



LONDON FIRE BRIGADE

Decision title

Governance Review

Recommendation by
General Counsel

Decision Number
LFC-0335-D

Protective marking: **NOT PROTECTIVELY MARKED**

Publication status: Published in full

Summary

In response to challenging reports in November and December 2019 by the Grenfell Tower Inquiry and Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services ('HMICFRS') inspection of the Brigade, the new London Fire Commissioner introduced a Transformation Delivery Plan ('Beginning our transformation') in January 2020 to drive improvements across the organisation, and it is therefore appropriate to review and amend the Brigade's governance arrangements to facilitate timely and effective delivery of the plan and to ensure the efficiency of delivering business as usual.

Report LFC-0335 sets out the proposed changes to the decision-making structure and recommends changes to the Scheme of Governance, Boards and their Terms of Reference. It is proposed that the new arrangements come into effect on 1 May 2020.

Decision

That the Commissioner:

1. Notes and agrees the principles applied in the review to the decision-making structures and processes as outlined in paragraph three of report LFC-0335.
2. Agrees the headline structure for decision-making and governance set out in this report as illustrated in **Appendix 1** of report LFC-0335.
3. Agrees the changes to the Scheme of Governance and Terms of Reference of Boards as set out in **Appendices 2 and 3** of report LFC-0335.
4. Authorises General Counsel, after consultation with the Commissioner and the Directors, to make any minor changes to the Scheme of Governance or any incidental changes to any other associated governance documents.

5. Agrees that the new arrangements come into effect on 1 May 2020.
6. Notes that reports will be presented by General Counsel on the proposals for the Audit Committee and by the Head of Strategy and Risk in relation to Assurance.



Andy Roe
London Fire Commissioner

Date **This decision was remotely
signed on Friday 1 May 2020**

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LONDON FIRE BRIGADE

Report title

Governance Review

Report to	Date
Corporate Director Board	3 March 2020
Operational and Assurance Director Board	12 March 2020
Commissioner's Board	25 March 2020

Report by	Report number
General Counsel and the Assistant Director Strategy and Risk	LFC-0335

Protective marking: None

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Summary

In response to challenging reports in November and December 2019 by the Grenfell Tower Inquiry and Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services ('HMICFRS') inspection of the Brigade, the new London Fire Commissioner introduced a Transformation Delivery Plan ('Beginning our transformation') in January 2020 to drive improvements across the organisation, and it is therefore appropriate to review and amend the Brigade's governance arrangements to facilitate timely and effective delivery of the plan and to ensure the efficiency of delivering business as usual. This report sets out the proposed changes to the decision-making structure and recommends changes to the Scheme of Governance, Boards and their Terms of Reference. It is proposed that the new arrangements come into effect on 1 May 2020.

Recommended decisions

That the Commissioner:

1. Notes and agrees the principles applied in the review to the decision-making structures and processes as outlined in paragraph three of the report
2. Agrees the headline structure for decision-making and governance set out in this report as illustrated in **Appendix 1**
3. Agrees the changes to the Scheme of Governance and Terms of Reference of Boards as set out in **Appendices 2 and 3**
4. Authorises General Counsel, after consultation with the Commissioner and the Directors, to make any minor changes to the Scheme of Governance or any incidental changes to any other associated governance documents
5. Agrees that the new arrangements come into effect on 1 May 2020
6. Notes that reports will be presented by General Counsel on the proposals for the Audit Committee and by the Head of Strategy and Risk in relation to Assurance.

Background

The Case for Change

1. In response to challenging reports in November and December 2019 by the Grenfell Tower Inquiry and the HMICFRS inspection of the Brigade, the new London Fire Commissioner has introduced a Transformation Delivery Plan (entitled 'Beginning our Transformation') to drive improvements across the organisation, and it is therefore appropriate to review and amend the structure and efficiency of the Brigade's governance arrangements to facilitate timely and effective delivery of the plan and the delivery of business as usual.

The Transformation Delivery Plan

2. The Transformation Delivery Plan (TDP) sets out a number of action points, some of which address the decision making and governance arrangements and a chart showing those which this report and associate reports seek to address is attached as **Appendix 4**.

Principles applied in determining the changes to be made

- i) Effective and timely delivery of the Transformation Delivery Plan (TDP), including delivery of the HMICFRS and Grenfell Tower Inquiry action plans
- ii) Necessary change, without causing undue complexity or variation which may detract from actions and delivery
- iii) Recognising that the changes may be temporary pending appointment of the Transformation Director in June 2020 and may require further change at that point
- iv) Improving speed and efficiency of decision-making, and making arrangements that focus on priorities
- v) Decision-making levels based on impact and risk
- vi) Strong accountability and monitoring delivery of change at every level
- vii) A clear process for changes to plans to ensure that priorities remain clear and resources are focused on agreed activities
- viii) Empowering officers and holding officers accountable.

Short term and long-term proposals

3. The current board structure reflects the management structure of the organisation which divides the responsibility for operation and assurance activities and corporate ('back office') services between two directorates. As a consequence, the Directorate Boards are used for the purpose of some strategic oversight and management activities within those directorates, but also for discussion and clearance of reports, usually emanating from the work of that directorate, destined for consideration by the Commissioner's Board and, ultimately, decision-making by the Commissioner. The Commissioner's Board is currently used to consider all recommended decisions for the Commissioner of spend over £150k regardless of their strategic impact or risk, any land disposals, all changes of policy or procedure other than minor changes, most matters affecting staff and performance reports of various types.

4. In the longer term, consideration will be given to the structure of the organisation, and in due course—whether at that point or sooner—it would be appropriate to consider whether the Board structure should better reflect the strategic pillars, or at least be more closely aligned to the delivery of the priorities and outcomes within that—for example by creating boards which address people, risk and assurance, service delivery and asset management (including contracts and finance). Under those arrangements, directorate portfolios and management responsibilities would be separated from the board responsibilities and the boards would be cross-cutting in terms of membership, reports and attendance.
5. In the short term, and recommended in this report, is an improved division of the respective roles and responsibilities regarding the oversight, management and decision-making within LFB. The proposal is for increased delegation of decision-making on individual actions to the Directors, Heads of Service and below, with the Commissioner's Board (and Commissioner) being freed to enable increased focus on performance, assurance and risk.
6. While the proposed changes will provide some increase in speed of decision-making and reduce the number of boards to which reports are presented, the Mayoral Directions made in April 2018 remain unaltered. All decisions which involve a commitment to expenditure £150k or above must be given prior approval by the Deputy Mayor for Fire and Resilience (Deputy Mayor), and any decision which is novel, contentious or repercussive requires consultation with the Deputy Mayor. Were the financial thresholds to be raised, or waivers given for 'business as usual' spend, there would be further potential efficiencies in decision-making; these possibilities can be explored further. Within the current system steps have been taken by General Counsel and with the GLA to streamline processes to improve the speed and efficiency of decision-making.
7. Outside of the remit of this report, but key to the effectiveness of the proposed changes, is the establishment of the various plans, which it is proposed will be used to determine where decisions are taken, the development and implementation of improved performance and assurance reporting, and the establishment of an external audit function.

Decision-making and the governance structure

8. The proposals in this report seek to retain the current structure of Commissioner's Board and Directorate Boards, but to include in the structure a Transformation Board; that structure is shown in **Appendix 1**. Matters are now to be referred to the Commissioner's Board or Directorate Boards based on risk and impact, and this will be the matrix by which matters fall to be included in the Corporate Plan (currently the TDP), Directorate Plans, or Departmental Plans. Matters not reserved by the Commissioner, or delegated to the Directors, will be decisions for Heads of Service (subject to the financial thresholds set out in the Scheme of Delegation). The proposed decision-making structure seeks to provide for efficient, effective and timely decision-making by providing that decisions be taken at the appropriate level having regard to their impact and risk, such that strategic and high-impact decisions are taken by the Commissioner and operational 'business as usual' decisions are taken by Heads of Service. The Directors will be responsible for the delivery and oversight of Directorate Plans and will report their performance to the Commissioner's Board which will provide scrutiny, and where the Commissioner will hold

them to account. Directors will oversee and hold Heads of Service to account for decisions by monitoring the delivery of Heads of Service' Departmental Plans through the Directorate Boards and in management supervision. This decision-making structure is commensurate with Heads of Service expertise and seniority, and promotes innovation, but also provides a structure for prioritisation and accountability.

9. The Transformation Board does not have decision-making responsibilities for the action points; its purpose is to oversee and monitor the delivery of the Transformation Delivery Plan, including the Grenfell Tower Improvement Plan and the HMICFRS action plan, agree minor amendments to the Transformation Improvement Plan and report to Commissioner's Board on progress. The significance and scale of the combined Grenfell Tower Improvement Plan and HMICFRS Action Plan are such that it is recommended that a sub-committee of the Transformation Board will be needed to monitor the detailed delivery of those plans.
10. Appropriate assurance, audit, and risk mechanisms are highly relevant to the proposals for governance changes and are addressed in separate reports.

Commissioner's Board ('CB') and Commissioner decisions will be high-level and strategic, and the CB is the owner of the TDP

11. Summary of the role of the Commissioner's Board: to receive proposals for decisions that have high impact or risk. Decisions will be categorised at point of entry onto the plans with reference to terms of reference above but can be reviewed. CB will also receive reporting from the Transformation Board (TB) on delivery of the TDP, updates on strategic performance and there will be an increased focus on assurance. Decisions which require prior approval of the Deputy Mayor due to cost, but which are not high-risk, or impact will be reported in summary to CB, but will be taken by the Directors or Heads of Service. Decisions which require consultation with the Deputy Mayor because they are contentious, repercussive or novel will be considered by CB and will be decided by the Commissioner on the basis they are automatically considered high-risk or impact.
12. Terms of Reference, membership and meeting frequency of Commissioner's Board and Directorate Boards are attached as **Appendix 3**.
13. Those matters which are reserved to the Commissioner for decision reflect the Commissioner Board Terms of Reference and are set out in the proposed revised Scheme of Delegation at Table 1 attached as **Appendix 2**. A short-form analysis of the consequence of the Scheme of Delegations on financial decisions is attached as **Appendix 5**.
14. In addition to the matters outlined above, careful consideration will be given to including an annual cycle of reports which provide information directly relevant to the strategic management of the LFC, including for example, industrial relations and updates on national project work. Detailed consideration will also be given to the type, form and frequency of performance, risk and assurance reports.

15. Matters reserved to the Commissioner, but which do not flow through the CB process, include appointment of staff over the rank of Assistant Commissioner or above and the appointment of Proper Officers, and the Scheme of Delegation is drafted accordingly.

Directorate Boards (DB) (currently Operational Delivery and Assurance and Corporate Resources) and Directors' decisions will be those matters NOT reserved to the Commissioner but that are of strategic importance and fall within the Directorate Plan

16. Summary of the role of the Directorate's Boards: delivering the TDP and business as usual will be the responsibility of the Directors, Heads of Service and others. Each Directorate will have a Directorate Plan (DP). Delivery of the DP is the responsibility of the Director, and reporting performance will be to CB. Oversight of the DP will take place at DB. Decisions reserved to Directors will be discussed at DB and will then be decided by the Director. Decisions cannot be taken by a board, only by an individual (which equally applies to the Commissioner's Board). Unless a decision has a high impact or risk as determined by the Commissioner's Board Terms of Reference, decision-making will take place at Director-level or below, including those decisions that require Deputy Mayor for Fire and Resilience prior approval under the Mayoral Directions of April 2018. Careful consideration will be given to whether reports need to be presented to both Directorate Boards. Whether, and of so to what extent, Directorate Boards should be used to air decisions for Directors to take, or whether transactional business should be removed from the agenda and taken under a separate arrangement to allow greater focus on broader corporate issues, will be kept under review. With a larger number of decisions taking place at Director-level and below, an increased discipline of early consultation and 'right first time' will need to be applied by Heads of Service and other report authors if the maximum benefit is to be gained from the change in arrangements.
17. Terms of Reference of Directorate Boards, membership and meeting frequency of Commissioner's Board are attached as **Appendix 3**.
18. Those matters which are reserved to the Directors for decision reflect the Director Board Terms of Reference and are set out in the proposed revised Scheme of Delegation at Table 1 attached as **Appendix 2**.

Heads of Service

19. Summary of the role of the Heads of Service: Heads of Service will have Department Plans and will take decisions under enhanced delegated powers. Monitoring performance of delivery against Department Plans will take place in 1-2-1s with Directors and at Directorate Boards. It is proposed that Heads of Service take decisions on departmental plan actions, policies, procedures and matters arising within their functional area which are not reserved to the Commissioner or Directors; the default position being that anything not reserved to others is a matter for the Head of Service, unless the Commissioner or Director requires that the matter be decided by them. The overall aim of the proposed changes and enhanced decision-making powers of Heads of Service is to provide greater clarity of responsibility for delivery, and to speed up the process of decision-making; for example on policy matters a strong consultation approach managed by the Head of Service, rather than a layered approval approach, should be adopted.

20. Those matters proposed to be delegated to officers are set out in the revised Scheme of Delegation at paragraph Table 1 attached as **Appendix 2**.
21. Heads of Service also have other delegated functions in the current Scheme of Delegation regarding management of their departments and some, for example the Assistant Director for Property Services and General Counsel, have specific powers relevant to their professional services area—for example the settlement of legal proceedings. These specific powers are reflected in the Scheme of Delegation in addition to the proposed general powers to manage and determine the business matters that fall within their remit.
22. Currently there is no provision, other than by Director, for officers below Heads of Service to delegated decision-making responsibilities. It seems prudent and appropriate to enable Heads of Service to determine their own Scheme of Delegation within their departments, subject to the proviso that the Scheme be kept up to date by the Head of Service, that General Counsel Department be notified of the scheme and any changes, and that the schemes be published on the LFC website for transparency.

Transformation Board

23. Summary of the role of the TB: There will be an increased focus on the delivery of matters needing to change by the creation of a Transformation Board (TB) whose primary role is to provide assurance to the LFC that the TDP, including the Grenfell Tower Improvement Plan (GTIP) and HMICFRS action plan are being delivered. It will monitor progress against the TDP and report the position to Commissioner's Board. TB also will consider business cases for new projects which may impact on the TDP. The Chair of the TB will have delegated authority to approve minor changes the TDP, with significant changes being referred to CB for approval. The Transformation Board is an interim measure and will be reviewed on the appointment of the Transformation Director. In the meantime, the proposals provide for focus and assurance on timely progress being made against the TDP and associated plans.
24. Terms of reference, recommended membership of TB and frequency of meetings is set out in **Appendix 3**.

Transformation Board Sub-committee

25. Summary of the role of the TB Sub-committee: The significance and scale of the combined GTIP and HMICFRS Action Plan are such that it is recommended that a sub-committee of the Transformation Board will be needed to monitor the detailed delivery of that plan. The sub-committee will report on delivery to the Transformation Board. It is also recommended that this sub-committee replace the existing Grenfell Tower Improvement Board.
26. Terms of reference and membership and frequency of meetings of the committee is set out in **Appendix 3**.

Other Boards

27. There are a number of Boards established to oversee different aspects of the Brigade's business including, for example, Strategic Training Oversight Board, the Operational Policy Board and the Asset Management Board. There are also various project boards which relate to specific matters. Some are chaired by Heads of Service; others are led by Directors. It is proposed that these boards be reviewed and rationalised by managers by the end of April, including a review of who should chair them—with a presumption that it will be a Head of Service, and a Director only by exception. This is addressed further below under project boards.

Heads of Service meetings

28. Heads of Service meetings are currently convened monthly. They are not part of the decision-making process and it is not proposed that this be changed. However, the coming together of the Heads of Service on a regular basis serves a useful purpose to convey Commissioner and Director information to the Heads of Service, for information sharing and debate between Heads of Service, and early input on issues which cut across both directorates. It will also serve as a valuable opportunity to identify interdependencies on the transformation agenda and enable those to be discussed and resolved pre-Transformation Board scrutiny, and where more decisions are to be taken by Heads of Service this provides a useful forum for consultation and debate.

LFC Plans

29. The level of consideration and decision-making which is captured in the Terms of Reference of Boards and delegated authorities is largely based on the risk and impact of the decision being taken. Those criteria are also applied when determining which plan (TDP/Directorate/Departmental) an action point falls within. The plans then become the reference point for determining where a decision is to be taken. An outline of how the plans work is therefore relevant to the proposals put forward for the revised governance scheme.

30. There will be one overall data base for the organisation, which contains every action the agreed to deliver. From this the LFC will be able to report on actions that fall within the TDP, the GTIP, HMICFRS plan and so on. It will also be possible to report on delivery under each strategic pillar set out in the TDP. The frequency of performance reporting and the level of detail required at each point of governance will be agreed with the relevant stakeholders. The intention is to produce dashboards for a more visual representation of performance, eliminate duplication, and to focus on trends and areas where intervention is required to ensure delivery.

31. The TDP (which will serve as the LFC corporate plan) contains the actions (from the database) that CB consider are key to delivery of the new vision for LFB, informed by risk and impact. Strategy and Risk are currently trialling an assessment process based on the risk impact criteria (which fall under these headings: Political, Economic, Social, Tech, Legal, Environment). Most TDP matters will be strategic-level proposals, but that is not a requirement; it will be for CB to decide which actions they consider to be crucial, including those which could be considered 'business as usual' (e.g. community outreach activities) or task and finish activities (e.g. appoint Transformation Director). The Transformation Board will monitor delivery of this plan and provide

assurance of that to CB. The TDP will be used to inform the content of the new Integrated Risk Management Plan.

32. Alongside this will sit **Directorate Plans (DP)**, which will contain actions from the data base that require that level of scrutiny and management, again informed by risk and impact. The Directorate Plans will not duplicate actions within the TDP as Directors will monitor delivery of their Heads of Service actions in the TDP at Transformation Board. DBs will monitor delivery of the DPs and report to CB as required, supported by assurance reporting to be determined.
33. Heads of Service will also hold their own **Departmental Plans**, again informed by risk and impact. They will also be able to see all the actions for which they are responsible, regardless of which plan they are reported against. Directors will hold Heads of Service to account for delivery of the Department plans.
34. Plans which are cross-directorate, and which require additional management or scrutiny can be produced from the one database and provided to the relevant board as required.

Performance reporting

35. As the scope and priorities for the plans are clarified the next steps will be to develop performance metrics and monitoring arrangements, to be followed by the introduction of additional assurance processes. It is also likely that once all the actions are in one place, that some reprioritisation and deletion of actions will be needed, alongside consideration of resourcing. Finally, consideration is also being given to how to encourage learning and creativity to drive continuous improvement, so that the stronger change control process does not stifle innovation.

Changes to the TDP and related plans

36. To ensure LFC maintains focus on delivery of the vision and the strategic pillars, a strong process is needed for considering any matter that may result in any changes to the plans and to ensure that new actions are appropriately prioritised and resourced. Change proposals that are likely to impact on the TDP will be considered by the Transformation Board, which will put its recommendations to CB. Change proposals that will impact at the directorate level will be considered at DB and agreed by Directors and those that will impact at Heads of Service level only, by Director.
37. All change initiatives will require an **Outline Business Case (OBC)** produced by a Head of Service. This will be a short document, with specific headings which address the key issues. The OBC will identify the likely benefits of the change, a rough assessment of the resources required and likely timeline for delivery. For approval to be given, the OBC must also identify the resource required to develop the **Full Business Case (FBC)** by all affected departments (the FBC may bid for that resource if necessary). The OBC will also state the date by which the FBC will be produced. Attached as **Appendix 1** is a flow chart showing new proposal processes.
38. Once the OBC is approved then the FBC report will be added to the forward programme and a FBC will be developed. The FBC will need to set out the firm proposal for change, fully costed,

budgeted and time lined. The business benefits will be clearly stated and measurable. The change must align to at least one of the strategic pillars in the TDP. All Heads of Service that will need to provide resources to deliver the change will need to confirm that they can do that within existing resources, or state the impact on other existing work, or that the resources required have been included in the budgeted costs in the FBC. Throughout the process, ownership and accountability for the FBC will remain with the initiating department's Head of Service unless otherwise directed.

39. The FBC will need to be agreed by the appropriate board before the change initiative is progressed; if the change will impact on the TDP, then the FBC will be presented to the Transformation Board, who will determine whether or not to recommend its approval to CB. If the impact is at directorate level, it will be considered at the relevant DB and if the impact is at Head of Service level only, then it will require Director approval.
40. If agreed, the sponsoring Head of Service (HoS) will be given delegated authority to deliver the proposal. They will need to establish a project board for its delivery and create a project initiation document. Project Boards will continue to be required but should be streamlined in accordance with standard project management processes and should no longer require attendance by several HoS. The Project Management Office (PMO) will provide advice and support for the new approach. Heads of Service will be responsible for the timely delivery of the project, engagement with key stakeholders, and for reporting on delivery. Those projects in the TDP will report to the Transformation Board, those within the Directorate Plan will report to the relevant DB and those within the Departmental plan will report to the Director.

Ancillary matters relevant to effective and efficient decision-making

41. Forward Planning: The LFC already has a Forward Plan where reports for forthcoming decisions (usually to be taken by Directors or the Commissioner or exceptionally by the Mayor/Deputy Mayor for Fire and Resilience) and other items for noting are listed and diarised against forthcoming board dates. It is proposed that the Forward Plan for CB and DBs be populated at the beginning of the financial year according to the TDP and the Directorate plans with dates that are consistent with the completion dates (taking into account where relevant, consultation or prior approval by the Deputy Mayor for Fire and Resilience). Matters will also be added during the year as they arise, and changes to plans—for example by reprioritisation will also require Forward Plan update. It is proposed that removal of an item from the Forward Plan or amendment to those dates requires approval of the Board Chair to ensure that decisions remain on course. In addition there will be reports on performance, assurance and risk on the Forward Plan with the information being reported at approval periods and appropriately 'grouped' to provide a full picture based on the strategic pillars or other identified themes that provide the boards and senior officers with a full oversight. The Forward Programme will be updated through the year should any OBC be given approval to proceed to FBC.
42. Agendas and minutes: It is proposed that in addition to the Forward Plan, the CB and DB agendas will include a report on the current position of decisions that have passed through boards to provide assurance that they are progressing or to enable action to be taken. Actions from boards

will be given specific time scales to increase speed of decision-making, and agendas will be timetabled to assist the efficient use of time. The CB agenda will include a note of those matters to be reported by Director of Heads of Service to the Deputy Mayor for prior approval.

43. Decision-making format and Transparency: The report format will be reviewed to be proportionate to the decision being taken; those decisions taken by the Commissioner will be in the full reporting format currently utilised for Commissioner decisions and will be published. Decisions to be taken by Directors will be published after the decision is taken. Precedent standard format reports will be used wherever possible. Those decisions taken by the Heads of Service that are Key Decisions (as defined in Part 2 paragraph 3 of the Scheme of Governance) will be published and those that are not Key Decisions are considered to fall outside of the publication requirements. The proposal ensures compliance with the GLA Code of Governance and robust decision-making whilst ensuring that decisions are taken promptly.

Checks and Balances

44. The Independent Audit Committee; The Terms of Reference and membership proposed for the Independent Audit Committee are the subject of a separate report to the Commissioner's Board, but this will provide objective 'external' scrutiny. As mentioned previously in this report, audit, assurance and risk are to be addressed in separate reports but are key features of the overall governance position.

Resourcing

45. The capacity and resource for Heads of Service to manage any additional assurance reporting and manage project boards will be kept under review, as will any consequential demand placed on the General Counsel Department Governance Team.

Embedding change

46. The changes outlined on this report will need to be disseminated to and embedded in the organisation, particularly to senior management. This will be provided through guidance notes, precedents, timetables and ongoing support from the General Counsel Department and Strategy and Risk and will be undertaken so that the live date of May 2020 can be met.

Finance comments

47. This report presents changes to the governance structure to support delivery of the Transformation Delivery Plan. Resources are to be set aside in a transformation reserve to support transformation, and this includes resources for the audit committee mentioned at paragraph 44. The remaining recommendations are not expected to have direct financial implications and should therefore be met within existing budgets.

Workforce comments

48. None. There are no current changes to the staffing arrangements, other than an increase in delegated authority levels, which is commensurate with seniority of officers.

Legal comments

49. Under section 9 of the Policing and Crime Act 2017, the London Fire Commissioner (the "Commissioner") is established as a corporation sole with the Mayor appointing the occupant of that office. Under section 327D of the GLA Act 1999, as amended by the Policing and Crime Act 2017, the Mayor may issue to the Commissioner specific or general directions as to the manner in which the holder of that office is to exercise his or her functions.
50. By direction dated 1 April 2018, the Mayor set out those matters, for which the Commissioner would require the prior approval of either the Mayor or the Deputy Mayor for Fire and Resilience (the "Deputy Mayor"). The Governance arrangements proposed do not fall within the Mayoral Directions.
51. Section 1 of the Fire and Rescue Services Act 2004 states that the London Fire Commissioner ('Commissioner') is the fire and rescue authority for Greater London. Section 327A (5) of the Greater London Authority Act 1999 requires the Commissioner to secure that the London Fire and Rescue Service is efficient and effective.
52. The proposals will aid the delivery of the Transformation Delivery Plan. The revised internal governance arrangements will also enable functions and for the administration of affairs to be conducted in a transparent, consistent and timely manner, thereby ensuring the organisation is efficient and effective.
53. The proposals set out in this report are within the Commissioner's general powers.

Sustainability implications

54. There are no sustainability implications arising from this report.

Equalities implications

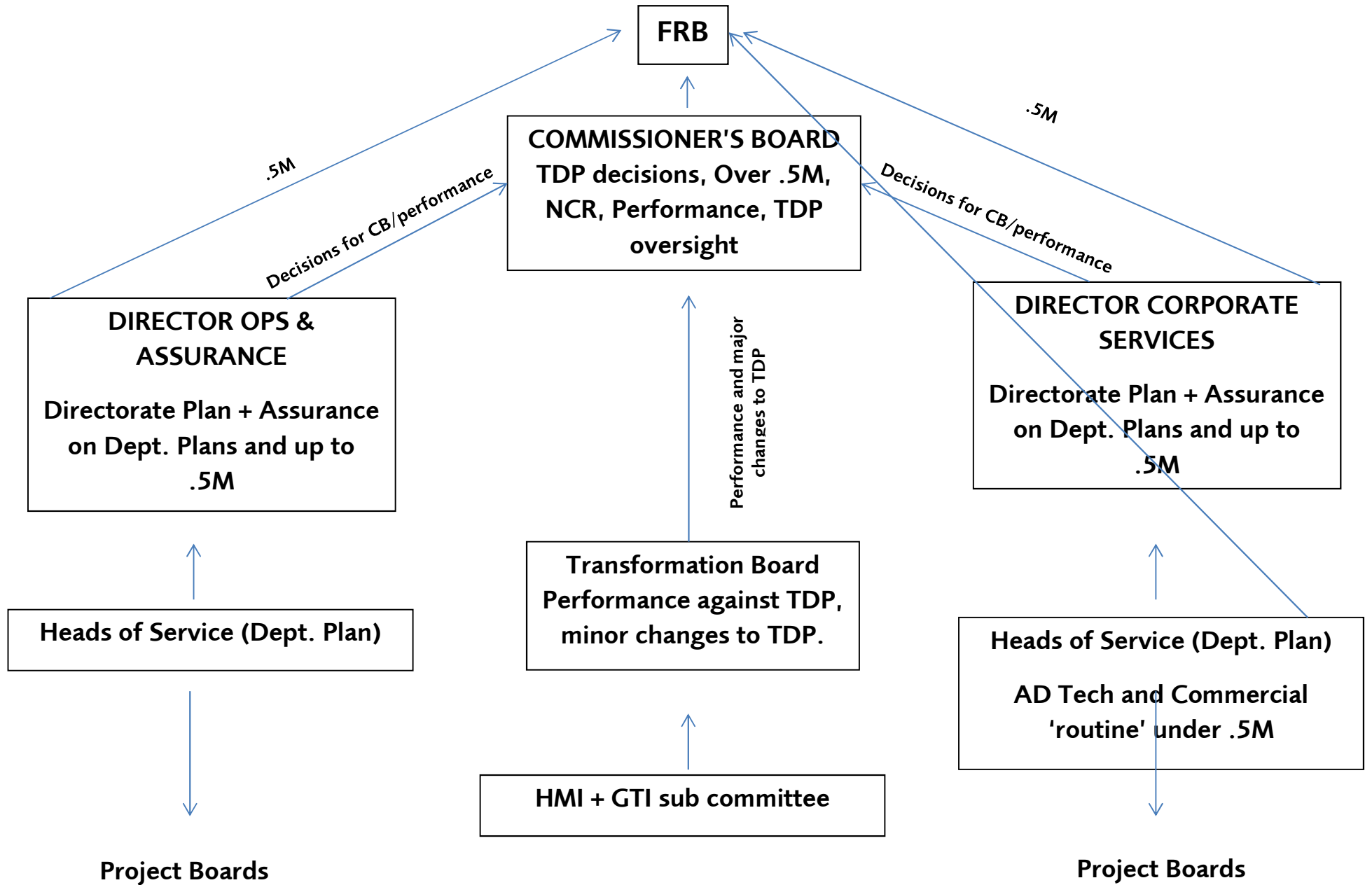
55. The London Fire Commissioner and decision takers are required to have due regard to the Public Sector Equality Duty (s149 of the Equality Act 2010) when taking decisions. This in broad terms involves understanding the potential impact of policy and decisions on different people, taking this into account and then evidencing how decisions were reached.
56. It is important to note that consideration of the Public Sector Equality Duty is not a one-off task. The duty must be fulfilled before taking a decision, at the time of taking a decision, and after the decision has been taken.
57. The protected characteristics are: Age, Disability, Gender reassignment, Pregnancy and maternity, Marriage and civil partnership (but only in respect of the requirements to have due regard to the need to eliminate discrimination), Race (ethnic or national origins, colour or nationality), Religion or belief (including lack of belief), Sex, and Sexual orientation.
58. The Public Sector Equality Duty requires the LFC, in the exercise of all its functions (i.e. everything it does), to have due regard to the need to:
 - (a) Eliminate discrimination, harassment and victimisation and other prohibited conduct.

- (b) Advance equality of opportunity between people who share a relevant protected characteristic and persons who do not share it.
 - (c) Foster good relations between people who share a relevant protected characteristic and persons who do not share it.
59. Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:
- (a) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic where those disadvantages are connected to that characteristic;
 - (b) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;
 - (c) encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.
60. The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.
54. Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to—
- (a) tackle prejudice, and
 - (b) promote understanding.
55. An Equality Impact Assessment (EIA) has not been undertaken. An EIA was not required because there are no equalities implications arising from this report.

List of Appendices

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DECISION MAKING



LONDON FIRE COMMISSIONER

SCHEME OF GOVERNANCE

1 May 2020

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PART 1 – Code of Corporate Governance

Context

1. The London Fire Brigade ('the Brigade') provides the fire and rescue service for London. The Brigade is governed by the London Fire Commissioner (the 'Commissioner') which is a statutory corporation sole. This Scheme of Governance sets out the Commissioner's governance arrangements, as follows:
 - Part 1 – Code of Corporate Governance
 - Part 2 – Standing Orders relating to Business set out the Commissioner's formal rules for the conduct of business.
 - Part 3 – Standing Orders relating to Procurement set out the Commissioner's formal rules for the purchase of works, goods, and services
 - Part 4 – Delegations to Officers set out the decisions reserved to the Commissioner and those decisions delegated by the Commissioner to Officers
 - Part 5 – Appointment of Statutory and Proper Officers
 - Part 6 – Financial Regulations
 - Part 7 – Definitions

2. The Commissioner was created under the Greater London Authority Act 1999, following changes brought in by the Policing and Crime Act 2017, which makes them one of the **functional bodies** of the GLA. Consequently:
 - the Mayor of London (the 'Mayor') holds the Commissioner to account for the exercise of the Commissioner's functions
 - the Commissioner's budget is set by the Mayor
 - the Mayor can give guidance and directions to the Commissioner as to the exercise of the Commissioner's functions
 - the London Assembly scrutinises the actions of the Commissioner through their Fire, Resilience and Emergency Planning Committee
 - the Commissioner must have regard to various strategies which the Mayor is required by law to produce
 - the Mayor requires the Commissioner to address certain policy concerns and to work co-operatively with the other functional bodies.

3. The Commissioner is the **Fire and Rescue Authority** for Greater London under the Fire and Rescue Service Act 2004. In this capacity, the Commissioner:
 - must ensure that the Brigade is efficient and effective
 - has a direct and close relationship with the Home Office, the Ministry for Housing, Communities and Local Government and the Cabinet Office, as the government service responsible for fire and rescue services, resilience capabilities and local authorities' resilience arrangements, as well as other government services such as Department for Business, Energy and Industrial Strategy, regarding its fire prevention function
 - must fulfil other statutory functions of the fire and rescue authority.

Organisational structure

4. The Commissioner is supported by a Deputy Commissioner and a Director. These officers meet regularly with the Commissioner as the Commissioner's Board ('CB'). Directors meet regularly with their Heads of Service and other senior officers as Directorate Boards ('DBs'). These consider the business and management of directorates and the organisation.

5. Many responsibilities of the Commissioner are undertaken through Delegated Decisions taken by senior officers – Directors and Heads of Service. The delegations to these officers are set out in Part 4 of this Scheme.
6. The Commissioner has statutory officers who have specific duties to ensure the good governance of the body corporate:
 - The **Head of Paid Service** is responsible for reporting to the Commissioner on the co-ordination of the discharge of functions, the numbers and grades of staff required and their organisation, appointment and management. The Commissioner is required to consider any such report within three months of receiving a copy of it.
 - The Section 127 Officer ('**Chief Finance Officer**') of the Greater London Authority Act 1999 reports to the Commissioner on the proper administration of financial affairs and specifically if it appears that the Commissioner or a person holding any office or employment under the Commissioner: (a) has made or is about to make a decision which involves or would involve the Commissioner incurring expenditure which is unlawful, (b) has taken or is about to take a course of action which, if pursued to its conclusion, would be unlawful and likely to cause a loss or deficiency on the part of the Commissioner, or (c) is about to enter an item of account, the entry of which is unlawful. The Section 127 Officer is also required to report to the Commissioner if it appears that the expenditure of the Commissioner incurred (including expenditure proposed to be incurred) in a financial year is likely to exceed the resources (including sums borrowed) available to the Commissioner to meet that expenditure. The Section 127 Officer must send a copy of the report to the Mayor of London and to the Chair of the London Assembly.
 - The **Monitoring Officer** is responsible for monitoring the business of the Commissioner and reporting to the Commissioner upon any unlawful proposals, decisions omissions or actions, by the Commissioner or by anyone holding office or employment under the Commissioner. The Monitoring Officer is also responsible for reporting to the Commissioner any maladministration on the part of the Commissioner or by anyone holding office or employment under the Commissioner that is the subject of a report issued by the Local Government Ombudsman. The Commissioner is required to consider the Monitoring Officer's report within three months of receiving a copy of it.

In addition, the Commissioner may appoint a statutory **Deputy London Fire Commissioner** who may exercise any or all the powers and duties of the Commissioner:

- during any absence, incapacity or suspension from duty of the Commissioner
- during any vacancy in the office of the Commissioner but not for a continuous period of three months or more without the consent of the Mayor, or
- at any other time, with the consent of the Commissioner but not for a continuous period of three months or more without the consent of the Mayor.

Principles of good governance

7. The Commissioner has adopted the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government* which sets out the core principles on which effective governance should be built. These are:
 - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

- Ensuring openness and comprehensive stakeholder engagement
 - Defining outcomes in terms of sustainable economic, social, and environmental benefits
 - Determining the interventions necessary to optimise the achievement of the intended outcomes
 - Developing the entity's capacity, including the capability of its leadership and the individuals within it
 - Managing risks and performance through robust internal control and strong public financial management
 - Implementing good practices in transparency, reporting, and audit to deliver effective accountability.
8. This Scheme of Governance incorporates the core good governance principles in a way that is relevant to the Commissioner's role and responsibilities. It also sets out the arrangements for reviewing how effective the Commissioner is in following them.
9. The way in which the Commissioner puts each of the core principles of good governance into practice and its proposals to enhance its governance arrangements are set out below.
10. In **executing a strategy for London in relation to its core functions**, the Commissioner will:
- explicitly state in their Integrated Risk Management Plan ('the London Safety Plan') how an effective and efficient fire and rescue service is being provided for London
 - develop and implement specific strategies and action plans appropriate to their functions
 - maintains and develop partnerships at borough and pan-London levels
 - operate a performance management framework ensuring that the information needed to scrutinise service delivery is effectively and regularly available
 - support, and appropriately resource, the Commissioner's statutory officers
 - have regard to the statutory powers and duties of their officers when making decisions
 - be innovative in exercising available powers for the benefit of the people of London
 - produce an Annual Governance Statement detailing their adherence to these principles, which is submitted to the Mayor of London and the London Assembly's Fire, Resilience and Emergency Planning Committee
 - collaborate with other emergency services.
11. Ensuring that officers work within **clearly defined functions and roles**, the Commissioner:
- defines the responsibilities of staff through clear job descriptions, monitoring and managing the performance of their staff
 - defines performance indicators against which performance is regularly monitored by officers and are the subject of regular report to and scrutiny by the London Assembly
 - ensures delivery of service strategies through the adoption of common deliverables in the service plans of all departments
 - demonstrates best practice in their financial management and procurement through compliance with and regular reviews of their Standing Orders, financial regulations and procurement policies
 - through the activities of the Section 127 Officer, ensures the financial scrutiny of proposed actions and the management of an annual programme of audits.
12. Upholding high standards of **conduct and behaviour**, the Commissioner:
- adopts a set of values which are communicated through initiatives such as staff briefings

- expects senior officers to set a tone for the organisation of openness, support, good communication and respect
- continues to ensure that equality, diversity and inclusion strategy drives best practice and is integral to how the organisation and their staff conduct business
- ensures staff interests and offers of gifts and hospitality to staff are available to be scrutinised through easily accessible registers
- ensures standards and expectations of staff are set and enforced through Brigade policies
- works with the GLA and other functional bodies to maintain common standards of ethical governance in accordance with the GLA Group's Corporate Governance Framework Agreement
- maintain effective policies and procedures on whistle-blowing, compliments, complaints and conflicts of interest, ensuring effective, transparent and accessible arrangements are in place for their management.

13. Taking **robust, accountable and transparent decisions**, which are subject to effective scrutiny and risk management, the Commissioner will:

- ensure that informed decisions are taken, based on the correct and sufficient information that has been subject to appropriate due diligence and impact assessments
- ensure robust systems for identifying and managing corporate risks are in place, including the regular review of the Corporate Risk Register by Directorate Boards and the Commissioner's Board and regular reporting of significant risks for scrutiny by the London Assembly
- maintain a statutory publication scheme, ensuring access to information in accordance with the Freedom of Information legislation and refusing access to information only where the public interest in doing so clearly outweighs the public interest in granting access
- acknowledge the scrutiny role of the London Assembly by supporting the Mayor and Deputy Mayor in responding on scrutiny issues and attending the Assembly's appropriate committee as required
- consult on relevant plans, policies and proposals and take account of the results of that consultation in taking decisions
- ensure that as much of its formal business as possible is published and that members of the public can ask questions or raise matters of concern
- ensure good practice in workplace equality and diversity.

Assuring the governance arrangements

14. Each year the Commissioner validates their governance arrangements by preparing an Annual Governance Statement for submission to the external auditor upon the closure of the annual accounts. The Statement must include commentary on the effectiveness of the governance framework, including the system of internal control and an evaluation of performance against this Code. In addition, the Code itself will be reviewed against the CIPFA/SOLACE framework, notable practice identified elsewhere and any subsequently produced standards or regulatory guidance. Any actions required to address identified failings or areas for improvement will be included the Annual Governance Statement action plan.

PART 2 – Standing Orders Relating to Business

1. Commissioner's Decisions

- 1.1 Commissioner's Decisions will be taken on the recommendation of, and following consideration of, a report of a Director or Head of Service.
- 1.2 Reports recommending a Commissioner's Decision will be published on the Commissioner's website five clear working days before the report is considered for decision. This Standing Order will not apply where the Commissioner determines that an earlier decision is required to protect the interests of the Commissioner, the community or any members of it.
- 1.3 Commissioner's Decisions will be published not later than the third working day after the decision is taken.
- 1.4 Commissioner's Decisions on reports may be deferred.
- 1.5 The publication requirements set out in Standing Orders 1.2 and 1.3 will not apply to any report or decision containing information which in the written determination of the General Counsel is exempt from disclosure under freedom of information or other legislation. In such cases, and wherever possible, a summary of the report and decision will be published.

2. Director's Decisions

- 2.1 Director decisions will be published not later than the third working day after the decision is taken, subject to 1.5 above.

3. Heads of Service Decisions

- 3.1 Key decisions taking by Heads of Service that are Key Decisions will be published after the decision has been taken subject to 1.5 above
- 3.2 Key decisions are defined as those which ;
 - i) are a commitment to expenditure in excess of £150K
 - ii) have a major impact on service delivery
 - iii) are major changes on policy, or strategy

4. Execution of Documents

- 4.1 The Seal of the Commissioner shall be kept in the custody of the General Counsel.
- 4.2 The General Counsel will execute and affix the seal to any document which is required to be sealed to give effect to a Commissioner's Decision. The General Counsel will attest the fixing of the seal with their signature. This signature will be a full and sufficient certificate that the document has been duly and validly sealed in compliance with the Standing Orders of the Commissioner.
- 4.3 The General Counsel may execute as a deed under their hand or seal or sign any document required to give effect to a Commissioner's Decision.

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- 4.4 The General Counsel may authorise in writing officers of the General Counsel's Department to exercise on their behalf the functions set out in Paragraphs 4.2 and 4.3 of the Standing Orders Relating to Business.
- 4.5 Directors, Head of Service and other officers nominated by Directors may sign any document related to matters for which they are responsible and required to give effect to a Commissioner's or delegated decision. Details of such nominations shall be deposited with the General Counsel.

5. Privacy of documents

- 5.1 Where information is exempt under legislation or otherwise, from disclosure by the Commissioner, the General Counsel may:
- decide which documents or parts of documents should not be published
 - mark such documents in accordance with the Commissioner's Protective Marking Scheme.
- 5.2 The General Counsel will remove the markings, when they are no longer required, from all or part of the document.

6. Waiver of Standing Orders

- 6.1 Following consultation with the General Counsel, any provision of these Standing Orders Relating to Business may be waived, suspended or amended by a Commissioner's Decision.

PART 3 – STANDING ORDERS RELATING TO PROCUREMENT

1. Purpose

- 1.1. The purpose of these Procurement Standing Orders ('PSOs') is to ensure that the Commissioner's procurement activities:
 - 1.1.1. Comply with relevant laws relating to procurement and spending public money;
 - 1.1.2. Ensure Best Value is achieved;
 - 1.1.3. Ensure appropriate market competition through fair and transparent sourcing; and
 - 1.1.4. Protect the business and reputational interests of the Commissioner through robust contracting and Contractor management.
- 1.2. PSOs must be complied with at all times. Non-compliance may be grounds for disciplinary proceedings under the Commissioner's disciplinary policy.
- 1.3. These Standing Orders are subject to the Mayoral Directions 2018 which must be complied with **in addition to** any process or decision making set out here.

2. The Regulations

- 2.1 Public sector procurement is a regulated sector, governed by the Public Contract Regulations 2015 ('PCR'). All officers are responsible for complying with the requirements of the PCR. Further advice is available from Technical and Commercial Services.

3. Scope

- 3.1. These PSOs apply to the procurement of, and award of contracts for all goods, works or services, except those in paragraph 3.3 below.
- 3.2. Contracts with a Contract Value of less than £10k are only in scope of PSO5.
- 3.3. The following contracts are not subject to these PSOs:
 - 3.3.1. Contracts for the acquisition or lease of land and/or real estate; and
 - 3.3.2. Employment contracts for the employees of the Commissioner.

4. Estimating the Contract Value

- 4.1. The Contract Value must be based on the full duration that the requirement may be needed.
- 4.2. If the duration of a contract requirement is unknown, the estimate should be based on a four year period.

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4.3. When calculating the Contract Value, it must not be:

- 4.3.1. estimated at a value as to deliberately avoid the application of the PCR or PSOs; or
- 4.3.2. subdivided into multiple contracts to avoid the application of the PCR or PSOs.

5. General principles

5.1. When procuring, or proposing to procure, officers must:

- 5.1.1. comply with all legal requirements, including the PCR and the applicable Standing Orders contained within the Commissioner's Scheme of Governance;
- 5.1.2. ensure that impartiality is maintained and shown to be maintained;
- 5.1.3. ensure that no Contract is awarded unless it provides to the Commissioner the appropriate quality of goods, works and /or service and Best Value;
- 5.1.4. ensure that Contractors are managed in accordance with Contract provisions, and that requisitions and purchase orders are raised in accordance with that Contract; and
- 5.1.5. ensure that all procurements and contract management are carried out in a proportionate manner.

6. Roles and responsibilities

6.1. Technical and Commercial Services are responsible for the delivery of all procurements that are subject to these PSOs. In particular, Technical and Commercial Services are responsible for:

- 6.1.1. Managing all procurement activities from identification of need to contract award, including the publication of contract notices;
- 6.1.2. Providing commercial contract management advice and support;
- 6.1.3. Ensuring the relevant clients are engaged in all contract strategies and awards;
- 6.1.4. Managing robust contract management arrangements for a prescribed list of Contracts designated as major Contracts by the Assistant Director Technical and Commercial;
- 6.1.5. Overseeing that purchase orders are placed in accordance with Contract requirements and any applicable financial regulations;
- 6.1.6. Maintaining a list of Contracts in accordance with the requirements stated within the Transparency Code;
- 6.1.7. Reviewing Procurement Documents provided by clients and approving them as market ready; and
- 6.1.8. Deciding which route to market will likely provide a Best Value outcome.

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- 6.2. Except for Contracts owned by Technical and Commercial Services as the client, it is the responsibility of Lead Client Officer (LCO) to ensure the following actions are fulfilled in a timely and sufficient manner:
- 6.2.1. Initiating subsequent re-tendering of a Contract by submitting a Procurement Request Form to the Director of Corporate Services for approval;
 - 6.2.2. Issuing a Tender Request Form to Technical and Commercial Services;
 - 6.2.3. Ensuring continuity of service by seeking the approval of the Director of Corporate Services or Assistant Director of Technical and Commercial to extend a Contract;
 - 6.2.4. Arranging for consents to be granted (procurement initiation, financial authority or Contract Award);
 - 6.2.5. Writing the Specifications for goods, works or services;
 - 6.2.6. Identifying key quality and performance requirements;
 - 6.2.7. Providing selection and evaluation criteria, with weightings, for the Contract Award process; and
 - 6.2.8. Ensuring that requisitions for goods, works or services are raised in accordance with the Contract and securing the delegated financial authority from the budget holder.
- 6.3. The LCO and Technical and Commercial Services are jointly responsible for working collaboratively to develop the Contract Documentation and relevant Contract schedules to include payment mechanisms, quality standards and, where appropriate, performance regimes and key performance indicators, business continuity, asset refresh programmes, exit strategy, sustainability, equality and diversity.

7. Contracts register

- 7.1. The Assistant Director Technical and Commercial is responsible for holding and maintaining a register of all current Contracts and future Contracts for which a Tender Request Form has been submitted.
- 7.2. All Heads of Service are responsible for providing the Procurement Department with:
- 7.2.1. regular updates of the status of each Contract under their management in relation to re-procurements; and
 - 7.2.2. Tender Request Forms detailing Contracts that will be required to be awarded within the next 18 months or within any appropriate longer period for more complex procurements.

8. Waivers

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- 8.1. Where an LCO requests to waive a competitive procurement process, approval must be sought from the Assistant Director Technical and Commercial if the Contract Value is under the EU Threshold.
- 8.2. If the Contract Value is in excess of the EU Threshold, approval to waive a competitive procurement process must be sought from the Director of Corporate Services, in consultation with the General Counsel and the Assistant Director Technical and Commercial. Permission will only be granted if the criteria stated in PCR regarding a non-competitive procurement procedure apply.
- 8.3. Approval in accordance with 8.2 above, must be granted prior to commencement of any negotiation with the Contractor.
- 8.4. All other PSOs will apply including the requirement to acquire Procurement Initiation consent and Contract Award consent.

9. Procurement Initiation

- 9.1. Prior to issuing Procurement Documents to the market or incurring non-contracted expenditure, approval to initiate a procurement must be sought by submitting a Procurement Request Form to the Director of Corporate Services (or in their absence, to the Assistant Director Technical and Commercial).
- 9.2. If the procurement involves any matters or implications of a novel, contentious or repercussive nature, details of these must be stated on the Procurement Request Form. Where 9.2 applies, the requestor must report the proposed procurement to the Commissioner's Board for discussion prior to submitting the Procurement Request Form to the Director of Corporate Services for approval.

10. Procurement Process

- 10.1. Where a procurement request is approved, a procurement process will be conducted by the Procurement Department.
- 10.2. Technical and Commercial Services will consult with the LCO to ensure that a suitable procurement process is selected that will provide Best Value to the Commissioner.
- 10.3. In instances where the Contract Value is in excess of the EU threshold, the procurement process will comply with the procedures in the PCR.

11. Responsible Procurement

- 11.1 Appropriate Responsible Procurement requirements must be included within all Procurement Documents in order to fulfil the requirements of the Responsible Procurement Policy.

12. Contract Award

- 12.1. Prior to the award of any Contract, approval to award must be granted.
- 12.2. If the Contract Value is less than £150k, the Assistant Director Technical and Commercial may approve the Contract Award.
- 12.3. If the Contract Value is greater than £150k, the decision to award must be made by a director or the Commissioner in accordance with the Commissioner's Scheme of Governance, save for those contracts that are 'routine' and less than .5M (as defined in the Scheme of Governance), and which are delegated to the Assistant Director Technical and Commercial
- 12.4. When the evaluation of tenders is complete, the successful Contractor has been identified and approval to award has been granted, Technical and Commercial Services will issue correspondence to the successful and unsuccessful Contractors.

13. Contract Execution

- 13.1. Technical and Commercial Services, in consultation with General Counsel, will draft and issue the appropriate Contract documentation to the appointed Contractors.
- 13.2. Contracts will be executed in accordance with Standing Order 2 of Part 2.

14. Contract Extensions

- 14.1. Contracts which have been subject to a PCR and PSO compliant procurement process and which contain an extension clause made by the LFC may be extended, subject to the approval of the Assistant Director of Technical and Commercial
- 14.2. In the absence of an extension clause, a Contract may be extended if:
 - 14.2.1. the Contract Value is less than the EU threshold, the extension can be reasonably justified, would not amount to a substantial change to the Contract, and the Assistant Director of Technical and Commercial's approval has been granted; or
 - 14.2.2. the Contract Value is greater than the EU threshold, the proposed variation complies with the requirements of PCR and a Commissioner's Decision has approved the extension.

15. Contract Management

- 15.1. The Head of Service responsible for the Contract must:
 - 15.1.1. ensure that effective management arrangements are in place to secure delivery of the Contract;
 - 15.1.2. after consultation with the Assistant Director Technical and Commercial, Director of Corporate Services and the General Counsel as appropriate, deal with all matters

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arising from the management of the Contract including delays or claims by Contractors;
and

- 15.1.3. provide the Assistant Director Technical and Commercial with an evaluation of the Contractor's performance at intervals specified by the Assistant Director Technical and Commercial.

PART 4 – DELEGATIONS TO OFFICERS OF THE LONDON FIRE COMMISSIONER

1. Introduction

- 1.1 The Commissioner delegates to Directors and Heads of Service, the functions set out in the Delegations to Officers in this Part 4 of this Scheme of Governance.
- 1.2 Directors and Heads of Service may nominate officers within their Directorate/ Department to act on their behalf. Such nominations shall not be effective unless lodged with the General Counsel and published on the Commissioner's website. Any such nomination does not prevent the Director, or Head of Service, who made the nomination from taking the decision themselves. Director nominations must be approved in writing by the Commissioner.
- 1.2 The Commissioner may make additional specific or general delegations from time to time.
- 1.3 The exercise of all functions delegated is subject to:
 - The Standing Orders in Part 2 of this Scheme of Governance
 - All decisions, policies, procedures, codes of practice and protocols adopted by the Commissioner (or the predecessor Authority to the extent that they remain relevant)
 - Any expenditure falling within the Commissioner's approved budget
 - The responsibility of staff appointed to management and supervisory posts to manage staff and resources
 - Consultation with professional and operational officers, external advisers and the Commissioner's statutory officers as appropriate
 - Consultation with staff and their representatives where appropriate.
- 1.4 Any delegated function may be exercised by the Commissioner.
- 1.5 Any delegations in this Scheme of Governance are intended to apply to those acting in that role on a temporary basis.

2. Delegations

- 2.1 The matters reserved to the Commissioner, and those matters delegated to officers are set out in **Table 1** attached to this Scheme of Governance

PART 5 – APPOINTMENTS BY THE LONDON FIRE COMMISSIONER OF STATUTORY AND PROPER OFFICERS

1.1 Statutory Officers

Statutory Officer	Officer Appointed
Deputy London Fire Commissioner	Deputy Commissioner (Operational Delivery and Assurance)
Head of Paid Service	Director of Corporate Services
Chief Finance Officer	Director of Corporate Services
Monitoring Officer	General Counsel

1.2. Proper Officers

Statutory Provision	Responsibilities	Officer Appointed
Section 115 Local Government Act 1972	Taking receipt of monies due to the Commissioner and held by officers.	Assistant Director (Finance)
Section 146 Local Government Act 1972	Provision of statutory declaration/certificate specifying securities and verifying change of name and identity of The Commissioner.	Assistant Director (Finance)
Section 225 Local Government Act 1972	Taking receipt of and retaining documents deposited with The Commissioner.	Head of Information Management
Section 229 Local Government Act 1972	Certifying photographic copy as true copy of document which is in The Commissioner's possession or which has been destroyed whilst in The Commissioner's possession.	Head of Information Management
Section 234 Local Government Act 1972	Authentication of documents which the Commissioner is authorised /required by/under legislation to give/make/issue.	General Counsel
Section 23 Landlord and Tenant Act 1927	Taking receipt of service of notices.	Assistant Director (Technical and Commercial Services)
Section 30 Local Government Act 1974	Giving public notice by advertisement in newspapers of availability of LGO's report.	General Counsel

Scheme of Governance – Appointment of Statutory and Proper Officers

Statutory Provision	Responsibilities	Officer Appointed
Section 41 Local Government (Miscellaneous Provisions) Act 1976	Certifying copies of resolution/order/report/minutes of the Commissioner or minutes of its predecessors.	General Counsel
Section 2(4) Local Government and Housing Act 1989	Taking receipt from the Commissioner of deposited list of politically restricted posts.	General Counsel
Local Government Area Change Regulations 1976	Duties relating to transfer of statutory registers to successor authorities.	General Counsel
Article 37(1) of the General Data Protection Regulations 2016	Data protection officer	Head of Information Management

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Financial Regulations

These Financial Regulations (Regulations) set out how the Commissioner meets their statutory responsibilities in relation to the administration of their financial affairs.

1. Scope of these Regulations

- (a) All members and staff have a responsibility for resources under their control, ensuring that the use is legal, appropriately authorised, offers value for money and best value.
- (b) All staff who have responsibility for financial management or who have control of budgets must adhere to these Regulations.

2. Financial Management Responsibilities

- (a) The Director of Corporate Services has responsibility for the administration of the Commissioner's financial affairs, under Section 127 of the Greater London Authority Act 1999, and is required to ensure that arrangements are made by Heads of Service for all financial and accounting matters and the security of money and other assets are economic, efficient and effective.
- (b) The Director of Corporate Services is also required to:
 - set and monitor compliance with financial management standards;
 - advise on the corporate financial position and on the key financial controls necessary to secure sound financial management;
 - provide financial information;
 - prepare the revenue budget and capital programme;
 - carry out treasury management and;
 - prepare the Commissioner's statutory statement of accounts and accounting returns.
- (c) Heads of Service must consult with the Director of Corporate Services on issuing financial instructions and making arrangements as necessary.
- (d) All financial systems, methods, records and controls must be agreed with the Director of Corporate Services. The Director of Corporate Services reports to the Commissioner not less frequently than once a year on the effectiveness of the financial administration.

FINANCIAL PLANNING, MONITORING AND CONTROL

3. Budget process

- (a) The Mayor is responsible for setting a consolidated budget and council tax requirement for the Commissioner.

4. Budget timetable

- (a) The Commissioner receives budget guidance from the Mayor in the early summer and then sets their detailed budget for the following financial year in March in line with the overall funding level set by the Mayor.

5. Revenue budgets

- (a) The Commissioner is responsible for management of the approved budgets, Heads of Service must:
- advise the Commissioner of the financial implications of all proposals (as previously agreed by the Director of Corporate Services);
 - advise the Director of Corporate Services on variations and take action to avoid exceeding their budget allocation;
 - consult with the Director of Corporate Services on issuing instructions for all financial and accounting matters and the security of money and other assets;
 - agree in year virements (transfers of budget) within delegated limits (in consultation with the Director of Corporate Services).

6. Capital Budgets

- (a) The Director of Corporate Services must prepare the medium-term capital programme and annual capital estimate for approval by the Commissioner as part of a November budget submission to the Mayor and in the final budget report.

7. Reserves

- (a) To meet the requirement of the Local Government Act 2003 in respect of adequacy of reserves and to comply with the guidance on local authority reserves and balances issued by The Chartered Institute of Public Finance and Accountancy (CIPFA), the Commissioner must provide, as part of the budget submission to the Mayor:
- a statement of reserve policy;
 - details of all reserves and general balances;

Scheme of Governance – Financial Regulations

- an analysis and explanation of the expected movements between the start and end of each financial year;
 - medium term forecast;
 - in the case of earmarked reserves, an indication should be given as to when they are likely to be applied; and
 - proposed allowances for contingencies separately identified and justified.
- (b) In support of the detailed statement on the adequacy of reserves, the corporate and service financial risk assessment must be refreshed annually.

8. Budget Monitoring

- (a) The Director of Corporate Services must provide appropriate financial information to enable budgets to be monitored effectively.
- (b) Each Head of Service must actively manage the budget delegated to them and control income and expenditure within their area and to monitor performance, taking account of financial information provided by the Director of Corporate Services.
- (c) At least once a month the Director of Corporate Services will provide access to budgetary control information to Heads of Service and guidance on variances that require explanation. Heads of Service are required to provide an explanation of key variances within agreed timetables.
- (d) Heads of Service must continually monitor and control the budgets, in respect of income and expenditure, and forecast out-turn, throughout the financial year and:
- forecast outturn and report on all variances at thresholds set by the Director of Corporate Services to the Director of Corporate Services;
 - advise of any action to be taken to contain under or over spends; and
 - review outstanding orders and the forecast position on agency payments to the end of the year.
- (e) Heads of Service must advise the Director of Corporate Services of the financial impact of the long-term forecasts (Medium Term Financial Strategy) for income and expenditure for each of the activities being undertaken.
- (f) Following consultation with the relevant Heads of Service the Director of Corporate Services will present budget monitoring reports to the relevant Board regularly.

9. Virements (Transfers of Budget)

A virement is a transfer of a revenue budget that has not been committed. Virements between capital and revenue budgets are not permitted.

- (a) With the agreement of the Director of Corporate Services Directors may transfer up to £150,000 between budget heads within that department's approved budget.
- (b) With the agreement of the Director of Corporate Services, a Head of Service may transfer up to £50,000 from a budget head within that department's approved budget to a budget head within another department's approved budget, but if those budget heads are in different Directorates the agreement of the appropriate Director or the Commissioner is also required.
- (c) With the agreement of the Director of Corporate Services Directors may transfer up to £150,000 from a budget head within that department's approved budget to a budget head within another department's approved budget.
- (d) The Director of Corporate Services shall report all transfers under (b) and (c) to the Commissioner as part of the quarterly financial position reports.
- (e) A virement is also permissible to gross up income and expenditure budgets to reflect the in-year receipt of income.

10. Accounting Records

- (a) The Director of Corporate Services must maintain accurate accounting records to ensure that the Commissioner meets their obligation to manage public resources. To achieve this the Director of Corporate Services is required by the Accounts and Audit Regulations 2015 to:
 - Develop the accounting procedures and records for the Commissioner;
 - Arrange for the collation of all accounts and accounting records;
 - Make arrangements for the audit of the Commissioner's accounts and ensure all claims for funds including grants are made by the due date;
 - Prepare and publish the audited accounts of the Commissioner for each financial year and ensure the Commissioner approves the statement of accounts before 31 July; and
 - Retain all financial documents in accordance with statutory and the Commissioner's requirements.
- (b) The Director of Corporate Services is responsible for the preparation of the Commissioner's statement of accounts. The statement of accounts is required to ensure that the financial position correctly reflects the Commissioner's income and expenditure, correct accounting records are maintained, suitable accounting policies are selected and applied and systems of internal control are in place.

- (c) The Director of Corporate Services is responsible for the completion, in a timely manner, of all statutory accounting returns.

FINANCIAL CONTROLS AND INSURANCE

11. Financial Risk Management and Insurance

- (a) Heads of Service are required to immediately advise the Director of Corporate Services of:
- the acquisition or disposal of assets requiring insurance cover;
 - any incident or occurrence that may adversely affect the Commissioner's assets and likely to give rise to a claim on the Commissioner's insurers;
 - any incident or occurrence that might give rise to a claim against the Commissioner such notice or estimate is to also be given to the General Counsel.
 - any incident or occurrence that might give rise to a claim being made by the Commissioner on its insurance policies, for e.g. thefts, accidents; and
 - in cases of marine and motor accidents such notice or estimate is to also be given to the General Counsel.
- (b) The Director of Corporate Services is responsible for negotiating all claims with the Commissioner's insurers.
- (c) Heads of Service must consult with the Director of Corporate Services and the General Counsel in respect of any terms of any indemnity which the Commissioner is requested to give.
- (d) The Director of Corporate Services is responsible for ensuring that proper insurance exists where appropriate and the level of cover and risk is reported in the Statement of Accounts.

12. Internal controls

- (a) The Director of Corporate Services must identify, meet and monitor compliance with the Commissioner's statutory obligations and to ensure that the Commissioner's assets and interests are safeguarded.
- (b) When allocating tasks dealing with the control of the Commissioner's assets, officers must:
- separate the tasks of providing information about amounts due to or from the Commissioner and calculating, checking and recording these amounts from the task of collecting or paying them; and

Scheme of Governance – Financial Regulations

- ensure staff with the task of examining or checking the accounts of cash transactions must not themselves be involved in these transactions.
- (c) The Director of Corporate Services is responsible for:
- advising on effective systems of internal control which need to ensure compliance with all applicable statutes and regulations, and other relevant statements of best practice; and
 - ensuring that the Commissioner's funds are properly safeguarded and used economically and efficiently.

13. Internal Audit

- (a) The Commissioner is required to make arrangements for the proper administration of their financial affairs and maintain an adequate and effective system of internal audit of their accounting records and control systems.
- (b) The Head of Internal Audit, who reports to the Director of Corporate Services, liaises closely with the Director of Corporate Services.
- (c) Heads of Service are required to provide the Head of Internal Audit:
- access at all reasonable times to enter any the Commissioner premises or land;
 - access to records, documents and correspondence relating to any transaction of the the Commissioner;
 - explanations as are necessary concerning any matter under examination; and
 - access to any asset or property under their control.
- (d) Heads of Service are required to ensure that any agreed actions arising from audit recommendations are carried out to agreed deadlines.
- (e) Heads of Service are required to inform the Director of Corporate Services, of any matter which involves irregularities or any suspected irregularity concerning cash, stores, property or any irregularity in the exercise of the functions of the Commissioner.
- (f) Where there are sufficient grounds to believe that a criminal act has been committed, the Director of Corporate Services will consult with the General Counsel and, as appropriate with the Commissioner or his/her nominated officer, before referring the matter to the police for investigation.
- (g) Any confirmed irregularities falling under the responsibilities of internal audit may result in the Commissioner taking disciplinary action against those responsible.

Scheme of Governance – Financial Regulations

- (h) Heads of Service are required to ensure that records and assets are properly maintained and securely held.
- (i) Heads of Service are responsible for contingency plans for the security of assets and the continuity of service in the event of disaster or system failure.
- (j) The Head of Internal Audit must provide an annual report to the Commissioner which:
 - Gives an opinion on the overall adequacy and effectiveness of the Commissioner's control environment, disclosing any qualification to that opinion, together with the reasons for the qualification;
 - Summarises the audit work from which the opinion is derived, including reliance placed on work by other assurance bodies;
 - Draws attention to any issues the Head of Internal Audit judges particularly relevant to the preparation of the Annual Governance Statement;
 - Compares the work undertaken against that planned and summarises audit performance; and
 - Comments on Internal Audit's compliance with the CIPFA Code of Practice for Internal Audit in Local Government in the UK.
- (j) The Head of Internal Audit will notify the Director of Corporate Services of any loss or financial irregularity and will use this information to inform the opinion on the internal control environment and the Internal Audit work programme.
- (k) Internal Audit leads on anti-fraud and corruption. It is responsible for:
 - Updating and maintaining the Commissioner's Anti-Fraud Policy;
 - Leading the Commissioner's work on fraud prevention;
 - Conducting investigations into potential fraud or abuse involving members, staff or contractors; and
 - Making recommendations to address any control weaknesses identified as a result of investigative work.
- (l) The Director of Corporate Services ensures that serious losses and irregularities are reported to the relevant Board.
- (m) The Director of Corporate Services agrees the draft audit plan with the Head of Internal Audit prior to approval by the Commissioner.
- (n) The Director of Corporate Services reports progress in implementation of internal audit recommendations to the Commissioner.

14. Fraud and Corruption Irregularities

- (a) In all matters, Heads of Service shall comply with the Commissioner's Counter Fraud And Corruption Policy, and Response Plan.

15. Stores

- (a) Heads of Service are responsible for the safe custody and control of stores held by their department and to ensure that the stocks held at any one time reflect consumption needs and do not exceed an appropriate level necessary to service the appropriate operations.
- (b) Heads of Service must undertake stock checks of all stores at least once each financial year in accordance with a programme approved by the Director of Corporate Services.
- (c) For every stocktaking, a list shall be prepared of the stock checked, indicating discrepancies with the stock records. Each list is to be accompanied by a certificate from the Head of Service that the stock shown in the list is held and whether the stock is in good condition and necessary and suitable for the requirements of the department.
- (d) A copy of the list is to be forwarded to the Director of Corporate Services. The Head of Service is to determine in conjunction with the Director of Corporate Services what action is to be taken to deal with any discrepancies.

16. Inventories

- (a) Inventories of the Commissioner's property must be prepared and kept up to date by Heads of Service in a form as advised by the Director of Corporate Services.
- (b) Inventories are to be checked with the physical asset regularly. Should deficiencies occur the Head of Service is to determine in conjunction with the Director of Corporate Services what action is to be taken.
- (c) The Commissioner's property is not to be removed otherwise than in accordance with the course of the Commissioner's business.

17. Disposal of Assets

- (a) Heads of Service are responsible for making arrangements for the disposal of surplus stores, equipment, furniture etc., subject to agreement by the Director of Corporate Services and in accordance with any policy laid down by the Commissioner.
- (b) Disposal of the Commissioner's land (including buildings) is to be in accordance with the relevant Code of Practice on the Disposal of Land as approved by the Commissioner.

18. Writing off

- (a) *Part 4 – Delegations* of this Scheme of Governance authorises writing off of losses by Heads of Service and the Director of Corporate Services up to specified limits. Any

Scheme of Governance – Financial Regulations

writing off is to be done in accordance with arrangements to be determined by the Director of Corporate Services.

19. External Audit

- (a) The Commissioner's accounts are scrutinised by external auditors, who must be satisfied that the statement of accounts presents a true and fair view of the financial position of the Commissioner and their income and expenditure for the year in question and complies with the legal requirements.
- (b) Heads of Service are required to:
 - Give the external auditors access at all reasonable times to premises, personnel, documents and assets which are considered necessary for the purposes of their work; and
 - Ensure that all records and systems are up to date and available for inspection.
- (c) The Director of Corporate Services has responsibility for identifying and leading implementation of recommendations from External Audit Reviews and to report progress in implementation to the relevant committee.

20. Treasury Management

- (a) Responsibility for the execution and administration of Treasury Management decisions are delegated to the Director of Corporate Services who will act in accordance with the Commissioner's Policy Statement on Treasury Management Activities and Treasury Management Practices and CIPFA's "Standard of Professional Practice on Treasury Management".
- (b) The Director of Corporate Services is authorised to make use of balances to fund internal borrowing when it is considered advantageous, provided the overall borrowing limit, determined by the Mayor for the Commissioner, is not exceeded.
- (c) In relation to The Prudential Code for Capital Finance in Local Authorities, the Commissioner delegates responsibility to the Director of Corporate Services, within the total limit for any individual year, to effect movement between the separately agreed limits for borrowing and other long term liabilities (both "authorised limits" and "operational boundary"), in accordance with option appraisal and best value for money for the Commissioner, and any such changes made are to be reported to the relevant committee at its next meeting following the change.
- (d) The Director of Corporate Services must secure appropriate banking arrangements and treasury management borrowing and investments subject to approved treasury management and annual investment strategies.
- (e) The Director of Corporate Services must produce annually a Treasury Management Strategy report setting out the requirements for the forthcoming year and the proposals to meet them, for approval by the Commissioner.

21. Staffing

- (a) The Director of Corporate Services must ensure that budget provision exists for all existing and new employees and to advise the Commissioner, Directors and Heads of Service on National Insurance and pension contributions, as appropriate.

FINANCIAL SYSTEMS AND PROCEDURES

22. Financial Systems and Procedures

- (a) Any material change or amendment to any financial systems or procedures by Heads of Service must be carried out in consultation with the Director of Corporate Services.
- (b) Heads of Service must ensure there is a documented and tested disaster recovery plan to allow information system processing to resume quickly in the event of an interruption.
- (c) The Director of Corporate Services must authorise the financial systems and procedures for the receipt and payment of all Commissioner monies and determines the procedures and work practices to ensure there is adequate internal control and internal checks.
- (d) The Director of Corporate Services is responsible for the day to day operation and control of the systems and procedures required to:
- order goods and Service;
 - pay salaries, wages and pensions;
 - pay creditors, allowances and expenses;
 - collect and bank all income due to the Commissioner;
 - provide, safeguard and subsequently dispose of all Commissioner assets (both tangible and intangible) within the limits set out in the Scheme of Delegation;
 - account for taxes and make necessary payments to the appropriate authorities; and
 - be responsible for meeting statutory requirements in relation to keeping records of all financial transactions, such as to enable financial control and audit of the accounts.
- (e) The Director of Corporate Services must arrange for the proper administration of the Commissioner's financial affairs to:

Scheme of Governance – Financial Regulations

- issue advice, guidance and procedures for officers and others acting on behalf of the Commissioner;
- determine the accounting systems, form of accounts and supporting financial records;
- establish arrangements for the audit of the Commissioner's financial affairs;
- approve any new financial systems to be introduced; and
- approve any changes to be made to existing financial systems.

23. Income

- (a) Heads of Service must arrange for prompt collection, control and deposit of money due to the Commissioner and notify the Director of Corporate Services of all cash collected and income due to the Commissioner:
- all monies received on behalf of the Commissioner is to be banked without delay in the Commissioner's name; and
 - all documentation relating to income receivable by the Commissioner must be in the name of the Commissioner, including agreements for the provision of Service, invoices and receipts.
- (b) At regular intervals agreed with the Director of Corporate Services, Heads of Service must review income received and likely to be received and bring any likely shortfall in income over departmental budgets to the attention of the Director of Corporate Services, together with any likely significant increase in income.
- (c) The Director of Corporate Services must as part of the annual budget cycle review all rents, fees and charges for services provided.
- (d) All agreements for the provision of services to other organisations must be on the basis of cost recovery.

24. Procedures for Payments and Authorisation of Accounts

- (a) The Director of Corporate Services is responsible for paying all properly authorised accounts submitted for payment.
- (b) Before approving a VAT invoice, those doing so must confirm that:
- the works, goods or services to which the invoice relates have been received, carried out, examined and approved
 - the prices, extensions, calculations, trade discounts, other allowances, credits and tax rates are correct

Scheme of Governance – Financial Regulations

- the relevant expenditure has been properly incurred and is within the estimate
 - stock records (where appropriate) have been updated
 - the invoice has not previously been approved for payment and is a correct liability
 - the invoice meets HM Revenue and Customs definition of a valid VAT invoice for the purpose of reclaiming VAT.
- (c) Payments must be made in compliance with the statutory requirements regarding prompt payment.
- (d) The Commissioner and Directors may request, in writing, for the Director of Corporate Services to make payment where prices have increased beyond the control of the contractor/supplier. The Director of Corporate Services may make payment provided he/she is satisfied the increases are reasonable, and are in accordance with a decision of the Commissioner and are within overall budget provision (provided by virement if necessary).
- (e) Heads of Service must as soon as possible after 31st March in each year notify the Director of Corporate Services of all outstanding expenditure relating to the previous financial year, as set out in the closing of accounts timetable.

25. Salaries and pensions

- (a) The Director of Corporate Services is responsible for making payments of salaries, wages and pension benefits.
- (b) Any extraordinary payroll payments and payments outside of agreements of general application must be specifically approved by the Director of Corporate Services after consultation with the General Counsel.
- (c) The Director of Corporate Services is responsible for ensuring that the payment of salaries and allowances reflects:
- appointments, resignations, dismissals, suspensions, secondments and transfers;
 - changes in remuneration.

26. Credit Cards

- (a) Credit cards must only be used in relation to the Commissioner's business, and only when this means of purchasing is appropriate.

27. Banking Arrangements

- (a) The Director of Corporate Services will advise the Commissioner on all banking and related arrangements. The Director of Corporate Services will open, operate and close bank accounts on behalf of the Commissioner.
- (b) The Director of Corporate Services will arrange that all bank accounts which contain monies that form part of the Commissioner's funds bear an official title that includes the name of the Commissioner.
- (c) The Director of Corporate Services will determine the arrangements for authorising and making payments from the Commissioner's bank accounts.

28. Taxation

- (a) The Director of Corporate Services is responsible for the Commissioner's compliance with taxation legislation, including making tax payments, receiving tax credits, maintaining tax records and completing and submitting all statutory returns by due dates.
- (b) The Director of Corporate Services is responsible for issuing guidance on taxation issues that affect the Commissioner.

29. External Funding

- (a) Draft grant funding bids must be submitted to the Director of Corporate Services for review and full account taken of the conditions of grant, before it is approved.
- (b) The Director of Corporate Services must be consulted on the Value Added Tax implications of grant funding and raise invoices for the amounts due to the Commissioner.

PART 7 – DEFINITIONS

In this Scheme of Governance, the following terms have the following meanings:

Best Value is the duty imposed on the Commissioner by Part 1 of the Local Government Act 1999 and under which the Commissioner must seek continuous improvement in the way their functions are exercised, having regard to a combination of economy, efficiency and effectiveness and to the guidance issued by the Secretary of State and the Chartered Institute of Public Finance and Accountancy (and their successor bodies as the case may be) under Part 1 of the Local Government Act 1999.

Bluelight is an online a procurement database for contract and procurement information for buyers within the emergency Service in the UK.

Brigade is the London Fire Brigade

Budget provision is the amount identified in the Commissioner's budget for a particular purpose.

Commissioner is the London Fire Commissioner created by under Part 6A S.327A(1) of the Greater London Authority Act 1999 by virtue of an amendment under S.9 of Schedule 2 of the Policing and Crime Act 2017

Commissioner's Decisions are non-operational decisions taken by

- the Commissioner or a statutory deputy appointed by the Commissioner under Section 112 of the Local Government Act 1972 and Schedule 27A of the Greater London Authority Act 1999 as fire and rescue authority
- in accordance with Standing Order 1 of Part 2.

Constructionline is a Government run scheme of health and safety assessed and approved suppliers which is accessible by both the public and private sectors.

Contract Award is the process described in PSO 12.

Contract is any agreement for the for the supply of works, goods or services to the Commissioner, including Framework Agreements, call off contracts made under a Framework Agreement and Land Transactions, but does not include employment contracts.

Contractor means the other party or potential other party to a Contract.

Contracts Finder is an online portal provided for the purposes of the UK Regulations by or on behalf of the Cabinet Office.

Contract Value is the estimated value of a Contract which shall be the total anticipated spend under that Contract including all options to extend the term, net of VAT.

Scheme of Governance – Definitions

Delegated Decisions are decisions delegated by the Commissioner to Directors and Heads of Service.

Directors are the Commissioner's:

- Deputy Commissioner (Operational Delivery and Assurance) and
- Director of Corporate Services.

E-Tendering System is an online system, accessible by all Contractors, which the Commissioner uses to process all Tenders and Contracts, and includes Bluelight.

EU Public Procurement Directives means European Union Directive 2014/24/EU and European Council Directive 89/665/EEC, any Directives and Regulations by which it is applied, extended, amended, consolidated or replaced and any re-enactment thereof.

EU Procurement Regime means European Union case law, treaties, directives and regulations, including the Public Contracts Regulations 2015, all as amended or replaced from time to time.

EU Thresholds means the thresholds for public advertisement of works, goods and services contracts as provided for in the EU Public Procurement Directives and advised by the Government.

EC Treaty means the Treaty establishing the European Community of 25 March 1957 as amended and superseded by subsequent treaties.

Evaluation Criteria are the criteria which are used to determine the most economically advantageous tender.

Financial Authority in the context of these PSOs is the authority to approve expenditure in relation to the Procurement of Contracts, and is automatically granted to the extent that a Contract is within the Budget Provision.

Framework Agreement means an agreement between one or more contracting authorities (bodies governed by public law) and one or more Contractors which establishes the terms governing call off contracts to be awarded during a given period, with regard to price and, where appropriate, the quantity envisaged.

Heads of Service are the Assistant Commissioners and Assistant Directors appointed to manage the following departments:

- Fire Safety
- Fire Stations
- Mobilising and Control
- Health and Safety
- Operational Policy
- Operational Resilience
- Grenfell Tower Investigation and Review Team
- Training and Development
- Communications
- Finance

Scheme of Governance – Definitions

- People Services
- Strategy and Risk
- Technical and Commercial Services
- Property Services

and the Chief Information Officer and the General Counsel and in the Procurement Standing Orders, unless the context indicates otherwise, are individually the Head of Service for whose purposes the contract is to be entered into.

Lead Client Officer (LCO) is a senior officer designated by the relevant Head of Service, after consultation with the Assistant Director Technical and Commercial, for the procurement of a Contract.

The Mayor is the Mayor of London

OJEU means the Official Journal of the European Union.

Procurement is the process of obtaining works, goods or services, usually through a competitive tendering process.

Procurement Documents are the documents used in the procurement process and include the invitation to tender, the Specification, the evaluation methodology, the form of tender, the bid pricing template, the terms and conditions of Contract and Contract schedules.

Procurement Initiation is the process described in PSO 9.

Procurement Request Form is the Commissioner's internal online form seeking the approval of the Director of Corporate Services to initiate a new procurement in the process described in PSO 9.

Responsible Procurement Policy is the Greater London Authority group Responsible Procurement policy adopted by the Commissioner as policy number 696.

Specification is the description of the works, goods or services to meet the Commissioner's requirements.

Standing Orders are the Standing Orders of the Commissioner, including the PSOs.

Tender is an offer to provide the Commissioner with works, goods or services at a price quoted in, or determined under, the tender documentation.

Tender Request Form is the Commissioner's internal online request form required to record in the Contract Register a new Contract for procurement.

Scheme of Governance – Definitions

Transparency Code is the local government transparency code 2015, as amended from time to time, which sets out the minimum data that local authorities should be publishing, the frequency it should be published and how it should be published.

Works, Supplies and Service are as defined in the EU Public Procurement Directives.

MATTERS RESERVED TO THE COMMISSIONER

Person	General	Finance	People	Assets
Commissioner	<ul style="list-style-type: none"> To agree the TDP/Corporate Plan. To decide major amendments to the TDP To take decisions on the actions set out in the TDP To agree all matters that have a significant impact on the organisation or service delivery, as determined by a Director To make all decisions which would or would be likely to expose the LFC to a significant or unusual level of risk, financial or otherwise, as determined by a Director or General Counsel To agree/approve all 	<ul style="list-style-type: none"> Approve the budget A commitment to expenditure (capital or revenue) on 'non-routine'¹ matters of £0.5m or more as identified in accordance with normal accounting practices Entering into any business or commercial arrangement with others which involves a substantial financial commitment by the LFC 	<ul style="list-style-type: none"> changes to terms and conditions that affect a significant number of staff, or matters which will have a significant impact on significant number of staff² Appointment of the Deputy London Fire Commissioner Appointment of a member of staff to the post of AC and above Changes to the management structure of the LFC 	<ul style="list-style-type: none"> the acquisition or disposal of freehold land or leasehold interest in land (or buildings) where the lease is for a term of seven years or more The approval of terms for the acquisition or disposal of leasehold property where the lease term is for under seven years and where the value is £0.5m or more The approval of terms for the grant or taking of licenses and of leases (of up to seven years in length and where the value is £0.5m or more).

¹ routine matters are those where

- i. a contract or agreement is already in place for the goods or services, and
- ii. the renewal/ expenditure is within budget and
- iii. the specification is broadly the same, or the change(s) has no substantial impact on service delivery or the organisation and
- iv. the contract or arrangement does not fall within the matters reserved generally or specially to the Commissioner or the Directors.

'Routine' matters are delegated to the AD Tech Services and Directors. 'Non-routine' are those matters that fall outside of the description of 'routine' matters.

² significant number of staff being more than 50 staff or 30% of that work force group, whichever is the smaller.

Person	General	Finance	People	Assets
	<p>documents produced under the National Framework, and any documents which will be submitted to the Assembly's Fire Resilience and Emergency Planning Committee</p> <ul style="list-style-type: none"> • To agree all matters that require consultation with the Deputy Mayor, Fire and Resilience on the basis they are novel, contentious or repercussive • To agree/ approve any matters which requires an LFC decision by law (such as the Pay Policy) • Changes to the Scheme of Governance • Any other matters that the Commissioner wishes to decide, or any matter which officers, with the agreement of the Commissioner, seek to refer to the Commissioner 			

DELEGATIONS BY THE COMMISSIONER TO DIRECTORS

ALL DELEGATIONS ARE SUBJECT TO THE MAYORAL DIRECTIONS AND ARE LIMITED BY ALL THOSE MATTERS RESERVED TO THE COMMISSIONER. DELEGATIONS IN SPECIFIC COLUMNS ARE ALSO LIMITED BY THE MATTERS RESERVED IN THE GENERAL COLUMNS, SUCH THAT FOR EXAMPLE ANY CONTRACT ON THE TDP IS A DECISION FOR THE COMMISSIONER IRRESPECTIVE OF VALUE

Person	General	Procurement / contracts / expenditure	People	Assets
All Directors	<ul style="list-style-type: none"> To agree the Directorate Plan To agree any amendments to the Directorate Plan To decide actions on the Directorate Plan To determine matters of substantial importance which have a risk or impact for the directorate To determine matters that relate to the internal management of the directorate To determine approval for Outline Business Cases and Full Business Cases for new matters that affect the Directorate Plan (save for those matters which would result in a minor change to the TDP which require agreement of the TB, and those involving a major change to the TDP which are reserved to the Commissioner) 	<ul style="list-style-type: none"> All non-routine contracts and agreements of £150k or more and less than £0.5m All routine contracts and agreements of .5M or over All expenditure of more than £100k and less than £0.5m which is not a contract or agreement subject to consultation with the Director Corporate Services (or the AD Finance where the decision maker is the DCS) in respect of decisions less than £150k 		

Person	General	Procurement / contracts / expenditure	People	Assets
	<ul style="list-style-type: none"> • The authorisation in writing of employees of the Commissioner to exercise emergency powers under Section 44 of the Fire and Rescue Service Act 2004 • Any other matters that the Directors wishes to decide that falls within their directorate, or any matter that officers, with the agreement of the Director, seek to refer to the Director 			
The Director of Corporate Services		<ul style="list-style-type: none"> • The approval of treasury management action • The approval of borrowing • The determination of Stage 2 Internal Dispute Resolution Procedure appeals under the Firefighters Pension Scheme • The amendment of service budgets to reflect income received • The exercise of the Commissioner's powers as shareholder of London 		<ul style="list-style-type: none"> • The approval of terms for the acquisition or disposal of leasehold property where the lease term is for under seven years and where the value is £150k – less than £0.5m • The approval of terms for the grant or taking of licenses and of leases (of up to seven years in length and where the value is £150k – less than £0.5m).

Person	General	Procurement / contracts / expenditure	People	Assets
		Fire Brigade Enterprises Limited <ul style="list-style-type: none"> The writing off of losses up to £100k 		

DELEGATIONS BY THE COMMISSIONER TO HEADS OF SERVICE

ALL DELEGATIONS ARE SUBJECT TO THE MAYORAL DIRECTIONS AND ARE LIMITED BY ALL THOSE MATTERS RESERVED TO THE COMMISSIONER AND TO THE DIRECTORS. DELEGATIONS IN SPECIFIC COLUMNS ARE ALSO LIMITED BY THE MATTERS RESERVED IN THE GENERAL COLUMNS, SUCH THAT FOR EXAMPLE ANY CONTRACT ON THE TDP IS A DECISION FOR THE COMMISSIONER IRRESPECTIVE OF VALUE, ANY POLICY ON THE TDP IS A MATTER FOR THE COMMISSIONER

All Heads of Service	<ul style="list-style-type: none"> To agree the Departmental Plan To agree any amendments to the Departmental Plan To decide actions on the Departmental Plan³ The approval of changes to policies and procedures of which they are the designated custodian (see footnote 3) To determine matters arising which fall within the remit of the Head of Service Department and which are 	<ul style="list-style-type: none"> The approval of any expenditure <ul style="list-style-type: none"> up to £100,000 per transaction or item, or of a recurring nature, incurred at least annually and less than £150,000 The approval of expenditure to be reimbursed by the Commissioner's insurers or from some other source The approval and waiver of charges for publications, information, 	<ul style="list-style-type: none"> The determination of the number and duties of posts in their department The appointment, management and dismissal of staff below Head of Service level To determine matters that relate to the internal management and structure of the department 	
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³ These matters are still subject to the restrictions on procurement/contracts/expenditure thresholds

Person	General	Procurement / contracts / expenditure	People	Assets
	not reserved to the Commissioner or the Directors (<i>see footnote 3</i>)	service or facilities provided by the Commissioner following consultation with the Director of Corporate Services <ul style="list-style-type: none"> • The writing off of losses up to £500 		
All ACs and DACS	<ul style="list-style-type: none"> • The approval of prohibition notices under Article 31 of the Regulatory Reform (Fire Safety) Order 2005 			
The Assistant Commissioner (Fire Safety)	<ul style="list-style-type: none"> • The authorisation of Fire Investigating Officers under Section 45 of the Fire and Rescue Service Act 2004 • The appointment of Fire Safety Inspectors under Article 26 of the Regulatory Reform (Fire Safety) Order 2005 • The appointment of Inspectors under Section 19 Health and Safety at Work etc. Act 1974 • The appointment of other statutory inspectors or enforcement officers as the 			

Person	General	Procurement / contracts / expenditure	People	Assets
	<p>Commissioner is empowered to appoint</p> <ul style="list-style-type: none"> • The approval of enforcement action including statutory alteration, enforcement and other notices • The grant of exemptions in accordance with the Fire Precautions (Sub-Surface Railway Stations) Regulations 2009 • The approval and termination of primary scheme agreements and memoranda of understanding relating to fire safety. 			
<p>Assistant Director (People Services)</p>			<ul style="list-style-type: none"> • The approval of nil cost employee benefit and salary sacrifice schemes • The implementation of agreements secured through joint negotiating arrangements • The approval of trades union facilities agreements • The approval of the grading of posts 	

Person	General	Procurement / contracts / expenditure	People	Assets
			<ul style="list-style-type: none"> • The approval of redundancy, settlement and termination payments • The extension or reduction of sick pay to staff. • The approval of the employment of Commissioner's staff by contractors to the Commissioner • The exercise of discretions under the Firefighters Pension Schemes and the Local Government Pension Scheme • Changes to terms and conditions 	
Assistant Director (Communications)	<ul style="list-style-type: none"> • The approval of the terms of sponsorship arrangements and agreements with organisations external to the Brigade • The approval of communications strategies and new communications tools in line with those strategies 			
Chief Information	<ul style="list-style-type: none"> • The approval of the 			

Person	General	Procurement / contracts / expenditure	People	Assets
Officer	Commissioner's Publication Scheme.			
General Counsel to the Commissioner	<ul style="list-style-type: none"> • The authorisation of prosecutions by the Commissioner following consultation with the Assistant Commissioner (Fire Safety) • The discontinuance of prosecutions following consultation with the Assistant Commissioner (Fire Safety) • The authorisation of civil proceedings by the Commissioner • The taking of any action to support the statutory functions, or protect the assets, of the Commissioner, or to protect the community or its members, including the initiation and defence of any judicial or quasi-judicial proceedings, the laying of informations and the submission and defence of appeals • The authorisation of officers 			

Person	General	Procurement / contracts / expenditure	People	Assets
	<p>(not being certificated solicitors, certificated barristers or chartered legal executives) to appear on the Commissioner's behalf in legal proceedings.</p> <ul style="list-style-type: none"> • The authorising, following consideration of a recommendation of a Director, of legal representation for employees of the Commissioner who are involved in legal proceedings arising in connection with the discharge of their duties • The taking of any action to facilitate the compliance by the Commissioner with a decision of a court or tribunal • To act as Solicitor to the Commissioner taking such action as flows from that appointment • The appointment of counsel, solicitors, transcribers, inquiry agents and agency services and 			

Person	General	Procurement / contracts / expenditure	People	Assets
	<p>consultants.</p> <ul style="list-style-type: none"> • The settlement of any claim, including claims for costs, by or against the Commissioner less than £150k • The negotiation and approval of legal documentation, in accordance with any recommendations from a Director, Assistant Director or Assistant Commissioner, to give effect to any decision of the Commissioner. 			
<p>Assistant Director (Technical and Commercial)</p>	<ul style="list-style-type: none"> • The approval of terms for the disposal of unwanted vehicles and equipment 	<ul style="list-style-type: none"> • Any renewal of a contract, or agreement for the purchase of works, goods or services under .5M that are 'routine' matters (see footnote 1 for routine matters) which are within the existing budget (subject to consultation with the Corporate Resources Director where those proposals are under £150k) • Any 'non routine' 		

Person	General	Procurement / contracts / expenditure	People	Assets
		contracts and other agreements for the purchase of works, goods or services less than £150k (subject to consultation with the Corporate Services Director)		
Assistant Director (Finance)	<ul style="list-style-type: none"> The determination of Stage 1 Internal Dispute Resolution Procedure appeals under the Firefighters and Local Government Pension Schemes 			
Assistant Director (Property Services)	<ul style="list-style-type: none"> The declaration of property as surplus to requirements The approval of terms for the acquisition or disposal of leasehold property where the lease term is for under seven years and where the value is less than £150k. The approval of terms for the grant or taking of licenses and of leases (of up to seven years in length and where the value is less than £150k). 			

London Fire Brigade – Board Terms of Reference, Membership, and Frequency

Board	Terms of Reference ¹	Membership	Frequency
Commissioner's Board	<ul style="list-style-type: none"> • Strategic oversight of the delivery of the TDP – receiving updates on delivery against the actions points and the strategic objectives, • To hold Directors to account for the delivery of their Directorate Plans • Consider reports recommending Commissioner decisions (or exceptionally the Mayor) on <ul style="list-style-type: none"> ○ agreeing the TDP/Corporate Plan. ○ agreeing major amendments to the TDP ○ the actions set out in the TDP/corporate plan ○ all matters reserved to the Commissioner under the Scheme of Governance • all matters that have a substantial impact on the organisation or service delivery • all documents produced under the National Framework, and any documents which will be submitted to the Assembly's Fire Resilience and Emergency Planning Committee • all matters that require consultation with the Deputy Mayor, Fire and Resilience on the basis they are novel, contentious or repercussive • Any proposed procurement that involves any matters or implications of a novel, contentious or repercussive nature report (9.2 PSO) • Any other matters that the Commissioner wishes to decide, or any matter which officers, with the 	LFC, Directors, General Counsel (advisory only)	Fortnightly

¹ Matters to be referred to the Deputy Mayor by Directors or Heads of Service for prior approval due to monetary limits (£150k or more) will be reported in short to the Commissioner's Board to note.

London Fire Brigade – Board Terms of Reference, Membership, and Frequency

	<p>agreement of the Commissioner, seek to refer to the Commissioner</p> <ul style="list-style-type: none"> • Performance, risk and assurance reports 		
Directorate Boards	<ul style="list-style-type: none"> • To agree the Directorate Plan • To agree any amendments to the Directorate Plan • Any matters requiring a decision by the Director on the Directorate Plan • Matters for the Director to determine of substantial importance which have a risk or impact for the directorate • Matters for the Director to determine that relate to the internal management of the directorate • Any other matters that the Directors wishes to decide that falls within their directorate, or any matter that officers, with the agreement of the Director, seek to refer to the Director 	All Heads of Service who report to the Director	Fortnightly
Transformation Board	<ul style="list-style-type: none"> • To oversee, monitor and challenge the progress on delivering the TDP, HMICFRS and GTIP • To identify, consider and challenge, dependencies, resources, prioritisation and risks • To consider and agree minor changes to the TDP (to add/remove/prioritise) • To report to the CB on issues arising and delivery of the TDP and associated plans with recommendations including any suggested major changes to the TDP 	Directors, AD Strategy and Risk, AD Finance, AD People Services, AD Communications	Monthly
Transformation Board Sub-Committee	<ul style="list-style-type: none"> • Commission work to consider further or develop propositions for implementation of those actions that the Board agrees are required as a result of GTI and HMICFRS • Receive progress reports on each work stream 	<ul style="list-style-type: none"> • Assistant Commissioner Grenfell Tower Investigation and Review Team (Chair) • Programme Manager • Assistant Director – Health and 	Monthly

London Fire Brigade – Board Terms of Reference, Membership, and Frequency

	<p>identified, including information on products being produced/amended as a result of the recommendations,</p> <ul style="list-style-type: none"> • Receive information on risks and issues to the delivery of these products • Seek assurance that the products align with and fulfil the recommendations, identifying any further actions that may be required • Agree and approve an updated action plan and highlight report, which will be provided to the Transformation Board, Commissioner, Home Office and Mayor's Office at the frequency requested (currently monthly) • Ensure alignment with the Transformation Delivery Plan 	<p>Safety</p> <ul style="list-style-type: none"> • Legal Advisor (General Counsel's Department). • Operational Assurance Advisor • Assistant Commissioner – Fire Stations • Assistant Commissioner – Fire Safety Regulation • Assistant Commissioner – Operational Policy and Assurance • Assistant Commissioner – Control and Mobilising • Assistant Director – Training and Professional Development (TPD) • DAC People Services 	
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London Fire Brigade – Expenditure decision-making levels

IMPORTANT

1. ALL decisions are still subject the prior approval of the Deputy Mayor for expenditure of £150k or more in accordance with the Mayor Directions 2018: '*(A commitment to expenditure (capital or revenue) of £150,000 or above as identified in accordance with normal accounting practices)*', for which full report format and clearance by stakeholders (legal and finance, etc.) will be required.
2. Regardless of the expenditure associated with decision, some decisions are reserved to the Commissioner or delegated to a Director, based on type.

	Routine¹ contract/agreement renewal	Non-routine contract renewal	Other expenditure
Commissioner	None	All non routine contracts and agreements of £0.5m or more	All expenditure of £0.5m or more which is not a contract or agreement
Director	Routine contract/ agreement 'renewal' £0.5m or over	All non routine contracts and agreements of £150k or more and less than £0.5m	All expenditure of more than £100k and less than £0.5m which is not a contract or agreement subject to consultation with the Director of Corporate Services (or Assistant Director (Finance) where the Director is the decision-maker) in respect of decisions under £150k.
AD Technical and Commercial Services	Routine contract/ agreement 'renewal' under £0.5m (subject to those proposals under £150k being approved by the Corporate Services Director)	Non routine contracts and agreements less than £150k (subject to consultation with the Corporate Services Director)	
Heads of Service	Contracts and agreements under £10k subject to compliance with PSO5	Contracts and agreements under £10k (subject to compliance with the PSO5)	All expenditure up to £100k within budget (subject to Business Case Approval on new proposals where required)

¹ Routine matters are those where:

- i. a contract or agreement is already in place for the goods or services, and
- ii. the renewal/ expenditure is within budget, and
- iii. the specification is broadly the same, or the change(s) has no substantial impact on service delivery or the organisation, and
- iv. the contract or arrangement does not fall within the matters reserved generally or specially to the Commissioner or the Directors.

SEIZING THE FUTURE

ACTION	IMPACT	COMPLETION	OWNER	HMICFRS	GTI	DIRECTLY RELEVANT/ RELEVANT/ REPORTED SEPARATELY
Challenge and transform						
Use this strategy to create to create a single plan of prioritised activity across LFB all of which are clearly linked to the organisation strategy.	Greater alignment, focus and energy on what needs to be done; Less duplication of effort; more completion.	By end of March 2020	AD Strategy and Risk	●	●	RELEVANT
Review governance structures and processes at every level.	Greater focus on priorities and action for faster decision making.	By end of March 2020	General Counsel			DIRECTLY RELEVANT
Innovate and improve						
Review decision making protocols	Improve decision making and streamline associated processes at all levels to empower, encourage innovation and improvement at the lowest appropriate level.	By the end of March 2020	General Counsel	●	●	DIRECTLY RELEVANT

DELIVERING EXCELLENCE

ACTION	IMPACT	COMPLETION	OWNER	HMICFRS	GTI	DIRECTLY RELEVANT/ RELEVANT/ REPORTED SEPARATELY
Constantly improving effectiveness of our service						
Work with City Hall to establish an independent Audit Committee for LFB	To provide more robust scrutiny and assurance of LFB's decision making and service delivery.	June 2020	General Counsel			REPORTED SEPARATELY
Understand and communicate risk information to better deliver our services						
Incorporate a risk management element into the new LFB performance management process.	Incorporate a risk management element into the new LFB performance management process. Raising the profile of risk management and improving performance against key risk criteria.	March 2020	AD People Services/AD Strategy and Risk	●		REPORTED SEPARATELY
Review of Strategic Risk Register process to ensure it accurately supports and reflects the strategic planning process	Will ensure the delivery of strategy is aligned with identified internal and external corporate risk.	March 2020	AD Strategy and Risk			REPORTED SEPARATELY
Improved execution						
Review and re-charter the project management support function.	Drive better prioritisation of and on time/in budget delivery of projects at all levels of the organisation.	By end 2020	AD Strategy and Risk	●	●	RELEVANT

ACTION	IMPACT	COMPLETION	OWNER	HMICFRS	GTI	DIRECTLY RELEVANT/ RELEVANT/ REPORTED SEPARATELY
Review and change Commissioner's and Directors' board structures to include prioritisation of activity and corporate portfolio management as agenda items alongside robust performance management.	<ul style="list-style-type: none"> - Improved planning, prioritisation and quicker delivery of corporate projects. - Rationalisation of delegated authorities to speed up decision making and empower employees at all levels. - Streamlined decision making. - Clear alignment of decision making and governance to the corporate plan to improve execution of key priorities. - More productive and efficient organisation. 	April 2020	General Counsel/AD Strategy and Risk	●		DIRECTLY RELEVANT
Review, consolidate and simplify performance metrics.	Simplify reporting and increase the focus on executing what matters so that all critical measures are contained on a one page dashboard.	March 2020	AD Strategy and Risk	●		RELEVANT
Implement new email and conduct of meeting protocols	<ul style="list-style-type: none"> - Reduce the number of meetings and improve the effectiveness of meetings that do take place. - Reduce the reliance on and unnecessary use of email communication. - More productive and efficient organisation. 	April 2020	AD Communications/AD People Services	●		RELEVANT

