

Greater London Authority (GLA)
Annual Governance Statement, 2019-20
Final, 30 November 2020

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1. The GLA's governance responsibilities and framework

- 1.1. The GLA is responsible for conducting its business in accordance with the law and proper standards; safeguarding and properly accounting for public money; and using resources economically, efficiently and effectively. It must publish an Annual Governance Statement (AGS) – this document – that reflects on how, in the previous financial year, it has discharged these responsibilities.
- 1.2. The GLA's governance framework comprises the systems and processes, culture and values by which the organisation is directed and controlled; as well as the activities through which it accounts to, engages with and leads the community. It ensures the GLA directs its resources towards its priorities and in accordance with its policies; that there is sound and inclusive decision-making; and that there is clear accountability – so as to achieve sustainable outcomes for London and Londoners. The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level.
- 1.3. The elements that comprise the GLA's governance arrangements reflect the unique nature of the GLA, with a number of agents involved in the delivery of the GLA's objectives. So while this Statement is the GLA's alone – many of the bodies with which the GLA works have their own governance statements – the GLA's work cannot be viewed in isolation. The agents include:
 - the executive Mayor and the Mayor's appointed advisors
 - the London Assembly
 - the GLA's subsidiary companies
 - the officers of the GLA
 - the GLA's functional bodies and their boards (where applicable)
 - London's local authorities
 - national government
 - partners and stakeholders
- 1.4. There is a clear separation of powers within the GLA between the Mayor, who has an executive role and makes decisions on behalf of the GLA, and the London Assembly, which has a scrutiny role and reviews Mayoral policy, decisions and delivery. The Assembly also investigates issues of importance to Londoners, publishing its findings and recommendations and making proposals to the Mayor. The Assembly has a number of committees, with the GLA Oversight Committee, the Confirmation Hearings Committee, the Audit Panel, and the Budget and Performance Committee having explicit governance roles.
- 1.5. An important aspect of the governance framework within which the GLA operates is the relationship between London government and national government; more specifically the relationship between the GLA and its sponsor department in Whitehall,

the Ministry of Housing, Communities & Local Government (MHCLG). MHCLG set out how it views the systems governing that relationship by issuing in October 2012 and with the GLA's endorsement an '[Accountability System Statement for the Greater London Authority](#)'.

- 1.6. Responsibility for ensuring the GLA maintains a sound system of governance, incorporating the system of control, rests ultimately with the Mayor. The Mayor is supported by the GLA's Statutory Officers – the Head of Paid Service (HOPS) role (which is subsumed into the remit of the GLA's Chief Officer), the Chief Finance Officer (Executive Director of Resources) and the Monitoring Officer. Each has distinct responsibilities in law. The Assistant Director of Group Finance and Performance and their team, in addition, have day-to-day responsibilities for designing, implementing and monitoring the GLA's governance arrangements. The GLA takes the view, however, that good governance is everyone's responsibility; from the Mayor down through the Corporate and Senior Leadership Teams to all staff.

This year's Annual Governance Statement

- 1.7. The GLA's governance framework is consistent with the principles of the 2016 CIPFA/SOLACE document 'Delivering Good Governance in Local Government'. This AGS has been prepared with reference to that document. It has been structured around the principles in the 'International Framework: Good Governance in the Public Sector' (CIPFA/IFAC, 2014). Section 2 demonstrates how the GLA is meeting the seven principles of the international framework of good governance in the public sector and sets actions for 2020-21.
- 1.8. This AGS seeks to draw on a range of input and feedback so as to capture different perspectives, including:
- the Statutory Officers and a range of other senior officers;
 - Internal Audit
 - External Audit
 - the London Assembly Secretariat
- 1.9. Although the focus is on 2019-20, this draft AGS also, self-evidently, reflects on developments between the end of that financial year and the end of August 2020 (the point at which, following consultation with the London Assembly, the draft was finalised), where pertinent. While we have not sought to update the document significantly since that point, monitoring has taken place and confirmation is provided at section 4 that no substantive governance issues have arisen in the intervening period.

Covid-19's impact on GLA governance

- 1.10. In March 2020, the growing impact of the Covid-19 coronavirus resulted in unprecedented change to the way the whole country operated. The GLA was no

exception and has had to adapt its ways of working as well as playing an important role in London's response to the pandemic and the consequential lockdown.

- 1.11. The Mayor has a significant role in ensuring London's preparedness for emergencies and is a category 1 responder under the Civil Contingencies Act. As such, the GLA is a core member of the London Strategic Coordinating Group, which has had a central role in coordinating the response of London's public sector organisations to the pandemic. The GLA also directly led emergency measures, within its areas of responsibility, to support Londoners and London. These included urgent homelessness support, support for foodbanks and joining with London Funders to provide coordinated funding to support groups responding to the needs of communities in the capital affected by Covid-19.
- 1.12. The GLA's governance framework proved resilient to the enforced and new ways of working and supported our response effectively: the GLA continued to operate the main features of this framework, but introduced new or adapted arrangements where necessary; for example, to facilitate remote working and support staff wellbeing, alongside new structures such as an Emergency Management Team and a Policy and Briefing Cell.
- 1.13. The London Assembly was, at the time the pandemic emergency was declared, concluding its scheduled formal meetings prior to what was due to be the pre-election period. Taking advantage of government regulations, which for the first time allow the Assembly to convene formal meetings on a virtual basis (and for the next year), the Assembly held a virtual meeting of the GLA Oversight Committee to examine the impact of Covid-19 on London. It also put in place a delegation of authority at the end of March to enable the Chair of the Oversight Committee to deal with any urgent business for the period up until the Annual Meeting on 15 May, which also took place on a virtual basis. The Assembly is now, as a matter of routine, holding formal virtual meetings of the full Assembly and its committees.
- 1.14. Working with government, London's boroughs and other partners, we have been putting new, collaborative governance structures in place. These include a London Transition Board, jointly chaired by the Mayor and Secretary of State for Housing, Communities and Local Government, to co-ordinate London's response to trends, issues and risks as London emerges from lockdown and begins to reopen its economy – while monitoring the virus and any further outbreaks. Under the Board, there will be a new London Transition Management Group which coordinate and provide updates on the work being done by different agencies and sub-groups.
- 1.15. The long-term economic and social recovery work will need to be on a scale and of an impact not seen since World War II. Therefore the GLA has established a new London Recovery Board, co-chaired by the Mayor and London Councils, with the Minister for London representing the government and also including representation from business leaders, the community and voluntary sector, trade unions, academia and the health and police service. This will plan and oversee a strategy to reshape London, in partnership with organisations from across sectors and the city, and will include

opportunities for Londoners to be involved in setting priorities and shaping London's recovery and renewal, as equal partners.

- 1.16. Looking ahead, responding to Covid-19 and its impacts – driving recovery and renewal for London – is already the dominant theme of 2020-21 and its primary governance challenge. That will mean embedding the vision, and partnership and engagement structures, that will be the foundation of London's recovery programme. But the GLA will need to do so informed by, and acting on, an assessment of the financial and funding implications arising from Covid-19, which will require significant budget reductions and changes to GLA priorities and the way we work. The deferred Mayor of London and London Assembly elections in May 2021 will then punctuate the end of the reporting year.

2. Description of arrangements and review of effectiveness

2.1. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<p>The seven Nolan principles for standards in public life frame the GLA's governance procedures. Those procedures include a Protocol for Mayoral Appointments, Financial Regulations, an Expenses and Benefits Framework, a Contracts and Funding Code, Anti-Fraud and Anti-Money Laundering Frameworks and a Whistleblowing Policy (including multiple and confidential reporting routes). The officer Governance Steering Group helps ensure these procedures remain up to date and fit for purpose.</p> <p>The Nolan principles are reinforced through a governance e-learning module that is mandatory for all new staff.</p> <p>The Code of Ethics and Standards for Staff promotes high standards of conduct in public service. It features prominently in staff induction.</p> <p>The Monitoring Officer works with Members and officers to promote high standards of conduct and advises on the proper use of the Authority's resources; oversees the registration of interests and of gifts and hospitality; and advises on other governance matters. She is responsible for reporting legal contraventions to the Mayor and Assembly. Alleged breaches of the Code of Conduct for Elected Members are reviewed by the Monitoring Officer also. Their decisions are published and an annual report is made to the London Assembly.</p> <p>Our decision-making framework requires and promotes compliance with relevant laws and internal policies and</p>	<p>The Monitoring Officer investigated three alleged breaches of the Code of Conduct in 2019-20. The outcomes of these investigations are available online.</p> <p>The Chief Officer completed her review of the GLA's approach to the registration of interests and of gifts and hospitality and reported back to GLA Oversight Committee. As a result, arrangements were strengthened and revised versions of the Code of Conduct for Members of the Authority and the Code of Ethics and Standards for Staff were prepared, and these have been approved by the Mayor, Assembly and (in the latter case) the Chief Officer.</p> <p>The Gifts and Hospitality Policy and Procedure was reviewed and a number of changes made, including requiring the value of declaration to be recorded and raising the threshold for declaration from £25 to £50.</p> <p>In September 2019, the GLA's Monitoring Officer, acting under powers delegated to</p>	<p>Implement and reinforce the new policies arising from the Chief Officer's review of the GLA's approach to the registration of interests and of gifts and hospitality and produce clear supporting guidance for Members and Staff.</p> <p>An Internal Audit of the digital process for managing and recording the registration of Gifts and Hospitality.</p> <p>The Monitoring Officer reported to the PCC in June 2020, noting the IOPC's report and that a number of actions to take forward the IOPC's recommendations are being put in place, including a review of the procedure for handling future conduct matters and complaints under the PCC powers and a future review of the Code of Conduct for members.</p>

Our arrangements

procedures, including ensuring decisions are taken objectively and any potential interests declared. It is clear about the decisions that must by law and policy choice be taken by the Mayor, including any novel, contentious or repercussive proposal, and provides managers with the authority necessary to conduct routine business.

The Mayor may delegate powers to or direct GLA functional bodies. The use of the power of direction is kept under ongoing review and a list of all directions is appended to this Statement.

The GLA's legal function is provided through a shared service agreement by Transport for London (TfL) Legal. TfL Legal identifies changes in law and assesses the legal implications of GLA activity.

Similarly the GLA's procurement function is provided by TfL and facilitates compliance with the law and relevant standards. The need to declare interests is reinforced through the process. The GLA Group Responsible Procurement Policy, which sets down the GLA's commitment to continuous improvement through procurement, has a strong social and ethical focus. The GLA publishes an annual Modern Slavery Statement.

The GLA has a documented complaints procedure and related response standards. Timeliness of responses is monitored.

Links to further information

- [Conduct and ethics, including the role of the Monitoring Officer](#)
- [Monitoring Officer decisions](#)

Actions and key developments 2019-20

her by the Police and Crime Committee (PCC), recorded a **conduct matter** against the former Mayor of London, Boris Johnson, and referred the matter to the Independent Office of Police Conduct (IOPC). A conduct matter exists where there is information that indicates that a criminal offence may have been committed. The IOPC decided, in May 2020, not to investigate the conduct matter and has referred it back to the PCC. The Mayor and Assembly agreed, in October 2019, a new Unified **Planning Code of Conduct** to consolidate and enhance three previously separate codes and make explicit the link with the Nolan Principles.

The governance e-learning module was refreshed and new content on registration and declaration of interests added.

We prepared for the 2020 pre-election period. A factual revision of the **Use of Resources** guidance was issued by the Monitoring Officer in February 2020, with the agreement of each of the Statutory Officers. This was accompanied by communications to all staff and, to help staff and managers to apply the guidance

Actions for 2020-21

Relaunch the refreshed governance **e-learning module** and track completion rates.

Review our **Responsible Procurement** priorities in light of Covid-19, and the need to ensure a fair and green economic recovery.

Deliver and monitor performance of the **Responsible Procurement Implementation Plan** and publish the 2019-20 annual report in summer 2020.

Conclude the roll out of the 'Inclusive GLA' **unconscious bias programme** to all staff to support the development of an inclusive culture. Embed unconscious bias training as part of business as usual.

Embed an up to date set of **values for the organisation** as part of the Transformation Programme.

Take further action on **issues identified in 2019-20 Staff Survey**, building on the analysis and workshops to date. This will include a focus on fairness and integrity, building on the detailed analysis of

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<ul style="list-style-type: none"> • Monitoring Officer’s annual report (item 10) • Decision-making • Complaints • Modern Slavery Statement • Responsible procurement • GLA Oversight Committee report on review of Register of Interests and Gifts and Hospitality 	<p>to their work, a Pre-Election Period Principles document was issued.</p> <p>The Chief Officer issued new guidance on elections planning for transition in December 2019. The guidance was, compare with previous versions, more targeted at candidates and their teams, and gave equal weight to the Mayoral and Assembly elections. Separate guidance for staff was in preparation as part of the internal communications programme for Transition, but was paused when the 2020 Mayor and Assembly elections were postponed.</p> <p>The GLA received one internal complaint through our whistleblowing channels in 2019/20. This was deemed to be, and was handled as, a matter that was properly resolved through normal line management channels.</p> <p>The GLA received 44 complaints in 2019/20 and 28 (64 per cent) were responded to within the timescales in the Complaints Policy.</p> <p>An Annual Report on performance against the GLA Group Responsible Procurement Policy was developed. Publication has</p>	<p>results demographic group and close liaison with staff networks.</p>

been postponed to summer 2020 due to Covid-19.

Unconscious bias learning continued to be rolled out across the organisation. The programme was due to complete in April 2020, but some of the final team sessions were postponed in March and April due to Covid-19.

As part of our Transformation Programme, a Senior Leadership Team sub-committee began work to identify and help implement a new set of **GLA values**.

We replaced our grievance procedure with a new **Resolution Policy and guidance**, launched in November 2019, to support employees, managers and Unison to work collaboratively to constructively resolve disputes and conflict.

We undertook a **Staff Survey**. Results were analysed and presented to staff at an all staff briefing. The Senior Leadership Team discussed the findings and next steps and a series of workshops were held to get staff input into this.

2.2. Ensuring openness and comprehensive stakeholder engagement

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<p>We have well-developed mechanisms to encourage individuals and groups from all sections of the community to engage with and participate in the GLA’s work, including: People’s Question Time; the State of London Debate; and our online community, ‘Talk London’.</p> <p>We consult widely when developing the Mayor’s strategies and budget. We publicise such opportunities through various channels and hold consultation meetings with stakeholders. Consultation exercises are designed to ensure maximum reach, targeting individuals and communities whose voices are otherwise seldom heard.</p> <p>We communicate through traditional and digital channels, including social media, ensuring a broad reach. We have well-developed arrangements and standards for responding to Mayoral correspondence.</p> <p>The Assembly consults and engages with Londoners to help decide which issues it should investigate.</p> <p>We routinely poll a representative sample of Londoners to provide insights into public opinion and behaviours to support effective policy making.</p> <p>The GLA’s most important partnerships are within the GLA Group. There are a series of arrangements in place for GLA Group bodies, mainly defined by legislation and differing slightly according to each organisation, governing the GLA’s relationship with TfL, the Mayor’s Office for Policing and Crime</p>	<p>We engaged widely with community organisations to understand the impact of Covid-19 on their operations and sustainability, and communities. We offered flexibilities to at risk grant funded organisations and suppliers.</p> <p>Some 1,024 Freedom of Information requests were received in 2019/20. We responded to 91 per cent within deadline.</p> <p>We explored introducing a new correspondence system to modernise our management of public correspondence and further improve service standards. Challenges mean the GLA is still using its existing system, however.</p> <p>We supported the Smarter London Together roadmap by exploring how the London Datastore could be a better repository of open data. We undertook a discovery exercise with the Open Data Institute that listened to hundreds of users in London’s data community to explore their data needs, leading to a series of recommendations published in January 2020.</p>	<p>Ensure engagement with London’s diverse communities and stakeholders, and a focus on equalities and inclusion, are core principles of London’s Covid-19 recovery work.</p> <p>Continue our work to make it straightforward for organisations to apply for GLA grants so that they are open to a diverse range of organisations.</p> <p>Review next steps for modernising our approach to managing public correspondence; and undertake an Internal Audit (quarter three) of processes for managing and dealing with public correspondence.</p> <p>An Internal Audit to review safeguarding processes for the welfare of children, young people and vulnerable adults.</p>

Our arrangements

(MOPAC), the London Fire Commissioner (LFC); and the Mayoral Development Corporations (MDCs – the London Legacy Development Corporation (LLDC) and Old Oak and Park Royal Development Corporation (OPDC)).

A Group Corporate Governance Framework Agreement sets out the core governance requirements each body must adhere to and requires each to codify its governance arrangements and report on its decisions. It represents a firm commitment by all parties to be open, transparent and accountable and to hold to Mayoral and London Assembly expectations for the Group to interact in a way that enhances accountability and services for Londoners.

The other partnerships in place (i.e. with boroughs, voluntary organisations, business and others) vary tremendously in remit, size and resourcing. Oversight of these partnerships is at team level. The GLA maintains corporate partnership guidance and a register to promote effective oversight of significant partnerships, and reviews the efficacy of these partnerships, updates partnership information, and records new partnerships on a periodic basis.

We have a dedicated space on london.gov.uk for civil society groups, including insights into the number of projects the GLA is working on with civil society, funding opportunities, available resources, and links to training, volunteering and data. We publish our grants data through the 360 Giving Initiative so it is in a standardised and open form.

[*Links to further information*](#)

Actions and key developments 2019-20

We reduced, in August 2019, the minimum age of **Talk London** membership to 16 to support the participation of young Londoners in City Hall's policy development. And in March 2020, we adopted a **Digital Safeguarding Policy** to ensure the welfare and safeguarding of children, young people and adults in the online and digital space. Talk London now has over 55,000 members.

We ran the **Citizen Led Engagement** programme, a peer research project designed to enhance engagement across the GLA with communities whose voice and influence over public policy has previously been under represented. Over the year, the project trained about 100 peer researchers across 11 funded projects.

We piloted the **London Civic Futures** programme, which supports the development of Civic Leaders in London. Participants underwent one-on-one coaching, group learning, two-way shadowing with teams within the GLA and collaborative projects.

Actions for 2020-21

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<ul style="list-style-type: none"> • Information about opportunities to get involved with or have a say about City Hall’s work • Talk London • Partnerships, including with GLA’s functional bodies • Civil Society • Group Corporate Governance Framework Agreement 		

2.3. Defining outcomes in terms of economic, social and environmental benefits

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<p>The Mayor identifies and communicates his vision and intended outcomes for Londoners and service users through thematic statutory and non-statutory strategies. As a precursor to those strategies, he published his overarching vision ‘A City for All Londoners’ in 2016.</p> <p>Each strategy is supported by a thorough evidence base, which, where there were identified evidence gaps, draws on research by or commissioned with the GLA’s City Intelligence Unit. Integrated Impact Assessments make clear and support understanding of how equalities, health, sustainability, climate change and community safety will be affected by the policies in question. The strategies must demonstrate how they will ameliorate any likely negative impacts on different Londoners and/or different geographical areas.</p> <p>Apart from the London Plan, all of the Mayor’s statutory strategies have now been approved and launched. Important</p>	<p>The Mayor issued his Intend to Publish version of the London Plan in February 2020. The Secretary of State for Housing, Communities and Local Government responded in March 2020 and directed the Mayor to make changes to the Plan before publishing the final version. The Mayor responded in April, signalled his commitment to working constructively with government to publish the Plan as quickly as possible.</p> <p>We are now reporting on achievements against the Mayor’s strategies through ‘one year on’ reports.</p>	<p>Progress conversations with Ministry of Housing, Communities and Local Government about the directed changes to the London Plan in line with the Secretary of State’s commitment to consider alternative policy changes in relation to these – and finalise the Plan.</p> <p>Prepare for transition to the next Mayoral term, through workstreams in the transition programme to draft briefings for the incoming Mayor and their team and analyse the manifestoes of candidates.</p>

Our arrangements

Actions and key developments 2019-20

Actions for 2020-21

non-statutory Mayoral strategies that have been published include the Equality, Diversity and Inclusion Strategy and the Social Integration Strategy.

Links to further information

- [A City for All Londoners](#)
- [Mayoral strategies](#)
- [The work of the City Intelligence Unit](#)

Working collaboratively with stakeholders and communities to identify and define the outcomes that will underpin London's **Covid-19 recovery work, and help design interventions**. Clear principles and outcomes are being defined for this work, and a 'missions' based approach is being articulated.

2.4. Determining the interventions necessary to optimise the achievement of the intended outcomes

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<p>The GLA Group-wide budget setting and capital planning processes, which are subject to scrutiny by the Assembly as well as consultation with stakeholders, ensure there are sound medium and longer-term financial plans within which Mayoral priorities and objectives are adequately funded – while recognising inevitable areas of risk and uncertainty. They direct resources to Mayoral objectives, including to support London’s further success, entrepreneurial spirit, thriving economy, extraordinary diversity and creativity, tolerance and openness to the world. The budget is clear about what allocated resources will deliver and the funding source of those resources, including from the council tax precept.</p> <p>Implementation plans set out how the Mayor’s strategies will deliver identified outcomes, including indicators that allow the outcomes to be reported on.</p> <p>All significant decisions are subject to a rigorous process with the facts and advice supporting each decision set out in detail through decision forms. The forms ensure legal and financial advice are included; and also that delivery mechanisms, equalities implications, risks, and links to the Mayor’s vision, strategies and priorities are all explicitly set out.</p> <p>The GLA uses survey evidence as appropriate to support Mayoral priorities and ensure that policy and programmes have maximum impact.</p>	<p>We have been a key partner in the response to the Covid-19 emergency, specifically on the Strategic Coordinating Group, which has lead London’s immediate response. The Deputy Mayor for Fire and Resilience is one of four co-chairs and the GLA leads or is represented on a series of work streams and operational cells.</p> <p>Within the GLA, we established emergency governance structures within in response to Covid-19. Coordination of activity was led by a Gold Cell chaired by the Mayor’s Chief of Staff. Policy and Briefing and Communications and Stakeholder Engagement Cells reported into it.</p> <p>From quarter one, we introduced a new corporate quarterly performance and financial reporting regime. Unit Dashboards report on the indicators and goals identified in Unit Plans, which identify also the high-level aims set out in Mayoral strategies the unit is supporting and its medium-term objectives. These Unit Dashboards are underpinned by</p>	<p>Embed the governance, programme management and stakeholder engagement structures to lead, deliver and assure Covid-19 recovery work, including establishing a new London Recovery Board co-chaired by the Mayor, a Recovery Task Force and supporting working and task and finish groups, ,</p> <p>Support the ongoing response to Covid-19 through the London Transition Board and its supporting management structures.</p> <p>A review and reprioritisation of the 2020-21 budget to ensure it is aligned with the GLA’s Covid-19 recovery work and responds to immediate financial pressures.</p> <p>Develop and launch the Mayor’s Budget Guidance to frame budget planning for 2021-22 and beyond, responding to the changed financial landscape.</p>

Our arrangements

The Corporate Investment Board (CIB) – an informal advisory group chaired by the Chief of Staff and attended by the Mayor’s Appointees and Executive Directors – helps ensure there is appropriate review before decisions are taken and executed.

Additional processes were temporarily put in place to lead the GLA’s emergency response to the Covid-19 pandemic and are described in more detail in this section.

Links to further information

- [The Mayor’s budget and the budget setting process](#)
- [Decision-making at the GLA](#)
- [Equalities, diversity and inclusion measures](#)
- [Social integration measures](#)
- [Covid-19 updates](#)

Actions and key developments 2019-20

more detailed financial monitoring, against newly introduced spend profiles and an assessment of deviations from profile. The discipline of quarterly performance conversations between the Mayoral team and senior officers each quarter have enhanced officer accountability.

We built on the revised **budget approach** introduced for 2019-20, which has meant spending and delivery priorities are now more closely linked. The 2020-21 budget document includes clearer budget tables that show how budget changes are responding to the Mayor’s priorities.

We published new **internal guidance with top tips for ensuring that decision forms are completed to a high standard** so that the forms both provide a solid evidence base for the decision taker and support the GLA’s commitment to transparency.

We established, as part of the Chief Officer’s restructure of the Corporate Management Team, a new **Strategy, Intelligence and Analysis Unit** in September 2019.

In July 2019 we established a new GLA subsidiary company, **London Power Co.**

Actions for 2020-21

An Internal Audit review of the adequacy and effectiveness of **business continuity and disaster recovery arrangements**.

Further developing our corporate quarterly monitoring regime, including strengthening the linkages between outcomes and metrics; and by investigating the merits and application of performance management software.

Build on the repositioning of the Performance and Governance Team, with it now part of an expanded Group Finance & Performance Unit, by **exploring the potential for a more collaborative approach to performance management across the Group**.

Completing the review of **decision-making templates and guidance** to ensure the facts and advice supporting decisions is set out to a high standard.

Our arrangements

Actions and key developments 2019-20

Actions for 2020-21

Limited, to implement the Mayor's commitment to establish an energy supply company to offer fairer energy prices to all Londoners. The London Power Co. governance structure is made up of a Board of Directors which meets annually, a Steering Committee which meets monthly to oversee developments and make strategic decisions, and a Working Group that monitors operations. London Power Co. has entered into contract with Octopus Energy for the delivery of the Mayor's new energy company, London Power. The scheme launched in January 2020.

An Internal Audit of **London Power Co.** to review the framework for management of the Contract.

An Internal Audit of processes in place for the **Adult Education Budget**, including allocation and monitoring of funding.

2.5. Developing the entity’s capacity, including the capability of its leadership and the individuals within it

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<p>The Chief Officer is the organisation’s most senior official and leads the Corporate Management Team. As well as providing corporate leadership, the Chief Officer holds statutory staffing responsibilities (as HOPS). She provides regular updates on staffing and workforce matters to the Assembly’s GLA Oversight Committee and consults them, and the Chief of Staff on behalf of the Mayor, on proposed staffing changes.</p> <p>The GLA has robust processes for appraising and developing its staff (with completion of annual performance reviews monitored corporately), backed by a competency framework and learning and development programme, including a strategy for management and leadership development.</p> <p>Ensuring a diverse workforce that is representative of London is a priority for the Mayor. The Diversity and Inclusion Management Board, chaired by the Chief Officer and with senior representation including the Mayor’s Chief of Staff, provides governance and oversight of work to drive improvement on equality, diversity and inclusion in employment practice within the GLA.</p> <p>We publish gender and ethnicity pay gap analyses and action plans. Executive Directors oversee delivery of directorate-level action plans to support the continued development of an inclusive GLA culture.</p> <p>The Chief Officer is leading a Transformation Programme, with three workstreams:</p>	<p>The Chief Officer completed a restructure of the Corporate Management Team and recruited to a revised set of Executive Director roles that are aligned with Mayoral priorities and enhance accountability.</p> <p>The Transformation Programme workstreams continued to make steady progress, including the launch of talent management pilot and rollout of new, standardised mobile IT kit across the workforce and supporting changes to GLA software and infrastructure. To support the rollout of new IT kit, a new Smart Working Policy was adopted in November 2019 and the IT Strategy was reviewed and updated. The transformation to the GLA’s IT has supported productive homeworking during the Covid-19 emergency, with access to the full suite of office applications and seamless access to the GLA network.</p> <p>The desk signposting tender process was completed, contract has been issued and installed. The office configuration consultants have provided the GLA with costed recommendations for changes</p>	<p>Ensure GLA support to staff and other arrangements maximise efficient and effective home-working over the medium term, while putting staff welfare front and centre, and designing future office-based working arrangements that recognise the realities of office-based work. This work will include:</p> <ul style="list-style-type: none"> • installation of meeting room technology so that staff/stakeholders can attend meetings remotely • technology training to support staff to utilise the technology to support remote working • reviewing and digitalising systems and processes to support and aid remote working <p>Identify, through the new Digital Data and Technology Board, the programme of work required to support the Digital Data and</p>

Our arrangements

- talent attraction, management, diversity and inclusion
- new ways of working, covering IT, Human Resources and Facilities Management
- shared services, assessing the scope for greater shared services across the GLA Group

A GLA Group Collaboration Board promotes and oversees collaboration across the GLA Group – saving money and enhancing capacity in areas such as information technology, estates and facilities management, procurement, finance and professional services, and housing.

The London Assembly has its own component budget, distinct in law from the Mayoral component, and is supported by the Assembly Secretariat, including high quality research and external relations support. Assembly Members receive a budget to fund support staff.

Mayoral nominees for eight offices are subject to non-binding confirmation hearings conducted by the London Assembly. The Assembly has the power to veto three further appointments.

The Chief Officer is also the Greater London Returning Officer, with responsibilities in law to deliver efficient and fair elections and encourage the participation not just of voters but of candidates also.

Links to further information

- [The Mayoral Team](#)
- [The Corporate Management Team](#)

Actions and key developments 2019-20

required for workspace, meeting and collaboration space.

We adopted a **Digital, Data and Technology Strategy** in May 2019. It is aligned to the Transformation Programme and lays out an approach designed to support a modern organisation, where everyone has access to common systems and technology that work and allow individuals to work anywhere. A **Digital Data and Technology Strategy Board** was established to oversee this area of work.

A number of **HR policies** were updated, including revised policies covering Smart Working and Resolution. New policies for the following were introduced, Domestic and Gender Based Violence and Abuse, (replacing two previous policies), and a Reserve Forces Training and Mobilisation Policy.

We continued to **implement the gender and ethnicity action plans**. The Gender Pay Gap Analysis and Action Plan was published in September 2019 and the Ethnicity Pay Gap Analysis and Action Plans was published in December 2019.

Actions for 2020-21

Technology Strategy, with progress then monitored by the Board.

Ongoing **review of HR policies** including Secondment, Recognition Payments, Diversity Equality & Inclusion and a range of family-friendly policies.

Internal Audit review of the framework for delivering, implementing and reviewing **HR procedures** including arrangements for consultation.

Continuing to **implement the gender and ethnicity action plans**, including: completing the second cohort of Our Time and recruiting to the third cohort; assembling a pool of GLA BAME staff trained to participate in interviews; and widening the use of specialist recruitment search firms to attract more diverse candidates. Our plans will be reviewed and updated annually in consultation with our Staff Networks and detailed progress against our plans will be published on london.gov.uk.

Our arrangements

- [Gender and ethnicity pay gap reports and action plans](#)
- [Information about decision-making thresholds](#)
- [Chief Officer's transformation programme](#)
- [The London Assembly: structure, meetings and reports](#)

Actions and key developments 2019-20

The second cohort of Our Time, which supports women to develop and progress in the workplace, was in progress and the recruitment to the third cohort was being planned. The first cohort of the Talent Management Pilot Programme for BAME staff has also been recruited.

The Chief Officer hosted the GLA's first **senior managers conference**, setting out her expectations for staff at this level as leaders within the GLA.

GLA OPS, the GLA's grant and project management system, continued to be rolled out including to the Skills and Employment Unit. They joined other GLA teams – Housing and Land, Royal Docks, Regeneration, Culture and the Creative Industries – and the Mayor's Office for Policing and Crime and Old Oak and Park Royal Development Corporation in using OPS.

We agreed and published in August 2019 an **Adult Education Budget (AEB) Assurance Framework** that sets out the processes and procedures to manage the AEB effectively, supporting the GLA's commitment to openness and transparency. The Framework sets out

Actions for 2020-21

Review the **Adult Education Budget (AEB) Assurance Framework** by August 2020 (ahead of the start of the academic year) to ensure arrangements fit for purpose to manage the AEB effectively, supporting the GLA's commitment to openness and transparency.

Roll out **GLA OPS** more widely, including finalising implementation of functions for the Skills and Employment Unit, using agile methodology.

Finalise preparations for the **2021 Mayoral and Assembly Member elections** including picking up the **transition work** that has been paused. Extending appointments or recruiting to boards where Mayoral appointments are due to lapse.

Quicken the pace of **GLA Group collaboration**, supporting the Mayor to drive this forward and seizing the opportunity to enhance the GLA's capacity and reduce costs.

Our arrangements

Actions and key developments 2019-20

Actions for 2020-21

the governance arrangements for the AEB programme, including the AEB Mayoral Board which is the key forum for ensuring that the statutory functions relating to the AEB are delivered effectively. The 'substantial' assurance rating provided by the recent internal audit demonstrates that the processes in place are effective.

The **London Situational Awareness Team**, which identifies, processes and analyses open source information to identify and assist in London's response to critical and major incidents, was established in April 2019 and went on to a 24 hour a day, 365 days a year footing from August 2019.

We made good progress in our planning for the **2020 GLA Elections prior to their postponement**. Internal Audit also completed a follow up review of preparation for elections which provided adequate assurance.

We established and ran a **Transition Group** chaired by the Chief Officer to project manage all aspects of the shift from one Mayoral and Assembly administration to the next. This work was, for the most part, paused due to the

An Internal Audit review of the control framework for the implementation and management of the **GLA Group Collaboration Programme**.

deferment of the Mayoral and Assembly elections.

2.6. Managing risks and performance through robust internal control and strong public financial management

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<p>The GLA’s Risk Management Framework is regularly reviewed and has received a ‘substantial’ (the highest) Internal Audit rating. Risks registers are maintained at project, programme and directorate level as appropriate and feed up into a corporate risk register that is refreshed every six months. The register is reported to the Corporate Management Team, the Chief of Staff and the Audit Panel. Risk is also reported on through performance reports.</p> <p>Each Executive Director provides an annual assurance statement that risk management is operating effectively – and in line with the corporate approach – within their area.</p> <p>The GLA funds, and is the funder of last resort, for both MDCs (LLDC and OPDC). Regular liaison meetings – chaired by the Mayor’s Chief of Staff and involving the Mayor’s team and senior officials – help maintain a shared understanding of risks and challenges. Governance Directions for both organisations explain and set the parameters for the interaction of decision-making between each body and the Mayorality. The Deputy Mayor for Planning, Regeneration and Skills is a member of both Boards.</p> <p>The GLA has robust arrangements for managing projects and programmes, including through recognised methodologies, which are deployed to ensure any major transformation is undertaken effectively.</p>	<p>The risks with the highest severity identified on the corporate risk register (at February 2020) related to:</p> <ul style="list-style-type: none"> • timely publication of the London Plan • London 2012 Legacy, and in particular the risks associated with the funding of activity delivered by LLDC • delivering the Mayor’s air quality programme • delivering the Mayor’s affordable homes programme • ensuring health and safety at City Hall and squares managed by the GLA • the impact on the GLA and London of Brexit, including market uncertainty and impact on housing supply • the Covid-19 pandemic <p>The GLA’s quarterly financial and performance reports continued to be improved, with the embedding of Unit Plans, linking programmes, PIs and goals to high-level aims; and reporting on these through new Unit Dashboards, integrating financial information. Spend to date is considered alongside budgeted spend</p>	<p>Keep Mayoral Decision-Making in the GLA under review.</p> <p>Review the GLA’s Financial Regulations.</p> <p>An Internal Audit review of the control framework for Expenses and Benefits, including credit cards.</p> <p>An Internal Audit review of processes for managing funding risks to maintain financial stability.</p> <p>Review Deputy Mayor for Fire Decision Forms (DMFDs) to reflect maturity of relationship between GLA and LFC.</p> <p>Review and update the Anti-Fraud Framework, including refreshing the Fraud Risk Wheel and identifying actions to reduce fraud risks.</p> <p>Complete counter-fraud audit work in respect of a GLA small grants programme and related data review and assurance work,</p>

Our arrangements

Quarterly financial and performance reporting is well-embedded, tracking spend against budget (actual and forecast), performance indicators and other deliverables, and the implementation of major projects. Reports are interrogated and quality assured at quarterly performance conversations, chaired by the Chief of Staff and involving senior responsible officers and Mayoral Advisers. Reports are also considered by the Corporate Investment Board and ultimately by the Assembly.

The Executive Director of Resources' role complies with the five principles set out in CIPFA's Statement on the Role of the Chief Financial Officer.

We place a high priority on anti-fraud work, working with Internal Audit to identify areas that have the highest potential for fraud. We regularly review and seek expert input into our Anti-Fraud Framework, which is complemented by Whistleblowing and Anti-Money Laundering policies.

An officer level Governance Steering Group, chaired by the Executive Director of Resources and meeting quarterly, gives strategic oversight and direction to the GLA's governance activity.

The roles and responsibilities of the Audit Committee are discharged, as a function of statute, by the Mayor. He is supported in this regard by the Assembly's Audit Panel. The Audit Panel has well-established terms of reference, informed by CIPFA guidance. It provides challenge; raises the profile of internal control, risk and financial reporting; provides a forum for the discussion of issues raised by internal and external auditors; and bolsters transparency. The Panel also monitors the

Actions and key developments 2019-20

allowing internal decisions to be taken on whether to reprofile budgets. The timetable for quarter four reporting was extending to recognise the reduced capacity of the organisation and the limitations on data availability, especially where derived from third parties, arising from Covid-19.

A **Governance Direction between the GLA and OPDC** was agreed and came into force in July 2019, and the Governance Direction **with LLDC** was reviewed and amended accordingly at the same time.

The refreshed **Mayoral Decision-Making in the GLA** document was approved in May 2019 and now includes clearer provisions pertaining to the governance interaction with the GLA's subsidiary companies and incorporates new subsidiaries SME Wholesale Finance London Limited (SMEWFL), its subsidiary (GLIF), and London Treasury Limited. It also clarifies the decision-making arrangements in respect of the Homes for Londoners Land Fund, the Adult Education Budget, and the interaction between Mayoral decision-making and that of the London Fire Commissioner. A

Actions for 2020-21

and review outcomes to learn lessons for the future.

Update the GLA's **Anti-Money Laundering Policy**.

Audit of the GLA's risk management arrangements, to complete in quarter one 2020-21.

Strengthen the governance structures and investment outcomes of the **London Strategic Reserve (LSR)**, a pooled investment vehicle for the GLA and London boroughs' core reserves, by establishing a new company as a wholly-owned subsidiary of London Treasury Limited, itself a GLA Company.

An Internal Audit review of **governance and security for cloud computing**.

Roll out the **e-learning module on cyber security and data protection** to all members of staff.

Our arrangements

development of risk management, whistleblowing, and anti-fraud and corruption practices.

The 25 Members of the London Assembly provide the GLA's scrutiny function. It publishes an annual report detailing its activity during the year.

Mayoral Decision-Making in the GLA (our scheme of delegation) is clear about and sets strict boundaries for the value and type of decisions to be taken at different levels: by the Mayor, an Executive Director, Assistant Director, or a manager – as well as the authorisation given to all staff to develop and implement decisions.

Links to further information

- [Risk Management and Anti-Fraud frameworks and other GLA procedures supporting robust internal control](#)
- [The GLA's Audit Panel, including six-monthly corporate risk register reports, audit reports and progress updates against the Annual Audit Plan](#)
- [The Assembly's Budget Monitoring Sub-Committee, which in 2019/20 received the GLA's quarterly finance and performance pack](#)

Actions and key developments 2019-20

further minor update to the document was made in May 2020.

The revised **Financial Regulations** (approved May 2019) set clearer rules for budget transfers and carry-forwards and are more explicit about the financial management responsibilities of staff.

The **Expenses and Benefits Framework** was updated in July 2019 to amend authorisations and permit staff to take interest free loans to cover UK citizenship costs.

The **Contracts and Funding Code** was amended in July 2019 to ensure consistency with the provisions in the Financial Regulations over thresholds for engaging consultants.

The provisions of **Mayoral Decision-Making** and the other core governance documents and procedures remained largely in force during the **Covid-19 pandemic** and it was not necessary to suspend them or to invoke emergency decision-making provisions. Therefore, decisions continued to be subject to the discipline of a decision form and review by the Corporate Investment Board; and a new, temporary process was introduced

Actions for 2020-21

to coordinate, align and ensure Mayoral team and senior officer review of policy and spending considerations through a **Policy and Briefing Cell**. The following were, however, flexed:

- we conducted an exercise to identify at risk suppliers and offer relief – in the form of flexibilities to contract terms – in line with Cabinet Office guidance
- we offered similar flexibilities to those organisations we grant fund and which were affected by Covid-19
- we relaxed the requirement, where not legally necessary, for wet-ink signatures on formal documents, issuing a protocol for the use of electronic signatures and making a related amendment to the **Contracts and Funding Code**

At the start of the crisis, we reviewed and iterated our **business continuity plans**, identifying business critical teams and individuals and modelling the impact of staff absence. An Emergency Management Team was established to oversee the GLA's business continuity response and ensure the organisation continued to function effectively. The

rhythm of Corporate Management Team and Senior Leadership Team meetings was quickened, including close monitoring of the capacity of teams. Internal communications were stepped up significantly, focussing on staff welfare, and human resources policies and procedures were in some regards flexed, for example to introduce remote interviews for business-critical recruitment and over working hours. New IT kit and infrastructure to support remote working proved effective and robust.

The **Financial Risk Oversight Board** has now been embedded and is meeting quarterly while maintaining a register of financial exposure.

An Internal Audit review of **health and safety arrangements** on GLA-owned land, to test existing procedures following a recent Health and Safety Executive prosecution relating to an incident in 2014, provided adequate assurance. New health and safety checks were introduced to ensure all properties are being maintained safely and in accordance with requirements.

Internal Audit investigated a number of allegations of a potential fraud. There were no confirmed **cases of fraud** in 2019-20; however, a potential fraud was being investigated in respect of a small grants programme. Subsequently, two funded grants totalling just under £10,000 were recovered by the GLA. A wider data review exercise was being undertaken to provide assurance across a number of grant programmes.

A new best-practice **Cyber Security Policy** was approved in January 2020 and is being implemented. There will be a compulsory e-learning module. The Information Security Protocol was also updated.

The Head of Internal Audit reported in the 2019/20 Annual Report that 'the GLA has an **adequate internal control environment** which is generally operating effectively'.

The Annual Audit Plan was delivered. Of the 12 **risk assurance audits** undertaken and reported on in 2019-20, four (34 per cent) received a 'substantial' assurance rating; seven (58 per cent) received an 'adequate' rating; and one (8 per cent)

Our arrangements

Actions and key developments 2019-20

Actions for 2020-21

received a 'limited' rating. By comparison, in 2018-19, there were 15 audits: seven resulting in substantial assurance and eight adequate assurance. 34 of the 35 recommendations made in respect of the 2019-20 audits were accepted by management.

There were ten follow up reviews in 2019-20: of these eight (80 per cent) received a 'substantial' rating and two (20 per cent) an 'adequate' rating. All recommendations were accepted and 27 of 35 (77 per cent) had been implemented.

2.7. Implementing good practices in transparency, reporting and audit, to deliver effective accountability

Our arrangements	Actions and key developments 2019-20	Actions for 2020-21
<p>The GLA’s commitment to openness and transparency goes beyond the mandatory Local Government Transparency Code. We publish extensive information, including:</p> <ul style="list-style-type: none"> • interests, gifts and hospitality and expenses for the Mayor, Assembly Members, Mayoral Advisors and senior GLA officers • details of senior officer responsibilities, salary data and a GLA organogram • all payments over £250 • Mayoral, Director and Assistant Director decision forms, setting out clearly the rationale for the GLA’s significant decisions and the resource supporting them • Freedom of Information Act (FOI) responses • over 850 datasets on London Datastore, helping people to understand the city and develop solutions to London’s challenges • the results of our monthly poll of 1,000 Londoners (again published on the London Datastore) <p>The Mayor publishes an Annual Report each year, providing an overview of achievements, ahead of the State of London Debate (which is not taking place in 2020, in line with flexibilities granted by government in response to Covid-19).</p> <p>The Directorate of Audit, Risk and Assurance (DARA), as part of the Mayor’s Office for Policing and Crime (MOPAC) provides the internal audit service for the GLA under a shared service</p>	<p>The transparency of information we publish about senior GLA staff was improved by reviewing and refreshing that information and bringing it together into one place on our website.</p> <p>The GLA continued to develop and implement governance arrangements for AEB, reviewing those arrangements as the Authority moved into the delivery phase from August 2019. This included an Internal Audit in quarter three, which provided the highest possible Audit Assurance rating of Substantial.</p> <p>There were 19 data breaches reported during the financial year, none of which required notification to the Information Commissioner.</p> <p>We comprehensively redrafted our Data Protection policy to set out the scope of high-level obligations and clarifying roles and responsibilities including HR policies regarding breaches, and align it with data protection obligations and principles and good public sector practice. It was approved in January 2020.</p>	<p>Continue to implement the recommendations from the Internal Audit follow-up review of GDPR implementation, while continuing to introduce additional steps to strengthen GLA processes and practices in this area, and increasing organisational awareness of our responsibilities in handling personal data.</p> <p>Review and redesign the ‘front end’ of the GLA’s Annual Accounts to make the document more accessible and informative to the lay reader.</p>

Our arrangements

agreement. Its Charter is reported annually to Audit Panel and defines Internal Audit's purpose, authority, responsibility and scope of activity, and position within the GLA.

Internal Audit develops an annual, risk-based plan having engaged with those charged with governance. It aims to provide assurance on both the effectiveness of the management of risks to the achievement of agreed objectives and on compliance with GLA policies and procedures and externally arising regulations and the law. Progress against the plan is reported to each Audit Panel meeting.

Management responses to Internal Audit recommendations form, for each audit, an action plan that is reported to Audit Panel. Progress is then checked by Internal Audit through a follow-up review.

The external auditor produces an annual Audit Results Report, providing its judgement on whether the GLA's financial statements gave a true and fair view of its financial position and whether the GLA had in place proper arrangements to secure value for money in its use of resources. Robust processes exist to address any issues arising.

Links to further information

- [Transparency portal making readily accessible a host of governance and other information](#)
- [FOI disclosure log](#)
- [The Mayor's Annual Report](#)
- [Internal Audit Charter](#)

Actions and key developments 2019-20

We issued a new **Records Management policy** in January 2020, updated to reflect the GLA's GDPR responsibilities.

As part of the revised Gifts and Hospitality Policy, **the actual value of all gifts** above the reporting threshold must now be estimated and reported.

Actions for 2020-21

Our arrangements

Actions and key developments 2019-20

Actions for 2020-21

- [GLA Statement of Compliance with the UK Statistics Authority's Code of Practice for Statistics](#)
 - [Chief Officer Forms \(staffing decisions\)](#)
-

3. London Assembly scrutiny of governance issues

- 3.1. The London Assembly has a key role to play in holding the Mayor to account and scrutinising GLA governance, services and functions.
- 3.2. The Assembly provides regular challenge of the GLA's governance arrangements in a number of ways:
 - Mayor's Question Time, where the Mayor is required to attend ten meetings of the Assembly per year to answer Assembly Members' questions
 - responses to statutory consultations, principally relating to Mayoral strategies and the Mayor's budget, and formal consideration of the Mayor's draft budget and draft strategies
 - holding confirmation hearings for key appointments
 - the work of scrutiny committees
 - other work on internal corporate governance
- 3.3. Mayoral nominees for eight offices are subject to non-binding confirmation hearings conducted by the London Assembly. The purpose of the confirmation hearing, which is held in public, is to establish whether a candidate has the ability to do the job and is fit for office. The Assembly does not have the power to veto an appointment and its recommendations are not binding on the Mayor. The eight offices to which non-binding confirmation hearings apply are:
 - Chair and Deputy Chair of Transport for London
 - Chair of the London Cultural Strategy Group
 - Chair and Deputy Chair of the London Pensions Fund Authority
 - Chair of the London Waste and Recycling Board
 - Chair of a Mayoral Development Corporation (of which there are currently two)
- 3.4. In the case of three further appointments – the London Fire Commissioner, the Deputy Mayor for Fire and Resilience and the Deputy Mayor for Policing and Crime – the relevant Assembly committee has the power to exercise a veto, which is binding. In the case of the Deputy Mayor for Fire and Resilience and the Deputy Mayor for Policing and Crime, the veto may only be exercised where the candidates are not Assembly Members.
- 3.5. The next section details governance and related issues raised by the Assembly in 2019-20.

2020-21 budget for the GLA Group

- 3.6. In accordance with the requirements of the GLA Act 1999 (as amended), there is a two-stage budget-setting process. At the draft budget stage (January), the Assembly is able to amend the statutory figures that make up the consolidated budget

requirement in the GLA Act by a simple majority. The Mayor is under a duty to respond to any amendments passed when he presents his final budget. At the final draft budget stage (February), the Assembly is able to amend the statutory figures that make up the consolidated budget requirement by a two-thirds majority of Assembly Members present and voting. At this stage, amendments agreed by the requisite majority are binding.

- 3.7. At its meeting in January 2020, following consideration of the draft budget, the Assembly considered two amendments, neither of which was passed. These are appended to the published minutes of the meeting.
- 3.8. At its meeting in February 2020, following consideration of the final draft budget, the Assembly did not agree any amendments to the budget by the requisite majority. The Assembly was therefore deemed to have approved, without amendment, the Final Draft Consolidated Budget for 2020-21.
- 3.9. The Budget and Performance Committee has the responsibility of examining the Mayor's draft budget before it is voted on by the full Assembly. It was supported by the Budget Monitoring Sub-Committee. In January 2020, the Committee concluded its scrutiny of the Mayor's budget proposals, publishing its response to the Mayor's draft consultation budget 2020-21. This made a final round of recommendations for the Mayor.
- 3.10. The Committee published the 'Response to the Mayor's draft consultation budget 2020-21' document, which called on the Mayor to:
 - Be much clearer about what TfL capital projects are potentially at risk over the next four years. It is important that TfL signals to the Government, and the public, projects that are of a high priority;
 - To clarify what his core housing targets are, rather than having a wide range. He should also publish targets by tenure; and
 - Review the processes and governance of the Old Oak and Park Royal Development Corporation (OPDC) senior management team and Board representatives.

Strategies and plans

- 3.11. The Mayor is statutorily required to consult the Assembly on certain strategies. Assembly committees usually respond to such consultations on the Assembly's behalf and the consultation responses are published on london.gov.uk.
- 3.12. In addition, the Mayor must lay before the London Assembly the final versions of those strategies prior to their publication. Under the provisions of Section 42 of the GLA Act 1999 (as amended), the Assembly has the power to consider and potentially reject draft strategies within 21 days of their submission, including the date the draft strategy is laid before the Assembly.

3.13. The Planning Committee contributed to the Examination in Public (EiP) of the draft London Plan, which concluded in May 2019. The subsequent version of the Plan included changes the Committee had pushed for, including stronger protection for non-designated industrial land, and changes to the size mix tables, resulting in higher numbers of larger homes. A key change from the EiP resulted in the housing delivery target being reduced, in relation to concerns about deliverability and appropriateness of sites. The Planning Committee then scrutinised the next version of the draft London Plan in January 2020. These meetings highlighted further concerns about the Plan's approach to family sized homes, density, and use of small sites. The intend to publish version of the Plan was laid before the Assembly for formal consideration under Section 42B of the GLA Act 1999 at its Plenary meeting in February 2020. The Secretary of State at the Ministry of Housing, Communities and Local Government has since directed changes to the Plan in March 2020.

Confirmation hearings

3.14. During 2019-20 the London Assembly held two confirmation hearings. In October 2019, the Confirmation Hearings Committee held a confirmation hearing in respect of the Mayor's proposed appointment of John Preston as the Chair of the London Pensions Fund Authority. The Committee agreed that the Mayor should proceed with his proposed appointment.

3.15. The Fire, Resilience and Emergency Planning Committee also decided to hold a confirmation hearing in respect of the Mayor's proposed appointment of Andy Roe as the London Fire Commissioner in December 2019. The Committee agreed that the Mayor should proceed with his appointment.

Governance in the Mayoral Development Corporations

3.16. The two Mayoral Development Corporations – Old Oak Common and Park Royal Development Corporation (OPDC) and the London Legacy Development Corporation (LLDC) – are kept under review by the Assembly via its Plenary meetings and three Assembly committees: the Regeneration Committee, the Budget and Performance Committee and the Budget Monitoring Sub-Committee. The Budget Monitoring Sub-Committee receives a quarterly monitoring report from LLDC on spending and capital performance.

3.17. In July 2019, at a meeting of the Plenary Assembly, Members held a question and answer session with Liz Peace CBE, Chair of OPDC, and David Lunts, interim Chief Executive Officer, regarding OPDC's work.

3.18. The Budget and Performance Committee investigated the risk to delivering regeneration projects by the OPDC. The scrutiny uncovered serious concerns around the OPDC's £250 million Housing Infrastructure Fund bid and secured the publication of the OPDC's detailed bid and the conditions imposed by the Ministry of Housing, Communities and Local Government. The Committee also visited Cargiant, one of the key landowners in the OPDC area, to understand the impact on this business and major employer of the OPDC's plans.

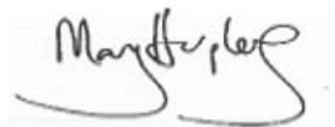
4. Conclusion and disclosure

- 4.1. The GLA had sound arrangements in place for corporate governance during 2019-20. This statement reflects explicitly on the arrangements that were in place and developments that occurred from April 2019 to August 2020. Monitoring of the GLA's arrangements is, however, ongoing. By virtue of their signatures below, the Mayor and Chief Officer confirm also that no developments or events have occurred from August up to the date of approval of this final AGS that bear materially on the soundness of the GLA's governance arrangements.
- 4.2. The GLA is committed to keeping both its standing and emergency governance arrangements under review, proactively identifying where and how they can be approved. Their efficacy will be monitored throughout 2020-21.



Sadiq Khan
Mayor of London

Date: 30 November 2020



Mary Harpley
Chief Officer (and Head of Paid Service)

Date: 30 November 2020

Appendix: Mayoral directions issued to the GLA’s functional bodies in 2019-20

The Mayor is careful to issue directions only when it is appropriate to do so. Directions are published on the GLA website as part of the routine publication of all Mayoral decision forms and also reported to the Assembly. In 2019-20 eight directions were issued as below (‘MD’ refers to Mayoral Decision reference number). This compares with five directions issued in 2018-19. As at 29 June 2020, there had been two Directions so far in 20-21, which are included here for completeness.

MD	Body	Title	Date	Decision
2460	TfL	Fares for two small scale 12-month research and development responsive bus trials in outer London	29/04/19	The Mayor: <ol style="list-style-type: none"> Approves the proposed parameters for the fares to be implemented on these 12-month trial services. Signs the attached Direction to TfL issued pursuant to the power in section 155 (1) (c) of the Greater London Authority Act 1999 to implement these fares.
2484	TfL	Legal challenge to removal of exemption for Private Hire Vehicles from paying the Congestion Charge	09/07/19	The Mayor: directs TfL under s 155(1)(c) of the Greater London Authority Act 1999 (‘GLA Act’) to pay the legal costs and all other costs and fees up to a maximum of £500,000 which will be incurred as a consequence of his participation as the Defendant in the challenge by way of judicial review against the decision to remove the exemption for Private Hire Vehicles from the Congestion Charge including appeals to a higher court.
2489	TfL	Ultra Low Emission Zone (ULEZ) Support Scheme	09/07/19	That the Mayor: <ol style="list-style-type: none"> Authorises TfL under s 38 of the GLA Act 1999 to exercise the Authority’s functions relating to economic development and wealth creation, environmental improvement and social development under section 30(1), and its subsidiary powers under section 34(1) of that Act, for the purpose of establishing and administering a ULEZ Support Scheme described in this Form in accordance with the Delegation & Direction Document at Appendix 1.

				2. Directs TfL under s 155(1) of the GLA Act to prepare, finance and implement the Scheme as described in this Form in accordance with the Delegation & Direction Document.
2502	OPDC and LLDC	Mayoral Development Corporation Governance Directions	29/07/19	The Mayor: Approves the OPDC Governance Direction 2019 attached at Appendix 1, and the updated LLDC Governance Direction, approved by MD1227, and attached at Appendix 2, pursuant to section 220 of the Localism Act 2011.
2537	TfL	January 2020 Fare Changes	04/11/19	The Mayor: 1. Approves the proposed revisions to fares to be implemented from 2 January 2020 as set out in the decision; and 2. Signs the attached Direction to TfL issued pursuant to the power in section 155 (1)(c) of the Greater London Authority Act 1999 to implement these fares on 2 January 2020.
2554	TfL	Transport for London Acknowledgement of Pride	17/12/19	That the Mayor: 1. Delegates to Transport for London (TfL) the exercise of the Mayor's power under sections 30 and 34 of the Greater London Authority Act 1999 to do such things to further, or which may be considered facilitative of or conducive to the promotion of social development, in particular inclusion and social cohesion in Greater London, so that it may undertake activity to celebrate Pride in support of creating a London more inclusive for all, and in particular LGBTQ+ communities; and 2. Directs TfL to incur expenditure (securing third party funding where possible) for the purpose of a series of activities (set out at section 2.2 of this report) to disseminate a message promoting the goals of Pride; and other related activities on the TfL estate to promote the goals of Pride.
2563	TfL	London Vehicle Scrappage Scheme	14/01/20	The Mayor approves that the Delegation and Direction Document set out in Appendix 1 to MD2417 be amended to

				refer to “businesses” (rather than only microbusinesses), alongside third sector organisations as originally approved, and authorises TfL under sections 30 and 38 of the GLA Act 1999 to operate the London Vehicle Scrappage Scheme under the powers delegated to it by MD2417 in accordance with that Delegation & Direction Document as so amended.
2592	TfL	Bus Driver Retention	02/03/20	<p>The Mayor:</p> <ol style="list-style-type: none"> 1. Directs TfL under section 155(1) of the Greater London Authority Act 1999 to prepare, finance and implement the bus driver retention payment scheme described in this Form in accordance with the Direction Document at Appendix 1; and 2. Approves the GLA making a revenue grant to TfL of £34 million under section 121(1) of the Greater London Authority Act 1999 and authorises officers to agree arrangements under which the grant is to be applied towards expenditure incurred for the purposes of, or in connection with, the discharge of TfL’s functions.
2642	TfL	Proposed temporary changes to free travel arrangements for older Londoners	03/06/20	<p>The Mayor, in exercise of the powers conferred on him by section 155(1)(c) of the Greater London Authority Act 1999 (“the Act”) and in pursuance of his duty under section 174 of the Act, hereby directs Transport for London that the level and structure of fares to be charged for public passenger transport services provided by Transport for London or by any other person in pursuance of an agreement under section 156(2) or (3)(a) of the Act or in pursuance of a transport subsidiary’s agreement shall from the fifteenth day of June 2020 be changed so that the 60+ Pass and Older Persons’ Freedom Pass will no longer be valid between the hours of 0430 and 0900 hours on weekdays, excluding Bank Holidays.</p>

2648	TfL	Temporary changes to the Congestion Charge to support the Streetspace for London plan and TfL's response to the Covid-19 pandemic	15/06/20	The Mayor: DIRECTS TfL pursuant to section 155 of the Greater London Authority Act 1999 to exercise its functions in Schedule 23 of that Act for the purpose of further engaging with local authorities and charities with a view to establishing rules for a new Congestion Charge reimbursement arrangement for workers, including volunteers, who are providing services on behalf of a local authority or charity in direct response to the pandemic.
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