

**AMENDMENT OF STANDING ORDERS
AND FINANCIAL REGULATIONS FOLLOWING
EMERGENCY LEGISLATION RELATING TO CORONAVIRUS**

Presented by the Deputy Chief Executive

SUMMARY

This report asks Members' approval to amend Standing Orders and Financial Regulations. Amendment of Standing Orders is proposed as a result of emergency legislation (The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020) which came into force on 4 April 2020 to enable remote meetings to be held through "electronic, digital, virtual locations and telephone conferencing" for a time limited period (to 7 May 2021) in response to public health guidance (i.e. social distancing) introduced to combat coronavirus.

Amendments are also proposed to both Standing Orders and Financial Regulations as a result of the introduction of a new senior management structure from 1 April 2020 (Paper E/649/19); the new structure was designed to enable the Authority to effectively deliver what is both a challenging and exciting business plan over the next 5 years. In addition, the Director of Finance & Resources will be leaving the organisation in the Summer of 2020. Standing Orders were last amended in 2018 (Paper A/4261/18) and Financial Regulations in 2015 (Paper A/4206/15).

RECOMMENDATIONS

- Members approve:
- (1) the proposed changes to Standing Orders as detailed in Appendix A to this report;
 - (2) the proposed changes to Financial Regulations as detailed in Appendix B to this report
 - (3) delegation to the Deputy Chief Executive to make any minor changes to Standing Orders to assist in interpretation or clarification or to correct any administrative errors or omissions that have been overlooked; and

- (4) delegation to the Head of Finance to make any minor changes to Financial Regulations to assist in interpretation or clarification or to correct any administrative errors or omissions that have been overlooked.

BACKGROUND

- 1 The Lee Valley Regional Park Authority was created by a private act of parliament, the Lee Valley Regional Park Act 1966 (the Park Act), which provides that the Authority may make Standing Orders with respect to the proceedings of its meetings and Financial Regulations with respect to the operation of its finances.
- 2 The Authority's present Standing Orders were last revised in July 2018 (Paper A/4261/18) although the Director of Corporate Services had delegation to make minor changes to assist in interpretation or clarification or to correct any administrative errors or omissions that have been overlooked. This post has now been replaced by the Deputy Chief Executive role following the re-structure implemented on 1 April 2020 and further delegation is requested in the recommendations to this report.
- 3 The Authority's present Financial Regulations were last revised in April 2015 (Paper A/4206/15) following the establishment and commencement of Lee Valley Leisure Trust Ltd (the Trust).

STANDING ORDERS

- 4 For Members' information, the following are provisions adopted by Authority Members which do not flow directly from the Park Act:
 - the Authority generally adopts the principles of the Local Government Acts (pre-amble to Standing Orders);
 - proportionality in relation to political balance (SO42);
 - Substitute Members (SO73);
 - extra provisions in relation to co-opted Members (SO76);
 - Politically Restricted posts (SO89); and
 - Access to Information provision (SO98).
- 5 The proposed changes fall into the categories below:
 - emergency legislation (The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020) which came into force on 4 April 2020 to enable remote meetings to be held through "electronic, digital, virtual locations and telephone conferencing" for a time limited period (to 7 May 2021) in response to public health guidance (i.e. social distancing) introduced to combat coronavirus;
 - change in post titles to reflect the new senior management structure;
 - extension of powers delegated to the Chief Executive to include the Deputy Chief Executive; and
 - to incorporate relevant Authority decisions since the last revision.

**THE LOCAL AUTHORITIES AND POLICE AND CRIME PANELS (CORONAVIRUS)
(FLEXIBILITY OF LOCAL AUTHORITY AND POLICE AND CRIME PANEL
MEETINGS (ENGLAND AND WALES) REGULATIONS 2020**

- 6 The Regulations, which came into force on 4 April 2020 for a time limited period (to 7 May 2021) were introduced in response to the Government's public health guidance to combat coronavirus. They make provision to enable local authorities to hold meetings remotely including by (but not limited to) telephone conferencing, video conferencing, live webcast and live interactive streaming. The Regulations further modify existing legislative provisions to remove the requirement for local authorities to hold annual meetings and to enable requirements for public and press access to local authority meetings and associated documents to be complied with through remote means and website access.
- 7 The Authority is not included in the Regulations and is not subject to the particular meetings rules and public access rules per se, but chose to adopt the spirit of the Local Government Access to Information Act 1985 via Standing Orders (July 1986) which made changes to the Local Government Act 1972. The reason for not adopting it in full was because the protections to Members given in the 1972 Act would not apply as the legislation itself did not actually apply. However, in practice it would appear that over the years the Authority has applied the Act as if it applies in its fullest form.
- 8 Being able to hold meetings flexibly allows business to continue while adhering to official public health guidance. It also allows the public the same flexibility to attend whilst adhering to the guidance. For the purposes of any statutory requirement the Regulations specify that members of the local authority will be considered as attending a meeting if they can hear, and where practicable see, and be heard and, where practicable, be seen by other members and the public.
- 9 The Regulations also provide for local authorities to make standing orders about remote attendance at meetings in relation to voting, members and public access to documents and what facilities are to be employed to allow the meeting to be held remotely to suit their own circumstances.
- 10 The Regulations provide that the "place" at which a local authority meeting is held is not confined to a council building. The "place" may be where the organiser of the meeting is, or electronic, digital or virtual locations such as internet locations, web address or conference call telephone numbers. By virtue of these Regulations a person is attending a meeting in a specific place if they are attending at different types of location, including physical, electronic, digital or virtual locations.
- 11 The Regulations also provide for requirements for a meeting being "open to the public" to be satisfied by a local authority holding the meeting remotely. This provides the local authority with the flexibility to facilitate remote meetings outside of the council offices and to hold meetings entirely by remote means. It also provides for members of the public to attend remotely rather than in person which may breach the Government's public health guidance.
- 12 It is proposed therefore to adopt the provisions of the new temporary Regulations to allow meetings of the Authority to be held remotely and amendments and suspension are proposed to Standing Orders to reflect this.

FINANCIAL REGULATIONS

- 13 Financial Regulations should be relevant and up to date and continue to meet requirements under the Chartered Institute of Public Finance & Accountancy's (CIPFA) Code of Practice.
- 14 Financial Regulations (FR4) requires that the Director of Finance & Resources reviews and updates Financial Regulations with Member approval to ensure that the regulations remain current and relevant. Financial Regulations were last reviewed in 2015 and a full review will be undertaken later in the year. This review is to acknowledge changes to the Authority's Management structure and to adjust and update the current Financial Regulations accordingly.
- 15 The proposed changes fall into the categories below:
- change in post titles to reflect the new senior management structure;
 - minor corrections; and
 - changes in legislation.
- 16 There will be a further full review of Financial Regulations at the end of the current term to pick up any further changes required. This will be carried out by the Director of Finance and Resources and the Head of Finance ahead of the AGM in July.

ENVIRONMENTAL IMPLICATIONS

- 17 There are no environmental implications arising directly from the recommendations in this report.

FINANCIAL IMPLICATIONS

- 18 There are no financial implications arising directly from the recommendations in this report.

HUMAN RESOURCE IMPLICATIONS

- 19 There are no human resource implications arising directly from the recommendations in this report.

LEGAL IMPLICATIONS

- 20 There are no legal implications arising directly from the recommendations in this report.

RISK MANAGEMENT IMPLICATIONS

- 21 There are no risk management implications arising directly from the recommendations in this report.

EQUALITY IMPLICATIONS

- 22 There are no equality implications arising directly from the recommendations in this report.

Author: Beryl Foster, 01992 709 836, bfoster@leevalleypark.org.uk

ABBREVIATIONS

the Park Act	Lee Valley Regional Park Act 1966
LSC	Leisure Services Contract
the Trust	Lee Valley Leisure Trust Ltd (trading as Vibrant Partnerships)

PREVIOUS COMMITTEE REPORTS

Authority	A/4261/18	Review of Standing Orders	5 July 2018
Authority	A/4207/15	Review of Standing Orders	30 April 2015
Authority	A/4206/15	Review of Financial Regulations 2015	30 April 2015
Authority	A/4194/14	Amendments to Standing Orders	23 October 2014
Authority	A/4191/14	Modification of Standing Orders in regard to Substitutes	31 July 2014
Authority	A/4154/12	Financial Regulations Review	19 April 2012
Authority	A/4178/14	Review of Standing Orders	23 January 2014
Executive Committee	E/333/14	Review of Standing Orders	23 January 2014
Authority	A/4172/13	Review of Standing Orders and other related Governance matters	11 July 2013
Executive Committee	E/198/12	Review of Standing Orders	22 March 2012
Authority	A/4079/10	Proposed changes to Standing Orders to provide for the public to ask questions and speak at meetings	21 January 2010
Authority	A/4078/10	Legal position of deputies under the Lee Valley Regional Park Act 1966 and the options for Members to appoint substitutes to committees	21 January 2010

APPENDICES ATTACHED

Appendix A	Proposed changes to Standing Orders
Appendix B	Proposed changes to Financial Regulations

This page is blank

PROPOSED CHANGES TO STANDING ORDERS

Change Number	Standing Order Number	Current Standing Order	Proposed Standing Order.
1	Preamble		<p>For meetings from 4 April 2020 to 7 May 2021 any reference to “being present” to include remote attendance whereby a Member must be able to hear and (where practicable) see and be heard and (where practicable) be seen by other members in attendance at the meeting. This requirement also extends to members of the public attending to exercise a right to speak at the meeting. All other members of the public must as a minimum be able to hear (but if practicable be seen as well). In practice this means that if Members and speaking members of the public can be heard and hear each other and other members of the public not speaking can hear. (The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020)</p>
2	4	<p>‘Chief Executive’ means the Chief Executive or, in his/her absence’, the Director of Corporate Services, or in his/her absence, the Director of Finance & Resources</p>	<p>‘Chief Executive’ means the Chief Executive or, in his/her absence’, the Deputy Chief Executive, or in his/her absence, a Corporate Director</p>
3	5	<p>‘Director’ where used in these Standing Orders shall mean the Director of Corporate Services or the Director of Finance & Resources</p>	<p>‘Director’ where used in these Standing Orders shall mean a Corporate Director</p>
4	13	<p>Meetings of the Authority shall be held at 2.00pm at the headquarters of the Authority or at another time or in another place approved by the Chairman of the Authority and specified in the notice of the meeting.</p>	<p>The Current Standing Order is suspended until 7 May 2021 and in the meantime replaced by the following: Meetings of the Authority shall be held at a time and place approved by the Chairman of the Authority and specified in the notice of the meeting. (Any meeting “held” includes different virtual locations - The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and</p>

Change Number	Standing Order Number	Current Standing Order	Proposed Standing Order
			Crime Panel Meetings) (England and Wales) Regulations 2020).
5	16	Request for Agenda Item Any Member of the Authority may ask for an item to be placed on the agenda of the next meeting of the Authority, provided that notice of the matter is given to the Chief Executive by the Member concerned at least seven clear working days before the meeting.	Request for Agenda Item Any Member of the Authority may ask for an item to be placed on the agenda of the next meeting of the Authority, provided that notice of the matter is given to the Chief Executive or Deputy Chief Executive by the Member concerned at least seven clear working days before the meeting.
6	17	Scope Motions must be about matters for which the Authority has a responsibility or which affect Lee Valley Regional Park and/or Lee Valley Leisure Trust Limited.	Scope Motions must be about matters for which the Authority has a responsibility or which affect Lee Valley Regional Park and/or Lee Valley Leisure Trust Limited.
7	23	The minutes of the proceedings of the Authority shall be signed at the same or next ordinary meeting of the Authority by the Chairman of the meeting. No discussion shall take place upon the minutes, except upon their accuracy. [Schedule para.9]	The current Standing Order is suspended until 7 May 2021 and in the meantime replaced by the following: The minutes of the Authority shall be signed by the Chairman, or in his absence the Chief Executive or Deputy Chief Executive, electronically on behalf of the Authority at the same or next ordinary meeting of the Authority following approval by the Chairman of the meeting. No discussion shall take place upon the minutes, except upon their accuracy. [Schedule para.9]
8	40	Subject to order 38 above, the Chief Executive shall have power to take any necessary decisions relating to the day to day management of the Authority, provided that the effect of such decisions is not to alter any existing policies of the Authority.	Subject to order 38 above, the Chief Executive and Deputy Chief Executive shall have power to take any necessary decisions relating to the day to day management of the Authority, provided that the effect of such decisions is not to alter any existing policies of the Authority.
9	54	Any Member of the Authority may ask for an item to be placed on the agenda of the next meeting of a committee or sub-committee, provided that notice of the matter is given to the Chief Executive by the Member concerned at least seven clear working days before the meeting.	Any Member of the Authority may ask for an item to be placed on the agenda of the next meeting of a committee or sub-committee, provided that notice of the matter is given to the Chief Executive or Deputy Chief Executive by

Change Number	Standing Order Number	Current Standing Order	Proposed Standing Order
10	58	The mode of voting at meetings of committees or sub-committees shall be by show of hands.	the Member concerned at least seven clear working days before the meeting. Suspended until 7 May 2021
11	60	Additional meetings of the Executive Committee shall be called with approval of the Chairman of the Committee, or in the Chairman's absence the Vice-Chairman of the Committee, or in the Vice-Chairman's absence the Chief Executive. In the case of emergency such notice as is possible in the circumstances shall be given.	Additional meetings of the Executive Committee shall be called with approval of the Chairman of the Committee, or in the Chairman's absence the Vice-Chairman of the Committee, or in the Vice-Chairman's absence the Chief Executive or Deputy Chief Executive. In the case of emergency such notice as is possible in the circumstances shall be given.
12	62	Any Member of the Executive Committee may requisition a meeting of that Committee by notice delivered in writing to the Chief Executive.	Any Member of the Executive Committee may requisition a meeting of that Committee by notice delivered in writing to the Chief Executive or Deputy Chief Executive.
13	72	Deputy Members Constituent Councils may appoint Deputy Members to represent one or more of their appointed Members. Deputy Members may only attend in place of one appointed Member at a time. Deputy Members may be appointed or replaced at any time, subject to the proper officer of the Constituent Council notifying the Chief Executive of the Authority accordingly. In the case of non-riparian Members, the deputy must be appointed by another non-riparian council which is not already represented on the Authority. [Section 8]	Deputy Members Constituent Councils may appoint Deputy Members to represent one or more of their appointed Members. Deputy Members may only attend in place of one appointed Member at a time. Deputy Members may be appointed or replaced at any time, subject to the proper officer of the Constituent Council notifying the Authority's Committee Office accordingly. In the case of non-riparian Members, the deputy must be appointed by another non-riparian council which is not already represented on the Authority. [Section 8]
14	77	Every Member of the Authority attending a meeting of the Authority, its committees, sub-committees, or task and finish groups/panels or for any other Authority business which qualifies for payment of expenses by the constituent Authority shall sign their name in the attendance book provided.	Suspended until 7 May 2021
15	83	A Member may enter and inspect Authority premises where it is required in the course of Authority business. Where a charge is made Lee Valley Member Photo Badges will grant entry to the holder. Where facilities are in the course of	Suspended until 7 May 2021

Change Number	Standing Order Number	Current Standing Order	Proposed Standing Order
16	92	<p>construction the Chief Executive shall be authorised to arrange visits by Members.</p> <p>The application of the seal of the Authority shall be witnessed by two signatories from the Chairman or Vice Chairman of the Authority or some other Member so authorised by the Authority and from the Chief Executive or Director of Corporate Services or an officer similarly authorised. [Schedule para 10]</p>	<p>Suspended until 7 May 2021 or until separate provisions are made regarding the sealing of documents.</p> <p>The application of the seal of the Authority shall be witnessed by two signatories from the Chairman or Vice Chairman of the Authority or some other Member so authorised by the Authority and from the Chief Executive or Deputy Chief Executive or an officer similarly authorised. [Schedule para 10]</p>
17	94	<p>Where any document will be a necessary step in legal proceedings or shall be a legal agreement, contract, notice or otherwise on behalf of the Authority, it shall (unless any other enactment requires or authorises or delegated authority shall be given to some other person) be signed by the Chief Executive or the Director of Corporate Services.</p>	<p>Where any document will be a necessary step in legal proceedings or shall be a legal agreement, contract, lease, notice or otherwise on behalf of the Authority, it shall (unless any other enactment requires or authorises or the necessary delegated authority shall be given to some other person) be signed by the Chief Executive or Deputy Chief Executive. Up until 7 May 2021 this signature may be applied electronically.</p>
18	97	<p>Where the Act or any statute or regulation applied thereby requires some action to be taken by an officer to be authorised or appointed by the Authority that officer shall be the Chief Executive.</p>	<p>Where the Act or any statute or regulation applied thereby requires some action to be taken by an officer to be authorised or appointed by the Authority that officer shall be the Chief Executive or Deputy Chief Executive.</p>
19	99	<p>Members of the public may film, audio-record, take photographs and use social media to report on meetings as they are taking place and the Authority will make appropriate arrangements within the practical constraints of the meeting room for this to take place. Members of the public are advised to contact the Authority in advance, no less than 2 working days before the meeting in question, in order that reasonable facilities can be arranged. Any person whose recording activities are disruptive to the meeting may be required by the</p>	<p>Suspended until 7 May 2021</p>

Change Number	Standing Order Number	Current Standing Order	Proposed Standing Order
20	101	<p>Chairman to stop recording and may be removed from the meeting.</p> <p>A Member of the Authority may, for purposes of their duty as Member but not otherwise, on application to the Chief Executive, inspect any document which is under the control of the Authority and shall on request be supplied with a copy of the document or extracts from it as soon as possible but no later than 5 working days following the request:</p> <p>PROVIDED that a Member shall not knowingly inspect and shall not call for a copy of any document relating to a matter in which they have a professional interest or in which they have had any personal or prejudicial interest covered by the Code of Conduct adopted by their appointing councils, and that this Standing Order shall not (subject to the decision of the Chairman of the Authority in the event of any disagreement between the Member and officer concerned) preclude the Chief Executive from declining to allow inspection of any document which is or in the event of legal proceedings would be protected by privilege arising from the relationship of solicitor and client.</p>	<p>A Member of the Authority may, for purposes of their duty as Member but not otherwise, on application to the Chief Executive or Deputy Chief Executive, inspect any document which is under the control of the Authority and shall on request be supplied with a copy of the document or extracts from it as soon as possible but no later than 5 working days following the request:</p> <p>PROVIDED that a Member shall not knowingly inspect and shall not call for a copy of any document relating to a matter in which they have a professional interest or in which they have had any personal or prejudicial interest covered by the terms of the Code of Conduct adopted by their appointing councils, and that this Standing Order shall not (subject to the decision of the Chairman of the Authority in the event of any disagreement between the Member and officer concerned) preclude the Chief Executive and Deputy Chief Executive from declining to allow inspection of any document which is or in the event of legal proceedings would be protected by privilege arising from the relationship of solicitor and client.</p> <ul style="list-style-type: none"> • To revise and amend as necessary the salary pay bands for the Chief Executive, Directors and Heads of Service. Executive, Corporate Directors and Heads of Service. • To agree the individual pay award of the Chief Executive. • To consider matters relating to the future Leisure Services Contract. • To consider the sustainability of all Authority venues/services in relation to future Leisure Services Contract/s
21	Executive Committee Terms of Reference	<ul style="list-style-type: none"> • To revise and amend as necessary the salary pay bands for the Chief Executive, Directors and Heads of Service. • To agree the individual pay award of the Chief Executive. 	<ul style="list-style-type: none"> • To revise and amend as necessary the salary pay bands for the Chief Executive, Deputy Chief Executive, Corporate Directors and Heads of Service. • To agree the individual pay award of the Chief Executive.
22	Leisure Services Contract Review Working Group	<ul style="list-style-type: none"> • To input into the joint (Authority and Trust) 3-year review as required under the Leisure Services Contract which commenced on 1 April 2015 • To consider any service amendment proposals, i.e., changes to operation of the contract, to be voluntarily agreed by the Trust for the remaining term of the contract 	<ul style="list-style-type: none"> • To consider matters relating to the future Leisure Services Contract. • To consider the sustainability of all Authority venues/services in relation to future Leisure Services Contract/s

Change Number	Standing Order Number	Current Standing Order	Proposed Standing Order
	Terms of Reference	<ul style="list-style-type: none"> ● To consider the procurement strategy for the future Leisure Services Contract ● To consider the sustainability of all Authority venues/services in relation to future Leisure Services Contract/s 	
23	Appendix E Conflict of Interests /Loyalties Protocol	For more detailed advice you can contact Beryl Foster, Director of Corporate Services	For more detailed advice you can contact the Monitoring Officer

PROPOSED CHANGES TO FINANCIAL REGULATIONS

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
1	2	The regulations identify the financial responsibilities of the full Authority, Committee Members, the Chief Executive, the Monitoring Officer (Director of Corporate Services) and the Director of Finance & Resources . Members and chief officers should maintain a written record where decision making has been delegated to members of their staff, including seconded staff. Where decisions have been delegated or devolved to other responsible officers, references to the Director in the regulations should be read as referring to them.	The regulations identify the financial responsibilities of the full Authority, Committee Members, the Chief Executive, the Monitoring Officer (Deputy Chief Executive) and the Director of Finance & Resources. Members and chief officers should maintain a written record where decision making has been delegated to members of their staff, including seconded staff. Where decisions have been delegated or devolved to other responsible officers, references to the Director in the regulations should be read as referring to them.
2	12	Executive decisions can be delegated by this committee to the Chief Executive or a Director or another officer as is appropriate.	Executive decisions can be delegated by this committee to the Chief Executive and/or Deputy Chief Executive or a Corporate Director or another officer as is appropriate.
3	13	The Chief Executive and/or Directors must consult with other relevant officers before taking a decision within their delegated Authority. In doing so, the individual must take account of all legal, financial and risk management issues that may arise from that decision.	The Chief Executive and/or Deputy Chief Executive or a Corporate Director must consult with other relevant officers before taking a decision within their delegated Authority. In doing so, the individual must take account of all legal, financial and risk management issues that may arise from that decision.
4	14	The Executive Committee is responsible for scrutinising the Chief Executive or Director decisions before or after they have been implemented and for holding that Officer to account. It is also responsible for making recommendations on future policy options and service delivery of the Authority.	The Executive Committee is responsible for scrutinising the Chief Executive, Deputy Chief Executive or Corporate Director decisions before or after they have been implemented and for holding that Officer to account. It is also responsible for making recommendations on future policy options and for reviewing the general policy and service delivery of the Authority.
5	23	Monitoring Officer (Director of Corporate Services) Director of Corporate Services is responsible for reporting any actual or potential breaches of the law or	Monitoring Officer (Deputy Chief Executive) Deputy Chief Executive is responsible for reporting any actual or potential breaches of the law or maladministration to the full Authority and for ensuring that procedures for

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
6	24	maladministration to the full Authority and for ensuring that procedures for recording and reporting key decisions are operating effectively. The Director of Corporate Services must ensure that Executive decisions and the reasons for them are made public. The Director of Corporate Services must also ensure that Members are aware of decisions made by the Corporate Directors and of those made by officers who have delegated executive responsibility.	recording and reporting key decisions are operating effectively. The Deputy Chief Executive must ensure that Executive decisions and the reasons for them are made public. The Deputy Chief Executive must also ensure that Members are aware of decisions made by the Corporate Directors and of those made by officers who have delegated executive responsibility.
7	25	The Director of Corporate Services is responsible for advising all Members and officers about who has Authority to take a particular decision.	The Deputy Chief Executive is responsible for advising all Members and officers about who has authority to take a particular decision.
8	26	The Director of Corporate Services is responsible for advising the Authority about whether a decision is likely to be considered contrary to, or not wholly in accordance with, the Authority's budget and policy framework.	The Deputy Chief Executive is responsible for advising the Authority about whether a decision is likely to be considered contrary to, or not wholly in accordance with, the Authority's budget and policy framework.
9	27	The Director of Corporate Services , together with the Director of Finance & Resources, is responsible for advising full Authority about whether a decision is likely to be considered contrary to, or not wholly in accordance with the budget.	The Deputy Chief Executive , together with the Director of Finance & Resources, is responsible for advising full Authority about whether a decision is likely to be considered contrary to, or not wholly in accordance with the budget.
10	29	The Director of Corporate Services is responsible for maintaining the Authority's Standing Orders.	The Deputy Chief Executive is responsible for maintaining the Authority's Standing Orders.
11	35	Chief Executive and Directors The Chief Executive and Directors are responsible for ensuring that Members are advised of the financial implications of all proposals and that the financial implications have been agreed by the Director of Finance & Resources.	Chief Executive, Deputy Chief Executive and Corporate Directors The Chief Executive, Deputy Chief Executive and Directors are responsible for ensuring that Members are advised of the financial implications of all proposals and that the financial implications have been agreed by the Director of Finance & Resources.
12	36	It is the responsibility of the Chief Executive and/or Directors to consult with the Director of Finance &	It is the responsibility of the Chief Executive or Deputy Chief Executive and/or Corporate Directors to consult with the

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
13	49	<p>Reseeees and seek approval on any matter liable to affect the Authority's finances materially, before any commitments are incurred.</p> <p>It is the responsibility of the Chief Executive and Directors to control income and expenditure within their area and to monitor on variances within their own areas and take necessary action to avoid exceeding their budget allocation and alert the Director of Finance & Resources to any problems.</p>	<p>Director of Finance & Resources and seek approval on any matter liable to affect the Authority's finances materially, before any commitments are incurred.</p> <p>It is the responsibility of the Chief Executive and/or Deputy Chief Executive and Corporate Directors to control income and expenditure within their area and to monitor performance. They should report on variances within their own areas and take necessary action to avoid exceeding their budget allocation and alert the Director of Finance & Resources to any problems.</p>
14	52	<p>Guidelines on budget preparation are issued to the Chief Executive and Directors by the Executive Committee following agreement with the Director of Finance & Resources. The guidelines will take account of:</p> <ul style="list-style-type: none"> • legal requirements • medium-term planning prospects • corporate plans • available resources • spending pressures • best value and other relevant government guidelines • other internal policy documents • cross-cutting service issues 	<p>Guidelines on budget preparation are issued to the Chief Executive, Deputy Chief Executive and Corporate Directors by the Executive Committee following agreement with the Director of Finance & Resources. The guidelines will take account of:</p> <ul style="list-style-type: none"> • legal requirements • medium-term planning prospects • corporate plans • available resources • spending pressures • best value and other relevant government guidelines • other internal policy documents • cross-cutting service issues
15	59	<p>It is the responsibility of the Chief Executive and Directors to establish sound arrangements, consistent with guidance given by the Director of Finance & Resources, for planning, appraising, authorising and controlling their operations in order to achieve continuous improvement, economy, efficiency and effectiveness and for achieving their financial performance targets.</p>	<p>It is the responsibility of the Chief Executive, Deputy Chief Executive and Corporate Directors to establish sound arrangements, consistent with guidance given by the Director of Finance & Resources for planning, appraising, authorising and controlling their operations in order to achieve continuous improvement, economy, efficiency and effectiveness and for achieving their financial performance targets.</p>
16	61	<p>The Audit Commission is responsible for appointing external auditors to each local Authority. The basic</p>	<p>The Public Sector Audit Appointments Ltd (PSAA) is responsible for appointing external auditors to each local</p>

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
17	73	<p>duties of the external auditor are governed by section 15 of the Local Government Finance Act 1982, as amended by section 5 of the Audit Commission Act 1998. The Audit Commission in-house work has been outsourced for the accounts since 2013/14. The Authority's appointed auditor is Ernst & Young.</p> <p>The Chief Executive is responsible for providing overall management to staff. The Chief Executive will also be responsible for ensuring that there is proper use of the evaluation or other agreed systems for determining the remuneration of a job. The Chair and Vice Chair of the Executive Committee will be responsible for the appraisal and remuneration of the Chief Executive, and for the revision of Directors, Assistant Directors & Heads of Service pay scales.</p>	<p>Authority. The basic duties of the external auditor are governed by section 15 of the Local Government Finance Act 1982, as amended by section 5 of the Audit Commission Act 1998 and by the Accounts and Audit Regulations 2015. The Authority's appointed auditor is Ernst & Young.</p> <p>The Chief Executive is responsible for providing overall management to staff. The Chief Executive will also be responsible for ensuring that there is proper use of the evaluation or other agreed systems for determining the remuneration of a job. The Chair and Vice Chair of the Executive Committee will be responsible for the appraisal and remuneration of the Chief Executive, and for the revision of Deputy Chief Executive, Corporate Directors, and Heads of Service pay scales.</p>
18	79	<p>Directors must ensure that, where appropriate, computer and other systems are registered in accordance with data protection legislation. Purchasing of computer equipment and software must be referred to the Director of Finance & Resources who will liaise with the Director of Business Support (LVL-T), who will register usage.</p>	<p>Directors must ensure that, where appropriate, computer and other systems are registered in accordance with data protection legislation. Purchasing of computer equipment and software must be referred to the Head of IT who will liaise with the Legal and Information Officer who will register usage.</p>
19	80	<p>The holding of data on any computer system is governed under the Data Protection Act 1998. Computer Systems whether purchased by the Authority or not, and used for Authority business and holding personnel data must be registered through the Authority's Data Protection Officer. The Director of Business Support (LVL-T) is carrying out the role of the Authority's Data Protection Officer.</p>	<p>The holding of data on any computer system is governed under the Data Protection Act 1998. Computer Systems whether purchased by the Authority or not, and used for Authority business and holding personnel data must be registered through the Authority's Data Protection Officer. The Legal and Information Officer is carrying out the day to day functions of Data Protection on behalf of the Authority's Data Protection Officer.</p>
20	89	<p>The Director of Finance & Resources must ensure that the accounting arrangements to be adopted relating to partnerships and joint ventures are satisfactory. The Chief Executive in conjunction with the Director of</p>	<p>The Director of Finance & Resources must ensure that the accounting arrangements to be adopted relating to partnerships and joint ventures are satisfactory. The Chief Executive in conjunction with the Deputy Chief Executive</p>

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
21	108	<p>Finance & Resources and Director of Corporate Services must also consider the overall corporate governance arrangements and legal issues when arranging contracts with external bodies. The Director of Finance & Resources in conjunction with the appropriate Director must ensure that the risks have been fully appraised before agreements are entered into with external bodies.</p> <p>To report and seek the approval of the Chief Executive (in consultation with the Chairman of Authority, and the Chairman for Executive Committee) to the exercise of the virement powers' of the Authority where a matter is urgent.</p>	<p>and Director of Finance & Resources must also consider the overall corporate governance arrangements and legal issues when arranging contracts with external bodies. The Director of Finance & Resources in conjunction with the appropriate Director must ensure that the risks have been fully appraised before agreements are entered into with external bodies.</p> <p>To report and seek the approval of the Chief Executive and/or Deputy Chief Executive (in consultation with the Chairman of Authority, and the Chairman for Executive Committee) to the exercise of the virement powers' of the Authority where a matter is urgent.</p>
22	124	<p>Responsibilities of Chief Executive and Directors</p> <p>To adhere to the accounting policies and guidelines approved by the Director of Finance & Resources.</p>	<p>Responsibilities of Chief Executive, Deputy Chief Executive and Corporate Directors</p> <p>To adhere to the accounting policies and guidelines approved by the Audit Committee.</p>
23	206	<p>To collate capital estimates jointly with Directors and the Chief Executive and to submit them to Executive Committee for approval. Full Authority approval is required where a Director proposes to bid for, or exercise additional borrowing approval, not anticipated in the capital programme.</p>	<p>The Chief Executive to collate capital estimates jointly with the Deputy Chief Executive and to submit them to Executive Committee for approval. Full Authority approval is required where the Deputy Chief Executive or a Corporate Director proposes to bid for, or exercise additional borrowing approval, not anticipated in the capital programme.</p>
24	264	<p>External Audit</p> <p>Why Is This Important?</p> <p>The Local Government Finance Act 1982 set up the Audit Commission, which is responsible for appointing external auditors to each local Authority in England and Wales. The external auditor has rights of access to all documents and information necessary for audit purposes.</p>	<p>External Audit</p> <p>Why Is This Important?</p> <p>The Public Sector Audit Appointments Ltd (PSAA) is responsible for appointing the external auditor. The external auditor has rights of access to all documents and information necessary for audit purposes.</p>

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
25	265	The Local Audit and Accountability Act 2014 received Royal Assent on 30 January 2014. The Act makes it possible for the Audit Commission to close, in line with Government expectations, on 31 March 2015, 30 years after it was established.	DELETE
26	266	An independent company created by the Local Government Association (Public Sector Audit Appointments Limited) will be responsible for overseeing the Commission's current external audit contracts with audit firms from 1 April 2015 until December 2017 or up to 2020. It will manage the contracts and exercise statutory powers to appoint auditors, set and determine fees. The professional conduct of auditors will continue to be regulated by the professional accountancy bodies. From 2017 or up to 2020, Recognised Supervisory Bodies will determine the eligibility of local public auditors and register them and, in turn, they will be recognised and supervised by the Financial Reporting Council. The Financial Reporting Council's Audit Quality Review team will monitor the local public audits carried out by auditors through new regulatory arrangements.	Public Sector Audit Appointments Limited are responsible for overseeing the Authority's current external audit contract. It will manage the contract, appoint the external auditor and set/determine fees. The professional conduct of auditors will continue to be regulated by the professional accountancy bodies.
27	282	In conjunction with the Chief Executive to develop and maintain an anti-fraud and anti-corruption policy and review annually the fraud response plan.	In conjunction with the Chief Executive and/or Deputy Chief Executive to develop and maintain an anti-fraud and anti-corruption policy and review annually the fraud response plan.
28	294	To ensure that assets are valued in accordance with the relevant codes of practice on local Authority accounting and the Royal Institution of Chartered Surveyors (RICS) in the United Kingdom. This is the responsibility of the Head of Property Services.	To ensure that assets are valued in accordance with the relevant codes of practice on local Authority accounting and the Royal Institution of Chartered Surveyors (RICS) in the United Kingdom. This is the responsibility of the Head of Property.
29	298	The Chief Executive or his authorised deputy has delegated power on behalf of the Authority to grant a disposal of land, an interest in land or a licence	The Chief Executive or the Deputy Chief Executive has delegated power on behalf of the Authority to grant a disposal of land, an interest in land or a licence agreement

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
30	300	<p>agreement for terms of up to 3 years to be sealed if necessary in accordance with standing orders.</p> <p>The Chief Executive or his authorised deputy has delegated power on behalf of the Authority to agree rents for periods of up to 5 years.</p>	<p>for terms of up to 3 years to be sealed if necessary in accordance with standing orders.</p> <p>The Chief Executive or Deputy Chief Executive has delegated power on behalf of the Authority to agree rents for periods of up to 5 years.</p>
31	302	<p>To ensure that lessees and other prospective occupiers of Authority land and buildings are not allowed to take possession of, or enter, the land/building until a lease or agreement, in a form approved by the Director, in consultation with the Director of Corporate Services.</p>	<p>To ensure that lessees and other prospective occupiers of Authority land and buildings are not allowed to take possession of, or enter, the land/building until a lease or agreement, in a form approved by the Deputy Chief Executive, in consultation with the Head of Property.</p>
32	304	<p>Where land or buildings are surplus to requirements, the Director should declare the property surplus, and instruct the Director of Corporate Services to deal with the property in accordance with its statutory responsibilities under the Park Act 1966.</p>	<p>Where land or buildings are surplus to requirements, the Deputy Chief Executive should declare the property surplus, and instruct the Head of Property to deal with the property in accordance with its statutory responsibilities under the Lee Valley Regional Park Act 1966.</p>
33	366	<p>To determine, in consultation with the Chief Executive, how officer support for executive and non-executive roles within the Authority will be organised.</p>	<p>To determine, in consultation with the Chief Executive or Deputy Chief Executive, how officer support for executive and non-executive roles within the Authority will be organised.</p>
34	410	<p>All new proposals to generate additional income to the Authority should only be implemented following a full business appraisal reviewed by the Capital Programme Development Group (CPDG); consultation with the Director of Finance & Resources as to any VAT implications and the approval of Executive Committee.</p>	<p>All new proposals to generate additional income to the Authority should only be implemented following a full business appraisal reviewed by the Senior Management Team and in consultation with the Head of Finance as to any VAT implications and the approval of Executive Committee.</p>
35	472	<p>To make arrangements for paying Members' allowances.</p>	<p>To make arrangements for paying the Chair and Vice Chair's allowances.</p>
36	539	<p>Managers responsible for equipment which becomes surplus to requirements should advise the IT Manager who will ensure:</p> <ul style="list-style-type: none"> • All data is removed from surplus PC's • Where necessary that any old disc's or storage media are destroyed 	<p>Managers responsible for equipment which becomes surplus to requirements should advise the Head of IT who will ensure:</p> <ul style="list-style-type: none"> • All data is removed from surplus PC's • Where necessary that any old disc's or storage media are destroyed

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
37	540	<ul style="list-style-type: none"> Update the relevant inventory records to reflect the movement of equipment <p>Where equipment can be re-deployed elsewhere within the disposing section's Department, arrangements and suitability must be agreed by the IT Manager and transfer of the equipment will be carried out by IT personnel only.</p>	<ul style="list-style-type: none"> Update the relevant inventory records to reflect the movement of equipment <p>Where equipment can be re-deployed elsewhere within the disposing section's Department, arrangements and suitability must be agreed by the Head of IT and transfer of the equipment will be carried out by IT personnel only.</p>
38	554	<p>Where the Authority purchases goods, works and services by reference to its published Terms & Conditions of contracts, these may only be superseded by an industry standard/model form of agreement (i.e. Joint Contracts Tribunal, New Engineering Contract, New Engineering Contract) or where a separate specific Contract Document has been agreed by the Director of Corporate Services. These published Terms & Conditions may only be varied with the written agreement of the Director of Finance and Resources. No Terms & Conditions put forward at any time by a supplier or contractor will form part of a contract unless these are of a specialist nature and agreed jointly by the Director of Finance & Resources and the Director of Corporate Services.</p>	<p>Where the Authority purchases goods, works and services by reference to its published Terms & Conditions of contracts, these may only be superseded by an industry standard/model form of agreement (i.e. Joint Contracts Tribunal, New Engineering Contract) or where a separate specific Contract Document has been agreed by the Deputy Chief Executive. These published Terms & Conditions may only be varied with the written agreement of the Director of Finance and Resources. No Terms & Conditions put forward at any time by a supplier or contractor will form part of a contract unless these are of a specialist nature and agreed jointly by the Director of Finance & Resources and the Deputy Chief Executive.</p>
39	600	<p>The Chief Executive or Directors must obtain written approval before accepting a tender, bid or quotation which is not the lowest submitted but which is the Best Price Quality Ratio to the Authority. The officer must explain, in writing, to the Chief Executive/Director of Finance & Resources the reasons which make a tender, bid or quotation which is not the lowest submitted the Best Price Quality Ratio to the Authority.</p>	<p>The Chief Executive and/or Deputy Chief Executive or Corporate Directors must obtain written approval before accepting a tender, bid or quotation which is not the lowest submitted but which is the Best Price Quality Ratio to the Authority. The officer must explain, in writing, to the Chief Executive/Director of Finance & Resources/Deputy Chief Executive (whichever is applicable) the reasons which make a tender, bid or quotation which is not the lowest submitted the Best Price Quality Ratio to the Authority.</p>
40	605	<p>The Chief Executive or Director must not authorise work to start until the contract has been completed</p>	<p>The Chief Executive or Deputy Chief Executive or a Corporate Director must not authorise work to start until</p>

Change Number	Financial Regulation Number	Current Financial Regulation	Proposed Financial Regulation
41	610	<p>and signed. In exceptional circumstances and where the work is urgent, a Director may authorise work to start if the legal advice or (where applicable) the duly authorised signatories confirms in writing that a contract is being prepared. In such a case the authorisation must be in the form of an official order and must clearly state all the relevant terms and conditions.</p> <p>Neither the Chief Executive nor a Director may enter into an agreement by deferred payments unless the necessary legal advice has been given in writing to the contractual arrangements and the Director of Finance & Resources has given written approval to the financial provisions.</p>	<p>the contract has been completed and signed. In exceptional circumstances and where the work is urgent, a Director may authorise work to start if the legal advice or (where applicable) the duly authorised signatories confirms in writing that a contract is being prepared. In such a case the authorisation must be in the form of an official order and must clearly state all the relevant terms and conditions.</p> <p>Neither the Chief Executive or Deputy Chief Executive nor a Corporate Director may enter into an agreement to be financed by deferred payments unless the necessary legal advice has been given in writing to the contractual arrangements and the Director of Finance & Resources has given written approval to the financial provisions.</p>
42	616	<p>If an employee has a direct interest in a contract (e.g. as a company director or shareholder in the organisation concerned) which has, or is proposed to be, entered into by the Authority, they should immediately inform their Director. They must also confirm their interest in writing to the Chief Executive.</p>	<p>If an employee has a direct interest in a contract (e.g. as a company director or shareholder in the organisation concerned) which has, or is proposed to be, entered into by the Authority, they should immediately inform the Deputy Chief Executive. They must also confirm their interest in writing to the Chief Executive and Deputy Chief Executive.</p>
43	617	<p>Similarly, if a spouse/partner or close family are employees, owners, directors or shareholders in an organisation entering into or proposing to enter into a contract with the Authority an employee should immediately inform their Director. They must also confirm their interest in writing to the Chief Executive.</p>	<p>Similarly, if a spouse/partner or close family are employees, owners, directors or shareholders in an organisation entering into or proposing to enter into a contract with the Authority an employee should immediately inform their Corporate Director. They must also confirm their interest in writing to the Chief Executive and Deputy Chief Executive.</p>
44	618	<p>Any personal friendships with contractors or their employees, which might, in the public view be thought to influence an employee's judgement, must be declared to the relevant Director and the Chief Executive in writing.</p>	<p>Any personal friendships with contractors or their employees, which might, in the public view be thought to influence an employee's judgement, must be declared to the relevant Corporate Director and the Chief Executive and Deputy Chief Executive in writing.</p>

This page is blank