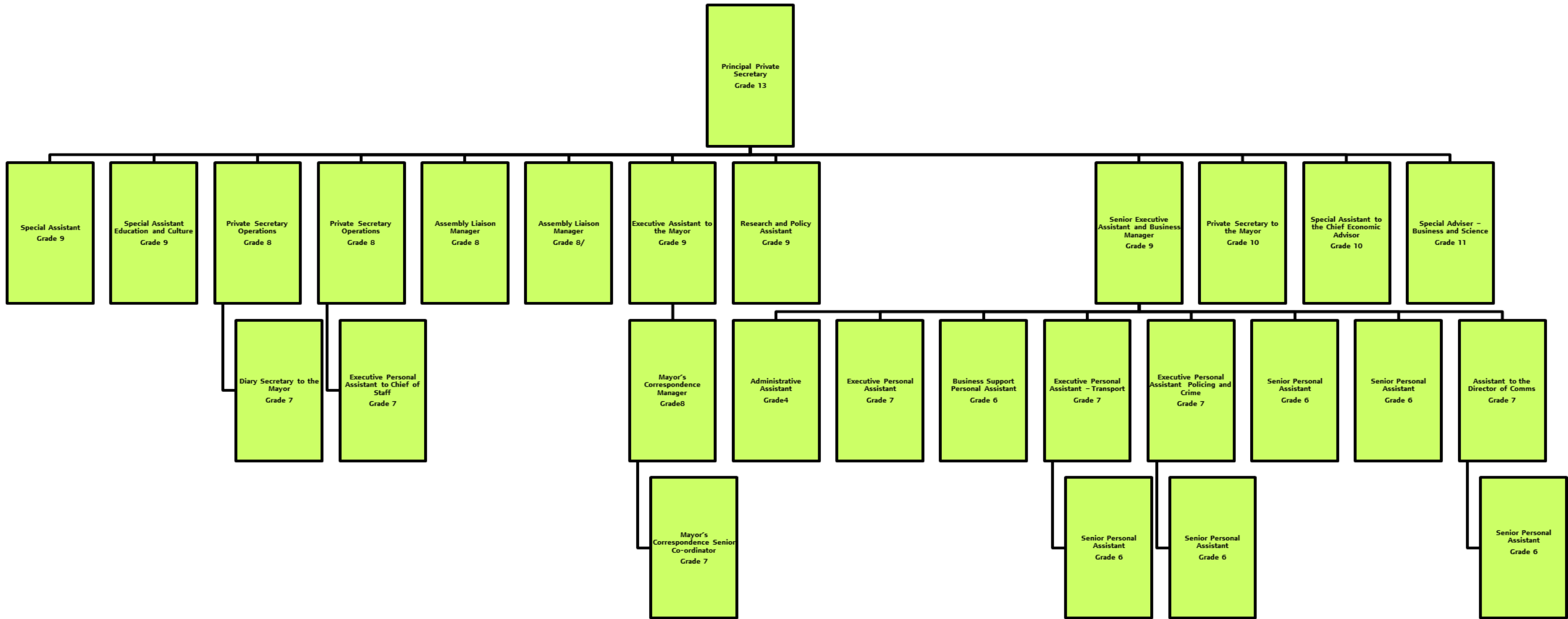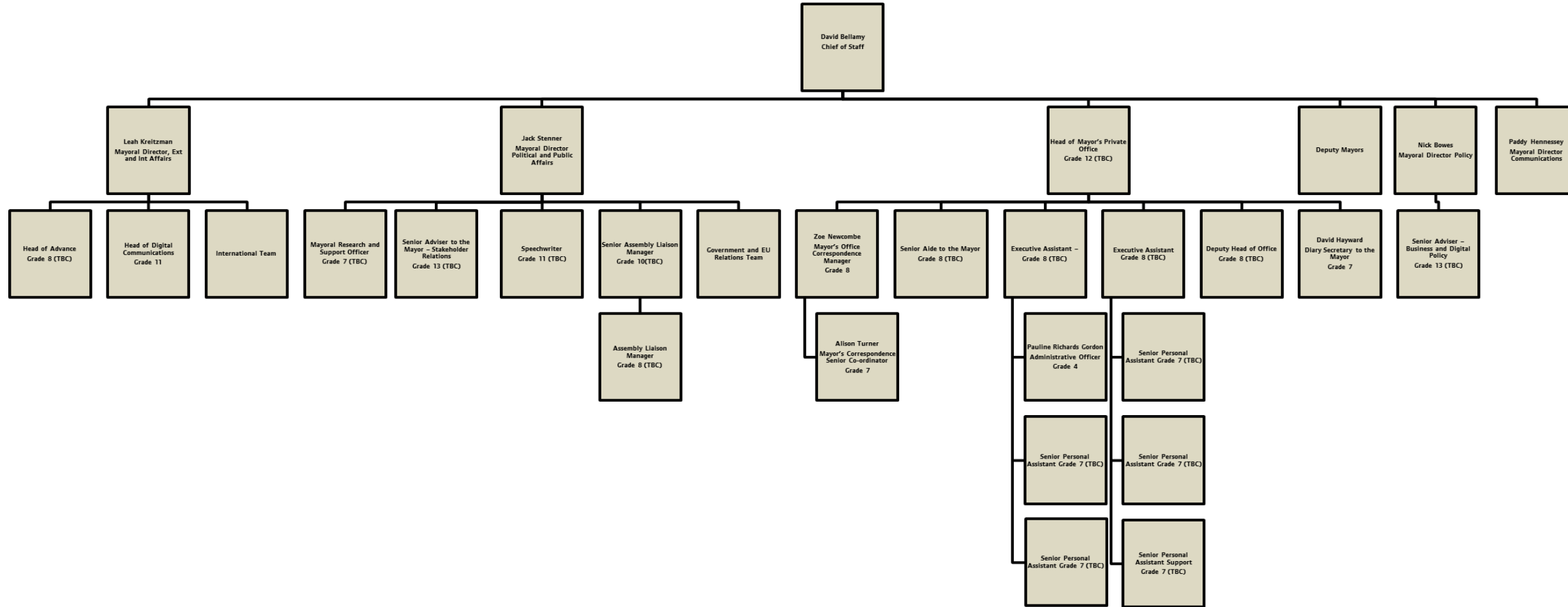

List of appendices to this report:
Appendix 1 – Proposed structure
Appendix 2 – Current structure
Appendix 3 - EQIA

| **Local Government (Access to Information) Act 1985** |
| List of Background Papers: None |

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                                          ┌──────────────────────┐
                                          │ Principal  Private   │
                                          │     Secretary        │
                                          │     Grade 13         │
                                          └──────────────────────┘
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| Special Assistant Grade 9 | Special Assistant Education and Culture Grade 9 | Private Secretary Operations Grade 8 | Private Secretary Operations Grade 8 | Assembly Liaison Manager Grade 8 | Assembly Liaison Manager Grade 8/ | Executive Assistant to the Mayor Grade 9 | Research and Policy Assistant Grade 9 | Senior Executive Assistant and Business Manager Grade 9 | Private Secretary to the Mayor Grade 10 | Special Assistant to the Chief Economic Advisor Grade 10 | Special Adviser – Business and Science Grade 11 |

Diary Secretary to the Mayor — Grade 7

Executive Personal Assistant to Chief of Staff — Grade 7

Mayor's Correspondence Manager — Grade8

Mayor's Correspondence Senior Co-ordinator — Grade 7

Administrative Assistant — Grade4

Executive Personal Assistant — Grade 7

Business Support Personal Assistant — Grade 6

Executive Personal Assistant – Transport — Grade 7

Senior Personal Assistant — Grade 6

Executive Personal Assistant Policing and Crime — Grade 7

Senior Personal Assistant — Grade 6

Senior Personal Assistant — Grade 6

Senior Personal Assistant — Grade 6

Assistant to the Director of Comms — Grade 7

Senior Personal Assistant — Grade 6

Appendix 2

David Bellamy
Chief of Staff

Leah Kreitzman
Mayoral Director, Ext
and Int Affairs

Jack Stenner
Mayoral Director
Political and Public
Affairs

Head of Mayor's Private
Office
Grade 12 (TBC)

Deputy Mayors

Nick Bowes
Mayoral Director Policy

Paddy Hennessey
Mayoral Director
Communications

Head of Advance
Grade 8 (TBC)

Head of Digital
Communications
Grade 11

International Team

Mayoral Research and
Support Officer
Grade 7 (TBC)

Senior Adviser to the
Mayor – Stakeholder
Relations
Grade 13 (TBC)

Speechwriter
Grade 11 (TBC)

Senior Assembly Liaison
Manager
Grade 10(TBC)

Government and EU
Relations Team

Zoe Newcombe
Mayor's Office
Correspondence
Manager
Grade 8

Senior Aide to the Mayor
Grade 8 (TBC)

Executive Assistant –
Grade 8 (TBC)

Executive Assistant
Grade 8 (TBC)

Deputy Head of Office
Grade 8 (TBC)

David Hayward
Diary Secretary to the
Mayor
Grade 7

Senior Adviser –
Business and Digital
Policy
Grade 13 (TBC)

Assembly Liaison
Manager
Grade 8 (TBC)

Alison Turner
Mayor's Correspondence
Senior Co-ordinator
Grade 7

Pauline Richards Gordon
Administrative Officer
Grade 4

Senior Personal
Assistant Grade 7 (TBC)

Senior Personal
Assistant Grade 7 (TBC)

Senior Personal
Assistant Grade 7 (TBC)

Senior Personal
Assistant Grade 7 (TBC)

Senior Personal
Assistant Support
Grade 7 (TBC)

Appendix 3

GREATERLONDONAUTHORITY   **LONDONASSEMBLY**

Mayor's Office Restructure – EQIA

Gender				
	At Risk %	Team Profile %	GLA Profile as at 31/03/2016	Comments
Male	20%	24%	48%	The number of women at risk compared to men is significantly higher; however this is not disproportionate to the ratio of the team as a whole; however this will be kept under review during the process.
Female	80%	76%	52%	
Total	100%	100%	100%	

Disability				
	At Risk %	Team Profile %	GLA Profile as at 31/03/2016	Comments
Disabled	0%	29%	5%	None of the affected staff have declared a disability.
Not Disabled	100%	71%	87%	
Not Stated	0%	0%	8%	
Total	0%	100%	100%	

Age				
	At Risk %	Team Profile %	GLA Profile as at 31/03/2016	Comments
< 20	0%	0%	1%	The proposals affect staff of all ages across the team. There are no staff under the age of 30 in contrast to the GLA general population of 19%. Numbers of staff affected in each age bracket is proportionate to the age profile of the team but at age 40 – 49 the number of staff at risk is double the GLA percentage.
20-29	0%	0%	18%	
30-39	20%	24%	38%	
40-49	47%	48%	24%	
50-59	27%	24%	15%	
60+	7%	5%	4%	
Total	100%	100%	100%	

Ethnicity				
	At Risk %	Team Profile %	GLA Profile as at 31/03/2016	Comments
Asian or Asian British	7%	5%	9%	The proposals affect those from all ethnic groups, however the proposals have 33% of staff from BAME groups affected which mirrors the Mayor's Office profile, but is 8% above the GLA profile. This will need to be carefully considered during consultation and during the implementation period.
Black or Black British	20%	19%	11%	
White	60%	62%	72%	
Chinese or any other ethnic group	0%	5%	2%	
Dual heritage	7%	5%	3%	
Not Stated	7%	5%	3%	
Total	100%	100%	100%	

Sexuality				
	At Risk %	Team Profile %	GLA Profile as at 31/03/2016	Comments
Bisexual	0%	0%	1%	There is no statistical significance in the numbers of staff at risk between the general GLA population and the local Mayor's Office population.
Heterosexual	87%	86%	79%	
Lesbian or Gay man	7%	5%	5%	
Prefer not to answer	0%	0%	1%	
Not Stated	7%	10%	14%	
Total	100%	100%	100%	

Faith				
	At Risk %	Team Profile %	GLA Profile as at 31/03/2016	Comments
Buddhist	0%	0%	0%	The proposals will affect the majority of all faiths, apart from those not represented by staff in the team. Christianity is affected more than any other faith, but is also the most represented in the team.
Christian	60%	57%	34%	
Hindu	0%	0%	2%	
Jewish	7%	5%	2%	
Muslim	0%	0%	4%	
Sikh	0%	0%	1%	
None	20%	24%	40%	
Prefer not to say	7%	10%	2%	
Other	7%	5%	2%	
Not stated	0%	0%	13%	
Total	100%	100%	100%	

GREATER**LONDON**AUTHORITY   **LONDON**ASSEMBLY

Subject: Proposed Changes to the GLA Establishment

Report to: GLA Oversight Committee

Report of: Head of Paid Service   **Date: 20 July 2016**

This report will be considered in public

1. Summary

1.1 This report sets out proposed staffing changes to the following functions:

- Regeneration, Environment and Economic and Business Policy units, Development Enterprise and Environment Directorate.

2. Recommendation

2.1 **That the Committee responds to the Head of Paid Service consultation on the proposed changes to the establishment in the GLA.**

3. Background

3.1 The proposals in this report relate to three posts – two fixed-term posts where there is a proposal to extend the fixed-term beyond two years and one post which is proposed for deletion following a small restructure (where there has been a shift in the work objectives of the unit). In line with the HOPS protocol, there is a requirement to consult with the Oversight Committee and the Mayor on any "major restructure", namely the creation or deletion of more than five posts within any one unit. There is also a requirement to inform the Mayor and the Chair and Deputy Chair of the Assembly on restructures involving five or less posts before taking a decision on them.

3.2 These posts arise from the budget round and there are no new changes proposed as yet to the core GLA to reflect the priorities of the new mayoralty. The separate paper on the reorganisation of the Mayor's Office contains some of those changes.

4.   Issues for Consideration

4.1   A summary of the proposed changes is below:

Unit	Post change	Job title	Grade
Regeneration	Deletion	Senior Projects and Programmes Monitoring Officer	11
Environment	Extension to beyond 2 years	Project Manager - London Smart Cities Programme	9
Economic & Business Policy	Extension to beyond 2 years	Senior Policy and Projects Officer - Food Flagships project	8

Regeneration Unit

4.2   The proposal is to delete the Senior Projects and Programmes Monitoring Officer role (grade 11) within the Regeneration Unit. The post is currently held as vacant (whilst the most recent incumbent is on extended sabbatical) and has been so since 31 July 2015. As a result of various changes and the ending of certain programmes and projects, there is no longer an identifiable resource need for this post at its current grade, as there are no more significant Capital projects in the pipeline requiring work at grade 11.

4.3   The most recent incumbent had been working primarily on a project known as the London Superconnected Cities Plan (SCCP) together with a small number of other capital grant projects which were in their later phases of delivery. In terms of the SCCP, this was extended during the period whilst the incumbent was away but it closed to applications in March 2016, with final closeout of processing of applications in September 2016.

Environment Unit

4.4   The proposal is to extend the fixed-term role of Project Manager – London Smart Cities Programme (grade 9) which is currently due to come to an end on **31 July 2016** to the end of March 2018 to continue the management of the Smart London Demonstrator (SLD) programme. This further extension is due to the extended delivery timeline for the programme to March 2018; the post is externally funded by Innovate UK and this is the date to which funding is currently available.

4.5   The SLD programme is designed to demonstrate the value of digital solutions, systems integration and collaborative business models in the evolution of London as a leading Smart City. The projects use GLA funding released following a grant award of £3m from the Technology Strategy Board (TSB) (now Innovate UK) under its Future Cities Demonstrator programme. There are no constraints on the types of activity the grant funding can support.

4.6   The proposal involves taking forward projects to use smart solutions to drive reductions in local air pollutant and carbon emissions; in doing so addressing market failures, improving productivity and creating opportunities in two sectors – Smart Cities and Low Carbon and Environmental Goods and Services.   Funds and the associated project management expertise required will continue to be used to support the delivery of smart demonstrator projects and an innovation

fund to drive reduction in local air pollutant and carbon emissions or improve the resilience of the city to extreme events.

Economic and Business Policy Unit

4.7 The proposal is to extend the fixed-term role of Food Flagships Project Manager role (Senior Policy and Projects Officer, grade 8, which is currently due to come to an end on **15 August 2016)** due to:
- The complexity of the Food Flagship programme
- The need for both boroughs (Lambeth and Croydon) to recruit Flagship Teams and work up full project plans
- A change to the delivery model to a 'payment by outputs' model in December 2014 and subsequent resistance from and negotiation with the boroughs

4.8 The proposal is to extend this post to **15 March 2017**. This is the date to which funding for the post is currently available, as the project is time limited. The £1.2 million London Food Flagships Programme is the most innovative and potentially most impactful programme ever delivered by the GLA Food Programme. This programme is providing funding and support to the boroughs of Lambeth and Croydon to change the whole food environment at the borough level.

4.9 The Food Flagship programme is helping to deliver:
- London Food Strategy - improve Londoners' health and reduce health inequalities via the food they eat
- Health Inequalities Strategy - Objective One: Empowering individuals and communities; Objective Three: Income inequality and health; and Objective Five: Healthy places
- Economic Development Strategy - Objective 4: to give all Londoners the opportunity to take part in London's economic success, access sustainable employment and progress in their careers.

5.   Consultation

5.1 Consultation with Unison and the member of staff has commenced in respect of the proposal to delete the post of Senior Projects and Programmes Monitoring Officer within the Regeneration Unit. The consultation will last for 30 days. There will be one to one meetings with the individual affected, and he will be offered the chance to submit comments in writing throughout the consultation period. He will have priority consideration for posts in the organisation and where possible will be redeployed to try and avoid his redundancy.

5.2 An equality impact assessment (EQIA) has been completed for the post which is proposed for deletion in this report. This has not been included as the individual whose post is proposed for deletion is identifiable from that data.

5.3 Formal consultation on the two other posts is not required as they are not proposed for deletion.

5.4   Job descriptions for all these posts are available on request

6.   Legal Implications

6.1   Under section 67(2) of the GLA Act 1999 (as amended) the Head of Paid Service has the power, after consulting the Mayor and the Assembly, to appoint such staff as he considers necessary for the proper discharge of the functions of the Authority, having regard to the resources available and the priorities of the Authority.

6.2   Under section 70(2), the Head of Paid Service has the power to employ staff appointed under section 67(2) on such terms as he thinks fit, after consultation with the Mayor and the Assembly.

6.3   Under section 54 of the GLA Act 1999 (as amended) the Assembly has delegated its powers of consultation on staffing matters to the GLA Oversight Committee.

6.4   The Head of Paid Service staffing protocol, agreed by the Mayor and Assembly in November 2009, sets out the Authority's agreed approach as to how the Head of Paid Service will discharge his staff powers contained in sections 67(2) and 70(2) above.

6.5   Paragraph 5.1 of that Protocol states that there is a requirement to consult with the GLA Oversight Committee and the Mayor on any "major restructure", namely the creation or deletion of more than five posts within any one unit. Paragraph 5.2 states that there is a requirement to inform the Mayor and to consult the Chair and Deputy Chair of the Assembly on restructures involving five or less posts before taking a decision on them.

6.6   This proposal does not fall within the definition of a "major restructure" as set out above and therefore formal consultation with the Mayor and the GLA Oversight Committee is not required. However, there is still a requirement to inform the Mayor and consult the Chair and the Deputy Chair of the Assembly as set out above. The Head of Paid Service is informing the GLA Oversight Committee by way of this paper.

6.7   In respect of the post which it is proposed will be deleted, the GLA should follow its Management of Change Policy in respect of the deletion of this post.

6.8   In respect of the two fixed-term posts which it is proposed will be extended, fixed-term employees have the right to be treated no less favourably than permanent employees due to their fixed-term employee status. Once the post holder has been in post beyond two years, he/she will have the same statutory right as a permanent employee not to be unfairly dismissed. After two years service, the post holder may also be eligible to receive a redundancy payment should the post come to an end. Any fair dismissal of the employee at the end of the fixed-term will necessitate a fair reason and a fair procedure. This will involve considering suitable alternative employment before confirming that their employment is terminated. If the funding continues after the end of their fixed-term contract, it may be difficult to dismiss for redundancy

(one of the fair reasons) if in fact there is further work to be carried out after the end of the contract. If the employee has been employed on a series of successive fixed-term contracts, then he/she will be considered to be a permanent employee after four years of service.

7. Financial Implications

7.1 This report sets out proposed changes to the GLA establishment, with the financial implications for each change as follows.

Regeneration Unit

7.2 The proposed deletion of post GLA 2476 will result in ongoing savings totalling £67,000 (inclusive of on-costs and the corporate vacancy factor). The permanent savings from the deletion of this post will be incorporated into future year's base budgets and a pro-rata adjustment will be made for the 16/17 financial year.

7.3 The current post-holder has continuous service at the GLA and will be entitled to a redundancy settlement. These costs will be subject to further approval via the Authority's decision-making process and contained within the Regeneration Units Revenue budget.

Environment Unit

7.4 The proposed extension of post GLA 2534 on a fixed term contract to 31 March 2018 will be funded from the existing Smart London Demonstrator Programme at a cost of £40,000 in 2016/17 and £61,000 in 2017/18. MD1247 and MD1581 approved the Environment Unit's budget allocation of £2.250m from the total £3m fund from Innovate UK to resources this programme.

7.5 As this is a fixed term post, redundancy and pension costs may become payable by the GLA when the contract ends. At this stage, such costs cannot yet be quantified; however, if costs do become payable, they will be contained within the existing Environment Unit budget and will be subject to further approval via the Authority's decision-making process.

Economic and Business Policy Unit

7.6 The proposed extension of post STAF 500 to March 2017 on a fixed term contract to March 2017 will be funded from the 2016/17 DEE Minor Programme Budget, as a cost of £32,000.

7.7 As this is a fixed term post, redundancy and pension costs may become payable by the GLA when the contract ends. At this stage, such costs cannot yet be quantified; however, if costs do become payable, they will be contained within the existing EBPU budget and will be subject to further approval via the Authority's decision-making process.

7.8 All appropriate budget adjustments will be made.

List of appendices to this report:
None

Local Government (Access to Information) Act 1985
List of Background Papers: None

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GREATER**LONDON**AUTHORITY   **LONDON**ASSEMBLY

Subject: Annual Governance Statement 2015-16

Report to: GLA Oversight Committee

Report of: Head of Paid Service and Executive Director of Resources	**Date: 20 July 2016**

This report will be considered in public

1.   Summary

1.1   Each year the GLA's Annual Governance Statement is presented in draft to the Assembly for Members' views. The current draft of the 2015-16 Statement is appended to this report.

2.   Recommendation

2.1   **That the Committee comments on the draft GLA Annual Governance Statement for 2015-16.**

3.   Background

3.1   The Annual Governance Statement is provided in draft to the Authority's external auditors by the end of June each year. At about the same time, the Assembly's Audit Panel and GLA Oversight Committee are consulted on the Statement. The Mayor and the Head of Paid Service sign off the final version by the end of September.

4.   Issues for Consideration

4.1   The issues arising are highlighted in the appended Statement. The Statement attempts to provide a balanced view of the Authority's governance arrangements, incorporating assessments and feedback received from its internal auditors and from the Assembly. The content of the Statement is ultimately a matter for the Mayor, acting on the professional advice of suitably qualified officers.

5.   Legal Implications

5.1   There are no specific legal issues directly arising from this report.

6.   Financial Implications

6.1   Financial issues are integral to the Statement, particularly those relating to the development of robust financial systems and of sound financial management practices.

List of appendices to this report:

Appendix 1 – Draft GLA Annual Governance Statement 2015-16

Local Government (Access to Information) Act 1985
List of Background Papers: None

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Greater London Authority

Annual Governance Statement 2015-16

Contents

1.   Scope of responsibility

1.1.   The Greater London Authority (GLA) is responsible for ensuring that its business is conducted in accordance with the law and proper standards; and that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. The GLA also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

1.2.   In discharging this overall responsibility, the GLA is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for managing risk.

1.3.   The GLA has a corporate governance framework consistent with the principles of the 2007 CIPFA/SOLACE Framework *Delivering Good Governance in Local Government* (and its 2012 addendum) and two sets of other CIPFA guidance:

- *Application Note to Delivering Good Governance in Local Government: a Framework*; and

- *Statement on the Role of the Chief Finance Officer in Local Government*.

1.4.   This Statement explains how the GLA delivers good governance and meets the requirements of Regulation 6 of the Accounts and Audit Regulations 2015 in relation to the consideration and approval of a statement on internal control. It also describes the most significant work undertaken in the year to review and strengthen governance at the GLA and notes issues arising.

1.5.   The commitments given in this Statement will be monitored during the course of 2016-17 where appropriate and will be revisited in the GLA's Annual Governance Statement for that year.

2. The purpose of the governance framework

2.1. The governance framework comprises the systems and processes, culture and values by which the GLA is directed and controlled, and its activities through which it accounts to, engages with and leads the community. It enables the GLA to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services, and in accordance with legislative requirements.

2.2. The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness.

2.3. The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of the GLA's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised and to manage them efficiently, effectively and economically.

2.4. The governance framework has been in place at the GLA for the year ending 31 March 2016 and up to the date of approval of the annual report and statement of accounts.

3. The governance framework

3.1. The key elements of the systems and processes that comprise the GLA's governance arrangements reflect the unique nature of the GLA, with a number of agents involved in the delivery of the GLA's objectives. So while this Statement is the GLA's alone – the bodies with which the GLA works have their own governance statements – the GLA's work cannot be viewed in isolation. That is particularly the case in respect of the operations of the GLA Group, encompassing the GLA and its functional bodies. The agents include:

- the executive Mayor and the Mayor's appointed advisors;
- the London Assembly;
- the functional bodies and their boards;
- the officers of the GLA and the functional bodies; and
- London's local authorities and other external stakeholder organisations.

3.2. There is a clear separation of powers within the GLA between the Mayor, who has an executive role and makes decisions on behalf of the GLA, and the London Assembly, which has a scrutiny role and reviews Mayoral policy and decisions. The Assembly is also able to investigate other issues of importance to Londoners, publish its findings and recommendations, and make proposals to the Mayor. The Assembly has a number of committees, with the GLA Oversight Committee, the Confirmation Hearings Committee, the Audit Panel, the Budget and Performance Committee and the Budget Monitoring Sub-Committee having explicit governance roles.

3.3. An important aspect of the governance framework within which the GLA operates is the relationship between London government and national government; more specifically the relationship between the GLA and its sponsor department in Whitehall, the Department for Communities and Local Government (DCLG). DCLG has set out how it views the systems governing that relationship by issuing, in October 2012 through its Accounting Officer, an 'Accountability System Statement for the Greater London Authority'. The Statement was issued with the GLA's endorsement and is available via:

www.gov.uk/government/uploads/system/uploads/attachment_data/file/128876/2238554.pdf

Identifying and communicating the GLA's vision of its purpose and intended outcomes for citizens and service users

3.4. The Mayor identifies and communicates his vision and intended outcomes for Londoners and service users through a number of published statutory and non-statutory strategies, programmes and project plans. These are informed by both ongoing and specific consultation exercises. The GLA uses a number of avenues of communication to publicise and hear the public's views on its strategies and plans, including: its website

and social media channels; its Talk London platform; press briefings and press releases; and meetings with stakeholders and agents.

3.5.   The Mayor's programme forms the basis of an Authority-wide corporate plan, known as the Business Plan. The Business Plan translates the Mayor's ambitions into priorities and actions for the GLA and its constituent units and makes clear who is accountable for what. It is publicised to staff and published for external stakeholders on london.gov.uk. The work of the Assembly and its Secretariat forms part of the plan. Recognising that the May 2016 election would bring a change in administration, the Business Plan for 2015-17 was drafted recognising that the new Mayor would wish to revise the budget and the plan itself.

Reviewing the GLA's vision and its implications for the GLA's governance arrangements

3.6.   Mayoral strategies are reviewed regularly with reference to both the Mayor's vision and the GLA's operating environment. As circumstances demand, strategies and/or their associated action plans are updated.

3.7.   There is an annual GLA Group-wide budget setting process. This process, which is subject to continuous scrutiny by the Assembly, as well as consultations with stakeholders, has the important purpose of seeking to ensure there are sound medium and longer-term financial plans within which Mayoral priorities and objectives are adequately funded, while recognising areas of risk and uncertainty will inevitably exist.

3.8.   The budget reflected the then Mayor's vision and ambitions, set out variously in his Vision 2020, the London Infrastructure Plan 2050 and the Long Term Economic Plan for London, among others. The budget and the Mayor's vision and ambitions in turn inform the GLA's Business Plan, which is usually refreshed annually.

3.9.   In addition, the budget included allocations to directorates' central programme budgets to allow the GLA to be responsive to new Mayoral priorities and be able to take forward smaller initiatives or urgent projects quickly. Funding was also earmarked to review statutory strategies including research, evidence base and public consultations.

3.10.   The GLA's governance arrangements are flexed as the vision and the plans that flow from it change so that they are robust but also support delivery. That includes making changes to the GLA's decision, performance and risk frameworks.

3.11.   A change in administration demands that specific arrangements are put in place to prepare the way for a change in the GLA's vision to reflect that of the incoming Mayor's; and, as part of that, to ensure the Mayor's vision is reflected in refreshed statutory and other strategies. Two parallel but interlinked strands of work took place. First, the manifestos of the main Mayoral candidates were assessed to determine how each commitment could be delivered, including resource implications, timelines and

risks. This fed in to a transition document for the new Mayor. Second, leads were identified for each of the seven statutory strategies. These leads were tasked with ensuring the GLA was well placed to redraft strategies early in the new Mayoralty. An evidence base was developed to inform this work, together with scoping work for impact assessments. Advice was drafted for the Mayor on timings and approach.

Measuring the quality of services for users, to ensure they are delivered in accordance with the GLA's objectives and to ensure that they represent the best use of resources and value for money

3.12.   During 2015-16 the GLA had well-embedded corporate performance management systems which supported and were supported by arrangements at programme and unit levels.

3.13.   Quarterly financial management information was reported to and revieweded with directors and cost centre managers. Progress against corporate initiatives, key performance indicators and against budgets was formally reported quarterly. Mayoral commitments were tracked. Project reporting was on a monthly basis to the Mayor's Investment and Performance Board (IPB). This was complemented by both regular and exception based reporting to the Mayor and his advisors by senior officials.

3.14.   The GLA published an annual report and assurances were provided by internal and external auditors on key controls and indicators.

3.15.   Performance was also managed and monitored at a GLA Group level, again through formal quarterly reports detailing financial and service performance, for each functional body, and through reporting to the Mayor and his team.

3.16.   In addition to the regular and periodic performance monitoring activities, the Assembly's scrutiny function encourages constructive challenge and impetus for enhancing performance.

Defining and documenting the roles and responsibilities of the executive, non-executive, scrutiny and officer functions, with clear delegation arrangements and protocols for effective communication in respect of the GLA and partnership arrangements

3.17.   The Mayor's principal role as the executive of the strategic Authority for London is to promote economic development and wealth creation, social development, and the improvement of the environment. The Mayor has strong executive powers to provide strategic leadership and a range of duties and responsibilities designed to ensure that the programme on which he was elected can be delivered.

3.18.   The exercise of Mayoral functions by officers within the GLA is documented in and governed by the Scheme of Delegation. It reserves the required and otherwise appropriate responsibilities to the Mayor and provides managers with the authority necessary to conduct routine business. The Scheme is reviewed and updated periodically and presented at least annually to the Assembly for its information. There is also a documented Scheme of Delegation in respect of the Head of Paid Service's statutory staffing responsibilities for the GLA.

3.19.   The Assembly's committees have published terms of reference and there is a documented Scheme of Delegation for the exercise of Assembly functions within the GLA.

3.20.   A Corporate Governance Framework Agreement for the GLA Group covers the Group's powers and duties and sets out both the respective roles and responsibilities of each body within the Group and the core governance requirements they are to adhere to. The Framework is currently under review.

Developing, communicating and embedding codes of conduct, defining the standards of behaviour for Members and staff

3.21.   The GLA (the Mayor and Assembly acting jointly) has established a Standards regime, under the provisions of the Localism Act 2011, which has been in operation in its current form since 1 July 2012. Within the regime, all complaint-related functions are delegated to the GLA's Monitoring Officer whose role it is also to oversee the GLA's Code of Conduct for elected Members. In addition to handling complaints, the Monitoring Officer is responsible for the extant framework governing the registration and disclosure of interests and of gifts and hospitality and for providing related advice.

3.22.   A revised version of the Authority's Gifts and Hospitality Policy was issued in May 2014 following a comprehensive review and having consulted with the Mayor, London Assembly and GLA Group functional bodies.

3.23.   In accordance with his commitment to promote transparency and accountability within the Mayoralty and across the GLA Group, the Mayor has published details of all of his advisors on the GLA website together with their declarations of interest and of gifts and hospitality. The Head of Paid Service has done likewise for GLA directors and has also published a GLA organogram together with details of senior managers' pay and responsibilities.

3.24.   The GLA's Protocol for Mayoral Appointments sets down the process by which Mayoral appointments are made and details the conduct requirements for such appointees.

3.25.   The Monitoring Officer takes the lead, working with the GLA's other statutory officers, to ensure proper use of the Authority's resources. The statutory officers issued a revised Use of Resources guidance in October 2015 and there was a particular focus on the two

pre-election periods falling within the year. The Monitoring Officer briefed all staff on the pre-election period towards the end of 2015. He also used the intranet, staff newsletter and met with specific teams. The Mayor's Office and Assembly party groups were similarly briefed. The Use of Resources guidance was supplemented by advice for partners and, as before, was complemented by specific advice pertaining to the use of social media.

3.26.   Specific advice on the use of resources in the run up to the EU Referendum was developed, circulated and promoted.

3.27.   The GLA has a Code of Ethics and Standards for its staff. The Code seeks to promote the highest standards of conduct in public service and ensure that its standards and statutory obligations are fully met. The Code features prominently in formal induction processes and is published on london.gov.uk.

Reviewing the effectiveness of the GLA's decision-making framework, including delegation arrangements, decision making in partnerships and robustness of data quality

3.28.   The Mayoral Scheme of Delegation published in June 2015 was in force throughout the year. A version with factual revisions, made under delegated authority and to reflect departures in the Mayoral team, was published in May 2016.

3.29.   The spending thresholds in the Scheme remain:

o   Delegated Authority Record (DAR) for spending up to £10,000;

o   Assistant Director decision form (ADD) for up to £50,000 ;

o   Director decision form (DD) for up to £150,000; and

o   Mayoral decision form (MD) for over £150,000.

3.30.   GLA decision form templates are kept under review and amended as required. Minor changes were made in 2015-16 but the format remained essentially consistent. As such, decision forms continue to mandate that legal and financial advice is included; and also that equalities implications and links to the Mayor's vision are set out.

3.31.   The GLA's Financial Regulations are an important companion to the Scheme. The Regulations are kept under review and will next be reviewed in 2016/17.

3.32.   The London Assembly's Scheme of Delegation is reviewed annually and reaffirmed at its annual meeting.

3.33.   The GLA's most important partnerships are those that exist within the GLA Group. Bodies within the Group have their own decision making arrangements and the Group's Corporate Governance Framework Agreement requires that each organisation codifies these arrangements and reports its decisions.

3.34. Where issues of interest to the Mayoral team arise, and which may result in or bear upon a decision, these are flagged by the body in question and discussed. Such discussions may lead to a formal Mayoral delegation or direction. The use of the power of direction is kept under ongoing review and a list of all directions is appended to this Statement.

3.35. GLA companies are another avenue through which decisions may be taken. The process is defined by the Mayoral Scheme of Delegation, integrated with the GLA's decision making arrangements, and reviewed periodically alongside the regular review of that document.

3.36. For other partnerships the GLA's guiding principle is to ensure that decisions concerning its resources, including resources for which it is accountable, remain subject to the Authority's own decision making processes. The GLA maintains a register of its key partnerships and categorises each according to its decision making role – as defined by the GLA's partnership guidance. Periodically the efficacy of these partnerships is reviewed.

3.37. The London Enterprise Panel is one of the GLA's most important partnerships. Although it does not formally take decisions, it does have significant influence over decisions that are ultimately taken by the GLA. The governance of the LEP was reviewed in 2014-15 and the strengthened arrangements have been in force during 2015-16.

3.38. The GLA's Use of Statistics Code of Practice and Data Quality Framework (DQF) exist to ensure the GLA produces, makes use of and publishes data which meet widely recognised and exacting standards. The DQF was reviewed and updated at the start of 2014-15 and is reviewed every two years.

Reviewing the effectiveness of the framework for identifying and managing risks and demonstrating clear accountability

3.39. The GLA's approach to risk management is set out in its Risk Management Framework (RMF). It describes how the GLA realises the benefits of risk management by:
- communicating the value derived from, and the importance the GLA places on, effective risk management;
- setting out ten principles to underpin the GLA's approach to risk management;
- highlighting the practices and mechanisms that are at the core of the GLA's risk management framework;
- being clear about what the GLA expects of its staff – their roles and responsibilities – in managing risk; and
- providing practical guidance, grounded in best practice, for staff to follow.

3.40. The Framework was most recently reviewed and refreshed for March 2015. The review was informed by a prior assessment of the GLA's risk management practices against a

risk maturity model. The refreshed RMF includes a new requirement that Executive Directors provide an annual 'risk management assurance statement'.

3.41. The RMF identifies four specific levels, or perspectives, as a focus for GLA risk management: corporate risks; programme risks; project risks and risks associated with decision-making. Mechanisms are embedded to monitor risk at all these levels. In the year, the Corporate Risk Register – concerned primarily with corporate and programme risks – was updated twice and considered by the Corporate Management Team, the Investment and Performance Board and Audit Panel. Project risk was captured and reported as part of regular reports to the Investment and Performance Board; and assessed at the project initiation stage. Risks associated with decisions were outlined on the related decision form. These corporate mechanisms were supplemented by processes at the departmental level.

Ensuring effective counter-fraud and anti-corruption arrangements are developed and maintained

3.42. The GLA continues to place a high priority on its anti-fraud work and officers have worked with Internal Audit to identify areas which have the highest potential for fraud. In the year, Internal Audit undertook a follow-up review of the use of corporate charge cards. Of six recommendations made, the review found four had been fully implemented and one partly implemented. One recommendation had not been implemented as a compensating control was identified that mitigated the original risk identified by Internal Audit. The outcome of the review was reported to the Audit Panel Members.

3.43. An allegation of false accounting at a primary school part funded by the GLA was received. KPMG and The Home Office conducted an investigation and fraud was not confirmed but a need to improve working practices at the school was.

3.44. One case of fraudulent grant funding is currently being investigated by the Metropolitan Police Service. Two other cases of suspected fraudulent grant funding are under review by Internal Audit. These cases relate to suspected attempts to claim funding without any work being carried out and/or services provided.

3.45. Following on from a review of the grant award process in 2014-15, the GLA acknowledged that there was a need to create systems which monitored grant awards across all of its programmes and projects. To address Internal Audit's recommendations, work is underway to establish a database of organisations in receipt of grants from the GLA, including a data matching exercise. The database will ensure that any issues with a recipient, or prospective recipient, are recorded, providing an audit trail and ensuring issues identified by one part of the business inform decisions made by other parts. The project has taken longer than anticipated, but a specification has been drawn up after speaking to a wide range of stakeholders and the database is expected to be live by October.

3.46. The GLA will continue to take a proactive approach to identifying and reviewing areas where the risk of fraud is relatively high.

3.47. Internal audit supported the biennial National Fraud Initiative in 2014-15, an exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud. No issues were identified. The next exercise will begin in September 2016.

Ensuring effective management of change and transformation

3.48. The GLA's Management of Change procedure provides the framework for dealing with reorganisations and restructures arising from:

- management reviews;
- the introduction of new or revised working practices;
- changes to political administration; and
- changes in the Authority's business or policy priorities.

The procedure aims to ensure such change is fair, transparent and carried out systematically.

3.49. Where changes to the establishment have taken place, they have been subject to appropriate consultation including with staff, UNISON and the GLA Oversight Committee.

3.50. The GLA has robust arrangements for managing projects, programmes and risk, and these are deployed to ensure any major transformation is undertaken effectively. The GLA Elections 2016 are a case in point. There were two related programmes. One to prepare for and administer the elections themselves. The other to prepare for the transition and potential organisational change the elections would bring.

3.51. To facilitate the transition, the GLA's transition guidance for candidates was updated and publicised. Briefings were prepared for candidates and the new Mayoral and Assembly administrations in line with the document. As mentioned above, there was complementary work to analyse Mayoral manifestos and prepare the ground for changes to strategies following the elections. Work was undertaken in advance of the elections too to prepare for the changes in the Mayoral Team and to facilitate wider appointments.

3.52. The work was overseen by the Head of Paid Service, who chaired a Transition Working Group. Staff were briefed, at mandatory sessions for all directorates and through a dedicated section of the website. These briefings incorporated the Monitoring Officers' advice on the pre-election period.

Ensuring the GLA's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010)

3.53.   CIPFA's Statement on the Role of the Chief Financial Officer lists five principles, set out below together with how the GLA meets each.

- *Principle 1: The Chief Financial Officer in a public service organisation is a key member of the Leadership Team, helping it to deliver and implement strategy and to resource and deliver the organisation's strategic objectives sustainably and in the public interest*

  o   The Executive Director of Resources is the GLA's Chief Financial Officer and is a member of both the Corporate Management Team (CMT) which meets weekly and the Investment & Performance Board which meets monthly. He also chairs the officer level Governance Steering Group. All Mayoral and Director Decision Forms must be signed by the Executive Director of Resources – an additional check to ensure probity in the GLA's expenditure of public funds.

- *Principle 2: The Chief Financial Officer in a public service organisation must be actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer term implications, opportunities and risks are fully considered, and alignment with the organisation's overall financial strategy*

  o   As noted above, all MD and DD Forms must be signed by the Executive Director of Resources, ensuring that all material decisions have the input of the GLA's Chief Financial Officer. The decision pro formas include sections on both risks and financial implications. The organisation's financial strategy is overseen by the Executive Director of Resources with the support of the Head of Financial Services and his team. The strategy and its implementation are scrutinised by the Assembly and its Budget & Performance Committee and Budget Monitoring Sub-Committee.

- *Principle 3: The Chief Financial Officer in a public service organisation must lead the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively*

  o   The Executive Director of Resources is accountable to both the Mayor and the Assembly for the good financial management of the organisation's finances. Value for money is a key principle underlying the GLA's approach and its Chief Financial Officer has led on delivering efficiency programmes, including the shared services initiatives, in the period since May 2008. The Assembly meets in public and regularly questions the Executive Director of Resources and other senior officials on their stewardship of funds.

- *Principle 4: The Chief Financial Officer in a public service organisation must lead and direct a finance function that is resourced to be fit for purpose*

- o The Executive Director of Resources line manages both the Head of Financial Services (GLA focus) and the Assistant Director of Group Finance (GLA Group focus) under whom the GLA's finance staff sit. Finance staff focus on key priorities such as treasury management, budget monitoring, financial advice and presentation of financial information. The team includes suitably qualified and experienced individuals covering a wide range of technical, GLA and GLA Group financial issues.

- *Principle 5: The Chief Financial Officer in a public service organisation must be professionally qualified and suitably experienced*

  - o The role description for the post of Executive Director of Resources requires the post-holder to be a qualified accountant with suitable experience. The current post-holder is a member of CIPFA and has over thirty years' experience of working in public sector finance. There is also significant experience of financial administration in the public sector within the finance team.

Ensuring the GLA's assurance arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit (2010)

3.54. CIPFA's Statement on the Role of the Head of Internal Audit lists five principles, set out below together with how the GLA meets each.

- *Principle 1: The Head of Internal Audit in a public service organisation plays a critical role in delivering the organisation's strategic objectives by championing best practice in governance, objectively assessing the adequacy of governance and management of existing risks, commenting on responses to emerging risks and proposed developments.*

  - o The GLA's Internal Audit Service is provided by the Mayor's Office for Policing and Crime (MOPAC) and the Head of MOPAC's Internal Audit Function is also Head of Internal Audit for the GLA.

  - o The Head of Internal Audit advises senior management and the Audit Panel on the principles of good governance and provides an annual assessment of the adequacy and effectiveness of GLA governance and risk management arrangements, based on an approved programme of work. Regular meetings are held between the GLA's senior managers and senior representatives of Internal Audit to discuss emerging risks and proposed developments.

  - o The annual work programme can be amended, in discussion with the Audit Panel, to reflect additional work identified in order to address significant emerging issues.

- *Principle 2: The Head of Internal Audit in a public service organisation plays a critical role in delivering the organisation's strategic objectives by giving an objective and evidence based opinion on all aspects of governance, risk management and internal control.*

- o The Head of Internal Audit provides an objective annual opinion on the adequacy and effectiveness of governance, risk management and internal control to senior management and the Audit Panel. This draws on evidence from an annual work programme, which is reported in the public domain.

  - o Internal Audit reviews and the annual audit opinion inform the GLA's Annual Governance Statement and improvement plans.

- *Principle 3: The Head of Internal Audit must be a senior manager with regular and open engagement across the organisation, particularly with the Leadership Team and with the Audit Panel.*

  - o The Head of Internal Audit is a senior manager who engages regularly with and attends meetings involving the Corporate Management Team, other senior managers and the Audit Panel. The Head of Internal Audit provides reports to the Head of Paid Service and Chief Finance Officer.

- *Principle 4: The Head of Internal Audit must lead and direct an internal audit service that is resourced to be fit for purpose.*

  - o The Head of Internal Audit conducts an annual assessment of resources required to deliver an appropriately scoped and diverse risk based audit plan. Any concerns or issues would be raised with senior management and as required the Audit Panel.

- *Principle 5: The Head of Internal Audit must be professionally qualified and suitably experienced.*

  - o The Head of Internal Audit is a member of the Chartered Institute of Internal Auditors and has thirty years' internal audit experience.

Ensuring effective arrangements are in place for the discharge of the monitoring officer function

3.55. The GLA's Monitoring Officer works with the Authority's elected politicians and chief officers to promote high standards of ethical conduct.

3.56. The Monitoring Officer has specific and formal duties underpinning this role:

- To deal with any alleged breach by the Mayor or Member of the London Assembly of the formal Code of Conduct for GLA Members, and to make decisions as to whether or not any such allegations are valid.

- To operate the Authority's wider Standards regime, including the registration and declaration of interests, gifts and hospitality received.

- To report (to the Mayor and London Assembly) on contraventions or likely contraventions by any part of the Authority of any enactment or rule of law.

- To report on any maladministration or injustice where the Local Government Ombudsman has carried out an investigation into GLA-related matters.

- Working with the Authority's other statutory officers and the Head of Governance, to provide advice to the Authority on corporate governance matters, including matters relating to the proper use of the Authority's resources.

3.57. The Monitoring Officer seeks to be fully transparent in the conduct of his work by: publishing all decisions made on complaints received against Members, providing a public update on all MOPAC-related complaints to each meeting of the Assembly's Police and Crime Committee and by presenting an annual report to the Assembly. The Monitoring Officer's report for 2015-16 can be found at item 11 of the agenda for the 15 March 2016 meeting of the Assembly's Audit Panel.

Ensuring effective arrangements are in place for the discharge of the head of paid service function

3.58. The Head of Paid Service (HOPS) is the GLA's most senior official and leads the Corporate Management Team. He has the power, after consulting the Mayor and the Assembly, to appoint such staff as he considers necessary for the proper discharge of the functions of the Authority, having regard to the resources available and the priorities of the Authority.

3.59. The HOPS cannot sensibly exercise all of those functions falling to the role personally and so has made delegations to other officers in the GLA. These are set out in the HOPS Scheme of Delegations – Staffing. The Scheme is supported by a protocol describing the procedures that should be followed by the HOPS or officers with delegated powers when using the staffing powers vested in the HOPS.

3.60. The Assembly has delegated its role as a consultee in this regard to the GLA Oversight Committee. In 2015-16 the HOPS continued to provide regular updates to the Committee on staffing matters and on the Authority's workforce; and to consult with it on proposed changes to the GLA establishment.

3.61. The roles of HOPS and Greater London Returning Officer (GLRO) are vested in the same individual. Appropriate arrangements were in place throughout the year to ensure the GLRO role was discharged effectively, including: a dedicated budget; a dedicated and formal decision making process (through GLRO decision forms); and a structured programme approach to effectively delivery the 2016 elections. The programme approach was subject to review by Internal Audit in 2015-16.

Undertaking the core functions of an Audit Committee, as identified in CIPFA's Audit Committees – Practical Guidance for Local Authorities

3.62. The roles and responsibilities of the Audit Committee are discharged, as a function of statute, by the Mayor. He is supported in this regard by the Assembly's Audit Panel.

3.63. The Audit Panel has well-established terms of reference, informed by CIPFA guidance. The Audit Panel: provides challenge; raises the profile of internal control, risk management and financial reporting; provides a forum for the discussion of issues raised by internal and external auditors; and bolsters transparency. The Panel also monitors the effective development of risk management, whistleblowing, and anti-fraud and corruption policies.

3.64. In March 2015 the Audit Panel agreed an improved process for making in-year changes to internal and external annual audit plans. The Panel's Chair and Deputy Chair are now informed in writing of any changes at the first opportunity.

Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful

3.65. The GLA's decision-making framework requires compliance with relevant laws, internal policies and procedures, and the GLA's Executive Director of Resources and Head of Governance & Performance are responsible for ensuring that appropriate professional advice on finance and legal matters is available and properly recorded.

3.66. All payments over £250 are published on the GLA's website along with all Mayoral, Director and Assistant Director decision forms. These arrangements are at the heart of the GLA's transparency arrangements.

3.67. Internal Audit's risk based programme of audit work aims to provide assurance on both the effectiveness of the management of risks to the achievement of agreed objectives and on compliance with GLA policies and procedures and externally arising regulations and the law.

3.68. Following the devolution of housing and regeneration functions to the GLA in April 2012, it became apparent that there was an unintended deficiency in the GLA Act which barred the GLA from incurring expenditure on the transport related elements of those housing and regeneration programmes and projects. The Government acknowledged that this deficiency should have been addressed during the passage of the Localism Act 2011 through Parliament and rectified the oversight – with fully retrospective force – through the Infrastructure Act 2015. The matter has therefore been satisfactorily resolved. But it points to the need for the GLA to continue to monitor legislation affecting London as closely as possible.

Arrangements for whistle-blowing and for receiving and investigating complaints from the public

3.69. The GLA has clear guidance on its complaints procedure, which also sets standards for responding to any complaints. Complaints are recorded by the Public Liaison Unit and that process includes recording which officer is responsible for handing the complaint

and the timeliness of individual responses. Complaints' statistics are reported to the Assembly's GLA Oversight Committee on a six-monthly basis.

Identifying the development needs of Members and senior officers in relation to their strategic roles, supported by appropriate training

3.70. The GLA has robust and thorough processes for appraising and developing its staff, backed by a well-embedded competency framework and a training and development programme. The programme supports the achievement of the organisation's aims and objectives and a high performance culture at the GLA.

3.71. Good corporate governance principles are incorporated into induction training for all staff and elected members. On-line corporate governance training has been made mandatory for all staff and take-up is monitored. The content is refreshed regularly to reflect developments in practice.

Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation

3.72. In addition to the considerable consultation required by law on his statutory strategies and budget proposals, and consultation undertaken during the development of other programmes and plans, the Mayor has a range of arrangements designed to encourage individuals and groups from all sections of the community to engage with, contribute to and participate in the work of the GLA.

3.73. The arrangements include People's Question Time, which are meetings that give Londoners an opportunity to ask the Mayor and the Assembly about their plans, priorities and policies for London, and the State of London Debate, which is the Mayor's annual conference and largest mechanism for debate and direct engagement with policy makers, opinion formers and Londoners.

3.74. The GLA has also developed Talk London, an online research community of presently 10,000 Londoners, to promote and facilitate debate about improving London. In addition, the London Dashboard provides regular updates on key indicators of London life.

3.75. Other channels of consultation include: the periodic London Survey, most recently conducted in November 2015; a regular 'Talking Points' survey; telephone surveys; and consultation on specific plans and policies.

3.76. The External Affairs directorate works to ensure that all communication to Londoners is audience-focused, meaning that it is relevant to the audience and is written in plain language. A major review of the GLA's website was completed in 2015-16, and

following a period in beta, went live in November 2015. The new website has enhanced mechanisms for the GLA to engage with the public.

3.77. The GLA also has well-developed arrangements and standards for dealing with and monitoring Mayoral correspondence and Freedom of Information requests.

3.78. The Assembly carries out consultations and engagement with Londoners in order to inform its investigations. This includes a programme of site visits and informal meetings, written consultations, online surveys and consultation and formal committee meetings. The Assembly also hosts a programme of receptions and events at City Hall.

Incorporating good governance arrangements in respect of partnerships and other group working as identified by the Audit Commission's report on the governance of partnerships, and reflecting these in the GLA's overall governance arrangements

3.79. As already alluded to, the GLA has three principal groups of partners or stakeholders:

- the company it has established – Greater London Authority Holdings Limited and its subsidiary GLA Land and Property Limited (GLAP) – to manage its land and property transactions;

- its permanent functional bodies and the Mayoral Development Corporations (MDCs) it has created in accordance with the provisions of the Localism Act; and

- London boroughs and other key public sector and business stakeholders across London and beyond.

3.80. GLAP is a company wholly owned by the GLA. The company's activities have been fully integrated into the Mayor's Scheme of Delegation for the GLA and regular board meetings are held to ensure compliance with company law. The GLA is not aware of any governance issues arising in relation to GLAP.

3.81. There are a series of arrangements in place, mainly defined by legislation and differing slightly according to each organisation, governing the GLA's relationship with Transport for London (TfL), MOPAC, the London Fire and Emergency Planning Authority (LFEPA) and the MDCs. There are currently two MDCs: the London Legacy Development Corporation (LLDC) and the OPDC.

3.82. The GLA has strengthened its oversight governance arrangements of LLDC by establishing:

- regular Finance and Policy Liaison meetings at an officer level chaired by the GLA's Head of Paid Service; and

- monthly Finance meetings between key senior staff of the GLA and the LLDC.

In addition, with Government and key partners, the GLA and the LLDC have developed a shared approach and shared funding to provide oversight, assurance and risk

management of the Olympicopolis project, which has as its central aim the creation of a world class cultural and scientific quarter in Queen Elizabeth Olympic Park. Central to this is the Olympicopolis Programme Board (OPB).

3.83.   The OPDC was established on 1 April 2015. The Mayor has asked for a review of the strategic direction and work programme of OPDC and this will include a focus on its governance arrangements.

3.84.   In the case of LFEPA, the previous Mayor asked the Department for Communities and Local Government (DCLG) to reform its governance to reflect the Mayor's accountability for resourcing. Following consultation by Government, the Policing and Crime Bill includes provision to streamline decision making by abolishing LFEPA and increasing Mayoral control under new arrangements, which are likely to be in place by April 2017.

3.85.   As referred to previously, the Corporate Governance Framework for the GLA Group covers its powers and duties, sets out respective roles and responsibilities and how they should relate to each other. The framework is based on the seven established 'Nolan principles' that underpin effective and ethical corporate governance in public service.

3.86.   The other partnerships in place (ie. with boroughs, voluntary organisations, business and others) vary tremendously in role, size and resourcing. Oversight of these partnerships is at team level. The GLA maintains partnership guidance to promote effective oversight of partnerships. It also maintains a register of the Authority's most significant partnerships.

4.   London Assembly scrutiny of governance issues

4.1.   The London Assembly has a key role to play in holding the Mayor to account and scrutinising GLA governance, services and functions.

4.2.   The Assembly provides regular challenge of the GLA's governance arrangements in a number of key ways:

- Mayor's Question Time, where the Mayor is required to attend ten meetings of the Assembly per year to answer Assembly Members' questions;

- responses to statutory consultations, principally relating to Mayoral strategies and the Mayor's budget;

- confirmation hearings for key appointments (see below);

- the work of scrutiny committees; and

- other work on internal corporate governance.

4.3.   Mayoral nominees for nine offices are subject to non-binding confirmation hearings conducted by the London Assembly. The purpose of the confirmation hearing, which is held in public, is to establish whether a candidate has the ability to do the job and is fit for office. The Assembly does not have the power to veto an appointment and its recommendations are not binding on the Mayor. In the case of a tenth office, the Deputy Mayor for Policing and Crime, the Assembly confirmation hearing is binding for candidates who are not Assembly Members.

4.4.   The nine offices to which non-binding confirmation hearings apply are:

- Chair and Deputy Chair of Transport for London;

- Chair of the London Fire and Emergency Planning Authority;

- Chair of the London Cultural Strategy Group;

- Chair and Deputy Chair of the London Pensions Fund Authority;

- Chair of the London Waste and Recycling Board; and

- Chair of a Mayoral Development Corporation (of which there are currently two).

4.5.   Appendix C provides details of governance and related issues raised by the Assembly in 2015-16.

5. Extant risks and governance challenges

Extant risks

5.1. At the time of the most recent update to the corporate risk register (March 2016), there were 23 corporate risks – and increase of five over the course of the year. The most serious risks were:

- Air quality: EU policy such that London is at risk of penalties arising from EU infraction processes.

- London 2012 Legacy: The GLA is exposed to financial risk due to overspends on, or reduced income from, existing LLDC projects, requirement to underwrite risks and provide cashflow support for the cultural and higher education quarter.

- Museum of London (MoL): Lack of funding or cost over-runs for MoL capital expenditure requirements for repair of its existing building or to fund a move to a new building at West Smithfield places significant demands on the resources of the GLA as, with the City of London, statutory joint funder of MoL. (New in 2015-16)

- Health & Safety - City Hall and Squares: Breach in processes/procedures (or procedures not rigorous enough) leading to a health and safety or security incident (including an act of terrorism).

- Funding constraints: Government grant and other external funding falls, placing significant constraints on the GLA's budget that cannot be managed without impacting on services and Mayoral priorities.

- GLA budget setting: The unique process for setting the GLA Group /GLA budgets - involving the Mayor, Assembly and functional bodies - creates complexity that means statutory requirements are not fulfilled, either by the Mayor or by the Assembly, and budgetary priorities are not adequately reflected.

Governance challenges

5.2. The primary governance challenges for the coming year centre on the change in administration following the May 2016 GLA elections. That includes:

- Implementing the new Mayor's vision, priorities and programme and accordingly updating statutory strategies and other vision documents and ensuring this feeds through into team work plans.

- Flexing performance monitoring arrangements to give the Mayoral Team an accurate picture and drive delivery of the Mayor's programme.

- Supporting the Mayor's priorities for devolution of power to London and addressing the governing implications flowing from devolution.

- Delivering the Mayor's stated priority to make City Hall more transparent.

5.3. Most crucial, and underpinning all of the above, will be to ensure governance and particularly decision making arrangements that sit alongside and support the delivery of the Mayor's programme are robust and in line with good practice – recognising the new administration may wish to make changes to current arrangements.

5.4.   Commentary on the governance challenges for 2015/16 identified in the previous annual governance statement is at Appendix D.

6.   Disclosure

6.1.   No significant developments or events relating to the governance system have occurred between the end of the 2015-16 financial year and the signing off of the Authority's financial statements in September 2016. [To be updated as necessary to reflect and significant issues that do arise.]

Sadiq Khan   **Jeff Jacobs**
Mayor of London   Head of Paid Service

Date: September 2016   Date: September 2016

Appendix A: Internal audit assurance ratings in 2015-16

Overview

Internal Audit's Annual Opinion for 2015-16 states:

The GLA governance framework is clearly defined and is in line with best practice to meet statutory requirements. Internal Audit reviews conducted during the year show that overall the internal control framework can be assessed as adequate. The Head of Internal Audit's overall opinion for 2015-16 is:

The GLA has an effective internal control environment with an improved risk management framework supporting the achievement of its overall strategic objectives

The ratings arising from risk and assurance reviews conducted in the year were:

Rating	2015-16	2014-15 (for comparison)
Substantial	5	8
Adequate	15	9
Limited	0	0
No assurance	0	0
Total reviews	20	17

Audit Title	Rating
Employer-Led Apprenticeship Creation Programme	Substantial
GLA Economics	Substantial
Non-Current Asset	Substantial
Programme and Project Management Framework - Strategic Land and Property	Substantial
Technology Group Service Desk: Incident and Problem Management	Substantial
Commercial Partnerships and Sponsorship	Adequate
Council Tax Precepting, Business Rate Retention, and Business Rate Supplement	Adequate
Creditor Payments – Ordering, Receiving and Payments	Adequate
Data Protection and Freedom of Information Control Framework	Adequate
Delivery of the Team London Programme	Adequate
Estate Management - Physical Security	Adequate
Framework Supporting Preparations for the Mayoral and Assembly Elections 2016	Adequate
General Ledger Control Framework	Adequate
London Schools Excellence Fund	Adequate

Audit Title	Rating
Mayor's Planning Powers -Strategic Planning Applications and Advice Service Income	Adequate
Provision of Legal Services to the GLA	Adequate
RE:FIT Programme Framework	Adequate
Risk Management - Risk Maturity Assessment	Adequate
SAP Control Framework	Adequate
Use and Control of Social Media	Adequate

The ratings arising from follow-up review were:

Rating	2015-16	2014-15 (for comparison)
Substantial	6	14
Adequate	5	4
Limited	0	0
No assurance	0	0
Total reviews	12*	18

Audit Title	Rating
Debtors/Sundry Income Control Framework	Substantial
Growing Places Fund - Revenue Programme Delivery	Substantial
Housing – Compliance Audit Programme	Substantial
Payroll Provision	Substantial
Rough Sleepers Project	Substantial
Sports Legacy Programme	Substantial
Corporate Charge Cards	N/A*
Framework Supporting Preparations for the Mayoral and Assembly Elections 2016	Adequate
Income from the GLA Estate	Adequate
London's European Office	Adequate
Mayor's Planning Powers -Strategic Planning Applications and Advice Service Income	Adequate
Procurement Framework	Adequate

* The Corporate Charge Card audit followed on from a counter fraud review and as such no overall rating was given.

Appendix B: Mayoral directions issued to the GLA's functional bodies in 2015-16

The GLA is careful to issue directions only when it is appropriate to do so. Directions are published on the GLA website as part of the routine publication of all Mayoral decision forms.

In 2015-16, eight directions were issued to TfL and six were issued to the LFEPA.

MD No.	Body	Title	Date	Decision
1472	TfL	Garden Bridge Development Proposals	04/06/15	Subject to agreement as to the terms of the guarantees and to appropriate arrangements being in place between the GLA and the Trust giving the GLA appropriate rights in the event such guarantees are called upon, and the Trust demonstrating to the Mayor's satisfaction that it has secured a satisfactory level of funding to operate and maintain the Garden Bridge for at least the first five years from its completion, the Mayor: • Approves the GLA's provision of a guarantee to the Port of London Authority in respect of the obligations on the Garden Bridge Trust as a result of the river works licence; • Approves the GLA's provision of a guarantee to Westminster City Council to secure the ongoing maintenance of the Garden Bridge; and • Approves the GLA's provision of a guarantee to the London Borough of Lambeth to secure the ongoing maintenance of the Garden Bridge. The Mayor: • Delegates to the Executive Director of Resources the authority to agree the terms and conditions of the guarantees and the related arrangements, and to execute or authorise the execution of the guarantees and any related documentation; • Delegates to TfL the exercise of the Mayor's powers under sections 30 and 34 of the Greater London Authority Act 1999 in accordance with the Delegation contained in the Appendix to this Decision; and • Directs TfL to use its powers and the powers delegated to it by the GLA in accordance with the Direction contained in the Appendix to the Decision.
1485	TfL	May 2015 Fare Changes	20/05/15	The Mayor: 1. Approves the proposed revisions to fares to be implemented from 31 May 2015 as set out in the decision form; and 2. Directs TfL to implement the level and structure of fares from the 31 May 2015 in accordance with the Schedule attached.
1497	LFEPA	LFEPA Direction	27/04/15	That the Mayor directs LFEPA in relation to the disposal of Southwark former fire station site in the revised form at Appendix B to the decision form.
1507	LFEPA	Appointment of the next London Fire Commissioner	20/05/15	That the Mayor directs LFEPA in relation to the appointment of the next London Fire Commissioner as at Appendix B to the decision form.

MD No.	Body	Title	Date	Decision
1516	LFEPA	LFEPA 2016-17 budget options	15/06/15	That the Mayor directs LFEPA in relation to the LFEPA budget options for 2016-17 and to LFEPA's contingency arrangements as at Appendix B to the decision form.
1517	LFEPA	The Provision of Fire Consultancy Services	02/07/15	That the Mayor directs LFEPA in relation to the provision of fire consultancy services as at Appendix B to this decision form.
1518	LFEPA	Disposal of the former fire station site at Kingsland	18/06/15	That the Mayor directs LFEPA in relation to the disposal of Kingsland former fire station site in the form attached at Appendix B to the decision form. That the Mayor provides a letter of comfort to LFEPA as to its financial position in the form attached at Appendix C to the decision form.
1521	TfL	Putney to Blackfriars River Bus service fares from 14 September 2015	10/09/15	The Mayor: 1. Approves the proposed fares set out in the decision form for the Putney to Blackfriars river bus service from 14 September 2015 and onwards; and 2. Directs Transport for London under section 155(1)(c) of the Greater London Authority Act 1999 to implement these fares from said date.
1544	TfL	Direction to TfL to undertake aviation work		The Mayor: 1. Directs Transport for London (TfL) under section 155(1)(c) of the Greater London Authority Act 1999 ('the GLA Act') in the terms of the attached Direction (attached as Appendix 1). This Direction ceases to have effect on 30 June 2016 by which time it will be reviewed. 2. Authorises TfL under section 38(1) of the GLA Act to exercise the Mayor's powers under sections 30 and 34 of the GLA Act to do all things necessary or expedient to undertake the works required by the attached Direction in accordance with the terms of the attached delegation (Appendix 2). 3. Authorises Daniel Moylan as a member of the TfL Board to oversee the work that TfL will undertake pursuant to the Amended Direction.
1562	TfL	January 2016 Fare Changes	09/11/15	The Mayor: 1. Approves the proposed revisions to TfL fares to be implemented from 2 January 2016 as set out in the decision form; and 2. Signs the attached Direction to TfL issued pursuant to the power in section 155 (1)(c) of the Greater London Authority Act 1999 to implement these fares on 2 January 2016.
1570	TfL	Croxley Rail Link – Land Valuation and Increased TfL Contribution	04/11/15	The Mayor: 1. Directs TfL to proceed in accordance with the directions given under MD1478 but on the basis that the Hertfordshire County Council (HCC) led local consortium nominal funding contribution of £128.08m includes land contributions by HCC which while valued by HCC at £2.73m are of no commercial value to TfL, and that the cash contribution will therefore be £125.35m 2. Directs TfL to provide up to a further £2.73m of funding in addition to the £46.5m directed under MD1478 towards the costs for delivering Croxley Rail Link.

MD No.	Body	Title	Date	Decision
1594	TfL	Barking Riverside Rail Extension TfL Agreements	25/01/16	The Mayor directs Transport for London (TfL) to enter into a: 1. Funding agreement with Barking Riverside Limited with a target completion date of 29 February 2016 and without a parent company guarantee from London & Quadrant Housing Trust, to govern BRL's provision of £172million to TfL as a contribution to its costs of the Barking Riverside Rail Extension; and 2. Land and works agreement with Barking Riverside Limited with a target completion date of 29 February 2016 providing for TfL to meet the costs of earthworks and retaining structures required to achieve the headroom required by BRL beneath certain parts of the elevated sections of the Barking Riverside Rail Extension to enable site permeability and maintenance access.
1617	LFEPA	LFEPA budget for 2016-17	01/03/16	That the Mayor directs LFEPA in relation to its budget for 2016-17 as at Appendix B to the decision form.
1624	TfL	Direction: five year TfL business plan for 2016-17 to 2020-21	10/03/16	That the Mayor directs Transport for London in the form attached as the Appendix to the Mayoral Decision Form as follows: • To prepare and to issue, as soon as is practicable, a five year business plan covering the financial years 2016-17 to 2020-21 and for this to be considered by the Transport for London Board at its meeting on 17 March 2016.

Appendix C: Governance and related issues raised by the Assembly

2016/17 budget for the GLA Group

In accordance with the requirements of the GLA Act 1999 (as amended), there is a two-stage budget-setting process. At the draft budget stage (January), the Assembly is able to amend the statutory figures that make up the consolidated budget requirement in the GLA Act by a simple majority. The Mayor is under a duty to respond to any amendments passed when he presents his final budget.

At the final draft budget stage (February), the Assembly is able to amend the statutory figures that make up the consolidated budget requirement by a two thirds majority of Assembly Members present and voting. At this stage, amendments agreed by the requisite majority are binding.

At its meeting in January 2016, following consideration of the draft budget, the Assembly considered three amendments and one budget related motion, none of which passed. These are set out in the published minutes of the meeting.

At its meeting in February 2016, following consideration of the final draft budget, the Assembly did not agree any amendments to the budget by the requisite majority. In accordance with Paragraph 8(5) of Schedule 6 to the GLA Act 1999 (as amended), the Assembly was deemed to have approved, without amendment, the Final Draft Consolidated Budget for 2016/17. The Assembly also considered two budget related motions, which were lost and are set out in the published minutes of the meeting.

Strategies and plans

The Mayor is statutorily required to consult the Assembly on certain strategies. Assembly committees usually respond to such consultations on the Assembly's behalf and the consultation responses are published on london.gov.uk.

In addition, the Mayor must lay before the London Assembly the final versions of those strategies prior to their publication. Under the provisions of Section 42 of the GLA Act 1999 (as amended), the Assembly has the power to consider and potentially reject draft strategies within 21 days of their submission, including the date the draft strategy is laid before the Assembly.

On 10 February 2016, the Assembly considered the Minor Alterations to the London Plan (MALP) and agreed a motion commenting on the alterations. However, as the motion only attracted a simple majority of votes cast in its favour and not the two-thirds majority required in law formally to reject the draft Strategy, the Assembly was deemed not to have rejected the Minor Alterations to the London Plan as laid before it. The motion and the additional formal proposals to the Mayor, under section 60(1) of the GLA Act 1999 (as amended), represented the Assembly's comments on the strategy.

Confirmation hearings

During 2015-16 the London Assembly held four confirmation hearings.

In May 2015, there were two hearings: for the proposed appointments of Sir Edward Lister to the office of Chairman of the Old Oak and Park Royal Development Corporation and Neale Coleman CBE to the office of Chairman of the London Legacy Development Corporation. Regarding the appointment of Sir Edward Lister, the Confirmation Hearings Committee recommended that the Mayor should proceed with the appointment. Regarding the appointment of Neale Coleman CBE, the Confirmation Hearings Committee recommended the Mayor proceed with the appointment by a majority of 6 votes to 2.

In September 2015, the proposed appointment of Sir Merrick Cockell to the office of Chairman of the London Pensions Fund Authority was heard. The Confirmation Hearings Committee recommended the Mayor proceed with the appointment.

In October 2015, the Confirmation Hearings Committee reviewed the proposed appointment of David Edmonds CBE to the office of Chairman of the London Legacy Development Corporation. The Committee recommended the Mayor proceed with the appointment.

The transcript of the question and answer sessions for all of the confirmation hearings held in 2015-16, and the letters of recommendation to the Mayor in relation to the appointments, are published on london.gov.uk.

Improving transparency and governance

The Assembly's committees play an important role in scrutinising policy and bringing information into the public domain.

Issues of procurement are looked at by the GLA Oversight Committee. The Committee became concerned about the procurement process adopted in the awarding of the Garden Bridge design contract following a series of Freedom of Information Requests by journalists and Assembly Members. The Committee held four meetings on the topic with a range of guests including the Mayor, the chair of TfL's Audit and Assurance Committee and officers involved in the procurement of the contract. It published its report in March with majority agreement and dissenting comments from the Conservative group. The report was published alongside a significant body of appendices relating to that procurement process and the subsequent TfL internal audit review. Its conclusions included concerns about the way the internal audit review was carried out and how it changed before final publication.

The Budget and Performance Committee supports the Assembly's scrutiny of the Mayor's budget. In January 2016, the Mayor responded to the Committee's Pre-Budget Report, accepting a number of recommendations to improve the quality of the budget document and future quarterly reports from the functional bodies, and to provide more information in TfL's business plan to aid Assembly scrutiny.

In February 2016, the GLA Oversight Committee published its report into the transparency of the GLA Group and Family, following a rapporteurship led by John Biggs AM. This examined progress since the Committee's last report on the subject in 2013 and assessed the transparency of organisations outside the GLA Group but subject to the control of the Mayor London & Partners, the London Waste and Recycling Board and others). It concluded that:

- Progress has been made by some organisations, such as TfL, but others – particularly MOPAC – needed to publish more information about how it makes decisions.

- Material released in response to Freedom of Information Act requests should be routinely published and made easier to find.

- Transparency needs to be made a priority when new organisations, such as the Old Oak and Park Royal Development Corporation, are set up.

The Mayor responded positively to the Committee's recommendations and the Assembly will continue to push for improvements during the new Mayoral term.

In March, the Budget and Performance Committee published a report – *Transport for London's signal failure* – into the collapse of TfL's tube signalling contract with Bombardier. This was the result of more than two years of scrutiny by the Committee and the Assembly more widely. The Committee concluded that TfL had spent £85 million to get out of the failing contract, would have £900 million less to spend on transport improvements, and the collapse had delayed the tube upgrade programme by five years. The Committee found a number of weaknesses in TfL's governance:

- The procurement process was flawed and rewarded a low bid that could not be delivered.

- TfL did not do enough to challenge Bombardier's own assessment of its capability to deliver that contract.

- TfL signed a contract that aligned payments to Bombardier's spend, rather than progress, indicating a lack of legal expertise at TfL.

- TfL management lacked the skills to handle the contract, and presented an overly-positive assessment of progress.

- The TfL Board lacked the skills and expertise needed to oversee complex engineering and IT programmes.

- TfL's internal assurance function – provided by its Project Management Office – and its external assurance function – provided by the Independent Investment Programme Advisory Group – were inadequate.

The Committee recommended that the new Mayor should appoint a TfL Board with the appropriate mix of skills, and carry out a wide-ranging review of the Independent Investment Programme Advisory Group.

The Budget and Performance Committee also found weaknesses at MOPAC and the MPS when it examined their plans to outsource various back-office functions. In its September 2015 report, *To Protect and Save*, the Committee found a number of weaknesses that presented risks to the organisations and the service they provide in London, including:

- The Met had made significant progress in outsourcing a number of functions before MOPAC had agreed its overarching commercial strategy.

- MOPAC and the Met lacked the commercial expertise required to negotiate and manage outsourced contracts properly.

MOPAC responded positively to the Committee's report and accepted a number of its recommendations.

Appendix D: Commentary on previously identified governance challenges

The 2014-15 Annual Governance Statement set out eight governance challenges for the year ahead. These are repeated below together with commentary on the actions taken and how the challenges developed during the year.

Challenge	2015-16 developments
1. Continued resource pressures arising from the constrained funding environment, and in particular: • the GLA has yet to receive a full financial settlement from Government for the period 2016-17 and beyond; • the GLA's exposure to the risks arising from the financial standing of its functional bodies, particularly the LLDC and the OPDC given the GLA is their principal funder and funder of last resort.	• The final Local Government and Fire Finance Settlement for 2016-17 was published in February 2016 and the Local Government Finance Report and council tax referendum excessiveness principles were approved by the House of Commons that same month. • A financially balanced budget for 2016-17 was set, including flexibility to fund the priorities of the new Mayor. • The framework for managing funding risks arising from LLDC was in place throughout 2015-16 and included high-level financial and policy liaison meetings, the formal governance direction to LLDC and observer status on LLDC's Board and Committees. • OPDC is not yet spending significant sums, though its governance framework was developed during the year. The Mayor has initiated a review of OPDC and this will inform the future direction of the Corporation. • This challenge was prominent on the GLA's risk register throughout 2015-16 and will remain a challenge for 2016/17.
2. Related to the above, working with Government to provide oversight, assurance and risk management for the Olympicopolis project led by LLDC; and to ensure the success of the OPDC.	• The GLA, Government, LLDC and partners of the Culture and Education District agreed in June 2015 to an integrated assurance approach based on the three lines of defence model. Its purpose is to assure the programme board and funders, partners and other key stakeholders that capabilities, systems and controls are in place to deliver objectives efficiently and effectively. • The integrated assurance activities are delivered by an independent assurance provider, appointed following a competitive procurement by LLDC on behalf of the funders and partners, and aligned to project and programme milestones. • A Risk and Assurance Board – with an independent chair and made up of representatives from LLDC, project partners, the GLA, Government and the Foundation for FutureLondon – oversees the risk and assurance programme. This is accountable to Culture and Education Programme Board, being the board responsible for oversight of the programme.
3. Responding to a new Government's agenda, which will have significant funding and policy implications.	• This was addressed through ongoing policy analysis. There was a particular focus on the Housing and Planning Bill, with discussions with Government in its draft stage and analysis of its impact for the GLA. Another area of focus was devolution including of certain health responsibilities.

Challenge	2015-16 developments
	• There will be a focus in 2016-17 on influencing and responding to events flowing from the outcome of the EU Referendum.
4. Identifying and managing the risks arising from the GLA's financial transactions portfolio; and in particular ensuring the GLA is able to both maximise outcomes and meet its commitment to repay Government loan funding for Housing Zones and the London Housing Bank.	The following mitigations were put in place in 2015-16: • Appropriate level of repayment to DCLG based on the inherent risks of recovery. For the London Housing Bank (straightforward projects to financially stronger organisations), this has been agreed at 100%. For the Housing Zones, it has been agreed at 60% across the portfolio allowing variability in individual projects. • Financial Transactions Steering Group with a remit to ensure the GLA is able to meet its commitment to repay government loan funding, including setting the strategic direction for and monitoring the portfolio of onward loans. • Related funding only advanced to credit-worthy organisations who are financially strong enough to repay the GLA or where there is high collateral that can be used as security. • Charge interest on funding. This will provide a buffer to the repayment obligations as DCLG will not be entitled to any interest. • The GLA will take appropriate security (including step-in rights) to ensure that if problems occur with a provider/project then it is able to recover the funds due. • In the event of a shortfall in the funding recovered by GLA and the repayment obligations to DCLG, then Housing and Land budgets will be used in the first instance to insulate the rest of the GLA from any risk. • The end of year flexibility the GLA has with budgets will allow repayment obligations to managed flexibly within budgets. • The other cash-flow flexibility the GLA has will provide additional protection from repayment obligations.
5. Preparing so as to manage effectively the likely significant transformation and change following the GLA elections in 2016.	• Addressed variously in the main body of the statement; but, in summary, managed through the Transition Group chaired by the Head of Paid Service.
6. Monitoring a suite of 100 GLA programmes which cut across a wide variety of subject areas and account for £100m of revenue spend and £0.8bn of capital spend in 2015-16.	• The GLA's Investment and Performance Board (IPB) continued in 2015-16 to take an active role in ensuring value for money was achieved, proper governance arrangements were in place and areas of underperformance challenged; • Key performance indicators and Mayoral commitments were also tracked to identify, and take action, on any areas of underperformance.

Challenge	2015-16 developments
7. Maintaining a large amount of data on the GLA website and ensuring that it remains timely, accurate and easily accessible, particularly during the period a newly designed website is developed and goes live in late 2015.	• The new website went live in November. It makes the GLA's governance and other key information more accessible and easier to search. • Work was undertaken in advance to determine what information needed to be carried forward and content was streamlined accordingly. • Some content was archived as part of that process and is available via a separate archiving site. • A new records management policy was adopted in March 2016 and will support good information governance.
8. Addressing issues raised by Internal Audit in their review of the GLA's grants process.	• Progress has been made to establish a grants database (see paragraph 3.45 above.

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GREATER**LONDON**AUTHORITY   **LONDON**ASSEMBLY

Subject: Workforce Report

Report to: GLA Oversight Committee

Report of: Head of Paid Service	**Date: 20 July 2016**

This report will be considered in public

1.   Summary

1.1   This is the workforce report for the period 1 April 2015 to 31 March 2016.

2.   Recommendation

2.1   **That the Committee notes the report.**

3.   Background

3.1   This is the thirteenth workforce report following the creation of the current organisation structure and covers the year ending 31 March 2016 and contrasts with the year ending 31 March 2015. It also covers recruitment for this period.

3.2   The attached appendix is presented in a format agreed with the GLA Oversight Committee, with additional information included as requested by the Committee. Background data is available from Human Resources and Organisational Development (HR & OD) on request.

3.3   The Greater London Authority (GLA) payroll service is provided directly by LFEPA. The core human resources (HR) system is provided by Midland HR Systems and the recruitment system by ATS Havas.

4.   Issues for Consideration

4.1   Detailed data for the year ending 31 March 2016 is set out in the attached document (**Appendix 1**). Throughout the report, commentary has been included on the data highlighting the headline issues. The comparative benchmarking data in this report is taken from the Chartered Institute for Personnel and Development, Xpert HR reports and the Office for National Statistics.

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5. Turnover

5.1   Total annualised turnover for the GLA for the year ending 31 March 2016 was 15% with voluntary turnover running at 11%. Xpert HR labour turnover rates 2015 survey shows overall turnover across the public sector as 14% with voluntary turnover as 11.5% and private sector at 23% and voluntary turnover as 16%.

5.3   Of leavers for the period, 73% completed part one of the exit questionnaire. The data shows that 100% of those completing part one of the questionnaire would return to work for the GLA in the future.

5.4   The exit data shows that, of those declaring their destination after leaving the GLA, 33% took roles in the private sector, 45% in the public sector and 22% in the voluntary sector. The main reason given for leaving the GLA was promotion.

6   Workforce Composition

6.1   Total staff numbers has increased from 787 as at 31 March 2015 to 795 as at 31 March 2016. The distribution of staff across the directorates has remained broadly similar with no significant changes.

6.2   The GLA is aiming for a workforce which is representative of London's communities at all levels of the organisation.

6.3   The workforce composition in terms of Black, Asian and Minority Ethnic (BAME) ethnicity has increased slightly to 25% for the period in question. The overall turnover for BAME staff is 24% and is proportionate to the overall BAME profile in the organisation. The proportion of BAME staff has remained fairly stable from 2008 to date.

6.4   Across the directorates, Resources has the highest number of BAME staff with 37% of the directorate total. The percentage of BAME staff in other directorates ranges from 10% in the Secretariat to 36% in External Affairs.

6.5   The percentage of female staff has remained relatively stable at 52%.

6.6   The percentage of disabled staff has remained at 5%.

6.7   As at 31 March 2016, 12% of the total workforce were part time which is an increase from 8% since March 2015. Of these, 83% were female and 17% were BAME.

6.8   In the year ending 31 March 2016, 27 commenced maternity leave. There were 19 employees due to return from maternity leave during the reporting period of which only one did not return.

7 Equalities Taskforce Initiatives

7.1 The GLA is committed to promoting a workforce profile representative of London's population, at all levels of the organisation. The Equalities Taskforce continues to drive forward the action plan which was agreed with the Corporate Management Team. The taskforce comprises of representatives from HR, Unison and senior managers from each directorate. The action plan focuses on addressing diversity and inclusion issues and improving representation in the organisation.

7.2 The Equalities Taskforce are working in partnership with Timewise, a company that specialises in offering part time opportunities and works with organisations to develop a strategy to aid career progression for part time workers. The GLA hosts quarterly meetings with Timewise to learn, share and develop ideas for how the GLA can take a more inclusive approach to recruitment and career progression for part time staff. The aim is to continue to develop a culture where flexible working is not a bar to career progression.

7.3 The Women of London City Hall Network hosted a conversation café on flexible working in January 2016 and offered staff insights from this session at the lunchtime presentation. In April 2016 Fiona Fletcher-Smith, Executive Director for DEE hosted a lunchtime presentation for staff on flexible working with a number of senior leadership role models sharing their experiences. The HR&OD team provided an overview of the types of flexible working on offer and the progress we've made as an organisation over the last 18 months with regards to promoting flexible hiring.

7.4 Since January 2016 90% of job adverts, both internal and external, now go out with the following line if it is possible for the role to be open to flexible working: "The GLA is committed to being an inclusive employer and we are happy to consider flexible working arrangements. We would welcome applications from candidates who are seeking part time work as this role is open to job share".

7.5 According to the most recent Staff Survey, 77% of GLA staff believe that they are enabled to work flexibly. As a result of the work of the HR & OD team to promote flexible hiring, within the current reporting period, 11% of full time jobs were recruited on a part time basis.

7.6 The new London.gov 'Working at City Hall' section has a new web page dedicated to flexible working which provides applicants information on the GLA's approach to flexible working and case studies of staff who work flexibly at City Hall.

7.7 The HR & OD team have improved the information available to applicants as to why the GLA requests equalities monitoring information at application stage, making it clear the information does not form part of the selection process and used only to help monitor the fairness of our selection procedures.

7.8 The new London.gov will have a section for 'meet our people' which features staff profiles to showcase diversity at the GLA. The new London.gov 'Working at City Hall' section has a web page dedicated to flexible working which provides applicants with information on the GLA's approach to flexible working and case studies of staff who work flexibly at City Hall. Applicants can also find blog posts on apprenticeships

7.9 The Equalities Taskforce now sees regular feedback from shortlisting spot checks, which are carried out with a member of HR and someone independent from the original shortlist panel. The shortlist

audit panel provide a response as to whether there has been a robust and fair process and whether they concur with the outcomes. To date the audits have demonstrated no concerns with the process or outcomes of shortlisting.

7.10   The GLA is trialling 'name-blind' recruitment as a new initiative to address the challenge of unconscious bias. Name-blind recruitment removes names from application forms to reduce the risk of unconscious bias in the process. The GLA is planning to roll this out across the organisation to assess whether this makes any impact in improving the shortlisting outcomes for BAME and female applicants.

7.11   Parents of children born or placed for adoption on or after 5 April 2015 are entitled to Shared Parental Leave (SPL).   HR&OD unit have launched a trial SPL policy that entitles GLA employees to enhanced shared parental leave pay in line with the GLA maternity pay. In June 2016, the HR&OD unit will conduct a review of the policy which will include data on employee take up, associated costs and any further guidance or changes to the legislation. In the year ending March 2016 three employees have taken shared parental leave.

8   Salaries

8.1   58% of staff are in the £30,000 – £50,000 salary bracket. The number of staff earning over £60,000 has reduced slightly from 13% as at March 2015 to 12%, staff earning over £100,000 has remained stable at 3%. The comparison between lowest and highest is 7.4:1, the highest paid is 4 times the average salary. The average salary has increased slightly from £45,978 to £46,155.

8.2   The percentage of BAME staff earning above £60,000 has reduced slightly from 15% as at March 2015 to 12% as at March 2016. BAME staff represent 33% of staff earning between £30,000 – £40,000, and 23% between £40,000 - £50,000.

8.3   The salary levels for female and male staff are broadly representative up to £60,000. The number of females earning £60,000+ has significantly increased since 2008 from 31% to 41%.

8.4   The Mayor committed to publishing the gender pay gap in the GLA. The pay gap has been calculated using median salaries as recommended by the ONS. The pay gap information is included for the period ending 31st March 2016. The pay gap between full-time men and women in the GLA is 4.63%. For full-time workers in London it is 11.9%[1] so the GLA compares favourably to this. The pay gap for part-time employees (including mayoral appointments) is high as there were a number of highly paid part-time men in the mayoral team.

8.5   The GLA has a job evaluation scheme and therefore is confident it pays the same salary for roles of equal value. The pay gap is due not have less representation of women at a senior level in the organisation. The taskforce is reviewing ways to address this over the next year including mentoring, career development workshops, and increasing flexible working opportunites.

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[1] ONS 2015 Annual Survey of Hours and Earnings

9   Sickness Absence

9.1   The findings in this report are based on sickness data for the year ending 31 March 2016. People Managers now use the Midland HR System to record their staff sickness, this gives managers access to real time information for their staff/teams. The HR team continue to provide monthly reports with details of the number of sickness days taken by unit and Directorate.

9.2   Annualised figures show an average absence of 2.8 days per employee for the year ending 31 March 2016. The GLA average is significantly lower than published benchmark figures from the CIPD Absence Management Survey 2015 which reported Central and Local Government as 9 days and 7.9 days respectively.

9.3   Resources directorate reported the highest number of days lost due to sickness this is due in part to a few long term cases of sickness rather than many short term.

9.4   HR & OD continues to support line managers in the application of the Sickness Absence policy which helps to ensure absence is reported by managers and encourages proactive intervention resulting in managers engaging with staff much earlier than before, leading to an improving picture of sickness absence.

Recruitment

10.1   The current reporting period (April 2015 – March 2016) there were a total of 188 vacancies. Vacancies are advertised internally first and from that process 95 (51%) of appointments were made from the existing workforce.

BAME
10.2   The number of BAME applicants applying for external vacancies has increased by 4% to 37%, the number of applicants moving through to shortlist stage increased by 1% to 26% and appointments has increased by 3% up to 27%. In the same reporting period, internal BAME applications increased by 6% to 39%, the number of shortlisted increased by 11% to 36% and appointments by 5% to 23%. The internal and external recruitment figures are the highest they have been across all stages.

Female
10.3   Females made up 57% of the applicant pool for posts advertised externally and 60% of posts advertised internally. There has been an increase in the number of females interviewed externally (55%) and internally (58%). The number of external appointments decreased by 4% to 55% and decreased by 2% to 58% for internal appointments. The number of females progressing to interview is consistent with previous reporting periods and the number of appointments is higher than the current number of female staff (52%)

Disability
10.4   The number of applicants from disabled groups applying for external vacancies and moving through to shortlist stage has remained at 5%, however the number of appointments has decreased to 2%. In the same reporting period, the number internal applications has increased to 7%, the number of shortlisted applicants increased to 6% and appointments to 4%.

Sexual Orientation

10.5 The workforce report includes recruitment and retention figures in relation to sexual orientation, and this data is reviewed in the context of existing employee workforce data. In the current reporting period 7% of staff that have made a response declared their sexual orientation as lesbian, gay, bisexual, or transgender (LGBT).

10.6 The number of external LGBT applicants and number at shortlist stage is 6% and the number of external appointments is 3%. The number of internal LGBT applicants and number at shortlist stage are both 8% and this increases to 9% for internal appointments.

Faith

10.7 The current number of employees who declare a Christian faith is 34%; this is the largest faith group. For external and internal recruitment, the highest number of applications, shortlisted and appointments are Christian. The current number of employees declaring no faith is 41%. With regards to external appointments 41% declared 'no faith' and for internal appointments 48% declared 'no faith'.

Age

10.8 Of current employees the highest number fall in age band 30-39 years (38%), followed by age band 40-49 years (24%). The highest number of external applications fall in the 20-29 years (35%) age band followed by 30-39 years (34%). The 20-29 years age band is the highest at shortlisting stage (33%) and appointments (41%). With the exception of the 30-39 years age band being the highest number shortlisted, the figures are consistent with previous reporting period,

The highest number of internal applicants is in age band 30-39 years (40%) which continues through to shortlisting stage (40%) and number of internal appointments (41%). The figures remain proportionate at each stage and are consistent with the previous reporting period.

10.9 The HR & OD team continues to review the use of different advertising media using the information captured via the Applicant Tracking System (EngageATS) to understand where applicants see job opportunities with the GLA and the diversity of applicants.

11. Organisational Development and Engagement

11.1 Leadership and Management

Approximately a third of GLA staff have line management responsibilities. The GLA implemented our first Leadership and Management Strategy in October 2014. The key programmes and tools include:
- Cornerstone Module - to explain the management development programmes on offer and provide tools to help managers plan their development.
- Management and Leadership Diagnostic Tool – to enable managers to assess their skills against the GLA management and leadership standards and behaviours to inform their development choices

- Management Essentials – a range of workshops and courses focusing on specific skills areas, for example, recruitment and selection, performance management, delegation, team development and coaching.
- Leadership Excellence – series of workshops and discussions for senior managers
- Management Development Programmes focusing on developing manager's careers and helping them transition between different levels of management
  - Institute of Management (ILM) accredited qualifications programmes
    - ILM Level 3 Into Management – for first line and aspiring managers
    - ILM Level 5 Into Middle Management – for middle and aspiring middle managers
  - Into Leadership – for aspiring senior managers

11.2   About 70% of GLA line managers have attended the introductory Cornerstone module. A total of 252 places on Management Essentials courses have been taken up since April 2015 to date. During the same period, 39 managers have been studying for ILM levels 3 and 5. Satisfaction rates are high with a 78% satisfaction rate for Management Essentials and for the ILM Programmes. A review of the strategy will be undertaken by Autumn 2016. The table below shows the equality profile for the participants of the ILM accredited Management Development Programmes.

Programme	Cohort1	Cohort 2	Cohort 3	Cohort 4
Into Management (Level 3)	Launched 23 Oct 2014 9 delegates 78% female managers 12% BAME	Launched 11 Feb 2015 10 delegates 90% female 40% BAME	Launched 19 Oct 2015 11 delegates 45% female 18% BAME	Launched 7 March 2016 12 delegates 75% female 42% BAME
Into Middle Management (Level 5)	Launched 14 Jan 2015 7 delegates 43% female	Launched 21 April 2015 9 delegates 33% female 22% BAME	Launched 22 Oct 2015 7 delegates 29% female 14% BAME	Not launched yet
Into Leadership	Launched 13 delegates 62% female 16% BAME			

11.3   Apprenticeships

The apprenticeship scheme was launched at the GLA in late 2009, following the Mayor's commitment to deliver 3000 GLA Group apprenticeships over three years. The scheme was established in a joint partnership with the other GLA Group organisations. It has grown steadily over the years and apprentices now make up 2.4% of the total workforce in the GLA.

The scheme provides a career development journey for young people:

- Traineeship (12 week work experience placement, with work readiness training and expenses paid)
- Advanced Apprenticeship (Structured 12 month work placement, paid LLW, NVQ level 2/3)
- Higher Apprenticeship (18 month contract paid G1, NVQ level 4 in project management)

11.4   In the current year, the GLA is hosting 17 Advanced Apprentices and 8 Higher Apprentices in project management (the 2015 cohort will complete their placement in July 2016, whereas the 2016 cohort will be based at the GLA until July 2017).

To date the scheme has been very successful in supporting young people into long term employment. We have 16 former apprentices (including 2 CIPFA apprentices who completed their placement in 2015) employed within the workforce. The Higher Apprenticeship in project management provides an option for advanced apprentices to continue within the GLA and opens up access for them to project based roles.

11.5   The GLA Apprenticeship scheme attracts a diverse group of young people and the ethnicity profile of apprentices (47% BAME) is very positive. The table below shows the equalities profile of the 2015 apprenticeship recruitment campaign.

Stage	Total	BAME		Disability		Female	
Applications	154	93	60%	5	3%	78	51%
Invited to Assessment	63	40	63%	1	2%	29	46%
Attended Interview	32	18	56%	1	3%	18	56%
Appointed	17	8	47%	1	6%	9	53%

11.6   Traineeships

Traineeships are a Government scheme designed to help young people aged 16 to 24 who want to get an apprenticeship or job but who do not yet have appropriate skills or experience. The eligibility criteria for a traineeship are as follows:
- eligible to work in the UK
- unemployed and with little or no work experience
- qualified below Level 3 (equivalent to AS/A Level)

The GLA has delivered trainee schemes over the last two years in partnership with Outsource, in line with the government's recommended programme.

11.7   The GLA Traineeship provides a high quality 12 week programme which includes two weeks employability training and a 10 week work experience placement. Trainees attend additional training (including support with Maths and English if needed) during their placement and those who complete the traineeship are guaranteed an interview for the GLA apprenticeship scheme. Trainees gain valuable work experience and develop new skills and behaviours to become work-ready and capable of taking the next step of an apprenticeship or paid job. This is evidenced by the success of the most recent programme (which finished in November 2015): five trainees completed the programme and attended the GLA Apprenticeship assessment days. All five secured long term paid

employment; three secured GLA Apprenticeships, and two secured employment with other organisations.

11.8   The table below shows the Equality data for the Traineeship recruitment in 2015.

Stage	Total	BAME		Disability		Female	
Applications	32	20	63%	3	9%	15	47%
Invited to Assessment	16	11	69%	2	13%	6	38%
Appointed	7	5	71%	1	14%	2	29%
Completed Programme	5	4	80%	1	20%	1	20%

11.9   In August 2016 the GLA will once again host a project team of Teach First teachers who will work with the apprentices and trainees to continue to evaluate the scheme and provide tools to support them and their managers taking their next career steps. This year's focus will be on mapping out the apprentice career pathway and identifying key success factors, as well as evaluating the Higher Apprenticeships scheme.

11.10   The GLA offers internships which are short term opportunities (between 1- 6 months) to complete clearly defined project or programme of work and our interns are paid the London Living Wage. In the current reporting period, the GLA recruited 18 interns. The GLA Internship scheme attracts a diverse group applicants and the BAME profile of interns appointed (61%) is well above the workforce profile (24%). The gender balance of appointments was 56% female and 6% of those appointed were disabled.

11.11   Employee Wellbeing

A healthier and happier workforce is linked to better productivity and higher levels of staff engagement, impacting positively on business performance. The GLA is committed to supporting staff health and wellbeing and empowering employees to care for their own health. The Wellbeing Network, made up of staff representatives from across the GLA, has been supporting this objective by coordinating a range of health initiatives run by and for staff.

11.12   The GLA has signed the Time to Change pledge through which organisations commit to taking action to tackle the stigma and discrimination around mental health in the workplace. HR&OD are working on a mental health policy statement and guidance and establishing a peer mental health support group for staff. In October 2015 we partnered with Kings College to pilot an 8 week online programme on Self Confidence in the Workplace. The programme was based on cognitive behavioural therapy and covered different self-management techniques such as time management, problem-solving, getting support, challenging negative thoughts.

11.13   In April 2016 the GLA hosted its annual staff Health and Wellbeing Fair Wellbeing with stalls provided by external Health and Wellbeing organisations, suppliers, and staff representatives. The fair provided a range of health information and testing and was supported by our EAP, and Occupational Health and Health check providers. The wellbeing network hosted a Mental Health

stand which promoted good mental health practices in the workplace. We are currently hosting a series of lunchtime presentations on Work Life Balance and Wellbeing supported by Birkbeck College, University of London.

11.14   Employee Engagement Survey

The GLA employee engagement survey Your Say was carried out in December from (30 November–18 December). This survey follows on from staff surveys in 2009, 2011, 2013 in line with the GLA's commitment to survey employees every 2-3 years. The response rate was high (82%) although down on 2013 (88%). The engagement index continues to be high, with a further increase to 79% (up 4% since last survey) which is 14% higher than the public sector average.

11.15   Areas to celebrate:

- The GLA has an aligned, engaged and enabled workforce - staff are clear how their work contributes to the objectives of the GLA (91%) and are proud to work for the organisation (85%). 78% of staff said working for the GLA makes them want to do the best work they can do - this is 24% above the public sector average.
- Best in class perceptions of our leadership. Scores for belief that "senior managers are sufficiently accessible" and "are open and honest in their communications" are 15% above the public sector average.
- The learning and development investment has had a positive impact - after the last staff survey it was recognised that learning and development was an area that needed focus. All areas have seen improvements of 9% upwards. "There are sufficient opportunities for learning and development at the GLA to improve my skills in my current job" has gone up by 17%.

11.16   Areas for continued focus:

- Work-life balance and work pressure - GLA scored 6% below the public sector average in believing line managers support a healthy work-life balance
- Collaboration and cross organisational working - over 25% of staff were unsure as to whether the GLA provides appropriate networking opportunities
- Career progression opportunities - Only 40% of believe there are sufficient opportunities at the GLA to develop their career.

12.   Grievances/ Disciplinary

12.1   During the period 01/04/15 to 31/03/2016 there were three disciplinary cases and three grievances. Equalities data for disciplinary and grievance cases has been withheld in light of the small numbers.

13. Complaints

For the period 1 April 2015 to 31 March 2016 a total of 51 complaints were received.

13.1 Of the 51 complaints received by the GLA
- 48 were responded to within the GLA's performance target (20 working days)
- 4 complaints were marked for no further action (NFA)

13.2 Of the 51 complaints 16 were upheld, 10 were partially upheld and 25 were not upheld. Forty seven were stage 1 complaints, three were stage 2 complaints and one was a stage 3 complaint. Examples of complaints received are:
- responses to correspondence
- attitude of staff or stewards at events
- planning applications
- information out of date on website and/or website not working adequately.

Table 1

2014/15		2015/16	
Complaints received	% responded to within 20 working days	Complaints received	% responded to within 20 working days
55	90% (Target of 90%)	51	94% (Target of 90%)

Table 2: Complaints received by directorate

Directorate	2014/15					2015/16				
	Q1	Q2	Q3	Q4	Total	Q1	Q2	Q3	Q4	Total
Mayor's Office	0	0	0	0	**0**	2	0	0	1	**3**
Corporate Management Team	1	2	1	2	**6**	0	0	2	0	**2**
Resources	1	0	5	3	**9**	3	0	0	3	**6**
External Affairs	0	9	11	7	**27**	7	11	3	5	**26**
Communities & Intelligence	1	0	1	1	**3**	1	0	0	0	**1**
Development, Enterprise & Environment	0	1	2	0	**3**	1	4	2	2	**9**
Housing & Land	1	1	0	0	**2**	3	1	0	0	**4**
Total received	**4**	**13**	**25**	**13**	**55**	**17**	**16**	**7**	**11**	**51**

Improving performance

13.4 The GLA will continue to monitor complaint handling performance in 2016/17 as part of its performance management framework. The indicator will continue to be monitored internally on a monthly rather than quarterly basis to ensure interventions are put in place, if necessary. Work will also be done to ensure correspondence is classified consistently as a compliant where appropriate.

13.5   Correspondence performance is presented to the Corporate Management Team on a quarterly basis. Where performance has not reached the GLA target (90%) improvement measures are discussed and senior managers are responsible for ensuring those measures are introduced.

13.6   The Public Liaison Unit has allocated individual officers to each directorate to assist with improving performance. This has proved to have been a positive intervention as performance has improved slightly over the past year.

13.7   The GLA receives relatively few complaints. This means that not responding to one complaint within the target of 20 working days can have a disproportionate impact on reported performance.

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14.   Financial Implications

14.1   There are no financial implications for the GLA arising from this report.

15.   Legal Implications

15.1   The Committee has the power to do what is recommended in this report.

List of appendices to this report:
Appendix 1 - Workforce Report – An annual digest of employment data and statistics – period 01/04/15 to 31/03/2016.

Local Government (Access to Information) Act 1985
List of Background Papers: None

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GLA Workforce Report

An annual digest of employment data and statistics for year ending 31 March 2016

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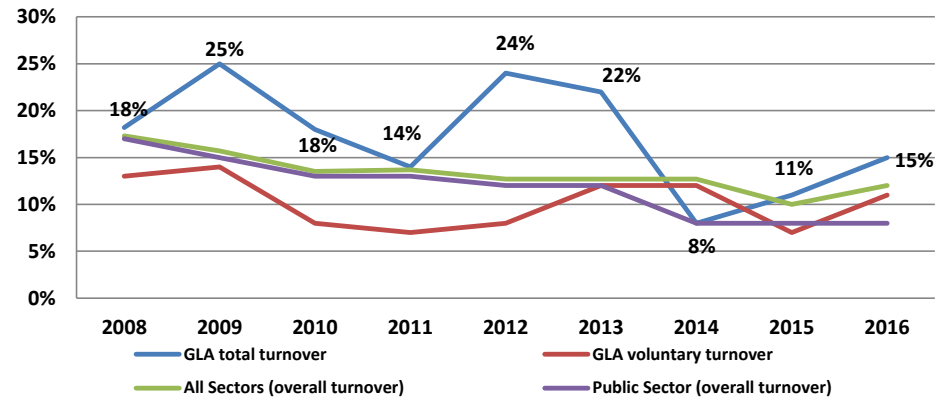
GLA Workforce Report Key

Code	Directorate
AS	Assembly Secretariat
DEE	Development, Enterprise & Environment
EA	External Affairs
H&L	Housing & Land
HoPS & C&I	Head of Paid Service and Communities & Intelligence
MO	Mayors Office
Res	Resources

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Turnover - overview

Turnover by Directorate

Chart legend:
- % voluntary turnover
- % involuntary turnover
- Overall GLA

Data labels (voluntary / involuntary):
- AS: 19 / 3
- DEE: 19 / 3
- EA: 10 / 5
- H&L: 5 / 5
- HoPS & C&I: 17 / 11
- MO: 2 / 1
- Res: 18 / 6

Turnover benchmarking

Chart legend:
- GLA total turnover
- GLA voluntary turnover
- All Sectors (overall turnover)
- Public Sector (overall turnover)

Data labels: 18%, 25%, 18%, 14%, 24%, 22%, 8%, 11%, 15%

Reasons for leaving

Reason	Number	%
End of Contract	31	25%
Redundancy	3	2%
Resignation	87	70%
Retirement	1	1%
Retirement Ill Health	2	2%
Total	**124**	100%

Leavers by ethnicity

- White: 68%/84
- BAME: 24%/30
- Not Known: 8%/10

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Staffing profile

Staffing profile by directorate 2015 and 2016

Mar-15, Mar-16

- AS: 98, 91
- DEE: 164, 180
- EA: 74, 73
- H&L: 97, 99
- HoPs & C&I: 139, 129
- MO: 51, 48
- Res: 164, 175

Number of staff by salary band

- 0 to 20,000
- 20,001 to 30,000
- 30,001 to 40,000
- 40,001 to 50,000
- 50,001 to 60,000
- 60,000 to 70,000: 25
- 70,000 to 80,000: 25
- 80,000 to 90,000: 23
- 90,000 to 100,000: 2
- 100,000 +: 24

Staffing profile by contract type

- Permanent employees: 79%/630
- Fixed term employees: 21%/165

GLA staff 2008 to 2016

- 2008: 675
- 2009: 648
- 2010: 592
- 2011: 637
- 2012: 711
- 2013: 724
- 2014: 761
- 2015: 788
- 2016: 795

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Salary profile

Salary breakdown by Directorate

Directorate	Values
AS	9, 43, 29, 5, 11, 3
C&I and HoPS	2, 12, 26, 65, 13, 2, 3, 3, 3
DEE	10, 6, 27, 63, 53, 8, 2, 7, 4
EA	3, 7, 31, 25, 1, 4, 1, 1
H&L	3, 15, 40, 18, 7, 8, 5, 3
MO	1, 9, 22, 5, 2, 7
Res	12, 52, 37, 30, 23, 7, 5, 6, 3

Legend:
- 0 to 20,000
- 20,001 to 30,000
- 30,001 to 40,000
- 40,001 to 50,000
- 50,001 to 60,000
- 60,000 to 70,000
- 70,000 to 80,000
- 80,000 to 90,000
- 90,000 to 100,000
- 100,000 +

Average salary since 2008

£42,865
£43,103
£43,629
£43,903
£44,643
£46,043
£45,588
£45,978
£46,155

2008 2009 2010 2011 2012 2013 2014 2015 2016

Comments

The majority of employees at the GLA earn between £30,000 and £50,000. The employees earning less than £20,000 are all Apprentices or Interns earning London's Living Wage. The average salary was £46,155 as at the 31 March 2016.

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Sickness

Total days taken by Directorate for year ending March 2016

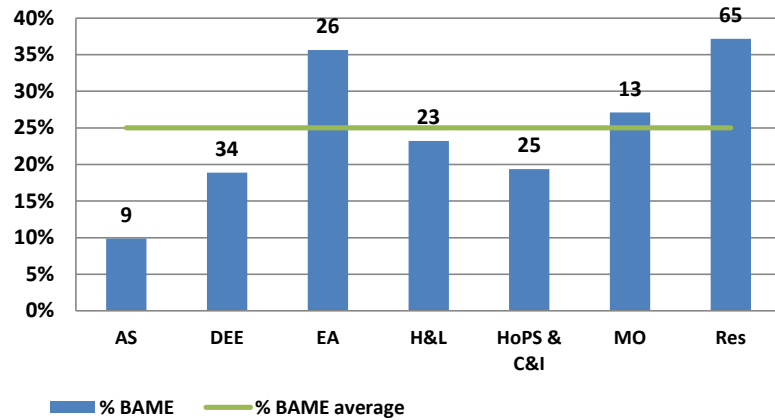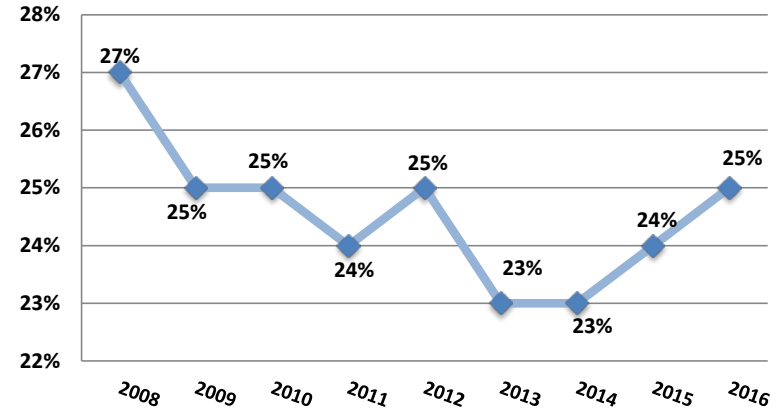## Average days taken 2008 to 2016 with benchmarking

Values labelled on GLA line: 6.5, 6.7, 5.8, 4.1, 4.7, 3.3, 3.4, 3.2, 2.8

Legend: GLA, Central Gov, Local Gov, CIPD Average

Days taken by Reason

Categories: Stress/Depression/Anxiety/Mental..., Stomach/Liver/Kidney and Digestion..., Pregnancy Related, Other Musculo-skeletal Problems (not..., Neurological (Including Headaches and..., Infections (Including Cold and Flu), Heart/blood pressure and Circulation..., Genito-urinary Problems, Eye/Ear/Nose/Mouth and Dental Problems, Chest and Respiratory Problems, Back and Neck Problems

Comments

The number of average days taken due to sickness for the year ending 31 March 2016 was 2.8 this continues to be lower than published benchmark figures from the Chartered Institute of Personnel and Development (Absence Management Survey 2015) for Central Government, Local Government and Private Sector who have reported 9.0, 7.9 and 8.3 average days per employee. Days taken by reason do not include data where no specific reason is selected or where multiple reasons are given. Since February 2016 Managers have had access to their reportees sickness records through People Manager using the HR System, they are able to add and amend individuals records and have access to their teams absence calendars.
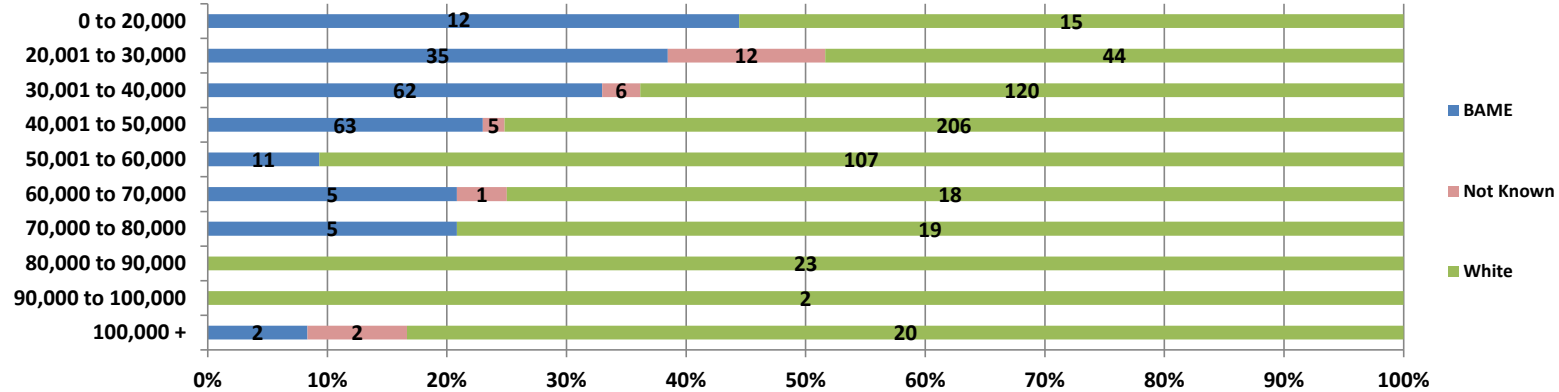
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BAME workforce analysis

BAME staff by directorate (% and number)

Legend: % BAME, % BAME average

BAME employees 2008 to 2016

Values by year: 2008: 27%, 2009: 25%, 2010: 25%, 2011: 24%, 2012: 25%, 2013: 23%, 2014: 23%, 2015: 24%, 2016: 25%

BAME staff by salary (% and number)

Salary band	BAME	Not Known	White
0 to 20,000	12		15
20,001 to 30,000	35	12	44
30,001 to 40,000	62	6	120
40,001 to 50,000	63	5	206
50,001 to 60,000	11		107
60,000 to 70,000	5	1	18
70,000 to 80,000	5		19
80,000 to 90,000			23
90,000 to 100,000			2
100,000 +	2	2	20

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Recruitment - BAME staff

External Recruitment

Chart: External Recruitment (2010–2016) — Applied, Shortlisted, Appointed

Internal Recruitment

Chart: Internal Recruitment (2013–2016) — Applied, Shortlisted, Appointed

Promotions & Additional Payments

Ethnicity	GLA profile at 31/03/16	Additional Payments for year ending 31/03/15	Additional Payments for year ending 31/03/16
BAME	25%	17%	19%
White	72%	83%	81%
Not Known	3%	0%	0%

Comments

The number of external applications received from BAME Groups has increased to 37% whilst the number shortlisted and appointed has also increased, 26% and 27% respectively. The number of internal applications received has increased to 39% and there has been a significant increase in number of applicants shortlisted (36%). The number of internal appointments has also increased (23%).

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Gender workforce analysis

Female staff by directorate (% and number)

Directorate	Female
AS	47
DEE	84
EA	47
H&L	54
HoPS & C&I	77
MO	29
Res	79

■ Female ■ Male

Female employees 2008 to 2016

- 2008: 55%
- 2009: 51%
- 2010: 53%
- 2011: 54%
- 2012: 52%
- 2013: 51%
- 2014: 51%
- 2015: 52%
- 2016: 52%

Salary by gender (% and number)

Salary	Female	Male
0 to 20,000	13	14
20,001 to 30,000	49	43
30,001 to 40,000	105	85
40,001 to 50,000	156	121
50,001 to 60,000	59	59
60,000 to 70,000	11	14
70,000 to 80,000	15	10
80,000 to 90,000	6	17
90,000 to 100,000	1	1
100,000 +	7	17

■ Female
■ Male

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Recruitment - female staff

External Recruitment

Legend:
- Applied
- Shortlisted
- Appointed

Internal Recruitment

Legend:
- Applied
- Shortlisted
- Appointed

Promotions

Gender	GLA profile at 31/03/16	Additional Payments for year ending 31/03/15	Additional Payments for year ending 31/03/16
Female	52%	63%	52%
Male	48%	38%	48%

Comments

The number of external applications received from female staff has increased to 57%, the number of shortlisted applicants increased to 55%, however the number of appointments decreased from 59% to 55%. The number of internal female applicants has increased significantly to 60% and number shortlised to 58%, however the number of internal appointments has decreased by 2% to 58%.

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Gender Pay Gap

The pay gap has been calculated using median salaries as recommended by the ONS. The pay gap information is included for the period ending 31st March 2016. The pay gap between full-time men and women in the GLA is 4.63%. For full-time workers in London it is 11.9% so the GLA compares favourably to this.

Median hourly pay rates (Excluding Mayoral Appointments)

Data excluding Mayoral Appointments		
	Median Hourly Pay (Full Time)	Median Hourly Pay (Part Time)
Female	£21.40	£23.58
Male	£22.44	£23.58
Pay Gap	4.63%	0.00%

Median hourly pay rates (Including Mayoral Appointments)

Data Including Mayoral Appointments		
	Median Hourly Pay (Full Time)	Median Hourly Pay (Part Time)
Female	£21.40	£23.58
Male	£22.44	£25.36
Pay Gap	4.63%	7.03%

Quartile Information					
	Quartile 1	Quartile 2	Quartile 3	Quartile 4	Totals
	£18,135 - £56,180.25	£56,180.26 - £94,225.50	£94,225.51 - £132,270.75	£132,270.76 - £170,316	
Female	359	51	6	1	417
Male	295	65	13	5	378
Totals	**654**	**116**	**19**	**6**	**795**

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Disability analysis

Disabled staff by directorate (% and number)

Bar chart showing disabled staff by directorate:
- AS: 3% (3)
- DEE: 6% (8)
- EA: 4% (11)
- H&L: 6% (3)
- HoPs & C&I: 6% (6)
- MO: 2% (1)
- Res: 5% (9)

Legend: Disabled, Linear (GLA disabled)

Disabled employees 2008 to 2016

Line chart:
- 2008: 8%
- 2009: 7%
- 2010: 8%
- 2011: 8%
- 2012: 7%
- 2013: 6%
- 2014: 5%
- 2015: 5%
- 2016: 5%

Disabled staff salary breakdown (% and number)

Stacked bar chart:
Salary band	Disabled	Not Disabled	Not Known
0 to 20,000	1	22	4
20,001 to 30,000	8	69	14
30,001 to 40,000	10	165	13
40,001 to 50,000	16	240	18
50,001 to 60,000	4	109	5
60,000 to 70,000	1	21	2
70,000 to 80,000	1	23	
80,000 to 90,000		22	1
90,000 to 100,000		2	
100,000 +		21	13

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Recruitment - disabled staff

External Recruitment

Legend: ■ Applied ■ Shortlisted ■ Appointed

Internal Recruitment

Legend: ■ Applied ■ Shortlisted ■ Appointed

Promotions

Disability	GLA profile at 31/03/2015	Payments for year ending 31/03/15	Payments for year ending 31/03/16
Disabled	5%	3%	4%
Not disabled	87%	88%	93%
Not stated	7%	10%	3%

Comments

The number of external applications from disabled applicants and the number shortlisted remains the same as the previous reporting period, however the number of external appointments has decreased to 2%. For internal recruitment, the number of applications has increased to 7%, the number shortlisted to 6% and an increase from 1% to 4% for internal appointments.

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Faith analysis

Faith overall (% and number)

A bar chart showing faith overall percentages and numbers:
- Christian: 268 (~34%)
- Hindu: 12
- Jewish: 13
- Muslim: 31
- None: 328 (~41%)
- Not Known: 119 (~15%)
- Other: 16
- Sikh: 8

Faith by Directorate

Stacked bar chart by directorate (Christian, Hindu, Jewish, Muslim, None, Not Known, Other, Sikh):
- Assembly Secretariat
- Development, Enterprise & Environment
- External Affairs
- Housing & Land
- HoPS & Communities & Intelligence
- Mayors Office
- Resources

Faith by salary band

Stacked bar chart by salary band (Christian, Hindu, Jewish, Muslim, None, Not Known, Other, Sikh):
- 0 to 20,000
- 20,001 to 30,000
- 30,001 to 40,000
- 40,001 to 50,000
- 50,001 to 60,000
- 60,000 to 70,000
- 70,000 to 80,000
- 80,000 to 90,000
- 90,000 to 100,000
- 100,000 +

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Recruitment - Faith

External Recruitment

Internal Recruitment

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Sexual Orientation analysis

Sexual Orientation overall (% and number)

- Not Provided: 110
- Lesbian: 4
- Heterosexual: 626
- Gay: 39
- Declined to specify: 7
- Bisexual: 7

Sexual Orientation by Directorate (% and number)

Directorate	Heterosexual	LGBT	Not Known
AS	74	6	11
DEE	145	13	27
EA	54	5	14
H&L	85	3	12
HoPS & C&i	98	14	18
MO	35	3	10
Res	142	6	28

Legend: Heterosexual, LGBT, Not Known

Sexual Orientation by salary band (% and number)

Salary bands:
- 0 to 20,000
- 20,001 to 30,000
- 30,001 to 40,000
- 40,001 to 50,000
- 50,001 to 60,000
- 60,000 to 70,000
- 70,000 to 80,000
- 80,000 to 90,000
- 90,000 to 100,000
- 100,000 +

Legend: Heterosexual, LGBT, Not Known

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Recruitment - Sexual orientation

External Recruitment

Internal Recruitment

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Age analysis

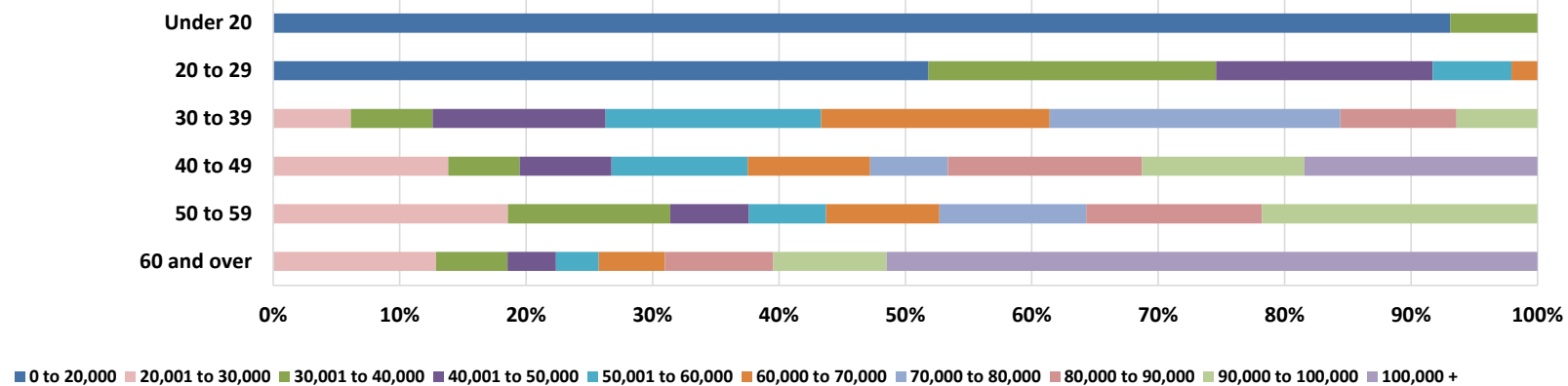## Staff breakdown by age (% and number)

Staff length of service by age band
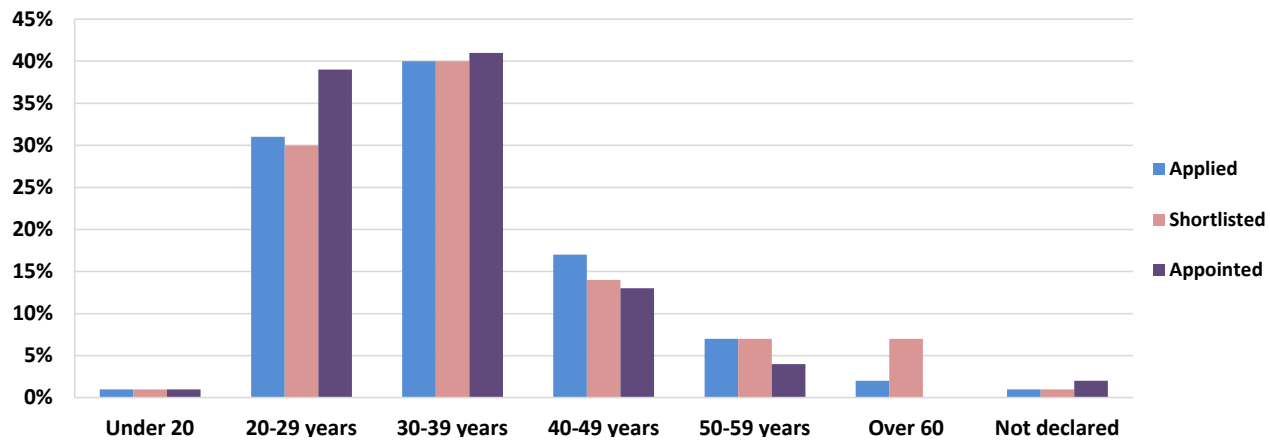

Salary breakdown by age (% and number)

GREATER**LONDON**AUTHORITY

Recruitment - Age

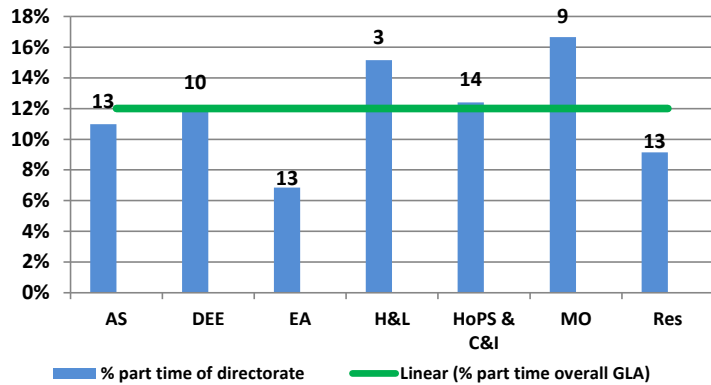**External Recruitment**

Internal Recruitment

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Part time staff analysis

Part time staff by Directorate % and number

Part time staff by ethnicity % and number

BAME 17%/16

White 83%/76

Part time staff by salary band % and number

Salary band	Number
0 to 20,000	4
20,001 to 30,000	7
30,001 to 40,000	17
40,001 to 50,000	38
50,001 to 60,000	11
60,000 to 70,000	6
70,000 to 80,000	1
80,000 to 90,000	2
90,000 to 100,000	2
100,000 +	4

Part time staff by gender % and number

Female 83%/65

Male 17%/27

GREATER**LONDON**AUTHORITY

GREATER**LONDON**AUTHORITY   **LONDON**ASSEMBLY

Subject: People's Question Time

Report to: GLA Oversight Committee

Report of: Assistant Director, External Relations	**Date: 20 July 2016**

This report will be considered in public

1.   Summary

1.1   This report updates and consults the Committee on the proposals for the 33rd People's Question Time (PQT).

2.   Recommendations:

2.1   **That the Committee notes and comments on the proposals for People's Question Time, on Thursday 3 November 2016 contained in this report, particular views are sought on: (i) the geographical area; (ii) the Chair of the event and (iii) the proposed agenda.**

2.2   **That the Committee provides any views, ideas or suggestions on further ways to improve People's Question Time as a consultative event.**

2.3   **That the Committee considers the Mayor's view that the current stage design could be improved and made to feel more accessible and open.**

2.4   **That the Committee notes the future plans for PQT locations and chairs, subject to further research into venues and formal consultation with the Assembly.**

3.   Background

3.1   The purpose of this report is to update and consult the Assembly on plans for People's Question Time in the **London Borough of Brent on Thursday 3 November 2016.** This will be the 33rd PQT the GLA has held.

3.2   People's Question Time is one of the statutory requirements under the GLA Act 1999. It is a joint event between the Mayor and the Assembly. PQTs are organised and funded by the Events for London team within the External Relations Unit, who working closely with the External Relations marketing and creative teams, the London Assembly External Relations team, the Assembly Secretariat and the Mayor's Office.

4.   Issues for Consideration

4.1   **Chair, time and date**
The proposed chair of this PQT event will be Navin Shah, Assembly Member for Brent and Harrow. The meeting will be held from **7pm – 9pm on Thursday 3 November 2016.**

4.2   **PQT venue**
The Events for London Team has identified **Brent Civic Centre,** Engineers Way, Wembley HA9 0FJ as the preferred venue. The venue has a capacity of up to 750 people and has acceptable local transport links.

4.3   **Agenda**
Previous agendas for this event have run as follows:

1. Growing London's economy
2. Housing
3. Transport & Environment
4. Policing & Community Safety
5. Other issues

The Mayor would like to amend the agenda for this PQT to the following which he feels addresses the issues of Londoners in a more direct manner:

1.   Transport
2.   Safety
3.   Air quality & environment
4.   Housing
5.   Growing London's economy
6.   Other (e.g. Culture, Education)

4.4   **Public Engagement**
The Events for London team will work with the London Borough of Brent to target specific groups within the area to enable the GLA to further leverage their established consultation networks.

4.5   Targeted use of such local networks and a number of other marketing and promotional initiatives, using both traditional marketing techniques (such as posters, leaflets and local press) and digital marketing techniques will ensure that PQT continues to reach out to potential new audiences, whilst continuing to ensure audiences reflect the host borough and London's diversity.

4.6   We will continue to use the online ticket booking system Eventbrite to provide an easy to use accessible system to obtain tickets as well as offering postal and phone booking systems for those without internet access.

4.7   There is a fully staffed Public Liaison desk located in the front foyer of the event which allows those who haven't had a question answered to submit a question or ask for advice on City Hall matters

4.8   **Assembly Consultation**
We continue to address the Committee's previous concerns regarding the lack of consultation with Assembly Members on venue choices; Navin Shah AM as chair of the event has been consulted on the choice of date and venue and has confirmed he is happy with both.

4.9   **Accessibility**
In selecting Brent Civic Centre as the proposed venue, the Events for London Team will undertake an accessibility audit, to ensure that the event is accessible to all.

- This venue is situated in Wembley;

- The venue is not situated on a road which has a steep gradient;

- There is a bus stop within 150m (164yds) of the venue;

- The nearest mainline station is Wembley Central;

- The nearest underground station is Wembley Park; and

- There is a lift for public use.

As with all PQT events, there will be access facilities such as British Sign Language and palantypist translation. The PQT programme will be available, on request, in alternative formats.

4.10   **Feedback**
The Events for London team encourages people to complete feedback forms at the end of the event; the resulting data is compiled as an evaluation report. E-flyers including an online feedback survey are also sent out post event.

4.11   **Strategy Implications**
PQT is an important part of the consultation calendar providing an excellent forum for Londoners to communicate with the organisation on the issues that are important to them. The consistency of delivering this event twice a year means that it contributes to establishing the GLA as an organisation that is listening to Londoners. As already indicated PQT is a corporate and joint statutory responsibility for the Mayor and Assembly.

4.12   **Stage Design**
The Mayor and his team feel that there could be improvements made to the current stage set up. The Events for London team will investigate options and return to the Committee with some proposals closer to the event for comment.

4.13   **Future Dates and Locations**
The Events for London team has carried out research into PQT locations since 2000 and identified 6 London boroughs which have never hosted a PQT. These were presented to the new mayoral team alongside boroughs which have not hosted a PQT for a significant period of time.

The table below outlines the recommended borough, chair and date period for the forthcoming PQT events during this mayoralty.

Borough	Date	Chair
Brent	November 2016	Navin Shah AM
Sutton	March 2017	Steve O'Connell AM
Barking and Dagenham	November 2017	Unmesh Desai AM
Hounslow	March 2018	Tony Arbour AM
Islington	November 2018	Jennette Arnold OBE AM
Bexley	March 2019	Gareth Bacon AM

Enfield	November 2019	Joanne McCartney AM
Greenwich	March 2020	Len Duvall AM

5. Legal Implications

5.1 Twice in every financial year, the Mayor and the Assembly must hold and attend a meeting that will be open to all members of the public, called "the People's Question Time" ("PQT"). The purpose of PQT is to afford an opportunity to members of the public to put questions to the Mayor and Assembly members, and to enable them to respond. Section 48 of the GLA Act 1999 sets out various requirements for the meeting:

- The Mayor approves the form of the PQT meeting, and can make formal procedures about how it is to be held, following consultation with the Assembly about them. These procedures can regulate how the public can put questions, and could include provisions for suppressing or preventing disorderly conduct or other misbehaviour at the meeting, including a power of exclusion.

- Members of the public who attend or speak at PQT do so subject to, and in accordance with, those procedures.

- The Mayor decides the date of PQT meetings, following consultation with the Assembly, the date of which must not be less than one month before or one month after the State of London Debate.

- The Mayor must decide the venue for the meeting not later than one month prior to the date on which the PQT is to take place.

- The Mayor must give adequate notice of the date and place of the meetings to members of the public at least one month prior to it taking place.

- Following consultation with the Assembly the Mayor may appoint any person to preside at the PQT meeting, whether or not that person has a connection with the GLA.

6. Financial Implications

6.1 For 3 November 2016 it is envisaged that the costs for the event will be up to £25,000, which can be met from the existing PQT budget, which is managed by the Events for London Team within External Relations.

List of appendices to this report:
None

Local Government (Access to Information) Act 1985
List of Background Papers:
None

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GREATER**LONDON**AUTHORITY   **LONDON**ASSEMBLY

Subject: Proposed Establishment of EU Exit Working Group

Report to: GLA Oversight Committee

Report of: Executive Director of Secretariat	**Date: 20 July 2016**

This report will be considered in public

1.   Summary

1.1   This report sets out proposals for establishing an EU Exit Working Group to ensure that the effects on London and Londoners of the United Kingdom's vote to leave the European Union (EU) are examined, and to make recommendations to the Mayor, Government and any other relevant parties in relation to the issue.

2.   Recommendations

2.1   **That the Committee establishes an EU Exit Working Group, with terms of reference as follows:**

- **To co-ordinate the work of the London Assembly's committees in relation to the United Kingdom's vote to leave the European Union;**

- **To lead for the London Assembly in the Government's negotiations with the European Union to help to ensure that London's voice is heard;**

- **To consider the activities and approaches of other devolved administrations and relevant bodies across the United Kingdom in relation to the UK's vote to leave the EU, with a view to ensuring any consequential implications arising for London are taken into account; and**

- **To make recommendations to the Mayor, Government and any other relevant parties in relation to the UK's vote to leave the EU.**

2.2   **That, subject to the decision in recommendation 2.1 above, agrees the size and allocation of seats on the Working Group; appoints Members to the Working Group; appoints the Chair and Deputy Chair of the Working Group; appoints all other Members of relevant party Groups as substitute Members.**

3.   Background

3.1   Following the referendum on the UK's membership of the European Union, the Assembly, at its meeting on 6 July 2016, passed the following motion:

> "This Assembly recognises and accepts the democratic vote of the British people to leave the European Union.
>
> This Assembly also notes that London, as a region of Britain, voted overwhelmingly to remain within the European Union.
>
> This Assembly recognises that the decision to leave the European Union will have major consequences for London, as the capital of Great Britain, and for the lives of people who live and work in this city.
>
> This Assembly believes strongly that London's voice needs to be heard loudly and clearly in the consequential negotiations regarding Britain's exit from the EU.
>
> This Assembly therefore determines to set up a working group to examine the effects of Britain's vote to leave the European Union on London and Londoners, and to make recommendations to the Mayor, to the government and any other relevant parties with whom we may favourably make the case for London over the coming years.
>
> This working group should be set up as soon as is practicable and as a Panel of the London Assembly's Oversight Committee.
>
> Further to the Mayor of London's and Prime Minister's statements, this Assembly also endorses the view that London should take a full role in the highest level of negotiations around the UK's withdrawal from the European Union."

4.   Issues for Consideration

4.1   The GLA Oversight Committee is recommended to consider establishing the EU Exit Working Group with the following terms of reference.

- To co-ordinate the work of the London Assembly's committees in relation to the United Kingdom's vote to leave the European Union;

- To lead for the London Assembly in the Government's negotiations with the European Union to help to ensure that London's voice is heard;

- To consider the activities and approaches of other devolved administrations and relevant bodies across the United Kingdom in relation to the UK's vote to leave the EU, with a view to ensuring any consequential implications arising for London are taken into account; and

- To make recommendations to the Mayor, Government and any other relevant parties in relation to the UK's vote to leave the EU.

4.2   If the Committee agrees to establish the EU Exit Working Group, the Committee is asked to agree the size and allocation of seats on the Working Group, noting that political balance requirements do not apply to working groups; appoints Members to the Working Group; appoints the Chair and

Deputy Chair of the Working Group; and appoints all other Members of relevant party Groups as substitute Members.

4.3   While the Working Group will meet regularly in order to take an overview of the Assembly's work on this issue, and to take the lead role in relation to relevant intergovernmental matters, it is anticipated that the Assembly's Committees would continue to lead on related issues that fall within their terms of reference as part of their work programmes.

5.   Legal Implications

5.1   Section 55(4) of the GLA Act provides the Assembly may: "appoint one or more committees ("advisory committees") to advise it on any matter relating to the discharge of its functions". The Assembly may delegate its functions (except powers that are exercised jointly with the Mayor) to a committee, sub-committee or individual Member of the Assembly (sections 54(1) and 55(1)), but not to an advisory committee, which may only advise in accordance with section 55(4).

5.2   The political balance requirements of the Local Government and Housing Act 1989 and the Local Government (Committees and Political Groups) Regulations 1990 apply to any committees and sub committees established by the Assembly. This means that the allocation of seats on committees must be proportionate to the number of Members each party Group has on the Assembly as a whole.

5.3   Political proportionality must be applied to every ordinary and advisory committee or sub-committee established by the Assembly. The political balance requirements do not apply to the proposed EU Exit Working Group since it is not proposed that it is established as an ordinary sub-committee but as a working group under SO 8.5, and in accordance with the principles established by R v Warwickshire District Council ex parte Bailey [1991] COD 184.

5.4   As it is proposed that the EU Exit Working Group is established as a working group it is not formally subject to access to information rules, although the Assembly's views on the matter would always be made public in due course.

6.   Financial Implications

6.1   The Working Group can be resourced from existing Secretariat budgets, subject to the number of meetings and any output required.

List of appendices to this report:
None

Local Government (Access to Information) Act 1985

List of Background Papers:

None

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GREATER**LONDON**AUTHORITY

LONDONASSEMBLY

Subject: Rapporteurship on Promoting Biodiversity in New Housing Developments	
Report to: GLA Oversight Committee	
Report of: Executive Director of Secretariat	**Date: 20 July 2016**
This report will be considered in public	

1. Summary

1.1 This report sets out a proposal for a rapporteur to investigate potential ways to improve biodiversity protection in new housing developments. It recommends that the GLA Oversight Committee approves the appointment of Leonie Cooper AM as a rapporteur to lead the project.

2. Recommendation

2.1 **That the Committee agrees the appointment of Leonie Cooper AM as a rapporteur for the Housing Committee, to conduct an investigation into potential ways to improve biodiversity protection in new housing developments.**

3. Background

3.1 The GLA Oversight Committee has the power to approve all scrutiny-related Assembly expenditure and proposals for rapporteur investigations, in conformity with the Assembly's decision-making framework procedure.

3.2 In accordance with Standing Order 8.9B this Committee must approve every proposal to appoint a rapporteur proposed for appointment by a committee before the rapporteur may start his or her duties.

3.3 At its meeting on 5 July 2016, the Housing Committee agreed to recommend that this Committee appoint Leonie Cooper AM to carry out an investigation into the need for revised planning guidance to ensure biodiversity protection and enhancement in new housing developments.

3.4 The Housing Committee also delegated authority to its Chair, Andrew Boff AM, in consultation with party Group Lead Members, to agree a detailed scoping document, including terms of reference, for the investigation.

4. Issues for Consideration

4.1   The Mayor is committed to a substantial building effort to increase the number of homes for Londoners.[1] This must be done while simultaneously protecting and enhancing the biodiversity of London. The London Plan, additional Supplementary Planning Guidance (SPG) and the Mayor's biodiversity strategy offer guidance on protecting biodiversity and enhancing green infrastructure (the network of all green and open spaces). However, there is concern that current strategy focuses on protecting existing green spaces and biodiversity but does not properly promote mechanisms to create and increase functional landscapes and wildlife habitats.

Mayoral Planning Guidance

4.2   The current London Plan provides guidance on green infrastructure and biodiversity in several areas, encompassing green space, trees and waterways. Policy 2.18 commits that:

The Mayor will work with all relevant strategic partners to protect, promote, expand and manage the extent and quality of, and access to, London's network of green infrastructure. [2]

4.3   The policy recommends that development proposals, wherever possible, make a 'positive contribution to the protection, enhancement, creation and management' of biodiversity. It also stipulates that they should assist in achieving targets in Biodiversity Action Plans (BAPs). Policies 7.19, 7.21, 5.10 and 5.11 make additional recommendations on ensuring a *proactive* biodiversity strategy and more specifically on trees and woodlands, urban greening and green roofs.

4.4   The Mayor's biodiversity strategy (2002) provides the context for London Plan policies and guidance, with 'Proposal 5' and 'Proposal 6' calling for all planning decisions to "take account of the protection of wildlife habitats and biodiversity". There is a strong case for this strategy to be reviewed, which would provide the opportunity to more imaginatively and ambitiously examine mechanisms to create and increase functional landscapes and wildlife habitats in conjunction with new housing developments.

4.5   The new administration has stated their intention to review the London Plan over the next year and beyond. A review of the biodiversity strategy has been ongoing for some time and is now, along with the other Mayoral environment strategies, likely to be reviewed and incorporated into a new single London Environment Strategy. This will provide an opportunity to reflect the changed national planning framework (and in particular, the Government's Natural Environment White paper 2011). This rapporteurship aims to investigate whether clear and straightforward recommendations can be made to the London Plan review that would help raise ambitions for a more holistic and expansive biodiversity strategy.

Scope of the review

4.6   This rapporteur review would aim to provide the new Mayor with a balanced assessment of the current green infrastructure and biodiversity strategy. It will draw on the work done by the Green Infrastructure Task Force to identify how to encourage a more strategic and long-term approach to green infrastructure delivery and investment.

---

[1] Sadiq Khan, Housing Manifesto, May 2016
[2] London Plan Policy 2.18

4.7   There is a shift towards planning, designing and managing green infrastructure as a holistic network. The rapporteurship will consider this line of thought and how it might be aided by a more joined-up approach to planning guidance. Specifically, the review will consider whether creating a single set of guidelines applying to all forms of flora and fauna would enable a single directive for building developments to adhere to. This would allow developers and planners to rely on one source for their information; reducing conflicting messages and creating a more cohesive and inclusive approach.

4.8   There are examples from cities such as Berlin, Malmo, Hamburg and Seattle that use the principle of "the green space factor" which may be of value in helping planners and developers to determine the extent of offsetting measures. The rapporteur will review the evidence of how such initiatives are working.

4.9   In addition, there is significant potential for well-managed green infrastructure to deliver environmental and social benefit. Some argue that the current London Plan focuses too heavily on the preservation of existing green infrastructure. This is an opportunity to review whether environmental and social gains could be increased by boosting the London Plan's focus on creating new green infrastructure.

4.10   Officers are content that there is sufficient capacity within the relevant Committee's project team to undertake this work.

Proposed Terms of Reference

4.11   At its meeting on 5 July 2016, the Housing Committee delegated authority to its Chair, Andrew Boff AM, in consultation with party group Lead Members, to agree a detailed scoping document, including terms of reference, for the investigation. The agreed terms of reference of reference are set out below:

- To explore the extent to which housing developments during the last 10 years have incorporated biodiversity provision, with special consideration for sites of 150 units or more;

- To assess the strengths and weaknesses of current guidance as set out in the London Plan and other Mayoral documents in promoting and enhancing biodiversity in new housing developments;

- To review best practice from other UK and foreign cities including Malmo, Berlin, Hamburg and Seattle; and

- To make recommendations to the Mayor, establishing ways to effectively promote and enhance biodiversity, in line with the local vernacular, and without affecting the viability of new housing developments.

5.   Legal Implications

5.1   The Committee has the power to do what is recommended in the report. Under its terms of reference, the GLA Oversight Committee must approve proposals for the use of rapporteurs.

6.   Financial Implications

6.1   There are no direct financial implications arising from this report. Any costs incurred during the rapporteur's investigation will be met from existing scrutiny budgets.

List of appendices to this report:
None

Local Government (Access to Information) Act 1985
List of Background Papers: None

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GREATER**LONDON**AUTHORITY

LONDONASSEMBLY

Subject: Work Programme for the GLA Oversight Committee

Report to: GLA Oversight Committee	
Report of: Executive Director of Secretariat	**Date: 20 July 2016**
This report will be considered in public	

1. Summary

1.1 This report provides details of the proposed work for the meetings of the Committee in this Assembly Year (2016-17).

2. Recommendation

2.1 **That the Committee notes its work programme for 2016-17, as set out in this report, and identifies any additional issues it wishes to consider at future meetings.**

3. Background

3.1 The GLA Oversight Committee has the following overall functions:

- Management and administration of the budget of the Assembly and Secretariat, and overseeing the Assembly's scrutiny work programme;

- Having oversight, on behalf of the London Assembly, of the Greater London Authority's (GLA) corporate governance policies and activities;

- Maintaining a watching brief in respect of the activities of the senior officers appointed by the Mayor; and

- Responding to consultations from the Head of Paid Service and scrutinising the Head of Paid Service function.

3.2 Additionally, it was agreed at the Assembly's Annual Meeting of 11 May 2012 that the GLA Oversight Committee's terms of reference include provision to scrutinise any actions or decisions taken by the Mayor on matters relating to education. The Committee can also scrutinise civil contingency arrangements in London, the provision of services to the public and the performance of utilities in London.

4.   Issues for Consideration

4.1   The main work areas of the Committee are summarised below.

Assembly Budget and Scrutiny Work Programme

4.2   The Committee allocates the Assembly's budget and receives a report in March each year on that subject (following the approval of the overall amount of the budget and in advance of the start of the financial year in question).

4.3   The Committee receives quarterly monitoring reports from the Secretariat, scheduled for the Committee meetings in June, September, November and January.

4.4   The Committee approves individual proposals for non-routine expenditure from the scrutiny programme budget which are referred to the Committee by the subject-related committees during the year. The timing of these reports depends upon when the subject-related committees approve projects and refer proposals for expenditure.

4.5   The Committee approves proposals for rapporteurships referred from subject-related committees during the course of the year.

4.6   The Committee also has the power to consider any issue which does not fall into the remit of one of the subject-related committees (for instance, cross-cutting equalities and governance issues).

Staffing Consultations and Appointments

4.7   The Committee will be invited to respond to consultations from the Head of Paid Service (HoPS) from time to time during the year. The Committee's role in relation to these consultations is reactive and therefore the work programme does not predict what reports will be presented and when.

4.8   The Assembly has a role in appointing the statutory officers to the Authority, and this Committee has delegated authority to fulfil that role as and when the need arises. At its meeting of 22 May 2012, the GLA Oversight Committee agreed that the Head of Paid Service Performance Review Panel be established as a working group, and this meets annually (with the most recent meeting held 25 January 2016).

Other Items for Consideration

4.9   At its meeting on 21 March 2013, the Committee asked that it be consulted formally on the annual staff pay review; as the settlement reached in 2014 covered a two-year period, the annual pay review was not scheduled as an item on the work programme for this Assembly year.

4.10   At its meeting on 25 February 2014, the Committee agreed to receive details of the progress made to address GLA workforce equalities issues, dealt with as part of the Committee's regular Workforce Monitoring Report and update.

Scrutiny of the Head of Paid Service Function

4.11 The Committee usually receives reports on the following issues during the course of the year:

- Annual Workforce Monitoring Report, incorporating complaints monitoring (plus a six-monthly update); and

- Governance.

4.12 The Committee also receives a report on the Draft Annual Governance Statement (last dealt with by the Committee at its meeting in July 2015).

Shared Services

4.13 Having previously considered a number of consultation proposals from the Mayor for shared services, the GLA Oversight Committee continues to receive an annual update on the progress of shared services across the Group and considers any proposals that may come forward. Following its consultation on shared services proposals in relation to the Old Oak and Park Royal Development Corporation (OPDC) at its meeting in February 2015, the Committee also requested that as part of its annual shared services report it receives an update on the proposed arrangements for the OPDC, with particular reference to financial costs and potential conflicts of interest. It was agreed that for the last Assembly year, shared services be dealt with over the course of three separate meetings to consider a range of pan-GLA group collaborations (September and November 2015, and March 2016).

Data Protection and Data Security in the GLA group

4.14 At its meeting on 30 June, the Committee agreed a proposal to include in the work programme a review of data protection and data security in the GLA group and delegated authority to the Chairman, in consultation with the party Group Lead Members, to agree the scope, terms of reference and arrangements for the review.

Meeting Dates

4.15 The table set out below shows the Committee's provisional meeting dates for the 2016/17 Assembly year and agenda items. This timetable and agenda items are reviewed and updated as appropriate.

Date of meeting	Main Agenda Items (subject to agreement)
22 September 2016	• HoPS Oral Update • HoPS Consultation Reports (if any) • Assembly/ Secretariat Budget 2017/18 • Secretariat Quarterly Monitoring Q1
20 October 2016	• HoPS Oral Update • HoPS Consultation Reports (if any) • The Mayor's Annual Equalities Report 2015/16
23 November 2016	• HoPS Oral Update • HoPS Consultation Reports (if any) • Draft Committee Timetable of Meetings 2017/18 • Secretariat Quarterly Monitoring Report Q2

15 December 2016	• HoPS Oral Update • HoPS Consultation Reports (if any) • Annual Staff Pay Review • Workforce Report (update) • People's Question Time • Data Collection scrutiny review scoping report
31 January 2017	• HoPS Oral Update • HoPS Consultation Reports (if any) • Secretariat Quarterly Monitoring Report Q3 • Assembly's Requirements for Information to be Included in the Mayor's Annual Report • State of London Debate Consultation
23 February 2017	• HoPS Oral Update • HoPS Consultation Reports (if any) • Assembly Annual Report • Collection, storage and sharing of personal data across the GLA group
30 March 2017	• HoPS Oral Update • HoPS Consultation Reports (if any) • Allocation of Assembly Budget

5. Legal Implications

5.1 The Assembly has the power to establish committees to discharge its functions, and the GLA Oversight Committee is one such committee. The work programme is in accordance with the GLA Oversight Committee's terms of reference.

6. Financial Implications

6.1 There are no financial implications for the purposes of this report.

List of appendices to this report: None

Local Government (Access to Information) Act 1985
List of Background Papers: None
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