

# Grants Committee AGM

12 July 2017: 11:00 am

## Agenda

At London Councils offices, Conference Suite,  
59½ Southwark St., London SE1 0AL

Refreshments will be provided

London Councils offices are wheelchair accessible

### Labour Group:

(Political Adviser: 07977 401955) Room 1 10:00 am

### Conservative Group:

(Political Adviser: 07903 492195) Room 5 10:00 am

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A sandwich lunch will be provided after the meeting in Room 2

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### **\*Declarations of Interests**

If you are present at a meeting of London Councils' or any of its associated joint committees or their sub-committees and you have a disclosable pecuniary interest\* relating to any business that is or will be considered at the meeting you must not:

- participate in any discussion of the business at the meeting, or if you become aware of your disclosable pecuniary interest during the meeting, participate further in any discussion of the business, or
- participate in any vote taken on the matter at the meeting.

These prohibitions apply to any form of participation, including speaking as a member of the public.

It is a matter for each member to decide whether they should leave the room while an item that they have an interest in is being discussed. In arriving at a decision as to whether to leave the room they may wish to have regard to their home authority's code of conduct and/or the Seven (Nolan) Principles of Public Life.

\*as defined by the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012

**LONDON COUNCILS GRANTS COMMITTEE - AGM**  
**13 July 2016**

Minutes of the Grants Committee AGM held at London Councils, 59½ Southwark Street, London SE1 0AL on Wednesday 13 July 2016

London Borough & Royal Borough:

Representative:

Barking and Dagenham	Cllr Saima Ashraf
Bexley	Cllr Don Massey
Brent	Cllr Margaret McLennan
Bromley	Cllr Stephen Carr
City of London	Cllr Alison Gowman
Ealing	Cllr Ranjit Dheer
Enfield	Cllr Yasemin Brett
Greenwich	Cllr David Gardner (sub)
Hackney	Cllr Jonathan McShane
Haringey	Cllr Eugene Ayisi
Harrow	Cllr Sue Anderson
Havering	Cllr Osman Dervish (sub)
Hillingdon	Cllr Douglas Mills
Hounslow	Cllr Richard Foote
Islington	Cllr Kaya Comer-Schwartz
Kensington & Chelsea	Cllr Gerard Hargreaves
Kingston upon Thames	Cllr Julie Pickering
Lambeth	Cllr Paul McGlone (Chair)
Lewisham	Cllr Joan Millbank
Merton	Cllr Edith Macauley
Newham	Cllr Forhad Hussain
Redbridge	Cllr Bob Littlewood
Richmond	Cllr David Marlow (sub)
Southwark	Cllr Barrie Hargrove
Sutton	Cllr Simon Wales
Waltham Forest	Cllr Liaquat Ali
Westminster	Cllr David Harvey

London Councils officers were in attendance.

Nick Lester, Director, Services at London Councils chaired items 1-4.

**1. Apologies for Absence and Announcement of Deputies**

1.1 Apologies were received from Cllr Richard Cornelius (Barnet), Cllr Hamida Ali (Croydon), Cllr Denise Scott-McDonald (Greenwich), Cllr Sue Fennimore (Hammersmith & Fulham), Cllr Melvin Wallace (Havering), Cllr Meena Bond (Richmond), Cllr James Madden (Wandsworth), Cllr Nicki Aiken (Westminster)

**2. Declarations of Interest**

2.1 There were no declarations of interest made under this item but Cllr Joan Millbank (Lewisham) declared a pecuniary interest in item 12. *Leadership in the Third Sector : The Role of London Boroughs and London Councils* when the committee arrived at that item - as an employee of City Bridge Trust. She took no part in the decision.

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**3. Acknowledgement of new members of the Grants Committee**

3.1 New members were welcomed to the Grants Committee.

**4. Election of Chair of the Grants Committee for the 2016/17 Municipal Year**

4.1 Cllr Paul McGlone was re-elected as Chair of the Grants Committee – nominated by Cllr Stephen Carr (Bromley) and seconded by Councillor Hargreaves (RB Kensington & Chelsea).

4.2 The Chair apologised to members for the size of today's agenda – he would devote as much time as possible to the key items – 13 and 14.

## **5. Election of Vice-Chairs for the Grants Committee for the 2016/17 Municipal Year**

5.1 Cllr Forhad Hussain was elected as the Labour Vice-Chair. Nominated by Cllr Millbank

5.2 Cllr Stephen Carr was elected as the Conservative Vice-Chair. Nominated by Cllr Hargreaves

5.3 Cllr Simon Wales was elected as the Liberal Democrat Vice-Chair. Nominated by Cllr Gowman.

## **6. Election of the Grants Executive for the 2016/17 Municipal Year**

6.1 The following members were appointed to the Grants Executive:

- Cllr Paul McGlone
- Cllr Joan Millbank
- Cllr Forhad Hussain
- Cllr Stephen Carr
- Cllr Simon Wales
- Cllr James Maddan
- Cllr Gerard Hargreaves
- Cllr Komer-Schwartz

6.2 The Chair recognised that a wider Executive membership may need to be considered, as that group may need to meet on several occasions throughout the year.

## **7. Minutes of the Grants Committee AGM held on 15<sup>th</sup> July 2015 (for noting – previously agreed)**

7.1 Members noted the minutes of the July 2015 Grants AGM.

## **8. Minutes of the Grants Committee held on 9<sup>th</sup> March 2016**

8.1 The minutes were agreed as an accurate record of the meeting which took place on 9<sup>th</sup> March 2016, subject to the removal of the reference to 'AGM' in the first line of the minutes.

## **9. Draft Minutes of the Grants Executive on 22 June 2016 (for noting)**

9.1 Members noted the draft minutes of the Grants Executive which took place on 22 June 2016.

## **10. Operation of the Grants Committee**

10.1 The Chair introduced the report.

10.2 Cllr Pickering felt that that the Terms of Reference for Grants Executive (item 9 of the report - page 20 of the paper) should be reviewed, in that their delegated powers from the Grants Committee seemed to conflict with the powers of delegation in Leaders' Committee to the Executive. Cllr McGlone asked officers to provide clarity on this issue.

Action: Officers to review wording of the Terms of Reference in respect of delegation to the Grants Executive.

10.3 Cllr Pickering asked if Officers could do more ‘intelligent reporting’ via Grants Executive to reduce the amount of paperwork being sent to Grants Committee, and that this be reflected in a review of the ToR. Cllr McGlone agreed that this approach could be explored. Cllr Carr agreed with the moves to rationalize paperwork and suggested that there may need to be extra Executive meetings as a result.

Action: Officers to prepare a discussion paper on this issue and report back.

The following dates of future meetings were agreed.

<b>Grants Main Meeting</b>		
<b>Date</b>	<b>Time</b>	<b>Main Business</b>
23 November 2016	11.00 am	
15 February 2017	11.00 am	
12 July 2017 (AGM)	11.00am	AGM
<b>Grants Executive</b>		
<b>Date</b>	<b>Time</b>	<b>Main Business</b>
13 September 2016	2:00 pm	Grants Executive
7 June 2017	2:00 pm	Grants Executive

10.4 The Committee noted the remainder of the report.

## **11. Constitutional Matters**

11.1 London Councils’ officers introduced this report which covered:

- Minor variations to London Councils Governing Agreement
- Amendments to London Councils Standing Orders
- Approval of and amendment to London Councils Scheme of Delegation to Officers
- Terms of reference to Sub Committees

11.2 Members noted the changes to London Councils’ constitutional documents.

## **12. Leadership in the Third Sector : The Role of London Boroughs and London Councils**

12.1 The Chair welcomed David Farnsworth from City Bridge Trust to the meeting. Mr Farnsworth addressed the Committee and made the following points:

- The City Bridge Trust's Grants budget was £20 million for about 600 organisations – an important theme was the support of the voluntary sector
- CBT had funded London Funders to produce ‘The Way Ahead’ report in collaboration with local communities
- Funding had been set for the next three years with an additional £1million a year – it was strategically important that boroughs have a role in co-design and CBT saw London Councils as vital in making this happen

12.2 Cllr Gowman (who was also Chair of CBT) added that she wanted to work collaboratively across London to ensure that the programme provided value for money.

12.3 In response to a question from Cllr Pickering about the role of Grants Committee in linking to the community, Mr Farnsworth confirmed that while the Committee is crucially important in giving strategic oversight, day to day work would be with officers and borough grants teams and London Councils would need to have some officer resource dedicated to this to be able to deliver this in a meaningful way.

12.4 Cllr Hargreaves asked about the resources required. The Corporate Director, Services confirmed that an additional full time resource would need to be recruited at some point, but the costs of this post and an indicative figure was included in the report for which provision could be included in the budget proposals considered by members in the autumn..

12.5 Cllr Carr was concerned that London Councils should look at options for funding the post, including looking at existing resources and underspends, and that the funding decision should be transparent. Also, in response to Cllr Carr's question, it was confirmed that a borough expert subgroup to co-ordinate ideas could be put together, led by the chair of the borough grants officer network (a borough officer from LB Southwark)

12.6 Members agreed that officers make provision in the 2017-18 budget proposals to be considered by the November meeting of the Grants Committee for resources to cover London Councils officer time in this role as set out in section three of the report. Mr Farnsworth was thanked for his presentation, and then left the meeting.

### **13. Tackling Poverty through Employment (ESF Match Funded)**

13.1 The Chair introduced the report, based on priorities agreed in March 2016 which cannot now be changed – the commissioning process began in May.

13.2 The Director, Services confirmed that there were still a small number of administrative issues to be sorted out with the GLA but was hopeful for these to be resolved soon so the agreement can be signed.

13.3 The Head of Grants and Community Services confirmed that bid funding was outcome related, and for the first time there are specific borough based targets for bidders to meet, based on population, unemployment and homelessness rates, which should lead to greater accountability. This has meant greater focus on boroughs with high unemployment and homelessness levels.

13.3 In answer to a question from the Chair on how the clusters had been arrived at, it was explained that the groupings were determined by the allocation of grant. There was a discussion around the issues of clustering, and the following points were made:

- Cllr Ashraf commented that Barking and Dagenham's allocation seemed low compared to its unemployment and homelessness levels, although it was pointed out that the borough had a relatively small population
- In response to a question from Cllr Anderson as to how much consultation had been carried out with local communities, the Head of Grants and Community Services replied that because of the short timescale and limited discussions with the boroughs, this hadn't been factored in to the process.
- Cllr Millbank expressed concern about potential pressure being placed on the voluntary sector because of the spread of resources to the boroughs. The Head of Grants and Community Services explained that a network of voluntary organisations had been involved with the main bidding partners.
- Cllrs Hargrove, Pickering and Dheer all felt that the clusters should be reviewed, as the correct grouping of boroughs was extremely important, and there seemed to be some unusual groupings e.g. Lambeth being grouped with south west London boroughs

- Cllr Littlewood felt that because there was no limit on the amount of bids that organisations could make, this may lead to capacity issues
- Cllr Anderson asked whether people on the autistic spectrum, who find it difficult to obtain work, were specifically targeted in the guidance. It was confirmed they were not.
- Cllr Gardner raised the issue of the London Living Wage, and asked whether bidders were required to be accredited. It was confirmed that this wasn't part of the ESF bidding requirements, and that it would be difficult to enforce because employers paid wages to their staff direct
- Cllr Pickering also felt that business rates need to be taken into account, as this had an effect of business being willing to offer employment opportunities

13.4 Cllr Carr expressed the opinion that the delay in signing the agreement with the GLA had made little difference to the target group, and that the Committee should postpone moving ahead until there was a full review of clusters and other issues. He also expressed concern that although no movement had been made on this target group, overall the programme was claiming success in resolving unemployment. The Head of Grants and Community Services confirmed that of the £44million for the programme (£22million match funded), only £6million related to the resources targeted at the long term unemployed. The Director, Services also confirmed that other complementary services for the long term unemployed were in operation outside of this grant allocation.

13.5 The Head of Grants and Community Services confirmed that there was a fixed end point for funding, and any delays in signing would reduce the 'window of opportunity' for committing the money, and place more pressure on organisations to deliver. Cllr Carr responded to ask whether any money allocated for the first year would be repaid if not spent? The Chair confirmed that payment of the grant was in arrears and paid based on delivery.

13.6 The Chair recognized the concerns of the Committee and felt that the delivery of the programme was all-important, and that robust tools were needed to keep the delivery under review. The Chair moved to a vote for approval of the recommendations of the report:

For: 19  
Against: 7  
Abstentions: 0

13.7 The recommendations 1 – 3 in the report were agreed.

Action: the Head of Grants and Community Services agreed to look at the clusters again based on the comments from the Committee.

## **14. Grants Programme 2017-21**

14.1 The Chair introduced the report, and confirmed that the budget to be considered by members in autumn would be in the region of £8.7 million available ( because the future programme did not have a fourth priority) but that there was flexibility to move money around. The Principal Programme Manager explained the options for indicative funding.

14.2 Cllr Comer-Schwartz asked whether there was a move away from 'family' homelessness to youth homelessness? The Principal Programme Manager confirmed that there had been a large rise in youth homelessness and that a statistic from a Homeless Link report was included in the report which stated that around 50% of people in homelessness accommodation were now from the 16 – 24 year age group, which boroughs were keen to see targeted, as it is important that

the Grants Programme complements local duties and delivery. Cllr Comer-Schwartz also felt that Government policy of requiring Councils to sell high value stock would also have an impact.

14.3 The Committee noted recommendations 1 and 4 and agreed

- the specifications in **Appendix One**, for services to be delivered from April 2017 to March 2021.
- Option Two from the potential indicative funding levels set out in **Appendix Two**,

## **15. Commissioning Monitoring Arrangements Framework – Review**

15.1 The Chair introduced the report.

15.2 The following comments were made about the report:

- Cllr Millbank queried whether the leveraging in of resources on page 273 of the papers referred to additional resources for the project or the organisation?
- Cllr Hargreaves thought that the borough reports provided with the July – October 2016 Grants Review consultation were preferable to those provided in this one
- Cllr Pickering felt that there were now more sophisticated commissioning tools which should be utilised

15.3 In response to Cllr Millbank's question, The Principle Programme Manager confirmed this related to the organization. In response to Cllr Hargreaves' question about when the borough specific dashboards would be produced, The Head of Grants and Community Services confirmed that a full set would be ready by the next Grants Committee meeting in November.

15.4 The Committee noted the report.

## **16. Performance of Grants Programme 2015/16**

16.1 The Chair introduced the report, commenting that progress was good excepting Priority 4, which had been covered elsewhere on the agenda. The Head of Grants and Community Services felt it would be more useful because of time to concentrate on areas of poor performance.

16.2 Cllr Anderson commented that some of the case studies seemed not to have changed. The Head of Grants and Community Services responded that case studies in Section 3.3. were updated on a rolling basis

16.3 Cllr Millbank noted on page 436 of the papers that some borough events with London Funders were not well attended by all boroughs, and encouraged all boroughs to take up the opportunity as the events were useful and were paid for by the boroughs.

16.4 The Committee noted all recommendations in the report and agreed that in relation to Women in Prison (2.2) that officers bring an update of this to the Grants Chair.

## **17. Grants Committee – Pre Audited Financial results 2015/16**

17.1 The Director of Corporate Resources introduced the report, and confirmed that he provided the information three times a year. He commented that the indicative surplus of £1,167million had increased from £1,041million in the previous report at the 9 month stage. This was a positive sign of the stability of the financial arrangements.

17.3 The Committee noted the report.

## **18. Report of Decision Taken under Urgency procedure**

18.1 The Committee noted the decision.

Cllr Macauley wished to record her congratulations to Theresa May on her appointment as Prime Minister.

**The meeting finished at 12:45pm**

**LONDON COUNCILS GRANTS COMMITTEE**  
**8 February 2017**

Minutes of the Grants Committee held at London Councils, 59½ Southwark Street, London SE1 0AL on Wednesday 8 February 2017

London Borough & Royal Borough:

Representative:

Bexley  
Brent  
Bromley  
Camden  
Ealing  
Greenwich  
Hammersmith & Fulham  
Haringey  
Harrow  
Havering  
Hounslow  
Islington  
Kensington & Chelsea  
Kingston Upon Thames  
Lambeth  
Lewisham  
Merton  
Newham  
Redbridge  
Southwark  
Sutton  
Waltham Forest  
Wandsworth  
Westminster

Don Massey  
Margaret McLennan  
Stephen Carr  
Jonathan Simpson  
Ranjit Dheer  
Denise Scott-McDonald  
Sue Fennimore  
Eugene Ayisi  
Kiran Ramchandani (substitute)  
Melvin Wallace  
Richard Foote  
Kaya Comer-Schwartz  
Gerard Hargreaves  
Julie Pickering  
Paul McGlone  
Joan Millbank  
Edith Macauley  
Forhad Hussain  
Bob Littlewood  
Barrie Hargrove  
Simon Wales  
Liaquat Ali  
James Madden OBE  
David Harvey (substitute)

London Councils officers were in attendance.

**1. Apologies for Absence**

- 1.1 Apologies were received from Cllrs Alison Gowman (City of London), Hamida Ali (Croydon), Yasemin Brett (Enfield), Sue Anderson (Harrow), Meena Bond (Richmond) and Antonia Cox (Westminster).

**2. Declarations of Interest**

- 2.1 There were two declarations of interest: Cllr Joan Millbank (Lewisham) as an employee of City Bridge Trust and Kiran Ramchandani (Harrow) as UK Community Foundations.

**3. Minutes of the Grants Committee held on 23<sup>rd</sup> November 2016**

- 3.1 The Minutes of the meeting were agreed as an accurate record of the meeting.

**4. Grants Programme 2017-21: Recommendations**

- 4.1 The Chair introduced the item, confirming its importance and informing the Committee that the programme had been the subject of a year long review which had concluded in December 2016. The Chair added that it had been agreed that a programme would be

going forward which focused on three priorities and did not have a priority solely focused on capacity building. However, there was capacity building in Priorities 1 and 2 to support the objectives of supporting the sector. He acknowledged the work of City Bridge Trust and the close alignment in the programme between homelessness and employment, and of the relationship between inner and outer London, both of which had been concerns for the Committee.

- 4.2 The Chair drew attention to the maps, which again had been a specific need expressed by the Committee, and which allowed providers to be held to account for schemes operating for the benefit of people from individual boroughs.
- 4.3 Thanks were extended to Cllr Sarah Hayward who, as Equalities portfolio holder had advised on equalities considerations in the report, principally section 6 (Equalities) on page 23 of the paper.
- 4.4 The Chair invited Katy Makepeace-Gray, Principal Programme Manager, to outline the first section of the report and to receive questions from the Committee: this part of the report included the background to the grants review, value for money considerations and the linking of Priority 1 homelessness projects with Priority 2 sexual and domestic violence; it also included details of the assessment and moderation process, leading to Table 1, a list of applications recommended for funding, and Table 2, a list of those applications not recommended.
- 4.5 Cllr Pickering asked about whether it was possible to develop a greater understanding of inner and outer London delivery within the scoring process and to tease out the differences when reviewing the framework? The Principal Programme Manager confirmed that columns 2 and 3 in the service area maps gave more specific information about targets for each borough which were agreed in the service specifications and the anticipated delivery as outlined in the applications. There would be capacity to review those targets during the life of the programme. Ability to deliver to different parts of London and fit with local services were part of the application scoring framework. Simon Courage, Head of Grants and Community Services, mentioned that this was the first time that targets by borough had been delivered, but that there would also be the opportunity to review the framework later in the programme.
- 4.6 Cllr Millbank asked, in relation to section 7.7 of the report, whether the scoring by 'officers' related to internal staff only and whether all boroughs had been involved? The Principal Programme Manager confirmed that the scoring was carried out by one internal member of staff and one person from the boroughs, and that some boroughs had been more involved than others. It was agreed that London Councils would provide a list of external staff involved in scoring to members of the Committee.
- 4.7 Cllr Littlewood felt that the voluntary sector should be more involved in the assessment process via the boroughs, to achieve a more joined up approach. The Chair acknowledged this and the need for a systematic approach to the issue, but commented that practically London Councils Grants team were small in number. Cllr Hussain also commented that providers could undertake to work with borough officers when confirmed via the commissioning process.
- 4.8 While Cllr Dheer was pleased to see the progress made in the production of the borough maps he felt that the inclusion of the London Voluntary Service Council in the assessment process could be useful.
- 4.9 Cllr Scott-McDonald was concerned that there had been a number of changes of staff within teams in Greenwich and the impact this would have had on contact with London

Councils. The Head of Grants and Community Services confirmed that London Councils now had a good working relationship with the present grants contact in that borough.

- 4.10 The Chair asked the Principal Programme Manager to inform the Committee about the single received Right to Reply against being funded, from Women in Prison. The Committee were informed that although the organisation had in their response mentioned the specialist service provided, it was pointed out that St Mungos also offered a relationship with prisons. After reviewing WiP's response Officers were not minded to change their recommendation.
- 4.11 Cllr Hargreaves asked about the impact on delivery for organisations proposed for funding that were not being recommended at a level of funding that matched the level requested. The Principal Programme Manager confirmed that the organisation would have to submit revised work plans, outcomes and budgets to reflect this ( if the bids were approved).Cllr Hargreaves also asked on what basis the recommendation was made not to award the amount requested to particular applications such as SignHealth. The Principal Programme Manager confirmed that there were more high quality applications than budget available and that recommendations were based on addressing the different elements of the service specifications and within the budget envelope.
- 4.12 Cllr Millbank asked about the decision to fund the Women's Resource Centre but not Southall Community Alliance, even though the latter scored higher, and whether the former had the right to challenge. The Principal Programme Manager confirmed that scoring was carried out within the specification and WRC was the only applicant in that area. In terms of appeal, it was confirmed that the Right to Reply was offered to all organisations that were not recommended for funding, although only Women in Prison exercised that right.
- 4.13 In response to a question from Cllr Simpson regarding the lack of inclusion of no recourse to public funds and homelessness, the Principal Programme Manager pointed out the inclusion of Shelter in the bids (page 34 of the report) and the Ashiana Network, and that targets within the 2.4 priority would reflect specialist homeless needs including those with no recourse to public funds. Cllr Simpson felt that as rough sleeping predominantly affected single men, this should be looked at. It was agreed that London Councils would reflect this issue in one of the forthcoming 'themed' reports.
- 4.14 Cllr Hargrove welcomed the equality monitoring aspects of the programme, but asked how any failures to meet Equality Act duties would be reported back to Members. The Chair confirmed that detailed delivery reporting would be made back to members from the November 2017 meeting.
- 4.15 It was noted by Cllr Pickering that some of the organisations' outcome indicators were better defined than others, and asked whether there were any lessons to be learned from some of the clearer bids? The Head of Grants and Community Services commented that for some services outcomes were easier to define than others, but it was hoped that organisations finding it more difficult to clearly articulate outcomes could learn from the best.
- 4.16 The Chair moved to seek approval for the recommendations in the report, and while Councillor Carr pointed out that any approval would be subject to delivery and performance, the Chair confirmed that the Committee would hold commissioned organisations to account in accord with its Commissioning Performance Management policy and procedures, discussed elsewhere on the agenda. Therefore the Committee:
  - Noted London Councils response to the issues raised during the Grants Review (1)

- Noted the approach to embedding equalities throughout the process and the programme (2)
- Agreed the recommendations in Table 1 relating to Priority 1 and the recommended funding for the period 1 April 2017 – 31 March 2021 at an annual level of £2,472,427 and an indicative level of £9,889,711 over four years (3)
- Agreed the recommendations in Table 1 relating to Priority 2 and the recommended funding for the period 1 April 2017 – 31 March 2021 at an annual level of £3,700,705 and an indicative level of £14,802,821 over four years (4)
- Noted the reasons for not recommending funding to applications set out in Table 2 of the report (5)

4.17 The Chair formally thanked the Grants team and London Councils staff involved in the programme for a high quality set of recommendations. This thanks was echoed by the whole Committee.

## **5. Commissioning Performance Management Review**

- 5.1 Cllr Hussain introduced the report, a version of which had been reported to members at the previous meeting. Comments from that meeting and discussions with London Boroughs had now been incorporated to provide a framework where commissioned projects can be effectively managed from their inception. The Head of Grants and Services added that the review focused on outcomes as part of an overall value for money approach, and confirmed that the approach was to performance manage rather than monitor projects. The emphasis would be on those projects deemed high risk, and the use of a triangulation approach involving boroughs and the involvement of providers to ensure that projects issues are quickly highlighted.
- 5.2 Cllr Hargreaves commented that case studies provided tended to be successful ones, and that on occasion it would be good to see studies where there have been problems and lessons learnt.
- 5.3 In response to a question from Cllr Pickering about how it was confirmed whether organisations were 'not for profit' within the due diligence process and whether there were resources to do this, the Principal Programme Manager confirmed that accounts were examined to check that any surpluses made were ploughed back into services.
- 5.4 Cllr Millbank agreed that case studies were important as circumstances within organisations were liable to change and it was therefore good to have a mix of information – it was also helpful to understand where things have not worked well.
- 5.5 Cllr Comer-Schwartz asked that the language relating to closing projects should be softened to reflect the fact that these commissions will be working with very vulnerable people. The Councillor's experience in Islington was to use terms like 'feasibility' and 'signposting' rather than 'closing down.' London Councils agreed to review the language here.
- 5.6 The Chair raised the possibility of asking providers to provide short 20/30 minute presentations to the Committee, which was agreed as a good idea. The possibility of carrying out visits to organisations was also raised. Again while this was agreed to be a good idea there was concern that larger organisations with more resources for such visits would manage whilst smaller organisations might be daunted by such a prospect.
- 5.7 The Committee noted the report and agreed to adopt the Commissioning Performance Management Framework.

## **6. Leadership in the Third Sector**

- 6.1 The Chair introduced the report, confirming that the money budgeted to work with City Bridge Trust had already been agreed by the Committee, and the aim of this paper was to consider the draft Terms of Reference for a new group to provide the necessary political leadership and bolster third sector opportunities.
- 6.2 Members were informed that although some legal advice on the issue had already been obtained the Chair wished for the final agreement on the ToR to be agreed via the Vice Chairs, and that as part of this it was important to get the right numbers of Members involved. He confirmed that this was not a formal sub committee. It was agreed that membership of the group should be agreed via the political groups.
- 6.3 Cllr Carr asked whether this group was more a 'start and finish' body and whether the Executive could fulfil the leadership function? However the Chair felt that many interested Members were not part of the Executive. It was noted however that the group's remit focused on the agreed workplan which was currently for a one year period , and as such the group was time limited, subject to review
- 6.4 Members noted the work plan for leadership in the third sector, the budgetary provision for the work, and the terms of reference, subject to any legal issues. It was agreed at the meeting that the Chair and Vice Chair of Grants Committee take forward constituting the group with the support of the political advisers.

## **7. Month 9 Revenue Forecast 2016/17**

- 7.1 The Chair asked Frank Smith, Director of Corporate Resources, to introduce the item. Members were informed regarding the surplus that there was a slight reduction on the half year position due to processing claims for grants and administration issues – the position had previously been considered and agreed at Leaders Committee.
- 7.2 The Director of Corporate Resources also confirmed that next year was the final year for the payment of £1m for the ESF programme – after that no further money would be demanded and the programme would be funded by the money already levied.
- 7.3 It was confirmed, in relation to the £38k for funding support via City Bridge Trust, that a person had now been appointed to the position.
- 7.4 Members noted the projected surplus of £759,000, the projected level of Committee reserves, and the remainder of the financial report.

The meeting ended at 15.05.



# Grants Committee AGM

## Constitutional Matters

Item No: 9

**Report by:** Christiane Jenkins      **Job title:** Director, Corporate Governance  
**Date:** 12 July 2017  
**Contact Officer:** David Dent  
**Telephone:** 020 7934 9753      **Email:** [david.dent@londoncouncils.gov.uk](mailto:david.dent@londoncouncils.gov.uk)

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**Summary:** This report summarises the key changes to constitutional documents which will be presented to the Leaders' Committee AGM on 11 July 2017 to be agreed. Changes have been proposed to the following documents:

- Amendments to London Councils Standing Orders
- Amendments to London Councils Scheme of Delegation to Officers
- Terms of Reference for Sub-Committees
- Amendments to Financial Regulations

**Recommendation:** The Committee is recommended to:

- Note the changes to London Councils' constitutional documents.



## **Constitutional changes**

1. London Councils Leaders' Committee AGM was scheduled to take place on 6 June 2017, but due to the general election, has been rescheduled to take place on 11 July 2017.
2. At the time of writing this report, Leaders' Committee will not have met, but it is anticipated that the changes proposed to the four constitutional documents will be agreed at its AGM, namely London Councils Standing Orders, Scheme of Delegation to Officers, Terms of Reference for Sub Committees and Financial Regulations.
3. Three of the four reports contain changes which apply to the Grants Committee and are therefore reported to this Committee for information. Because of the timing of Leaders Committee in relation to this meeting, any changes or amendments to the constitutional reports made at Leaders Committee will be reported verbally to this meeting.
4. The changes made are summarised below:
  - Amendments to Standing orders regarding meetings, quoracy; and the urgency process to reflect changes to London Councils staffing structure;
  - Small changes to the Scheme of Delegation to Officers covering the absence of the Chief Executive, and other similar changes to reflect the current structure of London Councils corporate management officer team and senior officer structure;
  - minor changes to the Financial Regulations covering Financial Thresholds for contract opportunities, the process regarding externally funded projects and tender procedures and the provision for a greater number of officers to have authority to execute or sign off on orders, tenders and contracts;
  - The Terms of Reference for Sub-Committees report has not been reported to this Committee, as it does not apply. The Terms of Reference for the Grants Committee are set out in full in a separate agenda item, as are the proposed Terms of reference for the Grants Executive and the Third Sector Committee.

## **Recommendation:**

5. Note the changes to London Councils constitutional documents

## **Legal Implications for London Councils**

6. It is necessary that changes to London Councils governance documents are properly made in a manner which is consistent with the joint committees' Governing Agreements. Consequently Leaders' Committee has approved the changes noted in this report.

## **Equalities Implications for London Councils**

7. There are no specific equalities implications for London Councils.

## **Financial Implications for London Councils**

8. The changes to the Financial Regulations regarding procurement brings London Councils in line with guidance from the Crown Commercial Service.

## **Appendices:**

**Appendix 1** - Leaders Committee AGM Report item 16A – Constitutional Matters – Amendments to London Councils Standing Orders

**Appendix 2** - Leaders Committee AGM Report item 16B – Constitutional Matters – Approval of, and Amendment to London Councils Scheme of Delegation to Officers

**Appendix 3** - Leaders Committee AGM Report item 16D – Constitutional Matters – Minor Variations to Financial Regulations

**Background documents:** London Councils Standing Orders



# **London Councils STANDING ORDERS<sup>1</sup>**

## **INTRODUCTION**

These are the Standing Orders and rules of debate and procedure for the conduct of meetings of the London Councils joint committees. The Standing Orders apply to the London Councils' Leaders' Committee and, wherever appropriate, to the associated joint committees (the Grants Committee and London Councils Transport and Environment Committee), any sectoral joint committees, and any sub-committees (sometimes referred to as 'Panels') and forums of London Councils; and any reference to 'London Councils' is a collective reference to all of them. The Standing Orders have been drawn up having regard to Government best practice, guidance and statutory requirements.

In the event of any conflict between the provisions of the Standing Orders and the provisions of the Leaders' Committee Governing Agreement (which includes the London Grants Scheme) or the London Councils Transport and Environment Committee (LCTEC) Governing Agreement, the relevant provision of the Leaders' Committee Governing Agreement or the LCTEC Governing Agreement shall prevail.

**Revised 7 June 2016**

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<sup>1</sup> Also known as Schedule 6 of London Councils Agreement, 2001

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## 1. MEETINGS

### Generally

- 1.1 Leaders' Committee, its associated joint committees (the Grants Committee and the Transport and Environment Committee (TEC)) and any sectoral joint committees shall each hold a minimum of 2 meetings<sup>2</sup> each year, one of which shall be an annual general meeting.
- 1.2 Subject to 1.1 above, meetings of London Councils shall be called, and the procedure to be adopted at such meetings shall be determined in accordance with the provisions of these Standing Orders.
- 1.3 Any member London Local Authority may give written notice of an item to be placed on the Agenda for any meeting. All notices of items for agendas and reports for circulation with agenda must be received by the Chief Executive not less than ten working days prior to the meeting to which the agenda relates.
- 1.4 Each London Local Authority subscribing to Leaders' Committee, its associated joint committees, and any sectoral joint committee, shall be entitled to receive from the Chief Executive sufficient copies of the Agenda, papers and minutes of the proceedings of the meetings of the joint committees and any Forums and sub-committees thereof.
- 1.5 Deputations shall be entitled, upon prior notification being given to the Chief Executive and at the discretion of the Chair, to attend and address the meeting for not more than ten minutes and to answer questions from members for a further ten minutes.

### Calling Meetings

- 1.6 Meetings may be called by:
  - (i) Leaders' Committee, or the associated joint committee or sectoral joint committee by resolution;
  - (ii) the Chair of the relevant joint committee;
  - (iii) a requisition signed by not less than one third of the representatives, delivered to the Chief Executive at least ten working days before the date mentioned in the requisition.

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<sup>2</sup> [Any reference to meetings relates to ~~in~~ formal, decision making meetings rather than 'for information' meetings](#)

## **Business**

- 1.7 The Summons to any such meeting shall set out the business to be transacted thereat, and no business other than that set out in the summons shall be considered at the meeting unless by reason of special circumstances, which shall be specified in the minutes, the Chair of the meeting is of the opinion that the item should be considered at the meeting as a matter of urgency.

## **Annual Meetings of Leaders' Committee and associated joint committees and sectoral joint committees**

### **Timing and Business**

- 1.8 Leaders' Committee, each associated joint committee and each sectoral joint committee shall hold an Annual General Meeting (AGM) before the end of July of each year.

The relevant joint committee will at its AGM:

- (i) appoint a Chair and up to three Vice Chairs;
- (ii) approve the minutes of the last meeting of that joint committee;
- (iii) receive the minutes of the last Annual General Meeting;
- (iv) receive any announcements from the Chair and/or Head of Paid Service;
- (v) appoint such sub committees and forums as considered appropriate to deal with matters which are not otherwise reserved to London Councils, LCTEC, Grants Committee or any sectoral joint committee;
- (vi) decide the size and terms of reference for those sub committees and forums;
- (vii) decide the allocation of seats [and substitutes] to political groups<sup>2</sup> in accordance with the political balance rules, unless the terms of reference (or constitution) of a sub-committee or forum makes specific provision for the make up of its membership;

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<sup>2</sup> Whilst not specifically bound by the legislation that governs this issue in borough councils, London Councils has operated on a similar basis to boroughs in recognising a party group as being one with two or more members which declare themselves as a group with a Leader. In the context of London Councils, members are the members of Leaders' Committee. No other metric - for example the overall proportion of London councillors – is used in determining proportionality among the groups. Current practice is that party groups are able to offer seats to other elected representatives but are under no obligation to do so.

- (viii) approve a programme of ordinary meetings for the joint committee, sub committee or forum for the year;
- (ix) consider any business set out in the notice convening the meeting.

1.9 London Councils Leaders' Committee will also:

- (i) appoint a Deputy Chair;
- (ii) agree the scheme of delegation to officers;
- (iii) receive nominations of Councillors appointed to Committees by the participating London Local Authorities.

1.10 Transport and Environment Committee will also:

- (i) receive a report recommending nominations to outside bodies.

1.11 Grants Committee will also:

- (i) approve any delegations to sub-committees or Officers in relation to the management of the London Grants Scheme.

### **Ordinary meetings**

1.12 Ordinary meetings of Leaders' Committee, the associated joint committees, and any sectoral joint committee, will take place in accordance with a programme decided at the relevant AGM. Ordinary meetings will:

- (i) elect a person to preside if the Chair, Deputy Chair, or Vice Chairs are not present;
- (ii) approve as a correct record and sign the minutes of the last meeting;
- (iii) receive any declarations of interest from members;
- (iv) receive any announcements from the Chair or the Chief Executive;
- (v) receive questions from, and provide answers to, the public in relation to matters which in the opinion of the person presiding at the meeting are relevant to the business of the meeting and the submission of which have complied with Standing Order 8;

- (vi) deal with any business from the last meeting;
  - (vii) receive and consider reports/presentations from the London Councils sub-committees, forums and associated joint committees and receive questions and answers on any of those reports;
  - (viii) receive nominations and make appointments to fill vacancies arising in respect of any sub-committee, forum or outside body for which the joint committee is responsible;
  - (ix) receive and consider minutes of meetings, any sub committees and forums which have taken place since the joint committee last met.
  - (x) consider motions; and
  - (xi) consider any other business specified in the summons to the meeting.
- 1.13 The order of business of any associated committee shall be as shall be determined by the joint committee.
- 1.14 The Chair may at his/her discretion alter the order in which business is taken.
- 1.15 Leaders' Committee will also receive and consider minutes of meetings, of associated joint committees, any sectoral joint committee, and their sub committees as necessary and relevant to the operation and governance of London Councils.

## **2. MEMBERSHIP**

- 2.1 Each London Local Authority, that is the 32 London boroughs and the Common Council of the City of London, shall appoint its Leader as its representative to London Councils Leaders' Committee.
- 2.2 Each London Local Authority, that is the 32 London boroughs and the Common Council of the City of London, shall make an appropriate appointment to London Councils Transport and Environment Committee.
- 2.3 Each London Local Authority, that is the 32 London boroughs and the Common Council of the City of London, shall make an appropriate nomination to London Councils Grants Committee. Any nominations to Grants Committee must be a Cabinet Member or have appropriate delegated authority from their council.

- 2.4 Each London Local Authority that subscribes to a sectoral joint committee shall make an appropriate nomination to that sectoral joint committee, ensuring that nominees have the appropriate delegated authority.
- 2.5 The [Chairs](#) of each of the associated joint committees, any sectoral joint committee, any Forums or any sub-committees of Leaders' Committee shall also be entitled to sit ex officio (but not to vote in such capacity) on Leaders' Committee.
- 2.6 Any Lead Member appointed in respect of any issue by any of the London Councils joint committees shall be entitled to sit ex officio (but not to vote in such capacity) on Leaders' Committee.
- 2.7 London Councils may admit to membership such representatives of such other bodies as it considers appropriate or is required as the result of any legislation to admit from time to time on such terms as shall be agreed with such other bodies. Such representatives shall be entitled to sit ex officio but not to vote in such capacity.
- 2.8 The Chief Executive of each of the London Local Authorities or his/her nominated representative shall be entitled to attend as an observer but not to speak or vote at any meeting.

### **Deputy Representatives**

- 2.9 If the appointed representative of a London Local Authority is unable to be present at a meeting of Leaders' Committee, an associated joint committee or sectoral joint committees, that member authority may be represented by a deputy who shall be duly appointed for the purpose. A deputy attending a meeting shall declare him/herself as such but shall otherwise be entitled to speak and vote as if he/she were a member of that London Councils committee.

### **Elected Officers**

- 2.10 The following shall be the Elected Officers of Leaders' Committee:
- (i) Chair
  - (ii) Deputy Chair
  - (iii) Vice Chairs
- 2.11 The following shall be the Elected Officers of the Transport and Environment Committee:

- (i) Chair
- (ii) Vice Chairs

2.12 The following shall be the Elected Officers of the Grants Committee:

- (i) Chair
- (ii) Vice Chairs

2.13 The following shall be the Elected Officers of any sectoral joint committee:

- (i) Chair
- (ii) Vice Chairs

2.14 The following shall be the Elected Officers of any sub-committee appointed by Leaders' Committee, associated joint committees or sectoral joint committees:

- (i) Chair
- (ii) Vice Chair/Deputy/s

2.15 The overall balance of which shall be such as to ensure proportional representation of party political groupings on London Councils.

2.16 In a year in which there are council elections, the elected officers of London Councils and all its member bodies shall cease to hold office on the day of the council elections and shall cease to be remunerated save that Leaders' Committee may, by agreement, decide to remunerate members for activity in pursuance of the discharge of the business of London Councils under SO 19.2. Notwithstanding, the outgoing Chair shall be able to preside at the subsequent AGM until a new Chair is elected.

### **3 TIME AND PLACE OF MEETINGS**

3.1 The date, time and place of meetings will be determined by the Chief Executive and notified in the summons.

### **4 NOTICE OF AND SUMMONS TO MEETINGS**

4.1 The Chief Executive will give notice to the public of the time and place of any meeting in accordance with the Access to Information Rules

4.2 The Chief Executive shall, not less than five clear working days before the intended meetings of Leaders' Committee and any associated joint committee or sectoral joint committee,

circulate a notice thereof to each representative and deputy representative and the Town Clerk/Chief Executive or the nominated officer of every London Local Authority subscribing to Leaders' Committee, the associated committees or sectoral joint committee. The notice will give the date, time and place of each meeting and specify the business to be transacted, and will be accompanied by such reports as are available. Where the recipient has given consent for the summons to attend the meeting to be transmitted in electronic form to a particular electronic address (and consent has not been withdrawn), the summons may be sent in electronic form to that address.

- 4.3 Provided that the failure of any such notice to be delivered shall not affect the validity of the meeting or of the business transacted thereat. Provided also that at times it may be necessary to circulate reports in a second despatch or to circulate them at the meeting.

## **5 CHAIR OF MEETING**

- 5.1 At every meeting the Chair if present shall preside. If the Chair is absent the Deputy Chair if present, shall preside. If both the Chair and the Deputy Chair are absent a Vice Chair if present, shall preside. If neither the Chair, Deputy Chair or a Vice Chair is present the meeting shall elect a chair from one of its members.
- 5.2 For the purposes of these Standing Orders references to the Chair, in the context of the conduct of business at meetings, shall mean the person presiding under this Standing Order.
- 5.3 The person presiding at the meeting may exercise any power or duty of the Chair. Where these rules apply to sub-committee or forum meetings, references to the Chair also include the chair of sub-committees or forums.

## **6 QUORUM**

- 6.1 The quorum shall be one third of, or the number nearest to one third, but not less than three Members (except for the quorum for Audit Committee, which because of both its size and the nature of its business is a special case and therefore is only two) entitled to be present at Leaders' Committee, and any associated joint committees, sectoral joint committees or sub committees of London Councils.
- 6.2 If within half an hour of the time appointed for the meeting to commence, a quorum is not present, the meeting shall be dissolved.

6.3 Remaining business will be considered at a time and date fixed by the Chair. If he/she does not fix a date, the remaining business will be considered at the next ordinary meeting.

6.4 If, during the meeting, the person presiding, after causing the number of members present to be counted, declares that there is not a quorum present, the meeting shall stand adjourned for fifteen minutes. If, after fifteen minutes there is still no quorum present, the meeting shall be brought to an end and all business not completed before the meeting has been brought to an end shall be postponed to the next meeting, whether ordinary or extraordinary.

6.46.5 If during the meeting any member absents themselves permanently making the meeting inquorate, the meeting will stand adjourned.

## **7 DURATION OF MEETING**

7.1 Subject to Standing Order 27 (suspension of Standing Orders) if, after two and a half hours after the time appointed for the start of the meeting, the business on the agenda has not been completed, subject to a contrary resolution the meeting of London Councils or any associated committee or sectoral joint committee shall automatically adjourn and any debate then proceeding shall be suspended and all business unfinished shall stand adjourned to the next meeting.

## **8 DEPUTATIONS**

8.1 Deputations shall be entitled, upon prior notification being given to the Chief Executive and at the discretion of the Chair, to attend and address meetings of London Councils for not more than ten minutes and to answer questions from members of London Councils for a further ten minutes.

## **9 MOTIONS ON NOTICE**

### **Notice**

9.1 Except for motions which can be moved without notice under Standing Order 10 or consideration of any matters of urgency brought forward by leave of the Chair, written notice of every motion, signed by at least 5 members, must be delivered to the Chief Executive not later than 10 clear days before the date of the meeting and clear days are deemed to exclude the day of delivery, the day of the meeting and any Sunday. These will be open to public inspection.

## **Motions set out in agenda**

- 9.2 Motions for which notice has been given will be listed on the agenda in the order in which notice was received, unless the member giving notice states, in writing, that they propose to move it to a later meeting or withdraw it.

## **Scope**

- 9.3 Motions must be about matters for which London Councils has a responsibility.

## **10 MOTIONS WITHOUT NOTICE**

- 10.1 The following motions may be moved without notice:

- (i) to appoint a chair of the meeting at which the motion is moved;
- (ii) in relation to the accuracy of the minutes;
- (iii) to change the order of business in the agenda;
- (iv) to refer something to an appropriate body or individual;
- (v) to appoint a sub committee or member arising from an item on the summons for the meeting;
- (vi) to receive reports or adoption of recommendations of committees or sub committees or officers and any resolutions following from them;
- (vii) to withdraw a motion;
- (viii) to amend a motion;
- (ix) to proceed to the next business;
- (x) that the question be now put;
- (xi) to adjourn a debate;

- (xii) to adjourn a meeting;
- (xiii) that the meeting continue beyond two and a half hours in duration;
- (xiv) to suspend a particular Standing Order;
- (xv) to exclude the public and press in accordance with the Access to Information Rules;
- (xvi) to not hear further a member named under Standing Order 17.1 or to exclude them from the meeting under Standing Order 17.2; and
- (xvii) to give the consent of London Councils where its consent is required by this Agreement.

## **11 RULES OF DEBATE**

### **Speakers to Address the Chair**

- 11.1 All speakers shall address the Chair. All members shall preserve order whilst the speaker is speaking. A speaker shall give way if the Chair rises.

### **No discussion until motion seconded**

- 11.2 A motion or amendment shall not be discussed until it has been proposed and seconded.

### **Right to require motion in writing**

- 11.3 Unless notice of the motion has already been given, the Chair may require it to be written down and handed to him/her before it is discussed.

### **Mover and seconder's speech**

- 11.4 The mover and seconder of a motion shall be deemed to have spoken thereon. When seconding a motion or amendment, a member may reserve their speech until later in the debate.

### **Content and length of speeches**

- 11.5 Speeches must be directed to the question under discussion or to a personal explanation or point of order. The mover of a motion shall be allowed 5 minutes and the seconder and succeeding speakers 3 minutes each. The time limit for speakers may be extended by an affirmative vote of the members.

#### **When a member may speak again**

- 11.6 A member who has spoken on a motion may not speak again whilst it is the subject of debate, except:
- (i) to speak once on an amendment moved by another member;
  - (ii) to move a further amendment if the motion has been amended since he/she last spoke;
  - (iii) if his/her first speech was on an amendment moved by another member, to speak on the main issue (whether or not the amendment on which he/she spoke was carried);
  - (iv) by the mover of an original motion in exercise of a right of reply, and this shall close the discussion.

#### **Amendments to motions**

- 11.7 An amendment to a motion must be relevant to the motion and will either be:
- (i) to refer the matter to an appropriate body or individual for consideration or reconsideration;
  - (ii) to leave out words;
  - (iii) to leave out words and insert or add others; or
  - (iv) to insert or add words;

as long as the effect of (ii) to (iv) is not to negate the motion.

- 11.8 Only one amendment may be moved and discussed at any one time. No further amendment may be moved until the amendment under discussion has been disposed of.

- 11.9 If an amendment is not carried, other amendments to the original motion may be moved.
- 11.10 If an amendment is carried, the motion as amended takes the place of the original motion. This becomes the substantive motion to which any further amendments are moved.
- 11.11 After an amendment has been carried, the Chair will read out the amended motion before accepting any further amendments, or if there are none, put it to the vote.

### **Alteration of motion**

- 11.12 A member may alter a motion of which he/she has given notice with the consent of the meeting. The meeting's consent will be signified without discussion.
- 11.13 A member may alter a motion which he/she has moved without notice with the consent of both the meeting and the seconder. The meeting's consent will be signified without discussion.
- 11.14 Only alterations which could be made as an amendment may be made.

### **Withdrawal of motion**

- 11.15 A member may withdraw a motion which he/she has moved with the consent of both the meeting and the seconder. The meeting's consent will be signified without discussion. No member may speak on the motion after the mover has asked permission to withdraw it unless permission is refused.

### **Right of reply**

- 11.16 The mover of any original motion, but not of any amendment, may reply to the discussion for a period of not more than 3 minutes without introducing new material and this shall close the discussion.
- 11.17 If an amendment is moved, the mover of the original motion has the right of reply at the close of the debate on the amendment, but may not otherwise speak on it.
- 11.18 The mover of the amendment has no right of reply to the debate on his or her amendment.

## **Motions which may be moved during debate**

11.19 When a motion is under debate, no other motion may be moved except the following procedural motions:

- (i) to withdraw a motion;
- (ii) to amend a motion;
- (iii) to proceed to the next business;
- (iv) that the question be now put;
- (v) to adjourn a debate;
- (vi) to adjourn a meeting;
- (vii) that the meeting continue beyond two and a half hours in duration;
- (viii) to exclude the public and press in accordance with the Access to Information Rules; and
- (ix) to not hear further a member named under Standing Order 17.1 or to exclude them from the meeting under Standing Order 17.2.

## **Closure motions**

11.20 A member may move, without comment, the following motions at the end of a speech of another member:

- (i) to proceed to the next business;
- (ii) that the question be now put;
- (iii) to adjourn a debate; or
- (iv) to adjourn a meeting.

- 11.21 If a motion to proceed to next business is seconded and the Chair thinks the item has been sufficiently discussed, he or she will give the mover of the original motion a right of reply and then put the procedural motion to the vote.
- 11.22 If a motion that the question be now put is seconded and the Chair thinks the item has been sufficiently discussed, he/she will put the procedural motion to the vote. If it is passed he/she will give the mover of the original motion a right of reply before putting his/her motion to the vote.
- 11.23 If a motion to adjourn the debate or to adjourn the meeting is seconded and the Chair thinks the item has not been sufficiently discussed and cannot reasonably be so discussed on that occasion, he/she will put the procedural motion to the vote without giving the mover of the original motion the right of reply.

#### **Point of order**

- 11.24 A member may raise a point of order at any time. The Chair will hear them immediately. A point of order may only relate to an alleged breach of these Standing Orders or the law. The member must indicate the rule or law and the way in which he/she considers it has been broken. The ruling of the Chair on the matter will be final.
- 11.25 A speaker may give way to a point of information, and must give way to a point of order if it is accepted by the Chair.

#### **Personal explanation**

- 11.26 A member may make a personal explanation at any time. A personal explanation may only relate to some material part of an earlier speech by the member which may appear to have been misunderstood in the present debate. The ruling of the Chair on the admissibility of a personal explanation will be final.

#### **Ruling of Chair**

- 11.27 The Chair shall decide all questions of order and his/her ruling upon such questions or upon matters arising in debate shall be final and shall not be open to discussion.

## **12 PREVIOUS DECISIONS AND MOTIONS**

### **Motion to rescind a previous decision**

- 12.1 A motion or amendment to rescind a decision made at a meeting of London Councils within the past six months cannot be moved unless the notice of motion is signed by at least 5 members.

### **Motion similar to one previously rejected**

- 12.2 A motion or amendment in similar terms to one that has been rejected at a meeting in the past six months cannot be moved unless the notice of motion or amendment is signed by at least 5 members. Once the motion or amendment is dealt with, no one can propose a similar motion or amendment for six months.

## **13 VOTING**

- 13.1 One representative from each London Local Authority subscribing to Leaders' Committee and its associated joint committees or sectoral joint committees shall be entitled to vote on behalf of his/her authority in each meeting of Leaders' Committee, either associated joint committee or sectoral joint committees.
- 13.2 Subject to Clause 11.1, 12.1 of the Leaders' Committee Governing Agreement and Standing Order 21.1, and any provisions of this Agreement or the LCTEC Governing Agreement requiring unanimity, questions arising at any meeting of London Councils shall be determined by a show of hands and shall be decided by a simple majority of votes.
- 13.3 At Transport and Environment Committee representatives from Transport for London or any London local authority, shall only be entitled to speak or vote or receive papers in respect of functions which they have delegated to the Transport and Environment Committee and shall not be counted as part of the quorum except in respect of those functions.

### **Equality of votes**

- 13.4 In the case of an equality of votes at the annual meeting and on motions to suspend or amend the Standing Orders under Standing Order 27 at ordinary meetings, each of the party Group Leaders shall have second or casting votes.
- 13.5 Subject to 13.4 above, in the case of an equality of votes at ordinary meetings of London Councils, the Chair shall have a second or casting vote to be exercised in accordance with

13.6 below.

- 13.6 Where the Chair exercises a casting vote under Standing Order 13.5 above it will be used only for one or more of the following purposes:
- (i) to permit further discussion of an issue;
  - (ii) to maintain the status quo;
  - (iii) to ensure that London Councils meets any legal obligations or any requirements of the London Councils Agreement or London Councils' Standing Orders.
- 13.7 On the requisition of any representative made before any vote is taken on a motion or an amendment, and supported by five representatives, the voting shall be recorded so as to show how each representative present and voting voted. The name of any representative present and not voting shall also be recorded.
- 13.8 Where any member requests it immediately after the vote is taken, their vote will be so recorded in the minutes to show whether they voted for or against the motion or abstained from voting.

#### **Voting on appointments to London Councils Committees**

- 13.9 If there are more than two people nominated for any position to be filled and there is not a clear majority of votes in favour of one person, then the name of the person with the least number of votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

### **14 MINUTES**

#### **Agreeing the minutes**

- 14.1 The Chair will move that the minutes of the previous meeting be agreed as a correct record.
- 14.2 Where in relation to any meeting, the next meeting for the purpose of agreeing the minutes is a meeting called under paragraph 3 of schedule 12 to the Local Government Act 1972 (an Extraordinary Meeting), then the next following meeting (being a meeting called otherwise than under that paragraph) will be treated as a suitable meeting for the purposes of paragraph 41(1) and (2) of schedule 12 relating to agreeing of minutes.

## **Form of minutes**

- 14.3 Minutes will contain all motions and amendments in the exact form and order the Chair put them.

## **15 RECORD OF ATTENDANCE**

- 15.1 At every meeting, the Clerk to the Meeting will record the attendance of each representative of a member authority and all other representatives present in accordance with Standing Order 2 (Membership).

## **16 EXCLUSION OF PUBLIC**

- 16.1 Members of the public and press may only be excluded either in accordance with the Access to Information Rules or Standing Order 18.

## **17 MEMBERS' CONDUCT**

### **Member not to be heard further**

- 17.1 If a member persistently disregards the ruling of the Chair by behaving improperly or offensively or deliberately obstructs business, the Chair may move that the member be not heard further. If seconded, the motion will be voted on without discussion.

### **Member to leave the meeting**

- 17.2 If the member continues to behave improperly after such a motion is carried, the Chair may move that either the member leaves the meeting or that the meeting is adjourned for a specified period. If seconded, the motion will be voted on without discussion.

### **General disturbance**

- 17.3 If there is a general disturbance making orderly business impossible, the Chair may adjourn the meeting for as long as he/she thinks necessary.

## **18 DISTURBANCE BY PUBLIC**

### **Removal of member of the public**

- 18.1 If a member of the public interrupts proceedings, the Chair will warn the person concerned. If they continue to interrupt, the Chair will order their removal from the meeting room.

## **Adjournment**

- 18.2 In the event of a general disturbance which, in the opinion of the Chair renders the due and orderly dispatch of business impossible, the Chair, in addition to any other power vested in the Chair, may without question adjourn the meeting for such period as in the Chair's discretion shall be considered expedient.

## **19 URGENCY**

- 19.1 If at any time the Chief Executive of London Councils considers that any matter is urgent and should be decided on prior to the next meeting of London Councils, then he/she shall consult the Elected Officers of London Councils. If at least two of the Elected Officers, of whom one will be the Chair~~man~~, if available, and the other will be from another political party or no party, agree that the matter is urgent and agree on the Chief Executive's recommendation, then the decision shall be taken by the Chief Executive in accordance with such recommendation, subject to the decision being recorded in writing and signed by the Elected Officers agreeing the recommendation and the Chief Executive.
- 19.2 In the event the provisions of Standing Order 19.1 are inoperable following local government elections and there is a need for urgent action, the Chief Executive is authorised to take executive action having consulted as appropriate, such action to be reported to the next meeting of London Councils.
- 19.3 The Elected Officers of London Councils and the Chief Executive may nominate persons to act in their absence for the purposes of this Standing Order.
- 19.4 A copy of the record of a decision taken under this Standing Order shall be kept at the office of the Chief Executive.
- 19.5 All decisions taken under this Standing Order shall be reported to the next meeting of London Councils.
- 19.6 The urgency procedure to be followed by Transport and Environment Committee is as in 19.1-19.5 above, with the substitution of "Director, Transport & Mobility" for "Chief Executive" and referring to the Elected Officers of the Transport and Environment Committee.

- 19.7 The urgency procedure to be followed by the Grants Committee is as in 19.1-19.5 above, with the substitution of “Corporate the Planning and Strategy Director” for “Chief Executive” and referring to the Elected Officers of the Grants Committee.
- 19.8 The urgency procedure for any sectoral joint committees is as in 19.1-19.5 above, referring to the Elected officers of the appropriate sectoral joint committee and a senior Officer designated by the committee.
- 19.9 The urgency procedure to be followed by any sub-committee appointed by Leaders’ Committee, associated joint committees or sectoral joint committees is as in 19.1 – 19.5 above, referring to the Elected Officers of that sub-committee and a the Corporate Strategy the Director or senior officer, designated by that sub-committee.

## 20 DECLARATIONS OF INTEREST

- 20.1 If a member is you are present at a meeting of London Councils Leaders' Committee or any of its associated joint committees or any sub-committees or any sectoral joint committee and you haves a disclosable pecuniary interest as defined by the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 (“the Regulations”) and set out in paragraph 20.5 below relating to any business that is or will be considered at the meeting, you that member must not:
- (i) participate in any discussion of the business at the meeting, or if you on become inge aware of your the disclosable pecuniary interest during the meeting, participate further in any discussion of the business; or
  - (ii) participate in any vote or further vote taken on the matter at the meeting.
- 20.2 These prohibitions apply to any form of participation, including speaking as a member of the public.
- 20.3 It is a matter for each member to decide whether they should leave the room while an item that they have an interest in is being discussed. In arriving at a decision as to whether to leave the room they may wish to have regard to their home authority’s code of conduct and/or the Seven (Nolan) Principles of Public Life.
- 20.4 In certain circumstances, London Councils may under s.33 of the Localism Act 2011 grant a dispensation to permit a member to take part in the business notwithstanding that the

member has a disclosable pecuniary interest relating to that business. These circumstances are where the London Councils considers that:

- (i) without the dispensation so great a proportion of London Councils members would be prohibited from participating in that business as to impede London Councils transaction of that business;
- (ii) without the dispensation the representation of different political groups dealing with that business would be so upset as to alter the likely outcome of any vote;
- (iii) the granting of the dispensation is in the interests of people living in the London Councils' area;<sup>3</sup>
- (iv) without the dispensation each member of the London Councils Executive would be prohibited from participating in the business; or
- (v) it is otherwise appropriate to grant a dispensation.

20.5 If a member wishes to apply for a dispensation, they must make a written application to be received not less than three working days before the meeting setting out the grounds for the application to the officer responsible for processing such requests.<sup>4</sup>

20.6 A member ~~You~~ must declare any private interests, both pecuniary and non-pecuniary, including ~~your~~ membership of any Trade Union that relate to ~~your~~any public duties and must take steps to resolve any conflicts arising in a way that protects the public interest, including registering and declaring interests.

## 21 ANNUAL SUBSCRIPTIONS

21.1 London Councils Leaders' Committee shall by a majority of at least two-thirds of those representatives present at the meeting and entitled to a vote in respect of each of those functions, approve by no later than 31st January in each year the subscriptions or contributions payable by the London Local Authorities for each of the groups of functions set out in Schedule 2. If London Councils fails to agree by such date the subscriptions or contributions for the ensuing financial year, then that subscription or contribution shall be at the same amount as the subscription for the current financial year. The annual budget (including any contingency sum) in respect of any function shall not be exceeded without the prior approval of a two-thirds majority of the representatives of those London Local

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<sup>3</sup> The London Councils area is that area covered by the London boroughs and the City of London

<sup>4</sup> That person designated by the scheme of delegation, currently (June 2016) the Chief Executive

Authorities who are present at the meeting to which the proposal to exceed the budget is under consideration and authorised to vote.

- 21.2 Contributions to the London Grants Scheme, at schedule 5 of the Leaders' Committee Governing Agreement (as substituted by the variation to that Agreement dated 1 February 2004).
- 21.3 Contributions to London Councils Transport and Environment Committee are as set out in the LCTEC Governing Agreement dated 13 December 2001 (as amended).
- 21.4 Any sectoral joint committee shall approve the subscriptions payable by each London Local Authority subscribing thereto in such a manner as shall be determined by such sectoral joint committee as set out in the London Councils Governing Agreement.

## **22 DELEGATIONS OF FUNCTIONS**

- 22.1 London Councils, its associated joint committees, sectoral joint committees, or sub-committee thereof and any Forum of London Councils may delegate to officers such of their functions as are permissible under statute and may, in relation to any of those functions, require that the exercise of those functions be subject to such conditions as London Councils deems fit to impose, including, where appropriate, prior consultation with the Leading Member on London Councils of each political party or group before taking such action.

## **23 SUPPLY OF INFORMATION TO MEMBERS**

- 23.1 Members of London Councils, its associated joint committees, sectoral joint committees or sub-committee thereof and any Forums of London Councils, shall be entitled to receive from officers such information as they may require in order to enable them to carry out their duties as members of such committee or sub-committee.
- 23.2 In addition, the leading members on London Councils of each political party or group shall be entitled to receive briefings and briefing papers from officers on the same basis as the Chair.

## **24 MEETINGS WITH OUTSIDE BODIES**

- 24.1 A representative of each political party or group shall be entitled to be notified of and to attend any meeting with an outside body at which a Member of London Councils is present

and which has been arranged on behalf of London Councils. (This Standing Order shall not apply to those meetings convened by political advisers.)

## **25 FORUMS OF LONDON COUNCILS**

- 25.1 London Councils shall establish Forums to discharge the functions set out in Schedule 2 and such further forums and consultative groups as it considers appropriate.
- 25.2 All or any of the London Local Authorities wishing to delegate a function to London Councils or any sectoral joint committee may request London Councils' consent to the delegation of such function in accordance with the terms of this Agreement, such consent not to be unreasonably withheld or delayed.
- 25.3 The terms of reference of any consultative group of London Councils shall be subject to the approval of London Councils.
- 25.4 The Chair and Deputy Chair of London Councils shall be ex-officio members of every and any Forum but shall not be entitled to speak or vote at such meetings in that capacity.

## **26 ACCESS TO MEETINGS AND DOCUMENTS**

- 26.1 Admission of members of the public to meetings of London Councils, any associated committee, sectoral joint committee any sub- committee thereof and any Forum and access to documents thereof shall be in accordance with the Access to Information legislation in force from time to time.
- 26.2 Applications to film or record meetings of London Councils are requested 48 hours before the meeting. Filming will be permitted in accordance with The Openness of Local Government Bodies Regulations 2014 and any relevant guidance issued by the government at the relevant time.

## **27 SUSPENSION AND AMENDMENT OF STANDING ORDERS**

### **Suspension**

- 27.1 Any of these Standing Orders except Standing Orders 13.7, 14.2 and 27.2 may be suspended at any meeting, in respect of any business on the agenda for such meeting, provided that the majority of the representatives of authorities in membership of London

Councils or its associated who are present and entitled to vote so decide PROVIDED THAT any suspension hereunder complies with any legislation in force from time to time.

### **Variation and Revocation**

- 27.2 Any addition to, or variation or revocation of these Standing Orders shall be by majority vote of those present and entitled to vote at any meeting of London Councils or its associated committees. Any motion to vary or revoke these Standing Orders shall require confirmation at the next ordinary meeting of London Councils or associated committee as the case may be before the proposed variation or revocation shall have effect PROVIDED THAT any addition, variation or revocation hereunder complies with any legislation in force from time to time.

# Scheme of delegations to officers

~~June 2016~~ July 2017

## **Scheme of Delegations to Officers**

### **INTRODUCTION**

London Councils<sup>1</sup> may, and only in a manner consistent with the London Councils Governing Agreements<sup>2</sup>:

- (i) delegate to officers of London Councils those of its functions as are permitted by statute to be delegated; and
- (ii) in relation to any of those functions, require that the exercise of those functions be subject to such conditions as London Councils deems fit to impose, including, where appropriate, prior consultation with the leading member on London Councils of each political party or group before taking such action.<sup>3</sup>

London Councils must formally resolve to delegate the exercise of one or more of their functions to officers by either:

- (i) a decision taken at a meeting of London Councils, i.e. on a case-by-case basis;
- (ii) agreeing a general scheme of delegations to officers.

This document is the general scheme of delegations to London Councils officers. It is not the intention of this document to reproduce details of functions which have been delegated to officers under the London Councils Governing Agreements<sup>4</sup>. This document will, however, be kept under annual review and any additional general delegations to officers which may be made by London Councils throughout the year, will be considered for inclusion in this scheme as part of that review.

As a general rule, the functions delegated to the London Councils joint committees and their sub committees reflect the purpose of the organisation in best representing the interests of the 32 London Boroughs and the City of London. Decisions about policy directions, lobbying and scope of services remain reserved to Member Committees unless specifically delegated on an issue by issue basis. The authority to manage the administrative aspects of the organisation's work has been delegated to officers within the conditions specified below to enable the effective and efficient running of the organisation.

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<sup>1</sup> The reference to London Councils in this Scheme of Delegations to Officers encompasses any joint committee of elected Members (including Leaders' Committee, the London Councils Transport and Environment Committee, Grants Committee and the London Pensions CIV Sectoral Joint Committee, and any of their sub-committees authorised to take decisions).

<sup>2</sup> The London Councils (Leaders' Committee) Governing Agreement, dated 13 December 2001 (as amended); and the London Councils Transport and Environment Committee Governing Agreement, dated 13 December 2001 (as amended).

<sup>3</sup> Paragraph 22 of Schedule 6 (Standing Orders) of the London Councils (Leaders' Committee) Governing Agreement, dated 13 December 2001 (as amended); .

<sup>4</sup> Op cit, footnote 3.

## **Section 1 - General Conditions Of Delegations To Officers**

### **Day-to-Day Management**

1. The Chief Executive and the Directors of any corporate service (and their nominated deputies) shall, in accordance with this Scheme of Delegations, have authority delegated to them for carrying out the day-to-day management of the London Councils services for which they are responsible. (Day-to-day management should include those items which have been recognised as such by past practice or by specific decision/resolution of a committee, or where the Chief Executive, in consultation with the relevant Director, agrees is ancillary to or analogous with matters accepted as being within the scope of day-to-day business exercisable by officers of London Councils). This includes authority to:
  - (a) appoint and manage staff in accordance with agreed policies and procedures, having regard to Section 2. below;
  - (b) place orders and enter into contracts for the supply of goods and services in line with the Financial Regulations and to authorise or incur any other expenditure for which provision has been made in the appropriate budget subject to limits set out in the Financial Regulations and subject to these not being in conflict with existing contracts.

### **Limitations**

2. Any exercise of delegated powers by officers shall comply with London Councils current Financial Regulations<sup>5</sup> and Standing Orders. The Financial Regulations will not form part of this scheme but must be read alongside it.
3. The Chief Executive will have the authority to extend an existing policy or procedure only if it relates to the internal administration of the organisation and when exercised subject to the conditions below.
4. The Chief Executive, the Finance Officer (Director of Corporate Resources), and any other person authorised under the Financial Regulations, will have the authority to negotiate and agree minor variations to contracts, to write off debts and to undertake all other actions authorised under the Financial Regulations
5. With the exception of policies referred to in paragraph 3, any exercise of delegated powers shall not involve a new policy or extend an existing policy of the organisation unless the Chief Executive is acting under the urgency procedures as contained in the current Standing Orders<sup>6</sup>.
6. Any delegation to the Chief Executive or the Finance Officer may be exercised by any officer authorised by the Chief Executive or the Finance Officer (as the case may be) either generally or specifically for the purpose (except where restrictions exist in employment policies which have been agreed in accordance with Section 2 below).
7. The Chief Executive will nominate the a Corporate Director of corporate services Policy and Public Affairs to assume authority to exercise all powers delegated to him in his absence.
8. In the event of the Chief Executive being unexpectedly indisposed, authority will be granted to the Corporate Director, Policy and Public Affairs to take over as interim Chief Executive between January to June in any year and to the Corporate Director, Services between July and December, until such time as Elected Officers are able to determine what temporary or transitional arrangements will apply following such indisposition (or death).
9. The Chief Executive may exercise any delegated function in the absence of an officer to

<sup>5</sup> Current Financial Regulations dated 2/6/15

<sup>6</sup> Current Standing orders dated 7/6/16

whom that authority has been specifically delegated.

10. All delegations are without prejudice to the overriding rights and powers of a London Councils' joint committee or decision-making sub-committee to exercise those functions delegated to it. Any officer may refer a matter to a London Councils joint committee or decision-making sub-committee in lieu of exercising delegated powers.
11. Subject to the foregoing conditions, and to any special conditions which may have been or may in future be applied in respect of particular matters, the Chief Executive will be expected to make such decisions and to take such action as he/she deems necessary in the interests of the efficient running of the organisation and the services provided and administered.

## **Section 2 - Staffing Delegations**

12. The Chief Executive has been granted delegated authority, in consultation with the Corporate Management Board (CMB), to approve policies and procedures relating to human resources and corporate policies and procedures<sup>7</sup> subject to the following conditions ;
  - (a) any policy relating to internal organisational functions which also applies to Members will be referred to the London Councils' (Leaders) Executive Sub-Committee for approval;
  - (b) all new or amended policies relating to the internal administration of the organisation will only be approved following consultation with the Joint Consultative Committee (JCC);
  - (c) in the event that CMB and the JCC are unable to reach an agreement on the terms of a policy that policy will be referred to the London Councils' (Leaders) Executive Committee for approval;
  - (d) any delegations to officers made in accordance with these policies and procedures shall be considered, to be general delegations from the Chief Executive or the Finance Officer (as the case may be) in accordance with paragraph 6 above.

## **Section 3 – Officers authorised for certain purposes**

13. In accordance with the specific statutory functions delegated to the London Councils joint committees or otherwise to allow the proper and efficient exercise of those functions in accordance with section 111 of the Local Government Act 1972, officers have been individually authorised to act in respect of particular matters (i.e. they are an "authorised officer" for those purposes). Where permitted under the applicable legislation these powers may be further delegated, whether specifically or generally, to another officer to act in the absence of the proper officer.
14. The Chief Executive has been appointed:
  - (a) to act as the "proper officer" for the purposes of the Access to Information provisions of the Local Government Act 1972 (as amended) except insofar as such powers have been specifically delegated to another officer; and
  - (b) to be responsible for the preparation of papers for London Councils Member Body meetings, the preparation of minutes and the promulgation of decisions of such meetings.
15. The Chief Executive, in consultation with the Chair of the relevant sub-committee, will have the authority to amend the programme of ordinary meetings approved by the relevant joint committee for the sub-committees it appoints at its AGM in accordance with Standing Order 1.8. as required

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<sup>7</sup> Corporate policies and procedures would include, but not be limited to, the code of conduct, health and safety and information management policies

throughout the year.

16. The Director, Corporate Resources (Finance Officer) has been appointed to act as the proper officer for the purposes of Section 151 of the Local Government Act 1972 and section 114 of the Local Government Finance Act 1988. The officer to be responsible for the proper administration of London Councils' financial affairs and to issue a report to Members if there is or is likely to be unlawful expenditure or an unbalanced budget.
17. Additional delegations to named officers, some of which do not strictly apply to London Councils but which are adopted as a matter of best practice to allow the proper and efficient exercise of the functions delegated to the London Councils joint committees, in accordance with section 111 of the Local Government Act 1972, are set out in Appendix A with reference to the relevant legislative provisions.

#### **Section 4 - Nominations of elected members to outside bodies**

18. The Chief Executive has delegated authority to nominate elected Members to serve on outside bodies subject to:
  - (a) those decision being taken in accordance with guidelines agreed by the London Councils Appointments Panel (set out at paragraph 19 below);
  - (b) having regard to the Nolan principles, and
  - (c) those decisions being reported to the next meeting of the Appointments Panel.<sup>8</sup>
19. Nominations will be made by the Chief Executive under paragraph 18 in consultation with elected Members.. In making nominations the Chief Executive will first apply the **Particular Principles** at (a) below but will also seek to ensure that nothing is done to depart from the **General Principles** at (b) below. Regard should also be had to the **General Conditions** at (c), below.

##### **(a) Particular Principles**

- (i) In cases where a single nomination is required, in first instance the relevant portfolio-holder will be considered and if that is not a suitable appointment then the Chief Executive will consult elected Members on an alternative candidate.
- (ii) In cases where an outside body requires more than a single nomination-

*The first principle* to be applied in such cases is any reasonable external requirement placed on London Councils in making the nomination<sup>9</sup>.

*The second principle* to be applied, if the first principle does not obtain, is the number of nominations made from each political party shall reflect the balance of the parties represented on Leaders' Committee at that time.

##### **(b) General Principles**

- (i) When the Chief Executive is applying the Particular Principles set out above they will seek to reflect any particular interest that the body to be nominated to has

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<sup>8</sup> In accordance with the decision of the London Councils' Executive acting in their capacity as its Appointments Panel on 29 May 2012

<sup>9</sup> For example the mechanism employed in determining the number of **nominations** for each political party made by London Councils to the London Fire and Emergency Planning Authority is set out in legislation – the Greater London Authority Act 1999. This will be determined by the application of the d'Hondt formula

expressed to London Councils<sup>10</sup>.

- (ii) The Chief Executive will also be mindful of other factors that it would be reasonable or proper for London Councils to consider, for example specialist knowledge and skills, stability of service, diversity as well as the Nolan principles set out below and the Chief Executive may, in consultation with elected Members, override the Particular Principles set out above when there is a compelling case to do so.
- (iii) All public bodies are under a duty to follow the Seven Principles of Public Life set out by the Committee for Standards in Public Life, formerly chaired by Lord Nolan (the principles are often called the “Nolan Principles”). In particular, the Chief Executive will seek to ensure that the following three Nolan principles are applied-

#### Objectivity

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

#### Accountability

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.<sup>11</sup>

#### Openness

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

- (iv) The Chief Executive will give consideration to the elected Members of the City of London Corporation when making any nominations to outside bodies.

### **(c) General conditions**

- (i) When a nominee to an outside body ceases to be an elected Member of a London local authority, London Councils will, in general, take whatever steps are necessary to remove them from that outside body.
- (ii) At a freeze date, being the date of the meeting of the London Councils’ (Leaders) Executive Sub-Committee in May of each year, a report will be brought to that meeting setting out the total number of nominations made to outside bodies for each of the political parties with a calculation of how this reflects the agreed principles (above) for nominations, and the variation from the balance of the parties on Leaders’ Committee. That report may also contain recommendations to rectify any variations that may exist.

## **Section 5 – Appointments to Young People’s Education and Skills Board (YPES Board)**

20. The YPES Board is a Forum (or sub-committee) of London Councils Leaders’ Committee which operates under a constitution (terms of reference) approved by Leaders’ Committee in accordance with Standing Orders. Leaders’ Committee has the power to approve the appointment of representatives to the YPES Board upon their nomination by those organisations who are members of the Board. On behalf of Leader’ Committee, the Chief Executive will have delegated authority from Leaders’ Committee to approve appointments to casual vacancies of the YPES Board.

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<sup>10</sup> For example outside bodies occasionally ask for cross-party appointments

<sup>11</sup> Members will be expected to regularly attend meetings of the bodies they are appointed to and may be accountable to and from, London Councils for their actions in that capacity.

## Appendix A

### PERSONS AUTHORISED BY LONDON COUNCILS TO EXERCISE POWERS

#### CONSISTENT WITH FUNCTIONS OF THE PARTICIPATING LOCAL AUTHORITIES

#### **PART A**

The following statutory provisions give powers to duly authorised Proper Officers/Authorised Persons in most local authorities in London. Some of these functions have been expressly delegated by the 33 London local authorities to the London Councils joint committees, some have not and are instead captured within the general delegations to the joint committee.

The following table sets out the persons authorised for the functions identified. This list includes delegations to named officers, some of which do not strictly apply to London Councils' joint committees but which are followed as a matter of best practice in accordance with the exercise of the functions expressly delegated to the joint committees.

Authorised Persons should nominate, in writing, an appropriate deputy to carry out any statutory duties during planned absences. Officers should also ensure arrangements are in place to authorise another officer in the event of unplanned absence. These may vary according to the nature of the responsibility but will be approved by the Corporate Management Board.

	STATUTORY PROVISION	PERSONS AUTHORISED
<b>LOCAL GOVERNMENT ACT 1972</b>		
1	Section 84 – The officer to whom written notice of resignation of elected office shall be delivered	Chief Executive
2	Section 96 – The officer to whom general notices and recording of disclosures of interests under Section 94 should be given	Director of Corporate Governance
3	Section 99 + Schedule 12 - To give notice and send summonses in respect of any London Councils committee meeting	Chief Executive
4	Section 100 - To give public notice of any meeting to which the public are entitled to attend, provide copies of agenda and facilities for the press	Chief Executive
5	Section 100B (2) – The officer to exclude from committees or sub Committees meeting agendas any information to be dealt with in a meeting from which the public are likely to be excluded	Director of Corporate Governance
6	Section 100B (7)(c) – The officer to supply to any newspaper copies of documents supplied to Members of committees or sub-committees in connection with an item for consideration at their meetings	Director of Corporate Governance
7	Section 100C (2) – The officer to prepare a written summary of proceedings of committees or sub-committees from which the public were excluded	Director of Corporate Governance
8	Section 100D (1)(a) – The officer to prepare a list of background papers for reports considered by committees or sub-committees	Director of Corporate Governance
9	Section 100D (5) – The officer to determine which documents constitute background papers; and under Section 100H –to be responsible for charging for copies of those documents	Director of Corporate Governance

	STATUTORY PROVISION	PERSONS AUTHORISED
10	Section 100F (2) – The officer to decide which documents are not, by virtue of containing exempt information, required to be open to inspection	Director of Corporate Governance
11	Section 100G - To maintain a register of the names and addresses of Elected Members and membership of committees, lists of delegations and the like	Director of Corporate Governance
12	Section 115 – The officer to whom money properly due from officers shall be paid	Finance Officer (Director of Corporate Resources)
13	Section 151 (and section 114 of the Local Government Finance Act 1988) – The officer to be responsible for the proper administration of the London Councils' financial affairs (and to issue a report to elected Members if there is or is likely to be unlawful expenditure or an unbalanced budget)	Finance Officer (Director of Corporate Resources)
14	Section 223 - Authorising officers to attend court and appear on behalf of London Councils under Local Government Act 1972 and the County Courts Act 1984	Chief Executive, <del>Corporate Directors &amp; Programme</del> and <u>all</u> Directors
15	Section 225 (1) – The officer to receive and retain statutory documents on behalf of London Councils	Chief Executive
16	Section 229 (5) – The officer to certify photographic copies of documents	Chief Executive
17	Section 233 – The officer to receive documents required to be served on London Councils	Chief Executive
18	Section 234 (1) & (2) – The officer to authenticate documents on behalf of London Councils	Chief Executive
19	Schedule 12 [paragraphs 4(1)(a) & 4(3)] – The officer responsible for issuing summons to meetings at which business is proposed	Chief Executive
20	Schedule 14 [paragraph 25(7)] – The officer responsible for the certification of true copies of resolutions	Chief Executive
<b>LOCAL GOVERNMENT ACT 1974</b>		
21	Section 30(5) - Notice of Local Government Ombudsman's Report	Chief Executive
<b>LOCAL GOVERNMENT FINANCE ACT 1988</b>		
22	Section 116 - Notification to London Councils' auditor of any meeting to be held under Section 15 of the 1988 Act (meeting to consider any report of the Finance Office under Section 114)	Finance Officer (Director of Corporate Resources)
23	Section 139A - Provision of information to the Secretary of State in relation to the exercise of his powers under this Act as and when required	Finance Officer (Director of Corporate Resources)
<b>LOCAL GOVERNMENT AND HOUSING ACT 1989</b>		
24	Section 2 – The officer to hold on deposit the list of politically restricted posts and Section 2 - provision of certificates as to whether a post is politically restricted	Director of Corporate Governance
25	Section 4 – The officer to be designated Head of Paid Service	Chief Executive
26	Sections 15 – 17 (and regulations made thereunder) – The officer to receive notices relating to the membership of political groups	Chief Executive

	STATUTORY PROVISION	PERSONS AUTHORISED
<b>CIVIL EVIDENCE ACT 1995</b>		
27	To certify Council records for the purposes of admitting the document in evidence in civil proceedings.	Any member of the Corporate Management Board
<b>LOCAL GOVERNMENT (CONTRACTS) ACT 1997</b>		
28	Certification of relevant powers to enter into contracts	Chief Executive and Director of Corporate Resources
<b>DATA PROTECTION ACT 1998</b>		
29	Duty to notify the Information Commission of any changes in accordance with Section 20 of the DPA 1998	Director of Corporate Governance
<b>TRAFFIC MANAGEMENT ACT 2004 and CIVIL ENFORCEMENT OF PARKING CONTRAVENTIONS (England) REPRESENTATIONS AND APPEALS REGULATIONS 2007</b>		
30	Section 81(4)(a) requires enforcement authorities to provide administrative staff for adjudicators. The Schedule to the Civil Enforcement of Parking Contraventions (England) Representations and Appeals Regulations 2007 provides that one of the members of the administrative staff required by section 81 shall be appointed to perform the functions of proper officer as set	Head of Support Services – London Tribunals
<b>LOCAL GOVERNMENT ACT 2003</b>		
31	Requirement to report to London Councils annually on the robustness of estimates and financial reserves	Finance Officer (Director of Corporate Resources)
<b>MONEY LAUNDERING REGULATIONS 2003 - PROCEEDS OF CRIME ACT 2002</b>		
32	Money Laundering Reporting Officer for the purposes of receiving disclosure on suspicions of money laundering and reporting as necessary	Finance Officer (Director of Corporate Resources)
<b>LOCALISM ACT 2011</b>		
33	Section 2 - The officer to grant a dispensation for a Member to take part in any discussion and vote on a matter in which they have a disclosable pecuniary interest, in some circumstances.	Chief Executive
<b>OTHER MISCELLANEOUS PROPER OFFICER FUNCTIONS</b>		
34	Any other miscellaneous proper or statutory officer functions not otherwise specifically delegated by the Authority	Chief Executive or his/her delegate

## **PART B**

All London Councils officers shall have regard to the following insofar as is relevant within their job description and for the effective performance of their duties and responsibilities.

B1	Audit	To comply with any powers and duties contained in directions made by the Audit Commission, or any other body which may be responsible for audit of the exercise of London Councils functions, including publication of performance standards and provision of information.
B2	Disabled Persons	Make provision for the supply of services and admission to public buildings and premises for those who are disabled, ensure proper signage and make appropriate adjustments for staff and service users.
B3	Criminal Proceedings	Have regard to London Council's protocol in relation to the bringing of proceedings when deciding whether a person should be charged with any offence.
B4	Best Value	To have regard to London Councils' Best Value duties when providing services and to keep under review the provision of all services to ensure Best Value.
B5	Equalities	Ensure that London Council's functions are carried out to eliminate discrimination and promote equality of opportunity and good relations and carry out appropriate equalities impact assessments of service delivery, policies and strategies and any changes.
B6	Identity Checks	To comply with any powers or duties contained in any Regulations or statutory provisions with regard to the necessity to check identification before the provision of public services.
B7	Proceeds of Crime and Money Laundering	To notify the Council's Money Laundering Officer (Finance Officer (Director of Corporate Resources)) of any matter where proceeds from crime maybe used to fund an acquisition, benefit, agreement or services from the Council or where there is a suspicion that same are may be harbouring the proceeds of crime.
B8	Human Rights	To notify the Finance Officer of any matter where proceeds from crime maybe used to fund an acquisition, benefit, agreement or services from London Councils or where there is a suspicion that someone maybe harbouring the proceeds of crime.

## **APPENDIX A – Proposed changes to Regulation 2 and 8**

### **2 General**

(Page 3 of London Councils Financial Regulations 2015)

- 2.5 The Organisation shall not consider:-
- 2.5.1 a new policy, including the management of all externally funded projects, nor
  - 2.5.2 a development or variation of existing policy, nor
  - 2.5.3 a variation in the means or time-scale of implementing existing policy which affects or may affect the Committee's finances, unless there is before it at the same time a full statement of the financial implications by the Director of Corporate Resources.
- 2.6 The Chief Executive shall consult the Director of Corporate Resources with respect to any matter within his/her purview, which is liable materially to affect the finances of the Organisation before any commitment is incurred or before reporting thereon to any Committee.
- 2.7 Failure to observe these Financial Regulations may, at the discretion of the Director of Corporate Resources, be reported to the Audit Committee.
- 2.8 In relation to externally funded projects:
- 2.8.1 all requests for government or other grant support must be agreed with the Director of Corporate Resources in advance of any submission to the funding body;
  - 2.8.2 if the estimated lifetime value a grant is equal or greater than £250,000 this must be the subject of a separate detailed report to London Councils Leaders' Committee or any Sectoral joint or associated committee as appropriate.
- 2.9 The Director of Corporate Resources in consultation with the Chief Executive will be responsible for submission of all claims for grant to Government Departments and other outside bodies. All agreements for the receipt of grant by a Committee shall:-
- 2.9.1 be obtained in writing;
  - 2.9.2 state the amount and conditions relating to the receipt of grant;
  - 2.9.3 be referred to the Director of Corporate Resources for his observations on financial implications prior to signing; and
  - 2.9.4 be reviewed for any legal implications, seeking legal advice as necessary.

## 8 Contracts & Procurement

(Page 10 of London Councils Financial Regulations 2015)

- 8.1 All contracts and procurement that exceed the current EU threshold<sup>1</sup> are regulated by EU Procurement Directives, and UK domestic legislation as defined in the Public Contracts Regulations (PCR) 2015. In addition, each and every contract shall also comply with these Financial Regulations. The EU regulations and UK law take precedence over the Financial Regulations and no deviations or exceptions are permitted for contracts in excess of the threshold. Also, contracts with a full life value between £25,000 and the EU threshold are governed under Part 4 of the PCR 2015.<sup>2</sup>
- 8.2 Contracts may be defined as being agreements for the supply of goods or materials, or the carrying out of works or services. Contracts are also deemed to include the engagement of professional consultants (excluding Counsel).
- 8.3 It is a breach of the Financial Regulations to artificially divide contracts where the effect is to circumvent the regulations concerning the following financial threshold limits.
- 8.4 Financial Thresholds
- 8.4.1 The following minimum number of invitations to tender or quote shall apply, subject to EU procurement rules (including aggregation i.e. the full life value of the contract) and the exemptions, before any order for works, supplies or services is placed:

Procurement Threshold	Procedure
(a) up to £10,000	No formal tender process required. At least one written quotation obtained, duty to secure reasonable value for money
<b>Where a decision has been made <u>NOT</u> to advertise</b>	
(b) between £10,001 and £75,000 <i>if not advertised</i>	Request at least 3 written quotations or a mini-tender exercise must be carried out to establish value for money
<b>Where a decision has been made to advertise</b>	
(c) between £25,001 and EU limit (currently £164,176) (€207,000) <i>if advertised</i> <b>(NB: you MUST advertise above £75,001)</b>	If the Opportunity is advertised, the use of the formal tender process is mandatory by tendering the opportunity on Contracts Finder and London Councils website.
(d) over EU limit (currently £164,176) ((€207,000))	The use of the formal EU tender process is mandatory and subject to the EU procurement rules. To note that additionally if the value of procurement is in excess of £250,000 then Committee approval is required prior to formal tender process.

<sup>1</sup> The current Threshold for public supply and service contracts is €207,000 / £164,176. This is reviewed every two years, the next review is due January 2018

<sup>2</sup> Chapter 8 Below Threshold Procurements The obligation to advertise on Contracts Finder – Regulation 110(1), *only applies where the authority has decided to advertise.*

- 8.5 Each proposed contract for works or services, with an estimated value equal or greater than £250,000 must be the subject of a separate detailed report to London Councils Leaders' Committee or any Sectoral joint or associated committee as appropriate, requesting approval to seek tenders for the recommended design solution. This report must state the size of any contingency provision to be included in the tender documents or estimated costs, as well as any prevalent risks to the organisation.
- 8.6 No contract shall be made, nor any tender invited, unless provision has been made in the annual budget for the proposed expenditure or that written confirmation has been received from the appropriate third party that external funding is available to fund the full contract and associated costs.

## 8.7 Formal Tender Process

8.7.1 Competitive tendering will be required where the ***opportunity is advertised*** and the estimated value of the contract is expected to exceed £25,000 which is split into two categories

8.7.2 Below Threshold (£25,000 to less than the EU limit £164,176)

8.7.2.1 It is now a requirement that for any contracts estimated to be between £25,000 and the EU limit in force at the time (currently £164,176), if the contracting authority advertises it must do so via Contracts Finder.

8.7.3 Above EU Threshold (£164,176) where full EU processes apply

8.7.3.1 For above threshold tendering, the choice of procedure is detailed and regulated in the PCR (Chapter 2 Rules on Public Contracts), noting that when awarding public contracts, contracting authorities shall apply procedures that conform to the regulations.

8.7.4 Detailed guidance on procurement procedures is provided in the Procurement Toolkit (Appendix 6), reflecting the PCR and any specific guidance as the Minister for the Cabinet Office may issue.

## 8.8 Contract Advertising

8.8.1 Contracts above the EU financial thresholds prevailing at the time as set out in the Regulations should be advertised in the Official Journal of the European Union (OJEU and London Councils website).

8.8.2 For below EU threshold procurement i.e. between £25,000 and the EU Limit where a decision has been made to advertise the opportunity, the opportunity must be placed on Contracts Finder and London Councils website with no exceptions. (Ref PCR 2015, Chapter 8 paragraph 110)

8.8.3 8.8.4 After the expiration of the period specified in any notice, invitations to tender for the contract shall conform with Section 5 sub section 7 of the PCR, (paragraphs 65 and 66 refer).

## **8.9 Receipt of Tenders**

- 8.9.1 Every invitation to tender shall state that no hard copy tender will be accepted unless it is received in a plain sealed envelope or package which shall bear the words TENDER - followed by the subject to which the tender relates, and shall not bear any name or mark indicating the sender. Every invitation to tender should also state the deadline date and time (usually 12 noon) for receipt. When received, an entry shall be made upon such envelopes or packages indicating the time and date of receipt and these will then remain in the custody of the Chief Executive or the Director of Corporate Resources until the time appointed for their opening.
- 8.9.2 Electronic versions of the tender submission will be accepted. Electronic tenders must be received by the deadline date and time, as detailed in the invitation to tender. Electronic tender submissions sent by e-mail should be sent to: tenders@londoncouncils.gov.uk. E-mailed tenders will not be accepted in isolation, if there is a requirement for hard copies.
- 8.9.3 All tenders received after the deadline date and time shall not be opened and will be disregarded for the purposes of the tender exercise to which they relate.

## **8.10 Opening of Tenders**

Tenders shall be opened at one time in the presence of:-

- 8.10.1 For tenders valued at over £25,000 – in the presence of two officers appointed by the Chief Executive;

## **8.11 Acceptance of Tenders and Quotations**

- 8.11.1 Where the value is under £10,000, one of the designated authorised signatories (as outlined in Part C of Appendix 5) , shall be authorised to accept the quotation by signing off the purchase order to place the order with the supplier;
- 8.11.2 Where the value is between £10,001 and £75,000, one of the designated authorised signatories (as outlined in Part B of Appendix 5) shall be authorised to evaluate and accept the quotation or tender by signing off the procurement approval form for submission to the Director of Corporate Resources for approval;
- 8.11.3 Where the value is between the £75,000 and the prevailing EU Limit, , one of the designated authorised signatories (as outlined in Part A of Appendix 5) shall be authorised to evaluate and accept the tender by signing the procurement approval form for submission to the Director of Corporate Resources for approval;
- 8.11.4 Where the tender is above the EU Threshold and below £249,999, the Chief Executive, the Director of Corporate Resources, or in their absence, one of the designated authorised signatories (as outlined in Part A of Appendix 5) in consultation with the Chair(man), Deputy-Chair(man) and one other Member of the appropriate committee shall

be authorised to evaluate and accept the tender;

8.11.5 For tenders of £250,000 and over London Councils Leaders' Committee or any Sectoral joint or associated committee as appropriate shall be authorised to evaluate and accept the tender;

8.11.6 A tender which exceeds the approved estimate shall be referred to the appropriate committee for consideration. Where the tender can be amended to fall within the approved budget by a minor adjustment to the approved works, goods or services and otherwise complies with these regulations, the Chief Executive, the Director of Corporate Resources, or in their absence, one of the designated authorised signatories (as outlined in Part A of Appendix 5) in consultation with the Chair(man), Deputy-Chair(man) and one other Member of the appropriate committee shall be authorised to approve the adjustment as provided for in 8.11.4 above.

## 8.12 **Contract Provisions and Payments**

8.12.1 Every contract in writing (unless such contract is let by a Lead Authority in accordance with Schedule 8), shall be signed by the Chief Executive or the Director of Corporate Resources, or in their absence, one of the designated authorised signatories (as outlined in Part A of Appendix 5).

8.12.2 Every contract in writing shall specify:-

8.12.2.1 the work, materials, matters, or things to be furnished, or done;

8.12.2.2 the price to be paid, with a statement of discounts or other deductions;

8.12.2.3 the payment process, including the process for resolving disputes;

8.12.2.4 the time or time within which the contract is to be performed;

8.12.2.5 insurance, employers liability and professional indemnity;

8.12.2.6 the place or places for delivery of performance.

## 8.13 **Contracts where tenders are not required.**

8.13.1 Contracts or orders which exceed £10,000 and not exceeding £75,000 in value, **if not advertised**, require at least 3 written quotations from suitable suppliers before the contract order is placed

8.13.2 Quotations may be submitted by post, or e-mail.

8.13.3 If the full life value of a contract is below the £75,000 **and not advertised**, it shall not be obligatory to invite formal tenders, nor give public notice of the intention to enter into a contract where:-

- 8.13.3.1 effective competition is prevented by Government control, or

- 8.13.3.2 the special nature of the work to be executed limits the number of contractors capable of undertaking the work to less than 3, or
- 8.13.3.3 the goods, services or materials to be purchased are only available from less than 3 suppliers, or
- 8.13.3.4 the work is a continuation of a previous contract or order, or
- 8.13.3.5 a corporately tendered and managed or framework contract has been established for all officers of the organisation to use:  
e.g. supplies of Stationery, Computers, Office Furniture etc.,  
or
- 8.13.3.6 goods or services are of a proprietary manufacture, including sole distribution or fixed price, or the services to be provided are of a proprietary nature , or
- 8.13.3.7 any repairs or works to be executed or parts, goods or
- Materials to be supplied in connection with existing machinery, vehicles plant or equipment are of a proprietary nature and involve sole distribution or fixed price, or
- 8.13.3.8 urgent supplies necessary for the protection of life or property.

8.13.4 The Chief Executive shall maintain a record of those contracts let without competitive quotations as detailed in 8.13.3, detailing the reasons why these have not been obtained.

8.13.5 The EU regulations and PCR do not provide for any exemptions from the tendering process for contracts which exceed the EU threshold.

#### **8.14 Withdrawal of Tender**

8.14.1 In the event of any person withdrawing a tender, or not signing the contract after his/her tender has been accepted, or if the Chief Executive or the Committee are satisfied that a Contractor has not carried out a contract in a satisfactory manner, or for any other justified reason, then tenders will not be accepted from such contractors in future, except after specific Committee approval.

#### **8.15 Communications with Tenderers**

8.15.1 Accounting records for all contracts must be maintained as agreed by the Director of Corporate Resources.

8.15.2 No members of the relevant Committee shall have or allow any interview or communications with any person or representative of any person proposing to tender or contract, except by the authority of that Committee. Where such interview or communication does, nevertheless, take place then it is to be reported to the relevant Committee at the first available opportunity.

## **8.16 Contract Variations**

- 8.16.1 Subject to the provisions of the contract, every variation shall be instructed in writing and signed by the designated officer prior to the commencement of work on the variation concerned or as soon as possible thereafter. Designated officers may authorise variations which are essential for the completion of a contract, and minor variations of an optional nature, provided the cost remains within the approved estimate. Major variations to contracts shall require the approval of the appropriate committee.

## **8.17 Contract Payments**

- 8.17.1 All ex gratia and non-contractual claims from contractors shall be referred to the Director of Corporate Resources and also to the Chief Executive for comments before settlement is reached.
- 8.17.2 Where contracts valued in excess of £25,000 provide for payments to be made by instalments, all payments to contractors shall be made on a certificate issued and signed by London Councils designated officer. Contracts subject to payment via certificate will primarily relate to construction / building works, which will be for internal / external decorations of London Councils Leased premises.<sup>3</sup> Those contracts not subject to the issue of certificates, may be paid on invoices and/or any means allowed by the Director of Corporate Resources.
- 8.17.3 The Director of Corporate Resources shall, to the extent he/she considers necessary, examine the final accounts or interim valuations for contracts and he/she shall be entitled to make all such enquiries and receive such information and explanations as he/she may require in order to be satisfied as to the accuracy of the accounts.
- 8.17.4 The final certificate for the payment of any contract, where the final cost exceeds £25,000, shall not be issued until the Supervising Officer under the contract has produced to the Director of Corporate Resources a detailed statement of account with all relevant documents.<sup>4</sup> Such papers shall be lodged with the Director of Corporate Resources two months prior to the due date of the final certificate or in exceptional circumstances a previously agreed period in order to allow a thorough review of their contents prior to the issue of the final certificate. In addition, all consultants' fee accounts that in total exceed £30,000 in value shall be forwarded to the Director of Corporate Resources for verification prior to the respective final payments being processed. A clause to this effect shall be inserted in the appropriate contract, bills of quantities, or specification.
- 8.17.5 Wherever works or services are let on a day works contract then every payment costing in excess of £100 shall be supported by day work sheets. Such day works sheets shall contain adequate descriptions of the work carried out and the names of the operatives involved, together

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<sup>3</sup> Any contractors certificates issued, including claims for additional costs and the final account would be assessed by a Project Manager / Quantity Surveyor engaged for their expertise in managing building / construction contracts and then reported to the designated officer.

<sup>4</sup> See footnote 3 above

with details of the times during which the work was performed, the hourly rates applied and any plant or materials used. Day work sheets shall be signed by the designated officer indicating that the amount claimed reasonably reflects the labour and materials content of the works executed.

#### **8.18 Lead Borough Arrangements**

- 8.18.1 Any contract let by a Lead Authority, in its capacity as administrator of an activity delegated by London Councils or any Sectoral joint or associated committee as appropriate, shall be deemed to comply with these Financial Regulations so long as it is in compliance with the Financial Regulations and Standing Orders of that Lead Authority.

#### **8.19 Corrupt Practices**

- 8.19.1 Every written contract shall include the following clauses:

The Service Provider must comply at all times with the provisions of the Bribery Act 2010, in particular Section 7 thereof in relation to the conduct of its employees, or persons associated with it.

The Service Provider warrants that, at all times, it has in place adequate procedures designed to prevent acts of bribery from being committed by its employees or persons associated with it, and must provide to London Councils at its request, within a reasonable time, proof of the existence and implementation of those procedures.

London Councils will be entitled by notice to the Service Provider to terminate the Service Provider's engagement under this or any other contract with the Service Provider if, in relation to this or any other such contract, the Service Provider or any person employed by it or acting on its behalf has committed an offence in relation to the Bribery Act 2010.

#### **8.20 Claims from Contractors**

- 8.20.1 Claims from contractors in respect of matters not clearly within the terms of any existing contract shall be referred by the Chief Executive to London Councils Legal Adviser for consideration of the Organisation's legal liability and, where necessary, to the Director of Corporate Resources for financial consideration before a settlement is reached. No payment will be made to a contractor without the specific approval of London Councils.

#### **8.21 Bonds and Other Security**

- 8.21.1 Every contract that exceeds £150,000 in value or amount and is for the execution of works or for the supply of goods or materials otherwise than at one time, shall require the contractor to provide sufficient security for the due performance thereof, except where the appropriate service related Director and Director of Corporate Resources consider this to be unnecessary.

##### **8.21.2 Use of Consultants**

- 8.22.1 Consultants shall be engaged only where it is not feasible or cost

effective to carry out the work in-house either by using existing staff or by employing new short term or permanent staff.

**Item 16(d) - Appendix B**

**LONDON COUNCILS FINANCIAL REGULATIONS - APPENDIX 5**

**AUTHORISED SIGNATORIES**

**(Updated 11 July 2017)**

**PART A:**

**All Tenders, quotations, deeds\* and contracts;**

<b><i>DIRECTORATE</i></b>	<b><i>TITLE</i></b>
Chief Executive's	Chief Executive
Chief Executive's	Director of Corporate Governance
Chief Executive's	Director of Corporate Resources
Chief Executive's	Head of Budgetary Control & Procurement
Chief Executive's	Head of Financial Accounting
PaPA	Corporate Director
Services	Director, Transport & Mobility
Services	Strategy & Planning Director

\*Deeds must be signed by one authorised signatory and witnessed by another.  
Any of the persons authorised above are authorised to sign, or witness the signing of a deed. No-one else is authorised to witness the signing of a deed which binds London Councils.

**PART B:**

**Tenders and quotations not exceeding £75,000:**

<b><i>DIRECTORATE</i></b>	<b><i>TITLE</i></b>
Chief Executive's	Chief Executive
Chief Executive's	Director of Corporate Governance
Chief Executive's	Head of London Regional Employers Organisation
Chief Executive's	Director of Corporate Resources (Finance Officer)
Chief Executive's	Head of Budgetary Control & Procurement
Chief Executive's	Head of Financial Accounting
Policy & Public Affairs	Corporate Director
Policy & Public Affairs	Director of Communications
Policy & Public Affairs	Head of Strategic Policy
Policy & Public Affairs	Head of Children and Young People Services
Policy & Public Affairs	Interim Director of Finance, Performance & Procurement
Policy & Public Affairs	Strategic Lead for Finance, Performance & Procurement
Policy & Public Affairs	Head of Economy, Culture & Tourism

***DIRECTORATE***

Policy & Public Affairs  
 Policy & Public Affairs  
 Policy & Public Affairs  
 Services  
 Services  
 Services

***TITLE***

Strategic Lead for Health & Adult Social Care  
 Head of Transport & Environment  
 Head of Housing & Planning  
 Director, Transport & Mobility  
 Chief Contracts Officer  
 Head of Community Services & Grants

Services

Strategy & Planning Director

In addition, the Director of Corporate Governance is authorised to sign all contracts of employment, once the appropriate post approval form (PAF) has been signed by two of the relevant office holders (1) the Finance Officer and one of (2) the Chief Executive; Corporate Director PaPA; Director, Transport & Mobility; Strategy & Planning Director, including secondment agreements into/out of the organisation.

**PART C:****Orders for Works, Goods and Services (FR para 16.2)**

Official orders, including those within a computerised ordering system, shall be in a form approved by the Finance Officer and are only to be authorised by the Chief Executive or his/her nominated deputy as set out below. These authorised officers shall then be responsible for the issue of official orders. The names of the authorised officers shall be sent to the Finance Officer together with specimen signatures. Changes shall be notified to the Finance Officer as they occur. Additional guidance on the completion of official orders can be found at appendix 10.

The schedule of authorised Purchase Order signatories by Job/post from 11 July 2017 is shown below.

***DIRECTORATE******TITLE***

Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's  
 Chief Executive's

Chief Executive  
 Head of Chief Executive's office  
 Secretary to Head of Office  
 Director of Corporate Governance  
 Head of Governance  
 Head of London Regional Employers Organisation  
 Director of Corporate Resources (Finance Officer)  
 Head of Budgetary Control & Procurement  
 Head of Financial Accounting  
 ICT & Facilities Manager  
 Governance Manager

Policy & Public Affairs  
 Policy & Public Affairs

Corporate Director  
 Director of Communications

**DIRECTORATE****TITLE**

Policy & Public Affairs	Head of Strategic Policy
Policy & Public Affairs	Head of Children and Young People Services
Policy & Public Affairs	Interim Director of Finance, Performance & Procurement
Policy & Public Affairs	Strategic Lead for Finance, Performance & Procurement
Policy & Public Affairs	Head of Economy, Culture & Tourism
Policy & Public Affairs	Strategic Lead for Health & Adult Social Care
Policy & Public Affairs	Head of Transport & Environment
Policy & Public Affairs	Head of Housing & Planning
Policy & Public Affairs	Promotions Manager
Policy & Public Affairs	E-communications Manager
Policy & Public Affairs	Publishing Manager
Policy & Public Affairs	Media Manager; Head of Capital Ambition; Programme Manager – Capital Ambition
Services	Director, Transport & Mobility
Services	Chief Contracts Officer
Services	Head of Community Services & Grants
Services	Head of Support Services
Services	Principal Programme Manager (Operations)
Services	Principal Programme Manager (Quality)
Services	London Care Services Manager
Services	Strategy & Planning Director -
Services	Regional Commissioning Manager – YPES
Services	Executive Assistant – YPES

Any new requests / amendments agreed by completion of the “Authorised Signatory Form” and signed by the Chief Executive, Corporate Director PaPA, Director, Transport & Mobility or Strategy & Planning Director  
(See below)

Those signatories listed in PART C can also accept tenders and quotations where the value is under £10,000.

# AUTHORISED SIGNATORY FORM

<b>Name of signatory</b>	
<b>Job Title</b>	
<b>Division/Section</b>	
<b>Start Date</b>	
<b>Specimen signature</b>	

	<b>Contracts</b>	<input style="width: 80px; height: 30px; border: 1px solid black;" type="checkbox"/>
Authorised to sign (Please tick the relevant box)	<b>Purchase Orders Only</b>	<input style="width: 80px; height: 30px; border: 1px solid black;" type="checkbox"/>
	<b>Invoices Only</b>	<input style="width: 80px; height: 30px; border: 1px solid black;" type="checkbox"/>
	<b>Both Purchase Orders &amp; Invoices</b>	<input style="width: 80px; height: 30px; border: 1px solid black;" type="checkbox"/>

Approved by (to be completed by signatory's Chief Executive/Corporate Director  
PaPA/Director, Transport & Mobility/Strategy & Planning Director)

<b>Name</b>	
<b>Job Title</b>	
<b>Division</b>	
<b>Signature</b>	
<b>Date</b>	

# Grants Committee AGM

## Operation of the Grants Committee 2017/18

Item no: 10

**Report by:** Simon Courage    **Job title:** Head of Grants & Community Services  
**Date:** 12 July 2017  
**Contact Officer:** Simon Courage  
**Telephone:** 020 7934 9901    **Email:** [simon.courage@londoncouncils.gov.uk](mailto:simon.courage@londoncouncils.gov.uk)

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### Summary

This report informs Members of the Terms of Reference for the Grants Committee and the dates set for meetings for the municipal year 2017/18.

It also proposes the Terms of Reference to be adopted for the Grants Executive and the Grants Sub-Committee: Third Sector Leadership.

### Recommendations

The Committee is recommended to:

- Note the Terms of Reference for the Grants Committee
- Note the programme of meetings
- Agree the Terms of Reference for the Grants Executive
- Agree the Terms of Reference for the Grants Sub-Committee: Third Sector Leadership.



## **Operation of the Grants Committee 2017/18**

1. The Grants Committee has been established further to the London Grants Scheme (made under section 48 of the Local Government Act 1985 and the London Councils Governing Agreement, as amended).
2. In summary the Grants Committee's Terms of Reference as provided in that Scheme are:
  - To ensure the proper operation of the Grants Scheme for the making of grants to eligible voluntary organisations in Greater London;
  - To have due regard to the needs of Greater London in operating the Scheme and to keep those needs periodically under review;
  - To make recommendations to Leaders' Committee on overall policies, strategy and priorities;
  - To make recommendations to Leaders' Committee, and the constituent authorities, on the annual budget for the Grants Scheme;
  - To consider grant applications and make grants to eligible voluntary organisations; and
  - To establish any sub-committees and other groups of Members it considers appropriate.
3. The Scheme requires that London Councils Officers will:
  - a. Keep under review the needs of Greater London and report to the Grants Committee and Leaders' Committee from time to time on a strategy for collective grant giving devised with due regard to those needs;
  - b. Draw up and submit for consideration and approval by the Grants Committee detailed criteria and policies for grant giving in the light of the agreed strategy;
  - c. Prepare and submit an annual budget for consideration by the Grants Committee and Leaders Committee by the end of November each year for the financial year commencing the following April. This budget shall include the costs of staffing, office and support services considered necessary to facilitate the effective and efficient operation of the Scheme, as well as expenditure proposals for grant aid to eligible voluntary organisations, and any contingency provision;

- d. Receive, assess and process grant applications from eligible voluntary organisations and report on them and make recommendations to the Grants Committee and/or any sub-committees it may establish;
- e. Administer the payment of approved grants to eligible voluntary organisations and monitor the use made of such funding;
- f. Convene and service meetings of the Grants Committee, its sub-committees and any other bodies established by it.

### **Commissioning Performance Management**

- 4. Members are asked to note that the performance management arrangements for the current commissions being funded under the Scheme were agreed at the 8 February 2017 Grants Committee: Commissioning Monitoring Arrangements
- 5. Members are encouraged, as part of the arrangements, to visit providers. Visits can be arranged through the grants team. The Chair of the Grants Committee will be making a number of scheduled visits in each two year period. Members are welcome to attend these visits.

### **Programme of Meetings: 2017/18**

- 6. The programme of London Councils Grants Committee meetings for the coming year is set out below.

<b>Grants Main Meeting</b>		
<b>Date</b>	<b>Time</b>	<b>Main Business</b>
22 November 2017	11:00	
21 March 2018	11:00	
11 July 2018	11:00	AGM
<b>Grants Executive</b>		
<b>Date</b>	<b>Time</b>	<b>Main Business</b>
12 September 2017	2:00 pm	Grants Executive
27 February 2018	2:00 pm	Grants Executive

## **Sub-Committees**

### **The Grants Executive and Grants Sub-Committee: Third Sector Leadership**

7. The Grants Committee is empowered to establish sub-committees to ensure that its business is efficiently and effectively conducted. The Grants Executive is one such sub-committee and its Terms of Reference would benefit from review. The Grants Executive has previously met to consider and take decisions on urgent matters between meetings of the Grants Committee or on decisions that the Grants Committee delegates to it from time to time. The Committee has already elected the Grants Executive members at item 6 on this agenda. (London Councils Standing Orders also provide for an urgency process for officers to take decisions in the absence of a decision-making-meeting of Members.)
8. Grants Committee is scheduled to meet three times a year, and in the interests of good governance as noted above, Members may constitute a decision-making sub-committee such as the Grants Executive to facilitate the efficient and effective conduct of business by Members between meetings of the full Committee. The Terms of Reference of any sub-committee of the Grants Committee should be approved at the AGM (as provided under the Scheme and Standing Order 1.8(vi)). Those Terms of Reference should clearly set out the powers and functions being exercised and be clear whether the sub-committee has authority to take decisions which are required to be taken between meetings of the Grants Committee, or whether it can only make recommendations to the Grants Committee.
9. The proposed Terms of Reference for the Grants Executive are included at Appendix 1.
10. During the London Councils Grants Review (July 2015 to March 2016) views were raised that a priority solely focused on capacity building in the third sector should not form part of the next Grants Programme (2017 to 2021). The Grants Review concluded that there was merit in pan-London support to build the third sector and a view that London Councils could continue to play an important role through its strategic leadership. Subsequently Grants Committee agreed that officers develop a proposal to work with City Bridge Trust on the implementation of the review into infrastructure support to voluntary and community organisations in London (being undertaken by London Funders).
11. On 8 February 2017, members of the Grants Committee considered a report on London Councils' role in terms of Leadership in the Third sector and agreed that a member level sub-committee would be established to advise on work in this area.

12. The proposed Terms of Reference for the Grants Sub-Committee: Third Sector Leadership are included at Appendix 2. There is agreement that, where appropriate, other members of the Grants Committee will be engaged appropriately.

**Recommendations:** The Committee is recommended to:

- Note the Terms of Reference for the Grants Committee
  - Note the programme of meetings
  - Agree the Terms of Reference for the Grants Executive
  - Agree the Terms of Reference for the Grants Sub-Committee: Third Sector Leadership.
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### **Financial Implications**

There are no direct financial implications.

### **Equalities Considerations**

There are no direct equalities considerations.

### **Legal Implications**

The London Councils Grants Scheme is funded and governed by the constituent councils, being the 32 London Boroughs and the City of London Corporation. Leaders' Committee sets the overall funding strategies, policies and priorities for grants to voluntary organisations on the recommendation of the Grants Committee. Decisions on individual commissions, funding of applications and operation are made by the Grants Committee.

There are no direct legal implications although the delegation of the exercise of functions by the Grants Committee to its sub-committee(s) should be consistent with the functions that the Grants Committee may exercise under the Grants Scheme 2001 (as amended) (and the terms of that Scheme), and should be clear to ensure that decisions by the sub-committee(s) are made with appropriate authority.

### **Background Documents:**

- London Councils Governing Agreement (as amended)
- Grants Scheme
- London Councils Standing Orders

## The Grants Executive – Terms of Reference

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### Purpose

The Grants Committee is empowered to establish sub-committees to ensure that its business is efficiently and effectively conducted. The Grants Executive is one such sub-committee.

The sub-committee shall have delegated authority to exercise all of the executive functions of the Grants Committee (including the power to take decisions) with the exception of the following:

- Election of committee officers;
- Election of members of the sub-committee;
- Agreement of the budget;
- Agreement of the work programme.

The aim of the Grants Executive is to allow greater scrutiny of the current grants programme by a smaller group of members appointed by the Grants Committee, to provide comfort to the overall Grants Committee members where the amount of business does not permit this level of detailed discussion. This function also aims to minimise the total amount of detailed reporting reported to Grants Committee.

The Grants Executive will:

- Closely monitor the progress of the current grants scheme by reference to:
  - Financial and budgetary information
  - Progress of the programme via regular performance reporting
- Recommend to Grants Committee any changes to the present grants programme to maintain the overall integrity of the scheme objectives
- Review criteria and policies for grant giving in line with agreed strategy for approval by the Grants Committee
- Consider grants scheme thematic priority reports to allow members to more closely scrutinise grants priorities.

## The Grants Sub-Committee: Third Sector Leadership - Terms of Reference

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### 1 Background

- 1.1 During the London Councils Grants Review (July 2015-March 2016) views were raised that a priority solely focused on capacity building in the third sector should not form part of the next Grants Programme (2017 to 2021). The Grants Review concluded that there was merit in pan-London support to build the third sector and a view that London Councils could continue to play an important role through its strategic leadership. Subsequently Grants Committee agreed that officers develop a proposal to work with City Bridge Trust on the implementation of the review into infrastructure support to voluntary and community organisations in London (being undertaken by London Funders).
- 1.2 This was reported to Grants Committee in July 2016, where members agreed to work with City Bridge on implementing the findings of the review - *The Way Ahead: Civil Society at the Heart of London*. Members agreed the budgetary provision for London Councils to undertake this work on behalf of the Grants Committee and the detailed work plan at the November 2016 meeting of the Grants Committee. Members also asked officers to consider the governance arrangements for taking this work forward. On 8 February 2017, members of the Grants Committee considered a report on London Councils role in terms of Leadership in the Third sector and agreed that a member level working group would be established to advise on work in this area.

### 2 Membership

- 2.1 The Sub-Committee membership will have the following composition (based on current membership of the Grants Committee 2017-18):
- Chair of the Grants Committee (or Labour Vice Chair)
  - Six members from the Labour group
  - Three members from the Conservative group
  - One member from the Liberal Democrat group
  - The Grants Committee representative from City of London
- 2.2 Representatives from City Bridge Trust, London Funders and other stakeholders may be invited to attend meetings in an advisory capacity.
- 2.3 The quorum shall be one third of, or the number nearest to one third, but not less than three Members entitled to be present at Grants Committee, and any associated joint committees, sectoral joint committees or sub committees of London Councils.

### 3 Role and Purpose

3.1 The Grants Sub-Committee: Third Sector Leadership, will act in an advisory capacity to the Grants Committee, and will steer the strategic working partnership between London Councils, the City Bridge Trust, and other key stakeholders.

3.2 The remit of the Sub-committee will be to support the Grants Committee and Leaders' Committee in ensuring the proper operation of the Grants Scheme by representing borough interests through:

- guiding the London local government leadership role in the third sector
- influencing the allocation of funding from independent funders for third sector support services, reflecting on local knowledge and strategic issues
- advising on the implementation of the recommendations from *The Way Ahead - Civil Society at the Heart of London* report
- sharing best practice and support to London boroughs in working with the third sector
- steering the borough grants officer sub-group (the officer group set up to steer and inform the delivery of the work plan and provide local government leadership relating to civil society support services and needs on behalf of the boroughs, representing their coordinated voice).

### 4 Timings of Meetings

4.1 The first meeting will take place July 2017. Members will discuss the desired frequency of meetings at their initial meeting. The Sub-Committee will follow the workplan agreed by members of the Grants Committee at their meeting November 2016 which currently sets out outcomes for 12 months with a review towards the end of that period.

### 5 Secretariat

5.1 The Employment and Inclusion Team and London Councils officers will provide appropriate secretariat support to the group in the usual way for London Councils Committees, including:

- drawing up and submitting to Grants Committee for consideration a work plan (approved by Grants Committee at its meeting of November 2016) consistent with the Sub-committee's terms of reference
- keeping under review the work plan and reporting to the Grants Sub-Committee: Third Sector Leadership, Grants Committee and Leaders' Committee (as relevant) from time to time on progress
- convening and servicing meetings of the Grants Sub-Committee: Third Sector Leadership
- providing a link to the borough officers sub-group.

# Grants Committee

Leadership in the Third Sector: Update on London  
Councils Work Plan

Item 12

**Report by:** Simon Courage    **Job title:** Head of Grants and Community Services

**Date:** 12 July 2017

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## Summary

At its meeting of 23 November 2016, the Grants Committee agreed that London Councils officers should:

1. Accept City Bridge Trust's invitation to work with them in a strategic partnership and with other major stakeholders to ensure boroughs' intelligence was represented in decisions on independent funding of voluntary sector infrastructure
2. Work with London Funders and other stakeholders on the implementation of the review into infrastructure, *The Way Ahead - Civil Society at the Heart of London*.

This was set out in a detailed work plan which was agreed by the Grants Committee. This report provides an update on the work done to date, including the preparatory evidence base which is being prepared via a survey of boroughs for the first meeting of the Member Sub-Committee, which is scheduled for Tuesday, 18 July 2017.

## Recommendations

Members are asked to:

- Note the progress against the agreed work plan (at Appendix 1).

Specific attention is drawn to:

The development and rollout of a survey that London Councils has carried out with lead officers in all 33 boroughs. This has set out to gather information on boroughs' relationship with third sector infrastructure organisations in their area. It asks questions about boroughs' funding of this infrastructure, their approaches to commissioning from the sector and related issues. To date, 24 boroughs have replied to this, London Councils officers are analysing the results and encouraging the remaining boroughs to respond. This research provides the evidence base for the first meeting of the member sub-committee and is a sound platform for the work on the remainder of the work plan. A borough officer sub-group has been set up to provide advice to the work.



## **1 Background**

- 1.1 The London Councils Grants Review (July 2015 to March 2016) highlighted that there should be a Grants Programme from 2017 but that this should not include a priority solely focused on capacity building in the third sector. The Grants Review concluded that there was merit in pan-London support to build the third sector and that London Councils could continue to play an important role through its strategic leadership.
- 1.2 At its meeting of 9 March 2016 members of the Grants Committee agreed that London Councils' officers develop a proposal to work with City Bridge Trust on the implementation of the review into infrastructure support to voluntary and community sector organisations in London - *The Way Ahead - Civil Society at the Heart of London* (the review).
- 1.3 These proposals were reported to the meeting of the Grants Committee in July 2016 where the committee also received a presentation from David Farnsworth of City Bridge Trust outlining the findings of the review. Grants committee members were invited to consider working with City Bridge Trust in taking forward the review's recommendations.
- 1.4 Members agreed that officers make provision in the 2017-18 budget proposals for resources to cover London Councils officer time to support this work and to provide a work plan to accompany the budget proposal. The budget and workplan were agreed at the November 2016 meeting of the Grants Committee.

## **2 The Way Ahead**

- 2.1 In 2015 City Bridge Trust commissioned London Funders, the London Voluntary Service Council (LVSC) and Greater London Volunteering (GLV) to produce a report on the future of support to civil society (the third sector) in London. The final report, *The Way Ahead - Civil Society at the Heart of London*, was published in April 2016. Members were provided with the Executive Summary at their meeting 13 July 2016.
- 2.2 The report focuses on some key themes:
  - the changing role of the state, voluntary and community sector (VCS) and funders of VCS
  - the need to support communities to co-produce shared solutions drawing on the strengths of the community (geographical or otherwise)
  - the need to provide strategic leadership and the role of pan-London resourcing (with the potential to bring together sources of funding in a London pool to fund the provision of support to the VCS)

- that the VCS should be supported to create consistent quality services and manage the risks associated with their increased role in delivering outcomes.

2.3 In particular, a role has been outlined for London Councils to:

- Support the involvement of VCS in decision making
- Ensure consistent commissioning/funding of local support, working alongside the Greater London Authority (GLA), London Funders and the London Hub.

2.4 London Councils' officers have discussed with borough officers and the City Bridge Trust London Councils role in supporting consistent commissioning. A role has emerged for London Councils to play a key part in representing borough interests in influencing both the roll-out of the model and the allocation of a central pot of funding, now called "The Cornerstone Fund" (c£1.5m per annum for two years, plus any additional funding from other funders) for third sector support services. The following section provides some further detail.

### **3 Third sector support - the role of London local authorities and London Councils**

3.1 London Councils provides key support functions to boroughs delivering efficiency, representation, leadership, the sharing good practice and influence for member authorities. In terms of a potential role in implementing recommendations for the future of support to civil society, London Councils aims to support boroughs by:

- Influencing the distribution of funding for support services to the third sector, reflecting on local knowledge and strategic issues.
- Providing a voice for London boroughs in the implementation of the findings, enabling boroughs to input in a way that is an efficient use of their resources.
- Enabling the boroughs to provide leadership to the third sector, utilising the policy knowledge gathered through London Councils (using relevant borough officer networks where appropriate).
- Sharing best practice and support to London boroughs.

3.2 Key to the role is representing the boroughs' needs to independent funders, helping funders to draw up strategies in response to those needs and supporting performance management and reporting back to the boroughs. As a new model of support is adopted across London, the sharing of best practice amongst boroughs (through events or briefings) could also be built into the role.

3.3 A workplan was developed after consultation with borough officers and following a steer from the Grants Committee, which was approved by members in November 2016 (included in **Appendix One**). Progress against the workplan has been reported in detail to the sub-group meetings of borough officers which took place on 28 March, 3 May

and 5 July 2017, to the wider meeting of all borough grants officers and is detailed in section four below.

## **4 Progress on workplan**

### **4.1 Aim 1 - To provide local government leadership in the third sector on behalf of the boroughs, representing their coordinated voice**

4.1.1 *Objective:* London Councils utilises the democratic legitimacy of the 33 boroughs to gather intel on relevant areas

*Progress to date:* In order to gather intelligence that can inform London Councils response to this area of work, an online survey was launched to establish what civil society infrastructure is currently being funded/ commissioned in boroughs as well as information about commissioning styles, tools and timetables. The survey was developed with the input of the borough officer sub-group and the GLA (the latter to avoid any duplication of information that they plan to capture). The survey was circulated to borough grant officers on 17 May 2017, with an original closing date of 2 June. At the time of writing this report, 24 individual borough responses had been received. As London Councils recognises there is value in having information from as many boroughs as possible, the survey has been reopened and is still accepting responses. The data will continue to be updated.

The early results of this survey will be reported to the first meeting of the Leadership in the Third Sector Sub-Committee scheduled for Tuesday, 18 July 2017.

4.1.2 *Objective:* London Councils publishes its grant funding on 360 Giving ([www.threesixtygiving.org](http://www.threesixtygiving.org)) and encourages local authorities to do so as well

*Progress to date:* London Councils has identified the recently awarded 2017-21 Grants Programme funding as suitable to be published on 360 Giving and will be uploading the information in due course. 360 Giving gave a presentation to borough grants officers at their network meeting on 3 May 2017 and have also offered to host a workshop focussed on the practicalities of boroughs publishing data. They have also offered pro bono bespoke assistance to any boroughs who wish to publish data. Publishing data on 360 Giving will join up and enhance available funding information allocated to different areas and organisations in London and will enable funders to improve their strategic planning.

**4.2 Aim 2 - To provide a voice for London's boroughs in the implementation of change across the third sector allowing boroughs to input in a way that is an efficient use of their resources**

- 4.2.1 *Objective:* To set up a sub group of Borough Grants Officers to distil views of the whole; membership to take into account sub-regional, inner/outer, differing social and economic profiles

*Progress to date:* The sub group of borough grant officers has been set up and to date, has met three times. Volunteers were sought from the main Borough Grants Officer network to join a sub group of officers to examine issues from the Leadership in the Third Sector work in more detail and provide a borough context to any recommendations from The Way Ahead. Ten boroughs are represented. The group has agreed Terms of Reference, provided guidance on the workplan and the borough survey and also commented on the draft report from the Way Ahead Task and Finish group on Consistent Commissioning before its final submission to the Systems Change group (see 4.2.3).

- 4.2.2 *Objective:* To begin to gather borough intel on how they are engaging with civil society

*Progress to date:* see paragraph 4.1.1 above. The results of this survey will be collated and circulated to officers and other interested parties such as London Funders and the wider third sector (where appropriate) as well as using this information to inform the Cornerstone Fund in identifying cold spots and areas of specific need.

- 4.2.3 *Objective:* London Councils to be a member of the Systems Change group to take forward any changes resulting from the Way Ahead Report on behalf of the boroughs

*Progress to date:* London Councils joined the System Change Group which oversees the implementation of *The Way Ahead* and has contributed to the quarterly meetings since the agreement of this workplan. London Councils has contributed to various activities of The Way Ahead such as two of the five task and finish groups - Consistent Commissioning and Funding, and Data Sharing and has facilitated dialogue between the boroughs and The Way Ahead for example including the recent Stakeholder Conference which brought together boroughs, independent funders, third sector support organisations and the wider voluntary and community sector to the launch of The Way Ahead Change Plan

Through London Councils' representation at these meetings, it has emerged that several other London-wide agencies are also interested in data gathering/sharing and links have been formed to ensure there is no duplication and to share results, where possible. London Councils has worked closely with representatives from a number of organisations such as GLA, City Bridge Trust, Healthy London Partnerships.

- 4.2.4 *Objective:* Establish 3 to 5 key indicators that show how boroughs can benefit from this collaborative work

*Progress to date:* it is envisaged that these indicators will develop from discussions both at member and borough officer level by the initial 6 month deadline.

4.3 **Aim 3 - To work in partnership with City Bridge Trust regarding the distribution of funding for support services to the third sector reflecting on local knowledge and strategic issues**

- 4.3.1 *Objective:* To establish governance arrangements of a central pot of funding and define London Councils role, on behalf of the boroughs.

*Progress to date:* The members sub-committee is currently being established to oversee the work of the strategic partnership between City Bridge Trust and London Councils, on behalf of the boroughs, to provide leadership in the third sector and influence the spend of a central pool of funding from independent funders, which has been named the Cornerstone Fund.

The first meeting of this sub-committee has been scheduled for Tuesday, 18 July 2017.

- 4.3.2 *Objective:* London Councils to work actively with City Bridge Trust to help shape their support to third sector organisations as part of their Investing in Londoners programmes

*Progress to date:* Officers have met with City Bridge Trust to discuss partnership work and the Cornerstone Fund. City Bridge Trust has agreed £1.5m per annum for two years to establish the Cornerstone Fund, which is intended to support a “transformational” agenda working towards improved support and skills for civil society in London. It is City Bridge Trust’s hope that other funders will contribute towards the Fund, in the spirit of The Way Ahead’s strategic and collaborative approach.

A representative of City Bridge Trust will be invited to attend the first meeting of the Grants Sub-Committee: Third Sector Leadership to discuss partnership working with London Councils.

- 4.3.3 *Objective:* To gather intel on local issues, approaches, concerns, gaps and needs and an analysis of lessons learnt from London Councils London-wide commissioning of regional infrastructure to inform the London pool

*Progress to date:* As noted in paragraph 4.1.1, boroughs are currently being surveyed about local infrastructure funding, concerns, gaps and needs. A summary of findings is currently being drafted.

The results of this survey will also be circulated to borough grants officers and other interested parties such as London Funders and the wider third sector (where appropriate) as well as using this information to inform the Cornerstone Fund to identify cold spots and areas of specific need. This will be in addition to lessons learned from the London Councils commissioning of Priority Four.

London Councils provided City Bridge Trust with information to support the introduction of The Bridge Fund, £1m of ring-fenced funding for previous recipients of Priority Four funding, enabling them to retain expertise after the end of the 2013-17 London Councils Grants Programme. 15 organisations received grants of up to £50,000 to retain expertise and engage their stakeholders in co-producing plans for The Way Ahead.

## **5 Recommendations**

### **5.1 Members are asked to:**

- Note the progress against the agreed work plan (at Appendix 1).

Specific attention is drawn to:

The development and rollout of a survey that London Councils has carried out with lead officers in all 33 boroughs. This has set out to gather information on boroughs' relationship with third sector infrastructure organisations in their area. It asks questions about boroughs' funding of this infrastructure, their approaches to commissioning from the sector and related issues. To date, 24 boroughs have replied to this, London Councils officers are analysing the results and encouraging the remaining boroughs to respond. This research provides the evidence base for the first meeting of the member sub-committee and is a sound platform for the work on the remainder of the work plan. A borough officer sub-group has been set up to provide advice to the work.

**Financial Implications for London Councils**

None

**Legal Implications for London Councils**

None

**Equalities Implications for London Councils**

None

**Appendices**

Appendix One - Work Plan agreed by Grants Committee on 23 November 2016

**Background Papers**

Grants Committee, Leadership in The Third Sector: The role of London Boroughs and London Councils. 13 July 2016 and 23 November 2016

Grants Committee, Grants Programme 2017-21, 9 March 2016

Leaders' Committee, Grants Programme 2017-21, 22 March 2016

## Appendix One

### Agreed Workplan for Priority 8: Leadership in the Third Sector

Aims	Objectives - short term 1-6 months	Objectives - Longer Term 6 months +	Outcomes - one year
<b>1. To provide local government leadership in the third sector on behalf of the boroughs, representing their coordinated voice</b>	<p>London Councils utilises the democratic legitimacy of the 33 boroughs to gather intel on relevant areas for example: Issues which the Committee can potentially work on</p> <p>Initial view of need at pan-London and sector levels</p> <ul style="list-style-type: none"> <li>- what third sector /infrastructure support is happening in each borough (liaising with LVSC )</li> </ul> <p>and,</p> <ul style="list-style-type: none"> <li>- commissioning styles, tools/ intentions and timetables across the 33 boroughs</li> </ul> <p>London Councils publishes its grant funding on 360funding (<a href="http://www.threesixtygiving.org">www.threesixtygiving.org</a>) and encourages local authorities to do so as well</p>	<p>Providing analysis and information on strategic issues.</p> <p>Helping to shape the framework for third sector infrastructure in London (developing existing intelligence or commissioning new research).</p> <p>Understanding the economic backdrop of London as a whole as well as individual boroughs and sub regional and to be able to make the link between this and the any resulting needs and the third sector.</p> <p>London's leaders to provide representation and leadership in specific areas e.g. housing, children's services and how the work of the third sector informs this.</p>	<p><b>Outcome 1 – Strategies, tools and good practise</b></p> <ul style="list-style-type: none"> <li>- Shared set of strategic priorities and a shared commitment to tackle these together</li> <li>- Improved communication between the boroughs, London Councils and the third sector about these priorities.</li> <li>- Members are better informed of borough wide third sector successes;</li> <li>- More informed overview of the third sector and its achievements across London.</li> <li>- London Councils provides leadership and good practice in commissioning models</li> </ul>

Aims	Objectives - short term 1-6 months	Objectives - Longer Term 6 months +	Outcomes - one year
<p><b>2 To provide a voice for London's boroughs in the implementation of change across the third sector, allowing boroughs to input in a way that is an efficient use of their resources.</b></p>	<p>To set up a sub group of Borough Grants Officers to distil views of the whole; membership to take into account sub-regional, inner/outer. Differing social and economic profiles.</p> <p>To begin to gather borough intel on how they are engaging with civil society.</p> <p>London Councils to be member of the Systems Change group to take any changes resulting from the Way Ahead Report.</p> <p>Establish 3-5 key indicators that show how boroughs can benefit from this collaborative work.</p>	<p>To gather borough intel on how the boroughs are engaging with civil society, become a central resource of information on London's civil society infrastructure and making meaning of this learning.</p> <p>London Councils to embed itself within this group and other relevant regional/sub regional networks to enable the democratic input of the 33 boroughs.</p> <p>Boroughs are able to advocate for their needs in a collective, saving on resources and duplication of resources.</p>	<p><b>Outcome 3 – Future shape of voluntary sector infrastructure</b></p> <ul style="list-style-type: none"> <li>- Articulation of the needs of London as a whole in forums on the future of the third sector in the Capital (while ensuring the differing needs of areas/regions of London are recognised)</li> <li>- Boroughs' differing strategic approaches to third sector are analysed and shared for boroughs and third sector organisations</li> </ul> <p><b>Outcome 5 – Demonstrable Borough Benefit</b></p> <ul style="list-style-type: none"> <li>- Boroughs have evidence needed to determine whether the needs of their residents and locality are being met by the collaborative work with each other and with independent funders; leading, if appropriate, to more opportunities for joint commissioning</li> </ul>
<p><b>3. To work in partnership with City Bridge Trust regarding the distribution of funding</b></p>	<p>To establish governance arrangements of a central pot of funding (c£1.5m plus potential</p>	<p>Membership of a board influencing funding for support services to the infrastructure organisations, to help shape any future</p>	<p><b>Outcome 6 – Strategic Partnership with Independent funders</b></p> <ul style="list-style-type: none"> <li>- Borough needs are articulated</li> </ul>

Aims	Objectives - short term 1-6 months	Objectives - Longer Term 6 months +	Outcomes - one year
<p><b>for support services to the third sector reflecting on local knowledge and strategic issues</b></p>	<p>additional funding from other funders) and define London Councils' role, on behalf of the boroughs.</p> <p>London Councils to work actively with City Bridge Trust to help shape their support to third sector organisations as part of their Investing in Londoners programmes.</p> <p>To gather intel on local issues, approaches, concerns, gaps and needs and an analysis of lessons learnt from London Councils London-wide commissioning of regional infrastructure to inform the London pool.</p>	<p>available funding for London third sector.</p> <p>To collaborate on piloting approaches of support to infrastructure organisations.</p> <p>To analyse the views of boroughs on third sector support and articulate said views and analysis of lessons learnt on London Councils previous London-wide commissioning to a London pool (City Bridge Trust and other independent funders).</p> <p>To be the facilitators of the relationship between the London Pool and the boroughs.</p> <p>To collaborate on drawing up a model of performance management to measure the implementation of this area of work.</p>	<p>to independent funders, helping them to develop strategy to address those needs.</p> <ul style="list-style-type: none"> <li>- London Councils has clear role in governance on behalf of boroughs</li> </ul> <p><b>Outcome 7 – Stronger Communities</b></p> <ul style="list-style-type: none"> <li>- London's third sector infrastructure is provided with support which can be demonstrated to meet the needs of the boroughs and their residents and workers.</li> <li>- All civil society support provided identifies problems as well as act as a stimulus for change; leading to a stronger, more resilient third sector and increased economic, social and environmental development.</li> </ul> <p><b>Outcome 8 – Borough Influence</b></p> <ul style="list-style-type: none"> <li>- Any London pool of funding for Voluntary sector infrastructure is fully informed by boroughs' needs.</li> </ul> <p><b>Outcome 9 – Stronger Sector</b></p>

Aims	Objectives - short term 1-6 months	Objectives - Longer Term 6 months +	Outcomes - one year
			<ul style="list-style-type: none"> <li>- Through this funding pool, support is commissioned to enable local communities to become more resilient by a capable, stable third sector.</li> </ul>

## Grants Committee

### Grants Programme 2017-21 Update Report      Item      13

**Report by:** Katy Makepeace-Gray    **Job title:** Principal Programme Manager  
**Date:** 12 July 2017  
**Contact Officer:** Simon Courage  
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#### Summary

At its meeting 8 February 2017 Grants Committee agreed funding to 13 commissions under the following two priorities:

Priority 1 Combatting Homelessness

Priority 2 Tackling Sexual and Domestic Violence

Commissions were agreed for the period 2017-21, subject to delivery, compliance to grant conditions and continued availability of resources. This followed an extensive Grants Review process which concluded in March 2016 and a robust application process. Both the Grants Review and application and award processes were in line with the Commissioning Performance Management Framework, of which the revised version was agreed by members of Grants Committee at their February 2017 meeting.

At its meeting 6 July 2016 members of the Grants Committee agreed funding to six commissions under the following priority:

Priority 3 Tackling Poverty Through Employment.

This Priority is half funded by boroughs' contributions to the Grants Programme (£1m per year), matched by £1m from London Councils European Social Fund (ESF) Programme under an agreement with the Greater London Authority (GLA) (the ESF timetable is not aligned with that of the Grants Programme).

This report provides members with an update on the three priorities of the Grants Programme.

For Priority 1 and 2 this represents an update at the end of the first quarter. It provides an overview of the key themes that were raised in the Grants Review and how these have been

implemented in the grant agreement process and first quarter's delivery. Delivery information will not be available to this meeting, due to the timing of the meeting, and the first two quarters delivery will be presented to the November meeting of this Committee.

## **Recommendations**

Members are asked to:

1. Note the update provided by officers on the process, including robust due diligence, for entering into grant agreement with Priority 1 and 2 providers as set out in section two.
2. Acknowledge the pro-active work of providers under Priority 1, Combatting Homelessness, in arranging a launch event, which will take place on 4 October 2017 (invitations will be sent out to Grants Committee members in due course). Further details are provided in paragraph 4.12.
3. Note the progress of Priority 3: Tackling Poverty through Unemployment, in section five.
4. Endorse the approach outlined in section four to address the issues raised in the Grants Review during the grant agreement process. The process is in line with the Commissioning Performance Management Framework, agreed by members in February 2017 and focuses on value for money, linking of priorities, pan-London delivery (covering differing issues faced by inner and outer London), borough engagement, robust outcomes and equalities implications.
5. Note the planned request to Leaders' Committee, (following support from the Chair and Vice Chairs of Grants Committee) to administer £100,000 per year for two years on behalf of the Mayor's Office for Policing and Crime (MOPAC) to enhance training to front-line professionals on identifying harmful practices, as set out in section six. This reflects the strong relationship between London Councils and MOPAC, and supports the Grants Programme principles of non-duplication and complementary services.

## 1. Background

- 1.1 Following recommendations from Grants Committee, Leaders' Committee considered a report on the future of the London Councils Grants Programme at its meeting on 22 March 2016 and agreed that there should be a Grants Programme from April 2017 to March 2021, operating in accordance with the current principles and focused on the following priorities -

Priority 1 Combatting Homelessness

Priority 2 Tackling Sexual and Domestic Violence

Priority 3 Tackling Poverty through Employment (European Social Fund match funded).

- 1.2 Following this an application and award process was undertaken for Priority 1 and 2, with the involvement of borough officers and members of the Grants Committee at key stages, as well as other key stakeholders. At its meeting 8 February 2017 Grants Committee agreed funding to 13 commissions for the period 2017-21, subject to delivery, compliance to grant conditions and continued availability of resources. These awards are summarised in Table One below.

*Table One: London Councils Grants Programme 2017-21*

Service Area	ID	Organisation	Annual Grant Amount
1.1	8252	Shelter - London Advice Services	£1,003,495
	8254	St Mungo Community Housing Association	£251,378
1.2	8259	New Horizon Youth Centre	£1,008,338
1.3	8257	Homeless Link	£120,239
	8258	Standing Together Against Domestic Violence	£88,977
<b>Priority 1: Combatting Homelessness</b>			<b>£2,472,427</b>
2.1	8262	Tender Education and Arts	£265,000
2.2	8269	Solace Women's Aid	£1,425,238
	8266	Galop	£146,318
	8268	SignHealth	£148,444
2.3	8275	Women's Aid Federation of England (Women's Aid)	£314,922
2.4	8245	Ashiana Network	£840,000
2.5	8271	Women's Resource Centre	£240,783
2.6	8276	Asian Women's Resource Centre (AWRC)	£320,000
<b>Priority 2: Tackling Sexual and Domestic Violence</b>			<b>£3,700,705</b>
<b>Total</b>			<b>£6,173,133</b>

## 2. Grant Agreement and Due Diligence Progress

- 2.1 Following the decision to award funding, officers have worked with providers to complete grant agreements with lead providers. The process is outlined in the Commissioning Performance Management Framework, agreed by members in February 2017. It incorporates a number of actions including, a meeting with each provider to outline expectations, grant conditions, role and

requirements of lead partner and sub-partners and to agree the profiled targets per quarter. In addition targets are agreed per quarter for new users, outcomes, and borough spread as well as activities (outputs) and evidence. The agreed targets are included in the grant agreements and form the basis for each provider to report back delivery at the end of each quarter. Officers also check provider policies against the minimum standards set out in the provider handbook (including safeguarding policies and partnership agreements).

- 2.2 Officers have adopted a robust approach to the signing of agreements in order to minimise risk to the Programme and ensure targets are robust and appropriate. This approach prohibits the release of grants agreements for sign off until all relevant documents have been received. This includes the partnership agreements, which are of particular importance given the programme includes some large and complex partnerships. The 13 grant agreements are now completed and signed by the Director.
- 2.3 Targets have been set for the first two years of grant only, to take account of the request of members to review towards the end of year two to ensure commissions remain relevant and appropriately focused on changing need. This has been welcomed by providers who have expressed the desire for flexibility during the lifetime of the programme to ensure emerging needs are captured in reviewed targets.
- 2.4 Alongside this process officers have amended policies, procedures, and key documents such as the grants agreement and provider handbook to incorporate the issues raised during the Grants Review as set out below, as well as changes in legislation, such as the GDPR which comes into force in May 2018.
- 2.5 As part of the grant agreement process providers have submitted revised budgets, work plans and targets where the award of funding was lower than the requested level of funding. Officers have assessed these to ensure that any reductions to delivery are proportionate to the reduction to the requested funding level. Where possible, providers have been able to make savings in the administrative elements of their budget to ensure that the impact to service delivery is minimised. For the Women's Resource Centre, Shelter and Homeless Link, officers sought the views of borough officers prior to the Grants Committee to gauge which elements of delivery should be prioritised when amending the workplan and targets. These have been addressed at the grant agreement stage.
- 2.6 Other specific conditions relating to each award were outlined in the report agreed by members on 8 February 2017 (Item 4, Appendix 1). Examples of this include, working towards a sector relevant quality standard and close liaison with relevant borough officers. These conditions have been included in the grants agreements, with a response from the provider on how these

conditions will be met. Activity will be monitored on a quarterly basis. Members of the Grants Committee agreed for DVIP to join the Asian Women's Resource Centre (AWRC) partnership to provide a joined-up approach to tackling harmful practices. AWRC and DVIP have worked together to adjust the budget, workplan and targets to incorporate DVIP into the partnership. This has now been undertaken and AWRC have signed up to a profile of delivery as the lead partner which includes targets which will be delivered by DVIP.

- 2.7 Key challenges have included the need to ensure that all documentation and procedures were updated to address Grants Review issues and take account of incoming legislation whilst needing to get projects into grant agreement as soon as practicable to ensure there was not a delay to delivery. In order to mitigate delays, officers advised providers that they could start projects at their own risk, with payments only released once the grant agreement was in place. Most providers adopted this approach.

### **3. Delivery Progress**

- 3.1 Delivery information will be reported to the November meeting of the Grants Committee. This is due to the timing of this meeting and the timing of the first quarter's returns. Members are provided with some highlights of activities during the first quarter below.
- 3.2 Shelter leads a partnership funded under Priority One: Combatting Homelessness. The partnership has proactively adjusted its delivery in the weeks following the Grenfell Tower tragedy and the subsequent evacuation of residents from other tower blocks. Amongst a range of activities Shelter has been delivering advice and advocacy at the Westway Emergency Centre. The project has also been liaising with the community (including faith groups and new local community groups) to reach people who feel more secure in smaller community settings, to ensure all can access housing advice. In this way the project has reached out to people who are worried about their situation and are anxious about engaging with statutory services.
- 3.3 Women's Aid leads a partnership funded under Priority Two: Tackling Sexual and Domestic Violence. The partnership has delivered a range of support including helpline support, through the London element of the National Domestic Helpline and has supported the placing of victims in emergency refuge accommodation through its UKROL database. The project includes a data collection element designed to provide boroughs, and key stakeholders, such as MOPAC with data quarterly, to enable a more coordinated approach to refuge provision in London. Women's Aid has held the first of a number of meetings to ensure that this data is robust and relevant. The

meeting was attended with representatives from providers, London Councils, boroughs and MOPAC.

#### **4. Addressing issues raised in the Grants Review**

- 4.1 As outlined above a number of themes emerged during the London Councils Grants Review July 2015 - March 2016. These included the need for commissions to reflect increasing need in outer London, the need to tackle the interrelated issues of poverty and homelessness, and homelessness and sexual and domestic violence. In addition commissions would need to have robust SMART outcomes, to deliver a highly focused service that does not duplicate, but links well with and complements local provision. These issues were addressed through the service specifications (co-produced with boroughs) and were reflected in the recommended applications and specific conditions of grant.
- 4.2 The following sets out the key issues raised in the Grants Review and how these have been addressed in the grants agreement stage, in line with the Commissioning Performance Management Framework. All providers have been made aware of these issues and new sections of the provider handbook have been drafted on how these will be addressed. Members are asked to endorse this approach

#### **Robust Outcomes**

- 4.3 The Principles of the London Councils Grants Programme agreed by Leaders' Committee in 2012 focus on the funding of outcomes, not organisations. This issue was drawn out in the Grants Review as one that needed to be strengthened. Grants team officers worked with borough officers and key stakeholders to ensure the standard outcomes in the specifications were robust, SMART and clearly demonstrated the aims of the specifications. An example of this is the focus on sustained tenancies in the service area 1.1, reflecting the change in availability of housing since 2013 and the need to re-focus the service on sustaining service users in their tenancies.
- 4.4 The grant agreement process has established quarterly targets against each of the London Councils standard outcomes for each provider. Officers have also ensured that project outcomes targets and focus of service delivery addressed issues raised by borough officers, members and stakeholders during the process. An example of this is with a project funded under service area 2.2 led by Solace Women's Aid. In the design stage of the programme, borough officers had been keen to ensure that the service fitted well with borough provision and reflected changes in the needs of service users that indicated users would benefit from extending the length of service

delivery. This was incorporated in the application from Solace Women's Aid and was further strengthened during the grant agreement process.

- 4.5 Policies and processes have also been adjusted to ensure a greater focus on robust SMART outcomes. The Commissioning Performance Management Framework agreed by members in February 2017 includes details of the Red, Amber, Green (RAG) rating performance management system which will be used to measure the performance and risk levels of projects. Officers are currently amending the weighting of the various measures that make up the RAG score as outlined in table two below to place a greater emphasis on delivery of outcomes.

*Table Two: Proposed Changes to the Weighting of the RAG Rating System*

	2013-17 weighting	2017-21 adjusted weighting
Delivery against cumulative targets	60	70
Self assessment of quality	10	5
Participant satisfaction	10	5
Contract compliance	20	20
Total	100	100

### **Value for Money**

- 4.6 London Councils Grants Programme administers public money on behalf of, and with, the London boroughs and therefore must ensure value for money. Local authorities have a duty to "make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness"<sup>1</sup>. Value for money is deemed as the optimal use of resources to achieve the intended outcomes. The model focuses on three 'E's outlined below.

- **Economy:** minimising the cost of resources used or required (inputs);
- **Efficiency:** the relationship between the output from goods or services and the resources to produce them; and
- **Effectiveness:** the relationship between the intended and actual results of public spending (outcomes)<sup>2</sup>

The Commissioning Performance Management Framework sets out the ways in which the 'three Es' are embedded in each stage of the commissioning cycle.

<sup>1</sup> Section 3 of the Local Government Act 1999 (as amended by s137 of the Local Government & Public Involvement in Health Act 2007).

<sup>2</sup> National Audit Office

- 4.7 Throughout the grant agreement stage officers have continued to ensure value for money for the programme. As outlined above officers have reviewed revised budgets submitted by providers (in situations where the award of grant was lower than the requested level), to ensure appropriate areas of the budget have been reduced, ensuring continued viability of the project and a strong focus on delivery (Economic, Efficient). The performance management framework sets out a threshold of 15 per cent for overhead costs to ensure the project budget is predominantly focused on delivering activities and achieving outcomes for the boroughs.
- 4.8 Also, as outlined above, officers have ensured that the specific conditions applied to each award are addressed in the grant agreements. These focus on ensuring quality of service, links to borough officers and other specific issues raised by borough officers (Effective). As outlined below the linking of the London Councils priorities will ensure service users achieve more robust outcomes (Effective).
- 4.9 Officers have been undertaking enhanced Due Diligence checks which are designed to provide confidence to Grants Committee that all reasonable action has been taken to assess (and where necessary mitigate) any risks associated with the financial viability and stability/sustainability and capacity of providers (Economic).

#### **Pan-London Delivery (including inner v outer London issues), Complementing Local Delivery and Borough Engagement**

- 4.10 The Principles of the London Councils Grants Programme agreed by Leaders' Committee in 2012 focuses on services that are best delivered at a pan-London level and complement local delivery. This was an issue that was drawn out in the Grants Review as one that needed to be strengthened further in the new programme. Extensive borough involvement in the design and award stages re-focused services on those that are best delivered at a pan-London level and that will support actions being undertaken locally.
- 4.11 The continued involvement of relevant borough officers is an important element of the Commissioning Performance Management Framework (borough triangulation/ co-production). As outlined above, views raised at the design stage by borough officers have continued to influence the grant agreement stage. London Councils officers and providers joined the meeting of the sexual and domestic violence borough officer network in March (MOPAC's VAWG Coordinators network) to launch Priority Two. At the end of the meeting a networking opportunity was provided to allow borough officers and providers to discuss the planned delivery and referral mechanisms. Information about the providers has been provided to borough officers and a fortnightly update report is sent to borough officers to inform them of progress.

- 4.12 Priority 1: Combatting Homelessness providers are planning a launch event on 4 October 2017 at a central London location. Invitations will be sent to members in due course. The event will offer the chance to find out more about the projects, how service users access services and referral mechanisms. Relevant borough officers and members will be invited to the event as well as other key stakeholders and other providers. The aim is to raise awareness and encourage greater cross-sector working.
- 4.13 Issues relating to the different needs in inner and outer London were raised during the Grants Review. Needs based targets were set by Grants Committee in the specifications and these have a greater allocation of delivery to outer London boroughs. This was presented in the maps provided in appendix 4 to Item 4 at the February meeting of the Grants Committee. These are included as targets in the grant agreement and will be monitored and progress reported to Grants Committee (please see Item 14 in terms of the format of borough reporting). In addition service delivery is focused on challenges that affect outer London boroughs such as addressing increased levels of rough sleeper hotspot encampments and also Private Rental Sector repossessions in outer London, which Shelter will address.

### **Linking priorities**

- 4.14 The Grants Review drew out the importance of tackling interrelated issues which pointed towards greater linkage between the priorities, in particular the interrelated issues of homelessness and unemployment and homelessness and sexual and domestic violence. The 2017-21 Programme has been developed to ensure a three-fold approach to addressing this issue.
- 4.15 Firstly, the specifications include an additional focus on outcomes that relates to one of the other priorities. These include the introduction of homelessness targets for the Priority 3 Poverty specifications. For example, a target is set for 269 (6%) of Priority 3 beneficiaries that receive 12+ hours of support to be homeless, and 133 (3%) of those that are into employment on leaving the project to be homeless. In addition, activities to tackle unemployment are included in the Priority 1 Combatting Homelessness grant agreement targets, and housing advice in a number of the Priority 2 Sexual and Domestic Violence grant agreements.
- 4.16 Secondly, there have been links made between the priorities. For example, Priority 3 and Priority 1 providers and Priority 1 and 2 providers have referral mechanisms built into their grant agreements (or to alternative unemployment or in house provision where relevant). In addition, Priority 1 and Priority 2 providers have set up a group 'London Councils Homelessness and

Domestic Abuse Network' which has met twice already to build links between the two priority areas.

- 4.17 Thirdly the role of the second tier services embedded in Priorities 1 and 2 (service 1.3 and 2.5) includes making a link between the two priorities. For example, Standing Together Against Domestic Violence provides a joined-up approach in supporting housing associations and housing officers to improve their response in terms of sexual and domestic violence.

### **Equalities**

- 4.18 The principles of the Grants Programme set out a commitment to commission services that work with statutory and non-statutory partners to meet the objectives of the Equality Act 2010. The Grants Review considered a wide range of equalities implications relating to setting the priorities of the programme in March 2016. The priorities of the Grants Programme agreed by Leaders' Committee have a strong equality focus as they impact the most disadvantaged in society and are areas that are overrepresented by particular equalities groups. In addition, the priorities focus on issues that are difficult for boroughs to address at a local level (due to small numbers per borough and in some cases relate to people moving across London to flee violence).
- 4.19 The awards of funding made in February 2017 were made in the context of the equalities implications, outlined in the reports considered by members. London Councils lead member for equalities endorsed the approach to ensuring equalities measures are built into the grants programme. A number of the commissions have a specific equalities focus (for example, SignHealth provides support to deaf/hearing impaired victims of sexual and domestic violence), and other commissions have sub-partners with a specific equalities focus (for example, the sub-partner Stonewall Housing under the Shelter led partnership focuses on LGBT service users). Officers have continued with this approach during the grant agreement stage. During the delivery phase, providers will provide equalities monitoring data as part of their quarterly returns. These categories have been revised on the advice of specialist organisations.

## **5. Priority 3 Tackling Poverty Through Employment**

- 5.1 Priority 3: Tackling Poverty Through Employment, is half funded by boroughs' contributions to the Grants Programme (£1m per year), matched by £1m from London Councils European Social Fund (ESF) Programme, under an agreement with the Greater London Authority (GLA).
- 5.2 It is important to note that the ESF timetable is not completely aligned with that of the 2017-21 Grants Programme. For example, delivery started in the latter part of 2016 and is scheduled to complete in 2018. Additionally, the terms and conditions for the delivery of ESF funded provision

are substantially different to the borough grants programme, and include strict conditions laid out in ESF national guidance.

- 5.3 This priority seeks to address poverty by providing access to employment for job-seekers and economically inactive people and by improving the employability and skills of the unemployed and economically inactive. In addition to employment, sustained employment and education outcomes, and to ensure complementarity with Priority 1 Homelessness, poverty providers have additional targets (and funding incentives) for outcomes for those who are homeless. Providers are also working with specialist organisations (St Mungo's and Centrepont) to encourage referrals and support robust engagement strategies to target the most vulnerable.
- 5.4 Five providers are delivering this pan-London priority across six geographical clusters – Citizens Trust, LTEN, MiCompute Solutions, Paddington Development Trust and Redbridge CVS. To date, over 400 participants have been engaged and have received personalised employment support. Quarter 2 reports and claims are due in the first week of July and initial (yet to be validated) figures from providers indicate that 70 participants have gained employment.

## **6. MOPAC funding opportunity: tackling harmful practices**

- 6.1 London Councils has worked closely with the Mayor's Office for Policing and Crime (MOPAC) on the development of Priority 2 in the design and award stages. Following the award of grants to Priority 2 commissions in February 2017, MOPAC officers approached London Councils officers to discuss the potential of providing additional funding to enhance London Councils service area 2.6 which focuses on harmful practices. This follows the MOPAC 2015-17 Harmful Practices Pilot that aimed to improve the way agencies identify and respond to a series of harmful practices against women and girls.
- 6.2 MOPAC is keen to avoid duplication of support and ensure complementarity with the London Councils Grants Programme. Consequently, MOPAC has asked that the available funding be managed under a partnership arrangement by the Employment and Inclusion Team to complement the Section 48 Grants Programme and provide additional resources for training front-line staff in statutory and voluntary services to identify harmful practices and take appropriate action.
- 6.3 Members are asked to note the planned request to Leaders' Committee to administer £100,000 per year for two years on behalf of the Mayor's Office for Policing and Crime (MOPAC). This is on the basis that London Councils is providing a service to the GLA as the legal entity and public authority responsible for MOPAC. In order to establish this arrangement the Chair and Vice

Chairs of this committee endorsed a report to be submitted to Leaders' Committee. Performance will be monitored with MOPAC and will be reported to Grants Committee as information relating to the London Councils Grants Programme funded commission.

- 6.4 This reflects the strong relationship between London Councils and MOPAC, and supports the Grants Programme principles of non-duplication and complementary services. The performance will be monitored with MOPAC and will be reported to Grants Committee as information relating to the London Councils Grants Programme funded commission.

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## **Recommendations**

Members are asked to:

1. Note the update provided by officers on the process, including robust due diligence, for entering into grant agreement with Priority 1 and 2 providers as set out in section two.
2. Acknowledge the pro-active work of providers under Priority 1, Combatting Homelessness, in arranging a launch event, which will take place on 4 October 2017 (invitations will be sent out to Grants Committee members in due course). Further details are provided in paragraph 4.12.
3. Note the progress of Priority 3: Tackling Poverty through Unemployment, in section five.
4. Endorse the approach outlined in section four to address the issues raised in the Grants Review during the grant agreement process. The process is in line with the Commissioning Performance Management Framework, agreed by members in February 2017 and focuses on value for money, linking of priorities, pan-London delivery (covering differing issues faced by inner and outer London), borough engagement, robust outcomes and equalities implications.
5. Note the planned request to Leaders' Committee, (following support from the Chair and Vice Chairs of Grants Committee) to administer £100,000 per year for two years on behalf of the Mayor's Office for Policing and Crime (MOPAC) to enhance training to front-line professionals on identifying harmful practices, as set out in section six. This reflects the strong relationship between London Councils and MOPAC, and supports the Grants Programme principles of non-duplication and complementary services.

### **Financial Implications for London Councils**

Funding for commissions was agreed at the meeting of the Grants Committee in February 2017, within the budget envelope agreed at London Councils Leaders' Committee in November 2016.

### **Legal Implications for London Councils**

None

### **Equalities Implications for London Councils**

London Councils' funded services provide support to people within all the protected characteristics (Equality Act 2010), and in particular targets groups highlighted as particularly hard to reach or more affected by the issues being tackled. Funded organisations are also required to submit equalities monitoring data, which can be collated across the grants scheme to provide data on the take up of services and gaps in provision to be addressed. The grants team reviews this annually. Equalities information is set out in section three.

### **Background Documents**

London Councils Grants Programme 2017-21, Item 4, London Councils Grants Committee, 8 February 2017

London Councils Grants Programme 2017-21, Item 4 London Councils Grants Committee, 9 March 2016

## Grants Committee

### Commissioning Performance Management Framework: Item 14 Grants Committee Reporting Plan 2017-18

**Report by:** Katy Makepeace-Gray **Job title:** Principal Programme Manager  
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#### Summary

At its meeting on 8 February 2017, members of the Grants Committee agreed a revised Commissioning Performance Management Framework. The framework sets out how the 2017-21 Grants Programme will be managed to ensure it meets the principles of the programme, delivers value for money and reflects the needs of boroughs. The framework relates to all three Grants Programme priorities:

- Priority 1: Combatting Homelessness
- Priority 2: Tackling Sexual and Domestic Violence

The third priority - Priority 3: Tackling Poverty through Employment - is managed following European Social Fund requirements. However, the principles of the framework and the majority of the processes outlined in the framework are the same for all the priorities, including performance monitoring and reporting to the Grants Committee. For Priority 3 this includes reporting against the agreed outcome targets for each borough.

This report provides further information on the framework in terms of the planned reporting to Grants Committee and other ways in which officers will ensure borough input and oversight.

#### Recommendations

Members are asked to:

1. Agree the approach to reporting, which is based on the Commissioning Performance Management Framework (agreed by members in February 2017) and the draft reporting timetable outlined in **Appendix One**.
2. Note in Section 2 the agreed improvements in performance reporting, which will in future include an annual Equalities Audit and report by

borough, as well as thematic reviews to provide improved oversight of the outcomes and impact of the overall programme to Members and boroughs.

3. Discuss the suggestion to have the first thematic review at the November Grants Committee focused on No Recourse to Public Funds, how this issue is addressed through the programme and the wider context in London, as outlined in paragraph 3.3. Also discuss future ideas for thematic reviews.

## **1 Background**

- 1.1 London Councils administers public funds on behalf of the boroughs and it is therefore essential that grants awarded by London Councils deliver value for money, evidenced through scrutiny and evaluation of funding. In February 2013 members of the Grants Committee agreed a new monitoring framework, the Commissioning Monitoring Arrangements (CMA) report, which set out how the 2013-17 Grants Programme would be managed.
- 1.2 From July 2015 to March 2016 London Councils undertook a Grants Review seeking the views of London borough members and relevant officers as well as other stakeholders. The review examined the principles and priorities of the programme, but also reviewed the way in which the programme was administered and monitored and the management of performance and risk. The findings from this review were reflected in revisions to the CMA report, as well as audit recommendations and advice from relevant stakeholders.
- 1.3 At its meeting on 8 February 2017, members of the Grants Committee agreed a revised Commissioning Performance Management Framework (CMPF). The Framework sets out how the 2017-21 Grants Programme will be managed to ensure it meets the principles of the programme, delivers effectively the outcomes set out in the London Councils service specifications, delivers value for money, addresses equalities issues, reflects the needs of boroughs and is flexible and responsive to changing need in London.

## **2 2017-21 Reporting Plan**

- 2.1 The CMPF report, agreed by members in February 2017, outlines a reporting plan as follows. The Grants Committee will receive reports on progress made towards the commissioned outcome objectives, as outlined in the service specifications agreed by the Grants Committee and as set at the beginning of the programme with providers. These will provide an overview of overall activities, outputs and results delivered and expenditure committed. A RAG rating for each grantee will be provided. The reports will flag up any groups where there are issues or concerns and the actions being undertaken to address these concerns. The reports will be informed by the performance management tools set out in the CMPF report including quarterly and annual monitoring returns, monitoring visits, assessment of financial information and accounts and other due diligence checks.

- 2.2 An annual review will provide information on annual performance against targets as well as ensuring the programme remains in line with the principles, priorities and any issues that are raised in the review of the programme.<sup>1</sup> Members will be provided with an annual equalities audit of the programme as well as an annual report for each borough, providing information on the impact of the programme in that borough.
- 2.3 In addition to the overarching reporting on progress, the Grants Committee will receive an annual cycle of thematic reviews to scrutinise delivery against each of the 2017-21 grant programme's priorities and in the context of the wider environment. A relevant provider will be selected to give a presentation to the meeting. These meetings will also look at the links between the providers and local officers. London Councils portfolio holders will also be invited to attend these meetings, where relevant. It is anticipated that Chair and Grants Committee Members monitoring visits will coincide with the thematic reviews.
- 2.4 The Grants Committee will be provided with case studies that highlight any areas of good practice or success, and lessons learned where projects need to adjust their delivery to ensure the best outcomes for beneficiaries, to ensure members get a balanced view of both challenges and successes.
- 2.5 A draft plan of potential committee reports is outlined at **Appendix One** of this report. **Appendix Two** provides an example of the borough level reporting that officers anticipate using based on the maps used in the awards of grant report considered at the February 2017 meeting of the Grants Committee. The February awards report (Grants Committee, 8 February 2017, Item 4, Appendix 4) sets out the needs based targets that were used in the service specifications and officer recommendations for adjustments based on the application process.

### **3 Grants Committee, November 2017**

- 3.1 Delivery information relating to the first two quarters of the new programme will be provided to the Grants Committee in November 2017. Members are asked to note that it is anticipated that for the first quarter delays in setting up projects may impact delivery. In addition, the Red Amber Green (RAG) rating system outlined below has been amended to place greater emphasis on delivery of outcomes. These two factors may increase the number of amber or red rated projects in the early stages of delivery. Officers will provide commentary on this and any issues that negatively impact delivery.

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<sup>1</sup> For the 2017-21 Programme these are the issues raised in the 2015-16 Grants Review including need in outer London, pan-London services that complement local services, linking of priorities, robust outcomes and value for money.

- 3.2 Members are also asked to note that the performance reports submitted to the November 2017 meeting of the Grants Committee will be the first under the new programme. Officers will welcome feedback at that stage to ensure reporting meets the needs of the Grants Committee going forward.
- 3.3 As outlined above officers are proposing to feature thematic reviews at future Grants Committee meetings. These will focus on areas that stretch across the priorities and take account of the wider environment. A suggestion was raised at the February meeting of the Grants Committee to focus the first thematic review on No Recourse to Public Funds and the implications that this has for the Grants Programme Priorities and the wider context in London. Members are asked to agree this theme and discuss other topics for thematic reviews.
- 3.4 The reporting framework outlined in this section aims to strike a balance between reporting overall progress towards the objectives of the 2017-21 Grants Programme and exception reporting of areas of particular concern and success. The plan addresses a number of key themes outlined below.

#### **4 Risk based approach (Red, Amber, Green (RAG))**

- 4.1 Officers will use a performance rating calculator for individual providers that covers several aspects of delivery including:
- i. Performance (delivery against target outcomes (70 per cent of score))
  - ii. Quality (10 per cent of score) (provider self-assessment (annual) and client satisfaction)
  - iii. Compliance (20 per cent of score) (timeliness and accuracy of claims and reporting, responsiveness and the proactive management of risk)
  - iv. Organisational due diligence check (annually)
- 4.2 In response to the views expressed by boroughs during the Grants Review for the need for a greater focus on robust outcomes, officers have adjusted the weighting of the RAG criteria to place greater emphasis on delivery against outcomes targets.
- 4.3 In line with the three values of regularity, propriety and value for money the framework is based on a risk-based approach with levels of performance management varied depending on levels of risk. This approach will also be replicated in the way that officers report to Grants Committee, providing greater levels of commentary on service areas or commissions where there are issues preventing the successful delivery of the outcomes of the London Councils service specification.

The CMPF report outlines measures to be taken with providers that are causing concern including a framework that guides how issues are escalated up the officer structure, to the Chair, Grants Executive and Grants Committee.

## **5 Flexible to changing needs**

- 5.1 Members have requested that the Grants Programme is responsive to changing needs in London. For this reason, officers have set targets with providers for the first two years of the programme only. During year two officers will review these targets to ensure they remain both robust and relevant, and will review the datasets that inform the needs based borough targets. In addition, the programme is intended to be flexible within a shorter timeframe. Under the terms of the framework officers can make adjustments to profiles; depending of the degree of the change these adjustments will be decided at officer, Chair or Grants Committee level. An illustration of the flexibility of the programme is the way in which Shelter proactively adjusted its delivery in the weeks following the Grenfell Tower tragedy as outlined in the update on the 2017-21 Grants Programme report on this agenda.

## **6 Listening to Boroughs**

- 6.1 A key aspect of the 2012 (2016 re-affirmed) Grants Committee agreed Principles is to deliver services that are best suited to pan-London delivery, that complement local services. Central to this is the borough triangulation approach outlined in the CMPF report. As well as reporting to Grants Committee, officers will provide regular updates to relevant borough officer networks.
- 6.2 It is important that borough officers are kept up to date with programme progress and that they are aware of and engage with the London Councils services being delivered locally to support the key target groups for the grants programme. To this end, the London Councils grants team will share Grants Committee reports at the point of publication with relevant borough officer networks.
- 6.3 In addition, officers will undertake an annual survey of relevant borough officers to ensure the services are working well with local provision and meeting residents' needs. Where borough officers have concerns about the provision being offered through the grants programme, they will be invited to make a formal report and attend monitoring visits or feedback sessions with London Councils' staff. Further information on borough engagement is outlined in Item 12 of this agenda.

## **Appendices**

Appendix One                Grants Committee draft reporting plan

Appendix Two              Example Boroughs Reporting Maps

## **Recommendations**

Members are asked to:

1. Agree the approach to reporting, which is based on the Commissioning Performance Management Framework (agreed by members in February 2017) and the draft reporting timetable outlined in **Appendix One**.
2. Note in Section 2 the agreed improvements in performance reporting, which will in future include an annual Equalities Audit and report by borough, as well as thematic reviews to provide improved oversight of the outcomes and impact of the overall programme to Members and boroughs.
3. Discuss the suggestion to have the first thematic review at the November Grants Committee focused on No Recourse to Public Funds, how this issue is addressed through the programme and the wider context in London, as outlined in paragraph 3.3. Also discuss future ideas for thematic reviews.

## **Financial Implications for London Councils**

None

## **Legal Implications for London Councils**

None

## **Equalities Implications for London Councils**

London Councils' funded services provide support to people within all the protected characteristics (Equality Act 2010), and in particular targets groups highlighted as particularly hard to reach or more affected by the issues being tackled. Funded organisations are also required to submit equalities monitoring data, which can be collated across the grants scheme to provide data on the take up of services and gaps in provision to be addressed. The grants team reviews this annually. Equalities information is set out in section three.

## **Background Documents**

Commissioning Performance Management Framework, Item 5, London Councils Grants Committee, 8 February 2017

Grants Programme 2017-21, Item 4, London Councils Grants Committee, 8 February 2017

## Appendix One: Draft Grants Reporting Plan

July - Sept 2017	Grants Committee - July AGM (Election of Roles, Operation of GC, Pre-Audited Financial Results 2016/17, Provider Presentation – AWRC, 2017-21 Programme update, Reporting Plan, Leadership in the Third Sector)  September/ October Chair's Visit
Oct - Dec 2017	Grants Committee - November (Month 6 Financial report 2017/18, Budget Report, Year 1 - Q1&2 performance report, Thematic Review -No Recourse to Public Funds), Final report on 2013-17 Programme, Leadership in the Third Sector, Leaders' Budget Report (Funding for Year 2 of new programme). 4 October Priority 1 launch event
Jan- March 2018	Grants Committee - March (Month 9 financial report 2017/18; Year 1 - Q3 Performance Report, Thematic Review, Leadership in the Third Sector)  February Chair's Visit
April - June 2018	Annual borough officers survey  June Chair's Visit
July - Sept 2018	Grants Committee - July AGM (Election of Roles, Operation of GC, Pre-Audited Financial Results 2017-18, Year 1 - Annual Performance Report and Annual Review* and Equalities Audit)  September Chair's Visit
Oct - Dec 2018	Grants Committee - November (Month 6 Financial report 2018/19, Budget Report, Year 2 Q1&2 performance report, Thematic Review) Leaders' Budget Report
Jan- March 2019	Grants Committee - March (Month 9 financial report 2018/19, Year 2 - Q3 Performance Report, Thematic Review)  February Chair's Visit
April - June 2019	Annual borough officers survey
July - Sept 2019	Grants Committee - July AGM (Election of Roles, Operation of GC, Pre-Audited Financial Results 2018-19, Year 2 - Annual Performance Report and Annual Review* and Equalities Audit )
Oct - Dec 2019	Grants Committee - November (Month 6 Financial report 2019/20, Budget Report, Year 3 - Q1&2 performance report, Thematic Review, Mid Programme Review of Targets) Leaders' Budget Report
Jan- March 2020	Grants Committee - March (Month 9 financial report 2019/20, Year 3 - Q3 Performance Report, Thematic Review)
April - June	Annual borough survey

2020	
July - Sept 2020	Grants Committee - July AGM (Election of Roles, Operation of GC, Pre-Audited Financial Results 2019/20, Year 3 - Annual Performance Report and Annual Review*and Equalities Audit )
Oct - Dec 2020	Grants Committee - November (Month 6 Financial report 2020-21, Budget Report, Year 4 - Q1&2 performance report) Leaders' Budget Report
Jan- March 2021	Grants Committee - March (Month 9 financial report 2020-21, Year 4 - Q3 Performance Report)

\*Annual review - Principles, Priorities, Equalities, Grants Review issues, Value for Money

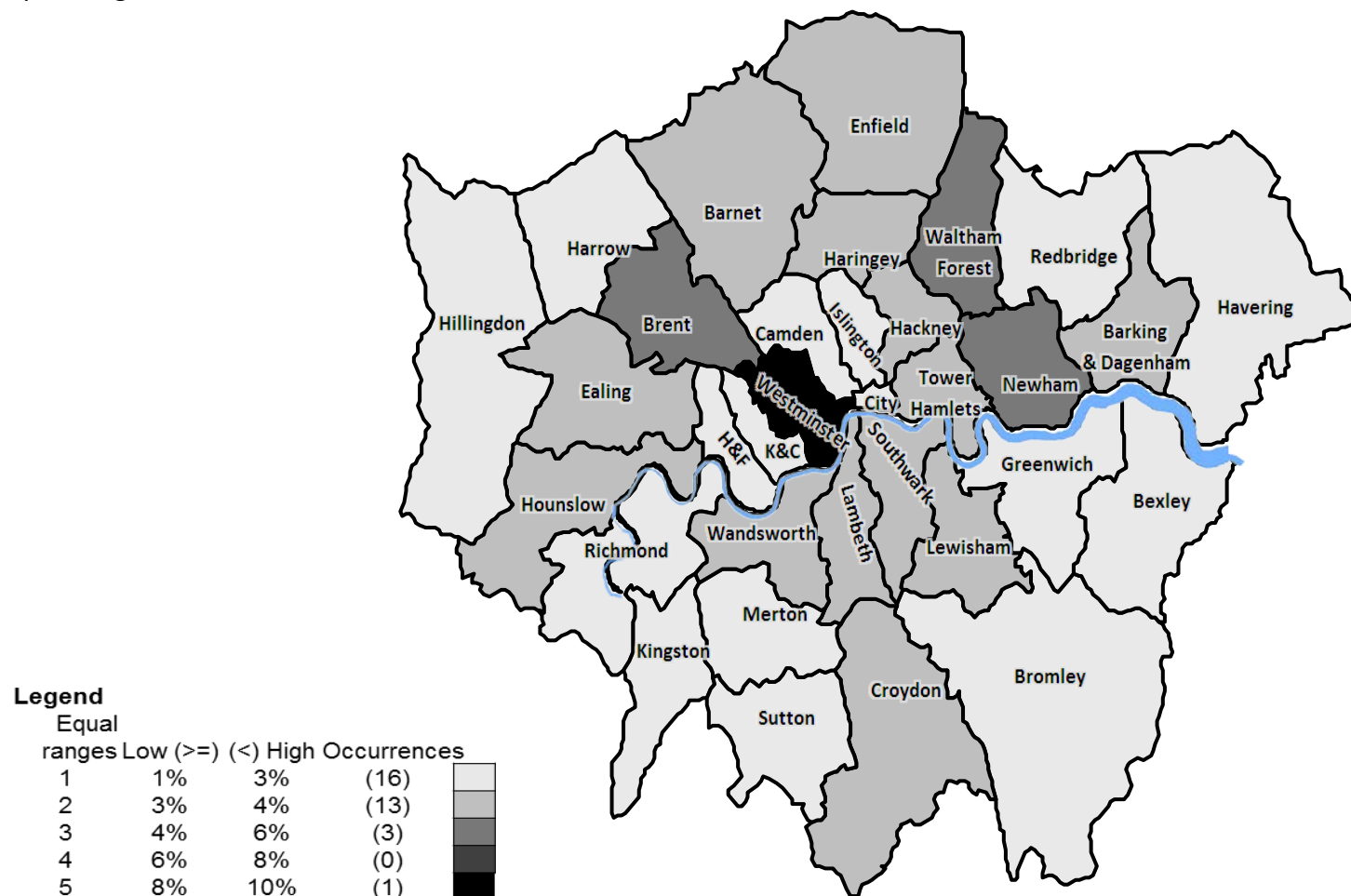
## Appendix Two: Example Boroughs Reporting Maps

# EXAMPLE

### Priority 1 Combatting Homelessness

#### Service Area: 1.1 Prevention and Targeted Intervention

#### Map A: Targets based on need\*



\*The London Councils service specification set out targets based on a combination of Chain rough sleeper data and GLA Health Inequalities Strategy Indicators – 2016

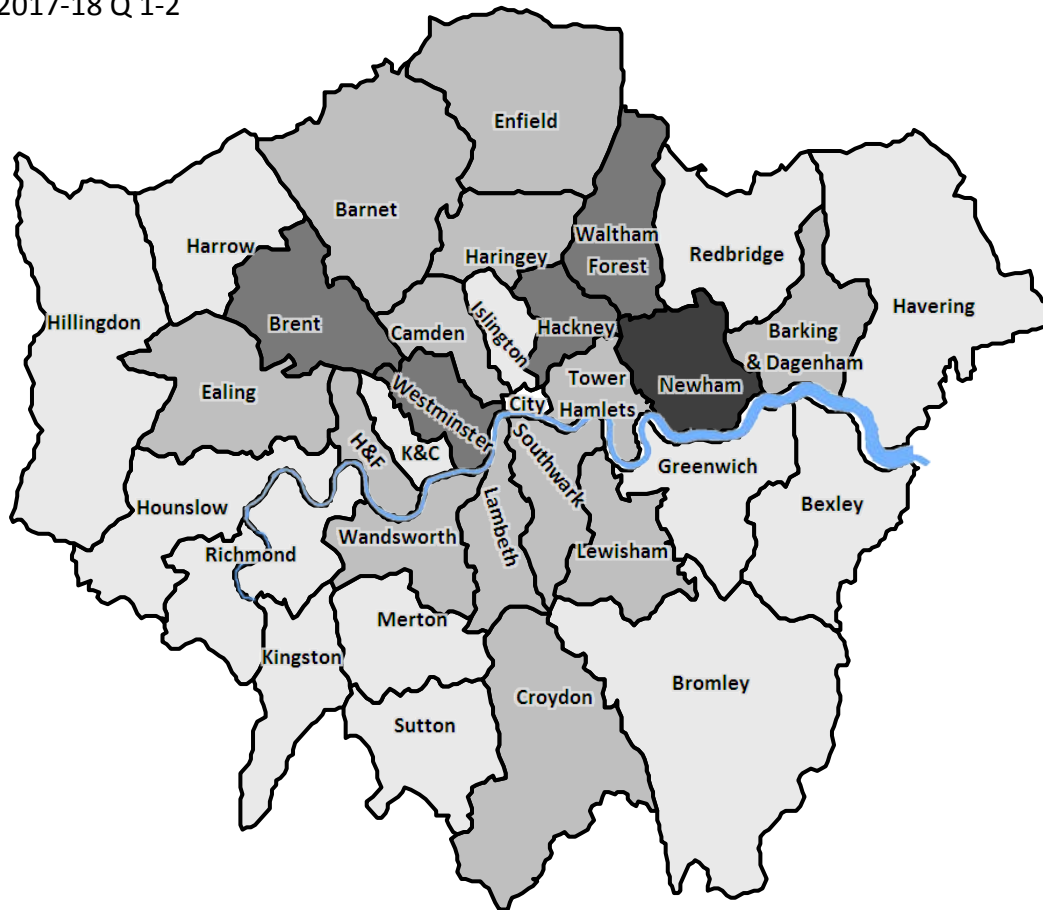
## Appendix Two: Example Boroughs Reporting Maps

# EXAMPLE

### Priority 1 Combatting Homelessness

#### Service Area: 1.1 Prevention and Targeted Intervention

#### Map B: Delivery 2017-18 Q 1-2



	Borough targets	Delivery Q1-2
City of London	1.24%	0.53%
Camden	1.94%	3.12%
Greenwich	1.75%	1.85%
Hackney	4.00%	5.82%
Hammersmith and Fulham	2.41%	3.85%
Islington	2.00%	2.54%
Kensington and Chelsea	2.52%	2.37%
Lambeth	3.22%	3.69%
Lewisham	3.75%	3.74%
Southwark	4.34%	4.39%
Tower Hamlets	3.26%	3.30%
Wandsworth	3.54%	3.17%
Westminster	10.10%	5.91%
Inner London sub-total	44.07%	44.30%
Barking and Dagenham	3.90%	3.73%
Barnet	3.68%	3.83%
Bexley	2.17%	1.78%
Brent	4.86%	4.52%
Bromley	1.94%	2.25%
Croydon	4.13%	3.97%
Ealing	4.42%	3.91%
Enfield	3.47%	3.35%
Haringey	3.15%	4.40%
Harrow	1.35%	1.08%
Havering	0.81%	0.84%
Hillingdon	1.51%	1.55%
Hounslow	2.90%	2.51%
Kingston upon Thames	1.04%	1.04%
Merton	0.68%	0.98%
Newham	6.05%	6.62%
Redbridge	2.14%	1.98%
Richmond upon Thames	1.47%	1.26%
Sutton	1.21%	1.08%
Waltham Forest	5.05%	5.03%
Outer London sub-total	55.93%	56%

# Grants Committee

## London Councils Grants Committee – Item no: 15 Pre-Audited Financial Results 2016/2017

**Report by:** Frank Smith      **Job title:** Director of Corporate Resources

**Date:** 12 July 2017

**Contact Officer:** Frank Smith

**Telephone:** 020 7934 9700      **Email:** frank.smith@londoncouncils.gov.uk

**Summary :** This report details the provisional pre-audited final accounts for London Councils Grants Committee for 2016/17. The summary figures are detailed in the box below:

<b>Revenue Account</b>	<b>Budget £000</b>	<b>Actual £000</b>	<b>Variance £000</b>
Expenditure	10,486	8,632	(1,854)
Income	(10,000)	(8,657)	1,343
Sub-Total	486	(25)	(511)
Net Transfer from Reserves <sup>1</sup>	(486)	(492)	(6)
Reduction in bad debt provision	-	-	-
Deficit/(Surplus) for the year <sup>2</sup>	-	(517)	(517)
<b>Position on reserves</b>	<b>General/Specific Reserves £000</b>	<b>Unusable Reserves £000</b>	<b>Total £000</b>
Audited as at 1 April 2016	1,992	(1,252)	740
Transfer (to)/from revenue	(492)	(71)	(563)
Surplus/(Deficit) for the Year	517	(283)	234
Provisional as at 31 March 2017	2,017	(1,606)	411

<sup>1</sup> Excludes transfers of £72,000 from the Pensions Reserve and £866 to the Accumulated Absences Reserve for the year in 'Actuals'.

<sup>2</sup> Excludes £283,000 Actuarial loss on Pension Fund for the year in 'Actuals'

**Recommendations:** London Councils Grants Committee is asked:

- To note the provisional pre-audited outturn position and the indicative surplus of £517,000 for 2016/17, the final year of the 2013-17 programme; and
  - To note the provisional level of reserves at paragraphs 17-19 and the financial outlook, as detailed in paragraphs 20-23 of this report.
- 

### **Pre-audited Accounts 2016/17**

1. Following the abolition of the Audit Commission Act 1998, with effect from the 2015/16 financial year, London Councils is no longer obliged to produce an annual statutory account to a statutory deadline for each of its three funding streams, as the successor legislation, the Local Audit and Accountability Act 2014, does not apply to joint committees. However, under the London Councils Agreement (as amended), London Councils has on-going obligations to prepare and arrange for the independent audit of the three annual accounts, outside of any statute, and there is still a requirement to submit audited accounts under the Companies Act 2006 for London Councils Limited. As a result of these continuing obligations, the London Councils Audit Committee agreed in March 2015 that London Councils should continue to prepare three separate accounts under the existing Local Authority Accounting Code of Practice and that the accounts should be independently audited and presented to members broadly in accordance with the previous statutory timescale. Following recommendations by the Audit Committee, the Leaders' Committee appointed KPMG LLP as London Councils external auditor for a three year period commencing 1 April 2015.
2. KPMG LLP will, therefore, audit the Committee's accounts for 2016/17 during July 2017 and present the accounts to the Audit Committee, along with the annual audit report, for approval on 21 September 2017. At its November 2017 meeting, the London Councils Executive will be asked to adopt the three audited accounts and the annual audit report, with the Grants Committee being asked to separately adopt the audited accounts for the Grants Committee at its November meeting. This report, therefore, details the provisional financial results prior to audit and provides commentary on the variances against the revised approved budgets for the year – in effect, the format is the same as the revenue forecast monitoring report presented to this Committee three times each financial year at the end of each quarter.

### **Provisional Outturn 2016/17**

3. Members approved the original budget for 2016/17 in November 2015, which was ratified by the Leaders' Committee shortly afterwards in December 2015. Table 1 below compares the provisional outturn figures for income and expenditure for 2016/17, the final year of the 2013-17 programme, against the approved budget for the year. The audited outturn figures for 2015/16 are also shown for comparative purposes.

**Table 1 – Provisional Outturn 2016/17 – Grants Committee**

2015/16 Actual		2016/17 Revised Budget	2016/17 Actual	2016/17 Variance	
£000	Expenditure	£000	£000	£000	%
381	Employee Costs	382	417	35	9.1
63	Running Costs	18	26	8	44.4
95	Central Recharges	155	185	30	19.4
<b>536</b>	<b>Total Operating Expenditure</b>	<b>555</b>	<b>628</b>	<b>73</b>	<b>13.2</b>
7,304	Borough commissioned services	7,505	7,458	(47)	(0.6)
60	Membership fees to London Funders	60	60	-	-
952	ESF commissions – 2013-15	-	-	-	-
-	ESF commissions – 2016+	1,880	-	(1,880)	-
-	One-off payment to boroughs	486	486	-	-
57	Debt write-off	-	-	-	-
<b>8,912</b>	<b>Total Expenditure</b>	<b>10,486</b>	<b>8,632</b>	<b>(1,854)</b>	<b>(17.7)</b>
	<b>Income</b>				
(8,520)	Borough contributions towards commissioned services	(8,445)	(8,022)	423	5.0
(495)	Borough contributions towards the administration of commissions	(555)	(555)	-	-
(494)	ESF Grant – 2013-15	-	-	-	-
-	ESF Grant – 2016+	(1,000)	(63)	937	93.7
(14)	Interest on Investments	-	(17)	(17)	-
(499)	Transfer from Reserves	(486)	(492)	(6)	-
<b>(10,022)</b>	<b>Total Income</b>	<b>(10,486)</b>	<b>(9,149)</b>	<b>1,337</b>	<b>12.8</b>
(57)	Increase/(Reduction) in bad debt provision	-	-	-	-
<b>(1,167)</b>	<b>Deficit/(Surplus)</b>	<b>-</b>	<b>(517)</b>	<b>(517)</b>	<b>-</b>

4. The provisional surplus of £517,000 compares to a forecast surplus of £759,000 at the month 9 stage of the year, as reported to this Committee in February 2017, a reduction of £242,000. As highlighted in the forecast monitoring reports to Committee during the course of the year, a distinction is made between the transactions relating to the borough funded S.48 commissioned services (priorities 1,2 and 4) and those in respect of the ESF/borough matched funded commissions (priority 3). The provisional surplus of £517,000 is split between the S.48 borough commissioned services and the ESF/borough funded commissions, as detailed in Table 2 below:

**Table 2 – Payments for Commissioned Services 2016/17**

	<b>S.48 borough</b>	<b>ESF/borough</b>	<b>Total</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
Payments for commissioned services	7,458	-	7,458
Plus contribution to London Funders Group	46	14	60
<b>Sub-Total</b>	<b>7,504</b>	<b>14</b>	<b>7,518</b>
Plus LC grants administration	519	109	628
Plus repayments to boroughs	185	301	486
<b>Sub-Total</b>	<b>8,208</b>	<b>424</b>	<b>8,632</b>
Less Borough subscriptions	(8,000)	(577)	(8,577)
Less ESF grants income	-	(63)	(63)
Less investment income	(17)	-	(17)
Less transfer from reserves	(191)	(301)	(492)
<b>Deficit/(Surplus) for the year</b>	<b>-</b>	<b>(517)</b>	<b>(517)</b>

5. For the S.48 borough funded services, a provisional breakeven position has been recorded. The provisional results include year-end liabilities of £754,576 for payments to commissions, which form part of the provisional outturn figure of £7.458 million. A sum of £421,699 in respect of these liabilities has been paid by 19 June 2017. The provisional breakeven position is analysed between:

- a net provisional underspend of £47,340 in relation to payments for commissioned services relating to 2016/17. An underspend position of £69,430 has been offset by an additional one-off payment of £22,000 to Ashiana, as agreed by the Grants Committee in March 2016. The provisional underspend relates to unspent funding in respect of the following commissions:

	<b>£</b>
St Mungo Community Housing Association	32,517
Thames Reach	25,802
Homeless Link	5,302
Tender Education and Arts	986
Galop	1,827
Women's Resource Centre	2,906
<b>Total projected underspend</b>	<b>69,340</b>

and

- a provisional overspend of £85,000 in relation to grants administration expenditure attributable to overspends of £50,000 in respect of salary costs and £35,000 for general running costs and central recharges, offset by £17,000 from investment income received on Committee reserves, an underspend of £14,000 in respect of the London Funders Group subscription attributable to the ESF programme, plus an additional transfer from reserves of £6,000 to cover the cost of the post providing support to the Third Sector from the start of March 2017. The net overspend position is primarily attributable to work surrounding the reletting of the commissions in accordance with the priority themes agreed by the Leaders' Committee, with effect from 1 April 2017.
6. For the ESF/borough funded commissions, the provisional surplus of £517,000 is attributable to the new 2016-18 ESF programme, which started in November 2016. Payments of

£846,000 have been made to providers; however, all of these payments are treated as payments in advance and therefore do not impact on the 2016/17 outturn figures. Similarly, 50% of this amount (£423,000) that is funded out of the £1 million boroughs contributions levied during 2016/17 is treated as deferred income and equally has no impact on the provisional results for the year. Administrative costs, estimated to be in the region of £123,000, including the contribution of £14,000 to the London Funders Group, have been incurred in respect of the new programme, for which grant of £63,000 is expected to accrue.

7. In terms of grants administration on the combined programme, total administration costs of £443,000, excluding central recharges and repayments to boroughs, on total spend of £7.961 million, excluding central recharges and repayments to boroughs, equates to 5.57%, which compares to a figure of 5% for 2015/16. For the London Councils borough funded grants programme, administration costs of £373,000, excluding central recharges and the repayment to boroughs, on total spend of £7.876 million, excluding central recharges and repayments to boroughs, equates to 4.74%, compared to 4.98% for 2015/16. For the new ESF programme, administration costs of £70,000, excluding central recharges, have been incurred. As there was no actual expenditure on the programme, in accounting treatment terms, for 2016/17, there is no comparative benchmark against the 5% figure incurred in respect of administration costs for 2015/16.

#### **Balance Sheet as at 31 March 2017**

8. The summarised provisional balance sheet position as at 31 March 2017 is shown in Table 4 below, compared to the position for 2015/16:

**Table 4 – Balance Sheet Comparison 2016/17 and 2015/16 (inclusive of IAS19).**

	<b>As at 31 March 2017 (£000)</b>	<b>As at 31 March 2016 (£000)</b>
Fixed Assets	-	-
Current Assets	3,197	2,303
Current Liabilities	(1,187)	(319)
Pension Fund Liability	(1,598)	(1,243)
<b>Total Assets less Liabilities</b>	<b><u>412</u></b>	<b><u>741</u></b>
Represented by:		
General Fund	2,017	1,993
Pension Fund	(1,598)	(1,243)
Accumulated Absences Fund	(7)	(9)
	<b><u>412</u></b>	<b><u>741</u></b>

9. The main features of the balance sheet as at 31 March 2017 are as follows:
  - Current assets have increased by £894,000 from £2.303 million to £3.197 million, which is attributable to a decrease of £15,000 in cash balances and an increase of £909,000 in debtors. The rise in debtors is due to increases of £846,000 in respect of advance payments to commissions under the ESF match funded programme and £63,000 in respect of unpaid ESF claims;
  - Current liabilities have increased by £868,000 from £319,000 to £1.187 million, which is attributable to increases of £448,000 in respect of amounts owed to S.48 borough

commissioned services, £423,000 in respect of deferred funding for the ESF grant match funded programme offset by residual variances of £3,000;

- The pension fund liability has increased by £355,000 from £1.243 million to £1.598 million; the accumulated absence reserve has increased marginally to £7,000; and
- The above movements have resulted in an overall decrease in the level of reserves to a £412,000 credit balance as at 31 March 2017, inclusive of the IAS19 deficit which is explored from paragraph 10 onwards and the accumulated absence reserve.

### **Effect of IAS19 (formerly FRS17)**

10. International Accounting Standard 19 (IAS19), Employee Benefits (formerly Financial Reporting Standard 17, Retirement Benefits or FRS17), is an international accounting standard that all authorities administering pensions funds must follow. This includes London Councils through its Admitted Body status as part of the Local Government Pension Scheme (LGPS) administered by the London Pensions Fund Authority (LPFA).
11. IAS19 requires an organisation to account for retirement benefits when it is committed to give them, even if the actual giving will be many years to come and is, therefore, a better reflection of the obligations of the employer to fund pensions promises to employees. It requires employers to disclose the total value of all pension payments that have accumulated (including deferred pensions) at 31 March each year.
12. This value is made up of:
  - The total cost of the pensions that are being paid out to former employees who have retired; and
  - The total sum of the pension entitlements earned to date for current employees – even though it may be many years before the people concerned actually retire and begin drawing their pension.
13. IAS19 also requires London Councils to show all investments (assets) of the Pension Fund at their market value, as they happen to be at the 31 March each year. In reality, the value of such investments fluctuates in value on a day-to-day basis but this is ignored for the purpose of the accounting standard. Setting side by side the value of all future pension payments and the snapshot value of investments as at the 31 March, results in either an overall deficit or surplus for the Pension Fund. This is called the IAS19 deficit or surplus.
14. London Councils has to obtain an IAS19 valuation report as at 31 March each year in order to make this required disclosure. This is done through the actuaries of the LPFA fund, Barnett Waddingham. The effect of the standard was reflected in London Councils' accounts for the first time for the 2003/04 financial year and is apportioned across London Councils' three functions – this Committee, the Transport and Environment Committee (TEC) and the London Councils Joint Committee (JC) functions, in proportion to the actual employers pensions contributions paid in respect of staff undertaking each of the three functions. IAS19 has no effect on the net position of income and expenditure for the year. However, as detailed in paragraph 10 above, the IAS19 deficit or surplus needs to be reflected in the annual balance sheet. For London Councils Grants Committee, the Pension Fund deficit as at 31 March 2016 was £1.243 million. The deficit on the Pension Fund as at 31 March 2017, as determined from the latest valuation undertaken by the actuary, is £1.598 million, an increase of £355,000.

15. The reason for this increase in the pensions deficit is due to changes in the key financial assumptions in relation to discount rate yields and the CPI inflation rate that have led to an increase in the defined benefit obligation. Whilst returns on assets such as equities has been strong during the year, it has been overshadowed by an increase in the defined benefit obligation due to a reduction in the discount rate (which is based on corporate bond yields) and an increase in future inflation rates which are both used in the calculation of the obligation.
16. Table 4 clearly demonstrates, therefore, that the Committee's balances are notionally reduced by £1.598 million as a result of the requirement to fully disclose the pension fund deficit on the balance sheet. However, recent and future reviews of the employers pension contribution rate is intended, over time, to assist in reducing the overall deficit and the Committee should, therefore, not view general balances as being a first call on funding the IAS19 pensions deficit. London Councils External Auditors (PwC) will also test the assumptions made by the actuary in arriving at this valuation in the course of their external audit during July/August.

### Committee Reserves

17. The pre-audited position on the Committee's overall reserves, as at 31 March 2017, is detailed in Table 5 below:

**Table 5 – Grants Committee reserves as at 31 March 2017**

	<b>General Reserve (£000)</b>	<b>Pension Fund (£000)</b>	<b>Accumulated Absences Reserve (£000)</b>	<b>Total (£000)</b>
<b>Balance at 1 April 2016</b>	<b>1,992</b>	<b>(1,243)</b>	<b>(9)</b>	<b>740</b>
Transfer (to)/from Revenue Account	(492)	(72)	1	(563)
Actuarial Loss on Pension Fund	-	(283)	-	(283)
(Deficit)/Surplus for Year	517	-	-	517
<b>Balance at 31 March 2017</b>	<b>2,017</b>	<b>(1,598)</b>	<b>(8)</b>	<b>411</b>
One-off payment to boroughs 2017/18	(156)	-	-	(156)
Funding of support to the Third Sector via the City Bridge Trust in 2017/18	(75)	-	-	(75)
Slippage of ESF commitments into 2017/18 and 2018/19	(1,574)	-	-	(1,574)
<b>Residual Balance</b>	<b>212</b>	<b>(1,598)</b>	<b>(8)</b>	<b>(1,394)</b>

18. The above table indicates that the Committee is projected to have provisional unaudited general reserves of £2.017 million at the end of March 2017, although following the return of a sum of £156,000 from reserves to boroughs in April 2017 and the funding of the Third Sector resources of £75,000 in 2017/18, an indicative uncommitted sum of £1.786 million remains.

19. Moving forward, a sum of £212,000 relates to the reduced £6.668 million S.48 borough funded commissions and equates to 3.18% of budgeted expenditure. This figure is marginally below the desirable benchmark of £250,000, or 3.75%, established by the Grants Executive Committee in September 2013. Officers will look for opportunities to identify efficiencies to replenish the uncommitted S.48 reserves figure to the desired benchmark level during the course of 2017/18. A sum of £1.574 million relates to the ESF/borough funded commissions and includes the levies collected from boroughs during both 2015/16 and 2016/17 in respect of the new ESF programme. As the Committee is aware, this new programme started in late 2016, so there is an expectation that this resource will be gradually applied during the course of the current year as the programme gains momentum.

## **Conclusions**

20. This report outlines the provisional outturn position for 2016/17, the final year of the 2013-17 programme. The provisional surplus of £517,000 has been analysed between those transactions relating to the boroughs S.48 commissioned services and those relating the ESF/boroughs funded programme. Provisional S.48 reserves of £212,000 remain after allowing for the approved one-off payment to boroughs of £156,000 in 2017/18, an approved sum of £75,000 to provide bespoke third sector support through the City Bridge Trust and likely ESF commitments of £1.574 million relating to the 2016-18 ESF programme that are expected to slip into the 2017/18 and 2018/19 financial years.

21. The £242,000 reduction in the provisional surplus of £517,000, compared to the £759,000 surplus forecast at Month 9 is broadly attributable to:

- A reduction in ESF borough contributions of £423,000 and ESF grant income of £153,000 attributable to the year;
- a net increase in administration costs of £21,000, offset by
- a reduction in ESF payments to providers attributable to the year of £349,000 plus an additional transfer from reserves of £6,000.

22. On the basis of an on-going £6.668 million S.48 commissioning budget, estimated reserves of £212,000, equating to 3.18% of the total budget, is marginally below the established Committee benchmark of £250,000 or 3.75% and officers will look for opportunities to identify efficiencies to replenish the uncommitted S.48 reserves figure to the desired benchmark level during the course of 2017/18.

23. The audit of these accounts by the external auditors, KPMG LLP, will take place during the summer, with the outcome reported to the Audit Committee in September 2017. The audited accounts will be presented to this Committee in November for formal adoption.

## **Recommendations**

24. The Committee is asked:

- to note the provisional pre-audited outturn position and the indicative surplus of £517,000 for 2016/17, the final year of the 2013-17 programme; and
- to note the provisional level of reserves at paragraphs 17-19 and the financial outlook, as detailed in paragraphs 20-23 of this report.

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**Financial Implications for London Councils**

Financial implications are included in the main part of the report.

**Legal Implications for London Councils**

None

**Equalities Implications for London Councils**

None

**Background Papers**

GC Budget File 2016/17;

GC Final Accounts File 2016/17.

GC Revenue Forecast File 2016/17