

Meeting of the Greater Lincolnshire Combined County Authority

Date: 6 March 2025

Time: 3:30pm

Venue: The Chapterhouse, Lincoln Cathedral
Minster Yard, Lincoln, LN2 1PX

Membership:

Mayor

to be elected 1 May 2025

Constituent Members

Councillor Martin Hill OBE	Lincolnshire County Council*
Councillor Patricia Bradwell OBE	Lincolnshire County Council
Councillor Philip Jackson	North East Lincolnshire Council*
Councillor Stan Shreeve	North East Lincolnshire Council
Councillor Rob Waltham MBE	North Lincolnshire Council*
Councillor Richard Hannigan	North Lincolnshire Council

* Lead Member

Non Constituent Members

to be nominated (5)

Associate Member

to be appointed (1)

Members of the Greater Lincolnshire Combined County Authority are summoned to a meeting as set out above to transact the following business as set out in the agenda. Attendance of all Members is expected.

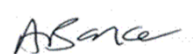
Yours sincerely



Debbie Barnes OBE



Rob Walsh



Alison Barker

Chief Executives

Greater Lincolnshire Constituent Councils

**GREATER LINCOLNSHIRE COMBINED COUNTY AUTHORITY AGENDA
THURSDAY, 6 MARCH 2025**

Item	Title	Pages
1.	Election of Chair	
2.	Membership of the Greater Lincolnshire Combined County Authority To note the constituent membership of the Greater Lincolnshire Combined County Authority (GLCCA).	
3.	Election of Vice-Chair	
4.	Apologies for Absence	
5.	Declarations of Interest	
GOVERNANCE MATTERS		
6.	Appointment of Statutory Officers To consider and appoint officers to the roles required in statute through a S113 arrangement.	7 - 10
7.	Constitution and Governance Arrangements To consider and approve the following: <ul style="list-style-type: none">• Constitution (including financial regulations)• Consents and Concurrency Protocols• Approve the title of the Mayor under s.42 of the Levelling Up and Regeneration Act 2023• Appointment of Non Constituent Members: to designate nominating bodies, to receive consent to the designation of nominating bodies and accept any nominations for Non Constituent Members and Delegates (Substitutes)• Appointment of Associate Member• Recruitment of Independent Person to Chair of the Overview and Scrutiny Committee• Recruitment of the Independent Person to Chair of the Audit Committee• Recruitment of Independent Persons for Standards• Appointments to Outside Bodies including Transport for the North and Rail North Committee.	11 - 222
8.	Local Assurance Framework To consider and approve the Assurance Framework for the GLCCA.	223 - 272

BUDGET AND POLICY MATTERS

9. Budget 2025-26, Resources and Medium Term Financial Plan 273 - 280

To consider and approve the following:

- Budget for 2025-26
- Medium Term Financial Plan (including Reserves Policy)
- Arrangements for banking
- Approach to external audit

10. Recommended Scheme of Members' Allowances 281 - 310

To consider the report of the Independent Remuneration Panel on Member Allowances.

11. Adoption of Policy 311 - 434

To consider and approve the policies required to support the establishment of the GLCCA including the following:

- Anti-Fraud
- Anti-Bribery
- Reporting a Concern (Whistleblowing)
- Risk Management
- Treasury Management
- Complaints
- Freedom of Information
- Data Protection
- Information Handling
- Security Incident Reporting
- Data Breach Reporting
- Privacy Notice

PEOPLE AND ORGANISATION MATTERS

12. Establishing the Greater Lincolnshire Combined County Authority 435 - 440

To consider and approve the operating principles and interim structure of the GLCCA including approach to pay and grading.

13. Appointment of a Combined County Authority Returning Officer for the election of a Mayor on 1 May 2025 441 - 444

To confirm the appointment made by the Constituent Councils in December 2024.

14. Delivering Devolution 445 - 456

To confirm arrangements to progress the devolution deal including future meetings and decisions of the GLCCA.

Information about this meeting

Members of the Public - Rights to Attend Meeting

With the exception of any item identified above as containing exempt or confidential information under the Local Government Act 1972 Section 100A(4), members of the public are entitled to attend this meeting and/or have access to the agenda papers.

Live streaming

Please note that this meeting may be filmed for live or subsequent broadcast via the GLCCA's internet site. At the start of the meeting the Chair will confirm if all or part of the meeting is being filmed.

Generally, the public seating areas will not be filmed; however, by entering the meeting room and using the public seating area, you are consenting to being filmed and to the possible use of those images and sound recordings for webcasting.

Contact

Persons wishing to obtain any further information on this meeting or for details of access to the meeting, please contact: Matthew Garrard matthew.garrard@lincolnshire.gov.uk or Nicola Calver Nicola.calver@lincolnshire.gov.uk.

Greater Lincolnshire Combined County Authority, c/o County Offices, Newland, Lincoln, LN1 1YL

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Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Appointment of Statutory Officers

Purpose of the report

This report proposes the appointment of those officers required in law as part of the establishment of the Greater Lincolnshire Combined County Authority (GLCCA), and to provide advice and guidance to the inaugural meeting of the Authority.

Recommendation

It is recommended that the Combined County Authority

- a. **appoint Lee Sirdifield as Head of Paid Service, SIRO and as the competent responsible person for health and safety**
- b. **appoint Guy Lonsdale as S73 Officer**
- c. **appoint Lisa Tremble as Monitoring Officer and DPO**
- d. **agree the use of S113 to resource the appointments to the statutory posts of Head of Paid Service, Monitoring Officer and S73 between the respective Constituent Councils providing the resources**

Voting and consent arrangements

Simple majority vote to include the mayor (or chairman prior to first mayoral election). There are no consent requirements for this decision.

The appointment of statutory officers is to be considered prior to the appointment of non-constituent and associate members to the GLCCA. Therefore, only the Constituent Council Members will be able to vote on this item.

Contact details for the report

Report on behalf of: Debbie Barnes OBE, Chief Executive, Lincolnshire County Council
Report prepared by: Tony Kavanagh, Assistant Director HR, Lincolnshire County Council

Information

1. A key requirement for the establishment of the Greater Lincolnshire Combined County Authority (GLCCA) is the appointment of appropriate statutory officers, so that it is legally compliant with the Local Government and Housing Act 1989 and other legislation.
2. The statutory roles that the Combined County Authority is expected to appoint to are;
 - i. Head of Paid Service (HoPS)
 - ii. S73 Chief Finance Officer
 - iii. Monitoring Officer (MO)
 - iv. Scrutiny Officer
 - v. Data Protection Officer (DPO)
 - vi. Senior Information Risk Officer (SIRO)
 - vii. Combined County Authority Returning Officer (CCARO)
3. This report proposes the appointment of those roles necessary to support the Greater Lincolnshire Combined County Authority (GLCCA) through the inaugural meeting, specifically the Head of Paid Service, S73 Officer and Monitoring Officer.
4. In considering appointments to the above roles there are several options available to the Combined County Authority, including:
 - Section 113 – allows a Local Authority to place officers at the disposal of another Local Authority through an agreement. The agreement can be used for the provision of pooled resources, shared services, or the provision of statutory posts.
 - Secondment agreements – are a structured mechanism for seconding an officer to another Local Authority to undertake a specific role.
 - Service Level Agreements (SLAs) – define and ensure quality of service provision and levels being provided by one Authority to another.
5. A Section 113 agreement allows for officers of one council to be placed at the disposal of another to undertake a temporary role change or additional duties. It is proposed that the statutory posts of Head of Paid Service, Monitoring Officer and S73 be appointed from the constituent councils through Section 113 agreements, agreed between the respective Local Authorities providing the resources.
6. Use of Section 113 will ensure that the Local Authorities can adapt quickly to changing needs and priorities without being tied to specific officers.

7. It is proposed that Lincolnshire County Council provide the officer whose function will be HoPS and MO via a Section 113 and North East Lincolnshire Council provide the officer whose function will be the S73 via a Section 113.
8. Following discussions with the Constituent Councils it is proposed to appoint:
 - Lee Sirdifield as Head of Paid Service, Senior Information Risk Officer and the competent responsible person for health and safety
 - Guy Lonsdale as S73 Officer
 - Lisa Tremble as Monitoring Officer and Data Protection Officer
9. The proposed appointments would commence immediately and be reviewed as part of the development of a permanent operating model for the Greater Lincolnshire Combined County Authority as set out elsewhere on the agenda.
10. In the event that the named constituent authorities are unable to provide the agreed resource or the resignation of one of the statutory officer, in the first instance the authority would explore alternative options with the Constituent Councils to ensure delivery of the agreement.
11. Appointments to other statutory roles are dealt with elsewhere on the agenda.

Alternative options considered

12. To not appoint one or more statutory officers. This is not recommended because the positions are a statutory requirement.
13. To not appoint using a S113 agreement. Alternative methods of appointment are set out in the report. These are not recommended.

Reason for the recommendation

14. The proposed appointments enable the inaugural meeting to progress with the key appointments made for the good governance of the new Combined County Authority. The proposed use of S113 arrangements supports the use of existing expertise from the constituent council as part of an interim operating model for the GLCCA to be reviewed as the new authority matures.

Implications, advice and guidance

15. The proposed appointments will advise the Combined County Authority in its work across the whole of the Greater Lincolnshire.

Public sector equality duty implications

16. No specific implications were identified in the preparation of this decision.

Legal implications / comments

17. The Combined County Authority is required to designate one of its officers as Head of Paid Service, Monitoring Officer, Section 73 Officer and a Data Protection Officer under Section 4 of the Local Government and Housing Act 1989.
18. The Head of Paid Service is a statutory post with the duties set out in Section 4 (3) of the 1989 Act which include reporting (where they think it is appropriate) on the co-ordination of the discharge of the Combined County Authority's functions, the number and grades of staff required, the organisation of staff and their appointment and proper management. The Head of Paid Service cannot be the same person as the Monitoring Officer or the S.73 Officer. The Authority is also required to appoint a Statutory Scrutiny Officer and Data Protection Officer, as identified in this report.

Finance and resource implications / comments

19. The costs associated with the proposed interim structure are reflected within the CCA's proposed budget model and are to be financed from grant contributions. Longer term the Pay and Grading structure will shape the pay and remuneration of permanent GLCCA employees.

Alignment with Greater Lincolnshire policy / comments

20. The proposed appointment of statutory officers and S113 arrangements are consistent with the operating model principle set out in the proposal for Devolution to Greater Lincolnshire. Specifically this includes drawing on constituent council expertise.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- Appointments made under a S113 agreement are subject to the decision making of the council forming the other party to the agreement / releasing the resource. Discussions have been had with the constituent councils who are supportive of the use of the S113 agreements for the roles outlined in the report.

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
The Greater Lincolnshire Combined County Authority Regulations 2025	https://www.legislation.gov.uk/uksi/2025/117/contents/made

Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Constitution and Governance Arrangements

Purpose of the report

This report is to seek approval on a number of governance related matters that are required under law to be considered at the inaugural meeting of the Greater Lincolnshire Combined County Authority (GLCCA).

This report will provide advice and make recommendations on the following:

- Constitution (including financial regulations)
- Consents and Concurrency Protocols
- Approve the title of the Mayor under s.42 of the Levelling Up and Regeneration Act 2023
- Appointment of Non Constituent Members: to designate nominating bodies, to receive consent to the designation of nominating bodies and accept any nominations for Non Constituent Members and Delegates (Substitutes)
- Appointment of Associate Member
- Recruitment of an Independent Person to Chair the Overview and Scrutiny Committee
- Recruitment of the Independent Person to Chair the Audit Committee
- Recruitment of two Independent Persons to assist with the standards regime
- Appointments to Outside Bodies including Transport for the North and Rail North Committee

Recommendation

It is recommended that the Combined County Authority:

- a. **Approves the draft Constitution at Appendix A for adoption as the Constitution for the Greater Lincolnshire Combined County Authority (GLCCA).**
- b. **Note the Protocol in Part 5 of the Constitution as the agreed way of collaborative working with the Constituent and Non Constituent Councils where consent and concurrency are required, and recommend that the Constituent and Non Constituent Councils adopt a reciprocal arrangement.**
- c. **Approve the title of the Mayor under s.42 of the Levelling Up and Regeneration Act 2023.**
- d. **Designate the District Joint Committee for Devolution, pursuant to section 11 (1) of the Levelling Up and Regeneration Act 2023, as a nominating body to the Authority so as to nominate such representatives for appointment as non-constituent members to the Authority as provided in the Constitution, subject to the said the District Joint Committee for Devolution consenting to such designation.**
- e. **Designates the Police and Crime Commissioner for Lincolnshire, pursuant to section 11 (1) of the Levelling Up and Regeneration Act 2023, as a nominating body to the Authority so as to nominate a representative for appointment as a non-constituent member to the Authority as provided in the Constitution, subject to the said Office of the Police and Crime Commissioner for Lincolnshire consenting to such designation.**
- f. **Designates the Police and Crime Commissioner for Humber, pursuant to section 11 (1) of the Levelling Up and Regeneration Act 2023, as a nominating body to the Authority so as to nominate a representative for appointment as a non-constituent member to the Authority as provided in the Constitution, subject to the said Office of the Police and Crime Commissioner for Humberside consenting to such designation.**
- g. **Note that the District Joint Committee for Devolution has consented to the designation as a nominating body and in so doing has nominated the following members as non-constituent members of the Authority:**
 - **Councillors Richard Wright, Naomi Twedde, Craig Leyland and Nick Worth.**
- h. **Accepts the nominations and appoints the members detailed in paragraph g above as non-constituent members of the Authority.**
- i. **Note that the Police and Crime Commissioner for Lincolnshire has consented to the designation as a nominating body and in so doing has nominated the Police and Crime Commissioner for Lincolnshire as a non-constituent member of the Authority and the Police and Crime Commissioner for Humberside to act in their absence.**

- j. **Accept the nomination and appoints the Police and Crime Commissioner for Lincolnshire as a non-constituent member of the Authority and notes that the Police and Crime Commissioner for Humberside will act in their absence.**
- k. **Appoint Neal Juster as the Interim Associate Member of the Authority.**
- l. **Delegates to the Interim Monitoring Officer the power to:**
- **Advertise the vacancy for the Independent Person on the Overview and Scrutiny Committee, noting that they will act as the Chair of the Committee, and make recommendations for appointment at a future meeting of the Authority,**
 - **Advertise the vacancy for the Independent Person on the Audit Committee, noting that they will act as the Chair of the Committee, and make recommendations for appointment at a future meeting of the Authority,**
 - **Advertise the vacancies for Independent persons for Standards, and**
 - **Make any amendments to the Constitution in relation to typographical errors or legislative amendments, subject to consultation with the Lead Members of the Constituent Authorities, pending the Mayor taking office at which point consultation would extend to the Mayor as well, ensuring that any amendments are consistent with the provisions of the 2025 Regulations and are reported to the subsequent meeting of this Authority**
- m. **Appoint the Chair of the Authority as the interim co-opted Member for the Transport for the North's Partnership Board and also the Rail North Committee, and appoint a named substitute to attend any meetings in the co-opted member's absence.**

Voting and consent arrangements

Simple majority vote to include the mayor (or chairman prior to first mayoral election). There are no consent requirements for this decision.

Note this report enables the appointment of non-constituent and associate members to the Authority. Only the Constituent Council Members will be able to vote on this item.

Contact details for the report

Report on behalf of: Debbie Barnes OBE, Chief Executive, Lincolnshire County Council
Report prepared by: Lisa Tremble, Head of Legal Services, Lincolnshire County Council

Information

- 1 The Greater Lincolnshire Combined County Authority Regulations 2025 (“the 2025 Regulations”) came into force on 5 February 2025, with the majority of its provisions applying immediately and the remaining provisions coming into force with the election of a Mayor for the Greater Lincolnshire Combined County Authority area on 1 May 2025.

Constitution

- 2 The Authority is required to have a Constitution. Part 2 of the 2025 Regulations makes provisions about the requirements of the Constitution.
- 3 During the drafting of the Constitution relevant officers, including Chief Executive and Leaders of the Constituent and Non Constituent Councils have had input into the process and had the opportunity to make recommendations as to the appropriate structure and content.
- 4 The draft Constitution sets out the functions and responsibilities of each element within the governance framework. The draft Constitution is initially presented with seven parts as follows:

Part 1 – Introduction
Part 2 – Articles of the Combined County Authority
Part 3 – Responsibility for Functions
Part 4 – Procedure Rules
Part 5 – Protocols and Ethical Standards
Part 6 – Member Allowances [to follow]
Part 7 – Management Structure [to follow]
- 5 The Authority is required to approve a governance framework that sets out how it is to operate, how decisions are to be made, and the procedures to be followed to ensure that decisions are transparent and accountable. The draft Constitution at Appendix A is proposed to the Authority for adoption.
- 6 It is also recognised that the Constitution will need to be kept under review and especially in the early period of the Authority, in order to ensure that it reflects the emerging operational requirements of the Authority and can operate in the light of experience and the practical application of the various procedures, protocols and requirements set out. By necessity the Constitution will evolve and further iterations of the Constitution will be brought to the Authority for approval.
- 7 To enable this evolution a number of measures have been inserted into the proposed Constitution to ensure appropriate review around Board and Committee scope, membership, delegations and functions take place on an annual basis as a minimum.
- 8 Members will note that there are a number of references to policy and procedure in the draft Constitution that are yet to have been inserted. These will be added pending their approval as part of other items of business at this meeting.

- 9 It is important that in these early days of the Authority the Monitoring Officer is able to keep the Constitution under regular review as there will be a requirement to make amendments as required to keep pace with operational requirements and policy development as the Authority develops. It is proposed that the three Leaders of the Constituent Councils delegate:
- a. their ability to propose a review to the Constitution under section 14 of the Levelling Up and Regeneration Act 2023 to the Monitoring Officer; and
 - b. the acceptance of any proposed changes to the Monitoring Officer in consultation with the Leaders of the three Constituent Councils, pending the Mayor taking office at which point consultation would extend to the Mayor as well.
- 10 Members will be aware of the Consent and Concurrency Protocol set out in Part 5 of the Constitution. The 2025 Regulations sets out each function (that is, power or duty) of the Authority (including a function exercisable by the Mayor) conferred by the 2025 Regulations. It includes details of whether functions are exercisable concurrently with the Constituent Councils (a “Concurrent Function”) and whether that concurrency is continuing or available for the duration of the transition period (“a Transitional Concurrent Function”). The aim of the Protocol is to promote co-operation and collaboration between the Authority and the Constituent Councils to ensure an optimum use of resources through co-ordination and reducing duplication.
- 11 It is hoped that the Constituent and Non Constituent Councils adopt reciprocal constitutional arrangements in order to ensure consistency in approach to these functions.

Mayoral Title

- 12 Section 42 of the Levelling Up and Regeneration Act 2023 has a requirement entitled ‘alternative mayoral titles. It requires the Authority, by resolution, to agree to:
- (a) provide that the mayor for the area of the CCA is to be known by the title of mayor, or
 - (b) change the title by which the mayor for the area of the CCA is to be known to an alternative title mentioned in subsection 2 of the Act.
- 13 The alternative titles are:
- (a) county commissioner;
 - (b) county governor;
 - (c) elected leader;
 - (d) governor;
 - (e) a title that the CCA considers more appropriate than the alternative titles mentioned in paragraphs (a) to (d), having regard to the title of other public office holders in the area of the CCA.

- 14 The Authority is required to detail the resolution in the notice of the meeting, with that resolution required to be passed by a simple majority of the Combined County Authority members who vote on it.
- 15 It is proposed that the Authority confirm that the mayor for the area be known by the title of the Mayor.

Membership of the GLCCA

- 16 The 2025 Regulations provide that the Membership of the Authority will be:
- The Mayor (who will Chair the Authority)
 - Two Members from each Constituent Council
 - The Constituent Councils will nominate one of these Members as “Lead Member” who gets special voting rights in certain circumstances.
 - Each Constituent Council Member will nominate two named substitute members.
- 17 The 2025 Regulations also allow for additional membership, stating that the Authority must have no more than six non-constituent and associate members. This allows the Combined County Authority to appoint up to a maximum total number of 6 Non-Constituent Members and Associate Members.
- 18 The Levelling Up and Regeneration Act 2023 allows for Combined County Authorities to designate a nominating body for the purposes of nominating Non-Constituent Members of a Authority, on condition that those nominating bodies accept that designation.
- 19 The District Joint Committee for Devolution is proposed to be designated by the Authority as a nominating body for District, City and Borough Council Non-Constituent Members at the Authority and for the wider GLCCA Boards and Committees as detailed within the Constitution.
- 20 The Police and Crime Commissioner for Lincolnshire and the Police and Crime Commissioner for Humberside are proposed to be designated by the Authority as nominating bodies for Non-Constituent Members at the Authority as detailed within the Constitution.
- 21 Each nominating body to the Authority must nominate another person to act as the member of the Authority in the absence of the member appointed under section 11(3) of the 2023 Act (non-constituent members of a CCA).
- 22 Each of the proposed nominating bodies has been approached ahead of the inaugural meeting of the Authority and have conditionally given their consent to the designation, subject to them being formally designated by the Authority.

- 23 In light of the above, the proposed nominating bodies have also been able to make nominations for member appointments. The recommendations set out above should be taken in order to recognise the designation, consent, nomination and appointment procedure.
- 24 Based on the proposals within this report and the draft Constitution, the request would be for four nominations from the District Joint Committee for devolution and one nomination from either Police and Crime Commissioner. It is intended that the Police and Crime Commissioners will hold their seat on a rotational basis.
- 25 The Boards of the Authority will take the same membership as the Authority.
- 26 A report in relation to the membership of the regulatory committees will be brought to the Authority in due course.

Independent Person for Standards

- 27 The Localism Act 2011 provides that a relevant Authority, which includes the Authority, must have appointed at least one Independent Person who must be consulted when complaints against councillors are made which the Authority is minded to investigate. Best practice is to have two or more Independent Persons to ensure enough capacity and resilience to deal with potential conflicts or absences, etc). Independent Persons must be appointed after the vacancy has been advertised in such manner as the relevant authority considers is likely to bring it to the attention of the public. Therefore, it is recommended that delegation is given to the Interim Monitoring Officer to publicise two vacancies and to make a recommendation for appointment of two Independent persons at a future meeting of the Authority.

Regulatory Committee Independent Persons

- 28 The Levelling Up and Regeneration Act 2023 states that Combined County Authorities must appoint to their Audit Committee and Overview and Scrutiny Committee at least one independent person and the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 further provide that such person can only be appointed after the vacancy has been advertised in such manner as the relevant authority considers is likely to bring to the attention of the public and that person's appointments has been approved by a majority of the members of the relevant authority.
- 29 Therefore, it is recommended that delegation is given to the Interim Monitoring Officer to publicise the vacancies for both Independent Member appointments and to make a recommendation for appointments at a future meeting of the Authority.

Appointments to Outside Bodies

- 30 The Constitution provides that the responsibility for making Member appointments to Outside Bodies lies with the Authority. Ordinarily this would form part of the Annual Meeting, however in the circumstances, to ensure that the Authority has immediate representation it is considered necessary to make two interim appointments ahead of

the Annual Meeting to Transport for the North's Partnership Board and the Rail North Committee following requests for nominations from both bodies.

- 31 The Authority has received a request for nominations for co-opted Members to the Transport for the North's Partnership Board and also the Rail North Committee.
- 32 Transport for the North's Constitution states the co-opted member must be the Elected Mayor, Leader or Chair, provided that if responsibility for transport has been formally delegated to another member of the GLCCA that member may be appointed. The substitute co-opted member can be an elected member from Authority.
- 33 Pending the election of the Mayor it is recommended that the Chair of the Authority is appointed as the Member for the Transport for the North's Partnership Board and the Rail North Committee.

Alternative options considered

- 34 This report sets out a series of governance related matters that the Authority is obliged to consider, including the adoption a Constitution, arising from a series of legal requirements specified under the Levelling up and Regeneration Act 2023 and the 2025 Regulations. Accordingly no other options have been considered.

Reason for the recommendation

- 35 The Authority is required to have in place provisions setting out its legal and governance structure, including the adoption of a Constitution This report addresses those issues.

Implications, advice and guidance

- 36 The implications are set out in detail in the body of the report.

Public sector equality duty implications

- 37 No specific implications were identified in the preparation of this report.

Legal implications / comments

- 38 The legal implications of the proposed Constitution are contained in the body of this report. Constitutional requirements are derived from the Levelling up and Regeneration Act 2023, the Greater Lincolnshire Combined County Authority Regulations 2025 and the Combined Authority (Overview and Scrutiny Committees, Access to information and Audit Committees) Order 2017, together with a variety of underpinning Local Government legislation applicable to Combined County Authorities. The approach to the development of the Constitution has been to develop an initial constitution to enable the Authority to be legally compliance and functional from day one of its operation but with the scope to develop and evolve those arrangements, within the legislative framework, once a Mayor has been elected into office and the operations of the Authority are fully realised.

Finance and resource implications / comments

- 39 There are no direct financial implications arising from the recommendations within this report, however the constitution, financial regulations and appointment of independent persons to key scrutiny roles will support effective internal control, governance and value for money principles.

Greater Lincolnshire policy / comments

- 40 The Constitution is required as part of the arrangements to enable devolution to the Mayor and Greater Lincolnshire Combined County Authority.
- 41 It should be noted that the Government’s Devolution White Paper proposes to remove alternative titles for mayors. The recommendations future proof the GLCCA against any such change.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- During the drafting of the Constitution relevant officers, Chief Executive and Leaders of the Constituent and Non-Constituent Councils have had input into the process and had the opportunity to make recommendations as to the appropriate structure and content.

Appendices included with this report

The following documents are included:

- Appendix A – Draft Constitution

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
The Greater Lincolnshire Combined County Authority Regulations 2025	https://www.legislation.gov.uk/uksi/2025/117/contents/made
Levelling Up and Regeneration Act 2023	https://www.legislation.gov.uk/ukpga/2023/55/contents
Combined Authority (Overview and Scrutiny Committees, Access to information and Audit Committees) Order 2017	https://www.legislation.gov.uk/uksi/2017/68/contents/made

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Greater Lincolnshire Combined County Authority Constitution

Greater Lincolnshire
Combined County Authority 



January 2025

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PART 1 – INTRODUCTION

1. Background

- 1.1 The Greater Lincolnshire Combined County Authority (the Authority) was established pursuant to the Greater Lincolnshire Combined County Authority Regulations 2025 (the GLCCA Regulations) on 5 February 2025 in order to bring together the three upper tier councils of Greater Lincolnshire, working collaboratively with Lincolnshire district, city and borough councils, and business and partners to champion the interests of the Greater Lincolnshire area nationally and internationally.
- 1.2 The Greater Lincolnshire Combined County Authority will have its offices at County Offices, Newland, Lincoln, LN1 1YL.
- 1.3 The Constituent Councils of the Authority are:
- Lincolnshire County Council
 - North Lincolnshire Council
 - North East Lincolnshire Council
- 1.4 The Non-Constituent Councils of the Authority area are:
- Boston Borough Council
 - City of Lincoln Council
 - East Lindsey District Council
 - North Kesteven District Council
 - South Holland District Council
 - South Kesteven District Council
 - West Lindsey District Council
- 1.5 Other Non-Constituent Members of the Authority Area are:
- Police and Crime Commissioner for Lincolnshire
 - Police and Crime Commissioner for Humberside
- 1.6 The Authority is responsible for a range of functions across Greater Lincolnshire, these include:
- **Adult education and skills functions**
 - **Land and housing powers**
 - **Net Zero, energy and environment functions**
 - **Business growth and innovation functions**
 - **Transport Functions**
- 1.7 The functions of the Authority are those functions conferred or imposed on it by the GLCCA Regulations or any other enactment (whenever passed or made) or as may be delegated to it. The Authority will exercise all its powers and duties in accordance with the law and this Constitution.

2. The Constitution

- 2.1 This Constitution sets out how the Authority works, makes decisions, and the procedures the Authority will follow to make sure its work is efficient, and effective, and is both transparent and accountable to residents, businesses and wider stakeholders. Some of these procedures are set by law, while others are ones the Authority have chosen to follow.
- 2.2 The Constitution has 7 parts, plus several appendices. These are outlined below as follows:

Part 1: Introduction to the Authority and the Authority's Constitution, including how the Constitution is arranged and an index of definitions used in the Constitution.

Part 2: Articles of the Constitution which set out the underpinning legal framework of the Authority and signpost readers to relevant aspects throughout the Constitution.

Part 3: Responsibility for Functions setting out who is responsible for exercising each function of the Authority.

Part 4: Procedure Rules which govern how the Authority, and its decision-makers operate, including:

- formal meetings of the Authority and its Boards and Committees,
- how to access information, and
- procedures relating to finance and contracts.

Part 5: Ethical Standards including codes of conduct for Members and officers of the Authority, and protocols relating to conduct, conflicts of interest and relationships between officers and members.

Part 6: Member allowances scheme (to follow)

Part 7: Management structure (to follow)

- 2.3 The purpose of the Constitution is to:
- enable the Authority to provide leadership to the community in partnership with councils, citizens, businesses, and other organisations.
 - support the involvement of citizens in the process of local decision-making.
 - enable decisions to be taken efficiently and effectively.
 - provide ways to hold decision-makers to public account.
 - ensure that no one reviews or scrutinises a decision in which they have been directly involved.
 - clarify who takes decisions and ensure that decision-makers explain the reasons for decision, and
 - help achieve the Authority's ambitions and outcomes for Greater Lincolnshire (as set out in the Greater Lincolnshire Plan)
- 2.4 The Monitoring Officer will regularly monitor and review the operation of the Constitution, this will include an annual review to ensure that it remains fit for purpose.
- 2.5 The Monitoring Officer is authorised to make the following changes to the Constitution:
- (a) a minor variation
 - (b) legal or technical amendments that do not materially affect the Constitution,
 - (c) required to be made to remove any inconsistency, ambiguity, or typographical error,
 - (d) required to be made so as to put into effect any decision of the Authority, Mayor, Board or Committee, sub-Committee or officer exercising delegated powers; or
 - (e) required to reflect any changes to job or role titles.
- Any such amendments must be reported retrospectively to the Authority for noting.
- 2.6 A majority of the Authority Constituent representatives can propose a review of the Constitution, without the majority needed to include the Mayor.
- 2.7 Any amendments or changes proposed by such a review require a majority vote which does include the Mayor in order to be accepted.

- 2.8 Changes to the Constitution will only be approved by the Authority unless arrangements are solely the responsibility of the Mayor.
- 2.9 The s. 73 Officer shall be responsible for monitoring and keeping under review the Financial Procedural Rules set out in the Constitution.
- 2.10 The Monitoring Officer shall make any final decision regarding the application of the Constitution.

3. Definitions

- 3.1 Throughout the Constitution, unless otherwise expressly stated, the following definitions shall apply:

'the 2023 Act'	the Levelling Up and Regeneration Act 2023
'the Authority'	the Greater Lincolnshire Combined County Authority as defined by Regulation 3 of the GLCCA Regulations 2025.
'the Constituent Councils'	Lincolnshire County Council, North Lincolnshire Council and North East Lincolnshire Council
'the Deputy Mayor'	the member of the Authority appointed by the Mayor to be the Mayor's deputy pursuant to section 29(1) of the 2023 Act
'The GLCCA Regulations'	(a) the Greater Lincolnshire Combined County Authority Regulations 2025 (b) Such other secondary legislation made by the Secretary of State in relation to the GLCCA pursuant to the 2023 Act
'the Mayor'	the person elected as mayor by the local government electors for the Combined County Authority Area
'Mayoral functions'	any function of the Authority which is exercisable only by the Mayor (or the Mayor's delegate) by virtue of the GLCCA Regulations or any other enactment (whenever passed or made)
'Nominating body'	a body designated by the Authority under section 11(1) of the 2023 Act
'Non-Constituent Member'	A non-constituent member is an individual Member nominated as a representative by a nominating body designated as such by the Authority in accordance with section 11 of the 2023 Act.
'Associate Member'	An associate member is an individual appointed to be a member of the Authority in accordance with section 12 of the Levelling-up and Regeneration Act 2023
'Concurrent function'	Any function of the Combined County Authority (including a function exercisable by the Mayor) conferred by the GLCCA Regulations which is exercisable concurrently with the Constituent and/or the District and Borough/ Councils of the Authority area. That is, both the Authority and Constituent and/or District and Borough Councils of the Authority may exercise the function independently of one another.

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PART 2 – Articles

The Articles of the Constitution set out the underpinning legal framework of the Authority and signpost readers to relevant aspects throughout the Constitution.

Article 1. The Combined County Authority (The Authority)

- 1.1 The Authority is a body corporate and was established pursuant to the GLCCA Regulations 2025 on 5 February 2025 as the Combined County Authority.
- 1.2 The Mayor and the Authority, and its supporting governance framework will work together in collaboration, in the interests of the people of Greater Lincolnshire. This Constitution sets out arrangements to ensure the effective conduct of the Authority's business, in this spirit of collaboration, mutual respect and transparency.
- 1.3 All Members will strive to work on the basis of consensus, taking decisions through agreement wherever possible. These principles shall apply irrespective of the statutory basis for the exercise of those powers, whether through the powers and responsibilities of the Mayor or the Authority.
- 1.4 The powers of the Mayor are to be exercised through collaboration within the Authority, its Boards, Committees, and in partnership with all relevant stakeholders wherever possible.

1. Membership of the Authority

- 1.5 The Authority comprises six Constituent Members in addition to the Mayor, who is a member of the Authority by virtue of that office.
- 1.6 Each of the Constituent Councils will appoint two of its elected members to be a Member of the Authority.
- 1.7 Each of the Constituent Councils must designate one of the members appointed 1.6 above as the Lead Member.
- 1.8 In addition, each Constituent Council will appoint two named elected members for each member appointed at Article 1.6 above, who will act as a Member of the Authority in the absence of the member appointed under Article 1.6 ('the Substitute Members'). The Substitute Members will be entitled to discharge all of the roles and responsibilities of the Member that they are acting on behalf of.
- 1.9 The Mayor must appoint one of the members of the Authority to be the Deputy Mayor.
- 1.10 Except to the extent that various functions are to be exercised only by the Mayor (or may be exercised by the Mayor's delegate) all Members will:
 - (a) collectively be the ultimate policy makers of Authority
 - (b) bring views of their communities into the Authority decision-making process; and
 - (c) maintain the highest standards of conduct and ethics
- 1.11 Members will at all times observe the Code of Conduct for Members set out in **Part 5** of this Constitution.
- 1.12 A person will cease to be a Member or a Substitute Member of the Authority if they cease to be a Member of the Constituent Councils that appointed them. The Constituent Councils shall appoint or nominate a replacement as soon as possible.
- 1.13 A person may resign as a Member or Substitute Member of the Authority by written notice served

on the Proper Officer of the Constituent Council that appointed them, and the resignation takes effect on receipt of the notice by the Proper Officer of the Council.

- 1.14 Where a Member or Substitute Member of the Authority's appointment ceases by virtue of 1.12 or 1.13 above the Constituent Council that made the appointment must, as soon as practicable, give written notice of that fact to the Authority and appoint another of its elected Members in that member's place.
- 1.15 A Constituent Council may at any time terminate the appointment of a Member or Substitute Member appointed by it to the Authority and appoint another one of its elected members in that Member's place.
- 1.16 Where a Constituent Council exercises its power under sub-paragraph 1.15 above, it must give written notice of the new appointment and the termination of the previous appointment to the Authority and the new appointment takes effect and the previous appointment terminates.
- 1.17 The Authority may also appoint up to six Non-Constituent and associate Members in total.
- 1.18 Four of the Non – Constituent Members will be from the Non Constituent Councils and one other non-constituent member will be a Police and Crime Commissioner from within the Authority's area.
- 1.19 Each Nominating Body of the Authority must nominate another Member to act as the Member of the Authority in the absence of the Member appointed under section 11(3) of the 2023 Act (non-constituent members of a Combined County Authority) to be known as Delegate Members.
- 1.20 An Associate Member appointed under section 12(1) of the 2023 Act (associate members of a Combined County Authority) must nominate another person to act as a Member of the Authority in their absence.
- 1.21 All Members of the Authority may speak on items on the agenda of meetings irrespective of whether they have a vote at the meeting.

2. Chair of GLCCA

- 2.1 The Mayor is the Chair of the Combined County Authority.
- 2.2 The procedure for the appointment of the Chair and Vice Chair is set out in the Combined County Authority Procedure Rules in **Part 4** of this Constitution.

3. Meetings and Procedure

- 3.1 The Combined County Authority will usually meet bi-monthly (*once every 2 months*), but additional meetings may take place within the monthly period should the need arise.
- 3.2 There are three types of Combined County Authority meeting:
 - (a) the annual meeting;
 - (b) ordinary meetings; and
 - (c) extraordinary meetings.

they will be conducted in accordance with the Combined County Authority Procedure Rules set out in **Part 4** of this Constitution.

4. Responsibility for Functions

- 4.1 Only the Combined County Authority will exercise Authority functions set out in **Part 3 Section 2** of this Constitution. Only the Mayor will exercise mayoral functions set out in **Part 3 Section 3** of this Constitution.
- 4.2 The Authority may delegate the discharge of its functions which are not reserved to the Authority to Boards, committees, sub-committees, officers, joint committees or other local authorities, pursuant to section 101 of the Local Government Act 1972.
- 4.3 The Mayor may delegate the discharge of mayoral general functions (which are not reserved to the Mayor) to the Deputy Mayor or any member or officer of the Authority.
- 4.4 The Authority has delegated the discharge of the Authority functions to committees and officers in accordance with the scheme of delegation contained in **Part 3 Section 6** of this Constitution.
- 4.5 The Mayor has delegated the discharge of mayoral general functions in accordance with the scheme of delegation contained in **Part 3 Section 6** of this Constitution.
- 4.6 The Authority and the Mayor will review their scheme of delegation regularly, in consultation with the Monitoring Officer.

5. Committees of the Combined County Authority

- 5.1 The Combined County Authority is required to appoint an Audit Committee and one or more Overview and Scrutiny Committees. These are statutory committees – see **Part 3** for relevant terms of reference.
- 5.2 The Authority may establish other Boards and committees as it thinks fit to discharge its functions. The Authority has established a number of Boards and Committees to discharge the functions set out in Part 3 of this Constitution.

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Article 2. The Mayor

1. Election of the Mayor

- 1.1 The Mayor is elected by the local government electors for the Authority's Area.
- 1.2 The first election for the return of a Mayor for the Area is to take place on 1st May 2025.
- 1.3 Subsequent elections for the return of a mayor for the Area are to take place:
- (a) on the ordinary day of election in 2029, and
 - (b) in every fourth year thereafter on the same day as the ordinary day of election.
- 1.4 The term of office of the mayor returned at an election in 2025 for the return of a mayor for the Area:
- (a) begins with 6th May 2025, and
 - (b) ends with the third day after the day of the poll at the next election for the return of a mayor for the Area
- 1.5 The term of office of the Mayor returned in each subsequent fourth year:
- (a) begins with the fourth day after the day of the poll at the election for the return of the Mayor for the Area; and
 - (b) ends with the third day after the day of the poll at the next election for the return of the Mayor for the Area

2. General

- 2.1 The Mayor is the Chair of the Combined County Authority.

3. Deputy Mayor

The Mayor must appoint one of the Constituent Council Members to be the Mayor's deputy (the Deputy Mayor).

The Mayor must notify the Monitoring Officer of any such appointment in writing. The Monitoring Officer shall report the appointment to the next meeting of the Authority.

4. Incapacity or Vacancy of the Mayor

- 4.1 The Deputy Mayor must act in place of the Mayor if for any reason:
- the Mayor is unable to act, or
 - the office of Mayor is vacant.
- 4.2 If for any reason:
- the Mayor is unable to act, or the office of Mayor is vacant, and
 - the Deputy Mayor is unable to act or the office of Deputy Mayor is vacant, the other Combined County Authority Members must act together in place of the Mayor, taking decisions by a simple majority.

5. Mayoral Functions

- 5.1 The Mayoral Functions of the Authority are functions of the Authority exercisable only by the Mayor.

5.2 For the purposes of the exercise of the Mayoral Functions, the Mayor has the general powers of the Combined County Authority set out in section 49 of the 2023 Act.

5.3 The Mayor may exercise the general powers referenced in 5.2 above subject to the restrictions which apply to the exercise of that power and after having due regard to advice from the Monitoring Officer and Chief Finance Officer.

6. Mayoral Decision-Making

6.1 The Mayor must comply with the Mayoral Procedure Rules in **Part 4 Section 2** and make decisions in accordance with the principles of decision-making set out in Article 6 (Decision-making).

7. Advisory Groups

7.1 The Mayor may appoint an Advisory Group to inform the development of strategic and policy matters which relate to any Mayoral General Function. The Mayor cannot delegate authority to any Advisory Group to act on behalf of the Mayor nor on behalf of the Combined County Authority. The Mayor and Authority are expected to work together around the establishment of advisory groups to avoid duplication and to bring together similar workstreams.

8. Conduct

8.1 The Mayor must at all material times comply with any applicable Code or Protocol set out in **Part 5** of the Constitution, including the Members' Code of Conduct.

9. Remuneration

9.1 Any allowance payable to the Mayor shall not exceed a sum determined by the Independent Remuneration Panel. The Mayor's allowance is set out in the Members' Allowances Scheme in **Part 6** of this Constitution.

10. Budget and Finance

10.1 The Mayor must comply with the **Part 4** of this Constitution including Budget and Policy Procedure Rules, Contracts Standing Orders and Financial Regulations; see further also Article 9 (Finance, Contracts and Legal matters).

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Article 3. Citizens and the Combined County Authority

1. Voting

- 1.1 Local government electors for the Combined County Authority's Area have the right to vote directly for the office of the Mayor on the ordinary polling day every fourth year from 2025.

2. Information

The Access to Information Rules in **Part 4** of the Constitution set out the public's rights to information held by the Authority, including:

- in relation to meetings of the Authority and its Boards, committees and sub-committees, (subject to exceptions including in relation to confidential or information information), rights:
 - to attend meetings,
 - to inspect agendas of and reports to meetings and background documents,
 - to access documents after a meeting including minutes, and
 - to report on and record a meeting.
- to inspect the Forward Plan to find out about:
 - any Key Decision to be made by the Authority, and
 - any request to be made to a Constituent Council for a Statutory Consent to exercise a concurrent function or in respect of a decision of the Mayor which gives rise to a financial liability,
- to inspect written records of decisions made by the Mayor and others authorised to make decisions under arrangements agreed by the Mayor,
- to inspect written records of decisions made by officers,
- to access information generally held by the Combined County Authority
- to inspect a list of Authority Members

3. Consultation

- 3.1 The Combined County Authority must consult with citizens in accordance with any statutory requirement to do so.

4. Petitions

- 4.1 The Combined County Authority does operate a Petitions Scheme.

5. Complaints

- 5.1 Citizens have the right to complain to the Authority under its complaints scheme, or to the Local Government and Social Care Ombudsman (after exhausting the Authority's complaints scheme).
- 5.2 Citizens may submit any complaint about the conduct of a Combined County Authority Member whilst acting as a member of the Combined County Authority, to the Combined County Authority's Monitoring Officer in writing, in accordance with the procedure for considering complaints alleging a failure to comply with the Members' Code of Conduct in **Part 5** of this Constitution. This includes complaints about the conduct of the Mayor.

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Article 4. Joint Arrangements

- 1.1 The Authority has power pursuant to Section 101(5) of the Local Government Act 1972 to make arrangements with other local authorities to discharge their functions jointly.
- 1.2 Such arrangements may involve the discharge of those functions by a joint committee of such authorities or by an officer of one of them.
- 1.3 The Mayor may enter into arrangements jointly with the Combined County Authority and with the Constituent Councils in accordance with Section 101(5) of the Local Government Act 1972 for the discharge of Mayoral Functions listed in Regulation 23 of the GLCCA Regulations.
- 1.4 The Terms of References for any Joint committees or arrangements will be added to the respective Constitutions.

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Article 5. Officers

1. Chief Officers

1.1 The Authority has appointed the following as Chief Officers for the purposes of **Part 3** (Scheme of Delegation of Functions to Chief Officers) of this Constitution.

- Chief Operating Officer (Head of Paid Service)
- Deputy Director
- Strategic Finance and Investment Officer (s.73 Chief Finance Officer)
- Monitoring Officer

2. Statutory Officers

2.1 The Combined Authority is required to appoint or designate the following statutory officers:

- Head of Paid Service
- Monitoring Officer, and
- Section 73 Chief Finance Officer

2.2 By law, some functions of the Monitoring Officer and Section 73 Chief Finance Officer (apart from the administration of the financial affairs of the Authority) must be carried out personally or carried out by a deputy nominated by them in cases of absence or illness.

Head of Paid Service – Statutory Functions

2.3 The Head of Paid Service, where the Head of Paid Services considers it appropriate, must prepare a report to the Authority setting out their proposals in relation to:

- the manner in which the discharge by the Authority of its different functions is coordinated,
- the number and grades of staff required by the Authority for discharging its functions,
- the organisation of the Authority's staff, and
- the appointment and proper management of the Authority's staff.

2.4 The Authority must consider any such report at a meeting within three months of the report first being sent to the Combined County Authority Members.

2.5 The Head of Paid Service must consider any application for exemption from political restriction in respect of any post in the Authority by the holder for the time being of that post and may give directions to the Authority to include a post in the list of politically restricted posts.

Monitoring Officer – Statutory Functions

2.6 If it appears to the Monitoring Officer that any proposal, decision, or omission by the Combined County Authority would give rise to unlawfulness or to maladministration, the Monitoring Officer must send a report to each Combined County Authority Member (after consulting so far as practicable with the Head of Paid Service and Section 73 Chief Finance Officer). The Combined County Authority must consider any such report at a meeting not more than 21 days after copies of the report are first sent to the Combined County Authority Members.

The Authority must ensure that the implementation of the proposal or decision must be suspended until the report has been considered.

Section 73 Chief Finance Officer – Statutory Functions

2.7 The Section 73 Chief Finance Officer is responsible for the administration of the financial affairs of the Combined County Authority, in accordance with Section 73 of the Local Government Act 1985.

- 2.8 After consulting so far as practicable with the Head of Paid Service and the Monitoring Officer, the Section 73 Chief Finance Officer must prepare a report if it appears to the Section 73 Chief Finance Officer that the Combined County Authority:
- has made or is about to make a decision which involves or will involve incurring unlawful expenditure, or
 - has taken or is about to take a course of action which would be unlawful or is likely to cause a loss or deficiency, or
 - is about to enter an item of account unlawfully.
- 2.9 The Section 73 Chief Finance Officer must also make such a report if it appears that the expenditure of the Authority incurred in a financial year is likely to exceed the resources available to the Authority.
- 2.10 The Section 73 Chief Finance Officer must send a copy of any such report to the Local Auditor and to each Combined County Authority Member. The Authority must consider the report at a meeting not later than 21 days after the report has been sent to Combined County Authority Members and decide whether to agree or disagree with the views contained in it, and what action it proposes to take. The Local Auditor must be notified of the meeting and as soon as practicable, any decision taken at the meeting.

Statutory Scrutiny Officer

- 2.11 The Authority must designate one of its officers as the Statutory Scrutiny Officer, whose responsibilities and functions are set out in the Overview and Scrutiny Procedural Rules of this Constitution. They may not be an officer of a Constituent Council.

Data Protection Officer

- 2.12 The Authority must appoint a Data Protection Officer in accordance with the UK General Data Protection Regulations.

Head of Internal Audit

- 2.13 The Authority will appoint a Head of Internal Audit in order to comply with its internal audit obligations contained in the Accounts and Audit Regulations 2015.

3. General

- 3.1 The Authority may appoint officers, as it considers necessary to carry out its functions.
- 3.2 Officers will comply with the Code of Conduct for Officers.

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Article 6. Decision-Making

1. Responsibility for Decision-Making

- 1.1 The Authority and the Mayor will issue and keep up to date a record of what part of the Authority or which individual has responsibility for particular types of decisions or decisions relating to particular functions. This record is set out in **Part 3** of this Constitution.

2. Principles of Decision-Making

- 2.1 All decisions of the Authority should be made in accordance with the following principles:
- (a) due regard to all relevant and material considerations and without regard to any irrelevant considerations;
 - (b) where appropriate, the realistic evaluation of alternatives;
 - (c) proportionality (i.e., the action must be proportionate to the desired outcome);
 - (d) due consultation and the taking of professional advice from officers;
 - (e) respect for human rights and equalities;
 - (f) a presumption in favour of openness;
 - (g) clarity of aims and desired outcomes; and
 - (h) reasons being given for the decision, as appropriate.

3. Key Decisions

- 3.1 A “key decision” means a decision, which is likely to:
- (a) result in the Authority or the Mayor spending or saving a significant amount, compared with the budget for the service or function the decision relates to; or
 - (b) be significant in terms of its effects on persons living or working in an area comprising two or more wards or electoral divisions in the area of the combined authority.

- 3.2 When assessing whether or not a decision is a key decision, Members must consider all the circumstances of the case. However, a decision which results in a significant amount spent or saved will not generally be considered to be a key decision if that amount is less than £500,000.

- 3.3 A decision-maker may only make a Key Decision in accordance with the requirements of the:
- Access to Information Rules, and
 - Combined County Authority Procedure Standing Orders, or
 - Mayoral Procedure Rules

- 3.4 Decisions may be reviewed or scrutinised by way of call in by an overview and scrutiny committee in accordance with the Overview and Scrutiny Procedure Rules.

4. Types of Decisions

(a) Decisions reserved to the Combined County Authority

Decisions relating to the functions listed in **Part 3 Section 2** of this Constitution will be made by the Combined County Authority and not delegated. The Combined County Authority meeting will follow the Rules of Procedure set out in **Part 4** of this Constitution when considering any matter.

(b) Decisions reserved to the Mayor

Decisions relating to the Mayor’s general functions listed in **Part 3 Section 3** of this Constitution specified as being reserved to the Mayor will be made by the Mayor and not delegated, apart from those functions that can be delegated to a Deputy Mayor.

(c) Decision making by Boards, Committees and Joint Committees established by the Combined County Authority

Boards, Committees and Joint Committees established by the Combined County Authority will follow those parts of the Rules of Procedure set out in **Part 4** of this Constitution as apply to them.

(d) Decision making by Officers

Officers will exercise their delegated authority in accordance with the Scheme of Delegation to Officers set out in **Part 3 Section 6** of this Constitution and other provisions of this Constitution.

5. Recording Decisions

Any decision taken at a meeting of the Combined County Authority or one of its Boards, Committees or sub- committees will be recorded in the minutes of the meeting. Any other decision will be recorded in accordance with Access to Information Rules in **Part 4** of this Constitution.

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Article 7. Finance, Contracts and Legal Matters

1. Financial Management

- 1.1 The management of the Authority's financial affairs will be conducted in accordance with the Financial Procedures set out in **Part 4** of the Constitution.

2. Legal Proceedings

The Monitoring Officer is authorised to institute, settle, defend or participate in any legal proceedings in any case where such action is necessary to give effect to decisions of the Authority or in any case where the Monitoring Officer considers that such action is necessary to protect the Authority interests.

3. Authentication of Documents

- (a) Where any document is necessary to any legal procedure or proceedings on behalf of the Combined County Authority, it will be signed by the Monitoring Officer or some other person duly authorised by the Combined County Authority or the Monitoring Officer, unless any enactment otherwise authorises or requires.
- (b) Any contract with a value exceeding £50,000 entered into by the Combined County Authority shall be made in writing. Such contracts must be signed by a duly authorised officer of the Combined County Authority or made under the Common Seal of the Combined County Authority attested by an authorised officer. Any contract which in the opinion of the Monitoring Officer should be sealed must be made under the Common Seal of the Combined County Authority attested by an authorised officer.

4. Common Seal of the Combined County Authority

The Common Seal of the Combined County Authority will be kept in a safe place in the custody of the Monitoring Officer. A decision of the Combined County Authority, or any part of it, will be sufficient authority for sealing any document necessary to give effect to the decision. The Common Seal will be affixed to those documents which in the opinion of the Monitoring Officer should be sealed. The affixing of the Common Seal will be attested by the Monitoring Officer, or some other person authorised by the Monitoring Officer.

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PART 3 – Responsibility for Functions

3.1. Introduction

Part 3 sets out the responsibility for the functions of the Combined County Authority and functions of the Mayor.

Combined County Authority (the 'Authority') Functions

- 1.1 Authority Functions are functions of the Combined County Authority which are not exercisable by the Mayor. **Part 3 - Section 2** sets out an overview of the Authority Functions, including those conferred by the GLCCA Regulations.
- 1.2 Authority Functions are exercised by the Combined County Authority at a meeting of the Authority or in accordance with arrangements agreed by the Authority.
- 1.3 Certain Authority Functions can only be exercised with the consent of a relevant constituent council, district, borough or city council. These are identified in **Part 3 - Section 2**.
- 1.4 The Authority may make arrangements for any Authority Function, except those reserved to the Authority, to be exercised:
 - by a Board, committee or sub-committee of the Authority,
 - by an officer of the Authority,
 - by another local authority, or
 - under joint arrangements with one or more other local authorities.
- 1.5 **Part 3 – Section 4** sets out the Authority Functions which have been reserved to the Authority and must be taken at a meeting of the Authority.
- 1.6 **Part 3 - Section 5** sets out the Authority Functions which have been delegated to Boards, committees or sub- committees of the Authority and the terms of reference agreed for those Boards, committees and sub- committees.
- 1.7 **Part 3 - Section 6** sets out the Authority Functions which have been delegated to officers of the CCA.
- 1.8 **Part 3 - Section 7** sets out the Authority Functions which are to be exercised by another local authority or under joint arrangements with one or more other local authorities.
- 1.9 Where an Authority Function has been delegated under arrangements, this does not prevent the Authority exercising the function.

2. Mayoral Functions

- 2.1 Mayoral Functions are functions of the Combined County Authority exercisable only by the Mayor. **Part 3 - Section 3** sets out an overview of the Mayoral Functions, including those conferred by the GLCCA Regulations.
- 2.2 Mayoral Functions are exercised by the Mayor acting individually, or in accordance with arrangements made by the Mayor.
- 2.3 Certain Mayoral Functions can only be exercised with the consent of a lead member of a Constituent

Council given at a meeting of the Combined County Authority. These are identified in **Part 3 – Section 2**.

- 2.4 Certain Mayoral Functions can only be exercised with the consent of a constituent council, relevant district council. These are identified in **Part 3 - Section 3**.
- 2.5 The Mayor may arrange for any of the following to exercise any Mayoral Function, except those reserved by law to the Mayor:
- the Deputy Mayor,
 - another Authority member, or
 - an officer of the Authority.
- 2.6 The Mayor may enter into arrangements jointly with the Authority, the Constituent Councils and other Councils in accordance with section 101(5) of the Local Government Act 1972 for the discharge of the Mayoral Functions.
- 2.7 The Mayoral Functions which have been delegated to the Deputy Mayor or another Member of the Authority will be set out in the Constitution once they have been made.
- 2.8 **Part 3 - Section 6** sets out the Mayoral Functions which have been delegated to officers of the Authority.
- 2.9 Where a Mayoral Function has been delegated under arrangements, this does not prevent the Mayor exercising the function.
- 2.10 The Mayor may amend their arrangements at any time.

3. Statutory Consents

- 3.1 Statutory Consents shall be followed in respect of:
- a. Authority Functions that can only be exercised with the consent of a relevant constituent council;
 - b. Authority Functions that can only be exercised with the consent of a relevant district, borough or city council;
 - c. Mayoral Functions that can only be exercised with the consent of a lead member of a Constituent Council given at a meeting of the Combined County Authority; and
 - d. Mayoral Functions that can only be exercised with the consent of a relevant district, borough or city council.

3.2 Combined County Authority Functions

Combined County Authority Functions conferred by the GLCCA Regulations

The Transitional period will run from the first day of the Combined County Authority until 31 March 2026.

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Finance, Investment, Innovation and Trade							
Duty to prepare assessment of economic conditions	Section 69 Local Democracy, Economic Development and Construction Act 2009	Reg 28(1)	Y	N		Simple majority which includes the Mayor	
Housing and Planning							

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to compulsorily acquire land for development / planning purposes	Section 226 Town and Country Planning Act 1990	Reg 7(1)(f)	Y (and concurrent with Districts)	<p>Y - requires the consent of:</p> <ul style="list-style-type: none"> the lead member for any constituent council whose area contains any part of the land subject to the proposed compulsory acquisition, or a substitute member acting in place of such a member; and each district council whose local government area contains any part of the land subject to the proposed compulsory acquisition 		Simple majority which includes the Mayor	Y
Power to acquire land by agreement	Section 227 Town and Country Planning Act 1990	Reg 7(1)(g)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to appropriate land	Section 229 Town and Country Planning Act 1990	Reg 7(1)(h)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to acquire land for exchange	Section 230(1)(a) Town and Country Planning Act 1990	Reg 7(1)(i)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to appropriate land held for planning purposes	Section 232 Town and Country Planning Act 1990	Reg 7(1)(j)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to dispose of land held for planning purposes	Section 233 Town and Country Planning Act 1990	Reg 7(1)(k)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to develop land held for planning purposes	Section 235 Town and Country Planning Act 1990	Reg 7(1)(l)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to extinguish rights over land	Section 236 Town and Country Planning Act 1990	Reg 7(1)(m)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to use and develop consecrated land	Section 238 Town and Country Planning Act 1990	Reg 7(1)(n)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to use and develop burial grounds	Section 239 Town and Country Planning Act 1990	Reg 7(1)(o)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y
Power to use and develop open spaces	Section 241 Town and Country Planning Act 1990	Reg 7(1)(p)	Y (and concurrent with Districts)	N		Simple majority which includes the Mayor	Y

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to provide housing or other land	Section 5 Housing and Regeneration Act 2008	Reg 6(1)(a)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	
Power for regeneration, development or effective use of land	Section 6 Housing and Regeneration Act 2008	Reg 6(1)(b)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	
Powers in relation to infrastructure	Section 7 Housing and Regeneration Act 2008	Reg 6(1)(c)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	
Powers to deal with land	Section 8 Housing and Regeneration Act 2008	Reg 6(1)(d)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	
Power to acquire land (other than compulsory acquisition)	Section 9 Housing and Regeneration Act 2008 (excluding Section 9(2))	Reg 6(1)(e)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	
Restrictions on disposal of land	Section 10 Housing and Regeneration Act 2008	Reg 6(1)(f)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	
Powers in relation to burial grounds and consecrated land etc	Paragraphs 19 and 20 of Schedule 3 Housing and Regeneration Act 2008	Reg 6(1)(g)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	
Extinguishment or removal powers, counter-notices and notification of proposal to make order	Paragraphs 1, 2, 3, 4, 6, 10 and 20 of Schedule 4 Housing and Regeneration Act 2008	Reg 6(1)(h)	N (Concurrent with Homes England)	N		Simple majority which includes the Mayor	

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duty to conduct periodical review of Housing needs	Section 8 Housing Act 1985	Reg 7(1)(a)	Y (and District Councils)	N		Simple majority which includes the Mayor	Y
Power to make provision of board and laundry facilities	Section 11 Housing Act 1985	Reg 7(1)(b)	Y (and District Councils)	N		Simple majority which includes the Mayor	Y
Power to make provision of shops, recreation grounds, etc	Section 12 Housing Act 1985	Reg 7(1)(c)	Y (and District Councils)	N		Simple majority which includes the Mayor	Y
Power to acquire land for housing development (other than compulsory purchase)	Section 17 Housing Act 1985 (excluding 17(3))	Reg 7(1)(d)	Y (and District Councils)	N		Simple majority which includes the Mayor	Y
Duty to secure buildings where land acquired under section 17	Section 18 Housing Act 1985	Reg 7(1)(e)	Y (and District Councils)	N		Simple majority which includes the Mayor	Y
Transport							
Duties of Integrated Transport Authority to apply to Metropolitan District Councils	Section 113 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to make Advanced Quality Partnership Scheme	Section 113C Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to impose Registration Restrictions in connection with Quality Partnership Schemes	Section 113D Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Facilities, measures and standards of advanced quality partnership schemes	Section 113E Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Requirements relating to advanced quality partnership schemes including traffic regulation orders	Section 113F Transport Act 2000 Section	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties relating to notice and consultation	Section 113G Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Requirements for inclusion in scheme	Section 113H Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers to postpone schemes	Section 113I Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duties in respect of schemes	Section 113J Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Regulations about schemes involving existing facilities or measures	Section 113K Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to vary or revoke scheme	Section 113L Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Supplementary provisions relating to variation of schemes	Section 113M Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS power to make regulations about schemes	Section 113N Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS power to issue guidance about schemes	Section 113O Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to make quality partnership scheme	Section 114 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Notice and consultation duties in respect of quality partnership schemes	Section 115 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duty to include certain specifications in schemes	Section 116 Transport Act 2000	eg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to postpone schemes	Section 117 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Obligations in respect of implementation of schemes	Section 118 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Regulations about schemes involving existing facilities	Section 119 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to vary/revoke scheme	Section 120 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Supplementary powers and duties relating to variation of schemes	Section 121 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Regulations about schemes	Section 122 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Guidance about schemes	Section 123 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to assess proposed franchising scheme	Section 123B Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duty to seek consent of SoS in relation to franchising schemes	Section 123C Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to seek audit report in relation to proposed franchising scheme	Section 123D Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to consult on franchising scheme	Section 123E Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Requirements of consultation document	Section 123F Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to publish report in response to consultation	Section 123G Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties relating to making and publication of scheme	Section 123H Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to postpone local service contracts	Section 123I Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Effect of local service contracts	Section 123J Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers/duties in relation to entering local service contracts	Section 123K Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Exceptions to 123K	Section 123L Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to vary scheme	Section 123M Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to revoke scheme	Section 123N Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to provide interim service	Section 123O Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to grant service permit	Section 123P Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Requirements relating to application for service permit	Section 123Q Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to publish notice of conditions attached to service permit	Section 123R Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to revoke or suspend service permit	Section 123S Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Appeal of refusal of service permit	Section 123T Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS may make regulations about schemes	Section 123U Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS may make regulations making transitional provisions about schemes	Section 123V Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS may issue guidance about schemes and duty to have regard	Section 123W Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Application of TUPE to local service contracts	Section 123X Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to make advanced ticketing schemes	Section 134C Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties to give notice and consult on advanced ticketing schemes	Section 134D Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers and duties relating to making of scheme	Section 134E Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Effect of scheme	Section 134F Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS may issue guidance, duty to have regard	Section 134G Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to make joint and through ticketing schemes	Section 135 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties to give notice and consult on advanced ticketing schemes	Section 136 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers and duties relating to making of scheme	Section 137 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Effect of scheme	Section 138 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to make enhanced partnership plans or schemes	Section 138A Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Further parties to scheme	Section 138B Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties in respect of local services	Section 138C Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Nature of enhanced partnership scheme	Section 138D Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to vary or revoke	Section 138E Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to prepare proposal, give notice and consult in relation to scheme	Section 138F Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers to make scheme	Section 138G Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties in respect of content of scheme	Section 138H Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to postpone all or part of scheme	Section 138I Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Effect of plans and schemes	Section 138J Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to vary scheme	Section 138K Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties in respect of variation	Section 138L Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers and duties in respect of making variation	Section 138M Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Supplementary requirements in respect of variation	Section 138N Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to revoke enhanced partnership plan or scheme	Section 138O Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS power to make regulations in respect of plan or scheme	Section 138P Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS may make regulations re transitional provisions about schemes	Section 138Q Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS may issue guidance, duty to have regard	Section 138R Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Application of TUPE	Section 138S Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duty to determine availability of bus information	Section 139 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to make information available	Section 140 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to have regard to combination of economy, efficiency and effectiveness in respect of bus information	Section 141 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS power to require provision of information about bus services	Section 141A Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Traffic regulation to reduce or limit pollution	Section 142 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to obtain information about local services	Section 143 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to obtain information in relation to franchising schemes	Section 143A Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Power to obtain information for purpose of preparing enhanced partnership schemes	Section 143B Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers and duties in respect of mandatory concessions	Section 145A Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Supplementary provisions relating to mandatory concessions	Section 146 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Power to enforce mandatory concessions	Section 148 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duty to reimburse operators for providing concessions	Section 149 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Duties regarding procedure for reimbursement arrangements in respect of mandatory concessions	Section 150 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Concessions in Greater London	Section 151 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Agreements providing for service subsidies	Section 152 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Competition tests for the exercise of functions and agreements relating to buses	Section 153 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS power to make grants to bus operators	Section 154(2) – (6) Transport Act 2000	Reg 14(1), 18(1) and 23(1)(b)	Y during transition period	N		Simple majority which includes the Mayor	N
Sanctions against operators of bus service failing to comply	Section 155 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
SoS power to make grants for the purpose of carrying out transport functions	Section 157 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Abolition of financial plans of Passenger Transport Executives	Section 159 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Provisions in relation to making of regulations and orders	Section 160 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Minor and consequential amendments	Section 161 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Interpretation	Section 162 Transport Act 2000	Reg 14(1)	Y during transition period	N		Simple majority which includes the Mayor	N
Powers in relation to workplace parking levy	Chapters 2 and 3 of Part 3 of the 2000 Act	Reg 17(1)(a)	Y	Y – consent of constituent council in whose area the function is proposed to be exercised		Simple majority which includes the Mayor	N
Provisions relating to workplace parking levy	Workplace Parking Levy (England) Regulations 2009	Reg 17(1)(b)	Y	Y – consent of constituent council in whose area the function is proposed to be exercised		Simple majority which includes the Mayor	N
Power to be an authority to whom functions may be delegated by SoS/HE or agreements entered into re construct, improve or maintain trunk roads. (Enabling power of SoS/HE)	Section 6 Highways Act 1980	Reg 15(1)(a)	Y	Y – consent of constituent council in whose area the function is proposed to be exercised		Simple majority which includes the Mayor	N
Power to be an authority who may be party to agreement on highway construction,	Section 8 Highways Act 1980	Reg 15(1)(b)	Y	Y – consent of constituent council in whose area the function is proposed to be exercised		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
improvement, maintenance etc.							
Powers in respect of Passenger Transport Authorities and Executives	Section 57 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Amendments in respect of Passenger Transport Authorities and Executives	Section 58 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Transfer of bus undertakings of Executives to companies owned by Authorities	Section 59 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Exclusion of public sector co-operation requirements and bus operating powers.	Section 60 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Power of SoS to give direction on proposals to divide undertaking	Section 61 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duties of passenger transport executives to protect employee benefits on transfer or division of bus undertakings	Section 62 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Duty in non-metropolitan counties to secure appropriate public passenger transport services	Section 63 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Duties regarding consultation and publicity with respect to policies and services	Section 64 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Power to co-operate with TfL or any subsidiaries	Section 65 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Exclusion of powers to provide services which require PSV operator's licence	Section 66 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Power to form bus companies to run council bus undertakings	Section 67 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duties with regard to transfer schemes for bus undertakings	Section 68 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Duty to submit proposals to SoS in respect of joint undertakings	Section 69 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Supplementary duties relating to transfer to joint undertakings	Section 70 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Exemption for councils running small bus undertakings	Section 71 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Definitions relevant to public transport companies	Section 72 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Duties of controlling authority in respect of public transport companies	Section 73 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Disabilities of directors of public transport companies	Section 74 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Powers to subscribe/acquire shares	Section 75 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Duty of controlling authority to exercise control to appoint auditors	Section 76 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Powers of passenger transport executives to enter agreements	Section 78 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Powers of passenger transport executives to make loans	Section 79 Transport Act 1985	Reg 13(1)	Y	N		Simple majority which includes the Mayor	N
Duties not to inhibit competition	Section 80 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Powers for provision, maintenance and operation of bus stations and associated facilities	Section 81 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Restrictions on discriminatory practices in relation to provision/operation of bus stations and facilities	Section 82 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Supplementary provisions in relation to provision, maintenance and operation of bus stations and facilities	Section 83 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Provisions regarding compensation for loss of employment	Section 84 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Provisions relating to incorporation of passenger transport executives	Section 85 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Provision for modification of enactments of SoS	Section 86 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N
Interpretation	Section 87 Transport Act 1985	Reg 13(1)	Y, for duration of transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duties in respect of expenditure for public passenger transport services	Section 88 Transport Act 1985	Reg 13(1)	Y for duration of transition period	During the transition period any exercise of this function requires the consent of each Constituent Council in whose area it is proposed that the functions are to be exercised.		Simple majority which includes the Mayor	N
Duty to invite tender for subsidised services	Section 89 Transport Act 1985	Reg 13(1)	Y for duration of transition period	During the transition period any exercise of this function requires the consent of each Constituent Council in whose area it is proposed that the functions are to be exercised.		Simple majority which includes the Mayor	N
Duties in relation to obligation to tender for subsidised services	Section 90 Transport Act 1985	Reg 13(1)	Y for duration of transition period	During the transition period any exercise of this function requires the consent of each Constituent Council in whose area it is proposed that the functions are to be exercised.		Simple majority which includes the Mayor	N
Exceptions to duty to invite tender for subsidised services	Section 91 Transport Act 1985	Reg 13(1)	Y for duration of transition period	During the transition period any exercise of this function requires the consent of each Constituent Council in whose area it is proposed that the functions are to be exercised.		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Duty to have regard to interest of public and of persons providing public passenger transport services in their area	Section 92 Transport Act 1985	Reg 13(1)	Y for duration of transition period	During the transition period any exercise of this function requires the consent of each Constituent Council in whose area it is proposed that the functions are to be exercised.		Simple majority which includes the Mayor	N
Power to establish travel concession scheme	Section 93 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N
Provisions relating to administration of concession schemes	Section 94 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N
Duties in relation to publicity requirements for concession schemes	Section 95 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N
Obligation to admit operators to concession schemes	Section 96 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Powers to oblige participation in travel concession schemes	Section 97 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N
Duties relating to the issue of participation notices	Section 98 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N
Power to release operator from compulsory participation	Section 99 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N
Supplementary provisions relating to powers to oblige participation in concession schemes	Section 100 Transport Act 1985	Reg 13(1)	N	N		Simple majority which includes the Mayor	N
Powers to enforce participation in travel concession schemes	Section 101 Transport Act 1985	Reg 13(1)	Y for duration of transition period	N		Simple majority which includes the Mayor	N
Obligations relating to subsidies for travel concessions	Section 103 Transport Act 1985	Reg 13(1)	Y for duration of transition period	N		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Obligations of Passenger Transport Executives in exercising powers	Section 104 Transport Act 1985	Reg 13(1)	Y for duration of transition period	N		Simple majority which includes the Mayor	N
Power to offer travel concessions in operation of public passenger transport services	Section 105 Transport Act 1985	Reg 13(1)	Y for duration of transition period	N		Simple majority which includes the Mayor	N
Power to make grants for transport facilities and services	Section 106 Transport Act 1985	Reg 13(1)	Y	Y – consent of constituent council in whose area the function is proposed to be exercised		Simple majority which includes the Mayor	N
Power to make grants for bus services	Section 106A Transport Act 1985	Reg 13(1)	Y	Y – consent of constituent council in whose area the function is proposed to be exercised		Simple majority which includes the Mayor	N
Provision for civil enforcement of traffic contraventions	Part 6, and paragraph 9 and 10 of Schedule 8, Traffic Management Act 2004	Reg 16(1)(a)	Y	Y – of constituent council in whose area it is proposed function will be exercised		Simple majority which includes the Mayor	N
Provision for civil enforcement of traffic contraventions	Civil Enforcement of Road Traffic Contraventions (Approved Devices, Charging Guidelines and General Provisions) (England) Regulations 2022	Reg 16(1)(b)	Y	Y – of constituent council in whose area it is proposed function will be exercised		Simple majority which includes the Mayor	N

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Relevant CA Member(s) to Consent		Voting	Non-Constituent Vote
Provision for civil enforcement of traffic contraventions	Civil Enforcement of Road Traffic Contraventions (Representations and Appeals) (England) Regulations 2022	Reg 16(1)(c)	Y	Y – of constituent council in whose area it is proposed function will be exercised		Simple majority which includes the Mayor	N
Preparation of permit schemes	Section 33 Traffic Management Act 2004	Reg 19(1)(a)	Y	Y – of constituent council in whose area it is proposed function will be exercised		Simple majority which includes the Mayor	N

Implementati on of permit schemes of strategic highways companies and local highways authorities in England	Section 33A Traffic Management Act 2004	Reg 19(1)(b)	Y	Y – of constituent council in whose area it is proposed function will be exercised		Simple majority which includes the Mayor	N
Variation and revocation of permit schemes	Section 36 Traffic Management Act 2004	Reg 19(1)(c)	Y	Y – of constituent council in whose area it is proposed function will be exercised		Simple majority which includes the Mayor	N
Functions of constituent councils as Permit Authorities	Traffic Management Permit Scheme (England) Regulations 2007	Reg 19(2)	Y	Y – of constituent council in whose area it is proposed function will be exercised		Simple majority which includes the Mayor	N

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3.3 Functions of the Mayor – to come into force on 6 May 2025

Mayoral Functions conferred by the

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Consent Requirements
Finance				
Powers relating to impose a business rate supplement	Business Rate Supplements Act 2009 except Section 3(5)	Reg 26 and Reg 23(1)(e)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.
Housing and Planning				
Power to acquire land by agreement, or with authorisation of the Secretary of State, compulsorily	Section 17(3) of the Housing Act 1985	Reg 7(1)(d) and Reg 23(1)(a)	Y (and district councils)	<p>Requires consent of:</p> <ul style="list-style-type: none"> - The Lead member of any constituent council whose area contains any part of the land subject to the proposed compulsory acquisition, or a substitute member acting in place of such a member, - Each district councils whose local government area contains any part of the area to be designated as a Mayoral development area. <p>Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.</p>

Function	Legislation	Order Reference	Concurrent with Constituent Councils		Consent Requirements
Power to acquire land compulsorily if authorised by secretary of state	Section 9(2) of the Housing and Regeneration Act 2008	Schedule 2 Part 1 Para 2 and Reg 23(1)(d)	Concurrent with Homes England		Requires consent of: The Lead member of any constituent council whose area contains any part of the land subject to the proposed compulsory acquisition, or a substitute member acting in place of such a member, Each district councils whose local government area contains any part of the area to be designated as a Mayoral development area. Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.
Transport					
Power to pay grants towards expenditure of local authority	Section 31 Local Government Act 2003	Reg 20 and 23(1)(c)	Concurrent with Minister of crown		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.
Duty to prepare Local Transport Plans	Section 108 of the Transport Act 2000	Reg 14 and Reg 23(1)(b)	N		The Mayor must consult the Authority.

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Consent Requirements
				<p>Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.</p> <p>The Members of the Authority may amend plans made pursuant to this section if agreed by a two thirds majority of the voting Members of the Authority present and voting at a meeting of the Authority.</p>
Duty to keep local transport plan under review, powers to replace, duties in respect of consultation and publication	Section 109 of the Transport Act 2000	Reg 14 and Reg 23(1)(b)	N	<p>The Mayor must consult the Authority.</p> <p>Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.</p> <p>The Members of the Authority may amend plans made pursuant to this section if agreed by a two thirds majority of the voting Members of the Authority present and voting at a meeting of the Authority.</p>
Duty to have regard to guidance and transport needs of disabled persons	Section 112 of the Transport Act 2000	Reg 14 and Reg 23(1)(b)	N	<p>The Mayor must consult the Authority.</p> <p>Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.</p> <p>The Members of the Authority may amend plans made pursuant to this section if agreed by a two thirds majority of the voting Members of the Authority present and voting at a meeting of the</p>

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Consent Requirements
				Authority.
Franchising schemes	Section 123A of the Transport Act 2000	Reg 23(1)(b)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.
Power to pay grants to operators of eligible bus services	Section 154(1) of the Transport Act 2000	Reg 14(1) Reg 23(1)(b) Reg 18(1)	N - concurrent with Secretary of State	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.
Highways and Traffic				
Directions relating to highways and traffic functions	Section 22 of the Levelling Up and Regeneration Act 2023	Reg 23(1)(g) Reg 22	N	The Authority must consult with the Constituent Council that is to be subject of the direction.
Mayoral Development Area (MDA) Functions				
Power to designate Mayoral Development Area	Section 197 of the Localism Act 2011	Reg 23(1)(f)	N	Requires consent of: - The Lead member of any constituent council whose area contains any part of the land subject to the proposed compulsory acquisition, or a substitute member acting in place of such a member, - Each district councils whose local government area contains any part of the area to be designated as a Mayoral development area. Any exercise which results in a financial

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Consent Requirements
				liability falling on a constituent council requires the consent of the lead member of that council.
Power to exclude land from Mayoral Development Area by altering boundaries	Section 199 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council. Any exercise by the Mayor of the functions corresponding to the functions contained in section 199(1) of the 2011 Act (in respect of any Mayoral development area requires the consent of each lead member of the Combined County Authority by a constituent council whose local government area contains any part of the area to be excluded from a Mayoral development area or substitute members acting in place of those members.
Transfers of property to a Mayoral Development corporation	Section 200 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Consent Requirements
Planning functions in relation to Mayoral Development Area	Section 202 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise by the Mayor of the functions corresponding to the functions contained in section 202(2) to (4) of the 2011 Act in respect of any Mayoral development area requires the consent of:- - the lead members of the Combined County Authority whose local government area contains any part of the area to be designated as a Mayoral development area or substitute members acting in place of those members, and - each district council whose local government area contains any part of the area to be designated as a Mayoral development area. Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council.
Removal or restriction of planning powers in relation to mayoral development corporation	Section 204 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Power to grant discretionary relief from non-domestic rates to Mayoral Development Corporation	Section 214 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Duty to review existence of Mayoral Development Corporations	Section 215 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council

Function	Legislation	Order Reference	Concurrent with Constituent Councils		Consent Requirements
Power to make transfer scheme for transfer of property, rights or liabilities	Section 216 of the Localism Act 2011	Reg 23(1)(f)	N		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Power to request dissolution of Mayoral Development Corporation	Section 217 of the Localism Act 2011	Reg 23(1)(f)	N		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Power to give guidance to MDC	Section 219 of the Localism Act 2011	Reg 23(1)(f)	N		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Power to give direction to MDC	Section 220 of the Localism Act 2011	Reg 23(1)(f)	N		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Power to give/revoke relevant consents	Section 221 of the Localism Act 2011	Reg 23(1)(f)	N		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Duty to appoint members	Para 1 Sch 21 of the Localism Act 2011	Reg 23(1)(f)	N		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Terms of members' appointments	Para 2 Sch 21 of the Localism Act 2011	Reg 23(1)(f)	N		Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council

Function	Legislation	Order Reference	Concurrent with Constituent Councils	Consent Requirements
Agreement of Staff terms and conditions	Para 3 Sch 21 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Power to determine rates and eligibility for remuneration of members and staff	Para 4 Sch 21 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Power to agree committee members who are not members of the MDC	Para 6 Sch 21 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council
Proceedings and meetings subject to mayoral direction	Para 8 Sch 21 of the Localism Act 2011	Reg 23(1)(f)	N	Any exercise which results in a financial liability falling on a constituent council requires the consent of the lead member of that council

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3.4 The Combined County Authority

The Combined County Authority has collective responsibility for decision-making, acting in the best interests of the Authority area.

1. Key Functions of the Combined County Authority

1.1 The following key functions sit within the responsibility of the Combined County Authority:

- (a) To set, review, keep up to date and revise the long-term ambitions and outcomes of the Combined County Authority – the Greater Lincolnshire Plan.
- (b) Overall responsibility for the implementation of the Greater Lincolnshire Plan.
- (c) To agree, amend or withdraw strategy and policy for the Combined County Authority, including ensuring that the Combined County Authority undertakes statutory and appropriate communication and consultation in the setting of the budget and policy framework.
- (d) To prepare and set a non mayoral budget for the Authority.
- (e) To drive future devolution and lobbying of Government.
- (f) To agree prioritisation and re-purposing of funds.
- (g) To agree approval of projects and programmes in line with the Scheme of Delegation.
- (h) To consider and agree employment and human resources policy.
- (i) To exercise General functional powers of the Authority.
- (j) Responding to Gateway Reviews.
- (k) Consenting to the making of Regulations under the Levelling Up and Regeneration Act 2023.
- (l) Agreeing to change the name of the Authority.
- (m) Agreeing that the mayor for the area of the Authority is to be known by the title of mayor or approving an alternative title.
- (n) Consenting to proposals for changing existing arrangements relating to the Authority.
- (o) All other matters which, by law, must be reserved to Combined County Authority.

2. Functions Reserved to the Combined County Authority

2.1 The following functions are reserved to the Authority to discharge and cannot be delegated to any other decision making body of the Authority:

Strategy and Policy

- a) The adoption of, any amendment to, or withdrawal of:
 - the Greater Lincolnshire Plan
 - any strategy or policy of the Combined County Authority, including the Investment Strategy for Greater Lincolnshire and use of the investment fund.

Frameworks

- b) The adoption of, and any amendment to or withdrawal of the following framework documents:
- Assurance Framework;
 - Monitoring & Evaluation Framework;
 - Performance Management Framework;
 - Risk Management Framework

Finance

- c) Approving the Non-Mayoral Combined County Authority budget and the investment fund.
- d) Approving the estimates of income and expenditure and the setting of a transport levy pursuant to the Transport Levying Bodies Regulations 1992.
- e) In relation to the Mayor's General Budget:
- approving the draft budget (or revised draft budget), or
 - the decision to veto the draft budget (or revised draft budget) and approve the Mayor's draft budget incorporating the Combined County Authority's recommendations as to the relevant amounts and calculations
- f) The issuing of the Mayoral Combined County Authority precept pursuant to section 40 of the Local Government Finance Act 1992
- g) Approving the borrowing limits of the Combined County Authority, including determining the borrowing limits of the Combined County Authority in relation to transport matters pursuant to section 3 of the Local Government Act 2003.
- h) Approving the Treasury Management Strategy and the Investment Strategy of the Combined County Authority.
- i) Approving the capital programme of the Combined County Authority and approving new transport schemes.
- j) The preparation of a local economic assessment under section 69 of the Local Democracy, Economic Development and Construction Act 2009

People

- k) Approving the appointment of the Head of Paid Service, Monitoring Officer and Section 73 Officer.
- l) Approving the appointment of the Returning Officer
- m) Making decisions in relation to the establishment and remuneration of posts whose remuneration is, or is proposed to be, £100,000 and above (or pro rata thereto).
- n) Making decisions in relation to settlements and severance packages on termination of appointment in excess of £100,000.

- o) The determination of collective terms and conditions of officers

Governance

- p) Decisions related to:
- (a) Adoption and amendment of the Constitution (other than changes delegated to the Monitoring Officer) in line with the provisions of section 14 of the 2023 Act;
 - (b) Receiving nominations from nominating bodies for non-constituent members and their delegates.
 - (c) Appointing associate members and/or substitutes to the Authority.
 - (d) Establishment and membership of boards, regulatory committees and joint committees;
 - (e) Determining the terms of reference of Boards, regulatory committees and joint committees
 - (f) Appointment of members to chair Boards, regulatory committees and joint committees
 - (g) Approval of Mayoral Allowance and any other allowance schemes;
 - (h) Appointment of an Independent Person of the Overview and Scrutiny and Audit Committees;
 - (i) Appointment of Statutory Officers;
 - (j) Delegation of functions to third parties;
 - (k) Establishment of Trading Companies;
 - (l) Any other matters reserved to the Authority.
- q) The Authority shall exercise a functional power of competence in relation to any of its functions after having due regard to the advice of the Monitoring Officer and S73 Officer.

3. Designation of nominating bodies

- r) Designating nominating bodies for the appointment of non-constituent members and/or substitutes and delegates to the Authority. The Authority can:
- Agree the number of nominating bodies that may be designated by the Combined County Authority
 - Agree the designation of a nominating body or the removal of such a designation
 - Agree the number of non-constituent members that may be appointed by a nominating body of the Authority
 - Agree the process for the appointment, disqualification, resignation or removal of a non-constituent member or delegate member
 - Approve the appointment or removal of non-constituent members and delegate members

- Agree the process for the appointment, disqualification, resignation or removal of an associate member or delgate member
- Approve the appointment or removal of associate members or substitute members

4. Voting

4.1 Voting arrangements are set out in the Authority Procedure Rules in [Part 4](#) of the constitution.

5. Membership

5.1 The Combined County Authority membership consists of the following:

- (a) The Mayor
- (b) Two elected member appointments by each Constituent Authority
- (c) Up to a maximum of six Non-Constituent and Associate Members. Four of the Non – Constituent Members will be from the Non Constituent Councils and one other non-constituent member will be a Police and Crime Commissioner from within the Authority’s area.

5.2 Further details regarding membership are set out in [Article 2](#) of the Constitution.

6. Executive Bodies

6.1 The Combined County Authority Board has the power to delegate its functions, which are not reserved to it, to Boards, Committees, Sub-Committees, Officers, Joint Committees or other Local Authorities. The Authority cannot delegate its functions to individual members of the Authority.

7. Advisory Groups

7.1 The Authority may establish advisory groups. These bodies will be non-decision making and will be convened to develop proposals for a thematic approach and/or strategy as defined by the Authority.

7.2 The Authority will determine the remit, terms of reference, membership and budget for advisory groups.

7.3 The Mayor and Authority are expected to work together around the establishment of advisory groups to avoid duplication and to bring together similar workstreams.

8. Quorum

8.1 The Quorum details are set out in the Combined County Authority Procedure Rules.

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3.5 Terms of Reference of Committees

The Authority has established the following Boards, Committees and governance bodies. The Terms of Reference for each of these are set out in this section:

- A. Transport Board**
- B. Skills & Employment Board**
- C. Business and Infrastructure Board**
- D. Economic Advisory Panel**
- E. Audit Committee**

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3.5A. Transport Board

1. Terms of Reference

This is a decision making Board of the Combined County Authority.
The Transport Board will act in a regional capacity to enable the ambitions and outcomes of the Authority of its transport functions.

The Transport Board is authorised:

- 1.1 To carry out any Non-Mayoral transport function¹ of the Authority or any other Non-Mayoral function related to transport in accordance with the strategic and budgetary framework agreed by the Authority, including:
- a) progressing the ambitions and outcomes of the Greater Lincolnshire Plan and policy framework of the Combined County Authority that fall within the remit of this Board, by monitoring and reviewing the outcomes and impact of any policy, investment priorities, strategy or plan,
 - b) submitting bids for devolved and other funding,
 - c) working with key partners and the mayor to develop and promote a shared understanding, coherent strategies and policies, and joined up service delivery,
 - d) overseeing any project or programme in accordance with the Combined County Authority Assurance Framework²,
 - e) Considering and approving the creation and development of Ticketing Schemes under s135-138 of the Transport Act 2000 Concessionary Travel Schemes under s93-104 of the Transport Act 1985,
 - f) Determining what local bus information should be made available, and the way it should be made available, under s139-143 of the Transport Act 2000,
 - g) Considering issues arising from the implementation of schemes for the introduction of smart ticketing systems and innovative technologies, and
 - h) Determining the operation, performance, contract management and development of tendered bus services, bus stations/interchanges and passenger transport services within the agreed Authority budget.
- with the exception of
- any function which requires a Statutory Consent where that consent has yet to be given, and
 - any function which is reserved to the Combined Authority.

¹ Functions in this context include any function of the Combined Authority in its role as local transport authority, travel concession authority or transport authority and are to be construed in a broad and inclusive fashion, and as including the exercise of the ancillary powers under Section 113A Local Democracy, Economic Development and Construction Act 2009.

² Or otherwise, where the project or programme does not fall to be considered under the Greater Lincolnshire Combined County Authority Assurance Framework

- 1.2 To contribute to the preparation of the Greater Lincolnshire Economic Assessment and the Greater Lincolnshire evidence base through specialist advice, including
 - a) commissioning of appropriate research and studies in relation to the Authority's transport functions and needs
 - b) formulating, developing and monitoring procedures for public consultation of the Authority's transport policies
- 1.3 To advise the Authority and the mayor on the development of policy, strategy and budgets and make recommendations on:
 - a) The Greater Lincolnshire Local Transport Plan/Transport Strategy;
 - b) The creation of a transport budget, including but not confined to the allocation of Government transport funding for Integrated Transport and Highway Maintenance (both the Needs and Incentive elements) Block funding, Pothole fund;
 - c) The development of the Investment Strategy and transport investment;
 - d) the Authority in respect of any Non-Mayoral Function which is a transport function or function related to transport or any other transport matters requested by the GLCCA Board.
 - e) the Mayor in respect of any Mayoral General Function which is a transport function or other function related to transport.
- 1.4 To collaborate with other Boards/Committees of the combined county authority to achieve the ambitions and outcomes of the Authority.
- 1.5 To engage with and hold to account those bodies involved in the delivery and operation of transport activities within the Authority area.
- 1.6 To nominate Authority representatives on transport bodies.
- 1.7 To respond to any report or recommendation from the Audit Committee or the Overview and Scrutiny Committee.

Membership

The membership of the Transport Board shall consist of:

Voting Members

- Mayor
- Two Members/substitute members from each Constituent Authority

Non Voting Members

- Four Non constituent Members /delegate members
- One business member appointed by the Economic Advisory Panel
- any other co-opted members

Invited observers

- The Board may invite any Observers as it sees fit, relevant to any item of the agenda, to attend the meeting. These Observers will be able to participate in the meeting at the discretion of the Chair, however will not be able to vote on any matter.

In appointing members to the Transport Board there is no requirement for political balance.

The Board may co-opt up to 3 additional Non-Voting Membership from partner and stakeholder bodies relevant to the remit of the Board. Further co-opted members may be appointed with the approval of the

Authority.

The Board may appoint one or more sub-committees for the purpose of discharging any of the Board's functions.

Chairing the Board

The Transport Board shall be chaired by a Constituent Member (or substitute) nominated and appointed by the Authority.

A Vice-Chair will be appointed by the Transport Board from amongst the Constituent Authority membership.

The Mayor is a voting member of the Board in order to allow them to act in their capacity as the Mayor, they may wish to discharge any relevant mayoral functions via the Board in order to benefit from appropriate advice.

Quorum

The quorum will be 4 voting members including the Mayor and one Member from each of the Constituent Councils.

Voting

Any matters that are to be decided by the Board are to be decided by consensus of the Board where possible.

When a vote is required, only voting members of the Board will be entitled to vote at meetings, the Chair does not exercise a casting vote.

Voting on this Board is reserved to the mayor and constituent members. Non constituent, associate and co-opted members may not be given a vote on this Board.

Frequency

There will be a minimum of five Transport Board meetings each municipal year. (approximately every other month)

Review

The terms of reference are to be reviewed on an annual basis by the Transport Board.

The role and arrangements of the Transport Board will be reviewed on an annual basis by the Authority.

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3.5B. Skills & Employment Board

Terms of Reference

This is a decision making Board of the Combined County Authority.

The Skills and Employment Board will act in a regional capacity to enable the ambitions and outcomes of the Authority of its employment, skills and adult education functions.

The Employment and Skills Board is authorised:

- 1.1 To carry out any Non-Mayoral employment, skills and adult education function³ of the Authority or any other Non-Mayoral function related to employment, skills and adult education in accordance with the strategic and budgetary framework agreed by the Authority, including:
- a) progressing the ambitions and outcomes of the Greater Lincolnshire Plan and policy framework of the Authority that fall within the remit of this Board, monitoring and reviewing the outcomes and impact of any policy, investment priorities, strategy or plan,
 - b) submitting bids for devolved and other funding,
 - c) working with key partners and the mayor to
 - develop and promote a shared understanding, coherent strategies and policies, and joined up service delivery, and
 - influence the provision of employment, education and training provision, and
 - d) approval of AEB programme plan each year and oversight of its implementation.
 - e) annual agreement of 'draft' and 'final' AEB Funding Rules and Rates.
 - f) termination of an AEB contract for services/grant agreement.
 - g) overseeing any project or programme in accordance with the governance and assurance arrangements for administering the adult education and skills functions of the Adult Education Budget and the Combined County Authority Assurance Framework⁴
- with the exception of
- any function which requires a Statutory Consent where that consent has yet to be given any function which is reserved to the Authority.
- 1.2 To contribute to the preparation of the Greater Lincolnshire Economic Assessment and the Greater Lincolnshire evidence base through specialist advice, including
- a) commissioning of appropriate research and studies in relation to the Authority's employment, skills and adult education functions and needs
 - b) formulating, developing and monitoring procedures for public consultation of the Authority's

³ Functions in this context are to be construed in a broad and inclusive fashion, and as including the exercise of the ancillary powers under Section 113A of the Local Democracy, Economic Development and Construction Act 2009

⁴ Or otherwise, where the project or programme does not fall to be considered under the Greater Lincolnshire Combined County Authority Assurance Framework

employment, skills and adult education policies

- 1.3 To advise the Authority and the mayor on the development of policy, strategy and budgets and make recommendations on:
- a) The area-wide Employment and Skills Plan;
 - b) The development of the Investment Strategy and skills investment;
 - c) Approval and review of the AEB Assurance Framework
 - d) Local Skills Improvement Plan (LSIP)
 - e) Relevant governance and decision-making arrangements
 - f) AEB commissioning strategy, including 'indicative' and 'final' provider allocations
 - g) Substantive in-year changes to AEB Funding Rules and Rates to improve provider management or to implement new GLA policies,
 - h) the Authority in respect of any Non-Mayoral Function which is an employment, skills or adult education function or functions related to employment, skills or adult education or any other employment, skills or adult education matters requested by the Authority.
 - i) the Mayor in respect of any Mayoral General Function which is a employment, skills or adult education function or other function related to employment, skills or adult education.
- 1.4 To collaborate with other Boards/committees of the Authority to achieve the ambitions and outcomes of the Authority.
- 1.5 To engage with and hold to account those bodies involved in the delivery and operation of employment, skills or adult education activities within the Authority area.
- 1.6 To nominate Authority representatives on employment, skills or adult education bodies.
- 1.7 To respond to any report or recommendation from the Audit Committee or the Overview and Scrutiny Committee.

Membership

The Skills & Employment Board will engage and seek advice from a range of key stakeholders including Combined County Authority area Local Authorities, FE Colleges and Independent Training Providers, key Government Agencies such as the Department for Work and Pensions as well as employers in relation to developing the emerging AEB priorities that will meet the local need for year one, as well as advising on future AEB funding priorities.

The membership of the Skills & Employment Advisory Board shall consist of:

Voting Members

- Mayor
- Two Members/substitute members from each Constituent Authority
- Four Non constituent Members /delegate members

Non Voting Members

- One business member appointed by the Economic Advisory Panel
- any other co-opted members

Invited observers

- The Board may invite any Observers as it sees fit, relevant to any item of the agenda, to attend the meeting. These Observers will be able to participate in the meeting at the discretion of the Chair, however will not be able to vote on any matter.

In appointing members to the Skills & Employment Board there is no requirement for political balance.

The Committee may co-opt up to 3 additional Non-Voting Membership from partner and stakeholder bodies relevant to the remit of the Board. Further co-opted members may be appointed with the approval of the Authority.

The Board may appoint one or more sub-committees for the purpose of discharging any of the Board's functions.

Chairing the Committee

The Skills & Employment Board shall be chaired by a Constituent Member (or substitute) nominated and appointed by the Authority.

A Vice-Chair will be appointed by the Skills & Employment Board from amongst the Constituent Authority membership.

The Mayor is a voting member of the Board in order to allow them to act in their capacity as the mayor, they may wish to discharge any relevant mayoral functions via the Board in order to benefit from appropriate advice.

Quorum

The quorum will be 4 voting members including the Mayor and one Member from each of the Constituent Councils.

Voting

Any matters that are to be decided by the Board are to be decided by consensus of the Board where possible.

When a vote is required, all voting members of the Board will be entitled to vote at meetings, the Chair does not exercise a casting vote.

Non constituent members may vote on all matters unless specifically reserved to the Authority.

Frequency

There will be a minimum of five Skills & Employment Boards meetings each municipal year.
(approximately every other month)

Review

The terms of reference are to be reviewed on an annual basis by the Skills & Employment Board.

The role and arrangements of the Skills & Employment Board will be reviewed on an annual basis by the Authority.

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3.5C. Business and Infrastructure Board

Terms of Reference

This is a decision making Board of the Combined County Authority.

The Business and Infrastructure Board will act across Greater Lincolnshire to enable the ambitions and outcomes of the Combined County Authority of its business growth, innovation, regeneration, housing and environment functions.

The Business and Infrastructure Board is authorised:

- 1.1 To carry out any Non-Mayoral business growth, innovation, regeneration, housing and environment function⁵ of the Authority or any other Non-Mayoral function related to business growth, innovation and environment in accordance with the strategic and budgetary framework agreed by the Authority, including:
- a) progressing the ambitions and outcomes of the Greater Lincolnshire Plan, policy framework and other relevant Strategies of the Authority that fall within the remit of this Board, monitoring and reviewing the outcomes and impact of any policy, investment priorities, strategy or plan,
 - b) progressing those elements of the Mayor's pledges that fall within the remit of this committee, ensuring alignment with the vision and policy framework of the Authority where appropriate,
 - c) submitting, prioritising and endorsing bids for devolved and other funding,
 - d) preparing proposals for the acquisition, servicing and sale of land
 - e) working with key partners and the mayor to
 - develop and promote a shared understanding, coherent strategies and policies, and joined up service delivery, and
 - influence the provision of infrastructure including, digital, water and flood management
 - promote business growth through innovation, advice and grant support.
 - promote strategic sites across the region.
 - bring forward infrastructure to unlock sites whose progress is delayed by binding constraints.
 - f) overseeing any project or programme in accordance with the Combined County Authority Assurance Framework⁶
- with the exception of
- any function which requires a Statutory Consent where that consent has yet to be given any function which is reserved to the Combined County Authority.

- 1.2 To contribute to the preparation of the Greater Lincolnshire Economic Assessment and the Greater

⁵ Functions in this context are to be construed in a broad and inclusive fashion, and as including the exercise of the ancillary powers under Section 113A of the Local Democracy, Economic Development and Construction Act 2009. 2 This includes business growth and productivity, business support, innovation, digital, trade and inward investment

⁶ Or otherwise, where the project or programme does not fall to be considered under the Combined County Authority Assurance Framework

Lincolnshire evidence base through specialist advice, including

- c) commissioning of appropriate research and studies in relation to the Authority's business growth, innovation, regeneration, housing and environment functions and needs.
 - d) formulating, developing and monitoring procedures for public consultation of the Authority's business growth, innovation, regeneration, housing and environment policies.
- 1.3 To advise the Authority and the mayor on the development of policy, strategy and budgets and make recommendations on:
- a) The area-wide Business and Infrastructure Plan;
 - b) The development of the Investment Strategy and business growth, innovation and environment investment;
 - c) The acquisition, servicing and sale of land
 - d) The establishment and/or use of development areas and/or development corporations
 - e) the Authority in respect of any Non-Mayoral Function which is a business growth, innovation, regeneration, housing and environment function or functions related to business growth, innovation, regeneration, housing and environment or any other business growth, innovation, regeneration, housing and environment matters requested by the Authority.
 - f) the Mayor in respect of any Mayoral General Function which is business growth, innovation, regeneration, housing and environment function or other function related business growth, innovation, regeneration, housing and environment.
- 1.4 To collaborate with other committees of the combined county authority to achieve the ambitions and outcomes of the Authority, and in the delivery of functions
- 1.5 To engage with and hold to account those bodies involved in
- 1.5.1 the delivery and operation of business growth, innovation, regeneration and environment activities within the Authority area.
 - 1.5.2 the delivery and development of land and sites across the region, particularly sites whose progress is delayed by binding constraints
- 1.6 To nominate Authority representatives on business growth, innovation, regeneration, housing and environment bodies.
- 1.7 To respond to any report or recommendation from the Audit Committee or the Overview and Scrutiny Committee.

Membership

The membership of the Business and Infrastructure Board shall consist of:

Voting Members

- Mayor
- Two Members/substitute members from each Constituent Authority
- Four Non constituent Members /delegate members

Non Voting Members

- One business member appointed by the Economic Advisory Panel
- any other co-opted members

Invited observers

- The Board may invite any Observers as it sees fit, relevant to any item of the agenda, to attend the meeting. These Observers will be able to participate in the meeting at the discretion of the Chair, however will not be able to vote on any matter.

In appointing members to the Business and Infrastructure Board there is no requirement for political balance.

The Board may co-opt up to 3 additional Non-Voting Membership from partner and stakeholder bodies relevant to the remit of the Board. Further co-opted members may be appointed with the approval of the Authority.

The Board may appoint one or more sub-committees for the purpose of discharging any of the Board's functions.

Chairing the Board

The Business and Infrastructure Board shall be chaired by a Constituent Member (or substitute) nominated and appointed by the Authority.

A Vice-Chair will be appointed by the Business and Infrastructure Board from amongst the Constituent Authority membership.

The Mayor is a voting member of the Board in order to allow them to act in their capacity as the mayor, they may wish to discharge any relevant mayoral functions via the committee in order to benefit from appropriate advice.

Quorum

The quorum will be 4 voting members including the Mayor and one Member from each of the Constituent Councils.

Voting

Any matters that are to be decided by the Board are to be decided by consensus of the Board where possible.

When a vote is required, all voting members of the Board will be entitled to vote at meetings, the Chair does not exercise a casting vote.

Non constituent members may vote on all matters unless specifically reserved to the Authority.

Frequency

There will be a minimum of five Business and Infrastructure Board meetings each municipal year. (approximately every other month)

Review

The terms of reference are to be reviewed on an annual basis by the Business and Infrastructure Board.

The role and arrangements of the Business and Infrastructure Board will be reviewed on an annual basis by the Authority.

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3.5D. Economic Advisory Panel

Terms of Reference

This is a standing advisory group to the Authority and the Mayor; it seeks to provide strategy advice and guidance through representation of the 'business voice' in support of the exercise of Combined County Authority and Mayoral functions.

The Board may appoint one or more sub-groups for the purpose of discharging any of the Board's roles or responsibilities.

Purpose

The purpose of the Economic Advisory Panel is:

- To work with the Authority and the Mayor to shape thinking on short and long-term issues of importance to businesses and the region's economic future,
- To support the Authority to prepare the region's economic assessment and other evidence that inform the design of innovative policies and programmes across Greater Lincolnshire,
- To ensure that the region's economic needs and strengths are heard and considered by local and national decision makers,
- To act as a representative of the business group/sector that they represent when appointed to this Panel,
- To sit as the strategic business voice to the Authority, the Mayor, Authority Boards and Officers. Providing strategic business advice on economy, business, skills, transport, employment, housing, UKSPF and future devolution deals
- To act as the lead business voice to the Authority for the area, representing business to the Authority
- To be an integral role in the development of economic growth strategy iterations for the Authority through close working with the Authority and the responsible Chief Officer, and the relevant Authority Lead Member
- To influence the development of proposals for strategy and key policy for Authority consideration, engaging key stakeholders and partners in order to assist with achieving the Authority's strategic objectives
- To engage specific business sectors as and when required to provide advice, guidance and responses to consultation to the Authority
- To individually act as sector champions for their areas of expertise – leading on engaging with local and national networks, bringing insight into Authority discussions, and supporting stakeholder engagement with Authority officers on specific pieces of work
- To work with the Authority to identify key opportunities to engage the business community on influencing priorities with Government and maintain a role of developing local to support this.

Membership

The membership of the Economic Advisory Panel shall consist of a maximum of 12 members as follows:

Private Sector Representation (10 Representatives)

Senior business leaders with a local, national and/or international profile, representing a business which is resident and/or operating within Greater Lincolnshire,

Business Representation Organisations Representative (1 Representative)

A senior leader of a body representing a group of companies with common interests, resident and/or operating within Greater Lincolnshire

Education Sector Representative (1 Representative)

A senior leader of a Further Education (FE) or Higher Education (HE) organisation located within Greater Lincolnshire.

A Member will cease to be a Member of the Panel if they fail to attend three meetings in a rolling twelve month period.

Private Sector Representation members of the Economic Advisory Panel will be appointed for a term of three years.

All Private Sector Representation will be recruited to through an open recruitment process and appointed by the Combined County Authority.

Business Representation Organisation Representative and Education Sector Representative will be proposed by Officers and appointed by the Combined County Authority for a term two years. Representation will be expected to rotate between organisations, with the education sector representative alternating between FE and HE.

The Mayor and lead members for constituent councils will be invited to attend meetings of the Panel as observers.

Chairing the Committee

The Economic Advisory Panel Chair will be a Private Sector Representative, who is nominated by the Mayor and confirmed by the Combined County Authority.

A Vice-Chair will be appointed by the Economic Advisory Panel from amongst the Private Sector Representative membership.

In the absence of the appointed Chair or Vice-Chair the Economic Advisory Panel will appoint a Chair for the meeting.

The Chair of the Economic Advisory Panel will become an Associate Member of the Combined County Authority.

Representing the Business Voice

The Economic Advisory Panel will nominate a representative to sit as an embedded non-voting member of the following Authority governance bodies:

1. Transport Board
2. Skills & Employment Board
3. Business and Infrastructure Board

The role of these embedded members will be to represent the business voice and the view of the Economic Advisory Board on thematic topics. If the nominated member is unable to attend a Board meeting then they may nominate a delegate from the Economic Advisory Panel to attend on their behalf.

Quorum

The quorum will be four voting members including the Chair (or Deputy Chair)

Voting

Any matters that are to be decided by the Economic Advisory Panel are to be decided by consensus where possible.

All Members of the Panel will be entitled to vote. The Chair will not have a casting vote.

Frequency

There will be a minimum of four Economy Advisory Panel meetings each municipal year, meetings are not required to be held in public with provision for Public Forum.

Review

The terms of reference are to be reviewed on an annual basis as part of the annual Constitutional review.

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3.5E. Overview & Scrutiny Committee

Terms of Reference

This is a regulatory committee of the Authority; these are Committees that the Combined County Authority must have by law.

The Authority must appoint one or more overview and scrutiny committees whose proceedings shall operate in accordance with these terms of reference and the Scrutiny Standing Orders detailed in [Part 4](#) of the Constitution, which have been developed in accordance with the principles of the UK Government Scrutiny Protocol.

The function of the Overview & Scrutiny Committee is to:

- review or scrutinise any decision made, or other action taken, in connection with any Mayoral Function or Non-Mayoral Function of the Combined County Authority
- make reports or recommendations to the Mayor, with respect to any Mayoral Function of the Authority.
- make reports or recommendations to the Authority, with respect to any Non- Mayoral Function of the Authority.
- make reports or recommendations to the Authority or the Mayor on any matter that affects the Authority's Area or the inhabitants of the Area.

The Overview & Scrutiny Committee has the following key tasks to deliver in fulfilling its functions:

- hold the Mayor to account in relation of Mayoral Priorities
- hold the Mayor and the Authority to account for the ambitions and outcomes of the Greater Lincolnshire plan, Investment Strategy and other key strategies and plans.
- undertake focused scrutiny on the preparation of budgets and financial plans
- utilise the Call-In power if decisions are thought not to have been taken in accordance with the principles of decision-making set out in the Constitution
- develop and maintain a rolling programme of scrutiny, that will include:
 - scrutiny of the allocation and use of resources and delivery of functions
 - review of performance
 - review of evidence, policy and strategy to identify gaps and/or make recommendations
 - contributing to the development of key policy/strategies and evidence bases including the economic assessment.
 - review of the forward plan to identify any mayoral or combined county authority key decisions that the Committee wishes to engage with and the stage the Committee will engage (pre-decision)
 - scheduling focused meetings on cross- cutting matters and/or issues of significant concern
 - undertaking deep dives or establishing scrutiny task and finish when required
- identify appropriate information, research, witnesses, training or resource requirements needed to carry out its functions.

Membership

The majority of members of any overview and scrutiny committee or subcommittee must be elected members of the Constituent Councils⁷

The membership of the Overview & Scrutiny Committee shall consist of:

Membership:

- 2 representatives from each Constituent Council
- 4 representatives from the Non Constituent Councils
- 1 independent person appointed by the Authority (non voting)

The Committee may co-opt up to 3 additional Non-Voting Membership from partner and stakeholder bodies relevant to the remit of the Committee. Further co-opted members may be appointed with the approval of the Authority.

In addition, each Council will appoint one named elected member for each member appointed at above, who will act as a Member of the Overview and Scrutiny Committee in the absence of the member appointed ('the Substitute or Delegate Members'). Substitute and Delegate Members will have access to training and support the same as voting members and form a 'pool of scrutiny members'

The Committee may appoint one or more sub-committees for the purpose of discharging any of the Committee's functions. The Committee may appoint one or more task and finish group to gather evidence to inform the discharging of the Committee's functions.

In appointing members to the Overview and Scrutiny Committee the Authority must ensure that the members of the committee taken as a whole reflect so far as reasonably practicable the balance of political parties for the time being prevailing among members of the Constituent Councils when taken together.

For the purposes of political balance considerations, the members of the committee as a whole refers to the voting members of the Committee, with the exception of the Independent Member.

As far as is reasonably practicable the membership should be geographically balanced to generate a whole Greater Lincolnshire perspective.

Neither the Mayor nor any other Member or Substitute or Delegate Member may be a Member of the Overview and Scrutiny Committee, Sub-Committee or Task and Finish Group.

Chairing the Committee

The Authority will appoint the Chair of the Committee.

The Chair must be:

- an independent person, or
- an appropriate person who is a member of one of the Constituent Councils (that is a person who is not a member of a registered political party of which the Mayor is a member).

A Vice-Chair will be appointed by the Committee from amongst the Constituent Authority membership.

Quorum

The quorum will be two thirds of voting members of the Committee.

⁷ The membership of the Overview and Scrutiny Committee will be established in accordance with the provisions of Sch 1 of the Levelling-Up and Regeneration Act 2023, operates within The Local Democracy, Economic Development and Construction Act 2009 and The Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 as amended by the 2025 regulations of the same name and the prescriptions issued to the GLCCA by the Secretary of State.

Voting

Any matters that are to be decided by the Committee are to be decided by consensus of the Committee where possible.

When a vote is required, only voting members of the Committee will be entitled to vote at meetings, the Chair does not exercise a casting vote as they are a non-voting member of the Committee.

Co-opted members may not be given a vote unless the Authority takes a decision to increase the number of constituent council members of the Committee to maintain compliance with the relevant legislation.

Frequency

There will be a minimum of six Overview & Scrutiny Committee meetings each municipal year.

Review

The terms of reference are to be reviewed on an annual basis by the Overview & Scrutiny Committee

The role and arrangements of the Overview & Scrutiny Committee will be reviewed on an annual basis by the Combined County Authority

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3.5F. Audit Committee

Terms of Reference

This is a regulatory committee to the Authority; this is a Committee that the Combined County Authority must have by law.

The function of the Audit Committee is to:

- review and scrutinise the Authority's financial affairs
- review and assess the Authority's risk management, internal control and corporate governance arrangements
- review and assess the economy, efficiency and effectiveness with which resources have been used in discharging the Authority's functions
- make reports and recommendations to the Combined County Authority in relation to reviews conducted under the bullets above
- implement the obligation to ensure high standards of conduct amongst Members.

The Authority must appoint an Audit Committee whose proceedings shall operate in accordance with these terms of reference and the Scrutiny Standing Orders detailed in **Part 4** of the Constitution.

Membership

The membership of the Audit Committee shall consist of:

Voting Membership:

- 2 representatives from each Constituent Council
- 4 representatives from the Non Constituent Councils

Non-Voting Membership

- Up to 2 Independent Persons

In appointing members to the Audit Committee the Authority must ensure that the members of the committee taken as a whole reflect so far as reasonably practicable the balance of political parties for the time being prevailing among members of the Constituent Councils when taken together.

For the purposes of political balance considerations, the members of the committee as a whole refers to the voting members of the Committee.

Neither the Mayor nor any other Member or Substitute or Delegate Member may be a Member of the Audit Committee, Sub-Committee or Task and Finish Group.

Chairing the Committee

The Authority will appoint the Chair of the Committee.

In the absence of the appointed Chair, the Committee will appoint a Chair for the meeting.

Quorum

The quorum will be two thirds of voting members of the Committee.

Voting

Any matters that are to be decided by the Committee are to be decided by consensus of the Committee where possible.

When a vote is required, only voting members of the Committee will be entitled to vote at meetings, the Chair does not exercise a casting vote as they are a non-voting member of the Committee.

Frequency

There will be a minimum of four Audit Committee meetings each municipal year, meetings shall be held in public.

Audit Committee Sub-Committee for Code of Conduct Matters

To consider and determine any allegation of failing to comply with the Code in accordance with the arrangements for investigating and making decisions about allegations of failing to comply with the Code.

Functions

The Audit Committee shall undertake the following for the Combined County Authority:

Accounts

- Approve the annual statement of accounts.

Governance

- Review corporate governance arrangements against the good governance framework.
- Review the Annual Governance Statement prior to approval to ensure it properly reflects the risk environment and supporting assurances.
- Annually review the assurance framework to ensure it adequately addresses risks and priorities including governance arrangements of significant partnerships.
- Monitor the Combined County Authority's risk and performance management arrangements including reviewing the risk register, progress with mitigating actions and assurances.
- Monitor the anti-fraud and whistle blowing policies and the complaint process.

Internal Audit

- The Combined County Authority must appoint a Local Auditor to audit its accounts for a financial year not later than 31 December in the preceding financial year.
- Provide assurances over the effectiveness of internal audit functions and assuring the internal control environments of key partners.
- Review internal audit requirements undertaken by the Combined County Authority
- Approve the internal audit plan.
- Consider reports and assurances from the Chief Finance Officer in relation to:
 - i) Internal Audit performance;
 - ii) Annual Assurance Opinion on the adequacy and effectiveness of the framework of governance, risk management and control;
 - iii) Risk management and assurance mapping arrangement;
 - iv) Progress to implement recommendations including concerns or where managers have accepted risks that the Authority may find unacceptable.

External Audit

- Review the annual accounts.
- Consider the annual external audit of the Combined County Authority's accounts, including the Annual Audit Letter and assessing the implications and monitoring managers' response to concerns.

Financial Reporting

- Consider whether accounting policies were appropriately followed and any need to report concerns to the Combined County Authority Board.
- Consider any issues arising from External Auditor's audit of the account.
- Ensure there is effective scrutiny of the treasury management strategy and policies in accordance with [CIPFA's Code of Practice](#).
- Maintain an overview of the Combined County Authority's Constitution in respect of contract procedure rules, financial regulations and standards of conduct and make recommendations to the Chief Finance Officer and Monitoring Officer where necessary.

Code of Conduct

- Ensure the Combined County Authority has effective policies and processes in place to ensure high standards of conduct by its Members and Co-opted Members.
- Assisting the Members and Co-opted Members to observe the Code of Conduct.
- Advising the Combined County Authority on the adoption or revision of the Code of Conduct and monitor its operation.
- Advising on training and overseeing the effectiveness of any training for Members and Co-opted Members on matters relating to the Code of Conduct.

General

- To review any issue referred to the Committee by the Chief Operating Officer, Director, s73 Officer, the Monitoring Officer or any Combined County Authority Member.
- Report and make recommendations to the Combined County Authority in relation to the above.

The Committee may appoint one or more sub-committees for the purpose of discharging any of the Committee's functions.

Review

The terms of reference are to be reviewed on an annual basis by the Audit Committee.

The role and arrangements of the Audit Committee will be reviewed on an annual basis by the Combined County Authority.

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3.5G. Joint Committees

The terms of reference for any Joint Committees created by the Combined County Authority will subsequently be detailed in this section of the constitution.

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3.6 Scheme of Delegation of Functions to Chief Officers and Schedule of Proper Officers

1 Introduction

General roles and responsibilities of Officers

- 1.1 The Authority and the Mayor approve strategies and policies which determine the framework in which operational decisions are made.
- 1.2 Officers implement decisions made by the Authority (or any decision-making Board or Committee of the Authority) and the Mayor. Officers also take measures to carry out these policies and decide day-to-day operational matters, within the framework of these decisions.
- 1.3 Officers must comply with **Article 6** (Decision-making) in **Part 2** of the Constitution when exercising authority delegated to them.
- 1.4 Decision-making by officers is subject to other control measures. These include:
- Standing Orders including the Contracts Standing Orders and Financial Regulations in **Part 4** of the Constitution
 - Officers' Codes of Conduct, gifts and hospitality policy and the Conflicts of Interest Policy and Protocols in **Part 5** of the Constitution
 - Identified organisational values
 - an anti-fraud, bribery, and corruption policy, and
 - internal audit and risk management arrangements.
- 1.5 When exercising their delegated authority, an officer must:
- ensure that the decision conforms with and furthers strategies and policies approved or endorsed by the Combined County Authority and the Mayor, and
 - follow approved practices and procedures of the Combined County Authority including the Assurance Framework, and industry/professional best practice.

Delegation to Officers

- 1.6 This Officer Delegation Scheme sets out:
- Combined County Authority Functions delegated to officers by the Combined County Authority, and
 - Mayoral Functions delegated to officers by the Mayor.
- 1.7 The Authority or the Mayor may also delegate decisions outside of this Scheme to an Authority officer in relation to any specific matter, subject to statutory and constitutional restrictions.
- 1.8 The Combined County Authority's Standing Orders in **Part 4** of the Constitution including Contracts Standing Orders and Financial Regulations also delegate to specified officers or post-holders.
- 1.9 Where the Authority have appointed a Board or Committee to discharge functions, that Board or Committee may also delegate any of those functions or a decision in relation to a specific matter within the Board or Committee's terms of reference, to an officer.

- 1.10 The Combined County Authority (or a Board or committee) or the Mayor may continue to exercise any function which it has delegated to an officer.

Sub-Delegations

- 1.11 Unless required by law or expressly indicated in the Scheme, an officer is not required to discharge their delegated authority personally (although they will remain responsible for any decision taken on their behalf). Such an officer (in their absence) may arrange for another officer of suitable experience and seniority to exercise the delegated authority on their behalf.

Referral of Matters to the Combined County Authority or Relevant Board – Combined County Authority Functions

- 1.12 An officer may decide not to exercise their delegated authority in relation to any matter. If so, the officer shall refer the matter to the Combined County Authority or a relevant Board.

Referral of Matters to the Mayor – Mayoral Functions

- 1.13 An officer may decide not to exercise their delegated authority in relation to any matter. If so, the officer shall refer the matter to the Mayor.

Key Decisions

- 1.14 The Access to Information Rules in **Part 4** of the Constitution apply where an officer exercises their delegated authority to take a Key Decision.

- 1.15 A key Decision is defined in Article 6: Decision-Making in **Part 2** of the Constitution.

Call-in of Officer Decision

- 1.16 Any Key Decision taken by an officer under delegated authority is open to call-in, in accordance with the Overview & Scrutiny Procedure Orders in **Part 4** of the constitution.

Recording Officer Decisions

- 1.17 An officer is required to complete a written record of their decision in accordance with the Access to Information Rules in **Part 4** of the Constitution. All reports and officer decisions shall be held by the Monitoring Officer.

Concurrent Functions

- 1.18 An officer proposing to exercise their delegated authority in respect of any Concurrent Function must follow any Protocol agreed by the Authority with Constituent Councils relating to Concurrent Functions, including in relation to consultation.

Statutory Consents

- 1.19 No officer may exercise their delegated authority in relation to any function which requires a Statutory Consent.

- 1.20 An officer should exercise their delegated authority in relation to any function in respect of which a Statutory Consent has been given, in accordance with the terms of that Statutory Consent.

2. Officer Delegation Scheme: Delegations

- 21 The Chief Operating Officer may direct a Chief Officer not to exercise their authority delegated under this Scheme in respect of a particular matter and to refer the matter for determination:

- in respect of any Combined County Authority Function to a relevant committee to the Combined County Authority, or (where the delegated authority is of a general delegation), to the Chief Operating Officer, or
- in respect of any Mayoral Function to the Mayor.

General Delegations (Combined County Authority Functions) to the Chief Operating Officer or Chief Officers

22 Each Officer is authorised to carry into effect without reference to the Combined County Authority or to any of its Boards of committees, matters of day-to-day management and administration in relation to functions within their remit. This includes the following:

(a) Expenditure

221 To incur expenditure within the agreed revenue budget in accordance with the Financial Regulations and Contracts Standing Orders in **Part 4** of the Constitution.

222 To incur expenditure on capital schemes within agreed scheme budgets, in accordance with the Financial Regulations, provided that expenditure has been authorised in accordance with the Greater Lincolnshire County Combined Authority Assurance Framework.

(b) Human Resources

223 To appoint officers within the approved funded staffing structure in accordance with the Combined County Authority's Recruitment Policy.

224 To appoint officers on a temporary basis to provide cover for absences within approved budgets.

225 With the exception of:

- granting voluntary redundancy requests,
- releasing preserved pension benefits on ill health grounds, and
- payments to any officer for loss or damage to property arising out of their employment with the Combined County Authority

to determine any employment issue arising in respect of an individual officer in accordance with agreed procedures and the relevant national conditions of service as modified or extended by any local or national agreements, following consultation with the section 73 Officer and Monitoring Officer.

Proper Officer Functions

226 Each Chief Officer is appointed the Proper Officer for any function within their remit.

Miscellaneous

227 To implement and ensure compliance with requirements relating to:

- health and safety
- data protection, freedom of information and transparency,
- surveillance activities,
- human rights,
- risk management,
- equality and diversity; and
- safeguarding

3. Chief Operating Officer

31 The Chief Operating Officer is designated the Head of Paid Service of the Combined County Authority and is authorised to exercise the functions of the Head of Paid Service as set out in Section 4 of the Local Government and Housing Act 1989.

32 With the exception of any matter which the Mayor has directed should be referred to the Combined County Authority for determination, the Chief Operating Officer is authorised to exercise any Combined County Authority Function which is not:

- expressly reserved to the Combined County Authority,
- a function of any other officer in their capacity as a statutory officer, always provided that:
 - I. exercising this authority to approve any economic development loan is subject to the conditions set out below and in consultation with the Section 73 Officer, and
 - II. any decision in respect of an application for a loan or grant from a business where a potential conflict of interest arises from the involvement with that business of any person representing the Business Voice or of non-constituent member of the Combined County Authority is taken in accordance with the Conflicts of Interest Protocol

33 The Chief Operating Officer is further authorised to take decisions which would have been taken by a committee and where, for exceptional circumstances, that committee has been unable to meet, and the decisions are of an urgent nature and cannot wait until the next scheduled meeting.

34 The Chief Operating Officer, in consultation with the Section 73 Officer and Monitoring Officer, may take decisions related to the approval of a detailed business case and the acceptance of a tender or quotation for the supply of goods, materials or services provided that the spend is within the Combined County Authority's approved budget. Prior to exercising this delegation the Chief Operating Officer must consult the Mayor, and the Lead Member, and following the decision, must publish an Officer Decision Notice.

35 In order to exercise 3.4 above, the business case or procurement must be approved by the Combined County Authority Board within the MTFP and, in the case of a tender or quotation, must be approved in accordance with the Authority's Contracts Procedure Rules, ie:

- the decision relates to the delivery of the agreed business plan for that business area;
- the decision accords with any officer decision making guidance issued to officers;
- once the decision has been made the officer complies with the transparency requirements of [The Openness of Local Government Bodies Regulations 2014](#).
- decisions taken will be reported to the next available Combined County Authority as part of a Delegated Authority report

36 To commit expenditure from earmarked funds and reserves in accordance with the purpose for which those earmarked funds and reserves have been approved by the Combined County Authority, save for those earmarked funds and reserves which the Combined County Authority specifically reserves the right to itself or another Board to approve, and subject to reporting the use of those earmarked funds and reserves through the budget monitoring report at the next meeting of the Combined County Authority after the commitment is made.

37 To act as the Combined County Authority Senior Information Risk Officer (S.I.R.O).

4. Strategic Finance and Investment Officer - Section 73 Chief Finance Officer

41 The Strategic Finance and Investment Officer is the Section 73 Chief Finance Officer of the Combined County Authority, and as such exercises any statutory function of the Chief Finance Officer, including making arrangements for the proper administration of the Combined County Authority's financial affairs.

42 The Strategic Finance and Investment Officer is authorised to exercise the following Combined County Authority functions with the exception of any matter:

- expressly reserved to the Combined County Authority,
- expressly within the terms of reference of a Combined County Authority committee or which the Chief Operating Officer has directed the Strategic Finance and Investment Officer to refer to the Combined County Authority or any Committee for determination

to carry out any function in relation to:

- i. Finance
- ii. Commercial and Procurement
- iii. Audit and Risk
- iv. Funding Plan & Investment portfolio
- v. Commercial and Procurement
- vi. HR, OD and Learning
- vii. Digital and Technology
- viii. Corporate Services
- ix. Corporate Development
- x. Strategic Facilities and Asset Management
- xi. Equalities and Inclusion
- xii. Marketing
- xiii. Communications and External Affairs

5. Monitoring Officer

5.1 The Monitoring Officer is designated the Monitoring Officer for the Combined County Authority, and as such exercises any statutory function of the Monitoring Officer.

5.2 With the exception of any matter:

- expressly reserved to the Combined County Authority or
- which the Chief Operating Officer has directed the Monitoring Officer to refer to the Combined County Authority or any Committee for determination

to carry out the following functions:

Legal Proceedings and Settlements

5.2.1 To take any legal action to implement a decision of the Combined County Authority.

5.2.2 To institute, defend, compromise or participate in any proceedings or disputes or to protect the interests of the Combined County Authority, and to take all necessary steps in relation to such proceedings or disputes.

5.2.3 Defend and settle all actual and prospective claims made against the Combined County Authority up to £500,000

5.2.4 To authorise the affixing of the seal of the Combined County Authority (and to authorise any other Solicitor of the Combined County Authority to authorise the affixing of the seal) and hold a register kept for the purpose that contains a consecutively numbered entry of every sealing initialled by the person who has authorised the affixing of the seal.

5.2.5 Make orders or take any other steps in relation to any legislation

5.2.6 To authorise officers possessing such qualifications as may be required by law or in accordance with the Combined County Authority's policy, to take samples, carry out inspection, enter premises and generally perform the functions of a duly authorised officer of the Combined County Authority (however described) and to issue any necessary certificates of authority.

Governance

5.2.7 To discharge secretariat and other functions in relation to meetings of the Combined County Authority and its committees

- 5.2.8 To make any changes to any governance document of the Combined County Authority which are required:
- as a result of legislative change or decisions of the Combined County Authority or the Mayor,
 - to enable them to be kept up to date, or
 - for the purposes of clarification only.
- 5.2.9 To make any changes to the Greater Lincolnshire Combined County Authority Assurance Framework which are required:
- as a result of legislative change or decisions of the Combined County Authority or the Mayor,
 - to enable it to be kept up to date, or
 - for the purposes of clarification only.
- 5.2.10 To make any change to the membership of any Committee of the Combined County Authority, provided that the appointment has no impact on the political balance for the committee and only in accordance with any nomination by the designated nominating body.

Members Allowances

- 5.2.11 To administer the Members' Allowances Scheme in [Part 6](#) of the constitution.

Interests in Land

- 5.2.12 To obtain particulars of persons interested in land in alignment with Section 16 of the Local Government (Miscellaneous Provisions) Act 1976
- 5.3 With the exception of any matter:
- expressly reserved to the Combined Authority, or
 - which the Chief Operating Officer has directed the Section 73 Officer or the Monitoring Officer to refer to the Combined County Authority or the Audit Committee for determination
- 5.4 To secure all necessary and sufficient insurances and indemnities (including officers' and public and employer's liability).

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Part 4: Procedure Rules

4.1 Combined County Authority Procedure Rules

1 Annual Meetings

1.1 In a year when there is an ordinary mayoral election, the Annual meeting of the Authority shall take place within 21 days from the retirement of the outgoing Mayor. In any other year, the Annual meeting shall take place on such day between 1st March and 30th June in line with Schedule 12, paragraph 6A of the Local Government Act 1972.

1.2 At the Annual meeting the Authority will:

- (a) Note the Mayor and Constituent council members and substitute members;
- (b) Receive apologies for absence;
- (c) Receive any declarations of interest from Members;
- (d) Approve the minutes of the last meeting;
- (e) Receive details of the Mayor's appointments of the Deputy Mayor and arrangements in respect of Mayoral General Functions;
- (f) Appoint non-constituent members and associate members and their delegates and substitutes;
- (g) Approve a programme of Ordinary meetings of the Authority for the year;
- (h) Approve committee arrangements and appointments to Boards including appointing at least one Overview and Scrutiny Committee, and an Audit Committee and such other committees and advisory panels as required;
- (i) Receive nominations and appoint Members to serve on outside bodies;
- (j) Consider any other business set out in the summons convening the meeting;
- (k) Consider any business that the Mayor believes to be urgent, in that the matter to be determined has arisen since the publication of the agenda and failure to determine it at this meeting would cause significant adverse impact on the Authority.

2 Ordinary Meetings

2.1 Ordinary meetings of the Authority shall take place in accordance with a programme decided at the Authority's Annual meeting. Ordinary meetings will:

- (a) Receive apologies for absence;
- (b) Approve the minutes of the last meeting;
- (c) Receive any declarations of interest;
- (d) Receive any announcements from the Mayor;
- (e) Deal with any business adjourned from the last Authority meeting;

- (f) Respond to any questions from members of the public;
- (g) Consider reports and recommendations from any Board, Committee or Advisory Panel of the Authority;
- (h) Consider reports and recommendations from any Chief Officer of the Authority;
- (i) Consider motions on notice;
- (j) Consider any other business specified in the summons to the meeting, and for debate;

3. Extraordinary Meetings

3.1 The Monitoring Officer may call, and those listed below may require the Monitoring Officer to call, Extraordinary Combined County Authority meetings in addition to Ordinary meetings:

- (a) The Authority;
- (b) The Mayor (by resolution in their capacity as the Chair of the Authority);
- (c) Any five Authority Members who have signed requisition which has been presented to the Mayor and the Mayor has refused to call a meeting or has failed to call a meeting within 5 clear working days of the presentation of the request.

Only business specified in the summons may be transacted at an Extraordinary Authority meeting.

4. Chair

- 4.1 The Mayor, or in their absence the Deputy Mayor (who will have the same powers and duties as the Mayor), will preside at meetings of the Authority.
- 4.2 Where the Deputy Mayor is acting in place of the Mayor they cannot also act in their capacity as a Combined County Authority Member. The substitute member for the Deputy Mayor may act in the place of the Deputy Mayor in their capacity as a Combined County Authority Member.
- 4.3 If for any reason the Mayor is unable to act or the office of Mayor is vacant and the Deputy Mayor is unable to act or the office of Deputy Mayor is vacant, the other members of the Authority must act together to appoint a Chair. In such circumstances the Authority will elect a Constituent Member to chair the meeting as its first item of business. Decisions will still be taken by a simple majority.
- 4.4 In the period prior to the first day of the first Mayor's Term of Office the Authority must appoint a Chair from among its Constituent Council members and the appointments are to be the first business transacted after the appointment of members of the Combined County Authority, at the first meeting of the Authority.
- 4.5 A person ceases to be Chair of the Authority if they cease to be a member of the Authority.
- 4.6 If a vacancy arises in the office of chair, an appointment to fill the vacancy is to be made at the next ordinary meeting of the Authority, or, if that meeting is to be held within 14 days of the vacancy arising, at the meeting following that meeting.
- 4.7 The Chair of the Authority ceases to hold office at the end of the day before the first Mayor's term of office begins.
- 4.8 The Authority must appoint a vice-chair from amongst its Constituent council members and the appointment is to be the first business transacted after the appointment of members and the Chair of the Authority, at the first meeting of the Combined County Authority.
- 4.9 A person ceases to be vice-chair of the Authority if they cease to be a member of the Authority.

- 4.10 If a vacancy arises in the office of vice-chair, an appointment to fill the vacancy is to be made at the next ordinary meeting of the Authority or, if that meeting is to be held within 14 days of the vacancy arising, at the meeting following that meeting.
- 4.11 The vice-chair must act in place of the Chair if for any reason—
 - (a) the chair is unable to act, or
 - (b) the office of Chair is vacant.
- 4.12 If for any reason—
 - (a) the chair is unable to act or the office of chair is vacant, and
 - (b) the vice-chair is unable to act or the office of vice-chair is vacant,
 no meeting of the Authority may take place.
- 4.13 The office of vice-chair is abolished at the end of the day before the first mayor's term of office begins.
- 4.14 Sections 4.4 to 4.14 above and 5.1 below will cease to have effect after the election of the first Mayor in May 2025 and should be removed from the Constitution.

5. Quorum

Proceedings on or before the day before the first Mayor's term of office begins

- 5.1 No business may be transacted at a meeting of the Authority unless the following persons are present—
 - (a) the Chair, or vice-chair acting in place of the Chair, and
 - (b) at least three members of the Authority appointed by Constituent councils under paragraph 1(2), or substitute members acting in their place.

Proceedings on or after the day on which the first Mayor's term of office begins

- 5.2 No business may be transacted at a meeting of the Authority unless the following persons are present:
 - (a) the Mayor or the deputy mayor acting in place of the Mayor, and
 - (b) at least three members of the Authority appointed by Constituent councils, or substitute members acting in their place.
- 5.3 If at the time for which a meeting is called, and for 15 minutes thereafter, a quorum is not present, then no meeting shall take place.
- 5.4 If during any meeting the Chair, after counting the number of Members present, declares that there is not a quorum present, the meeting shall stand adjourned to a time fixed by the Chair. If there is no quorum and the Chair does not fix a time for the reconvened meeting, the meeting shall stand adjourned to the next ordinary meeting of the Authority.

6. Time, Place and Duration of Meetings

- 6.1 Authority meetings are held at any place within the Combined County Authority Area as the Authority directs during daytime unless the Authority or the Mayor decides otherwise. Any changes to the date, time and place of meetings or cancellation of meetings will be determined by the Chief Operating Officer in consultation with the Mayor.
- 6.2 The Mayor shall interrupt proceedings where any meeting has lasted for three hours, whereupon all Members shall stop speaking. The Mayor shall, without discussion, take a vote on whether or not the Members wish the meeting to continue.
- 6.3 If the majority of Members present vote to continue the meeting, then the meeting shall continue until all business has been concluded.

7. Suspension, Variation, Revocation, and Interpretation of Procedure Rules

- 7.1 Any motion to vary or revoke these Procedure Rules shall, when proposed and seconded, stand adjourned without discussion to the next Ordinary meeting of the Authority.
- 7.2 Procedure Rules may be suspended in respect of any business at a meeting of the Authority where its suspension is moved and seconded, except where this would be in contravention of statute.
- 7.3 A motion to suspend Procedure Rules shall not be moved without notice unless there are present at least three of the Members of the Authority appointed by Constituent Councils or Substitute Members acting in their place.
- 7.4 The ruling of the Mayor as to the construction or application of Procedure Rules, or as to any proceedings of the Authority, shall not be challenged. The Mayor may consult with the Monitoring Officer or their nominee on any question of interpretation.

8. Items of Business

- 8.1 No item of business may be considered at any meeting except:
- The business set out in the Summons,
 - Business required by law to be transacted at the annual meeting, or
 - Business brought before the meeting as a matter of urgency by reason of special circumstances, which shall be specified in the minutes, and the Mayor is of the opinion that the item should be considered at the meeting as a matter of urgency.
- 8.2 All Members are able to request items of business that could be included in the summons. The Mayor will confirm the items of business to be included in the Summons.

9. Order of Business

- 9.1 Business shall be dealt with in the order in which it is set out in the agenda unless the Mayor acting reasonably decides otherwise.

10. Record of Attendance

- 10.1 The Monitoring Officer will ensure that the name of any Member present during the whole or part of a meeting is recorded.

11. Confirmation of Minutes and Declarations of Interest

- 11.1 Minutes of the last Authority meeting shall be confirmed at the next Ordinary meeting of the Authority.
- 11.2 Only matters relating to the accuracy of the minutes can be raised, which must be done by way of a motion which is proposed, seconded, and voted upon. Where no issues are raised, or after the motion has been dealt with, the Mayor shall initial each page and sign the minutes.
- 11.3 Any Member with a Disclosable Pecuniary Interest in a matter being discussed should declare the nature of the interest and withdraw from the meeting during the item.
- 11.4 Any Member with an Other Registrable Interest or Non-Registrable Interest in a matter being discussed should declare the nature of the interest and should withdraw from the meeting during the item, if required to do so under the Members' Code of Conduct.

12. Motions on Notice

- 12.1 **Notice.** Except for Procedural Motions which can be moved without notice, written notice of every

motion, signed by the Member raising the motion and at least one seconder, must be delivered to the Monitoring Officer, not later than midday, at least seven clear working days before the date of the meeting.

- 12.2 Motions for which notice has been given will be listed on the agenda in the order in which they were received, unless the Member giving notice states, in writing, that they propose to move it to a later meeting or withdraw it.
- 12.3 No more than one motion may be proposed by Members of each Constituent Councils and no more than one motion may be proposed by the non Constituent Members collectively for each meeting.
- 12.4 **Scope.** Each motion must:
- (a) clearly and succinctly identify the matter to be debated;
 - (b) be capable of being passed as a formal resolution; and
 - (c) be about matters for which the Authority has a responsibility, or which specifically affect the Authority area.
- 12.5 The Monitoring Officer may, reject a motion which, in their opinion:
- (a) is irrelevant, defamatory, frivolous, offensive, vexatious, unlawful or otherwise improper;
 - (b) refers to legal proceedings taken or anticipated by or against the Combined County Authority;
 - (c) requires the disclosure of confidential or exempt information;
 - (d) names or identifies specific service users, members of staff or members of staff of partner organisations without the mover demonstrating they have provided consent;
 - (e) relates to the Member's own personal circumstances;
 - (f) expresses support or objection to proposals where the Authority is in the process of consulting with the public or responding to a formal consultation process.
- 12.6 **Alteration.** A proposer may alter a motion on which they have given notice when they come to move it, in which case the amendment becomes part of the substantive motion without debate. Only alterations that could be made as an amendment may be made.
- 12.7 **Withdrawal.** Where a motion on notice is before the Authority having been formally moved and seconded, the mover may subsequently withdraw it only with the consent of the seconder and the meeting. The meeting's consent will be signified without discussion. No member may speak on the Motion after the proposer has asked permission to withdraw it unless permission is refused.
- 12.8 **Motions not moved.** If a motion set out in the summons is not moved by the Member who gave notice of it, it shall, unless postponed by consent of the Authority, be treated as withdrawn and shall not be moved without fresh notice.
- 12.9 **Rescission of earlier resolutions.** No motion or amendment may be proposed to rescind any resolution of the Authority passed within the preceding six months, or which is to the same effect as one which has been rejected within that period, unless:
- (a) It is proposed by a Board of the Authority,
 - (b) It is required to comply with a statutory duty; or
 - (c) Notice of such motion has been given and signed by at least one third of the total number of members who include members from more than one political group.

13. Amendments

- 13.1 An amendment to a motion must:
- (a) Be relevant to the motion;
 - (b) Add and/or delete a word or words;
 - (c) Not introduce a new topic;
 - (d) Not negate the motion;
 - (e) Be worded so that, if it is agreed by the Authority, it can be passed as a valid resolution.
- 13.2 The Mayor, following consultation with the Monitoring Officer, may reject an amendment on the grounds set out in Rule 12.5 or 13.1. An amendment will not be accepted if it is substantially the same as a motion or amendment which has already been submitted to the same meeting of the Authority.
- 13.3 **Number of Amendments.** Only one amendment may be moved and discussed at a time. No further amendment shall be moved until the amendment under discussion has been disposed of.
- 13.4 **Status of Amendments.** If an amendment is lost, another amendment may be moved on the original motion. If an amendment is carried, the motion as amended shall take the place of the original motion and shall become the motion upon which any further amendment may be moved.
- 13.5 After all amendments have been considered and determined there shall be an opportunity for further debate on the original motion, as amended or otherwise as the case may be, prior to the taking of a vote.

14. Public Questions

- 14.1 At Ordinary meetings of the Authority and Boards, questions may be asked by members of the public of the Mayor, Authority Members and/ or Board and Committee Chairs.
- 14.2 The total time set aside for such questions and answers will be limited to 30 minutes with no extension of time, and questions not dealt with in this time will be dealt with by written responses.
- 14.3 No person may submit more than one question at any one meeting and no more than two questions may be asked on behalf of any one organisation.
- 14.4 Questions must be submitted in writing at least four clear working days before the meeting and include the name and address of the questioner and the name of the Member to whom the questioner would like the question put. Questions so received will be referred to the Monitoring Officer for consideration and inclusion at a meeting.
- 14.5 The Monitoring Officer may reject a question if it:
- (a) is not about a matter for which the Authority has a responsibility, or which specifically affects the Authority;
 - (b) is defamatory, vexatious, frivolous, or offensive;
 - (c) is substantially the same as a question which has been put at a meeting of the Authority in the past six months;

- (d) requires the disclosure of confidential or exempt information;
- (e) refers to legal proceedings taken or anticipated by or against the Authority;
- (f) relates to a day-to-day Authority function or the provision of an Authority service and has not been asked first of the relevant service area;
- (g) is not related to policy or budget issues;
- (h) is a statement rather than a question;
- (i) names or identifies individual service users, members of staff or members/staff of partner agencies;
- (j) makes or relates to allegations against, or comprise comments about, the conduct of individual Members or officers;
- (k) relates to an individual or the questioner's own particular circumstances;
- (l) would more appropriately be responded to under the Freedom of Information Act 2000 or the Data Protection Act 1998; or
- (m) is from, or on behalf of, a political party, or bears the name, insignia, or other device of a political party.

14.6 Those persons who submitted questions and who are present at that meeting of the Authority will be invited to read aloud the questions put.

14.7 If a member of the public who has submitted notice of a question is unable to be present at the meeting, the Mayor shall read out the submitted question on behalf of the questioner. The Authority will provide a written response to the questions put.

15. Motions and Amendments that may be moved without Notice

15.1 **Procedural motions.** The following motions and amendments may be moved without notice for consideration when a Chair is in place for the meeting:

- (a) Relating to the accuracy of the minutes of the Authority, a Board, committee or sub-committee;
- (b) For a change in the order of business;
- (c) That the meeting proceeds to the next business;
- (d) That the question be now put;
- (e) That the debate be now adjourned;
- (f) That the meeting does now adjourn;
- (g) To suspend Procedure Rules;
- (h) Giving consent where consent of the Authority is required by the Procedure Rules
- (i) Reference of a matter to a Board or Committee,
- (j) Appointment of or appointment to Board or committee occasioned by an item mentioned in the summons to the meeting;

- (k) That a Member should not be heard further or should leave the meeting;
- (l) Adoption of recommendations of Board and Committee any consequent resolutions;
- (m) That leave is given to withdraw a motion;
- (n) That leave is given to alter a motion by the mover of that motion;
- (o) Receipt of reports of officers and any consequent resolutions;
- (p) Amendment to reports of which notification has been included within the summons of the meeting but where the reports were circulated at a later date than the summons;
- (q) Authorising the sealing of documents;
- (r) To exclude the press and public

15.2 **Closure motions.** Motions designed to close a debate, e.g. (e)-(h) above, may be moved provided no-one else is speaking at the time. Closure motions cannot be moved by anyone who has moved, seconded, or already spoken in the debate. No person may intervene in the debate of a a motion by moving more than one closure motion.

15.3 When one of the following motions has been seconded, the Mayor shall proceed as follows:

- (a) **On a motion to proceed to next business** - unless in their opinion the matter before the meeting has been insufficiently discussed, they shall first give the mover of the original motion the right of reply, and then put to the vote the motion to proceed to next business. This does not remove the mover of the original motion having a right of reply if the vote falls. **On a motion that the question, be now put** - unless in their opinion the matter before the meeting has been insufficiently discussed, they shall put to the vote the motion that the question be now put and, if it is passed, give the mover of the original motion the right of reply before putting the motion to the vote.
- (b) **On a motion to adjourn the debate or the meeting** - if in their opinion the matter before the meeting has been insufficiently discussed on that occasion, they shall put the adjournment motion to the vote without giving the mover of the original motion the right of reply on that occasion.
- (c) **On a motion to exclude the public** - they shall ascertain the grounds for the motion and seek the advice of the Monitoring Officer. If members of the public may be lawfully excluded, the Mayor will allow the mover of the original motion a right of reply on the proposal to exclude the public and then put the motion to the vote. If it is passed, the Mayor may, at their discretion, either immediately require the public to leave the room or adjourn the debate until some convenient time later in the meeting when the public shall have been excluded.
- (d) On a motion that a named Member, be not further heard or leave the meeting - they shall put the motion to the vote without discussion. If it is passed, the named Member shall not be permitted to speak again during the meeting on any motion or amendment relating to the same matter or shall be required to leave the room.

16. Rules of Debate

16.1 **Motions and Amendments.** No motion or amendment shall be discussed unless it has been proposed and seconded. Where required by the Mayor, motions or amendments shall be put in writing and handed to the Mayor before they are further debated or put to the meeting.

- 16.2 **Seconders' Speech.** When seconding a motion or amendment, a Member may advise the Mayor that they will reserve their right to speak until a later period in the debate.
- 16.3 **Content and length of speeches.** A Member will confine their speech to the question under discussion, a personal explanation, or a point of order. All speeches shall not exceed five minutes.
- 16.4 **When a Member may speak again.** A Member who has spoken on any motion shall not speak again whilst it is the subject of debate, except:
- (a) To speak once on an amendment moved by another Member;
 - (b) If the motion has been amended since they last spoke, to move a further amendment;
 - (c) If their first speech was on an amendment moved by another Member, to speak on the main issue, whether or not the amendment on which they spoke was carried;
 - (d) Where the mover of a motion exercises their right to reply:
 - (i) at the close of the debate on the motion, immediately before it is put to the vote;
 - (ii) if an amendment is moved, at the close of the debate on the amendment (but they shall not otherwise speak on it). The mover of an amendment shall have no right of reply to the debate on their amendment.
 - (e) On a point of order referring to a specific Procedure Rule or statutory provision (which must be cited);
 - (f) By way of personal explanation.

17. Points of Order and Personal Explanations

- 17.1 A Member may raise on a point of order or in personal explanation and shall be entitled to be heard immediately. A Member raising a point of order must specify a Procedure Rule or statutory provision and the way in which they consider it has been breached.
- 17.2 A personal explanation shall be confined to some material part of a former speech by them which may appear to have been misunderstood or misquoted in the current debate.
- 17.3 The Mayor will hear the Member and give a ruling on the point of order or the admissibility of the personal explanation before the debate continues. The Mayor may consult on any question of interpretation with the Monitoring Officer or their nominee prior to making a ruling. The ruling of the Mayor on the matter shall not be open to discussion and will be final.

18. Voting

- 18.1 Subject to the following Standing Order, any question that is to be decided by the Authority on or after the day on which the first Mayor's term of office begins excluding approval or amendment of the Mayor's budget and questions relating to functions mentioned in GLCCA Regulation 23(7)(b) is to be decided by—
- (a) a vote of the members of the Authority, and any substitute members acting in place of members of the Authority, and the Mayor or the deputy mayor acting in place of the Mayor present and voting on that question at a meeting of the Authority, and
 - (b) a majority of those voting that includes the Mayor, or the deputy Mayor acting in place of the Mayor.

- 18.2 The Mayor, and each Member of the Authority appointed by a Constituent council, or substitute Member acting in that Member's place, is to have one vote.
- 18.3 A non-constituent member will be entitled to vote on all matters as identified in Part 3 of the Constitution with the exception of those matter relating to the Authority budget, the Mayor's budget, mayoral functions and transport functions.
- 18.4 Associate members are not entitled to vote.
- 18.5 Neither the Mayor, Deputy Mayor nor any member or substitute member is to have a casting vote.
- 18.6 If a vote is tied on any matter, it is deemed not to have been carried.
- 18.7 For questions relating to the following matters, the majority under Standing Order 18.1(b) must include all lead members designated by the Constituent councils or, where any substitute members are acting in place of lead members, all lead members and all such substitute members:
- (a) approval or amendment of a budget;
 - (b) the setting of any transport levy under section 74 of the Local Government Finance Act 1988 and in accordance with regulations made thereunder; and
 - (c) such other plans and strategies as may be determined by the Authority and set out in its standing orders.
- 18.8 For questions relating to the following matters, the majority under Standing Order 18.1(b) must include the lead member for any Constituent council whose area contains any part of the land subject to the proposed compulsory acquisition, or a substitute member acting in place of such a lead member:
- (a) The exercise of the functions by the Authority conferred by Regulations 6, 7 and 11 of the GLCCA Regulations 2025 in section 17(3) of the Housing Act 1985 (insofar as this function is exercised for the compulsory purchase of land), section 9(2) of the Housing and Regeneration Act 2008, section 226 of the Town and Country Planning Act 1990 and section 197(1) of the Localism Act 2011.
- 18.9 The following matters concerning the Mayor's budget must be decided by a two thirds majority of the members, or substitute members acting in their place, of the Authority present and voting on the question at a meeting of the Authority:
- (a) Any decision to veto the Mayor's draft budget (or draft revised budget) and approve the Mayor's draft budget incorporating the Authority's recommendations.
 - (b) Any decision to determine the relevant amounts and calculations that are to be used for the financial year where the Mayor has failed to notify the Authority of the Mayor's draft budget before 1st February.
- 18.10 Any exercise by the Mayor of the general functions mentioned in Regulation 23(1) of the GLCCA Regulations 2025 which results in a financial liability falling on a Constituent council requires the consent of the lead member of that Constituent council. Such consent is to be given at a meeting of the Authority.
- 18.11 Any exercise by the Mayor of the functions corresponding to the functions contained in section 199(1) of the Localism Act 2011 (exclusion of land from Mayoral development areas) in respect of any Mayoral development area requires the consent of each member of the Authority whose local government area contains any part of the area to be excluded from a Mayoral development area or substitute members acting in place of those members. Such consent is to be given at a meeting of the Authority.

- 18.12 Any exercise by the Mayor of the functions corresponding to the functions contained in section 202(2) to (4) of the Localism Act 2011 (functions in relation to town and country planning) in respect of any Mayoral development area requires the consent of the lead members of the Authority whose local government area contains any part of the area to be designated as a Mayoral development area or substitute members acting in place of those members. Such consent is to be given at a meeting of the Authority. (These powers also require the consent of the district council if the functions are to be exercised within their areas).
- 18.13 Any exercise by the Mayor of the functions conferred by sections 108, 109 and 112 of the Transport Act 2000 requires them to consult with the Authority and the members of the Authority may amend plans made pursuant to sections 108, 109 and 112 of the 2000 Act if agreed by a two thirds majority of the members, or substitute members acting in their place, of the Authority present and voting on the question at a meeting of the Authority.
- 18.14 **Offices and appointments.** If on a vote no person receives more than half of the votes cast, the name of the person with the fewest number of votes will be withdrawn. Further votes will be held until one person receives a clear majority.

19. Method of Voting

- 19.1 Whenever a vote is taken at meetings of the Authority it shall be by a show of hands.
- 19.2 On the requisition of any Member of the Authority eligible to vote, supported by two other Members (also eligible to vote) who signify their support by rising in their places, and before the vote is taken, the voting on any question shall be recorded so as to show whether each Member present gave their vote for or against or abstained from voting.

20. Matters Affecting Officers

- 20.1 If any question arises at a meeting at which the public are in attendance as to the appointment, promotion, dismissal, remuneration, pension matters, conditions of service or conduct of any person employed by the Authority, such question shall not be the subject of discussion until the Authority has decided whether or not to exclude the public.

21. Conduct at Meetings

- 21.1 Whenever the Mayor rises during a debate at a Authority meeting, the meeting shall be silent.
- 21.2 Mobile phones and other electronic devices must be switched to 'silent' during meetings.
- 21.3 Filming or recording of any meeting of the Authority is permitted, subject to the following:
- (a) Filming or recording is done openly.
 - (b) That the Mayor has been notified at the commencement of the meeting.
 - (c) That anybody attending the meeting, with the exception of Members and officers, may request not to be filmed or recorded.
 - (d) Filming or recording may only take place when members of the public are entitled to attend in person.
 - (e) That any footage so recorded is not edited in a way to misrepresent any Member or the Authority.
- 21.4 Placards banners and such like are not permitted during meetings.
- 21.5 **Member not to be heard further.** If a Member persistently disregards the ruling of the Mayor by continued irrelevance or repetitions, by behaving improperly or offensively, or by willfully obstructing the business of the Authority, the Mayor may direct the Member to stop speaking. If, following a

direction from the Mayor to stop speaking, the Member continues to speak, the Mayor (or any other Member) may move that the Member be not heard further. If seconded, the Mayor shall put the motion to the vote without discussion and if passed, the Member shall not be permitted to speak on the same matter again during the meeting.

21.6 **Member to leave the meeting.** If a Member persistently disregards the ruling of the Mayor by continued irrelevance or repetitions, by behaving improperly or offensively, or by wilfully obstructing the business of the Authority, the Mayor may request them to leave for the remainder of the meeting or for any lesser period. If following a request to leave the meeting, the offending Member does not leave, the Mayor (or any other Member) may move that the Member named leave the meeting. The motion shall be put and, if seconded, voted upon without discussion. If carried, the Mayor shall give directions for the removal of the Member and such other directions as are necessary for restoring order to the proceedings.

21.7 **Removal of member of the public.** If a member of the public interrupt's proceedings, causes a disturbance or behaves improperly, offensively, or wilfully obstructs the business of the Authority, the Mayor will warn the person concerned. If the member of the public, having been warned, continues their conduct, the Mayor may order their removal from the meeting room.

21.8 **General disturbance.** If there is a general disturbance making orderly business impossible, the Mayor may adjourn the meeting for as long as they think necessary.

22. Substitute and Delegate Members

22.1 A Substitute Member may only act for the Authority Member for whom they are the designated substitute.

22.2 With the exception of the substitute member for the Deputy Mayor where the Deputy Mayor is acting in the place of the Mayor, a substitute member may only act when the Authority Member is absent from the meeting.

22.3 A Delegate Member may act on behalf of any of the non constituent members in their absence.

24. Attendance at Meetings

24.1 The Mayor may invite the Chair of any Board, Committee, or sub-committee of the Authority to attend and speak at any meeting of the Authority to;

- Present any reports or recommendations of the Board, committee or sub-committee;
- Answer questions about any matter in the minutes of that committee or sub-committee, or
- Contribute to the discussions about any matter which is relevant to the functions discharged by the committee or sub-committee of which they are chair.

24.2 The Mayor may invite any person to attend and speak at meetings. In such circumstance the Mayor is required to notify the Monitoring Officer at the earliest opportunity providing the details of the person(s) invited to speak and the agenda item they have been invited to speak in relation to.

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4.2 Mayoral Procedure Rules

1 Introduction

- 1.1. These Rules apply to the Mayor or any other decision-maker exercising any Mayoral Function under arrangements made by the Mayor.
- 1.2. The decision-maker should make decisions in accordance with the principles set out in Article 6 (Decision-making) in **Part 2** of the Constitution
- 1.3. The decision-maker must comply with any applicable Code or Protocol set out in **Part 5** of the constitution, including the relevant Code of Conduct.

2 Mayoral General Functions

- 2.1. The decision-maker must give notice of any Key Decision on the Forward Plan, in accordance with the Access to Information Rules in Part 4 of the Constitution, subject to the general exception and cases of special urgency provisions.
- 2.2. Where the decision-maker is the Mayor or any other Authority Member the Key Decision must be taken at a meeting of the Authority, unless the decision-maker has obtained agreement from the Chair of any relevant overview and scrutiny committee that the making of the Key Decision is urgent and cannot be deferred.

Statutory Consent Requests for Mayoral General Functions

A Statutory Consent is required in relation to the exercise of Mayoral General Functions where the function is a Function conferred by the 2025 Order which requires:

- the Statutory Consent of a Constituent Council Authority Member (or Substitute Member), or
 - the Statutory Consent of a district or borough council who local government area is affected by the exercise of the function, or
 - the Statutory Consent of the Constituent Council Authority Member appointed by a Constituent Council (or Substitute Member) where the decision of the Mayor gives rise to a financial liability for a Constituent Council.
- 2.3. Where a Statutory Consent is required, agreement to seek a consent will be agreed at the Authority meeting, and then said Statutory Consent will be sought ahead of the next meeting where it is presented in writing to the Authority meeting for agreement.
 - 2.4. The Mayor must seek any Statutory Consent Request in a timely way. To facilitate this and to promote transparency, the Mayor should publish a notice of the Statutory Consent Request (a Statutory Consent Request Notice) on the Authority's Forward Plan at least 28 clear days before the meeting of the Authority at which the Statutory Consent will be sought, subject to this requirement being waived in exceptional circumstances by any relevant Chief Operating Officer.
 - 2.5. Any Statutory Consent given will be recorded in the minutes of the meeting.

Other Decisions

- 2.6. The decision-maker may take any decision which is not a Key Decision nor a Statutory Consent outside of a meeting of the Authority, subject to the requirements below in relation to recording and publishing decisions.

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4.3 Budget and Policy Rules

1 General

- 1.1. These rules reflect specific statutory requirements relating to the approval of budgets and policies by the Authority and the Mayor, or other decision-makers on their behalf.
- 1.2. Decision-makers should consider whether any consultation is required in respect of their proposals, in addition to the statutory requirements specified in these rules.
- 1.3. Decision-makers should also engage with the Authority's Overview and Scrutiny Committee (and any other committee of the Authority) as appropriate in the development and scrutiny of proposals.
- 1.4. When approving budgets or policies, decision-makers must comply with the provisions relating to Key Decisions in the Access to Information Rules in Part 4 of the Constitution.

2 Mayor's General Budget

- 2.1. With the exception of the first year of the term of the First Mayor, the Mayor must prepare a draft budget for the Mayoral Functions by 1 February of each year. The draft budget must:
 - set out the Mayor's spending plans and how the Mayor intends to meet the costs of the Mayoral General Functions, and
 - include the relevant amounts and calculations.
- 2.2. If the Mayor fails to present a draft budget to the Authority by 1 February, the Authority must determine the relevant amounts and calculations for the financial year. The decision must be made by a majority of the Authority Members present and voting, such majority to include the Mayor and Lead Member from each Constituent Council (or their substitute).
- 2.3. The Authority must review any draft budget presented by the Mayor and may make a report on the draft budget to the Mayor.
- 2.4. The Mayor's draft budget shall be deemed to be approved by the Authority, unless the Authority makes such a report by 8 February.
- 2.5. Any report made by the Authority:
 - must set out whether or not the Authority would approve the draft budget in its current form, and
 - may include recommendations, including recommendations as to the relevant amounts and calculations that should be used for the financial year.
- 2.6. Where the Authority has made a report, it must specify a period of at least 5 working days (beginning on the day after the day on which the Mayor receives the report) within which the Mayor may:
 - decide whether or not to make any revisions to the draft budget, and
 - notify the Authority of the reasons for that decision and, where revisions are made, provide a copy of the revised budget.
- 2.7. Where any specified period has expired, the Authority must decide (taking into account the reasons given by the Mayor) whether to:
 - approve the Mayor's draft budget, or the revised draft budget; or
 - veto the Mayor's draft budget (or revised draft budget) and approve the Mayor's draft budget incorporating the Authority's recommendations contained in the report to the Mayor.
- 2.8. The Mayor's draft budget (or the revised draft budget) shall be deemed to be approved unless vetoed within 5 working days beginning with the day after the date on which the period specified for the Mayor to consider the Authority's report commences.

3. Approval of Policy – Non-Mayoral Functions

- 3.1 The Authority will approve any policy in relation to Non-Mayoral Functions. Where a Non-Mayoral Function has been conferred on the Authority by the GLCCA Regulations, approval of that policy requires the support of the Mayor.

4. Approval of Policy – Mayoral Functions

- 4.1 Preparing and reviewing a Local Transport Plan under section 108 of the Transport Act 2000 is a Mayoral General Function, (that is, exercisable by the Mayor), subject to paragraph 4.4 below. The Mayor must have regard to any relevant statutory guidance when discharging this function.
- 4.2. In preparing and keeping the Local Transport Plan under review, the Mayor must consult:
- each local traffic authority for the Combined County Authority's Area,
 - the Secretary of State in relation to functions which the Secretary of State has as highway authority and traffic authority, and
 - each county, unitary and district council in the area of the Combined County Authority
- 4.3. In preparing and keeping the Local Transport Plan under review, the Mayor must also consult such of the following as the Mayor considers appropriate:
- operators of any network or station, or of any railways services in the Combined County Authority's Area,
 - operators or providers of other transport services in the Combined County Authority's Area, or representative organisations,
 - organisations appearing to the Mayor to represent the interests of users of transport services and facilities in the Combined County Authority's Area, and
 - other persons whom they consider appropriate.
- 4.4. In the transition period the Local Transport Plan must be approved by the Authority by a unanimous vote. After the end of the Transition Period, by a 2/3 majority vote, the Authority may amend any Local Transport Plan made by the Mayor. The Authority must have regard to any relevant statutory guidance when discharging this function.
- 4.5. As soon as practicable when a new Local Transport Plan has been prepared or altered, the Mayor must:
- publish the Local Transport Plan, and send a copy of it to the Secretary of State and such other persons as specified in statutory guidance,
 - cause a copy of the Local Transport Plan to be made available for inspection, and give the public notice about this,
 - supply a copy to any person on request.
- 4.6. The Mayor will approve any other policy in relation to Mayoral General Functions, unless authority to do this has been delegated under the Mayor's arrangements.

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4.4 Access to Information Rules

Rights to attend meetings, inspect documents and record proceedings

Part 1: Rights of the Public: Non-Mayoral and Mayoral General Functions

References to meetings of the Authority include meetings of any Boards, ordinary or statutory committee or sub-committee appointed by the Authority. These provisions do not affect any other rights to information arising under any standing orders of the Authority, or by law.

1. Public Access to a Combined County Authority Meeting

1.1 Any meeting of the Authority shall be open to the public except where the public is excluded (during the whole or part of the proceedings) in accordance with the following:

A Confidential Information

- i. The public must be excluded from meetings whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that confidential information would be disclosed.
- ii. Confidential information means:
 - information given to the Authority by a Government department on terms which forbid its public disclosure, or
 - information the public disclosure of which is prohibited by or under an Act or Court Order.

B Exempt Information

- i. The Authority may resolve to exclude the public from a meeting during an item whenever it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that exempt information would be disclosed to the public if the public were present during the item.
- ii. Exempt information means information falling within one of the following descriptions (as set out in Part 1 of Schedule 12A of the Local Government Act 1972):

Paragraph 1 Information relating to any **individual**.

Paragraph 2 Information which is likely to reveal the **identity of an individual**.

Paragraph 3 Information relating to the financial or **business affairs of any particular person** (including the Combined County Authority holding that information), except information which must be registered under various statutes, such as the Companies Acts or the Charities Act 2011. "Financial or business affairs" includes contemplated, as well as past or current, activities.

Paragraph 4 Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any **labour relations matter** arising between the Combined County Authority or a Minister of the Crown and employees of, or officer-holders under the Combined County Authority

Paragraph 5 Information in respect of which a claim to legal professional privilege could be maintained in **legal proceedings**.

Paragraph 6 Information which reveals that the Combined County Authority proposes:

- (1) to give under any enactment **a notice** under or by virtue of which requirements are imposed on a person, or
- (2) to make an **order or direction** under any enactment.

Paragraph 7 Information relating to any action taken or to be taken in connection with the prevention, investigation, or prosecution of **crime**.

1.2. Information falling within any of these descriptions is not exempt information if it relates to proposed development for which the local planning authority may grant itself planning permission under Regulation 3 of the Town and Country Planning General Regulations 1992.

- 1.3. Information falling within any of these descriptions may only be exempt if and so long as, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
- 1.4. A resolution to exclude the public from a meeting must:
 - identify the proceedings, or the part of the proceedings, to which it applies,
 - state the description of the exempt information giving rise to the exclusion of the public, and
 - confirm (by referring to reasons in a relevant report or otherwise) that in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

C General Disturbance

- i. Procedure Standing Order 21.7 in Part 4.1 of the Constitution provides for the public to be excluded from a meeting where general disturbance arises.

2. Public Access to Agenda and Reports of a Combined County Authority Meeting

- 2.1 The Monitoring Officer shall make the following open to public inspection, at the offices of the Authority in accordance with the Authority's Procedure Standing Orders in Part 4 of the Constitution:
 - copies of the agenda for a meeting of the Authority, and
 - copies of any report for the meeting open to the public

3. Public Access to Copies at a Combined Authority Meeting

- 3.1 The Monitoring Officer will make available for the use of members of the public present at a meeting a reasonable number of copies of:
 - the agenda, and
 - those reports open to the public

4. Public Access to Documents After a Combined Authority Meeting

- 4.1 The Monitoring Officer will make available for inspection copies of the following for six years after a meeting:
 - the minutes of the meeting (excluding any part of the minutes when the meeting was not open to the public or which disclose exempt or confidential information),
 - a written summary of any proceedings not open to the public where the minutes open to inspection would not provide a reasonably fair and coherent record,
 - the agenda for the meeting, and
 - reports relating to items when the meeting was open to the public.

5. Public Access to Background Papers to a Combined County Authority Meeting Report

- 5.1. The author of any report will set out in the report a list of the background papers relating to the subject matter of the report which in the author's opinion:
 - disclose any facts or matters on which the report or an important part of the report is based, and
 - have been relied on to a material extent in preparing the report.

This requirement does not extend to:

- published works, or
- papers which disclose exempt or confidential information.

5.2. The Monitoring Officer will:

- publish a list of each of the background documents listed on the Authority's website at the same time as the report is available for public inspection, and
- make a copy of each available to the public at the offices of the Authority, on payment of a reasonable fee.

5.3. The Monitoring Officer will make available for public inspection one copy of each of the documents on the list of background papers, for four years after the date of the meeting.

6. Reporting and Recording a Combined County Authority Meeting

6.1. The Authority will provide so far as practicable, reasonable facilities to any person attending a meeting for the purpose of reporting on the meeting.

6.2. A person attending a meeting for the purpose of reporting on it may use any communication method, including the internet, to publish, post or otherwise share the results of the person's reporting activities.

6.3. Publication and dissemination may take place at the time of the meeting or occur after the meeting.

6.4. Any person reporting on a meeting is expected to comply with the attached Code of Practice.

6.5. Meetings of the Authority may be recorded and made available for public viewing on the internet. The Chair of a meeting may restrict the recording of meetings where an external participant in the meeting objects to being recorded and the Chair considers that the public interest in upholding their objection outweighs the public interest in allowing the recording to continue. The Chair will ask those reporting to respect the wishes of the external participant.

7. Forward Plan: Non-Mayoral and Mayoral General Functions

A Definition of a Key Decision

- a. A Key Decision means a decision of a decision maker of the Authority which is likely:
 - i. to result in the Authority or the Mayor incurring significant expenditure, or the making of significant savings, having regard to the Authority's budget for the service or function to which the decision relates; or
 - ii. to be significant in terms of its effects on persons living or working in an area comprising two or more electoral divisions in the area of the Authority.
- b. For the purposes of (i) above, this includes any decision likely to result in the Authority incurring expenditure or making savings (including the receipt or loss of income) of £500,000 or more in any financial year.
- c. For the purposes of (i) and (ii) above, the following shall not be treated as a Key Decision:
 - any decision which is a direct consequence of implementing a previous Key Decision,
 - any decision which is the result of varying a previous Key Decision in line with recommendations made by an overview and scrutiny committee following a call-in of that decision,
 - a Treasury Management decision in relation to the making, payment or borrowing of a loan,
 - a decision by an officer under delegated authority to vary any document for updating or clarification purposes only, or
 - the urgent settlement of proceedings to which the Authority is a party.
 - any decision relating to the acceptance of funding.

B Notice Provisions

- a. Except where impracticable, a Key Decision cannot be made unless until a notice has been published which states:
 - that a Key Decision is to be made in relation to the discharge of functions which are the Combined County Authority's responsibility,
 - the matter in respect of which the decision is to be made,
 - the decision maker's name and title if any,
 - the date on which, or the period within which, the decision is to be made,
 - a list of documents submitted to the decision maker for consideration in relation to the matter in respect of which the key decision is to be made,
 - the address from which, subject to any prohibition or restriction on their disclosure, copies of or extracts from, any document listed is available,
 - that other documents relevant to those matters may be submitted to the decision maker, and
 - the procedure for requesting details of those documents (if any) as they become available.
- b. The Monitoring Officer will publish any such notice on the Forward Plan on the Authority's website at least 28 clear days before the Key Decision is made and make it available for public inspection at the Offices of the Combined County Authority (subject to General Exception and Special Urgency provisions below).
- c. Where in relation to any matter:
 - the public may be excluded under section 100A of the Local Government Act 1972 from the meeting at which the matter is to be discussed, or
 - documents relating to the decision need not (because of confidential information) be disclosed to the public,
 - the notice must contain particulars of the matter but may not contain any confidential information or exempt information.

C General Exception

- a. Subject to cases of special urgency, where it is impracticable to publish a notice of a Key Decision at least 28 clear days before the Key Decision is to be made, the decision may only be made:
 - where the Monitoring Officer has informed the Chair of any relevant overview and scrutiny committee by notice in writing of the matter about which the decision is to be made,
 - where the Monitoring Officer has published the notice on the Authority's website and made the notice available for public inspection at the Combined County Authority's offices, and
 - after 5 clear days have elapsed following the day on which the Monitoring Officer made the copy of the notice available.
- b. As soon as reasonably practicable after the Monitoring Officer has served a notice on the Chair, published the notice and made it available to the public, the Monitoring Officer must make available to the public and publish a notice setting out the reasons why it was impracticable to publish the notice of a Key Decision at least 28 days before the Key Decision was to be made.

D Cases of Special Urgency

- a. Where the date by which a Key Decision must be made makes it impracticable to comply with the general exception provision above, the Key Decision may only be made where the decision maker has obtained agreement from the Chair of any relevant Overview and Scrutiny committee that the making of the Key Decision is urgent and cannot reasonably be deferred.

- b. As soon as reasonably practicable after the decision maker has obtained the necessary agreement that the Key Decision is urgent and cannot reasonably be deferred, the decision maker must make available to the public at the Authority's offices a notice setting out the reasons why the Key Decision is urgent and cannot reasonably be deferred; and publish that notice on the Authority's website.
- c.

E Requests for Statutory Consents – Non-Mayoral and Mayoral General Functions

- a. The GLCCA Regulations provides that the exercise of some Non-Mayoral and Mayoral General Concurrent Functions are subject to a consent provision, ("Statutory Consent"), to safeguard the Constituent Councils' role in local decision-making and delivery – see functions tables in **Part 3 and the Protocol in Part 5** of the Constitution.

8. Public Access to Written Records of Decisions Made by Officers: Non-Mayoral and Mayoral General Functions

- 8.1. A decision-making Officer is required to produce a written record of their decision if the decision has been delegated:
 - under a specific express authorisation, or
 - under the Officer Delegation Scheme where the effect of the decision is to:
 - (1) grant a permission or license,
 - (2) affect the rights of an individual, or
 - (3) award a contract or incur expenditure which, in either case, materially affects the Authority's financial position.
- 8.2. For the purposes of 3) above, any award of a contract or expenditure of £500,000 or over will be deemed to materially affect the Authority's financial position.
- 8.3. An Officer must also record and publish any Key Decision they make, whether or not it is outside the criteria set out above.
- 8.4. An Officer may also,
 - (1) record, or
 - (2) record and publish, any other decision outside of 8.1, if they consider this to be in the public interest.
- 8.5. As soon as reasonably practicable after an officer has made a written record in accordance with 8.1 or 8.4(2), the Monitoring Officer shall make any written record and any background papers
 - available for inspection by the public:
 - at all reasonable hours, at the offices of the Authority,
 - on the Authority's website, and
 - by such other means that the Authority considers appropriate.
- 8.6. On request the Monitoring Officer will provide:
 - a copy of the written record, and
 - a copy of any background papers.
- 8.7. The Authority will retain each written record and make it available for public inspection for 6 years beginning with the date on which the decision was made.
- 8.8. The Authority will retain any background papers and make them available for public inspection for 4 years beginning with the date on which the decision was made.

9. Public Access to Written Records of Decisions Made by the Mayor (Mayoral General Functions)

- 9.1. Any decision taken at a meeting of the Authority will be recorded in the minutes of the meeting.

- 9.2. Where a decision has been taken outside of a Authority meeting:
- any Key Decision taken by the Mayor or a Authority Member acting on the Mayor's behalf will be recorded and published on the Authority's website, together with a copy of the written report considered in respect of the decision, and
 - any decision taken by an Officer will be recorded as a written record of their decision in accordance with the Access to Information Rule 8 above.

Part 2: Press Access to a Combined County Authority Meeting

- 1.1. The Monitoring Officer shall supply on request for any newspaper:
- a copy of the agenda and those reports open to the public,
 - any further statements necessary to indicate the nature of the items on the agenda, and
 - if the Monitoring Officer thinks fit, copies of any other documents supplied to Authority Members in connection with the item.
- 1.2. Rights relating to recording proceedings set out above apply to members of the press, in the same way as they apply to the public.

Part 3: Freedom of Information (FOI) and the Local Government Transparency Code

- 1.1. The Freedom of Information Act 2000 and Environmental Information Regulations 2004 apply to the Authority, which therefore publishes information under a Publication Scheme. The Scheme specifies:
- the classes of information which the Authority publishes or intends to publish,
 - how information in each class is, or is intended to be, published, and
 - whether the material is, or is intended to be, available to the public free of charge or on payment.
- 1.2. The public also has a general right of access to information held by the Authority, but this is subject to exemptions
- 1.3. A request for information must be submitted to and dealt with by the Monitoring Officer.
- 1.4. A request for information under the FOIA must:
- be in writing
 - state the name of the applicant
 - state an address for correspondence, and
 - describe the information requested.
- 1.5. A request for information under the EIR must state a name and address for written correspondence, however the request can be made verbally or in writing.
- 1.6. The Authority publishes information as required by the Local Government Transparency Code 2015, which includes but is not limited to the following:
- spending and expenditure including grants,
 - procurement information including contracts,
 - organisation chart detailing senior management personnel, and
 - land and assets

Part 4: Members' Access

1. General

- 1.1. Any member of the Authority is entitled to inspect any document which:
 - is in the possession of or under the control of the Authority, and
 - contains material relating to any business to be transacted at a meeting of the Authority.
- 1.2. Unless it appears to the Monitoring Officer that it discloses information falling within any of the descriptions of exempt information (set out in Part 1 of Schedule 12A of the Local Government Act 1972 as listed under section 1 above), other than the following (which will be open for inspection by members):
 - (1) Information relating to the financial or business affairs of any particular person including the Authority (except to the extent that the information relates to any terms proposed or to be proposed by or to the Authority in the course of negotiations for a contract), or
 - (2) Information which reveals that the Authority proposes:
 - to give under any enactment a notice under or by virtue of which requirements are imposed on a person, or
 - to make an order or direction under any enactment.
- 1.3. These rights are in addition to any other rights the member may have (such as those arising from a member's need to know at common law).
- 1.4. The accounts of the Authority shall be open to the inspection of any member and any such member may make a copy of or extract from the accounts.

2. Additional Rights of Access to Documents for Members of Any Overview and Scrutiny Committee or Sub-Committee

- 2.1. Subject to the exceptions outlined below, a member of an overview and scrutiny committee or sub-committee is entitled to a copy of any document which is in the possession or under the control of the Authority and contains material relating to any business that has been transacted at a meeting of the Authority or at a decision-making Board of the Authority. The member must make any request for such a document in writing to the Monitoring Officer, who shall consider any such request on behalf of the Authority.
- 2.2. The document must be provided as soon as reasonably practicable and, in any case, no later than 10 clear days after the Monitoring Officer receives the request.
- 2.3. No member of an overview and scrutiny committee or sub-committee is entitled to a copy of any such document or part of a document as contains exempt or confidential information, unless that information is relevant to:
 - an action or decision that the member is reviewing or scrutinising, or
 - any review contained in any programme of work of the committee or sub-committee.
- 2.4. Where the Monitoring Officer determines that a member is not entitled to a copy of a document or part of any such document, they must provide the overview and scrutiny committee or sub-committee with a written statement setting out the reasons for that decision.

Part 5: List of Members

1.1. The Monitoring Officer will publish a list stating:

- the name and address of all current members of the Authority and the constituent or non-constituent council they represent, and
- the name and address of all current members of the other Boards, Committees and any sub- committees.

1.2. A member of the public may inspect the list.

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4.5 Overview and Scrutiny Procedural Rules

1. The Authority must appoint one or more overview and scrutiny committees whose proceedings shall operate in accordance with the Terms of Reference (Overview and Scrutiny) in **Part 3** of the Constitution.

2. Membership

2.1. Members of an overview and scrutiny committee are appointed in accordance with the Terms of Reference (Overview and Scrutiny) in **Part 3** of the Constitution.

2.2. The Authority shall appoint at least two elected members of each Constituent Council to each overview and scrutiny committee.

2.3. The majority of members of any overview and scrutiny committee or sub-committee must be elected members of the Constituent Councils.

2.4. Neither the Mayor nor any other Authority Member or substitute member may be a member of an overview and scrutiny committee or sub-committee.

2.5. Within 28 days of any appointment to any overview and scrutiny committee, the Monitoring Officer will publish a notice about the appointment on the Authority website setting out:

- that it has made an appointment,
- identifying each member of the committee who has been appointed
- specifying the period for which the members of the committee have been appointed.

2.6. The Authority has determined that it shall have a single Overview and Scrutiny Committee which shall be appointed by the Authority and shall have a total of 6 Constituent Council members comprising of 2 members from each Constituent Council. These will be the voting members of the Committee.

2.7. The Authority has determined that there will be 4 Non-Constituent voting members appointed to the Committee by the designated nominating bodies. The Committee will also appoint 1 Independent person.

2.8. In appointing members to the Overview and Scrutiny Committee the Authority must ensure that the members of the committee taken as a whole reflect so far as reasonably practicable the balance of political parties for the time being prevailing among members of the Constituent Councils when taken together.

3. Remuneration

3.1. The Authority may (subject to the consideration of recommendations of an independent remuneration panel) agree to pay allowances to members of the overview and scrutiny committee/s.

4. Chairing

4.1. The Authority will appoint the Chair of the Committee. In the absence of the appointed Chair, the Committee will appoint a Chair for the meeting.

4.2. The Chair (and any Vice Chair) must be:

- an independent person, or
- an appropriate person who is a member of one of the Constituent Councils (that is a person who is not a member of a registered political party of which the Mayor is a member).

5. Quorum

- 5.1. For business to be transacted at a meeting, two thirds of the total number of voting members of the committee or sub-committee must be present.

6. Voting

- 6.1. Each member of the Overview and scrutiny Committee or of an Overview and Scrutiny Sub-Committee appointed from a Constituent Council has one vote.
- 6.2. Each member of the Overview and scrutiny Committee or of an Overview and Scrutiny Sub-Committee appointed from a Non-Constituent Council has one vote.
- 6.3. A simple majority of the members present and voting is required to determine any question, and no member has a casting vote. If a vote is tied it is deemed not to have been carried.

7. Conflicts of Interest

- 7.1. No member of an overview and scrutiny committee nor of a sub-committee may scrutinise a decision (whether or not implemented) in which they were directly involved as a member of the committee or sub-committee which made the decision.
- 7.2. Such a member may only attend the overview and scrutiny committee or sub-committee to:
- make representations,
 - answer questions, or
 - give evidence about the decision.

8. Working Groups

- 8.1. An overview and scrutiny committee or sub-committee may appoint a working group to contribute to and inform the scrutiny process, including by making recommendations

9. Work Programme and referral of matters to an Overview and Scrutiny Committee or Sub-Committee

- 9.1. Each overview and scrutiny committee or sub-committee will set its own work programme.
- 9.2. The Authority, any of its committees or the Mayor may ask an overview and scrutiny committee to review any matter or assist in developing budget and policy proposals, provided that the request is made in writing to the Scrutiny Officer, who will ensure that the matter is included in the agenda for, and discussed at, a meeting of the committee or sub-committee.
- 9.3. The following matters may be referred to an overview and scrutiny committee:
- (1) A member of an overview and scrutiny committee may refer to the committee any matter which is relevant to the functions of the committee,
 - (2) A member of an overview and scrutiny sub-committee may refer to a sub-committee any matter which is relevant to the functions of the sub-committee,
 - (3) A Authority Member may refer to an overview and scrutiny committee any matter which is relevant to the function of the committee and is not an excluded matter; and
 - (4) any member of a Constituent Council or the Non-Constituent Council may refer to an overview and scrutiny committee any matter which is relevant to the functions of the committee and is not an excluded matter.
- 9.4. Where a matter is referred to an overview and scrutiny committee by any member under Standing Order 9.3 (3) or (4) above, in considering whether to review or scrutinise a matter referred to the committee, the committee must have regard to any representations made by the member referring the matter as to why it would be appropriate for the committee to review or scrutinise the matter. If the committee decides not to review or scrutinise the matter, it must notify the member of its decision and the reasons for it.

- 9.5. An overview and scrutiny committee must provide a member with any copy of any report or recommendations which it makes in connection with any matter referred to it by the member under Standing Order 9.3 (3) or (4) above.

10. Meetings

- 10.1. Overview and scrutiny committees will schedule regular meetings and meet as often as required to effectively discharge their functions.
- 10.2. An extraordinary meeting of an overview and scrutiny committee may be called by:
- the Chair of the committee, or
 - any five Members of the Committee, including at least two from different Constituent Councils.

11. Attendees

- 11.1. An Overview and Scrutiny committee or sub-committee may require the Mayor or any other Authority Member or an appropriate officer of the Authority or Constituent Council to attend before it to answer questions or to provide information about any matter within its terms of reference.
- 11.2. Where a committee or sub-committee requires the Mayor or any other Authority Member or officer to attend, the Scrutiny Officer shall inform that person in writing giving at least 5 clear working days' notice of the meeting. The notice will state:
- the date of the meeting they are required to attend,
 - the nature of the item, and
 - whether they must produce any papers for the committee.
- 11.3. The Mayor, any other Authority Member, or officer must comply with any notice they are given.
- 11.4. Where, in exceptional circumstances, the person is unable to attend on the required date, the overview and scrutiny committee shall consult with the person to arrange an alternative date.
- 11.5. An overview and scrutiny committee or sub-committee may invite other people to attend any meeting to:
- address it, provide information,
 - discuss issues of local concern, and/or
 - answer questions.
- 11.6. Each member of an overview and scrutiny committee or sub-committee will be given the opportunity to ask attendees questions, contribute and speak.
- 11.7. Attendees assisting the committee must be treated with respect and courtesy.

12. Reports and Recommendations

- 12.1. An overview and scrutiny committee or sub-committee may make reports or recommendations to the Authority or the Mayor.
- 12.2. An overview and scrutiny committee or sub-committee may publish any report or recommendations, subject to Standing Order 13.

13. Notice

- 13.1. An overview and scrutiny committee or sub-committee may by notice require the Authority or the Mayor within 2 months of receiving any report or recommendations or (if later) the notice, to:
- consider the report or recommendations,
 - respond to the overview and scrutiny committee or sub-committee indicating what (if any) action the Authority or the Mayor proposes to take,
 - publish the response, if the overview or scrutiny committee or sub-committee has published the report or recommendations, subject to Standing Order 13 below.
- 13.2. The Authority or the Mayor must respond to a report or recommendations made by an overview and scrutiny committee or a sub-committee, within 2 months beginning with the date on which the Authority or Mayor received the notice, and subject to Standing Order 13 below.

14. Publishing a Document: Confidential and Exempt Information

- 14.1. Standing Order 12.2 applies to the publication of any document comprising a report or recommendations of an overview and scrutiny committee or sub-committee, or a response of the Authority or the Mayor to any such report or recommendations.
- 14.2. In publishing the document, the overview and scrutiny committee, sub-committee, the Authority or the Mayor must exclude any confidential information and may exclude any relevant exempt information.
- 14.3. When providing a copy of a document, the overview and scrutiny committee, sub-committee, the Authority, or the Mayor may exclude any confidential information or relevant exempt information.
- 14.4. Where information is excluded, the overview and scrutiny committee, sub-committee, the Authority or Mayor:
- may replace so much of the document as discloses the information with a summary which does not disclose that information, and
 - must do so if, in consequence of excluding the information, the document published would be misleading or not reasonably comprehensible.

15. Call-in of Decisions

- 15.1. The power of an overview and scrutiny committee to review or scrutinise a decision made but not implemented includes power to call-in a decision; that is to:
- direct that a decision is not to be implemented while it is under review or scrutiny by the overview and scrutiny committee, and
 - recommend that the decision be reconsidered

- 15.2. The following decisions may be called-in for scrutiny:
- any decision of the Authority or of any decision-making Board of the Authority, and
 - any Key Decision taken by the Mayor, other Authority Member (on behalf of the Mayor) or an officer.

with the exception of:

- any decision which the decision-maker has resolved is urgent
 - any decision relating to approving or amending governance arrangements.
 - Any decisions which have been considered by the Overview and Scrutiny Committees within the preceding six months.
- 15.3. Three members of the overview and scrutiny committee, to include at least one member from two different Constituent Councils, may call-in a decision eligible for call-in by notifying the Monitoring Officer or the Statutory Scrutiny Officer by 4pm on the fifth working day following publication.

- 15.4. The Monitoring Officer shall publish details of any decision taken at a meeting of the Authority or committee eligible for call-in within 2 clear working days of a meeting.
- 15.5. Any other Key Decision taken by the Mayor, a Authority Member (on behalf of the Mayor) or taken by an officer will be published as a written record within 2 clear working days of the decision being made, see further Article 6 (Decision Making) in Part 2, and the Access to Information Rules in **Part 4** of the Constitution.
- 15.6. When submitting a request for a call-in Members must set out the reasons for the call-in, such as how the decision has not been taken in line with the Authority decision-making principles set out in Article 6 of **Part 2** of the constitution.

Implementing call-in of eligible decisions

- 15.7. An urgent decision may be implemented immediately.
- 15.8. Any other decision of the Authority or a Board, or Key Decision taken by the Mayor, any other Authority Member (on behalf of the Mayor) or an officer may be implemented after midday of the sixth clear working day after the publication of the decision, unless it is called in.
- 15.9. On receipt of a call-in request, the Statutory Scrutiny Officer shall:
- notify the decision-maker of the call-in,
 - consult with the Chair of the relevant overview and scrutiny committee about whether to issue a direction under Standing Order 15.10 below, and
 - call a meeting of the overview and scrutiny committee, to scrutinise the decision.
- 15.10. Where a decision is called-in, the Scrutiny Officer, in consultation with the Chair of the relevant overview and scrutiny committee, may direct that the decision is not to be implemented while it is under review or scrutiny by an overview and scrutiny committee, for a period not exceeding 14 days from the date on which the direction is issued.
- 15.11. An overview and scrutiny committee must scrutinise the decision within 14 days of the Monitoring Officer or Statutory Scrutiny Officer receiving the request for call-in, or before the expiry of any direction, if earlier.
- 15.12. Where an overview and scrutiny committee has scrutinised a decision, it may recommend that the decision is re-considered by the decision-maker. Any decision which is recommended for re-consideration may not be implemented while any direction under this Standing Order is of effect, except in accordance with Standing Order 15.13 below.
- 15.13. The Statutory Scrutiny Officer will notify the decision-maker of the outcome of the scrutiny by the overview and scrutiny committee, within 2 clear working days of the meeting. Where the decision has not been recommended for re-consideration, it may be implemented on receipt of this notification.
- 15.14. The decision-maker must reconsider any decision not later than working 10 days after the date on which the recommendations of an overview and scrutiny committee are received.
- 15.15. The Chair of the overview and scrutiny committee or their nominee may attend any meeting which is re-considering the decision, to present the report or recommendations.
- 15.16. The decision-maker may confirm, amend or rescind the decision. Their response should be published in accordance with Standing Order 14.
- 15.17. A decision which has been confirmed or amended by the decision-maker may be implemented immediately.

16. Guidance of the Secretary of State

- 16.1. An overview and scrutiny committee or sub-committee must have regard to any guidance issued by the Secretary of State.

17. Statutory Scrutiny Officer

- 17.1. Any references in these Standing Orders to the Statutory Scrutiny Officer are to the officer designated as such by the Authority, see further [Article 5 \(Officers\)](#) at [Part 2](#) of this Constitution.

The Authority shall not designate an officer of any Constituent Council as Scrutiny Officer for the Authority.

The statutory functions of the Statutory Scrutiny Officer are:

- to promote the role of any overview and scrutiny committee or sub-committee,
- to provide support and guidance to any overview and scrutiny committee or sub-committee and its members, and
- to provide support and guidance to members of the Authority in relation to the functions of any overview and scrutiny committee or sub-committee.

18. Additional Rights of Access to Documents

- 18.1. Additional rights of access to documents for members of any overview and scrutiny committee or sub-committee are set out in the Access to Information Rules in [Part 4](#) of the Constitution.

19. Interpretation

- 19.1. The Chair of an Overview and Scrutiny committee meeting or sub-committee, in consultation with the Monitoring Officer (or their representative) and the Statutory Scrutiny Officer (or their representative) shall make any final decision at that meeting about:

- how the Scrutiny Standing Orders should be interpreted with respect to the conduct of the meeting, or
- any question of procedure not provided for by the Scrutiny Standing Orders.

- 19.2. The Monitoring Officer shall make any final decision about how to interpret any Scrutiny Standing Order outside of a formal committee or sub-committee meeting

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4.6 Officer Employment Procedural Rules

1. General

- 1.1. The Officer Employment Rules of Procedure set out the Authority's governance arrangements for the recruitment and dismissal of, and the taking of disciplinary action against, officers.
- 1.2. The functions of appointment and dismissal of, and taking disciplinary action against, officers below the level of Chief Officer must be discharged by the Head of Paid Service, on behalf of the Authority, or by an officer nominated by them.
- 1.3. The functions of appointment and dismissal of and taking disciplinary action against Chief Officers must be discharged by the Authority.
- 1.4. This section should be read in conjunction with the Scheme of Delegation of Functions to Chief Officers.
- 1.5. The Authority Chief Officers are, in accordance with the Local Government and Housing Act 1989, defined as follows:
 - a. a statutory chief officer (e.g., the Head of Paid Service, the Monitoring Officer and the Chief Finance Officer); and
 - b. a non-statutory chief officer (e.g., an officer who reports directly to the Head of Paid Service).

2. Recruitment and Appointment

- 2.1. The Authority will draw up a statement requiring any candidate for appointment as an officer to state in writing whether they are the parent, grandparent, partner, child, stepchild, adopted child, grandchild, brother, sister, uncle, aunt, nephew or niece of an existing Member or officer; or of the partner of such persons.
- 2.2. No candidate so related to a Member, or an officer will be appointed without the authority of the Head of Paid Service, or an officer nominated by them.
- 2.3. The Authority will disqualify any applicant who directly or indirectly seeks the support of any Member for any appointment with the Authority. The content of this paragraph will be included in any recruitment information.
- 2.4. No Member will seek support for any person for any appointment with the Authority.
- 2.5. Nothing in the above paragraphs precludes a Member from giving a written reference for a candidate for submission with an application for employment.

3. Appointments

- 3.1. Where the Authority proposes to appoint a Head of Paid Service (Chief Operating Officer), Monitoring Officer, an officer with the responsibilities set out in Section 73 (1) of the Local Government Act 1985 (Chief Finance Officer) or Chief Officer, the Authority will appoint an Appointments Panel.
- 3.2. The Appointments Panel will draw up a statement specifying:
 - a. the pay range for the post;
 - b. the duties of the Officer concerned; and
 - c. any qualifications or qualities to be sought in the person to be appointed.

- 3.3. The Authority will:
- a. make arrangements for the post to be advertised in such a way as is likely to bring it to the attention of persons who are qualified to apply for it; and
 - b. make arrangements for a copy of the written statement mentioned above to be sent to any person on request.
- 3.4. The appointment of any other officer is a matter for the Head of Paid Service.
- 3.5. The Appointments Panel will conduct a competitive interview process and determine appointment when appointing Chief Officers, that Appointments Panel consists of:
- The Mayor (or their nominee) (to apply if a Mayor is in place)
 - The Lead Constituent Council representative for each Constituent Council
- 3.6. The Appointments Panel will undertake the following:
- a. Interview all qualified applicants for the post, or
 - b. Select a shortlist of such qualified applicants and interview those included on the shortlist.
- 3.7. Upon completion of this process the Appointments Panel will make a recommendation to the Authority for confirmation.
- 3.8. Prior to a final appointment offer being made to the successful applicant, all Members of the Authority must be informed of the details of the intended appointee, and have raised no objection within the specified period, (2 clear working days). Usual pre-employment checks will then commence in line with Human Resources and regulatory procedures and processes.
- 3.9. The Authority will, following the recommendation of such an appointment by the Appointments Panel, approve the appointment of:
- Chief Operating Officer (Head of Paid Service)
 - Strategic Finance and Investment Officer (S.73 Officer)
 - Monitoring Officer
 - Deputy Director
- 3.10. Where no qualified person has applied, the Authority shall make further arrangements for advertisement in accordance with Rule 3.3 (a).

4. Disciplinary Action

- 4.1. The Head of Paid Service, the Monitoring Officer or Strategic Finance and Investment Officer, and any other Chief Officer may be suspended whilst an investigation takes place into alleged misconduct. That suspension will be on full pay and last no longer than two months.
- 4.2. No other disciplinary action may be taken in respect of any of those officers except in accordance with a recommendation in a report made by an independent person designated and acting in accordance with Regulation 7 of the Local Authorities (Standing Orders) (England) Regulations 2001.
- 4.3. Members will not be involved in the disciplinary action against any officer below Chief Officer level except where such involvement is necessary for any investigation or inquiry into alleged misconduct, through the Authority's disciplinary, capability and related procedures.

5. Dismissal

- 5.1. Members will not be involved in the dismissal of any officer below Chief Officer level except where such involvement is necessary for any investigation or inquiry into alleged misconduct, through the Authority's disciplinary, capability and related procedures.

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4.7 Financial Procedural Rules

FINANCIAL REGULATIONS & PROCEDURE RULES

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Section 1

FINANCIAL REGULATIONS

1 Introduction

- 1.1 The Greater Lincolnshire Combined County Authority's governance is laid down in its Constitution, which sets out how the Authority operates, how decisions are made and the procedures that are followed. This document forms part of the Constitution and should be read in conjunction with it.
- 1.2 The Authority must conduct its business efficiently and ensure it has sound financial management policies in place, including arrangements to monitor compliance. The Authority's statutory Section 73 Officer is also charged with ensuring that proper financial management processes are in place.
- 1.3 The financial regulations provide clarity about the financial accountabilities of individuals. Each of the financial regulations sets out the overarching financial responsibilities which must be followed by those acting on the Authority's behalf.
- 1.4 A detailed set of financial procedure rules supports the overarching financial responsibilities set out in this document. These financial procedure rules are included in Appendices A to F and form part of the Authority's financial regulations. Under the financial regulations, other financial instructions and guidance manuals may be issued from time to time as considered appropriate by the Section 73 Officer, such guidance will have the force of financial regulations.
- 1.5 All financial decisions and decisions with financial implications must have regard to proper financial control. Any doubt as to whether a financial proposal is appropriate, or whether a financial action is correct, must be clarified in advance of the decision or action with the Section 73 Officer.
- 1.6 Failure to follow financial regulations or financial instructions issued by the Section 73 Officer, under financial regulations may result in action under the Authority's disciplinary procedures.

2 Status of the Financial Regulations

- 2.1 Financial Regulations provide the framework for managing the financial affairs of the Authority. They apply to every member and officer of the Authority and anyone acting on its behalf.
- 2.2 The regulations identify financial responsibilities of individuals - members, officers, the Head of Paid Service, the Monitoring Officer, the Section 73 Officer, and other Directors. Members and Directors should maintain a written record where decision making has been delegated to members of their staff, including seconded staff. Where decisions are so delegated, the officer to whom the decision has been delegated must provide sufficient information to the Member or Director on request to give assurance that tasks or decisions have been performed in accordance with the Financial Regulations.

- 2.3 All Members and staff have a general responsibility for taking reasonable action to provide for the security of the assets under their control, and for ensuring that the use of these resources is legal, is properly authorised, and provides value for money.
- 2.4 The Section 73 Officer is responsible for maintaining a continuous review of the financial regulations and submitting any additions or changes necessary to the Authority for approval. The Section 73 Officer is also responsible for reporting, where appropriate, breaches of the financial regulations to the Authority.
- 2.5 Directors are responsible for ensuring that all staff in their departments are aware of the existence and content of the Authority's financial regulations and other internal regulatory documents and that they comply with them. Any person charged with the use or care of the Authority's resources and assets should inform him or herself of the Authority's requirements under the financial regulations. Any queries should be referred to the Section 73 Officer.
- 2.6 All Directors should ensure that any financial procedures/guidelines produced by their service areas in support of financial control are fully compliant with the financial regulations. The agreement of the Section 73 Officer should be obtained for the development of such financial procedures.
- 2.7 The Section 73 Officer is responsible for issuing advice and guidance to underpin the financial regulations that Members, officers, and others acting on behalf of the Authority are required to follow.
- 2.8 All employees must report to their manager or other responsible Senior Officer any illegality, impropriety, breach of procedure or serious deficiency discovered in the following of financial procedures or financial regulations; managers must record and investigate such reports and notify the Section 73 Officer and Head of Audit and Assurance where it appears that a breach has occurred.
- 2.9 Any proposals for changes or amendments to the financial regulations should be forwarded to the Section 73 Officer for consideration.

3 Financial Regulation A: Financial Management

INTRODUCTION

- 3.1 Financial Management covers all financial accountabilities in relation to the running of the Authority, including the Budget and Policy Framework.
- 3.2 The Authority is responsible for adopting the Authority's Constitution and Members' Code of Conduct and for approving the policy framework and budget. It is also responsible for approving and monitoring compliance with the Authority's overall framework of accountability and control. The framework is set out in the Constitution. The Authority is also responsible for monitoring compliance with the agreed policy.
- 3.3 The Authority is responsible for approving procedures for recording and reporting decisions taken. This includes those key decisions delegated by and decisions taken by the Authority and its Boards. These delegations, and details of who has responsibility for which decisions, are set out in the Constitution.

- 3.4** Authority decisions can be delegated to a Board of the Authority, an individual member or an Officer.
- 3.5** The Constitution sets out clear principles of decision making to ensure that individual Authority Members consult with relevant officers before taking a decision within their delegated authority. In doing so, the individual Member must take account of legal, human resources and financial liabilities and risk management issues that may arise from the decision.
- 3.6** The role and responsibilities of other Committees (including the Audit Committee) are set out elsewhere in the Constitution.

THE STATUTORY OFFICERS

Head of Paid Service (Chief Operating Officer)

- 3.7** The Head of Paid Service is responsible for the corporate and overall strategic management of the Authority's staff. They must report to, and provide information for, the Authority and its Boards. They are responsible for establishing a framework for management direction, style and standards and for monitoring the performance of the organisation.

Monitoring Officer

- 3.8** The Monitoring Officer is responsible for promoting and maintaining high standards of conduct. The Monitoring Officer is also responsible for reporting any actual or potential breaches of the law or maladministration to the Authority, and for ensuring that procedures for recording and reporting key decisions are operating effectively.
- 3.9** The Monitoring Officer must ensure that Authority decisions and the reasons for them are made public. They must also ensure that Members are aware of decisions made by officers who have delegated executive responsibility.
- 3.10** The Monitoring Officer is responsible for advising all members and officers about who has authority to take a particular decision.
- 3.11** The Monitoring Officer is responsible for advising the Authority about whether a decision is likely to be considered contrary or not wholly in accordance with the policy framework.
- 3.12** The Monitoring Officer, together with the Section 73 Officer is responsible for advising the Authority about whether a decision is likely to be considered contrary or not wholly in accordance with the budget. Actions that may be 'contrary to the budget' include:
- initiating a new policy or acting outside a current policy with budget implications,
 - committing expenditure in future years to above the budget level,
 - incurring interdepartmental transfers above virement limits,
 - causing the total expenditure to increase by more than a specified amount.
- 3.13** The Monitoring Officer is responsible for maintaining an up-to-date constitution.

Section 73 Officer

- 3.14** The Section 73 Officer has statutory duties in relation to the financial administration and stewardship of the authority. These statutory responsibilities cannot be overridden or subject to direction by the Authority.
- 3.15** The Section 73 Officer is responsible for:
- ensuring the proper administration of the Authority's financial affairs,
 - determining and agreeing the accounting procedures and records for the Authority,
 - setting the financial management standards and monitoring compliance with them,
 - advising on the corporate financial position and on the key financial controls necessary to secure sound financial management,
 - ensuring the provision of financial information,
 - preparing the revenue budget and capital programme,
 - treasury management,
 - reporting on the adequacy of reserves and the robustness of the budget estimates when the annual budget is being considered,
 - ensuring the existence of a medium-term financial plan.
- 3.16** The Section 73 Officer must inform the Authority and external auditor if the Authority or one of its officers:
- has made, or is about to make, a decision which involves incurring unlawful expenditure.
 - has taken, or is about to take, an unlawful action which has resulted or would result in a loss or deficiency to the authority.
 - is about to make an unlawful entry in the Authority's accounts.
 - it appears to the Section 73 Officer that the expenditure of the Authority incurred (including the expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.
- 3.17** The Section 73 Officer must nominate a properly qualified officer to deputise should he/she be unable to perform the duties under Section 73 personally.
- 3.18** The authority must provide the Section 73 Officer with sufficient staff, accommodation and other resources - including legal advice where this is necessary - to carry out their duties.

Directors

- 3.19** Directors are responsible for:
- ensuring that Members are advised of the financial considerations of all proposals and that the financial implications have been agreed by the Section 73 Officer,
 - ensuring that the financial regulations are observed throughout all areas under their control,

- providing the Section 73 Officer with such information and explanations as the Section 73 Officer feels is necessary to meet their obligations under the financial regulations.

3.20 It is the responsibility of Directors to consult with the Section 73 Officer and seek approval on any matter liable to affect the Authority's finances materially, before any commitments are incurred.

OTHER FINANCIAL ACCOUNTABILITIES

Virement

3.21 Virements between budget heads is an integral and important feature of budgetary control. The Authority is responsible for agreeing procedures for virement of expenditure between budget headings.

3.22 Once the Authority has approved its revenue and capital budget for the coming year, there will be a brief period of review that will allow virements between budgets to be made. Following that, the Section 73 Officer will issue guidance to minimise the processing of virements during the financial year. Examples of permitted virements include:

- to recognise new external funding streams
- to recognise the realisation of budget savings
- transfers to/from corporate contingencies
- transfers between revenue and capital
- permanent transfers between service areas
- to recognise Authority decisions
- material adjustments to aid budgetary control (e.g. capital re-profiling)

3.23 Virements (of both revenue and capital) are permitted subject to the following authorisations:

Virement Value	Authorisation required
Virements up to £50,000	Relevant Director in consultation with the Section 73 Officer.
Proposed virements of between £50,000 & £350,000	Advance approval of the Section 73 Officer and the relevant Authority member.
Proposed virements more than £350,000	Authority approval required before the virement can take place.

3.24 With respect to the Capital Programme, approval is delegated to the Section 73 Officer in consultation with the relevant Authority Member to approve:

- re-phasing of capital budgets within approved budget (but across years); and
- amendments to the capital programme up to £350,000

All delegations exercised in accordance with the above would be reported to Authority in the quarterly monitoring reports.

- 3.25** Virements may not be broken down into smaller values to circumvent the procedures outlined.

Budget realignment

- 3.26** The Section 73 Officer will determine whether a change to budgets is a virement (i.e. the budget is reallocated to a purpose other than originally intended) or a re-presentation or restructure where there is no change to the purpose of the spending. It is important that any budget realignment is transparent and that the process can be subject to proper scrutiny.

- 3.27** The virement rules set out above shall not apply to restructure or representational changes. However, the approval of the Section 73 Officer should be obtained before any such changes are implemented.

Treatment of year-end balances

- 3.28** The Authority is responsible for agreeing procedures in respect of carrying forward under-and overspendings on budget headings in line with the Budget and Policy Framework.

Accounting policies

- 3.29** The Section 73 Officer is responsible for setting accounting policies in accordance with statute and best practice and ensuring that these are applied consistently throughout the Authority. The Audit Committee must approve any policy changes.

Accounting records and returns

- 3.30** The Section 73 Officer is responsible for determining the accounting procedures and records for the Authority.

The Annual Statement of Accounts

- 3.31** The Section 73 Officer is responsible for ensuring that the Annual Statement of Accounts is prepared in accordance with applicable accounting standards and codes of practice. The Audit Committee is responsible for making recommendations on approval for the Annual Statement of Accounts.

Sound Financial Management

- 3.32** The Authority is responsible for ensuring its financial management is adequate and effective, and that sound systems of risk management are in place (as required by the Accounts and Audit Regulations 2015). The Authority is also responsible for ensuring that a budget monitoring system is in place, and if there is a deterioration in the Authority's financial position during the year it must consider what action to take to deal with the situation.

Budget setting

- 3.33** When the Authority is deciding its annual budget and precept level, Members and officers must consider a report from the Section 73 Officer on the robustness of the budget and the adequacy of the authority's reserves.

4 Financial Regulation B: Financial Planning

INTRODUCTION

4.1 The Authority is responsible for agreeing the Authority's policy framework and budget. In terms of financial planning, the key elements are the:

- Strategic Plan,
- Budget and Medium-Term Financial Plan,
- Capital Investment Strategy
- Treasury Management Policy and Strategy

POLICY FRAMEWORK

4.2 The Authority is responsible for approving the policy framework and budget. The policy framework comprises those plans and strategies set out in the Constitution.

4.3 The Authority's budget and policy responsibilities are set out in the budget and policy framework procedure rules, contained in the Authority's Constitution.

4.4 The Authority is responsible for taking in-year decisions on resources and priorities to deliver the budget policy framework within the financial limits set by the Authority as part of the budget and policy framework.

BUDGETING

Budget format

4.5 The general format of the budget will be approved by the Authority on the advice of the Section 73 Officer.

Budget preparation

4.6 The Section 73 Officer is responsible for ensuring that a revenue budget is prepared on an annual basis together with a medium-term financial plan looking forward for a minimum of three financial years. The Authority may, subject to consultation with the Section 73 Officer, amend the budget before approving it.

4.7 The Section 73 Officer will issue guidelines on the budget to appropriate officers throughout the Authority.

4.8 It is the responsibility of Directors to ensure that accurate budget estimates are prepared in line with guidelines issued by the Section 73 Officer.

Budget monitoring and control

4.9 The Authority has a duty to monitor its budget during the year. If, because of this monitoring, it appears that there has been deterioration in its financial position, the Authority must take action to deal with the situation.

4.10 The Section 73 Officer is responsible for providing appropriate financial information and guidance to enable budgets to be monitored effectively. The Section 73 Officer should report to Authority on the overall financial position of the Authority on a regular basis, and at least quarterly.

4.11 It is the responsibility of Directors to control income and expenditure for revenue and capital within their area and to monitor performance, taking account of financial information provided by the Section 73 Officer. They should report on variances within their own areas to the Section 73 Officer. They should also take any action necessary (without affecting policy) to avoid exceeding their budget allocation, in accordance with the Financial Regulations. If it becomes apparent to a Director that, due to exceptional or unforeseen circumstances, there may be difficulty in providing a service within budget, this must be communicated to the Section 73 Officer at the earliest opportunity. In such circumstances the Director retains responsibility for the careful monitoring and control of income and expenditure and must make every effort (without affecting policy) to minimise the impact on the Authority.

Resource allocation

4.12 The Section 73 Officer is responsible for developing and maintaining a resource allocation process that ensures due consideration of the Authority's policy framework.

Preparation of the Capital Programme and Prudential Indicators

4.13 The Section 73 Officer is responsible for ensuring that a capital programme, showing capital expenditure and how that expenditure is funded, is prepared on an annual basis for consideration by the Authority. The plan should cover a three year period and may in addition include information on capital investment strategy including non-treasury investments for up to 10 years ahead. In addition to this, the CIPFA Prudential Code for Capital Finance in Local Authorities requires that a set of prudential indicators for capital and treasury management (covering a three-year period) are agreed by the Authority. This CIPFA code is backed by statute in the Local Government Act 2003.

4.14 Directors providing information to the Section 73 Officer for the capital programme shall ensure that for each capital scheme the full financial implications of any proposals are fully evaluated and disclosed, including phasing and commissioning plans. A business case must be completed, detailing both revenue and capital implications of each proposed scheme.

Guidelines

4.15 Guidelines on budget preparation will be issued to Members and Directors by the Section 73 Officer.

MAINTENANCE OF RESERVES

4.16 It is the responsibility of the Section 73 Officer to advise the Authority on prudent levels of reserves for the Authority. When the Authority is deciding its annual budget and precept level it is required to consider a report from the Section 73 Officer on the adequacy of the authority's financial reserves and the robustness of the budget.

The Section 73 Officer undertakes an annual review on the adequacy of reserves and robustness of financial estimates.

5 Financial Regulation C: Risk Management & Control of Resources

INTRODUCTION

- 5.1** It is essential that robust, integrated systems are developed and maintained for identifying and evaluating all significant operational risks to the Authority. This should include the proactive participation of all those associated with planning and delivering services.

RISK MANAGEMENT

- 5.2** The Authority is responsible for reviewing the effectiveness of risk management and for ensuring that proper insurance exists where appropriate.
- 5.3** The Section 73 Officer will be responsible for the authority's Risk and Opportunities Policy, which may be prepared by a nominated officer. The Section 73 Officer will advise the Authority on proper insurance cover where appropriate.

INTERNAL CONTROL

- 5.4** Internal control refers to the systems of control devised by management to help ensure the Authority's objectives are achieved in a manner that promotes economical, efficient, and effective use of resources and that the Authority's assets and interests are safeguarded.
- 5.5** The Section 73 Officer is responsible for advising on effective systems of internal control. These arrangements need to ensure compliance with all applicable statutes and regulations, and other relevant statements of best practice. They should ensure that public funds are properly safeguarded and used economically, efficiently, and in accordance with the statutory and other authorities that govern their use.
- 5.6** It is the responsibility of Directors to establish sound arrangements for planning, appraising, authorising, and controlling their operations to achieve continuous improvement, economy, efficiency and effectiveness and for achieving their financial performance targets.

AUDIT REQUIREMENTS

- 5.7** The Accounts and Audit Regulations 2015 require every local authority to maintain an adequate and effective internal audit function.
- 5.8** The Local Audit and Accountability Act 2014 requires all local authorities to appoint an independent panel to manage the appointment of an external auditor. The Authority has opted-in to the national appointment arrangements undertaken by Public Sector Audit Appointments Limited (PSAA), an independent panel created by the Local Government Association. The audit contracts awarded by the PSAA run for 5 years. The responsibilities of the external auditor are derived from statute and the Code of Audit Practice prescribes the way in which external auditors must conduct their functions.

- 5.9** The Authority may, from time to time, be subject to audit, inspection, or investigation by external bodies such as HM Revenue and Customs, who have statutory rights of access.

PREVENTING FRAUD AND CORRUPTION

- 5.10** The Section 73 Officer is responsible for the development and maintenance of the Fraud Strategy.

ASSETS

- 5.11** Directors should ensure that records and assets are properly maintained and securely held. They should also ensure that contingency plans for the security of assets and continuity of service in the event of disaster or system failure are in place.

TREASURY MANAGEMENT AND BANKING

- 5.12** The Authority follows the CIPFA Code of Practice for Treasury Management in the Public Services. The Authority will create and maintain, as the cornerstones for effective treasury management:

- A Treasury Management Policy Statement, stating the policies, objectives, and approach to risk management of its treasury management activities.
- Suitable Treasury Management Practices (TMPs), setting out the way the organisation will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities.

- 5.13** All money in the hands of the Authority is controlled by the officer designated for the purposes of Section 73 of the Local Government Act 1985, referred to in this document as the Section 73 Officer.

- 5.14** In accordance with the CIPFA Code of Practice for Treasury Management in the Public Services, the Section 73 Officer is responsible for reporting to the Authority on the treasury management policies, practices, and activities. Including as a minimum, an annual strategy and plan of the year, a mid-year review and an annual report after its close, in the form prescribed in the TMP's.

- 5.15** All Authority decisions on borrowing, investment or financing shall be delegated to the Section 73 Officer. In relation to the authorised limits for the Authority's external debt, and the operational boundary for external debt agreed by Authority, any movements in borrowing limits made under delegation to the Section 73 Officer will be reported to the Authority at its next meeting.

- 5.16** In accordance with the CIPFA Code of Practice for Treasury Management in the Public Services, the Authority delegates responsibility for the execution and administration of treasury management decisions to the Section 73 Officer, who will act in accordance with the Authority's policy statement and TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

- 5.17** The Authority has nominated the Audit Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.

STAFFING

- 5.18** The Authority is responsible for determining how officer support for executive and non-executive roles within the Authority will be organised.
- 5.19** The Head of Paid Service is responsible for providing overall management to staff. They are responsible for ensuring proper use of agreed systems for determining the remuneration of a job. The Head of Paid Service has ultimate responsibility for ensuring the Authority's staffing resource meets its needs in terms of capacity and organisation.
- 5.20** Directors are responsible for controlling total staff numbers by:
- advising the Authority on the budget necessary in any given year to cover estimated staffing levels
 - adjusting the staffing to a level that can be funded within approved budget provision, varying the provision as necessary within that constraint to meet changing operational needs
 - the proper use of appointment procedures.

6 Financial Regulation D: Systems and Procedures

INTRODUCTION

- 6.1** Sound systems and procedures are essential to an effective framework of accountability and control.

GENERAL

- 6.2** The Section 73 Officer is responsible for the operation of the Authority's accounting systems, the form of accounts and the supporting financial records. Any changes made by Directors to the existing financial systems, or the establishment of new systems must be approved by the Section 73 Officer after consultation with Internal Audit. However, Directors are responsible for the proper operation of financial processes in their own departments.
- 6.3** Any changes to agreed procedures by Directors to meet their own specific service needs should be agreed with the Section 73 Officer.
- 6.4** Directors should ensure that their staff receive relevant financial training that has been approved by the Section 73 Officer.
- 6.5** Directors must ensure that, where appropriate, computer and other systems are registered in accordance with general data protection legislation. Directors must ensure that staff are aware of their responsibilities under freedom of information legislation.

INCOME AND EXPENDITURE

- 6.6** It is the responsibility of Directors to ensure the officers' scheme of delegation is complied with within their department. In addition, each Director should ensure that an authorised signatory list is held and regularly updated, identifying staff authorised to act on the Director's behalf in respect of payments, income collection and placing orders, together with the limits of their authority. The Authority is responsible for

approving procedures for writing off debts as part of the overall control framework of accountability and control.

PAYMENTS TO EMPLOYEES AND MEMBERS

- 6.7** The Section 73 Officer is responsible for all payments of salaries and wages to all staff, including payments for overtime, and for payment of allowances to Members.
- 6.8** The Section 73 Officer is responsible for making ex-gratia payments in accordance with guidelines agreed with the Monitoring Officer.

TAXATION

- 6.9** The Section 73 Officer is responsible for advising Directors, in the light of guidance issued by appropriate bodies and relevant legislation as it applies, on all taxation issues that affect the Authority.
- 6.10** The Section 73 Officer is responsible for maintaining the Authority's tax records, making all tax payments, receiving tax credits, and submitting tax returns by their due date as appropriate.

RETENTION OF RECORDS

- 6.11** Each Director shall make arrangements for the retention of financial and personnel records as follows:
- financial matters relating to the payment of creditors, income or other tax matters, national insurance, pensions, and debts of any nature should be retained for at least six years plus the present year,
 - all other records should be retained in accordance with the Authority's Document Retention Policy,
 - where legislation or professional guidance stipulates a longer retention period, documentation should be retained in accordance with this.
- 6.12** In the case of invoices relating to auditable grant claims, these must be kept until after the grant claim has been audited, even if this exceeds six years.
- 6.13** Where documents are disposed of after the relevant retention periods have expired, any sensitive or confidential information should be destroyed by shredding.

7 Financial Regulation E: External Arrangements

EXTERNAL FUNDING

- 7.1** The Section 73 Officer is responsible for ensuring that all funding notified by external bodies is received and properly recorded in the Authority's accounts.

CONFIDENTIALITY

- 7.2** All information held by or on behalf of the Authority will be available to the public upon written request, unless it falls into one of the statutory exemptions set out in the Freedom of Information Act 2000. Officers must therefore ensure, when negotiating or entering into a contract on behalf of the Authority, that any confidentiality clause proposed by a third party has been approved by the Monitoring Officer.

DRAFT

Section 2

FINANCIAL PROCEDURE RULES

APPENDIX A

Financial Procedure Rules: Financial Management

FINANCIAL MANAGEMENT STANDARDS

Why is this important?

- A.1 All staff and Members have a duty to abide by the highest standards of probity in dealing with financial issues. This is facilitated by ensuring everyone is clear about the standards to which they are working and the controls that are in place to ensure that these standards are met.

Key controls

- A.2 The key controls and control objectives for financial management standards are:
- (a) their promotion throughout the Authority
 - (b) a monitoring system to review compliance with financial standards, and regular comparisons of performance indicators and benchmark standards that are reported to the Authority.

Responsibilities of the Section 73 Officer

- A.3 To ensure the proper administration of the financial affairs of the Authority, and to determine on behalf of the Authority the accounting records and the accounting control systems in accordance with the Accounts and Audit Regulations 2015.
- A.4 To set the financial management standards and to monitor compliance with them in accordance with the relevant codes of practice and accounting standards.
- A.5 To ensure proper professional practices are adhered to and to act as head of profession in relation to the standards and performance.
- A.6 To advise on the key strategic controls necessary to secure sound financial management.
- A.7 To ensure that financial information is available to enable accurate and timely monitoring and reporting of comparisons of national and local financial performance indicators.

Responsibilities of Directors

- A.8 To promote the financial management standards set by the Section 73 Officer in their departments and to monitor adherence to the standards and practices, liaising as necessary with the Section 73 Officer.
- A.9 To promote sound financial practices in relation to the standards, performance, and development of staff in their departments.

MANAGING EXPENDITURE

Scheme of virement

Why is this important?

- A.10 The scheme of virement is intended to enable the Authority, Directors and their staff to manage budgets with a degree of flexibility within the overall policy framework determined by the Authority, and therefore to optimise the use of resources.

Key controls

- A.11 Key controls for the scheme of virement are:
 - (a) it is administered by the Section 73 Officer within guidelines set by the Authority. Any variation from this scheme requires the approval of the Authority.
 - (b) the overall budget is agreed by the Authority. Directors and managers are therefore authorised to incur expenditure in accordance with the estimates that make up the budget. The rules below cover virement; that is, switching resources between approved estimates or heads of expenditure. For the purposes of this scheme, a budget head is considered to be a cost centre in the revenue budget, or a project set out in the capital programme.
 - (c) virement does not create additional overall budget liability. Directors are expected to exercise their discretion in managing their budgets responsibly and prudently.

Responsibilities of the Section 73 Officer

- A.12 To prepare jointly with the relevant Director a report to the Authority where revenue or capital virements more than £350,000 are proposed.

Responsibilities of Directors

- A.13 A Director may exercise virement on revenue budgets under their control for amounts up to £50,000 on any one budget head during the year in consultation with the Section 73 Officer. This must follow notification to the Section 73 Officer and be subject to the general conditions around virement.
- A.14 Revenue and capital virement amounts greater than £50,000 but less than £350,000 requires the approval of the Section 73 Officer and relevant Authority member.

- A.15 Revenue and capital virement amounts greater than £350,000, require the approval of the Authority, following a joint report by the Section 73 Officer and the Director, which must specify the proposed expenditure and the source of funding, and must explain the implications in the current and future financial years. In exceptional circumstances, a virement of this value can be made with the approval of the Section 73 Officer, in consultation with the Head of Paid Service and relevant Authority member.
- A.16 A virement that is likely to impact on the level of service activity of another Director should be implemented only after agreement with the relevant Director.
- A.17 Where an approved budget is a lump-sum budget or contingency intended for allocation during the year, its allocation will not be treated as a virement, provided that:
- (a) the amount is used in accordance with the purposes for which it has been established, as set out in the budget-setting report to the Authority in advance of each financial year,
 - (b) the Authority has approved the basis and the terms, including financial limits, on which it will be allocated.
- A.18 Budget realignment is described in Financial Regulation A: Financial Management of the Financial Regulations. Any proposal to realign all or part of a service area budget must be notified (by the Director of the service area) in writing to the Section 73 Officer. Budget realignment should usually only occur once in any financial year and be notified to and agreed by the Section 73 Officer.

Treatment of year-end balances

Why is this important?

- A.19 The Authority's scheme of virement sets out the Authority's treatment of year-end balances. It is administered by the Section 73 Officer within guidelines set by the Authority. Any variation from the scheme of virement requires the approval of the Authority.
- A.20 The rules below cover arrangements for the transfer of resources between accounting years, i.e. a carry-forward. For the purposes of this scheme, a budget heading is a line in the revenue budget.

Key controls

- A.21 Appropriate accounting procedures are in operation to ensure that carried-forward totals are correct.

Responsibilities of the Section 73 Officer

- A.22 To administer the scheme of carry-forward within the guidelines approved by the Authority.
- A.23 To report all overspends and underspends on outturn estimates presented to the Authority.

Responsibilities of Directors

- A.24 Net underspends on service estimates under the control of a Director may occur. Where this is the case, options exist for the treatment of the underspend. Based upon the overall financial position of the Authority, the Section 73 Officer will recommend to Authority whether carry forward of underspends by service areas is appropriate.

ACCOUNTING POLICIES

Why is this important?

- A.25 The Section 73 Officer is responsible for the preparation of the Authority's Statement of Accounts, in accordance with proper practices and relevant code of practice, for each financial year ending 31 March. In addition, the Local Government Act 2003 and the Accounts and Audit Regulations 2015 set out statutory requirements governing the Authority's accounts.

Key controls

- A.26 The key controls for accounting policies are:
- (a) systems of internal control are in place that ensure that financial transactions are lawful,
 - (b) suitable accounting policies are set out and applied consistently throughout the Authority,
 - (c) proper accounting records are maintained, and
 - (d) financial statements are prepared which present a true and fair view of the financial position of the Authority and its expenditure and income.

Responsibilities of the Section 73 Officer

- A.27 To select suitable accounting policies and to ensure that these are applied consistently. The accounting policies are set out in the Statement of Accounts, which is prepared at 31 March each year, and covers such items as:
- (a) separate accounts for capital and revenue transactions,
 - (b) the basis on which debtors and creditors at year end are included in the accounts,
 - (c) details on substantial provisions and reserves,
 - (d) fixed assets,
 - (e) depreciation,
 - (f) retirement benefits,
 - (g) stocks and stores,
 - (h) financial assets and liabilities,

- (i) accounting for value added tax,
- (j) government grants,

Responsibilities of Directors

- A.28 To adhere to the accounting policies and guidelines approved by the Section 73 Officer.

ACCOUNTING RECORDS AND RETURNS

Why is this important?

- A.29 Maintaining proper accounting records is one of the ways in which the Authority discharges its responsibility for stewardship of public resources. The Authority has a statutory responsibility to prepare its annual accounts to present a true and fair view of its operations during the year. These are subject to external audit. This audit provides assurance that the accounts are prepared properly, that proper accounting practices have been followed and that quality arrangements have been made for securing economy, efficiency, and effectiveness in the use of the Authority's resources.

Key controls

- A.30 The key controls for accounting records and returns are:
- (a) all Members and officers operate within the required accounting standards and timetables,
 - (b) all the Authority's transactions, material commitments and contracts and other essential accounting information are recorded completely, accurately and on a timely basis,
 - (c) procedures are in place to enable accounting records to be reconstituted in the event of systems failure,
 - (d) reconciliation procedures are carried out to ensure transactions are correctly recorded,
 - (e) prime documents are retained in accordance with legislative and other requirements.

Responsibilities of the Section 73 Officer

- A.31 To determine on behalf of the Authority suitable accounting records, accounting statements and accounting control systems for the Authority. Where records are maintained outside the Finance section, the Section 73 Officer should consult the Director concerned. The Section 73 Officer must also ensure that the accounting control systems are observed and that the accounting records of the Authority are maintained in accordance with proper practices and kept up to date.
- A.32 To arrange for the compilation of all accounts and accounting records under their direction.
- A.33 To comply with the following principles when allocating accounting duties:

(a) separating the duties of providing information about sums due to or from the Authority and calculating, checking, and recording these sums from the duty of collecting or disbursing them,

(b) employees with the duty of examining or checking the accounts of cash transactions must not themselves be engaged in these transactions.

A.34 To make proper arrangements for the audit of the Authority's accounts in accordance with the Accounts and Audit Regulations 2015, as amended.

A.35 To ensure that all claims for funds including grants are made by the due date.

A.36 To prepare and publish the audited accounts of the Authority for each financial year, in accordance with the statutory timetable and with the requirement for the Audit Committee to approve the Statement of Accounts by the dates prescribed by statute.

A.37 To administer any arrangements for under and overspending to be carried forward to the following financial year.

A.38 To ensure the proper retention of financial documents in accordance with the legislative requirements.

Responsibilities of Directors

A.39 To consult and obtain the approval of the Section 73 Officer before making any changes to accounting records and procedures.

A.40 To comply with the principles outlined above when allocating accounting duties to ensure a clear separation of duties.

A.41 To maintain adequate records to provide a management trail leading from the source of income/expenditure through to the accounting statements.

A.42 To supply information required to enable the Statement of Accounts to be completed in accordance with guidelines issued by the Section 73 Officer.

THE ANNUAL STATEMENT OF ACCOUNTS

Why is this important?

A.43 The Authority has a statutory responsibility to prepare its own accounts to present a true and fair view of its operations during the year. The Audit Committee is responsible for approving the statutory annual Statement of Accounts.

Key controls

A.44 The key controls for the annual Statement of Accounts are:

(a) the Authority is required to plan for the proper administration of its financial affairs and to ensure that one of its officers has the responsibility for the administration of these affairs. In this Authority, that officer is the Section 73 Officer.

- (b) the Authority is required to comply with the Accounts and Audit Regulations 2015 which set out the statutory dates for approval and publication of the annual accounts.
- (c) the Authority's Statement of Accounts must be prepared in accordance with proper practices as set out in the Code of Practice on Local Authority Accounting (CIPFA/LASAAC).

Responsibilities of the Section 73 Officer

- A.45 To set out correct accounting policies and to apply them consistently throughout the Authority.
- A.46 To prepare the Statement of Accounts and present this to Authority by the statutory date set out in the Accounts and Audit Regulations 2015.
- A.47 To sign and date the Statement of Accounts.
- A.48 To draw up the timetable for final accounts preparation and to advise staff and external auditors accordingly.

Responsibilities of Directors

- A.49 To comply with accounting guidance provided by the Section 73 Officer in relation to the preparation of the Authority's Statement of Accounts, and to supply the Section 73 Officer with information when required.

Financial Procedure Rules: Financial Planning

PERFORMANCE PLANS

Why is this important?

- B.1 The purpose of performance plans is to explain overall priorities and objectives, current performance, and proposals for further improvement. Annually the Authority produces a Plan that is approved by Authority through the budget setting process.

Key controls

- B.2 The key controls for performance plans are to:
- (a) ensure that all relevant plans are produced and that they are consistent,
 - (b) produce plans in accordance with statutory requirements,
 - (c) meet the timetables set,
 - (d) ensure that all performance information is accurate, complete and up to date,
 - (e) provide improvement targets which are meaningful, realistic and challenging.

Responsibilities of the Section 73 Officer

- B.3 To advise and supply the financial information that needs to be included in performance plans in accordance with statutory requirements and agreed timetables.
- B.4 To contribute to the development of corporate and service targets, objectives, and performance information.

Responsibilities of Directors

- B.5 To contribute to the development of performance plans.
- B.6 To contribute to the development of targets and objectives, both corporate and service led ensuring delivery.
- B.7 To ensure that systems are in place to measure activity and collect accurate information for use as performance indicators.
- B.8 To ensure that performance information is monitored frequently to allow corrective action to be taken if targets are not likely to be met.

BUDGETING

Format of the budget

Why is this important?

- B.9 The format of the budget determines the level of detail to which financial control and management will be exercised. The format shapes how the rules around virement operate, the operation of budget allocations and sets the level at which funds may be reallocated within budgets.

Key controls

- B.10 The key controls for the budget format are:
- (a) complies with all legal requirements,
 - (b) complies with CIPFA's Service Reporting Code of Practice,
 - (c) reflects the accountabilities of service delivery.

Responsibilities of the Section 73 Officer

- B.11 To advise on the format of the budget that is approved by the Authority.

Responsibilities of Directors

- B.12 To comply with accounting guidance provided by the Section 73 Officer.

Revenue budget preparation, monitoring, and control

Why is this important?

- B.13 Budget management ensures that once the budget has been approved by the Authority, resources allocated are used for their intended purposes and are properly accounted for. Budgetary control is a continuous process, enabling the Authority to review and adjust its budget targets during the financial year. It also provides the mechanism that calls to account managers responsible for defined elements of the budget.
- B.14 By continuously identifying and explaining variances against budgetary targets, the Authority can identify changes in trends and resource requirements at the earliest opportunity. The Authority itself operates within an annual budget allocation, approved when setting the overall budget. To ensure that the Authority in total does not overspend, each service is required to manage its own expenditure within the budget allocated to it.
- B.15 For the purposes of budgetary control by officers, a budget will normally be the planned income and expenditure for a service area or cost centre.

Key controls

- B.16 The key controls for managing and controlling the revenue budget are:

- (a) the responsibility of the Authority for budget monitoring and control, under the Local Government Act 2003,
- (b) there is a nominated budget manager and budget holder for each cost centre heading,
- (c) budget holders should be responsible only for income and expenditure that they can influence, and act under the direction of their budget manager,
- (d) budget managers accept accountability for their budgets and the level of service to be delivered and understand their financial responsibilities,
- (e) budget holders follow an approved certification process for all expenditure,
- (f) income and expenditure are properly recorded and accounted for,
- (g) performance levels/levels of service are monitored in conjunction with the budget and necessary action is taken to align service outputs and budget,
- (h) appropriate forms of reporting are identified and put in place.

Responsibilities of the Section 73 Officer

- B.17 To establish an appropriate framework of budgetary management and control that ensures that:
- (a) budget management is exercised within annual budget allocations unless the Authority agrees otherwise,
 - (b) each Director has available timely information on receipts and payments on each budget which is sufficiently detailed to enable managers to fulfil their budgetary responsibilities,
 - (c) expenditure is committed only against an approved budget head,
 - (d) all officers responsible for committing expenditure comply with relevant guidance, and the financial regulations,
 - (e) each cost centre has a single named officer, determined by the relevant budget manager (Director or senior manager), to act as the budget holder for that cost centre. As a general principle, budget responsibility should be aligned as closely as possible to the decision-making processes that commits expenditure,
 - (f) significant variances from approved budgets are investigated and reported by budget managers regularly.
- B.18 To administer the Authority's scheme of virement.
- B.19 To submit reports to the Authority, in consultation with the relevant Director, where a Director is unable to balance expenditure and resources within existing approved budgets under their control.
- B.20 To prepare and submit reports on the Authority's projected income and expenditure compared with the budget on a regular basis.

Responsibilities of Directors

- B.21 To maintain budgetary control within their departments. To ensure that all income and expenditure is legal and is properly recorded and accounted for.
- B.22 To ensure there is an accountable budget holder, who will act under the direction of a nominated budget manager, for income and expenditure under the control of the Director (grouped together in a series of cost centres). As a general principle, budget responsibility should be aligned as closely as possible to the decision-making that commits expenditure.
- B.23 To ensure that spending remains within the service's overall budget allocation, and that individual budget heads are not overspent, by monitoring the budget and taking appropriate corrective action where significant variations from the approved budget are forecast.
- B.24 To ensure that a monitoring process is in place to review performance levels/levels of service in conjunction with the budget and is operating effectively.
- B.25 To prepare and submit to the Section 73 Officer reports on the service's projected expenditure compared with its budget, and to keep the Section 73 Officer informed of any actual or likely changes which may/will have a significant impact on current or future budgets.
- B.26 To ensure prior approval by the Authority (in accordance with the Authority's Constitution) for new proposals which:
- (a) create material financial commitments in future years,
 - (b) change existing policies, initiate new policies, or cease existing policies,
 - (c) materially extend or reduce the Authority's services.

A report on new proposals should explain the full financial implications, following consultation with the Section 73 Officer. Unless the Authority has agreed otherwise, Directors must plan to contain the financial implications of such proposals within their budget allocation.

- B.27 To ensure compliance with the scheme of virement.
- B.28 To agree with the relevant Director where it appears that a budget proposal, including a virement proposal, may impact materially on another service area or Director's level of service activity.
- B.29 To ensure that the Authority's standing orders with respect to contracts are complied with whenever expenditure is proposed to be incurred.

Budgets and medium-term planning

Why is this important?

- B.30 The Authority needs to plan effectively and to develop systems to enable resources to be allocated in accordance with priorities. The budget is the financial expression of the Authority's plans and policies.

- B.31 The revenue budget must be constructed to ensure that resource allocation properly reflects the service plans and priorities of the Authority. Budgets (spending plans) are needed so that the Authority can plan, authorise, monitor, and control the way money is allocated and spent. It is illegal for an authority to budget for a deficit.
- B.32 Medium-term planning involves a planning cycle in which managers develop their own plans. As each year passes, another future year will be added to the medium-term plan. This ensures that the Authority is always preparing for events in advance.

Key controls

- B.33 The key controls for budgets and medium-term planning are:
- (a) specific budget approval for all expenditure,
 - (b) budget managers (Directors and senior managers) are consulted in the preparation of the budgets for which they will be held responsible. They accept accountability for the budgets as per the delegations set by the Authority for their budgets and the level of service to be delivered,
 - (c) budget managers nominate designated budget holders to be responsible for the day-to-day control of income and expenditure against a set budget for a cost centre,
 - (d) a monitoring process is in place to regularly review the effectiveness and operation of budget preparation and to ensure that corrective action is taken to address any issues that are identified,
 - (e) the Section 73 Officer to prepare a report, for use when the authority is deciding its annual budget and precept level, on the robustness of the budget and the adequacy of the Authority's reserves.

Responsibilities of the Section 73 Officer

- B.34 To prepare and submit reports on budget prospects for the Authority, including resource constraints set by the Government, the robustness of the budget and the adequacy of the Authority's reserves. Reports should take account of medium-term prospects, where appropriate.
- B.35 To determine the detailed form of revenue estimates and the methods for their preparation, consistent with the budget approved by the Authority, and after consultation with Directors.
- B.36 To prepare and submit reports to the Authority on the aggregate spending plans and on the resources available to fund them.
- B.37 To advise on the medium-term implications of spending decisions.
- B.38 To encourage the best use of resources and value for money by working with Directors to identify opportunities to improve economy, efficiency, and effectiveness
- B.39 To advise the Authority in accordance with their responsibilities under section 73 of the Local Government Act 1985.

Responsibilities of Directors

- B.40 To prepare estimates of income and expenditure, in consultation with the Section 73 Officer, to be submitted to the Authority.
- B.41 To prepare budgets that are consistent with any relevant budget allocations, with the Authority's annual budget cycle and with guidelines issued by the Section 73 Officer. The format should be prescribed by the Section 73 Officer in accordance with the Authority's general directions.
- B.42 To integrate financial and budget plans into service planning, so that budget plans can be supported by financial and non-financial performance measures.
- B.43 In consultation with the Section 73 Officer, and in accordance with the laid-down guidance and timetable, to prepare detailed draft revenue and capital budgets for consideration by the Authority in accordance with the budget and policy framework.
- B.44 When drawing up draft budget requirements, to have regard to:
 - (a) spending patterns and pressures revealed through the budget monitoring process,
 - (b) legal requirements,
 - (c) policy requirements as defined by the Authority in the approved policy framework,
 - (d) service developments,
 - (e) efficiency savings, and
 - (f) the priorities of the Authority.

Resource allocation

Why is this important?

- B.45 A mismatch sometimes exists between available resources and required resources. It is therefore imperative that needs/desires are carefully prioritised and that resources are properly allocated, to fulfil all legal responsibilities. Resources may include staff, money, equipment, goods, and materials.

Key controls

- B.46 The key controls for resource allocation are that resources are:
 - (a) acquired in accordance with the law and using an approved authorisation process,
 - (b) used only for the purpose intended, to achieve the approved policies and objectives, and are properly accounted for,
 - (c) securely held for use when required,
 - (d) used with the minimum level of waste, inefficiency, or loss for other reasons.

Responsibilities of the Section 73 Officer

- B.47 To advise on methods available for the funding of resources, such as grants from central government and borrowing requirements.
- B.48 To assist in the allocation of resources to budget managers.

Responsibilities of Directors

- B.49 To work within budget limits and to utilise resources allocated, and further allocate resources, in the most efficient, effective and economic way.
- B.50 To identify opportunities to minimise or eliminate resource requirements or consumption without having a detrimental effect on service delivery.

Capital plans

Why is this important?

- B.51 Capital expenditure involves acquiring or enhancing assets with a long-term value to the Authority, such as land, buildings, and major items of plant, equipment, or vehicles. Capital assets shape the way services are delivered in the long term and create financial commitments for the future in the form of financing costs and revenue running costs. As capital expenditure can involve significant sums of money it is important that capital projects are carefully appraised and managed to ensure that the project objectives are delivered.
- B.52 The Local Government Act 2003 established a new system for capital financing based on a prudential framework. Local Authorities now have the freedom to borrow funds to finance their capital programmes, without Government consent. The framework requires that local authorities ensure their plans are affordable, prudent, and sustainable.

Key controls

- B.53 The key controls for capital plans are:
 - (a) specific approval by the Authority for the programme of capital expenditure,
 - (b) expenditure on capital schemes is subject to the approval of the Authority,
 - (b) the development and implementation of a Capital Investment Strategy,
 - (d) accountability for each proposal is accepted by a named manager,
 - (e) monitoring of progress in conjunction with expenditure and comparison with approved budget. Quarterly reports of capital monitoring are required to be presented to the Authority.

Responsibilities of the Section 73 Officer

- B.54 To prepare the Authority's capital programme jointly with Directors and the Head of Paid Service and to report it to the Authority for approval. Approval from the Authority is required where a Director proposes additional unsupported borrowing not anticipated in the capital programme.

- B.55 To prepare and submit reports to the Authority on the capital outturn as compared with capital budget.
- B.56 To issue guidance concerning capital schemes and regulations, for example, on project appraisal techniques. The definition of 'capital expenditure' will be in accordance with standard accounting practice and government regulation.
- B.57 To obtain authorisation from the Authority for individual schemes where the estimated expenditure exceeds the capital programme provision by more than a specified amount which will be from time to time declared.

Responsibilities of Directors

- B.58 To comply with guidance concerning capital schemes and controls issued by the Section 73 Officer.
- B.59 To ensure that all capital proposals have undergone a project appraisal in accordance with guidance issued by the Section 73 Officer, regardless of the source of funding of the proposed project.
- B.60 To prepare regular reports for the Section 73 Officer reviewing the capital plan provisions for their services. They should also prepare a quarterly return of estimated final costs of schemes in the approved capital programme for submission to the Section 73 Officer.
- B.61 To ensure that adequate records are maintained for all capital contracts.
- B.62 To proceed with projects only when there is adequate provision in the capital programme and the project has been approved by Authority with the agreement of the Section 73 Officer, where required. The funding of proposed projects must be clearly identified together with full financial implications (both revenue and capital) and a business case must be completed for every capital project, regardless of the source of funding of the project.
- B.63 To prepare and submit reports, jointly with the Section 73 Officer, to the Authority, of any variation in contract costs greater than the approved limits.
- B.64 To prepare and submit reports, jointly with the Section 73 Officer, to the Authority, on completion of all contracts where the final expenditure exceeds the approved contract sum by more than the specified amount.
- B.65 To ensure that credit arrangements, such as leasing agreements, are not entered into without the prior approval of the Section 73 Officer and approval of the scheme through the capital programme.
- B.66 To consult with the Section 73 Officer and to seek Authority approval where the Director proposes to bid for funding to finance a project where expenditure has not been included in the current year's capital plan.
- B.67 To comply with standing orders in the administration of contracts.
- B.68 Where projects in the capital programme are included on the assumption of resources becoming available, no financial commitments should be entered into on

these projects unless resources are confirmed as being available to the satisfaction of the Section 73 Officer.

- B.69 To ensure that one accountable manager is identified for the management of each capital project, ensuring that approved funding is spent in accordance with the capital plan, and the project is delivered within the timeframes set down in the capital plan.

MAINTENANCE OF RESERVES

Why is this important?

- B.70 The Authority must decide the level of general reserves (balances) it wishes to maintain. Reserves are maintained as a matter of prudence. They enable the Authority to provide for unexpected events and thereby protect it from overspending, should such events occur. Reserves for specific purposes may also be maintained. When an authority is deciding its annual budget and precept level it is required to consider a report from the Section 73 Officer on the adequacy of the Authority's reserves and robustness of the budget.

Key controls

- B.71 To establish and maintain reserves in accordance with the Local Government Act 2003.
- B.72 It is the responsibility of the Section 73 Officer to advise the Authority regarding the level of reserves that they should hold and to ensure that there are clear protocols for their establishment and use.
- B.73 For each reserve established the purpose, usage and basis of transactions should be clearly identified.
- B.74 Transfers to and from reserves require authorisation by the appropriate Director in consultation with the Section 73 Officer.

Responsibilities of the Section 73 Officer

- B.75 To advise the Authority on prudent levels of reserves for the Authority. The Section 73 Officer is also required to prepare a report on the adequacy of the Authority's reserves for use when the Authority is deciding its annual budget and precept level.
- B.76 To ensure that there is a clear protocol for the establishment and use of reserves.

Responsibilities of Directors

- B.77 To ensure that reserves are used only for the purposes for which they were intended.

Financial Procedure Rules: Risk Management and Control of Resources

RISK MANAGEMENT

Why is this important?

- C.1 Risk is the chance or possibility of loss, damage, injury, or failure to achieve objectives caused by an unwanted or uncertain action or event.
- C.2 It is the overall responsibility of the Authority to set the Authority's risk appetite and promote a culture of risk management awareness throughout the authority.

Key controls

- C.3 The key controls for risk management are:
 - (a) procedures are in place to identify, assess, prevent, or contain material known risks, and these procedures are operating effectively throughout the Authority,
 - (b) a monitoring process is in place to regularly review the effectiveness of risk reduction strategies and the operation of these controls. The risk management process should be conducted on a continuing basis.
 - (c) managers know that they are responsible for managing relevant risks and are provided with relevant information on risk management initiatives,
 - (d) provision is made for losses that might result from the risks that remain,
 - (e) acceptable levels of risk are determined and insured against where appropriate,
 - (f) the Authority has identified business continuity plans for implementation in the event of disaster that results in significant loss or damage to its resources.

Responsibilities of the Section 73 Officer

- C.4 To ensure that the Authority's Risk and Opportunities register is prepared and promoted throughout the Authority by the nominated officer.
- C.5 To develop risk management controls in conjunction with other Directors.
- C.6 To include all appropriate employees of the Authority in a suitable fidelity guarantee insurance.
- C.7 To retain corporate insurance cover, through external insurance and internal funding, and to negotiate all claims in consultation with other officers, where necessary.

Responsibilities of Directors

- C.8 To notify the Section 73 Officer immediately of any loss, liability or damage that may lead to a claim against the Authority, together with any information or explanation required by the Section 73 Officer or the Authority's insurers.
- C.9 To take responsibility for risk management, having regard to advice from the Section 73 Officer or nominated officer on behalf of the Section 73 Officer and other specialist advice.
- C.10 To ensure that there are regular reviews of risk within their department, in accordance with Authority's policies and procedures.
- C.11 To notify the Section 73 Officer promptly of all new risks, properties or vehicles that require insurance and of any alterations affecting existing insurances.
- C.12 To consult the Section 73 Officer and the Monitoring Officer on the terms of any indemnity that the Authority is requested to give.
- C.13 To ensure that employees, or anyone covered by the Authority's insurances, do not admit liability, or make any offer to pay compensation that may prejudice the assessment of liability in respect of any insurance claim.

INTERNAL CONTROLS

Why is this important?

- C.14 The Authority is beyond the direct control of individuals. It therefore requires internal controls to manage and monitor progress towards strategic objectives.
- C.15 The Authority has statutory obligations and, therefore, requires internal controls to identify, meet and monitor compliance with these obligations.
- C.16 The Authority faces a range of financial, administrative, and commercial risks, both from internal and external factors, which threaten the achievement of its objectives. Internal controls are necessary to manage these risks.
- C.17 The system of internal controls is established to provide measurable achievement of:
 - (a) efficient and effective operations,
 - (b) reliable financial information and reporting,
 - (c) compliance with laws and regulations, and
 - (d) risk management.

Key controls

- C.18 The key controls and control objectives for internal control systems are:

- (a) key controls should be reviewed on a regular basis and the Authority should make a formal statement annually to the effect that it is satisfied that the systems of internal control are operating effectively,
- (b) managerial control systems, including defining policies, setting objectives and plans, monitoring financial and other performance, and taking appropriate anticipatory and remedial action. The key objective of these systems is to promote ownership of the control environment by defining roles and responsibilities,
- (c) financial and operational control systems and procedures, which include physical safeguards for assets, segregation of duties, authorisation and approval procedures and information systems,
- (d) an effective internal audit function that is properly resourced. It should operate in accordance with the principles contained in the Public Sector Internal Auditing Standards (2017) and with any other statutory obligations and regulations.

Responsibilities of the Section 73 Officer

- C.19 To assist the Authority to put in place an appropriate control environment and effective internal controls which provide reasonable assurance of effective and efficient operations, financial stewardship, probity and compliance with laws and regulations.

Responsibilities of Directors

- C.20 To manage processes to check that established controls are being adhered to and to evaluate their effectiveness, to be confident in the proper use of resources, achievement of objectives and management of risks.
- C.21 To review existing controls in the light of changes affecting the Authority and to establish and implement new ones in line with guidance from the Section 73 Officer and internal audit. Directors should also be responsible for removing controls that are unnecessary or not cost or risk effective – for example, because of duplication.
- C.22 To ensure staff have a clear understanding of the consequences of lack of control.

AUDIT REQUIREMENTS

Internal Audit

Why is this important?

- C.23 The Accounts and Audit Regulations 2015 more specifically require that a “relevant body shall maintain an adequate and effective system of internal audit of its accounting records and of its system of internal control in accordance with proper practices in relation to internal control”.
- C.24 Accordingly, Internal Audit is an independent and objective appraisal function established by the Authority for reviewing the system of internal control. It examines, evaluates, and reports on the adequacy of internal control as a contribution to the proper, economic, efficient and effective use of resources. Internal Audit assists management in delivering the objectives of the Authority through assessing exposure to risk and recommending, where appropriate, practical improvements to

the control environment. To this end, Internal Audit will have no executive responsibilities. Internal Audit's remit, as laid out in its charter, includes:

- assessing if operations are being carried out as planned, and if objectives / goals are being achieved,
- assessing the adequacy of systems established to ensure compliance with policies, plans, procedures, laws and regulations, i.e. rules established by the management of the organisation or externally,
- assessing the completeness, reliability, and integrity of information, both financial and operational,
- assessing the extent to which the Authority's assets, data and interests are properly accounted for and safeguarded from losses of all kinds, including fraud, corruption, waste, extravagance, abuse, ineffective management, and poor value for money, and
- assessing the economy, efficiency and effectiveness with which resources are deployed.

Key controls

C.25 The key controls for Internal Audit are:

- (a) that it is independent in its planning and operation,
- (b) the Head of Audit and Assurance has direct access to the Head of Paid Service, all levels of management and directly to elected Members, and
- (c) the internal auditors comply with the Public Sector Internal Auditing Standards, and the "Local Government Application Note Public Sector Internal Audit Standards" prepared by CIPFA.

Responsibilities of the Section 73 Officer

C.26 To ensure that internal auditors have the authority to:

- (a) access authority premises at reasonable times,
- (b) access all assets, records, documents, correspondence, and control systems,
- (c) receive any information and explanation considered necessary concerning any matter under consideration,
- (d) require any employee of the Authority to account for any asset under his or her control, and
- (e) directly access the Head of Paid Service, the Authority and appropriate committees, in accordance with the terms of reference agreed for Internal Audit.

Internal Audit shall also have access to all officers, buildings, information, explanations, and documentation required to discharge the audit role in respect of:

- organisations to whom the Authority has given grants,
- organisations with whom the Authority contracts, and

- partner organisations in any scheme for which the Authority has responsibility as lead or accountable body.

Such rights of access shall be written into the appropriate agreements with these organisations.

- C.27 To approve the strategic and annual audit plans prepared by the Head of Audit and Assurance, which take account of the characteristics and relative risks of the activities involved. In producing such audit plans, the Head of Audit and Assurance shall have an unrestricted range of coverage of the Authority's operations; the Head of Audit and Assurance will have freedom to determine the priorities of Internal Audit in consultation with the Section 73 Officer and other Directors.
- C.28 To ensure that effective procedures are in place to investigate promptly any fraud or irregularity.
- C.29 To ensure that a review of the effectiveness of Internal Audit is undertaken at least once a year.

Responsibilities of Directors

- C.30 To ensure that internal auditors are given access at all reasonable times to premises, personnel, documents, and assets that the auditors consider necessary for the purposes of their work.
- C.31 To ensure that auditors are provided with any information and explanations that they seek in the course of their work.
- C.32 To consider and respond promptly to recommendations in audit reports.
- C.33 To ensure that any agreed actions arising from audit recommendations are carried out in a timely and efficient fashion.
- C.34 To notify the Section 73 Officer and Head of Audit and Assurance immediately of any suspected fraud, theft, irregularity, improper use or misappropriation of the Authority's property or resources. Pending investigation and reporting, the Director should take all necessary steps to prevent further loss and to secure records and documentation against removal or alteration. If a serious irregularity is confirmed, the matter shall also be reported to the Head of Paid Service and the Authority lead member.
- C.35 To ensure that new systems for maintaining financial records, or records of assets, or changes to such systems, are discussed with and agreed by the Section 73 Officer prior to implementation.

External Audit

Why is this important?

- C.36 The authority has opted into the Public Sector Audit Appointments Ltd national scheme to oversee the appointment of its external auditor. An appointed auditor has rights of access to all documents and information deemed necessary for audit purposes.

- C.37 The basic duties of the external auditor are defined in the Local Audit and Accountability Act 2014 and the Local Government Act 1999. Additionally, the National Audit Office has now taken on responsibility for preparing / maintaining the Code of Audit Practice which sets out the way in which the auditors carry out their functions.
- C.38 The Authority's accounts are scrutinised by external auditors, who must be satisfied that the Statement of Accounts presents a 'true and fair view' of the financial position of the Authority and its income and expenditure for the year in question and complies with the legal requirements.

Key controls

- C.39 External auditors are appointed for a maximum contract period of five years (*Local Audit and Accountability Act 2014 s.7*). The National Audit Office prepares a Code of Audit Practice, which external auditors follow when carrying out their audits.

Responsibilities of the Section 73 Officer

- C.40 To ensure that external auditors are given access at all reasonable times to premises, personnel, documents, and assets that the external auditors consider necessary for the purposes of their work.
- C.41 To ensure there is effective liaison between external and internal audit.
- C.42 To work with the external auditor and advise the Authority and Directors on their responsibilities in relation to external audit.

Responsibilities of Directors

- C.43 To ensure that external auditors are given access at all reasonable times to premises, personnel, documents, and assets which the external auditors consider necessary for the purposes of their work.
- C.44 To ensure that all records and systems are up to date and available for inspection.

PREVENTING FRAUD AND CORRUPTION

Why is this important?

- C.45 The Authority will not tolerate fraud and corruption in the administration of its responsibilities, whether from inside or outside the Authority.
- C.46 The Authority's expectation of propriety and accountability is that Members and officers at all levels will lead by example in ensuring adherence to legal requirements, rules, procedures, and practices.
- C.47 The Authority also expects that individuals and organisations with whom it comes into contact will act towards the Authority with integrity and without thought or actions involving fraud and corruption.

Key controls

- C.48 The key controls regarding the prevention of financial irregularities are that:

- (a) the Authority has an effective Fraud Strategy and maintains a culture that will not tolerate fraud or corruption,
- (b) all Members and staff act with integrity and lead by example,
- (c) senior managers are required to deal swiftly and firmly with those who defraud or attempt to defraud the authority or who are corrupt,
- (d) high standards of conduct are promoted amongst Members,
- (e) the maintenance of a register of interests in which any interests, or offers of gifts or hospitality must be recorded,
- (f) whistle blowing procedures are in place and operate effectively,
- (g) legislation including the Public Interest Disclosure Act 1998 is adhered to
- (h) anti-money laundering procedures are in place.

Responsibilities of the Section 73 Officer

- C.49 To develop and maintain a Fraud Strategy.
- C.50 To develop and maintain an Anti-Money Laundering Policy
- C.51 To maintain adequate and effective internal control arrangements.
- C.52 To ensure that all suspected irregularities are reported to the Head of Audit and Assurance; to report fraud or irregularity necessitating police involvement to the Authority lead member and Head of Paid Service.

Responsibilities of Directors

- C.53 To ensure that all suspected irregularities are reported to the Section 73 Officer and Head of Audit and Assurance.
- C.54 To instigate the Authority's disciplinary procedures where the outcome of an audit investigation indicates improper behaviour.
- C.55 To ensure that where financial impropriety is discovered, the Section 73 Officer is informed, and where sufficient evidence exists to believe that a criminal offence may have been committed, the police are called in to determine with the Crown Prosecution Service whether any prosecution will take place.
- C.56 To maintain a departmental register of interests, gifts, and hospitality, and to ensure that all staff within the department are made aware of their duty to declare interests, or offers of gifts or hospitality, which may conflict with their role as a Authority employee.

ASSETS

Security

Why is this important?

C.57 It is important that assets are safeguarded and used efficiently in service delivery, and that arrangements are in place for the security of both assets and information required for service operations. An up-to-date asset register is a prerequisite for proper fixed asset accounting and sound asset management.

Key controls

C.58 The key controls for the security of resources are:

- (a) resources are used only for the purposes of the Authority and are properly accounted for,
- (b) resources are available for use when required,
- (c) resources that are no longer required are disposed of in accordance with the law and the regulations of the Authority to maximise benefits,
- (d) an asset register is maintained for the Authority, assets are recorded when they are acquired and this record is updated as changes occur with respect to the location and condition of the asset,
- (e) all staff are aware of their responsibilities about safeguarding the Authority's assets and information, including the requirements of the General Data Protection Act and software copyright legislation, and
- (f) all staff are aware of their responsibilities regarding safeguarding the security of the Authority's computer systems, including maintaining restricted access to the information held on them and compliance with the Authority's computer and internet security policies.

Responsibilities of the Section 73 Officer

C.59 To ensure that an asset register is maintained in accordance with good practice for all fixed assets with a value in excess of an amount which will be declared from time to time. The function of the asset register is to provide the Authority with information about fixed assets so that they are:

- safeguarded,
- used efficiently and effectively,
- adequately maintained.

C.60 To receive the information required for accounting, costing, and financial records from each Director, and to determine the method of valuation of stores.

C.61 To ensure that assets are valued in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom (CIPFA/LASAAC).

Responsibilities of Directors

C.62 The appropriate Director shall maintain a property database in a form approved by the Section 73 Officer for all assets currently owned or used by the Authority.

C.63 To ensure the proper security of all buildings and other assets under their control.

- C.64 To pass title deeds to the appropriate Director who is responsible for custody of all title deeds.
- C.65 To ensure that no Authority asset is subject to personal use by an employee without proper authority.
- C.66 To ensure the safe custody of vehicles, equipment, furniture, stock, stores, and other property belonging to the Authority.
- C.67 To ensure that the department maintains a register of moveable assets in accordance with arrangements defined by the Section 73 Officer.
- C.68 To ensure that assets are identified, their location recorded and that they are appropriately marked and insured.
- C.69 To consult the Section 73 Officer in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.
- C.70 To arrange for the valuation of assets for accounting purposes to meet requirements specified by the Section 73 Officer.
- C.71 To ensure that all employees are aware that they have a personal responsibility regarding the protection and confidentiality of information, whether held in manual or computerised records. Information may be sensitive or privileged, or may possess some intrinsic value, and its disclosure or loss could result in a cost to the Authority in some way.

Inventories

- C.72 To maintain inventories and record an adequate description of furniture, fittings, equipment, plant, and machinery with an individual value exceeding £1,000, and for portable goods such as Laptop Computers, iPads, mobile telephones, exceeding £100.
- C.73 To carry out an annual check of all items on the inventory to verify location, review condition and to take action in relation to surpluses or deficiencies, annotating the inventory accordingly. Significant variations should be brought to the attention of the Section 73 Officer and Head of Audit and Assurance. Portable items, such as computers and cameras, should be identified with security markings as belonging to the Authority. Guidance on the disposal of obsolete inventory, or that which is surplus to requirements is provided below.
- C.74 To make sure that property is only used in the course of the Authority's business, unless the Director concerned has given permission otherwise.

Stocks and stores

- C.75 To make arrangements for the care and custody of stocks and stores in the department.
- C.76 To ensure stocks are maintained at reasonable levels (which do not exceed normal business requirements) and are subject to a regular independent physical check.

- C.77 To investigate and remove from the Authority's records (i.e. write off) discrepancies as necessary, or to obtain Authority approval if they are in excess of a predetermined limit which will be announced on an annual basis.
- C.78 To authorise or write off disposal of redundant stocks, equipment, or inventory after consultation with the Section 73 Officer.
- C.79 To seek Authority approval to the write-off of redundant stocks and equipment more than a predetermined sum.
- C.80 To ensure that all stores' issues, except in the case of small value materials, are supported by a requisition stating the quantity required which is signed by an authorised signatory.
- C.81 To ensure that delivery notes are obtained in respect of all goods received into store and that the goods are checked with both the delivery note and official order as regards quantity and specification compliance as soon as possible.
- C.82 To provide the Section 73 Officer with such information as he or she requires in relation to stores for accounting, costing, and financial records.

Intellectual property

Why is this important?

- C.83 Intellectual property is a generic term that includes inventions and writing. If these are created by the employee during the course of employment, then, as a general rule, they belong to the employer, not the employee. Various acts of Parliament cover different types of intellectual property.
- C.84 Certain activities undertaken within the Authority may give rise to items that may be patentable, for example, software development. These items are collectively known as intellectual property.

Key controls

- C.85 In the event that the Authority decides to become involved in the commercial exploitation of intellectual property, guidelines for this should be drafted.

Responsibilities of the Section 73 Officer

- C.86 To develop and disseminate good practice and guidelines on the ownership and exploitation of intellectual property, in conjunction with other relevant officers of the Authority (e.g. the Monitoring Officer).

Responsibilities of Directors

- C.87 To ensure that controls are in place to ensure that staff do not carry out private work in Authority time and that staff are aware of an employer's rights regarding intellectual property.

Asset disposal

Why is this important?

- C.88 It would be uneconomic and inefficient for the cost of assets to outweigh their benefits. Obsolete, non-repairable or unnecessary resources should be disposed of in accordance with the law and the regulations of the Authority.

Key controls

- C.89 Assets for disposal are identified and are disposed of at the most appropriate time, and only when it is in the best interests of the Authority, and best price is obtained, bearing in mind other factors, such as environmental issues. For items of significant value, disposal should be by competitive tender or public auction.

Responsibilities of the Section 73 Officer

- C.90 To issue guidelines representing best practice for disposal of assets.
- C.91 To ensure appropriate accounting entries are made to remove the value of disposed assets from the Authority's records and to include the sale proceeds if appropriate.

Responsibilities of Directors

- C.92 To seek advice from the Section 73 Officer on the disposal of surplus or obsolete materials, stores, or equipment, and to follow the asset disposal guidelines prepared by the Section 73 Officer.
- C.93 To ensure that maximum income is received for the disposal of an asset and is properly banked and recorded in the accounts.

TREASURY MANAGEMENT AND BANKING

Why is this important?

- C.94 Codes of practice governing the appropriate way of administering these funds are provided by CIPFA and the Ministry of Housing, Communities and Local Government. These aim to ensure assurances that the Authority's money is properly managed in a way that prioritises security of capital and liquidity, with yield being an important but tertiary consideration.

Key controls

- C.95 That the Authority's borrowings and investments comply with the CIPFA Code of Practice for Treasury Management in the Public Services and with the Authority's Treasury Policy Statement.

Responsibilities of Section 73 Officer – treasury management and banking

- C.96 To arrange the borrowing and investments of the Authority in such a manner as to comply with the CIPFA Code of Practice for Treasury Management in the Public Services, the Authority's Treasury Management Policy Statement, and the Annual Strategy Statement.
- C.97 In accordance with the CIPFA Code of Practice for Treasury Management in the Public Services, to report on a regular basis on treasury management activities.
- C.98 To operate bank accounts as are considered necessary – opening or closing any bank account shall require the approval of the Section 73 Officer (or a person to

whom such authority has been properly delegated), and all such accounts must be in the name of the Authority.

Responsibilities of Directors – treasury management and banking

- C.99 To follow the instructions on banking issued by the Section 73 Officer, and to comply with the Authority's Treasury Management Policy Statement; to ensure that Authority cheques held within (or being transported from or to) the Director's department are securely stored, administered, and controlled.

Responsibilities of Section 73 Officer – investments and borrowing

- C.100 To ensure that all investments of money are made in the name of the Authority or in the name of nominees approved by the Authority.
- C.101 To ensure that all securities that are the property of the Authority (or its nominees) and the title deeds of all property in the Authority's ownership are held in the custody of the appropriate Director.
- C.102 To affect all borrowings in the name of the Authority.
- C.103 To act as the Authority's registrar of stocks, bonds, and mortgages and to maintain records of all borrowing of money by the Authority.
- C.104 To ensure that arrangements exist which provide for an officer (other than the officer who usually makes investments) to monitor investment levels, which should be periodically reviewed.
- C.105 To ensure that an adequate division of duties exists between the arranging and settling of transactions.

Responsibilities of Directors – investments and borrowing

- C.106 For non-treasury loans and investments that are not covered within the Treasury Management Strategy Statement the capital investment strategy should be considered and where a key decision is required then approval should be by the Authority.

Responsibilities of Directors – trust funds and funds held for third parties

- C.107 To arrange for all trust funds to be held, wherever possible, in the name of the Authority. All officers acting as trustees by virtue of their official position shall deposit securities, etc. relating to the trust with the Section 73 Officer, unless the deed specifies otherwise.
- C.108 To arrange, where funds are held on behalf of third parties, for their secure administration, approved by the Section 73 Officer, and to maintain written records of all transactions.
- C.109 To ensure that trust funds are operated within any relevant legislation and the specific requirements for each trust.

Responsibilities of the Section 73 Officer – imprest accounts

- C.110 To provide employees of the Authority with cash or bank imprest accounts to purchase low value items on behalf of the Authority and to prescribe rules for

operating these accounts. For petty cash imprests, expenditure on goods should not usually exceed £100 for any one transaction; payments may not be broken down in order to avoid this limit. For cheque accounts individual cheques should be signed by at least two authorised signatories, a list of whom should be provided to the Section 73 Officer and regularly updated. Cheques should never be 'pre-signed', or signed when the account payee or value of the cheque is blank.

- C.111 Where appropriate, to open an account with the Authority's bankers for use by the imprest holder who shall not overdraw the account. It shall be a standing instruction to the Authority's bankers that the amount of any overdrawn balance shall forthwith be notified to the Section 73 Officer.
- C.112 To determine the petty cash advance limit and to maintain a record of all transactions and petty cash advances made, and periodically to review the arrangements for the safe custody and control of these advances.
- C.113 To reimburse imprest holders as often as necessary to restore the imprests, but normally not more than monthly.
- C.114 To inform all Directors of the Authority's insurance cover with regard to cash holdings.

Responsibilities of Directors – Imprest Accounts

- C.115 To ensure that employees operating an imprest account:
- obtain and retain vouchers to support each payment from the imprest account. Where appropriate, an official receipted VAT invoice must be obtained, to ensure that VAT may be reclaimed where appropriate,
 - make adequate arrangements for the safe custody of the account, having regard to the Authority's insurance cover where appropriate,
 - produce upon demand by the Section 73 Officer cash and all vouchers to the total value of the imprest amount,
 - record transactions promptly,
 - respect the £100 limit for petty cash payments, unless in exceptional circumstances the Director has allowed a higher value for a particular purchase,
 - reconcile and balance the account at least monthly; reconciliation sheets to be signed and retained by the imprest holder,
 - ensure a petty cash payment slip is completed for every reimbursement which is made, signed by the claimant, authorised by their line manager, and signed by the person making the petty cash payment (who shall be an authorised signatory for such purposes). Receipts must be obtained to back up all expenditure made and reclaimed through the petty cash account and attached to the petty cash payment slip to comply with the requirements of HM Revenue & Customs,
 - provide the Section 73 Officer with a certificate of the value of the account held at 31 March each year,
 - ensure that the float is never used to cash personal cheques or to make personal loans and that the only payments into the account are the reimbursement of the float and change relating to purchases where an advance has been made.

Income should never be paid into a petty cash account, but banked separately as required by these financial regulations,

- on leaving the Authority's employment, or otherwise ceasing to be entitled to hold an imprest advance, an employee shall account to the Section 73 Officer for the amount advanced to him or her, and surrender the imprest and associated records to the Director or their nominated senior representative, and
- advise the Director of any significant imbalances which cannot be reconciled; the Director should then contact the Section 73 Officer for advice.

C.116 When making expenditure on behalf of the service for reimbursement by petty cash or payment voucher, employees are reminded that:

- Use of personal credit/debit cards should be avoided where possible for paying for goods.
- Personal loyalty cards must not be used to gain points or benefits from transactions. Any loyalty cards should be held in the Authority's name. This principle applies to any purchase made by the Authority from which vouchers can be collected and exchanged for gifts.

STAFFING

Why is this important?

C.117 In order to provide the highest level of service, it is critical that the Authority recruits and retains high calibre, knowledgeable staff, qualified to an appropriate level.

Key controls

C.118 The key controls for staffing are:

- (a) A clear Recruitment and Selection Policy exists, in which staffing requirements and budget allocation are matched,
- (b) procedures are in place for forecasting staffing requirements and cost,
- (c) controls are implemented that ensure that staff time is used efficiently and to the benefit of the Authority, and
- (d) checks are undertaken prior to employing new staff to ensure that they are appropriately qualified, experienced, and trustworthy.

Responsibilities of the Section 73 Officer

C.119 To ensure that budget provision exists for all existing and new employees.

C.120 To act as an advisor to Directors on areas such as national insurance and pension contributions, as appropriate.

Responsibilities of Directors

C.121 To agree an annual staffing budget.

- C.122 To ensure that the staffing budget is an accurate forecast of staffing levels and is equated to appropriate revenue budget provision (including on-costs and overheads).
- C.123 To monitor staff activity to ensure adequate control over such costs as sickness, overtime, training, and temporary staff.
- C.124 To ensure that the staffing budget is not exceeded without due authority and that it is managed to enable the agreed level of service to be provided.
- C.125 To ensure that the Section 73 Officer is immediately informed if the staffing budget is likely to be materially over or underspent.
- C.126 To ensure that adequate employment checks are made in respect of any individuals to whom it is proposed to make an offer of employment, in line with instructions issued by the Section 73 Officer. This should include the obtaining of employment references, evidence of qualifications where such qualifications are a requirement of the offer of employment, identity and Disclosure and Barring Service (DBS) checks where appropriate.

DRAFT

Financial Procedure Rules: Financial Systems and Procedures

GENERAL

Why is this important?

- D.1 The Section 73 Officer has a professional responsibility to ensure that the Authority's financial systems are sound and should therefore be notified of any new developments or changes.

Key controls

- D.2 The key controls for systems and procedures are:
- (a) basic data exists to enable the Authority's objectives, targets, budgets and plans to be formulated,
 - (b) performance is communicated to the appropriate managers on an accurate, complete and timely basis,
 - (c) early warning is provided of deviations from target, plans and budgets that require management attention, and
 - (d) operating systems and procedures are secure.

Responsibilities of the Section 73 Officer

- D.3 To make arrangements for the proper administration of the Authority's financial affairs, including to:
- (a) issue advice, guidance and procedures for officers and others acting on the Authority's behalf,
 - (b) determine the accounting systems, form of accounts and supporting financial records,
 - (c) establish arrangements for audit of the Authority's financial affairs,
 - (d) approve any new financial systems to be introduced, and
 - (e) approve any changes to be made to existing financial systems.

Responsibilities of Directors

- D.4 To ensure that accounting records are properly maintained and held securely.

- D.5 To ensure that vouchers and documents with financial implications are retained in accordance with latest legislation.
- D.6 To ensure that a complete audit trail, allowing financial transactions to be traced from the accounting records to the original document, and vice versa, is maintained.
- D.7 To incorporate appropriate controls to ensure that, where relevant:
 - (a) all input is genuine, complete, accurate, timely and not previously processed,
 - (b) all processing is carried out in an accurate, complete and timely manner, and
 - (c) output from the system is complete, accurate and timely.
- D.8 To ensure that the organisational structure provides an appropriate segregation of duties to provide adequate internal controls and to minimise the risk of fraud or other malpractice.
- D.9 To ensure there is a documented and tested disaster recovery plan/ business continuity plan to allow information system processing to resume quickly in the event of an interruption, and that this plan is shared widely with appropriate staff within the service.
- D.10 To ensure that systems are documented and staff trained in operations.
- D.11 To inform the Section 73 Officer and Internal Audit before changing any existing system or introducing new systems.
- D.12 To comply with the Authority's officer delegation scheme, and to establish a schedule of authorised signatories, identifying officers authorised to act on the Director's behalf in respect of payments, income collection and placing orders, including variations, and showing the limits of their authority.
- D.13 To supply the schedule of authorised signatories, with specimen signatures and delegated limits, to the Section 73 Officer together with any subsequent variations.
- D.14 To ensure that effective contingency arrangements, including back-up procedures, exist for computer systems in accordance with the ICT and Information Security Standards.
- D.15 To ensure that, where appropriate, computer systems are registered in accordance with general data protection legislation and that staff are aware of their responsibilities under the legislation.
- D.16 To ensure that relevant standards and guidelines for computer systems issued by the Director are observed, and that the ICT and Information Security Standards are observed.

INCOME AND EXPENDITURE

Income

Why is this important?

D.17 Income can be a vulnerable asset and effective income collection systems are necessary to ensure that all income due is identified, collected, receipted, and banked properly. It is preferable to obtain income in advance of supplying goods or services as this improves the Authority's cash flow and avoids the time and cost of administering debts.

Key controls

D.18 The key controls for income are:

- (a) all income due to the Authority is identified and charged correctly, in accordance with an approved charging policy, which is regularly reviewed,
- (b) all income is collected from the correct person, at the right time, using the correct procedures and the appropriate stationery, and
- (c) all monies received by an employee on behalf of the Authority is deposited with the appropriate officers ready for collection by an approved security company appointed by the Authority, this should be properly recorded via e-returns or cash receipting. The responsibility for cash collection should be separated from that:
 - for identifying the amount due, and
 - for reconciling the amount due to the amount received,
- (d) effective action is taken to pursue non-payment within defined timescales,
- (e) formal approval for debt write-off is obtained,
- (f) appropriate write-off action is taken within defined timescales,
- (g) appropriate accounting adjustments are made following write-off action,
- (h) all appropriate income documents are retained and stored for the defined period in accordance with the document retention periods.
- (i) money collected and deposited is reconciled to the bank account and/or general ledger system by a person who is not involved in the collection or banking process, and
- (j) all controlled stationery associated with income collection (e.g. receipt books, paying in books etc.) is held in a controlled environment.

Responsibilities of the Section 73 Officer

D.19 To agree arrangements for the collection of all income due to the Authority and to approve the procedures, systems and documentation for its collection.

D.20 To agree the write-off of bad debts up to an approved limit as detailed below:

Officer	Authorisation Limit
Budget Holder	Up to £1,000
Service Manager	Up to £5,000
Director	Up to £10,000

Section 73 Officer	Up to £50,000
Authority Member	Over £50,000

- D.21 To approve debts to be written off, in consultation with the relevant Director, as detailed in the officers' scheme of delegation and to adhere to the requirements of the Accounts and Audit Regulations 2015.
- D.22 To obtain the approval of the Authority in consultation with the relevant Directors for writing off debts in excess of the approved limits set down in the officers' scheme of delegation.
- D.23 To ensure that appropriate accounting adjustments are made following write-off action.
- D.27 To issue detailed guidance to departments regarding VAT and its correct treatment.
- D.24 To make or approve arrangements with the Authority's bankers and to operate such bank accounts as are considered necessary. No bank accounts or similar may be opened without the consent of the Section 73 Officer. The maintenance of Authority bank accounts shall be in accordance with arrangements determined by the Section 73 Officer.
- D.25 To make or approve all arrangements in connection with electronic payment and collection of monies and to ensure that adequate security exists within these arrangements to prevent loss due to error or fraud.
- D.26 To ensure that all cheques and other orders for payment bear the electronic signature of the Chief Operating Officer or be signed by the Section 73 Officer or other officers so authorised.

Responsibilities of Directors

- D.27 To establish a charging policy for the supply of goods or services, including the appropriate charging of VAT, and to review it at least annually, in line with corporate policies and in consultation with the Section 73 Officer and Monitoring Officer. After this consultation, the charging policies proposed by Directors should be referred to Authority for approval.
- D.28 To separate the responsibility for identifying amounts due and the responsibility for collection, as far as is practicable.
- D.29 To establish and initiate appropriate recovery procedures, including legal action where necessary, for debts that are not paid promptly.
- D.30 To issue official receipts or to maintain other documentation for income collection. All sums shall be immediately acknowledged by the issue of an official receipt or ticket or by other means agreed with the Section 73 Officer. Payments by cheque or electronic means need not be acknowledged unless requested.
- D.31 To ensure that controlled stationery is administered securely. A register should be maintained of all controlled stationery held and that which has been issued to staff. Blank/unused stationery should only be issued to staff on receipt of their signature in the register.

- D.32 Ensure that all monies received through the post are identified and recorded.
- D.33 To ensure that income is 'banked intact' and collected by an approved security company appointed by the Authority in the form in which it is received.
- D.34 To ensure income is not used to cash personal cheques or other payments, unless such cheques are drawn on the Authority's bank account and the express authority of the Section 73 Officer has been given to such action, or to finance expenditure.
- D.35 To supply the Section 73 Officer with details relating to work done, goods supplied, services rendered or other amounts due, to enable the Section 73 Officer to correctly record the sums due to the Authority and to ensure debtor accounts are sent out promptly.
- D.36 To keep a record of every transfer of money between employees of the Authority; such a transfer should be immediately evidenced in writing. The receiving officer must sign for the transfer and the transferor must retain a copy.
- D.37 To recommend to the Section 73 Officer all debts to be written off and to keep a record of all sums written off up to the approved limit. Once raised, no bona fide debt may be cancelled, except by full payment or by its formal writing off. A credit note to replace a debt can only be issued to correct a factual inaccuracy or administrative error in the calculation and/or billing of the original debt.
- D.38 To obtain the approval of the Section 73 Officer when writing off debts, in accordance with the provisions of the officers' scheme of delegation, and the approval of the Authority where required.
- D.39 To ensure that the existence of any sums advanced as change monies by the Section 73 Officer are periodically verified by an independent officer.
- D.40 To ensure that levels of income received are compared to budgeted figures of income due on a regular basis and that differences are promptly investigated. Where a decision is made by a Director to offer services at a discount (for example, to increase demand), the 'discount' / reduced income will be borne by the service area. In making such decisions, the Director must have regard to the overall income targets set for the service area.
- D.41 To obtain the advice of the Section 73 Officer on any agreements which provide for variable income and the approval of the Section 73 Officer for arrangements to pay by instalments.
- D.42 To ensure, wherever possible and practical, that income is collected in advance of a service or where this is not possible by an official invoice.
- D.43 To ensure that grant claims requiring certification in the name of the Section 73 Officer are submitted for approval to the Section 73 Officer on a timely basis.
- D.44 To ensure that any donations made to the Authority are receipted and banked in accordance with the procedures set out above and charged against an appropriate income code in the Authority's accounts.

Ordering and paying for work, goods and services

Why is this important?

D.45 Public money should be spent with demonstrable probity and in accordance with the Authority's policies. The Authority has a statutory duty to achieve best value in part through economy and efficiency. The Authority's procedures should help to ensure that services obtain value for money from their purchasing arrangements. These procedures should be read in conjunction with the Authority's standing orders with respect to contracts.

General

D.46 Every officer and member of the Authority has a responsibility to declare any links, relationships, or personal interests that they may have with purchasers, suppliers and/or contractors if they are engaged in contractual or purchasing decisions on behalf of the Authority, in accordance with the Authority's codes of conduct and section 117 of the Local Government Act 1972.

D.47 Official orders must be in a form approved by the Section 73 Officer. In most cases goods should be procured through the electronic ordering system, an electronic order raised on that system.

D.48 The normal method of payment from the Authority shall be by BACs transmission or cheque, drawn on the Authority's bank account by the Section 73 Officer. The use of direct debit shall require the prior agreement of the Section 73 Officer.

D.49 Official orders must not be raised for any personal or private purchases, nor must personal or private use be made of Authority contracts. Staff involved in ordering or otherwise committing expenditure must ensure that there is budgetary provision before an order is placed, and that standing orders with respect to contracts are complied with.

Key controls

D.50 The key controls for ordering and paying for work, goods and services are:

(a) all goods and services are ordered only by appropriate persons, as detailed on departmental authorised signatory lists, and are correctly recorded on official order forms,

(b) goods and services received are checked to ensure they are in accordance with the order,

(c) payments are not made unless goods / services have been received by the Authority at the correct price, quantity, and quality standards,

(d) all payments are made to the correct person/body, for the correct amount and are properly recorded, regardless of the payment method,

(e) all payments should be made in £ sterling, if a contract / service is required to be paid in any other currency approval must be sought via the Section 73 Officer any commitment is made,

(f) all appropriate evidence of the transaction and payment documents are retained and stored for the periods stated within the Records Management Policy,

(g) all expenditure, including VAT, is accurately recorded against the correct budget, and

(h) in addition, the effect of e-business/e-commerce and electronic purchasing requires that processes are in place to maintain the security and integrity of data for transacting business electronically.

Responsibilities of the Section 73 Officer

- D.51 To ensure that all the Authority's financial systems and procedures are sound and properly administered.
- D.52 To approve any changes to existing financial systems and to approve any new systems before they are introduced.
- D.53 To approve the form of official orders (both hard copy and electronic).
- D.54 To make payments from the Authority's funds on the Director's authorisation that the expenditure has been duly incurred in accordance with financial regulations.
- D.55 To make payments, whether provision exists within the estimates, where the payment is specifically required by statute or is made under a court order.
- D.56 To make payments to contractors on the certificate of the appropriate Directors, which must include details of the value of work, retention money, amounts previously certified and amounts now certified.
- D.57 To provide advice on making payments by the most economical means.
- D.58 To ensure that a budgetary control system is established that enables commitments incurred by placing orders to be shown against the appropriate budget allocation so that they can be taken into account in budget monitoring reports.

Responsibilities of Directors

- D.59 To ensure that contractual terms and conditions for the supply of goods and services are in the Authority's best interests.
- D.60 To ensure that unique pre-numbered official hard copy orders, or, in the case of the electronic procurement system, official electronic orders, are used for all goods and services, other than in the case of exceptions such controlled stationery must be securely administered. Orders must be raised as soon as is practicable and fully completed, especially regarding the price agreed for the items or services. Only in emergency situations can an order be raised after receipt of an invoice, and the order should then be clearly marked 'confirmation only'.
- D.61 To ensure that orders are only used for goods and services provided to the department; to ensure that adequate systems are in place to prevent the use of official orders by individuals to obtain goods or services for their private use.
- D.62 To ensure that only authorised staff as recorded on the departmental authorised signatory list, authorise orders; and to ensure that the authorised signatory list is kept up to date, includes specimen signatures and initials and identifies in each case the limits of each authorised signatory's authority. Directors should ensure that those authorised signatories committing the department to expenditure are aware of their responsibilities and are satisfied that goods and services ordered are appropriate and needed, that there is adequate budgetary provision and that

quotations or tenders have been obtained in accordance with standing orders with respect to contracts. Best value principles should underpin the Authority's approach to procurement. Value for money should always be achieved.

- D.63 To ensure that goods and services are checked on receipt to verify that they are in accordance with the order and of sufficient quality and quantity. This check should, where possible, be carried out by a different officer to the person who authorised the order. Appropriate entries should then be made in inventories or stores records.
- D.64 To ensure that payment is not made unless a proper VAT invoice has been received, checked, coded, and certified for payment, confirming:
- (a) receipt of goods or services,
 - (b) that the invoice has not previously been paid,
 - (c) that expenditure has been properly incurred and is within budget provision,
 - (d) that prices and arithmetic are correct and accord with quotations, tenders, contracts, or catalogue prices,
 - (e) correct accounting treatment of tax,
 - (f) that the invoice is correctly coded,
 - (g) that discounts have been taken where available, and
 - (h) that appropriate entries will be made in accounting records and stores / inventories records.
- D.65 To ensure that two authorised members of staff are involved in the ordering, receiving and payment process. If possible, a different officer from the person who approved the order, and in every case, a different officer from the person checking a written invoice, should authorise the invoice.
- D.66 To ensure that the department maintains and reviews periodically a list of staff approved to authorise invoices. Names of authorising officers together with specimen signatures and details of the limits of their authority shall be forwarded to the Section 73 Officer.
- D.67 To ensure that payments are not made on a photocopied invoice, statement or document other than the formal invoice, except where the requirements relating to faxed invoices (see below) are met. Payment should not be made on a photocopied invoice, as this may affect the Authority's ability to reclaim VAT. Where the original invoice has not reached the Authority for whatever reason, an official duplicate invoice (not a photocopy) should be requested from the supplier. Emailed invoices from a supplier, where the supplier's name and email address are shown are sufficient. Checks must be performed to ensure that any invoices have not previously been paid.
- D.68 To encourage suppliers of goods and services to receive payment by the most economical means for the Authority. It is essential, however, that payments made by direct debit have the prior approval of the Section 73 Officer.

- D.69 To ensure that the department obtains best value from purchases by taking appropriate steps to obtain competitive prices for goods and services of the appropriate quality.
- D.70 To ensure that standing orders with respect to contracts are explicitly complied with.
- D.71 To ensure that employees are aware of codes of conduct and the requirements to declare any personal or pecuniary interests.
- D.72 To ensure that loans, leasing, or rental arrangements are not entered into without prior agreement from the Section 73 Officer. This is because of the potential impact on the Authority's borrowing powers, to protect the Authority against entering unapproved credit arrangements and to ensure that value for money is being obtained.
- D.73 To notify the Section 73 Officer of any outstanding expenditure relating to the concluding financial year in line with the timetable determined by the Section 73 Officer.
- D.74 With regard to contracts for construction and alterations to buildings and for civil engineering works, to document and agree with the Section 73 Officer the systems and procedures to be adopted in relation to financial aspects, including certification of interim and final payments, checking, recording, and authorising payments, the system for monitoring and controlling capital schemes and the procedures for validation of subcontractors' tax status.
- D.75 To notify the Section 73 Officer immediately of any expenditure to be incurred because of statute/court order where there is no budgetary provision.
- D.76 To adhere to the requirements of the Late Payment of Commercial Debts (Interest) Act 1998. Invoices subject to prompt payment shall be passed in sufficient time to enable discounts to be claimed; where credit terms are not stated, invoices should normally be paid within 30 days.
- D.77 To ensure, that where grants can be claimed on expenditure incurred, the appropriate grant conditions are known and arrangements are in place to ensure that payments meet these conditions regarding types of expenditure, payment dates etc.

Payments to employees and Members

Why is this important?

- D.78 Staff costs are a material item of expenditure for the Authority. It is therefore important that payments are accurate, timely, made only where they are due for services to the Authority and that payments accord with individuals' conditions of employment. It is also important that all payments are accurately and completely recorded and accounted for and that Members' allowances are authorised in accordance with the scheme adopted by the Authority.

Key controls

- D.79 The key controls for payments to employees and Members are:

- (a) proper authorisation procedures are in place and that there is adherence to corporate timetables in relation to:
- starters
 - leavers
 - variations
 - enhancements
 - other expenses (e.g. relocation expenses) and that payments are made on the basis of timesheets or claims,
- (b) frequent reconciliation of payroll expenditure against approved budget and bank account,
- (c) all appropriate payroll documents are retained and stored for the defined period detailed in the Records management Policy, and
- (d) that HM Revenue & Customs regulations are complied with.

Responsibilities of the Section 73 Officer

- D.80 To arrange, control and secure reliable payment of salaries, wages, compensation, or other emoluments to existing and former employees, in accordance with procedures prescribed by him or her, on the due date.
- D.81 To record and make arrangements for the accurate and timely payment of tax, superannuation and other deductions.
- D.82 To make arrangements for payment of all travel and subsistence claims.
- D.83 To make arrangements for paying Members travel or other allowances upon receiving the prescribed form, duly completed and authorised.
- D.84 To provide advice and encouragement to secure payment of salaries and wages by the most economical means.
- D.85 To ensure that there are adequate arrangements for administering superannuation matters on a day-to-day basis.
- D.86 To approve, in accordance with guidelines agreed with the Monitoring Officer, the making of ex gratia payments including the setting of limits that will apply.

Responsibilities of Directors

- D.87 To ensure appointments are made in accordance with the regulations of the Authority and approved establishments, grades and scale of pay and that adequate budget provision is available.
- D.88 To notify the Section 73 Officer of all appointments, terminations or variations which may affect the pay or pension of an employee or former employee, in the form and to the timescale required by the Section 73 Officer.
- D.89 To ensure that adequate and effective systems and procedures are operated, so that:

- payments are only authorised to bona fide employees,
 - payments are only made where there is a valid entitlement,
 - conditions and contracts of employment are correctly applied, and
 - employees' names listed on the payroll are checked at regular intervals to verify accuracy and completeness.
- D.90 To send an up-to-date list of the names of officers authorised to sign records to the Section 73 Officer, together with specimen signatures.
- D.91 To ensure that payroll transactions are processed only through the Payroll System. Directors should consider the employment status of individuals employed on a self-employed consultant or subcontract basis. HM Revenue & Customs applies a tight definition for employee status, and in cases of doubt, advice should be sought from the Section 73 Officer.
- D.92 To certify travel and subsistence claims and other allowances. Certification is taken to mean that journeys were authorised, and expenses properly and necessarily incurred, and that allowances are properly payable by the Authority, ensuring that cost-effective use of travel arrangements is achieved. Claims submitted must provide sufficient information to allow such certification to take place. Due consideration should be given to tax implications and that the Section 73 Officer is informed of such implications where appropriate.
- D.93 To ensure that the Section 73 Officer is notified of the details of any employee benefits in kind, to enable full and complete reporting within the income tax self-assessment system.
- D.94 To ensure that all appropriate payroll documents are retained and stored for the defined period in accordance with the Records Management Strategy.
- D.95 To ensure that receipts are provided for expenditure claimed wherever possible, as required by HM Revenue & Customs.
- D.96 To ensure that employees' travel and subsistence claims are usually submitted monthly. At the discretion of the Director, however, subsistence claims of less than 50 miles per month may be held by the employee and submitted on a quarterly basis, provided that the certifying officer is still able to check the claims properly. Claims over 3 months old must be certified by the Director. All claims in respect of a financial year must however be submitted no later than one month following 31 March in any year.
- D.97 To ensure that all timesheets or other pay documents are in a form prescribed or approved by the Section 73 Officer and shall be duly certified by a nominated officer.
- D.98 To maintain a personal record file for each employee within the approved establishment, containing a copy of the employee's contract of employment together with sufficient information to identify service, salary scale and current amount payable, sickness leave taken and annual leave due and taken.
- D.99 On a regular basis each Director shall be provided by the Section 73 Officer with a list of staff currently being paid by the Authority within his or her department, and the rate at which each is currently being paid. The Director shall certify that every name on the list is a bona fide employee of the department and that the rate of

payment to the employee is correct. Any discrepancies discovered should be communicated immediately to the Section 73 Officer and the Head of Audit and Assurance.

Responsibilities of Members

- D.100 To submit claims for Members' travel and subsistence allowances monthly. Where claims are for values of less than £25, these may be held by the member and submitted at a future date when the aggregated claim exceeds this value. Claims in respect of a financial year must however be submitted within one month of the year end.

TAXATION

Why is this important?

- D.101 Like all organisations, the Authority is responsible for ensuring its tax affairs are in order. Tax issues are often very complex and the penalties for incorrectly accounting for tax are severe. It is therefore very important for all officers to be aware of their role.

Key controls

- D.102 The key controls for taxation are:

- (a) budget managers are provided with relevant information and kept up to date on tax issues,
- (b) budget managers are instructed on required record keeping,
- (c) all taxable transactions are identified, properly carried out and accounted for within stipulated timescales,
- (d) records are maintained in accordance with instructions, and
- (e) returns are made to the appropriate authorities within the stipulated timescale.

Responsibilities of Section 73 Officer

- D.103 To complete all HM Revenue & Customs returns regarding PAYE.
- D.104 To complete a monthly return of VAT inputs and outputs to HM Revenue & Customs.
- D.105 To provide details to HM Revenue & Customs regarding the construction industry tax deduction scheme.
- D.106 To maintain up to date guidance for Authority employees on taxation issues, including VAT.

Responsibilities of Directors

- D.107 To ensure that the correct VAT liability is attached to all income due and that all VAT recoverable on purchases complies with HM Revenue & Customs regulations.

- D.108 To ensure that, where construction and maintenance works are undertaken, the contractor fulfils the necessary construction industry tax deduction requirements.
- D.109 To ensure that all persons employed by the Authority are added to the Authority's payroll and tax deducted from any payments, except where the individuals are bona fide self-employed or are employed by a recognised staff agency.
- D.110 To follow guidance on taxation issued by the Section 73 Officer.

TRADING ACCOUNTS AND BUSINESS UNITS

Why is this important?

- D.111 Under best value, authorities are required to keep trading accounts for services provided on a basis other than straightforward recharge of cost.

Responsibilities of the Section 73 Officer

- D.112 To advise on the establishment and operation of trading accounts and business units.

Responsibilities of Directors

- D.113 To consult with the Section 73 Officer where a business unit wishes to enter a contract with a third party where the contract expiry date exceeds the remaining life of their main contract with the Authority. In general, such contracts should not be entered into unless they can be terminated within the main contract period without penalty.
- D.114 To observe all statutory requirements in relation to business units, including the maintenance of a separate revenue account to which all relevant income is credited and all relevant expenditure, including overhead costs, is charged, and to produce an annual report in support of the final accounts.
- D.115 To ensure that the same accounting principles are applied in relation to trading accounts as for other services or business units.
- D.116 To ensure that each business unit prepares an annual business plan.

Financial Procedure Rules: External Funding

EXTERNAL FUNDING

Why is this important?

- E.1 External funding is an important source of income, but funding conditions need to be carefully considered to ensure that they are compatible with the aims and objectives of the Authority.

Key controls

- E.2 The key controls for external funding are:
- (a) to ensure that key conditions of funding and any statutory requirements are complied with and that the responsibilities of the accountable body are clearly understood,
 - (b) to ensure that funds are acquired only to meet the priorities approved in the policy framework by the Authority,
 - (c) to ensure that any match-funding requirements are given due consideration prior to entering into long-term agreements and that future revenue budgets reflect these requirements.
 - (d) ensure sufficient capacity is available to deliver the project the funding has been sourced for.

Responsibilities of the Section 73 Officer

- E.3 To ensure that all funding notified by external bodies is received and properly recorded in the Authority's accounts.
- E.4 To ensure that the match-funding requirements are considered prior to entering into the agreements and that future revenue budgets reflect these requirements.
- E.5 To ensure that audit requirements are met.

Responsibilities of Directors

- E.6 To ensure that all claims for funds are made by the due date and signed by the appropriate signatory.
- E.7 To ensure that the project progresses in accordance with the agreed project plan and that all expenditure is properly incurred and recorded.
- E.8 To nominate a named responsible senior officer to be accountable for the performance and financial monitoring of each project, and to ensure that where external/grant funding is received this is recorded formally into the general ledger system.

- E.9 To ensure that written approval is obtained from the funder which clearly shows the approved allocation, the purpose of the grant and the financial period to which it relates.
- E.10 To ensure that project named responsible officers check, prior to submission of a grant claim, that all expenditure declared is eligible in accordance with the relevant funder's criteria. Should there be any uncertainty as to the purpose of such funding, the responsible officer should make such enquiries as are necessary to the funder to ensure the proper use of grant.
- E.11 To ensure that any guidance issued by the Section 73 Officer on receipt of funds from a third party (i.e. matched funding) in grant submission is adhered to.
- E.12 To ensure that grant claim working papers are maintained in a form agreed by the Section 73 Officer.
- E.13 To ensure that the way external funding is managed is in accordance with the Authority's policy and instructions, standing orders with respect to contracts and financial regulations in addition to the funder's own requirements.
- E.14 To ensure that where the use of external funding for projects requires a financial commitment from the Authority for which budget provision is not available, or where the acceptance of external funding would lead to a financial commitment beyond the current year, the Director in conjunction with the Section 73 Officer shall provide a written report to Authority giving a full appraisal of the financial implications both in the current year and beyond. The approval of the Authority must be secured before the Director commits the Authority to any agreement.
- E.15 To ensure that where additional financial support is to be sought from other agencies, this is subject to the proper decision-making processes of the Authority, as set out in the budget and policy framework, in order to ensure that there is a clear understanding of the action to be taken and clear lines of responsibility and accountability.

Financial Procedure Rules: Certifying Officers Authorisation Limits

Responsibilities

- F.1 Responsibilities are set out in the Authority's Financial Regulations and Procedure Rules.
- F.2 It is the responsibility of the Section 73 Officer to issue advice, guidance, and procedures.
- F.3 It is the responsibility of Directors to:
- (a) establish a schedule of authorised signatories, identifying officers authorised to act on the Director's behalf in respect of payments, income collection and placing orders, including variations, and detailing the limits of their authority
 - (a) supply the schedule of authorised signatories, with specimen signatures and delegated limits, to the Section 73 Officer together with any subsequent variations.
- F.4 The list of authorised signatories with their individual financial limits is maintained by the Section 73 Officer.

Principles applying to delegated limits

- F.5 Authority limits should be set at the lowest practical level, taking account of the typical value and incidence of individual transactions.
- F.6 Individuals should be authorised to commit the Authority only in those areas where they have sufficient knowledge and responsibility to do so.
- F.7 Whilst the limits below are for guidance, higher limits should only be authorised in exceptional circumstances and will require the approval of the Section 73 Officer officers.
- F.8 The Head of Paid Service / Directors must approve all delegated authorities.

Limits for Authorising Expenditure

- F.9 The limits for raising orders, authorising expenditure on contract and certifying invoices/payment vouchers are as set out below.

Scheme of Delegation Role	Authorisation Limit
Executive	Unlimited
Director	£2,000,000
Service Head / Assistant Director	£500,000
Service Manager	£150,000
All other level	£10,000

Bank Signatories

- F.10 The Section 73 Officer maintains a list of bank/cheque signatories.
- F.11 All cheques / BACS / CHAPS payments over £50,000 require two signatures.
- F.12 The following payments are authorised to be paid and are not subject to the limits detailed above:
- (a) Treasury transactions (refer to Treasury Management Procedures)
 - (b) HM Revenues & Customs (PAYE, National Insurance, VAT)
 - (c) Payments to Pension Fund in respect of employee and employer contributions

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2.8 Recruitment and appointment procedure for Economic Advisory Panel

[TBA]

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PART 5 – Protocols and Ethical Standards

5.1 The Greater Lincolnshire Combined County Authority Protocol for the Exercise of Concurrent Functions and Associated Statutory Consents

Parties

1. **THE GREATER LINCOLNSHIRE COMBINED COUNTY AUTHORITY**, of [insert address here] (“Combined County Authority”).
2. **LINCOLNSHIRE COUNTY COUNCIL**, of County Offices, Newland, Lincoln, LN1 1YL.
3. **NORTH LINCOLNSHIRE COUNCIL**, of Church Square House, 30-40 High Street, Scunthorpe, North Lincolnshire, DN15 6NL.
4. **NORTH EAST LINCOLNSHIRE COUNCIL**, of Municipal Offices, Town Hall Square, Grimsby, North East Lincolnshire, DN31 1HU.

Each a **party** together the **parties**, and the parties (2) to (4) above collectively the “**Constituent Councils**” of the Combined County Authority.

1. Background and Introduction

- 1.1 The Greater Lincolnshire Combined County Authority Regulations 2025 made on [insert date] (“the 2025 Regulations”) provide for:
 - the election of a mayor for the area of the Combined County Authority (“Mayor”) from May 2025,
 - the following functions to be conferred on the Combined County Authority:
 - functions of Homes England relating to housing and regeneration (to be exercised concurrently with Homes England),
 - functions in relation to the designation of a Mayoral Development Area (MDA) and establishing a Mayoral Development Corporation (to be exercised by the Mayor),
 - functions in relation to local passenger transport services including grants to bus service operators,
 - Power to pay grants (exercisable concurrently with a Minister of the Crown).
 - functions in relation to Business Rates Supplements (to be exercised by the Mayor),
 - functions of the Constituent Councils to be exercised concurrently by the Combined County Authority relating to:
 - housing, regeneration and planning, and
 - transport (including in relation to highways functions: permit schemes and civil enforcement of road traffic contraventions; and in relation to local transport functions: bus ticketing schemes and concessions, and workplace parking levy licensing schemes).
 - the provision for protection or improvement of public health

Concurrent Functions

- 12 The tables of functions in **Part 3** of the Constitution sets out each function (that is, power or duty) of the Combined County Authority (including a function exercisable by the Mayor) conferred by the 2025 Regulations. This table includes detail of whether functions are exercisable concurrently with the Constituent Councils (a “Concurrent Function”) and whether that concurrency is continuing or available for the duration of the transition period (“a Transitional Concurrent Function”).
- 13 Under the 2025 Regulations, if there is:
- no transfer of any Concurrent Function to the Combined County Authority from any Constituent Council; each Constituent Council may continue to exercise any Concurrent Function in relation to its area,
 - no requirement for the joint exercise of any Concurrent Function by the Combined County Authority with Constituent Councils – that is, that they are not required to act together, and
 - no requirement for a Constituent Council to involve, consult or seek the consent of the Combined County Authority in relation to the exercise of any Concurrent Function by a Constituent Council.
- 14 That is, each Constituent Council may continue to exercise any Concurrent Function within their area, and in the exercise of any Concurrent Function no Constituent Council is subject to any restriction or condition imposed by the 2025 Regulations.
- 15 For the duration of the Transition Period, a Transitional Concurrent Function, the statements set out at 1.3 and 1.4 are applicable. It is envisaged that the exercise of Transitional Concurrent Functions by the Combined County Authority and the Constituent Councils will be governed by an Inter-Authority Agreement which will set out the detailed position in relation to the transition of transport functions to the CCA.

Statutory Consents

- 16 The 2025 Regulations provide that the Combined County Authority’s exercise of specified functions is subject to a consent provision, (“Statutory Consent”), to safeguard the Constituent Councils’ role in local decision-making and delivery.

Aim of this Protocol

- 17 The aim of this protocol is to promote:
- **co-operation** and **collaboration** between the Combined County Authority and the Constituent Councils in a spirit of partnership,
 - **transparency** of roles and processes to engender mutual trust and confidence, and
 - the **best use of resources** through co-ordination and reducing duplication between the parties.
- 18 The Combined County Authority and Constituent Councils have agreed to follow this protocol when exercising any Concurrent Function, and in relation to any Statutory Consent.
- 19 The Combined County Authority is committed to on-going engagement with Constituent and Non Constituent Councils about all aspects of its work. This includes engagement about how the Combined County Authority exercises its functions. Any timescales set out in this protocol therefore should be regarded as a minimum; there should be additional lead-in time in relation to the development of any projects or schemes involving the possible exercise of any Concurrent Function.

Miscellaneous

1. 10 For the functions of the constituent councils in section 69 of the Local Democracy, Economic Development and Construction Act 2009 (Duty to prepare an assessment of economic conditions)), the 2025 Regulations provide that a Constituent Council’s duty to exercise the Concurrent Function is met when the Combined County Authority carries it out. This means that provided the Combined County Authority performs the duty, the Constituent Councils will not be in breach of their statutory duty if they do not do so.

- 1.11 The 2025 Regulations provide for a Statutory Consent in relation to some functions of the Combined County Authority which are to be exercised by the Mayor, including the power to acquire land for housing development under section 17(3) of the Housing Act 1985, which is a Concurrent Function. It is intended that this protocol shall extend to the Mayor once they are in office in relation to the exercise of these functions.
- 1.12 It is envisaged that in any matters relevant to a Mayoral Development Corporation or any other like body, the principles of this protocol shall be applied.
- 1.13 Where the Combined County Authority and any relevant Constituent Council reasonably consider that the nature and scale of the exercise of any Concurrent Function is of a complex, sensitive or significant nature, then the Combined County Authority and Constituent Council may agree a bespoke protocol to govern the way the Combined County Authority exercises that Concurrent Function. In particular, it is anticipated that for the purpose of concurrency of transport functions, an Inter Authority Agreement may be agreed between the Constituent Councils and the Combined County Authority to govern the use and transition of functions in the transition period.
- 1.14 This protocol does not itself constitute an arrangement for the discharge of functions made in accordance with section 101 of the Local Government Act 1972 and/or the Local Authorities (Arrangements for the Discharge of Functions) (England) Regulations 2012. Any such arrangement may be made by separate agreement between relevant parties.
- 1.15 This protocol does not address the **scrutiny** of the Combined County Authority in relation to how it exercises any Concurrent Function, which will be subject to separate arrangements.

2. Concurrent Functions – Underlying Principles

- 21 This protocol sets out how the Combined County Authority and each Constituent Council intend to **work together** to secure that Concurrent Functions are exercised in the best interests of the inhabitants of their areas and for their mutual benefit. The Combined County Authority and each Constituent Council acknowledge that, by law, a Concurrent Function may be exercised by the Combined County Authority or a Constituent Council acting alone (subject to any Statutory Consent requirement).
- 22 The Combined County Authority will **consult** Constituent Councils about the exercise of any Concurrent Function in accordance with paragraph 3 below.
- 23 The Combined County Authority will exercise any Concurrent Function **reasonably** and after **taking all relevant factors or considerations into account**, including how any Constituent Council is exercising or proposes to exercise the Concurrent Function and the potential effect of a decision on any Constituent Council. In exercising any Concurrent Function, the Combined County Authority will comply with the public sector equality duty under section 149 of the Equality Act 2010.
- 24 The Combined County Authority will so far as reasonably practicable exercise any Concurrent Function in such a way as to be **compatible** with and **complementary** to the exercise of the Concurrent Function by any Constituent Council.
- 25 Subject to each party complying with requirements relating to data protection and the law of confidentiality, the Combined County Authority and each Constituent Council agree to **share any information** as reasonably requested by any other party, to facilitate their exercise or proposed exercise of any Concurrent Function.
- 26 The parties will consult with each other before **approving, varying or revoking any strategy or plan** which is likely to determine or significantly affect how any Concurrent Function is exercised by the Combined County Authority or any Constituent Council.
- 27 The Combined County Authority will so far as reasonably practicable seek to develop and agree with each Constituent Council a common and consistent approach to any **monitoring arrangements** relating to any Concurrent Function exercised by the Combined County Authority.

28 The Combined County Authority will so far as reasonably practicable seek to develop and share **best practice** with each Constituent Council in relation to the exercise of any Concurrent Function exercised by the Combined County Authority.

29 It is anticipated that the areas in which it is anticipated that the Combined County Authority will exercise concurrent functions will be identified early as part of the decision making processes. This will enable early engagement and discussion with the Constituent Councils before the formal consultation stage under this protocol.

3. Concurrent Functions: Consultation with Constituent Councils

31 The Combined County Authority will consult the Constituent Councils about any proposal by the Combined County Authority to exercise any Concurrent Function, except where the Constituent Councils have agreed that no consultation is required.

32 The Chief Executive of the Combined County Authority will also notify the relevant Constituent Council Chief Executive (or their nominee) of any proposal to exercise a Concurrent Function which would require a Key Decision by the Combined County Authority as soon as practicable, and in any event before any Key Decision notice is published by the Combined County Authority in relation to exercising the Concurrent Function, and unless the Constituent Council Chief Executive (or their nominee) agrees that no consultation is required, the Combined County Authority will then proceed to consult the relevant Constituent Council in the manner set out in 3.3 and 3.4 below about such proposal.

33 The Chief Executive will consult the Chief Executive (or their nominee) of any relevant Constituent Council as soon as reasonably practicable about the proposed exercise of any Concurrent Function, including the commencement date/projected timescales and the manner in which it is to be exercised

34 Such consultation shall be fair and carried out with adequate notice for responses which must be conscientiously considered by the Combined County Authority with a view to reaching agreement on the exercise of the Concurrent Function.

4. Statutory Consents: Procedure

41 There are two ways in which the 2025 Regulations require consent relating to the Constituent Councils. These are either:

- The consent of the lead member of a Constituent Council, or
- The consent of the Constituent Council

42 The 2025 Regulations also provide for circumstances in which the consent of a district, city or borough council Authority are required.

43 The 2025 Regulations provide for any **Statutory Consent** of lead members **to be given at a meeting of the Combined County Authority**. The request for any consent will therefore be set out in a report to be considered at a meeting of a Combined County Authority, and any consent will be duly recorded in the minutes of the meeting.

44 Where Statutory Consent is required from a Constituent Council, the Combined County Authority will seek that Statutory Consent **in a timely way**. To facilitate this, and to promote transparency, a notice of the request for Statutory Consent (Statutory Consent Request Notice) should be published on the Combined County Authority's Forward Plan at least 28 clear days before the Combined County Authority meeting at which it is sought, subject to this requirement being waived in exceptional circumstances by any relevant Chief Executive.

45 To further facilitate the appropriate and timely briefing by the Chief Executive (or their nominee) of the member of the Combined County Authority who may provide a Statutory Consent, the Combined County Authority's Chief Executive will **notify the Chief Executive** of each relevant Constituent

Council (or their nominee) as soon as reasonably practicable of any proposal to seek a Statutory Consent, and at the latest when the Statutory Consent Request Notice is published. The Combined County Authority will provide the Constituent Council Chief Executive with details about the proposed exercise of the function, including the commencement date/projected timescales and the manner in which it is to be exercised.

46 In relation to any transport-related function in respect of which a Statutory Consent is required, the Combined County Authority agrees that this is subject to the Combined County Authority and the Constituent Councils agreeing a **Key Route Network** in respect of which the function is to be exercised.

47 Where Statutory Consent is required from a district or borough council the Combined County Authority will seek that Statutory Consent in a timely way. To facilitate this, the Combined County Authority will engage as soon as reasonably possible with the relevant council. A notice of the request for Statutory Consent (Statutory Consent Request Notice) shall be published on the Combined County Authority's Forward Plan at least 28 clear days before the Combined County Authority meeting at which it is sought, subject to this requirement being waived in exceptional circumstances by any relevant Chief Executive.

48 To further facilitate the appropriate and timely briefing by the Chief Executive (or their nominee) of the Council who may provide a Statutory Consent, the Combined County Authority's Chief Executive will notify the Chief Executive of the relevant Council as soon as reasonably practicable of any proposal to seek a Statutory Consent, and at the latest when the Statutory Consent Request Notice is published. The Combined County Authority will provide the Chief Executive with details about the proposed exercise of the function, including the commencement date/projected timescales and the manner in which it is to be exercised.

5. Dispute Resolution

51 The Combined County Authority and the Constituent Councils will act at all times in a constructive spirit of mutual cooperation and partnership to resolve disagreements.

52 Any dispute between the Combined County Authority and any Constituent Council about the exercise of a Concurrent Function (whether before or after its exercise) will be referred to the Chief Executive of the Combined County Authority and the Chief Executive of the relevant Constituent Council with a view to resolution.

53 In default of successful resolution between the parties, any dispute will be referred to the Mayor of the Combined County Authority and the Leader of any relevant Constituent Council for resolution, provided always that notwithstanding any recommendations made, any Statutory Consent of any Constituent Council will continue to be required.

6. Review

The Combined County Authority agree to review this protocol **annually**, and before any additional concurrent functions which may be conferred on the Combined County Authority in the future by any other Regulations which are exercisable by the Combined County Authority.

The Combined County Authority and the Constituent Councils may revise this protocol from time to time, provided such **revisions** are **agreed in writing** by the Chief Executive of the Combined County Authority and the Chief Executives of each Constituent Councils.

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5.2 Arrangements for appointment, disqualification, dismissal of Non- Constituent members

1. Background and Introduction

1.1 The Authority may designate a body, other than a Constituent Council, as a nominating body. Such a nominating body must consent to the designation. A nominating body may nominate a representative of that body for appointment by the Combined County Authority as a non- constituent member. The non-constituent members are non-voting members of the Combined County Authority, unless the Combined County Authority resolves otherwise.

1.2 The Greater Lincolnshire Combined County Authority Regulations 2025 permit the Combined County Authority to appoint up to 6 non-constituent and associate members in total.

2. Appointment

2.1 The Combined County Authority will:

- Approve the designation of a nominating body
- Agree the number of nominating bodies that may be designated by the Authority
- Agree the number of non-constituent members that may be nominated by a nominating body of the Combined County Authority

2.2 A nominating body may nominate such representatives of that body for appointment by the Combined County Authority as a non-constituent member as determined by the Combined County Authority.

2.3 A nominating body must nominate a delegate member for each non-constituent member nominated.

2.4 A nominating body may nominate a representative of the nominating body as a representative for appointment to the Combined County Authority.

2.5 Written notice must be served on the Monitoring Officer of the Combined County Authority confirming who the nominating body has agreed to nominate as a representative of that body for appointment by the Combined County Authority as a non-constituent representative.

2.6 The appointment of a non-constituent member or delegate will only take effect when the nomination is approved by the Combined County Authority.

3. Term of Office and Role

3.1 The term of office for a non-constituent member shall be reviewed annually.

3.2 A non-constituent member or delegate shall act as a representative of the nominating body that nominated them.

4. Disqualification

4.1 A person will immediately cease to be a non-constituent member or delegate if they cease to be eligible to be the representative of the nominating body that nominated them

5. Resignation

5.1 A person may resign as a non-constituent member or delegate by written notice served on the Monitoring Officer of the Combined County Authority and the resignation takes effect on receipt of the notice by the Monitoring Officer.

6. Withdrawal of nomination

6.1 A nominating body may at any time terminate or withdraw its nomination of a non-constituent member or delegate nominated by it and nominate another one of its members in that person's place. Written notice shall be served on the Monitoring Officer of the Authority and the termination of membership of the Combined County Authority as a representative or delegate of the nominating body takes effect on receipt of the notice by the Monitoring Officer.

7. Dismissal

7.1 The Authority may dismiss a non-constituent member if they fail throughout a period of six consecutive months to attend any meeting of the Combined County Authority, unless their absence is due to a reason which has previously been approved by the Combined County Authority.

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5.3 Member Code of Conduct

1. Definitions

- 1.1 For the purposes of this Code of Conduct, a “Member” means a member of the Greater Lincolnshire Combined County Authority (“Authority”) including the directly elected Mayor and substitute, delegate and co-opted members. A “co-opted member” is defined in the Localism Act 2011 Section 27(4) as “a person who is not a member of the authority but who
- (a) is a member of any committee or sub-committee of the authority, or;
 - (b) is a member of, and represents the authority on, any joint committee or joint sub-committee of the authority;

and who is entitled to vote on any question that falls to be decided at any meeting of that committee or sub-committee”.

2. General Principles of Member Conduct

- 2.1 Everyone in public office at all levels; all who serve the public or deliver public services, including ministers, civil servants, Members and local authority officers; should uphold the [Seven Principles of Public Life](#), also known as the Nolan Principles. These are set out below:

- (a) **Selflessness** - Holders of public office should act solely in terms of the public interest.
- (b) **Integrity** - Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.
- (c) **Objectivity** - Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
- (d) **Accountability** - Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
- (e) **Openness** - Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.
- (f) **Honesty** - Holders of public office should be truthful.
- (g) **Leadership** - Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

- 2.2 The Authority has adopted this Code of Conduct setting out the expected behaviours required of its members, acknowledging that they have a shared commitment to representing the community and working constructively and in a spirit of mutual respect and co-operation with each other, Authority officers and partner organisations to secure better social, economic and environmental outcomes for all.

- 2.3 As the Nolan Principles are the standards expected of all in public life the Code is closely based on but not identical to the Nolan Principles. In particular compliance with the Code does not in itself guarantee that member conduct is consistent with the Nolan Principles. The Code does not therefore detract from the need for members always to have regard to the Principles in guiding their conduct.

3. Application of the Code of Conduct

- 3.1 In accordance with the Localism Act provisions, when acting in their capacity as Members, all Members must be committed to behaving in a manner that complies with the following Code.
- (a) **Selflessness** - Members must act solely in terms of the public interest. This means they must not act in order to gain financial or other material benefits for themselves, their family, or their friends. They must not use their position improperly to confer an advantage or disadvantage on any person.

- (b) **Integrity** - Members must not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties. Members must comply with the Gifts and Hospitality Protocol of the Authority.
- (c) **Objectivity** - In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, Members must make choices on merit.
- (d) **Accountability** - Members are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office. This means Members will co-operate with the Monitoring Officer or Local Hearing Panel in the course of consideration, investigation or determination of any complaint brought under this Code of Conduct.
- (e) **Openness** - Members must act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for doing so.
A Member must not, without the consent of the Council or as required by law, disclose information which is:
 - Contained within an exempt or confidential report within the meaning of the Local Government Act 1972; or
 - Which is otherwise confidential to the Council or shared with the Member under conditions of confidentiality
 Members must not disclose any information given to them under conditions of confidentiality by any other person except to the extent that such a disclosure is permitted by law – e.g. due to overriding public interest.
- (f) **Honesty** - Members have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest. This means Members will comply with the law relating to disclosable pecuniary interests. Members should be aware that the requirement to resolve conflicts arising in a way that protects the public interest may on occasion require them to disclose interests other than disclosable pecuniary interests and to take no part in debates or votes which engage those interests.
- (g) **Respect** - Members must at all times show respect to each other, staff and members of the public and engage with them in an appropriate manner and one that underpins the mutual respect that is essential to good local government. Members may not always agree with the political views of their member colleagues, but they respect the right for those views to be held. This means in particular that Members will not bully or harass any person. This means, for example, that they will not:
 - use offensive intimidating malicious or insulting behaviour or abuse or misuse power to undermine, humiliate, criticise unfairly or injure any person; or
 - be guilty of unwanted conduct which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for an individual.
- (h) **Leadership** - Members promote and support these principles by leadership and example.

3.2 **Social Media** - Members promote and support these principles by leadership and example.

3.3 **Disclosable Pecuniary Interests** - The Localism Act 2011 further provides for registration and disclosure of interests and in Lincolnshire County Council this will be done as follows:

On taking up office a member or added member must, within 28 days of becoming such, notify the Monitoring Officer of any 'disclosable pecuniary interests', as prescribed by the Secretary of State.

On re-election or re-appointments, a member or added member must, within 28 days, notify the Monitoring Officer as if for the first time of any 'disclosable pecuniary interests' whether or not such 'disclosable pecuniary interests' were already included in his or her previous register of interests.

If a member or added member is aware that they have a 'disclosable pecuniary interest' in a matter they must not participate in any discussion or vote on the matter at a meeting and if present at the

meeting must leave the room during discussion of the matter.

If a member or added member is aware of a 'disclosable pecuniary interest' in a matter under consideration at a meeting but such an interest is not already on the Council's register of interests or in the process of entry onto the register having been notified to the Monitoring Officer, the member or added member must disclose the 'disclosable pecuniary interest' to the meeting and register it within 28 days of the meeting at which it was first disclosed.

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5.4 Officer Code of Conduct

1. Introduction

- 1.1 As an officer of the Greater Lincolnshire Combined County Authority you must have regard to the following principles – selflessness, integrity, objectivity, accountability, openness, honesty and leadership - in your conduct at all times. These are known as the ‘Nolan principles’.

2. Policy Purpose

- 2.1 The public are entitled to expect the highest standards of conduct from all officers. The role of officers is to serve the Combined County Authority in providing advice, implementing its policies and delivering services to the local community. In performing their duties, they must act with integrity, honesty, impartiality and objectivity. This document sets out the standards expected of all the Combined County Authority’s officers. Guidance in relation to the acceptance of gifts and / or hospitality by officers, is detailed in the Gifts and Hospitality Policy which forms part of the Code of Conduct.

3. Objectives of the Code

- 3.1 This code of conduct should:
- provide officers of the Combined County Authority with an effective ethical framework within which to work; and give the public confidence that the Combined County Authority’s officers are working on their behalf in an appropriate manner; and
 - provide guidance to officers on the possible consequences of breaches of this code.

4. Responsibilities

4.1 Officers of the Combined County Authority

The Combined County Authority expects all officers to be accountable for their actions and to act in accordance with the principles set out in this Code, recognising the duty of all public sector officers to discharge public functions reasonably and according to the law.

4.2 Line Manager

The role of the manager is to provide support and advice to officers to ensure that the principles of the Code are applied consistently.

4.3 Human Resources (HR)

The role of HR is to provide support and advice to managers and officers to ensure that the principles of the Code are applied consistently.

4.4 Monitoring Officer

The role of the Monitoring Officer is:-

- to review entries in the registers of personal and prejudicial interests and give advice to officers in relation to any implications;
- to advise officers in relation to the application of this Policy, if requested; and
- to maintain the register of officers’ personal and prejudicial interests confidentially and in accordance with relevant legislation.

5. Political Neutrality

- 5.1 The Combined County Authority expects officers to follow policy/procedure of the Combined County Authority and not to allow their own personal or political opinions to interfere with their work. Where officers are politically restricted, by reason of the post they hold or the nature of the work they do, they must comply with those restrictions.

6. Personal Relationships with Members of the Combined County Authority (Members), the Public and Other Officers

- 6.1 Mutual respect between officers and members is essential to good working relationships at the Combined County Authority and each should handle work matters on a professional basis. Officers of the Combined County Authority should deal with the public, Members, and other officers sympathetically, efficiently and without bias. The Combined County Authority endeavours to avoid a situation where officers are either directly managed by, or responsible for, the recruitment and selection of someone with whom they have a personal relationship, e.g., a member of the same family.

7. Equality & Diversity

- 7.1 All officers and other persons who are acting on behalf of the Combined County Authority, including contractors and consultants must comply with the Combined County Authority's Equality & Diversity Policy.

8. County Combined Authority Property

- 8.1 Officers must ensure that they use public funds entrusted to them in a responsible and lawful manner and in accordance with standing orders and financial regulations. Officers must not utilise property, vehicles or other facilities of the Combined County Authority for personal use unless authorised to do so.

9. Conflict with Duties

- 9.1 Officers must not allow their private interests or beliefs to conflict with their professional duty. Additionally, officers must not misuse their official position or information acquired in the course of their employment to further their private interest or the interests of others. Officers should abide by the rules of the Combined County Authority about the declaration of gifts or hospitality offered to, or received by, them from any person or body seeking to do business with the Combined County Authority or which would benefit from a relationship with the Combined County Authority. Officers should not accept benefits from a third party unless authorised to do so by a manager at the appropriate level in accordance with the Gifts and Hospitality Policy.

10. Whistleblowing

- 10.1 Where an officer becomes aware of activities which they believe to be illegal, improper, unethical or otherwise inconsistent with the Code of Conduct for officers, they should report the matter in line with the Combined County Authority's Confidential Reporting ("Whistleblowing") Policy and associated documents. The Whistleblowing Policy reflects the Public Interest Disclosure Act 1998 which protects officers from dismissal or victimisation if they disclose information about wrongdoing by the Combined County Authority or colleagues.

11. Treatment of Information

- 11.1 The Combined County Authority encourages all officers to be open in the distribution of information and decision making. However, certain information may be confidential or

sensitive and therefore not appropriate to a wider audience. Where confidentiality is necessary to protect the privacy or other rights of individuals or bodies, information should be restricted to:

- a Member,
- a relevant Combined County Authority officer,
- other persons entitled to receive it, or who need to have access to it for the proper discharge of their functions.

This Code does not override existing statutory or common law obligations to keep certain information confidential, or to divulge certain information.

12 Investigations by Monitoring Officer

- 12.1 The appointment of the Monitoring Officer is a requirement for the Combined County Authority. Where the Monitoring Officer is undertaking an investigation in accordance with the Combined County Authority's procedure for dealing with allegations, officers must comply with any requirement made by the Monitoring Officer in connection with such an investigation.

13 Compromising the Impartiality of the Combined County Authority's Officers

- 13.1 Officers must not compromise, or attempt to compromise, the impartiality of anyone who works for or on behalf of the Combined County Authority, either directly or as a response to pressure from others. An officer should not attempt to force other officers to take action or change advice if doing so would prejudice their professional integrity.

14 Improper Use of Position

- 14.1 Officers must not use, or attempt to use, their position improperly either for their own or anybody else's advantage or disadvantage.

15 Considering Advice Provided

- 15.1 If an officer seeks advice, or advice is offered to them, on aspects of how the Code of Conduct applies, the officer must have regard to this advice.

16 Personal and Prejudicial Interests

- 16.1 The attached guidance in relation to registrable and non registrable interests forms part of this Policy. It explains what these interests are or may be; when and why they must be registered; the internal procedure involved and how the information will be dealt with. Officers must adhere to this guidance.
- 16.2 Registration of any such interest protects the Combined County Authority and its officers by giving early warning of any potential areas of conflict of interest. That the Combined County Authority has this policy provides assurance to the public that the Combined County Authority is acting in the public interest. The Combined County Authority requires officers to register personal interests in areas where there are clear grounds for concern, that such an interest could give rise to accusations of bias in decision making and working practice.
- 16.3 An officer may seek to exempt their personal interests from the register if they consider, for instance, that having this information on record might put themselves or others at risk. In such cases, the officer should discuss the matter with the Monitoring Officer.
- 16.4 In certain circumstances an officer's personal or prejudicial interest may be found to be

inappropriate or incompatible with their duties or their role within the Combined County Authority. Appropriate steps might be required to be taken. Ultimately, if an officer does not agree to take the appropriate steps required by the Combined County Authority, this might result in disciplinary action being taken and could amount to gross misconduct leading to dismissal.

17. Registers of Interests – Legislative Implications

- 17.1 The Combined County Authority's registers of officers' personal and prejudicial interests are not matters of public record. The information contained in them will be kept in accordance with the Data Protection Act 1998. However it is possible that the Combined County Authority could be compelled to divulge certain information from the registers under the provisions of the Freedom of Information Act 2000. Officers must advise when their circumstances change to update or remove records from the register. The register will be reviewed annually by the Monitoring Officer to ensure it is up to date and in compliance with the Information Commissioner's requirements.

18. Gifts and Hospitality

- 18.1 Officers must comply with the Combined County Authority's Gifts and Hospitality Policy. Please refer to the guidance available on the Intranet.

19. Equality Impact Assessment

- 19.1 In the creation of this policy, consideration has been given to any possible adverse equality impact for the following groups: disability; gender; gender reassignment; marital status (including civil partnerships); sexual orientation; race; religion or beliefs; age; pregnancy and maternity. The policy is considered to have little or no adverse equality impact.

20. Formal Action

- 20.1 Employees should note that any breaches of this policy may be considered either misconduct or gross misconduct and may lead to action within the Combined County Authority's employment policies.

21. Changes to Policy

- 21.1 The Combined County Authority reserves the right to amend the details of this policy as required following consultation with recognised trade unions and other relevant parties. This policy will be monitored and reviewed on an annual basis, to ensure that it meets the needs of the Combined County Authority and ensure compliance with relevant legislation. A written request can be made to review this policy at any time, by any of the signatories, giving appropriate reasons for requesting the review.

Schedule 1 – Notification of Interests

Notification by an Officer of the Greater Lincolnshire Combined County Authority of Financial or Other Interests or an intention to acquire such Interests.

Name of Officer:	
Job title:	
Reports to:	

I [intend to]* have the following financial interests:- (delete as appropriate)*
Please complete the following boxes or put "none" or "n/a" as appropriate.

- (a) Business or other employment outside the Combined County Authority working hours:
- (b) (Name(s) of my employer(s)) (Name(s) of firm(s) in which I am a partner) (Names(s) of Company/ies of which I am a paid director) (delete whichever do not apply):
- (c) Name(s) of any company or business having a place of business or land in Greater Lincolnshire and in which I own or have an interest in a class of shares of that body/those bodies that exceeds the nominal value of £25,000, or one hundredth of the total issued share capital of that body/those bodies:
- (d) Names of any company or business which carries on business with the Combined County Authority, or which may carry on such business or may or is tendering for contracts from the Combined County Authority in which I own or have an interest in any shares at all: Description of any contract for goods, services or works made between the Combined County Authority and myself or a firm in which I am a partner, a company of which I am a paid director, or a body of the description specified in (c) above:
- (e) Address or other description of any land or buildings other than my own main residence which is in the close vicinity of land or buildings owned by the Combined County Authority or another authority or sites where the Combined County Authority or that other authority is or may be involved in development relevant to the Combined County Authority, such as bus stations, new transport interchanges:
- (f) Address or other description of any land or buildings where the landlord is the Combined County Authority and I am the tenant, or the tenant is a firm in which I am a partner, a company of which I am a paid director, or a body of the description specified in (d) above:
- (g) Address or other description of any land the Combined County Authority's area in which I have a licence (along or jointly with others) to occupy for 28 days or longer:
- I [intend to] have the following other interests:
- (i) I am a member or hold a position of general control or management of the following body/ies to which I have been appointed or nominated by the Combined County Authority as its representative:
- (j) I am a member or hold a position of general control or management of the following public authority/ies or body/ies exercising functions of a public nature:
- (k) I am a member or hold a position of general control or management of the following company/ies, industrial and provident society/ies, charity/ies or body/ies directed to charitable purposes:

(l) I am a member or hold a position of general control or management of the following body/ies whose principal purposes include the influence of public opinion or policy:

Request for Exemption from Registration if the officer feels there are good reasons for this information not to be kept on record, such as their personal safety or that of others, they should set out the details below:

I request that the details of my financial or other interest be exempt from registration for the following reasons:

Date:

Signed

Document version control	
Version:	1.0
Date:	January 2025
Document approved by:	
To be of effect from:	

DRAFT

5.5 Combined County Authority Complaints Procedure

[to be inserted]

Document version control	
Version:	1.0
Date:	
Document approved by:	
To be of effect from:	

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Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Local Assurance Framework

Purpose of the report

This report asks the Combined County Authority to consider and approve a Local Assurance Framework setting out how public money will be managed effectively, accountable to residents and businesses across Greater Lincolnshire.

Recommendation

It is recommended that the Combined County Authority

approves the Greater Lincolnshire Combined County Authority Local Assurance Framework.

Voting and consent arrangements

Simple majority vote to include the mayor (or chairman prior to first mayoral election). There are no consent requirements for this decision.

Contact details for the report

Report on behalf of: Debbie Barnes OBE, Chief Executive, Lincolnshire County Council

Report prepared by: Matthew Garrard, Head of Policy, Lincolnshire County Council

Information

1. As a local government institution with devolved powers, the Greater Lincolnshire Combined County Authority is subject to the English Devolution Accountability Framework.
2. The English Devolution Accountability Framework sets out how mayors and combined authorities will be scrutinised and held to account. The English Devolution Accountability Framework is structured around the 3 key forms of accountability:
 - local scrutiny and checks and balances
 - accountability to the public
 - accountability to the UK government
3. Areas with devolution deals should consider their primary accountability to be to their local residents. There is also a requirement for Government to ensure that devolved funds support UK government priorities and deliver value for money. The English Devolution Accountability Framework requires institutions with devolved powers to prepare a Local Assurance Framework that demonstrates robust assurance, project appraisal and value for money processes.
4. The Local Assurance Framework should set out the key roles and responsibilities in decision making. In particular, it should set out which body (or bodies) has the authority to set strategy, budgets, and individual investment decisions, including any delegated authority. It should set out, for example, the distinct responsibilities of the Mayor and other Combined Authority members.
5. A draft local assurance framework has been developed in accordance with the constitution, financial rules and best practice from other combined and combined county authorities. The Ministry for Housing, Communities and Local Government; the Department for Transport; and the Department for Education have all been engaged in the preparation of the local accountability framework.
6. The proposed Greater Lincolnshire Combined County Authority Local Assurance Framework is included as an attachment to the report for agreement by the Authority.

Alternative options considered

7. To not agree a local accountability framework. This is not recommended because the local accountability framework is a prerequisite for the release of funding from the Government to Greater Lincolnshire.
8. To vary the arrangements in the proposed local accountability framework. This is not recommended because the Ministry for Housing, Communities and Local Government; the Department for Transport; and the Department for Education would need to be consulted on any significant variations.

Reason for the recommendation

9. The Greater Lincolnshire Combined County Authority has a requirement to prepare a Local Assurance Framework. The proposed Framework is supported by The Ministry for Housing, Communities and Local Government; the Department for Transport; and the Department for Education.

Implications, advice and guidance

10. The Local Assurance Framework will be applicable to the Combined County Authority in its work across the whole of Greater Lincolnshire.

Public sector equality duty implications

11. No specific implications were identified in the preparation of this decision.

Legal implications / comments

12. The Combined County Authority requires an Assurance Framework that will set out how the Greater Lincolnshire Combined County Authority will use public money responsibly, openly and transparently, and accountably to achieve best value for money for the Greater Lincolnshire region.
13. The approval and adoption of the Assurance Framework is a function reserved to the Combined County Authority.

Finance and resource implications / comments

14. Approval of the Local Assurance Framework is required to secure the release of Government devolved funding to the Combined authority. Any delay in the agreement of the Local Assurance Framework would lead to a delay in the receipt of those funds. Importantly, the Local Assurance Framework will support value for money principles through sound decision making.

Alignment with Greater Lincolnshire policy / comments

15. The proposed decision is consistent with the Greater Lincolnshire Devolution Deal which sets out that the Greater Lincolnshire Combined County Authority is subject to the English Devolution Accountability Framework and will put in place mechanisms to ensure that local leaders and institutions are transparent and accountable, work closely with local businesses, seek the best value for taxpayers' money, and maintain strong ethical standards.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- UK Government Departments responsible for local government, education and transport have been consulted in the preparation of this report.

- In advance of the establishment of the combined county authority, council leaders were consulted on the preparation of this decision.

Appendices included with this report

The following documents are included:

Appendix A - Greater Lincolnshire Combined County Authority Local Assurance Framework

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background papers and where they can be viewed:
The Greater Lincolnshire Devolution Deal
https://assets.publishing.service.gov.uk/media/657099237391350013b03c30/Greater_Lincolnshire_Devolution_Deal.pdf
English Devolution Accountability Framework
https://www.gov.uk/government/publications/english-devolution-accountability-framework

Greater Lincolnshire Combined County Authority Local Assurance Framework



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OFFICIAL

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Introduction

Purpose of the Assurance Framework

- 1.1 This is the Local Assurance Framework for the Greater Lincolnshire Combined County Authority (GLCCA). The Assurance Framework sets out how public money is managed effectively and how accountability is provided to residents and businesses within our region.
- 1.2 The purpose of this Assurance Framework is to ensure that the necessary systems and processes are in place to manage funding effectively, and to ensure the successful delivery of the ambitions of the Greater Lincolnshire Plan. Its focus is to ensure that necessary practices and standards are implemented to provide the Government and the Combined County Authority with assurance that decisions over funding (and the means by which these decisions are implemented) are proper, transparent and deliver value for money.
- 1.3 The Assurance Framework covers expenditure on programmes and schemes funded by Government and is utilised when considering, decision making, approvals, funding bids, projects. The Assurance Framework also describes how investments will be tracked in relation to progress and impact as well as the evaluation process.
- 1.4 The Assurance Framework sits alongside several key governance and policy documents to shape the way that the activities and functions of the GLCCA are delivered, including the Greater Lincolnshire Devolution Deal and Devolution Proposal; The Greater Lincolnshire Combined County Authority Regulations 2025; the GLCCA Constitution including the GLCCA Financial Regulations and the budget and policy framework; and the Greater Lincolnshire Plan.

Updating the Framework

- 1.5 The Assurance Framework is reviewed and updated on an annual basis and signed off by the Combined County Authority and the relevant statutory officers in line with requirements set by Government.
- 1.6 The Combined County Authority will notify the Government Department for Local Government (currently MHCLG) when considering any significant changes and submit any new drafting in order to engage in a review process, including obtaining Government Department approval before re-publishing.

The Seven Principles of Public Life

- 1.7 The Seven Principles of Public Life (the 'Nolan principles') are central to this Assurance Framework to ensure that the GLCCA, including members and officers, are upholding the highest standards of conduct and ensuring responsible management of resources. The principles are:
 - Selflessness
 - Integrity
 - Objectivity
 - Accountability
 - Openness
 - Honesty
 - Leadership

About Greater Lincolnshire

The Greater Lincolnshire Combined County Authority

- 2.1 The Greater Lincolnshire Combined County Authority (GLCCA) was established in 2025 to bring together local councils and businesses to provide strong local leadership and work with the Government in addressing key local challenges and opportunities, including the delivery of infrastructure and investment to boost growth and create high skill high wage jobs, tackling productivity and skills gaps to spread and improve access to opportunity, unlocking transformative regeneration and housing opportunities, and working together to tackle climate change.
- 2.2 The GLCCA was established as part of devolution in Greater Lincolnshire, based on an initial devolution prospectus agreed between the 3 Constituent Councils – Lincolnshire County Council, North East Lincolnshire Council and North Lincolnshire Council - in December 2022. The Prospectus set out a policy position for devolution, informed by a long-term vision for Greater Lincolnshire, with the recommendation that a formal agreement (deal) should be sought with government.
- 2.3 The devolution deal between the Constituent Councils and the government was formally announced in November 2023 worth £720 million over a 30 year period. The deal centred around transport related powers, education and skills, housing functions and economic development.
- 2.4 A draft devolution proposal was prepared by the 3 Constituent Councils and consulted on from 4 December 2023 to 29 January 2024. The consultation received 4,101 responses. Relative to its total population of 1.1 million, Greater Lincolnshire achieved a higher response rate (0.31%) than devolution consultation for any of the existing mayoral combined authority areas.
- 2.5 The Government confirmed in May 2024 and again in September 2024 that Greater Lincolnshire had passed the statutory tests for devolution and that it was minded to progress devolution for the region.
- 2.6 The Greater Lincolnshire Combined County Authority Regulations 2025 confers the following devolved functions:
 - **Transport-related powers** including in relation to highways, traffic management and permit scheme functions.
 - **Adult education and skills functions** thus enabling decision-makers to closer align spending on skills with the opportunities and needs in the local economy to engage adults and provide them with the skills needed for entering and sustaining employment, an apprenticeship, traineeship, or other further learning.
 - **Housing functions** relating to compulsory purchase, plus provision of housing and land, land acquisition and disposal, and development and regeneration of land.
 - **Economic development** – duty to prepare an assessment of economic conditions.

Elected Mayor

- 2.7 The GLCCA has a democratic mandate to invest in its local area. The directly elected Mayor provides a single point of accountability for residents and is held responsible for their decisions through the local elections, as well as through meetings of the GLCCA, mayoral question times and the GLCCA's scrutiny protocol.

Geography

- 2.8 The Greater Lincolnshire economic geography consists of the areas of North Lincolnshire, North East Lincolnshire and the County of Lincolnshire including 7 City, District and Borough Councils. The area has a population of approximately 1.1 million people.

- 2.9 Responsibility for functions and services across Greater Lincolnshire includes:



Figure 2A

- 2.10 Greater Lincolnshire's natural assets and habitats, including miles of coast stretching from the Humber to the Wash and vast areas of productive agricultural land provides the opportunity for the area to make a significant contribution to the UK's future. Greater Lincolnshire is in a position where it can be at the forefront of renewable and clean energy technologies and production and be a world-leading provider of food, seafood and associated technological innovation. It can support improvements in the nation's supply chains and maximise the strategic advantages of its ports, transforming them into the most smart, clean and efficient port clusters in the world.

The Greater Lincolnshire Plan

2.11 The Greater Lincolnshire Plan sets out shared ambitions and outcomes for the region and directs the work of the GLCCA. The purpose of the Greater Lincolnshire Plan is to:

- Set out what we want to achieve in Greater Lincolnshire
- Set the trajectory for the longer-term up to 2040
- Ensure that government and wider local and national stakeholders are clear on the priorities and ambitions of the region
- Ensure that all regional partners speak with one strong voice

2.12 Greater Lincolnshire’s ambition is a Greater Lincolnshire where 1.1 million residents have good lives, with independence, wealth and good health. Where our communities are connected and working together we ensure national food security, logistic networks and clean energy to power the UK’s homes and economy.

2.13 The outcomes for Greater Lincolnshire include:

- A world leading provider in renewable and clean energy providing the UK with energy security and exporting our energy and skills to the world.
- A world leading provider of food, seafood and associated technological innovation enabling the UK to reach food security and exporting our produce, technology and skills to the world.
- Maximising the strategy advantages of our ports and lead their transformation into one of the most smart, clean and efficient port clusters in the world.

2.14 The GLCCA’s Strategy Framework includes a suite of policies, plans and strategies aligned to the Greater Lincolnshire Plan and key areas of delivery. Investment decisions of the GLCCA are informed through a Greater Lincolnshire Investment Strategy which is an enabler to the Greater Lincolnshire Plan.



Figure 2B

2.15 Annual State of the Region reporting provides progress and performance management of the Greater Lincolnshire Plan targets and wider policies, plans and strategies of the GLCCA.

Greater Lincolnshire Investment Strategy

2.16 The Greater Lincolnshire Investment Strategy sets out the transformational investments that the GLCCA will commit resources to, and the process required to make those investment decisions over an agreed investment period.

2.17 The Investment Strategy, as well as setting out the context, objectives and targets of the Combined County Authority derived from the Greater Lincolnshire Plan, will also identify the criteria that will be used to select and prioritise schemes:

- Investments with the highest potential contribution to the GLCCA’s targeted objectives and outcomes.
- Selection of schemes must also be driven by those which support growth, drive social value, tackle market failure, maximise value for money and provide different kinds of return to the Greater Lincolnshire Investment Fund.
- The design of the Greater Lincolnshire Investment Fund should not mean an equal share across themes or geographies and therefore places could expect to benefit in different ways and at different times.

Long term evidence led policy and strategy

2.18 The GLCCA takes an evidence led approach to the development of policy, plans and strategy (collectively policy of the GLCCA), considering the business voice to deliver on the ambitions of the Greater Lincolnshire Plan.

2.19 Policy is informed by a Greater Lincolnshire economic assessment of the region and regard is given to the existing policy of the GLCCA, its members and key partners. Policy is developed by the members and boards of the GLCCA taking evidence from key stakeholders and partnership groups. All policy is agreed at a meeting of the full GLCCA:

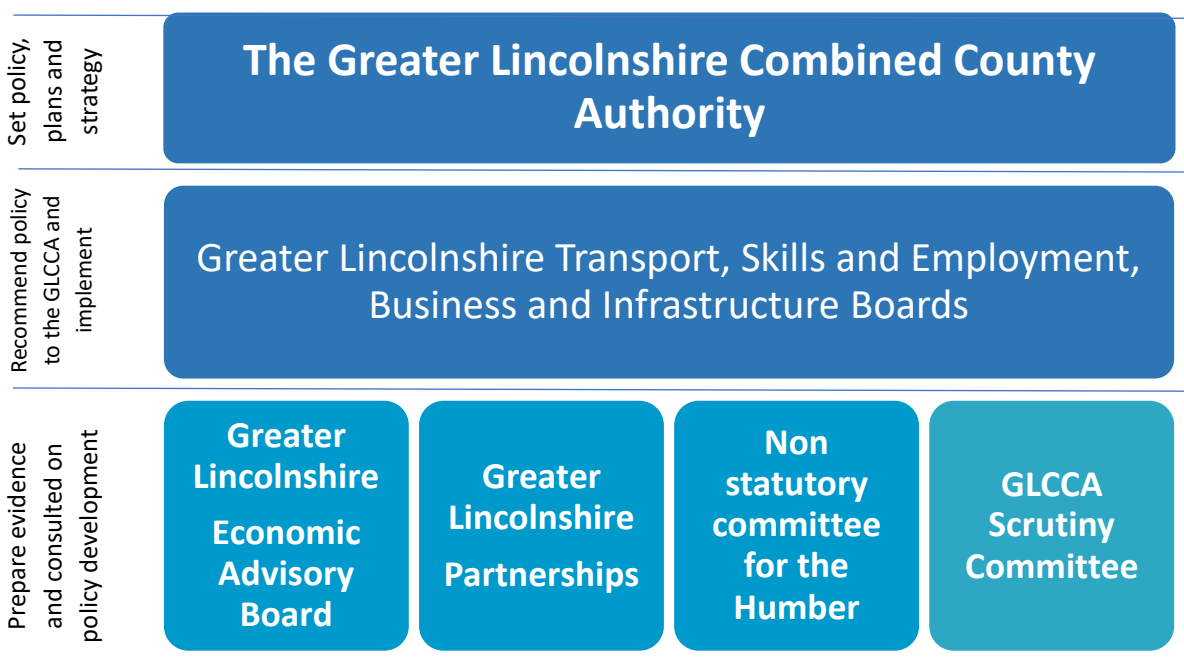


Figure 2C

Governance

Governance Structure of the Greater Lincolnshire Combined County Authority

3.1 A structure chart of the Combined County Authority is set out below:

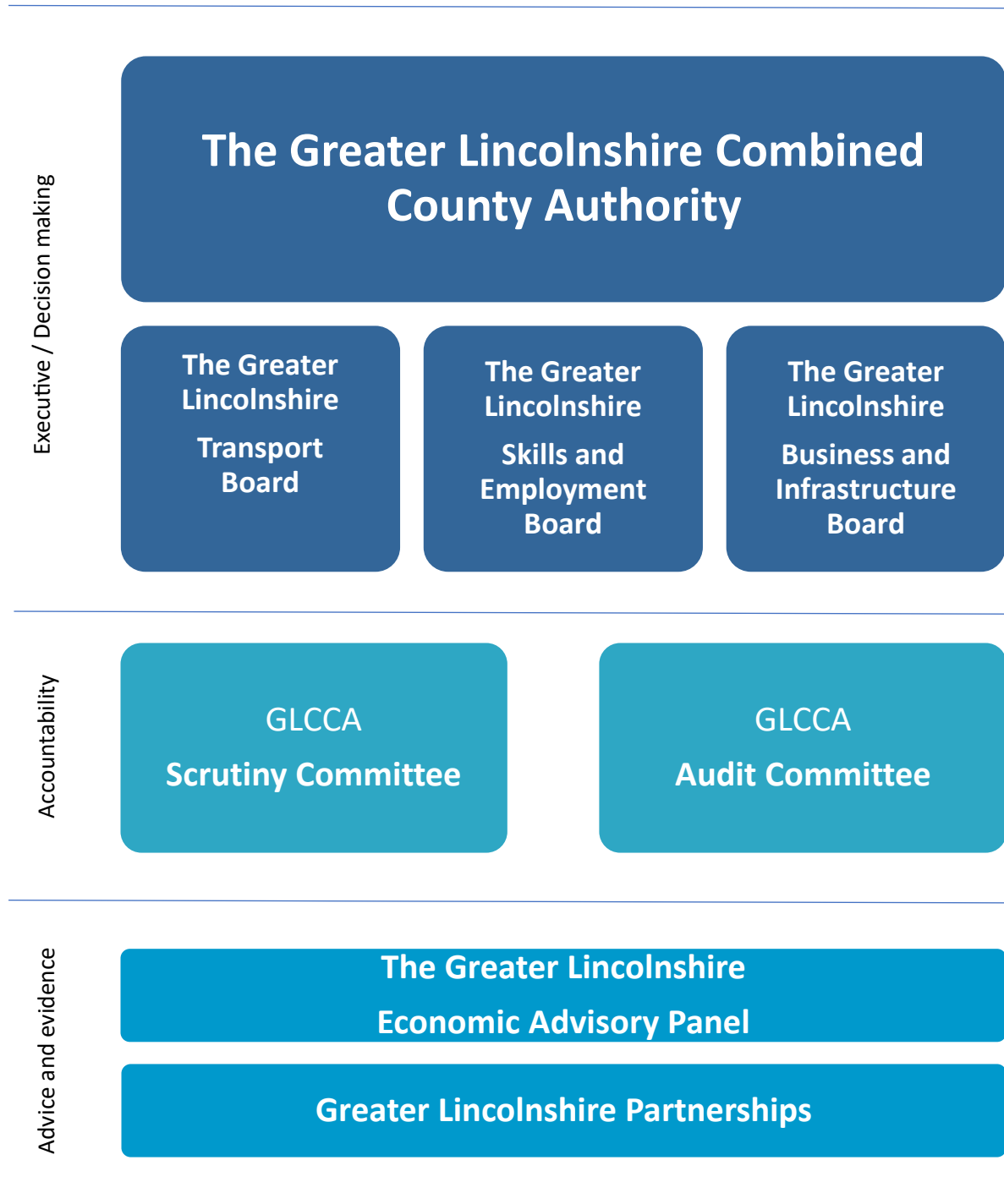


Figure 3A

Decision makers

- 3.2 The Mayor is responsible for carrying out some specific functions (Mayoral Functions). The Combined County Authority is responsible for any function of the Combined County Authority which is not the responsibility of the Mayor (any Non-Mayoral Function).
- 3.3 Any decision about a Mayoral Function (that is a function which is the responsibility of the Mayor) must be taken by the Mayor, or by
- The Deputy Mayor,
 - Another member of the Combined County Authority, under delegated authority from the Mayor, or
 - An officer of the Combined County Authority under delegated authority from the Mayor.
- 3.4 Decisions on Non-Mayoral Functions may be taken:
- By the Combined County Authority, (that is, at a meeting of the members of the Combined County Authority acting collectively), or
 - By a committee of the Combined County Authority which has delegated authority for the function,
 - Under joint arrangements with other local authorities, or
 - By an officer of the Combined County Authority under delegated authority.
- 3.5 The Mayor's vote is required in support of any decision taken at a meeting of the Combined County Authority about any Non-Mayoral Function. In exercising certain functions, the GLCCA may also require the vote or consent of certain other members, constituent councils or city, district, borough councils. These requirements are set out in detail in the GLCCA constitution.
- 3.6 The constitution also details specific voting arrangements for the amendment of the Mayor's budget and approval of the local transport plan (LTP).

Decision making committees

3.7 In addition to the Board of the GLCCA, the following Committees have decision - making powers:

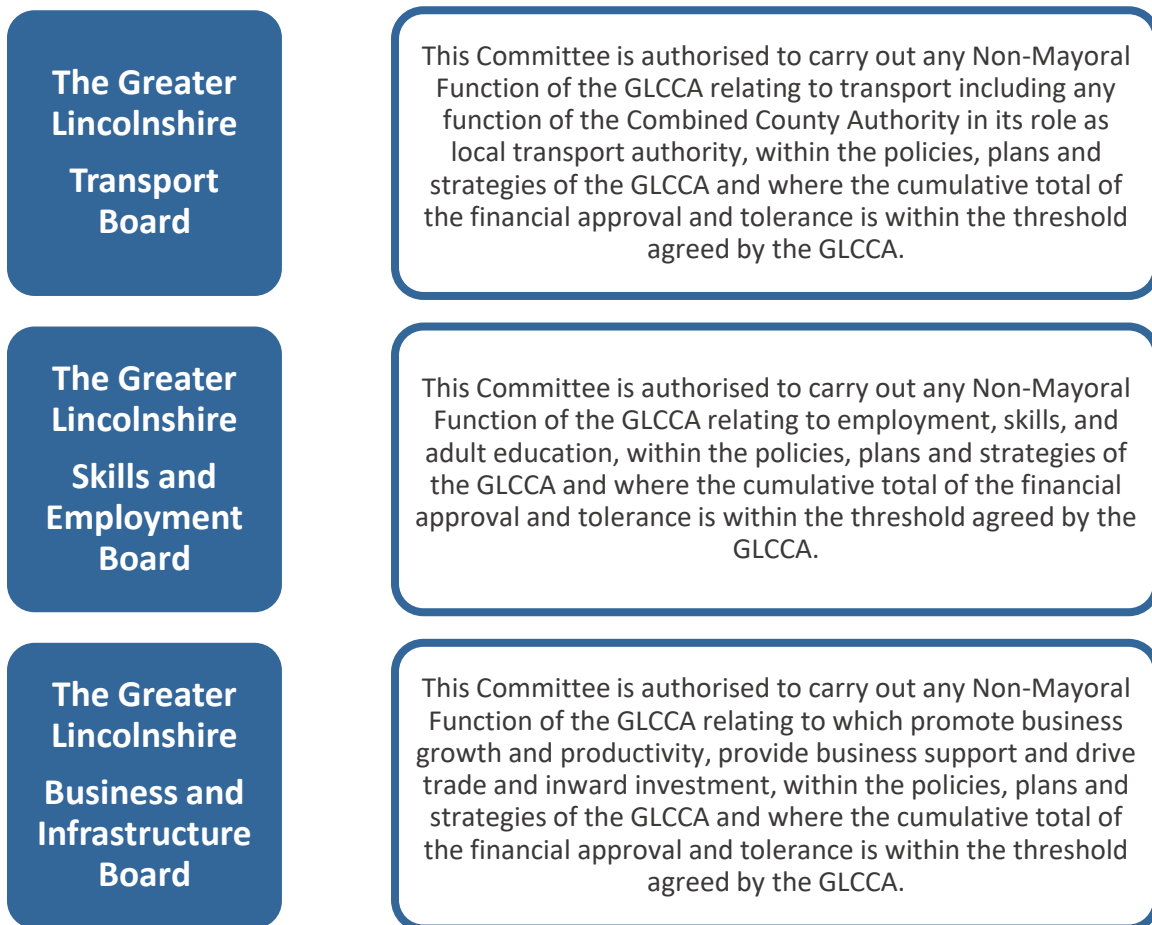


Figure 3B

Other committees of the GLCCA

3.8 The GLCCA also has the following Committees:

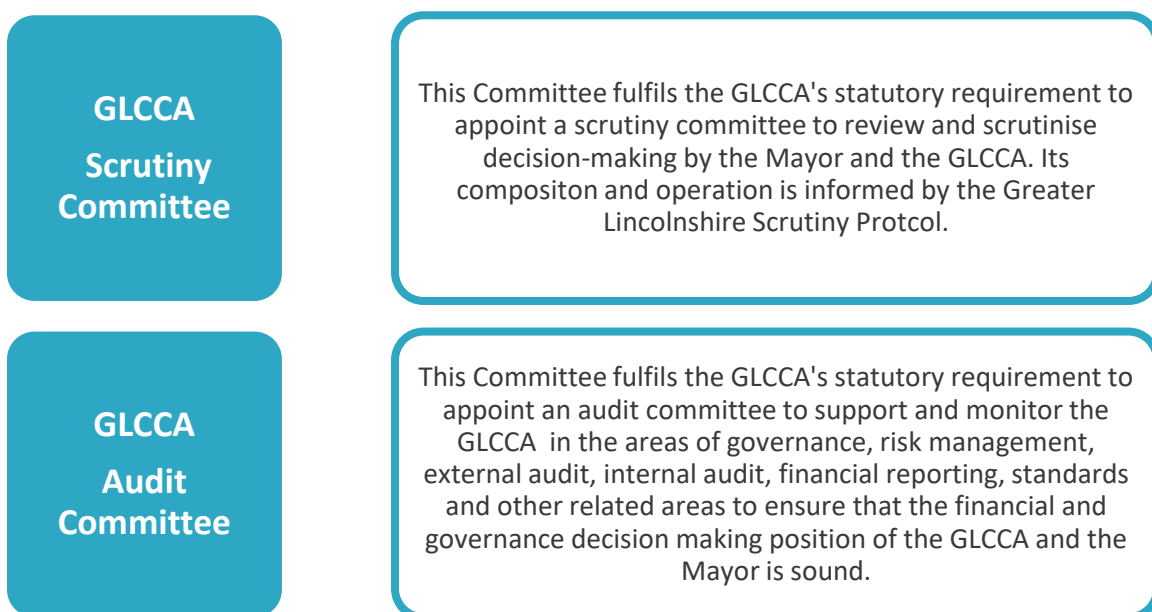


Figure 3C

Greater Lincolnshire Economic Advisory Panel

3.9 The Economic Advisory Panel is a core component in the governance arrangements for the GLCCA. It provides the opportunity for decision makers to engage proactively with business leaders from across the area in the development and implementation of economic policy for Greater Lincolnshire. The key features of the Economic Advisory Panel are:

- The Economic Advisory Panel is made up of business leaders, who together will work with the GLCCA and the Mayor to shape thinking on short and long-term issues of importance to businesses and the region's economic future
- The Economic Advisory Panel will support the GLCCA to prepare the region's economic assessment and other evidence that inform the design of innovative policies and programmes across Greater Lincolnshire
- The Economic Advisory Panel will ensure that the region's economic needs and strengths are heard and considered by local and national decision makers.

3.10 To support its work and delivery of the Greater Lincolnshire Devolution Deal, the Economic Advisory Panel operates a number of thematic and sector advisory groups to include wider business expertise, in particular from the game changing sectors of the Greater Lincolnshire economy - food, energy, ports and logistics and defence.

3.11 The Economic Advisory Panel coordinates business engagement with locality groups such as Town Fund Boards and nominate business voice or LEP members for such groups as set out in the English Accountability Framework

Other arrangements – Greater Lincolnshire Partnerships

3.12 The Greater Lincolnshire Devolution Deal includes arrangements for a number of strategic partnerships across the economic region, these are the:

- Greater Lincolnshire partnership for Food – “the UK Food Valley Board”
- Greater Lincolnshire partnership for Innovation – “Innovation Board”
- Greater Lincolnshire enhanced partnership for Water
- Greater Lincolnshire strategic partnership for the Coast
- Greater Lincolnshire collaborative partnership for culture, heritage, sport, communities and the visitor economy
- Greater Lincolnshire partnership for Rail
- Non statutory committee for collaboration across the Humber, and Humber Energy Council.

- 3.13 The Greater Lincolnshire Devolution Deal recognises that the Humber is one of the UK's most significant industrial areas with several distinctive assets which play an important role for the UK economy. The economy has great potential built around clean energy generation, manufacturing, and globally strategic ports which play on the vital role of the Estuary as an international trading gateway and which benefit from Freeport status and the incentives that brings in supporting trading businesses, attracting inward investment and jobs, as well as wider economic activity to the area.
- 3.14 The Greater Lincolnshire Mayor and constituent council leaders meet with key stakeholders across the Humber on a non-statutory basis to understand need, opportunity and to inform the future use of mayoral functions across the Humber area of both regions.
- 3.15 The Joint Committee for the Humber will develop the evidence base and proposals for:
- Strategic management of Humber Estuary asset (including Humber 2100+ and Humber Natural Capital Plan).
 - A Humber Economic Plan and a supporting Humber Investment Strategy within the framework and aligned to the Greater Lincolnshire Plan and Greater Lincolnshire Investment Strategy.
 - Green Energy Transition to Net Zero by 2040, including the development of a Net Zero Strategy underpinned by strong collaboration between public and private sector partners across the Humber. The Strategy which will form part of the wider Humber Economic Plan and align to wider Greater Lincolnshire policy.
 - Attract and deliver new investment, including Humber-wide place promotion aligned to and to compliment wider Greater Lincolnshire place promotion.
 - Sector growth in Ports, Logistics and collaboration with the Humber freeport.

Other arrangements

Mayoral Rural Transport Group

- 3.16 The Greater Lincolnshire Mayor convenes a rural transport group to lead the national debate on transport in mayoral rural areas. The group brings together other rural combined authorities to champion innovation and work in partnership with the Department for Transport to identify pilot projects to address rural connectivity and accessibility.

Other arrangements – Council for Nations and Regions

- 3.17 The Greater Lincolnshire Mayor is a member of the Government's Council for the Nations and Regions.

Investment Decisions

Decision making

- 4.1 Investment decisions will be taken at a meeting of the GLCCA. The GLCCA may seek specialist and/or external advice or establish an advisory panel of experts to inform investment decisions.
- 4.2 The GLCCA is a new organisation that needs to build the trust and confidence of government, stakeholders and the public, in relation to the ability to take investment decisions. Promoting transparency in its decision-making is a key part of this. The GLCCA are committed to keeping records which demonstrate that all legal obligations are met, and all other compliance requirements placed upon us, and these are accessible as set out below.
- 4.3 All investment decisions are made by reference to:
 - How well they contribute to the ambitions and strategic priorities as set out in the Greater Lincolnshire Plan, the Greater Lincolnshire Investment Strategy and any specified policy, plan or strategy of the GLCCA.
 - Statutory requirements.
 - Any grant conditions attached to funding.
 - Funding programme objectives.
- 4.4 Decisions are based on merit, taking into account all relevant information.
- 4.5 The GLCCA designates a statutory Monitoring Officer who is responsible for ensuring that decisions conform to the relevant legislation and regulation. A key part of the Monitoring Officer's role is ensuring that the legal responsibilities of the Combined County Authority as accountable body in relation to ensuring the transparency provisions are met.

The Role of the Accountable Body

- 4.6 The GLCCA will be the Accountable Body for all funds within a programme and will be responsible for the proper administration and financial probity of all funds received. The GLCCA will ensure the effective use of public money and have responsibility for the proper administration of funding received and its expenditure.
- 4.7 As the Accountable Body, the GLCCA will be responsible for overseeing policy, the prioritisation of funding, ensuring value for money, evaluating performance and managing risk.
- 4.8 The GLCCA will:
 - Hold investment programme funds and make payments in accordance with the decisions of the Combined County Authority or relevant decision-making body.
 - Ensure that funding is approved and allocated in a manner that is lawful, transparent, evidence-based, consistent and proportionate.
 - Ensure that the decisions and activities conform to the legal requirements with regard to equality and diversity, environmental regulations and other relevant legislation and guidance.

- Ensure through its s.73 officer that the funds are being used appropriately and responsibly, ensuring they are in accordance with decisions made by the Combined County Authority or relevant decision making body
- Record and maintain the official record of formal meetings relating to decisions made on all investment projects
- If a decision related to funding does not adhere to this assurance framework, then the Combined County Authority, will not action this decision

Transparency and Accountability

Accountability

- 5.1. The transfer of power through devolution enables decisions to be made closer to the communities they affect, enhancing responsiveness and efficiency. Accountability means that those who have power must answer for and explain their choices and actions to the public. The English Devolution Accountability Framework identifies 3 key forms of accountability:
 - local scrutiny and checks and balances
 - accountability to the public
 - accountability to the UK government
- 5.2. The GLCCA has a robust constitution that captures the key structures and boundaries for accountability, responsibility, and the delegation of authority to make decisions. The GLCCA seeks to achieve best practice approach towards accountability and transparency and has adopted the principles of the Government Scrutiny Protocol.
- 5.3. The protocol ensures that there is appropriate voice from across the Greater Lincolnshire area and that there is proper opportunity to ensure scrutiny on decision making, including through the GLCCA's overview and scrutiny committee, which meets in public and has broad powers to request information and the attendance of decision makers, and make recommendations for improvement.
- 5.4. Engagement with all stakeholders including the public is central to the operational activity of the GLCCA. Engagement supports policy and strategy and inform the objectives of the authority. This will include engaging with stakeholders to inform the development of key strategies, plans and following any specific guidance required by Government.
- 5.5. Mayor's Question time will take place 4 times a year which provides public and stakeholders with opportunities to put questions to the Mayor on local issues that are of particular interest to them.
- 5.6. The GLCCA is committed to continuous improvement with regular performance assessments of policy and the delivery of functions considering a combination of economy, efficiency, and effectiveness.
- 5.7. The GLCCA has robust performance management arrangements including State of the region reporting which is published and used to measure progress against plans annually. In addition the GLCCA proactively publishes data in accordance with requirements of the English Accountability Framework and the Transparency Code, funding arrangements, and as requested by the Office for Local Government (OFLOG).
- 5.8. The GLCCA is required to appoint or designate several statutory officers to support the lawful and effective operation of the authority, consistent with the regulatory requirements placed on it.

The roles include:

- A Head of Paid Service responsible for ensuring the GLCCA's functions are properly coordinated, organising staff, and appointing appropriate management.
- A Monitoring Officer responsible for monitoring the lawfulness of the GLCCA's actions and, if necessary, complying with their duty under section 5 of the Local Government and Housing Act 1989 to report unlawfulness or maladministration to their authorities.
- A Section 73 Chief Finance Officer responsible for administering the GLCCA's financial affairs in accordance with Section 73 of the Local Government Act 1985.
- The GLCCA will also designate a Statutory Scrutiny Officer, Data Protection Officer, Senior Information Risk Officer, and the GLCCA Returning Officer.

5.9 The GLCCA may also enter into arrangements for the delivery of functions by another body such as a constituent council or a third party. Such arrangements will be managed through a service level agreement in accordance with the GLCCA's constitution, policies and assurance framework as relevant.

Publication of Meetings and Agenda Items

5.10 The GLCCA has established appropriate arrangements to ensure that formal meetings of the GLCCA, its committees and sub-committees are published as required by law.

5.11 The dates of all formal meetings will be published on the GLCCA website and documents for each meeting are also published in advance, which will allow the public to keep up to date with the operational activity of the GLCCA. Other documents required for publication such as a Forward Plan of upcoming key decisions and notices relating to exempt information items will also be published on the website.

Information and Data Protection

5.12 The GLCCA is subject to the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 and responds to statutory information requests in accordance with approved procedures.

5.13 The Freedom of Information Act requires every public authority to have a publication scheme approved by the Information Commissioner's Office (ICO) and to publish information covered by the scheme. The GLCCA fulfils this requirement.

5.14 The GLCCA is subject to the General Data Protection Regulation and Data Protection Act 2018 and must by law appoint a Data Protection Officer. They will assist the CCA Authority on the monitoring of compliance with the data protection legislation, advises on data protection obligations, provides advice regarding Data Protection Impact Assessments and is the contact point for data subjects and the supervisory authority.

- 5.15 The GLCCA is fully compliant with Data Protection legislation. Requests made by data subjects under the General Data Protection Regulation and Data Protection Act 2018 will be dealt with in accordance with approved procedures.

Use of Resources and Accounts

- 5.16 The use of resources by the GLCCA is subject to the usual local authority checks and balances, including the financial duties and rules which require councils to act prudently in spending. These are overseen by the Combined County Authority's Section 73. This post has statutory responsibility to administer the Combined County Authority's financial affairs and is responsible for ensuring that funding is used legally and appropriately.
- 5.17 The Combined County Authority has clear accounting processes in place to ensure that all funding sources are accounted for separately and that funds can only be used in accordance with formal approvals made under the Combined County Authority decision-making arrangements.
- 5.18 The Combined County Authority has a statutory duty to keep adequate accounting records and prepare a statement of accounts in respect of each financial year. This statement of accounts is published here usually in June in draft and in September as fully audited, although this may change in accordance with legislative requirements. The statement will cover expenditure funded from the Greater Lincolnshire Investment Fund and other funding sources, including those received from Government.
- 5.19 The Combined County Authority publish a public notice each year, setting out a specific period during which any person may inspect and make copies of the Combined County Authority's accounting records for the financial year.
- 5.20 During the same period, the external auditor must give a local government elector (someone registered to vote in the local elections) within Greater Lincolnshire (or their representative) an opportunity to question the external auditor about the accounting records, and objections may be made to the external auditor about any relevant item.

Audit

- 5.21 The Combined County Authority complies with statutory requirements relating to audit arrangements, principal elements of which are:
- Appointing an audit committee
 - Inspection by external auditors
 - Adopting internal audit, risk and fraud arrangements
- 5.22 The Combined County Authority's Governance and Audit Committee fulfils the requirement to appoint an audit committee. By law this must include at least one independent person.
- 5.23 An annual independent audit is conducted by externally appointed auditors ensuring the Combined County Authority operates a robust financial management and reporting framework

- 5.24 The Combined County Authority's internal audit function carries out independent and objective appraisals of relevant systems and processes, including ensuring that effective procedures are in place to investigate promptly any alleged fraud or irregularity. The Combined County Authority's internal auditors provide assurances to the Combined County Authority through its Governance and Audit Committee, the Section 73 Chief Finance Officer.
- 5.25 The Combined County Authority's financial regulations set out further detail in relation to the Combined County Authority's audit arrangements.

Conflict of Interest

- 5.26 The Code of Conduct provides an overview of how conflicts of interest are managed.
- 5.27 Officers of the authority must comply with the Authority's Code of Conduct for Officers, which also reflects the Nolan Principles of public life and requires officers to register interests. Officers also need to comply with a Gifts and Hospitality policy
- 5.28 The GLCCA also has policy for anti fraud, bribery and money laundering.

Complaints Policy

- 5.29 The GLCCA will consider any complaints in accordance with the agreed approach.

Whistleblowing Policy

- 5.30 The GLCCA will adopt a whistleblowing policy, to investigate and resolve any case where it is alleged by stakeholders, members of the public or internal whistle-blowers that the GLCCA is acting in breach of the law, failing to adhere to the framework or failing to safeguard public funds.

Funding of the CCA

- 5.31 The statutory instrument creating the GLCCA indicate that the authority will be funded by the three Constituent Member Councils. The costs of establishing the GLCCA will be met from the overall resources of the GLCCA which includes Mayoral Capacity Funding of £500,000 in 2024/25, £1 million in 2025/26, and £500,000 in 2026/27.
- 5.32 The Mayor has powers to issue a precept and impose a levy, and the CCA has powers to borrow. It is expected that the running costs of the CCA will be met by either continued central Government support or with funding from the Constituent Councils.
- 5.33 Government has committed to investment of £24 million per year for the next 30 years into the region through the Mayor/CCA. The general powers the CCA has around finance and funding are expected to be substantially the same as local authorities.
- 5.34 The significant programme costs associated with major projects and schemes across the CCA footprint will be funded from other sources, the CCA has powers to borrow whilst the bulk of the funding needed for the CCA/Mayor will be provided by Government for the next thirty years.

Members allowances

- 5.35 The statutory instrument creating the GLCCA sets a position on the payment of allowances to members of the authority. Remuneration will not normally be payable to constituent and non-constituent members, other than allowances for travel and subsistence paid in accordance with a scheme approved by the GLCCA.
- 5.36 The GLCCA utilise the North Lincolnshire independent remuneration panel to make recommendations for the allowances payable to the Mayor and the Deputy Mayor (when not an executive member of a constituent council), and any independent persons who are members of the GLCCA or its committees.

Public sector equality duty

- 5.37 The Greater Lincolnshire Devolution Deal and Proposal were informed by a broad and wide-ranging Equality Impact Assessment. The assessment was informed through region wide consultation and was approved alongside the formal devolution Proposal by the 3 Constituent councils.
- 5.38 The GLCCA will comply with the public sector equality duty as stated in the Equality Act 2010. The authority will ensure that the decisions and operations adhere to legal requirements with regard to equality and diversity, environmental regulations and other relevant legislation and guidance.

Local Engagement and Partnership Working

Local Engagement

- 6.1. The GLCCA is committed to working openly and transparently with its member bodies and partners to deliver their collective functions and achievement of shared ambitions including the Greater Lincolnshire Plan.
- 6.2. The GLCAA and the Greater Lincolnshire Mayor seeks to provide early engagement with members, partners and stakeholders on key issues, opportunities and decisions for the region. The GLCCA and Greater Lincolnshire Mayor collaborate with member bodies through a communications and visits protocol to provide a shared single voice and advocacy for Greater Lincolnshire.
- 6.3. The GLCAA and the Greater Lincolnshire Mayor will seek guidance from member authorities and bodies on the interpretation and applicability of their policy as appropriate to inform decision making of the authority.

Mayors and regions

- 6.4. The Greater Lincolnshire economy is interlinked with neighbouring economic areas and makes a significant contribution to the wider UK economy. The GLCCA and Greater Lincolnshire Mayor will develop relationships with these areas where it is of benefit to Greater Lincolnshire and work collaboratively with
 - Adjacent mayoral regions including: Hull and East Riding, East Midlands, South Yorkshire and Cambridgeshire and Peterborough and Norfolk should the County progress with devolution.
 - Wider mayoral geographies such as the east coast of England, Midland Mayors or rural mayors where there are shared challenges, ambitions or opportunities to do so.
 - UK Mayors and Government led groupings such as the Council for the Nations and Regions.

Sub National Transport Bodies

- 6.5. Prior to the establishment of the GLCCA, the Greater Lincolnshire economic area was served by two sub national transport bodies (STBs) - Transport of the North and Midlands Connect. A strong relationship with both STBs is important to future economic growth across the region. Current legislation restricts the ability for the GLCAA to be a member of two STBs and through the Greater Lincolnshire Devolution Deal the Government has committed to resolving this.
- 6.6. It is proposed that the GLCAA will seek full membership of Midlands Connect and co-option onto Transport for the North. This will entitle GLCCA to appoint a member to sit on both the TfN Board and the Rail North Committee and, were there to be a vote, to participate in that vote.

Provision of services

- 6.7. The GLCCA receives a range of services from the other bodies including the constituent councils to support the functions of the combined county authority. These arrangements are set out in service level agreements with appropriate provisions for the timely passporting and scheduling of funding.

Assurance for Programme and Project Delivery

- 7.1 This section sets out a single assurance framework (SAF) to be applied throughout the lifecycle of programmes and projects. It is used in the development and delivery of all projects and investments. It sets out the systems, processes and protocols designed to provide the Combined County Authority with a consistent approach for appraisal, assurance, risk management, performance, monitoring and evaluation.
- 7.2 This single assurance process will be applied to the assessment of schemes and programmes that flow through the Combined County Authority, drawing on current national guidance. It provides assurance to decision-makers and Government that all the GLCCA investment proposals meet the expected standards.
- 7.3 It is designed to be used as guidance to internal and external project developers and sponsors to understand the processes associated with the application and the route to approval of all external funding opportunities.
- 7.4 The single assurance framework provides consistency of approach for assurance, independent appraisal, and informed decision making across all funding pots. Furthermore, it allows proportionality to be applied for the development of business cases through defined development routes. The Single assurance framework does not apply to projects or programmes that are defined as corporate, continuous improvement or Business as Usual (BAU) activity.

- **A SAF Programme/Project:** Projects and Programmes which follow the SAF are focused on achieving positive outcomes for the local area. They are typically funded by external sources such as devolution deals and bid applications/grant awards from Central Government, for example the Investment programme, where the GLCCA is the accountable body.

The SAF is applied flexibly and proportionately, dependent on the level of risk associated with the Programme/Project and enables an independent assessment and appraisal of an investment opportunity. Programmes and Projects following the SAF route should ensure a strong strategic fit to the Greater Lincolnshire Plan.

- **A Corporate Project:** SAF does not apply to Corporate Projects.

A Corporate project is created to address an internal business need, benefitting the organisation, for example a change to the operating systems of an organisation. Risk management should be considered with risks reviewed as part of the activity. Corporate projects will be supported by specialists across the GLCCA including Finance, Project Management, Human Resources and Legal as appropriate, to strengthen the case for funding and, the identified benefits and support effective delivery.

- 7.5 The SAF sets out the rising scale of assurance that is required against an increasing scale of value in business case approvals, alongside appropriate processes for risk profiling of a project, guidance on business case development and the documentation required for approval consideration. The Combined County Authority ensures that all funding decisions are based on impartial expert advice.

Assessing Value for Money

- 7.6 As an investor of public funds, the Combined County Authority has a responsibility to ensure that its decisions deliver best value for the taxpayer, and therefore all investment opportunities and Business Cases must include an assessment of Value for Money.
- 7.7 The SAF has been developed in line with HMTs Green Book guidelines, which require project managers to build in Value for Money processes throughout the development and approval stages. In addition, the Combined County Authority requires all Business Cases be developed in line with HMTs Five Case Model.
- 7.8 The range of toolkits (HMT Green Book, DfT TAG, DLUHC Appraisal Guidance etc) are used to demonstrate the economic, social and environmental benefits and cost over an appropriate appraisal period in order to assess the Value for Money of a Programme or project.

Entry points for investment

- 7.9 There are two entry points for Investment, they are through:
- **The Greater Lincolnshire Plan**
(and supporting Strategy Framework, Investment Plan and Medium Term Financial Plan)
 - **In Year Proposals**
This includes new funding opportunities (further devolved funding) and new policy priorities enabling the Combined County Authority to respond to economic opportunities and/or shocks at a national or local level.
- 7.10 The development of concepts, and external funding opportunities are supported by officers of the Combined County Authority in terms of coordination and providing advice and guidance. Collaboration and co-design will play an intrinsic role in the Combined County Authority's approach, working closely with delivery partners and stakeholders throughout the development process.
- 7.11 Projects for funding through the GLCCA investment programme will be identified and prioritised through the Greater Lincolnshire Plan, the Greater Lincolnshire Investment Plan and the three core plans for Transport, Employment and Skills, and Business and Infrastructure. This is known as the Strategy Framework and is explained earlier in the document. It sets our strategic vision and economic objectives to drive forward our economy to create jobs, improve skills and support companies to grow and prosper. It provides a framework for identifying, developing and prioritising investment in the Greater Lincolnshire area.
- 7.12 The Greater Lincolnshire Plan and Strategy Framework sets out the 'golden thread' from the strategic objectives and Mayoral priorities, through its overarching strategies, organisational objectives to programme and project activity directed through annual business plan activity.
- 7.13 There may be instances where items drawn down from the Greater Lincolnshire Plan for business case development require the approach of issuing a call/ expression of interest prior to Business Case development.

New Funding Opportunities

- 7.14 It is possible in-year that there may be further unexpected funding opportunities that need to be pursued. This could be a result of new or changes to Government initiatives and priorities or where there is a need to address emerging priorities.
- 7.15 Where such opportunities arise a project initiation paper will be produced in line with phase 1 of the SAF. As necessary and appropriate, processes will be expediated to enable funding to be accessed quickly.
- 7.16 Where financial liability is placed onto the Combined County Authority, the SAF is applicable throughout all stages of the project or programme lifecycle: initiation, development, approvals, delivery, monitoring and evaluation.
- 7.17 **In Year Proposals:** Constituent Councils, Partners and the Combined County Authority can submit in-year concept proposals that are not included within the Greater Lincolnshire Plan. These in-year proposals will require the completion of a Project Initiation Paper and appropriate political endorsement in alignment with the requirements set out in Phase 1 of the SAF.

In certain circumstances, the Combined County Authority may ask applicants to complete an Expression of Interest or issue an Open Call for proposals as to how to deliver a particular objective, prior to completion of a business case.

- 7.18 **Open Calls/ Expressions of Interest:** The purpose of an Open Call proposal/ Expression of Interest would be to confirm that the proposal is consistent with the strategic context set out in the Combined County Authority Vision and the strategic objectives within the Greater Lincolnshire Plan, outline the rationale for intervention, set out the primary benefits associated with the intervention and identify a proposed preferred option with costs based on an appraisal of the available options.
- 7.19 **Business Case Development Fund/Feasibility Fund:** The Combined County Authority propose to have a Business Case Development Fund for the development of early-stage projects, or the additional capacity required to access funding to deliver activity which has potential to contribute towards the Combined County Authority's strategic objectives. Proposals seeking support from the Business Case Development Fund will be invited to complete a bespoke application form, with the Investment Board making decisions on the allocation of funding.
- 7.20 **Overview of the single assurance framework process:** This section sets out the process by which the GLCCA will identify its priority investments across a range of areas. It also sets out the minimum requirements that all GLCCA funded projects or programmes are expected to deliver. The diagram below is a visual outline of the strategic investment process as and when a new funding programme is proposed.

Assurance Framework Overview

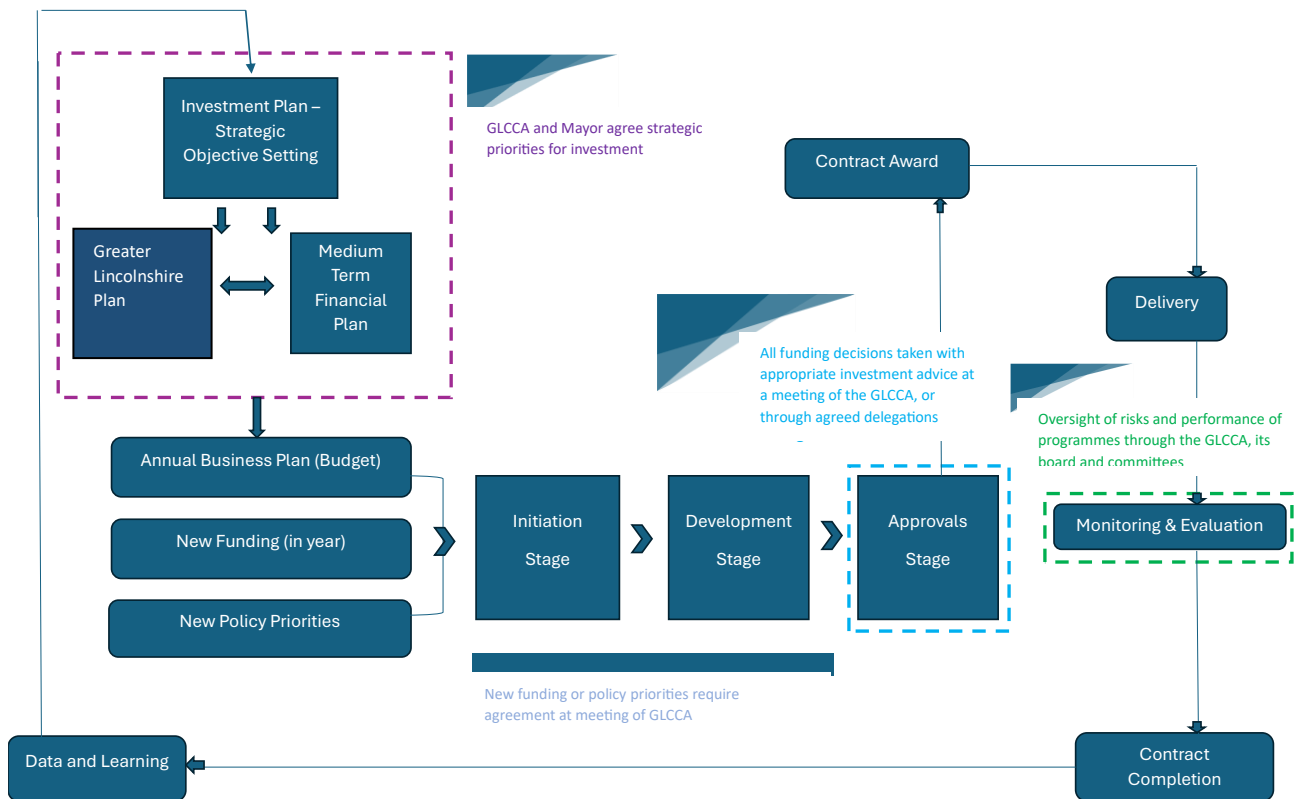


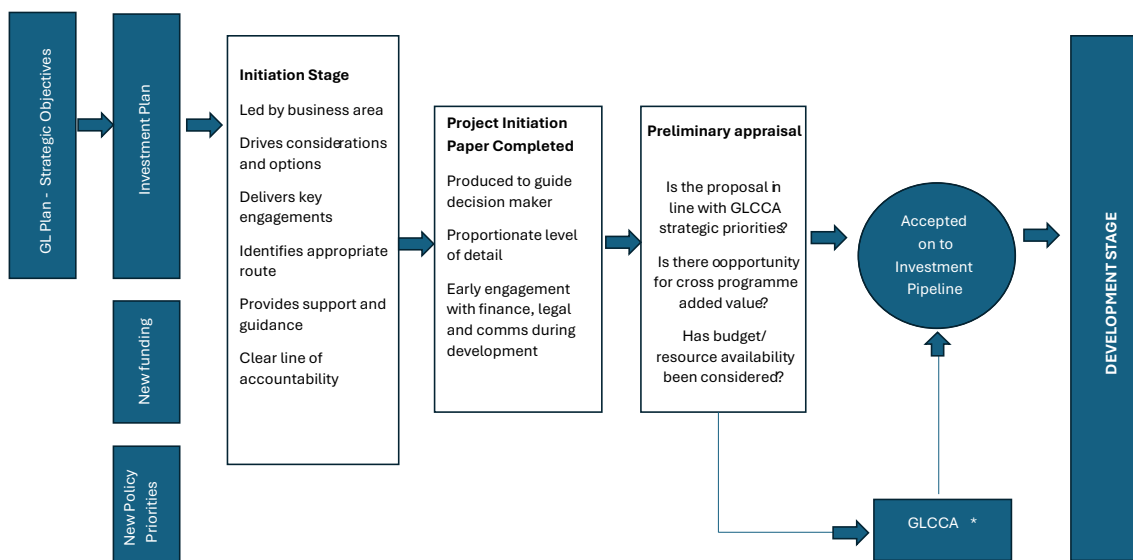
Figure 7A

Phase 1: Initiation Stage (Concept to Pipeline Approval)

- 7.21 This stage provides early assurance that investment proposals meet strategic objectives, have sufficient resources and appear to meet the necessary requirements to deliver compliantly prior to the development of a full business case.
- 7.22 The initiation stage enables the opportunity for early engagement across the GLCCA, providing the appropriate support and guidance to ensure high quality project/programme development in line with agreed standards.
- 7.23 All investment proposals are required to complete a Project Initiation Paper (PIP) which will provide a summary of the proposed investment. The content and approach to engagement will be proportionate to the scale of investment.
- 7.24 The PIP requires key information including a brief description of the proposal, the need for intervention/ case for change, the outputs (including when, how and who will deliver them), and the associated benefits. It also includes strategic fit and initial finance and risk detail. The proposed approach to evaluation should also be considered at this stage and will form the project/programme logic model.
- 7.25 The PIP provides a consistent entry point into the SAF that provides the required information to enable early assessment, prioritisation and consideration of the investment proposal.

- 7.26 The process for initiation ensures early engagement with the core areas of the Combined County Authority to enable subject matter expert input from an early stage from relevant the GLCCA business areas, Legal and Finance.
- 7.27 This stage provides preliminary assurance that proposals are in line with strategic priorities, legally compliant, and meet availability of resources and budget. It also identifies the most appropriate route for the approval of funding.
- 7.28 Strategic Investments will be considered by the GLCCA prior to being accepted onto the Investment Pipeline. Programmes or projects that have gone through the strategic planning process and have been identified for inclusion within the Greater Lincolnshire Plan are then added to the Investment Pipeline, they can be drawn down for business case development in line with the annual business plans and funding availability.
- 7.29 Projects and programmes coming forward of a lower value (below £500,000) and included within the Greater Lincolnshire Plan, will not be required to go to the GLCCA but will be reviewed by the SRO for the business area, finance and legal prior to inclusion on the Investment Pipeline and progression to the Development Stage.
- 7.30 For project or programme proposals not included within the SAF and/or Greater Lincolnshire Plan, they will be considered within the context of GLCCA Priorities and the Medium-Term Financial Plan in order to make recommendations to the GLCCA. GLCCA endorsement will be required prior to acceptance onto the Investment Pipeline and progression to the Development Stage.
- 7.31 The Combined County Authority records all project activity where projects are in a stage of development and delivery. The pipeline will set out details of the project along with the stage it is at, and whether external funding is bid for or offered by sponsoring Government department. The GLCCA will receive a bi-monthly report on the Investment Pipeline for review and to hold the relevant SRO to account for progress.

Initiation Stage



* New funding pots and ideas to ensure political support

Figure 7B

Phase 2: Business Case Development Stage

- 7.32 This stage produces a comprehensive case for funding in line with HMT Green Book principles. The business case will be subject to a technical appraisal undertaken from outside the business area, to provide assurance to decision makers that investment proposals meet the agreed standards and compliance requirements, in line with recognised best practice.
- 7.33 Identified schemes will be assessed against the agreed criteria of the GLCCA. The business case is developed (or managed where development is led outside the Combined County Authority) by the sponsoring business area, ensuring that its content meets the required standard defined within the Combined County Authority guidance in addition to meeting the requirements of the SAF and HMT's five case model Green Book compliance. It should also seek alignment to Policy Aims and Objectives, whilst meeting any funding requirements and/or milestone dates/requirements.
- 7.34 Where delivery partners are external to the Combined County Authority, they will be supported through the process by the lead business area within the Combined County Authority. The delivery partner will use the appropriate business case guidance and templates provided, subject matter experts and technical appraisers.
- 7.35 The lead business area is responsible for ensuring they or any partner meet deadlines, engage the appropriate subject matter experts and technical appraisers, and adhere to required formats when developing a business case.
- 7.36 The lead business area is responsible for ensuring they or any partner meet deadlines, engage the appropriate subject matter experts and technical appraisers, and adhere to required formats when developing a business case.
- 7.37 The GLCCA has a Programme Assurance function who can provide advice on the requirements of the SAF if needed, at the start of and during the Business Case development stage. Sponsors must ensure their business case is developed and is aligned with any external development and assurance requirements (driven by Government Departments), with the aim to eliminate duplication of effort.
- 7.38 Where projects are funded through multiple streams, the proportionate SAF approach will be agreed by the appropriate delegated authority and implemented.

Business case templates

- 7.39 Business case templates and criteria are designed to ensure necessary compliance, drive standards of project development and better enable delivery. The Project Business Case is extremely important because projects will only deliver their intended outputs and benefits if they are properly scoped, planned and cost justified from the outset.
- 7.40 The GLCCA has adopted a proportionate method for assessing value for money and the level of detail it will expect in a full business case. In order to align with government guidance, the GLCCA has adopted the principles set out within the HM Treasury Green Book. The GLCCA full business case can be located as Appendix B.

- 7.41 Business cases will require detailed evidence on the options, designs, delivery and outcomes of the project, along with strategic fit and value for money information to enable informed decision making. The business case will include a developed logic model to support effective evaluation and will set out the options available. This will be done in line with Green Book principles and include appraisal of shortlisted options including a do minimum option.
- 7.42 The do minimum option does not take advantage of any opportunities for additional changes that may occur. It may or may not be the option eventually chosen, but it is essential because it provides an important benchmark that can reveal the real value of additional changes.
- 7.43 Business case development expertise can be provided by the Programme Assurance function and/or procured externally to ensure HMTs five case model is adhered to, all business cases must be prepared using the GLCCA templates and according to the following elements:

Case Model	Description
Strategic Dimension	The strategic Dimension sets out the rationale for the proposal; it makes a compelling case for change at a strategic level. It should set out the background to the proposal and explain how the project provides fit with GLCCA's strategic objectives, as well as any relevant local and/or national strategic priorities.
Economic Dimension	The economic Dimension is the essential core of the business case and should be prepared according to HMT's Green Book guidance. This part of the business case assesses the economic costs and benefits of the proposal to society, and spans the entire period covered by the proposal.
Commercial Dimension	The commercial Dimension is concerned with issues of commercial feasibility and sets out to answer the question "can the proposed solution be effectively delivered through a workable commercial deal or deals?". The first question therefore is what procurement does the proposal require, is it crucial to delivery, and what is the procurement strategy?
Financial Dimension	The financial Dimension is concerned with issues of affordability, and sources of budget funding. It covers the lifespan of the scheme and all attributable costs. This part needs to demonstrate that funding has been secured and that it falls within appropriate spending and settlement limits.
Management Dimension	The management Dimension is concerned with the deliverability of the proposal and is sometimes referred to as a programme management or project management dimension. It confirms that the capacity is available and proportionate to the delivery requirements. The management dimension must clearly set out management responsibilities and governance and reporting arrangements. If it does not, then the business case is not yet complete. The Senior Responsible Officer should be identified

7.44 The Project Initiation Paper (PIP) is the central document from which the business case is built, each case is expanded throughout the development process to include further detail proportional to the scale of the investment. As appropriate, information to reflect key criteria for specific funding is also included.

Business Case Approach

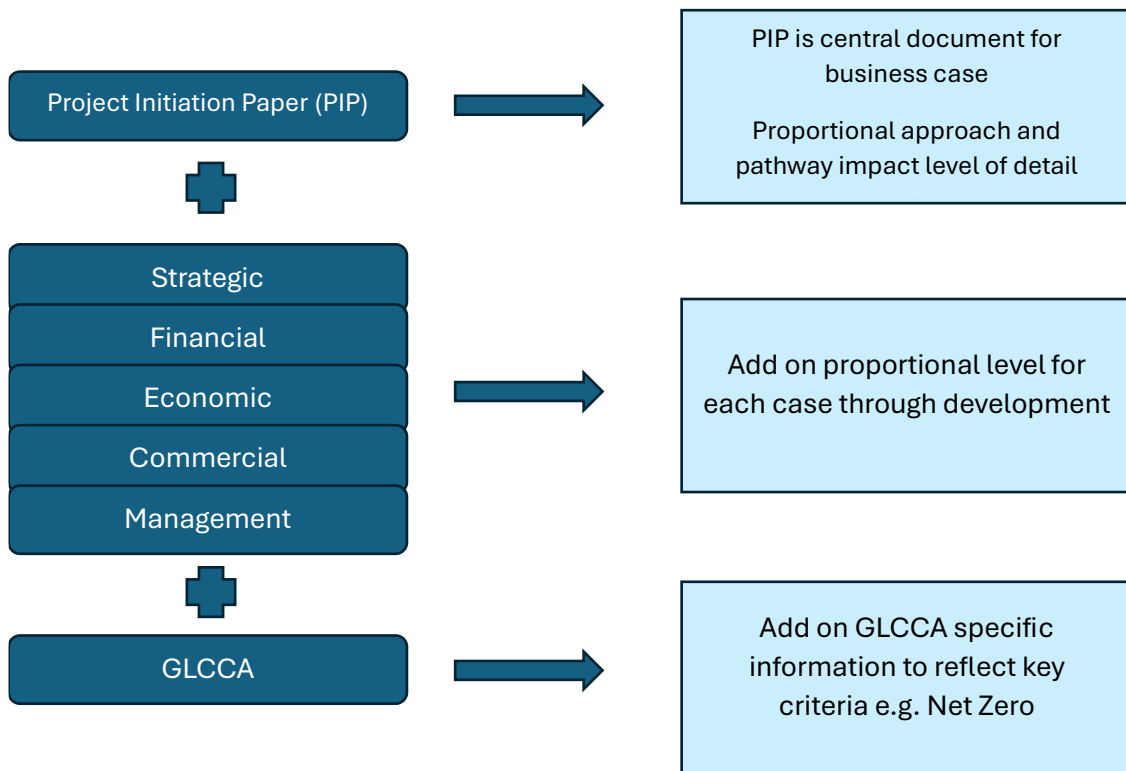


Figure 7C

7.45 **Technical appraisal:** The S.73 Officer is responsible for ensuring that all business cases are subject to a technical appraisal against the five cases and additional criteria (as required). Objective appraisals will be undertaken outside of the business area leading on the development of the investment proposal ensuring a clear separation of duty. In some instances, for example particularly high value, contentious or novel investments, appraisals may be undertaken by external technical experts appointed by the GLCCA.

7.46 The Combined County Authority will make investment decisions based on a range of evidence, such as the strategic case and other local impacts and analysis of cost effectiveness (including GVA impact at the local level), as well as the wider VfM appraisal. This evidence will be consistent with HM Treasury’s Green Book and other relevant departmental appraisal guidance.

7.47 Where appropriate for the scale of funding (Over £7.5m) and type of activity, the appraisal will assess the Benefit to Cost ratio (BCR). Whilst recognising the national Benefit Cost Ratio (BCR) will remain the universal metric to assess VfM, the Combined County Authority will take account of a range of evidence when deciding to invest in a project (such as the local impacts on the economy and investment unlocked) within the context of a wider VfM appraisal. In the event that a scheme does not offer at least ‘high’ VfM (i.e., that the national BCR is below 2 and once significant non-monetised impacts and key uncertainties have been considered), the Combined County Authority may still decide, exceptionally, to invest in a project based on the strength of evidence presented within the overall business case, including the strategic case and local impacts. When assessing the BCR the Assessment Panel will use the following scale (not including transport where VfM is assessed in line with DfT guidance):

- BCR < 1: Poor VfM
- 1 < BCR < 1.5: Low VfM
- 1.5 < BCR < 2: Medium VfM
- BCR > 2: High VfM

7.48 Subject to SRO agreement, following review of the completed technical appraisal, Investment proposals will progress to the approval stage.

7.49 The business case development process operates as follows:

Development

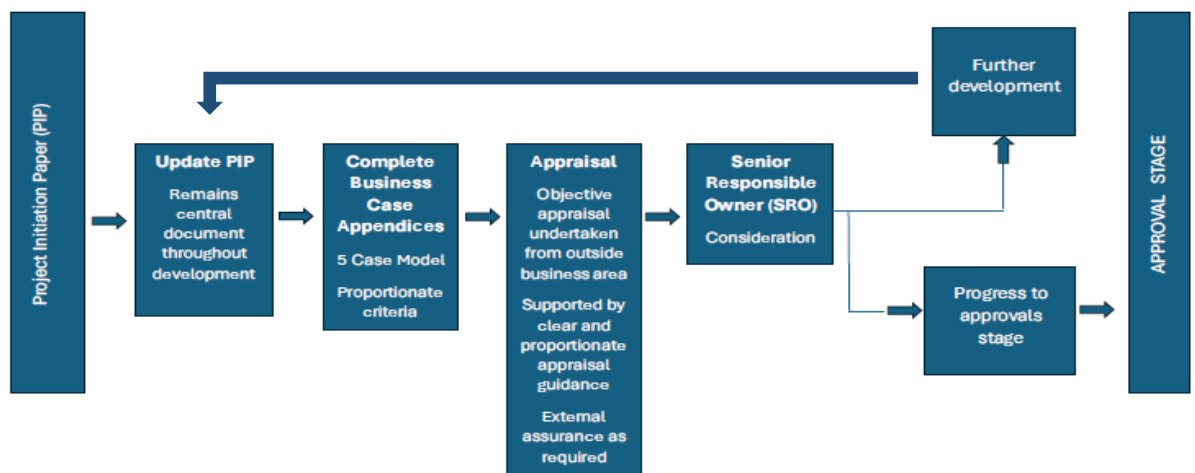


Figure 7D

Phase 3: Approvals Stage

- 7.50 This stage is to take funding decisions on business cases developed following the principles set out above, in line with the Combined County Authority's constitution. The approvals phase has been designed to ensure an ever-increasing level of assurance can be provided to the Combined County Authority relevant to the level of financial commitment. To support this and achieve better informed decision making the SAF has been developed to enable:
- Appropriate front end initiation process that drives strategic fit
 - Proportionate business case development process that meets national and Combined County Authority standards of best practice
 - Appropriate use of expertise to support business case development.
 - A skilled Programme Assurance Function to provide support and guidance throughout the SAF
 - Use of out of business area/second line of defence assurance principles and processes to undertake proportionate appraisal
 - Technical officer support through Technical Officer's Group (TOG) to focus GLCCA and Mayoral considerations and inform the decision-making process.
- 7.51 The approvals process is therefore supported through delivery of the following elements of assurance prior to entering the approvals phase:
- i. Front end project/programme initiation process that seeks Senior Management Team support, ensures involvement of relevant business areas from an early stage.
 - ii. Delivers a Principle of Approval by ensuring the GLCCA provides an approval for concept to enter the business case development phase either through inclusion in the Investment Plan or via approval of in-year proposals.
 - iii. Delivers business cases that must be developed in line with HMTs Green Book and Combined County Authority standards regarding strategic fit that drive value for money considerations and quality of content within business cases.
 - iv. Delivers second line defence appraisal of business cases in line with HMT Green Book principles.
 - v. Delivers an objective appraisal report from a Programme Assurance Function on all business cases to inform the GLCCA SRO in progressing them to the approvals phase and assuming responsibility for their content.
- 7.52 Approvals are based on proportionate financial delegation i.e. a request of £100,000 will not be scrutinised to the same level as a request for £5million. Time taken to reach an approval decision is also reflective of the financial ask.
- 7.53 The business case approvals phase begins following successful progression through the SAF Development Stage, which requires a Director (SRO) decision to progress the business case into approvals.

Approval Routes

7.54 The required approval route is dependent on the level of financial approval that is required. In principle, the approach to business case approvals will be as follows:

- £0.5 million and under:
Chief Operating Officer (COO) Approval in consultation with the mayor
- Over £0.5 million and up to and including £2.5 million:
Chief Operating Officer Approval in consultation with the relevant Board of the GLCCA (Transport; Skills and Employment; Business and Infrastructure)
- Over £2.5 million:
GLCCA Approval at a meeting of the GLCCA (Mayor and all Members)

7.55 These approval routes are supported by Technical Officers Group (TOG) who provide a technical test and challenge of business case proposals and make recommendations to the Chief Operating Officer, Boards and Combined County Authority.

7.56 TOG members will be expected to not only push the key lines of enquiry relevant to producing a quality business case, but also to ensure that agreed priorities of the GLCCA have been adequately addressed.

7.57 The Boards will consider the advice provided by TOG in coming to a decision on approval for business cases between £0.5 million and £2.5 million. Business cases over £2.5 million must be approved by the Greater Lincolnshire Combined County Authority. To support the Combined County Authority the relevant Board may be asked to consider such approvals first and make a recommendation on approval to the GLCCA.

7.58 These approval processes also involve an option of escalated progression to support the decision-maker if they have any concerns regarding a business case approval that has a significant reputational and/or political risk. In such circumstances approvals can be escalated to GLCCA for final approval.

Business Case Approval Process

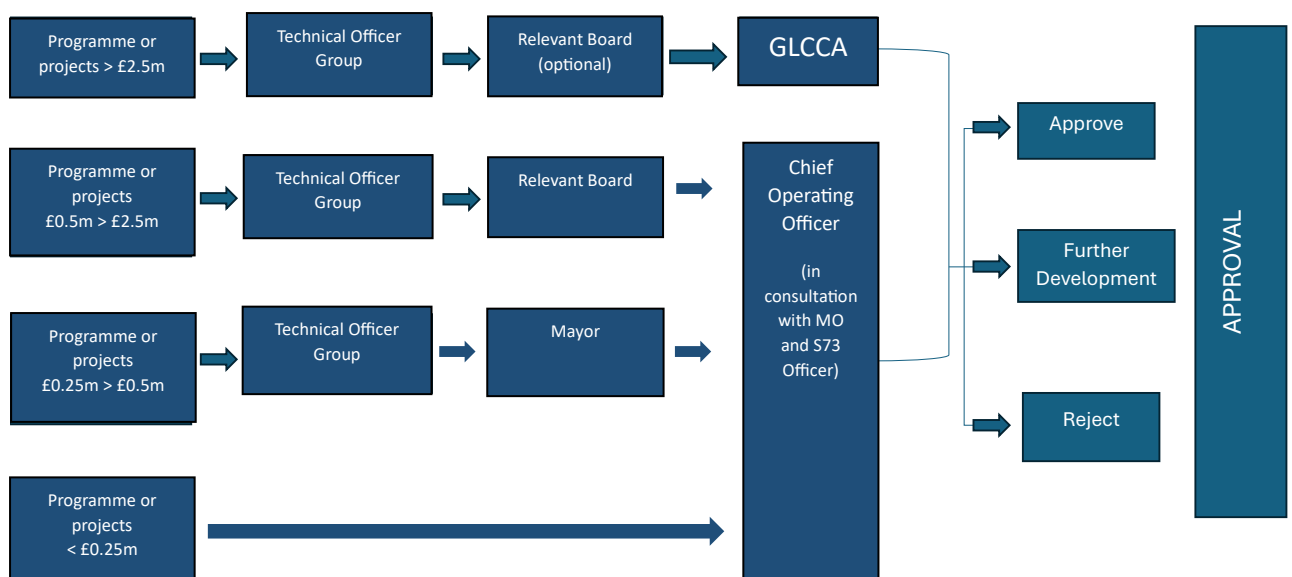


Figure 7E

- 7.59 Formal decisions by the Combined County Authority to commit funding on the basis of a business case approval will be made in accordance with the Combined County Authority's constitution by the GLCCA, Mayor or by officers under delegated powers.
- 7.60 **Externally Commissioned Due Diligence and Expertise:** For some high cost or novel business cases external due diligence may be required to be undertaken prior to investment being finally approved and an offer of funding formally made.
- 7.61 Key issues to be considered as part of the due diligence assessment would include development appraisals of individual schemes, and cost appraisals (where required) obtaining Red Book Valuations (where required) and for these to be provided by applicants. A review of mechanisms for investment would also be fundamental to ensure funding is UK Subsidy compliant.
- 7.62 Commissioned due diligence process would incorporate verification of outputs and a value for money assessment. Independent legal advice would be commissioned by applicants providing a report in respect of UK Subsidy in the context of GLCCA investment into the projects proposed.
- 7.63 The GLCCA will ensure that all decisions and activities conform with all relevant law (including UK Subsidy and public procurement) and that records are maintained so this can be evidenced.

Additional Considerations: Assurance of Transport Schemes

- 7.64 The Assurance Framework ensures a flexible and proportionate approach, enabling transport business cases to retain the benefits of local assurance in terms of speed of decision making. For the purposes of the Single Assurance Framework (SAF) a transport scheme is defined as any scheme that significantly changes the transport network infrastructure or its operation, whatever the objective of the scheme.
- 7.65 For transport schemes, the Combined County Authority will ensure that modelling and appraisal is sufficiently robust and fit for purpose for the scheme under consideration, and that modelling, and appraisal meets current DfT guidance for all schemes but for schemes with low cost (amount to be determined by GLCCA), a more proportionate approach may be taken. In addition to TAG, other robust or evidence-based assessments or methodologies may be employed to prioritise and assess the overall business case for a scheme. Transport Project Business Case assessments will be based on forecasts which are consistent with the definitive version of NTEM (DfT's planning dataset).
- 7.66 For transport investments, scheme promoters are required to complete bespoke templates that allow for more detailed transport specific criteria consistent with DfT guidance. For smaller scale and relatively straightforward transport schemes a specific template will be used, structured around the five cases business case model, which seeks to capture the critical aspects of the business case in a comprehensive but proportionate way.

- 7.67 The expectation is that all schemes must meet the defined business/operational need of the Combined County Authority and be measured against appropriate objectives from the early conception of the project. Project objectives will be independently assessed and applied to viable options that consider cost and benefit delivery at or above the “do minimum” option. The Combined County Authority will, as part of the assessment process commission a specialist transport consultant, fully independent from the scheme promoter and with no involvement in the development of the scheme being appraised, to fully assess and analyse the full business case for the project where appropriate. This analysis will include a full analytical and assurance statement including verification of the projects Net Present Social Public Value/BCR. The independent assessment will be published and made available to the GLCCA or relevant decision maker as part of the decision-making process.
- 7.68 Notwithstanding the above the GLCCA will be able to exceptionally approve transport schemes with lower NPSV/BCR having regard to specific circumstances including:
- The ability of the scheme to address multiple Combined County Authority policy objectives.
 - Significant levels of match funding being provided by the scheme promoter.
- 7.69 Examples of such exceptional circumstances could include where a transport scheme:
- Unlocks a major development site.
 - Stimulates significant land value uplift which can subsequently be captured.
 - Has a low NPSV/BCR but is part of a programme that can evidence a ‘high’ BCR as a minimum.
- 7.70 The justification will be clearly set out in the report before the Combined County Authority or at the point of decision making.
- 7.71 The recommendations to the Greater Lincolnshire Combined County Authority or relevant decision-maker will clearly explain the rationale for approving a scheme with medium or worse VfM and the implications of the recommendation.

Additional Considerations: Applications for Feasibility Funding

- 7.72 Subject to the availability of a feasibility fund, and available resources, the GLCCA may wish to support the development of strategic ideas or programmes or indeed pilot activity through this route. This will help support the case for future business case development or provide evidence to support subsequent major investment for a particular innovation or site linked to priority sector activity.

Feasibility Project Under £100,000

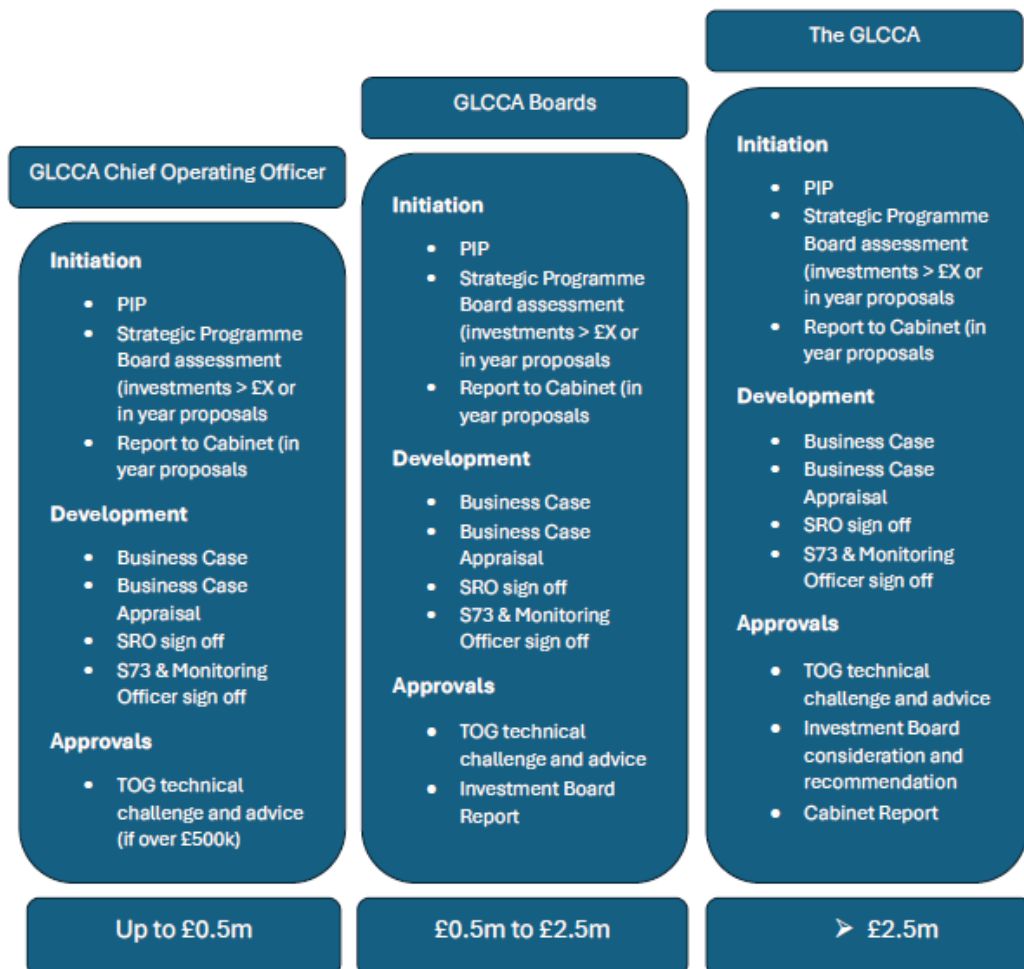


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Figure 7F

Summary of required documents

7.73 The process illustrates that the level of approval required is determined by the level of financial commitment, the following diagram provides an overview of the documentation required depending on the approval route taken:



Business case approvals up to £250k

- 7.74 Are approved by the Chief Operating Officer, in consultation with the S73 Officer and Monitoring Officer, under delegated authority. Business cases are progressed for approval following sign off by the relevant GLCCA (SRO), who approves the business case as complete and takes on responsibility for its progression through the approvals phase.
- 7.75 The Chief Operating Officer will then consider the business case for approval under delegated authority.

Business case approvals over £250k and up to £0.5 million

- 7.76 Are approved by the Chief Operating Officer, in consultation with the Mayor and the S73 Officer and Monitoring Officer, under delegated authority. Business cases are progressed for approval following sign off by the relevant GLCCA (SRO).
- 7.77 Business cases are initially reviewed by TOG in order to deliver a technical assessment, test and challenge the proposal. The TOG will provide the Chief Operating Officer with a summary on each business case proposal, noting observations to consider, including the strengths and weaknesses of a proposal, observations on the level of investment risk, key lines of enquiry to follow up on and providing any recommendations for improvement or to mitigate risks. This may lead to conditions to be added to funding agreements, conditions for withdrawal of support, additions to monitoring and evaluation plans. The Chief Operating Officer will then consider the business case for approval under delegated authority.

Business case approvals over £0.5 million and up to and including £2.5 million

- 7.78 As set out above approvals over £0.5 million and up to £2.5 million in value are initially reviewed by TOG, who will provide the relevant Board (Transport; Skills and Employment; Business and Infrastructure) with a summary on each business case proposal. This may lead to conditions to be added to funding agreements, conditions for withdrawal of support, additions to monitoring and evaluation plans.
- 7.79 The Board will then consider and make a recommendation to the Chief Operating Officer as they have the delegated authority to approve.
- 7.80 Where a business case forms part of a wider programme or scheme with a cumulative value in excess of £2.5m the business cases will be approved by the GLCCA.

Business case approvals over £2.5 million

- 7.81 For approvals over £2.5 million the process is as for approvals over £0.5 million and up to and including £2.5 million, with a review by TOG of each business case proposals. The decision to approve is made at a meeting of the GLCCA, rather than the Chief Operating Officer. The GLCCA may ask the relevant board (Transport; Skills and Employment; Business and Infrastructure) to consider and recommend the approval before determination by the GLCCA.

UK Subsidy Control

- 7.82 The Combined County Authority will ensure that all public funded programmes and projects are delivered in line with Subsidy Control law. This will include assessing all applications against the relevant requirements (which at this time are primarily set out in the Subsidy Control Act 2022 as clarified in the Statutory Guidance) and where necessary making referrals to the Competition and Markets Authority prior to an award being made.
- 7.83 All grant funding agreements will contain appropriate legal conditions on Subsidy Control. Where a misuse of a subsidy is identified, the Combined County Authority may exercise its right under Section 77 of the Subsidy Control Act 2022.
- 7.84 Subsidy Control will be considered as part of the decision-making process. The Combined County Authority will conduct appropriate legal due diligence should it determine that the characteristics of the proposal require additional scrutiny, including if a proposed measure is novel, contentious or repercussive.
- 7.85 Records of compliance will be kept. The transparency requirements set out in the Subsidy Control Act 2022 will be satisfied, in line with the relevant timescales.

Management of contracts and funding awards

- 7.86 Following Approval, the Programme Assurance Function will send out a Funding Offer Letter, which includes the following: Project Name, Applicant, Maximum Funding contribution (£), with details regarding when payment is to be issued, what is eligible expenditure, commencement and completion dates. This will be subject to review and sign off by the GLCCA Legal team prior to issue.
- 7.87 The Funding Offer Letter will also set out the monitoring and evaluation requirements and process to be followed. Contracts for Investment Funds are managed within the Programme Assurance Team.

Delivery, monitoring and evaluation

Release of Funding

- 8.1 Funding claims submitted to the Combined County Authority are checked against the approved project baseline information, which is included within the original funding agreement/contract including financial profiles, outputs and outcomes. Subject to a satisfactory review, payments will be released quarterly in arrears unless otherwise agreed.
- 8.2 A mechanism for 'claw-back' provision is to be included within funding agreements/contract to ensure funding is spent only on the specified scheme and linked to the delivery of outputs and outcomes.
- 8.3 Sample testing of invoices against expenditure and sample testing to verify outputs forms part of the monitoring process. This is part of the programme assurance role of the Combined County Authority.

Performance Reporting

- 8.4 The Combined County Authority Performance Management Framework works in close alignment with the Strategic Investment Framework to ensure there is a consistent, streamlined and joined-up approach to performance. The framework sets out our performance management approach, governance and processes.
- 8.5 The English Devolution Accountability Framework (EDAF) provides guidance on how Combined County Authorities and elected Mayors should be accountable to local scrutiny, the public and UK Government. Our Performance Management Framework supports us to comply with the standards in the EDAF, and how the Combined County Authority is committed to delivering good governance and strong measures of accountability.
- 8.6 The performance management framework includes how we are accountable to:
 - Local Scrutiny – through corporate performance reporting, committee reporting, and project reporting.
 - The Public – through Committee Meetings, Mayoral Question Time, Social and Digital Media, Performance Dashboard, Engagement with Partners and State of the Region Review.
 - UK Government – through reporting to various Government departments

Risk Management

- 8.7 The Risk Management Framework has been based upon the principles of the HMT Orange Book (2020); these are governance, integration, collaboration, processes, and continual improvement. The objective of the framework has been to adapt these principles to the Combined County Authority's ways of working, ensuring compliance with our SAF.
- 8.8 Risk management, is an essential and integral part of the Combined County Authority's planning and decision-making, enabling us to successfully meet our objectives.

- 8.9 Our Risk Management Framework includes:
- Our Corporate Risk Appetite
 - Escalation procedure
 - Roles and Responsibilities
 - The various levels of risk management at a Corporate, Service/Programme and Project level.
 - Our processes and tools within our risk procedure document.
- 8.10 The GLCCA is committed to implementing an organisation wide risk management culture that demonstrates high levels of risk maturity and best practice in the identification, evaluation and effective management of risk in respect of current activities and new opportunities. Each project put forward for consideration must have and maintain a risk register as a component of an effective monitoring and evaluation plan.
- 8.11 The Audit Committee is responsible for overseeing the Combined County Authority's Risk Management Framework and Procedures and the Corporate Risk Register, to ensure that risk management is being undertaken to the appropriate standard and in line with the Risk Management Framework.

Change Requests and Funding Clawback

- 8.12 Change Control is the process through which all requests to change the approved baseline of a project or programme are captured, evaluated, and then approved, rejected or deferred. A change request form is required when the tolerances that were set out in the approved Business Case are or will be breached. This includes changes to Time, Cost and Scope.
- 8.13 All early warnings and project change requests must be clearly documented, with evidence of approvals and notifications saved where applicable and recorded.
- 8.14 Approval routes should always be led by the delegation amount and proportionate, this means change requests do not need to be approved by the 'original approver' if the change is minor and could unnecessarily delay project progress.
- 8.15 Where an increase in funding is required over 10% of the over project, this will need to go to the appropriate Board or the GLCCA for approval, in line with agreed delegations. Early warning notifications should be reported to the SRO and Programme Assurance at the earliest opportunity, who will escalate as appropriate. Under 10% the Head of Paid Service could review and approve the request unless they deem the decision to be novel or contentious.
- 8.16 Change tolerances above those detailed within the approved business case and/or above the tolerance levels set out in the Change Management procedure must be considered for approval by Investment Board.
- 8.17 Funding clawback and recovery processes for underperforming projects are to be clearly addressed in the funding agreement/contract.

Monitoring and Evaluation

8.18 The Combined County Authority Monitoring and Evaluation Framework will be developed in accordance with HMT's Magenta (Guidance for Evaluation) and Green (Guidance on Appraisal and Evaluation) Books. The overall approach to monitoring and evaluation is underpinned by the following principles:

- Reporting requirements are locally defined and reported to the Senior Management Team in a consistent fashion.
- Evaluation is meaningful and proportionate.
- Data is collected once and used many times to inform other critical documents, such as the Business Planning process and Annual Report
- Baseline information is consistent across key initiatives.
- Monitoring and evaluation is a core part of all activities.
- Lessons learned are used to inform future policy, projects and programmes, especially in the strategic planning process.

8.19 All projects that go through the SAF, will have an effective monitoring and evaluation plan which will form an important component of the business case. This will help assess the effectiveness and impact of investing public funds, and the identification of best practice and lessons learnt that can inform future delivery.

8.20 The monitoring plan will guide the collection of data from individual projects and will be designed to ensure that it meets the requirements of both the Combined County Authority and Government. This framework aims to ensure that these commitments are delivered by setting out the approach, principles, role and responsibilities for the monitoring and evaluation of projects and programmes both in the Devolution Deal and within any wider Combined County Authority activity.

8.21 The monitoring plans will be proportionate and in line with the latest government department guidance where relevant. For example, all transport schemes (over £5m) will follow Monitoring and Evaluation Guidance for Local Authority Major Schemes. The draft plans are created by the project manager and then consulted upon with the Programme Assurance Function and evaluation team, to ensure consistency, quality of plans and value for money for any planned external consultancy to support evaluation as applicable. Plans are then signed off as per the governing arrangements for that specific project.

8.22 The Combined County Authority has a varied level of evaluation depending on the nature of each project as per the Monitoring and Evaluation Framework, this will depend on the following questions:

- Is the project funded through Investment (Gainshare) funding (in the GLCCA's case the core agreement with central government to devolve £24m per year over 30 years)? If so, it is subject to the agreed independent national evaluation framework process.

- Is the project funded through other streams and identified as being important in terms of the expected benefits to be achieved? If so, it is subject to a full independent evaluation commissioned by the GLCCA locally.
 - Is the project identified as one where significant learning is available that would help to inform future policy making either locally or nationally? This will include projects that are innovative or considered 'pilots'. If so, evaluation work in this case would either be commissioned independently or carried out locally within the public sector.
 - Other projects not included above would be subject to 'self-evaluation' based on an agreed approach within submitted business cases. The funding partner may be responsible for this.
- 8.23 The approach to evaluation will be set out within the initiation documentation and Business Case and agreed through the approval stage. Where the GLCCA is awarded funding from Government, they will meet the required obligations regarding monitoring and evaluation on the acceptance of grant funding.
- 8.24 By having a clear monitoring and evaluation framework in place the Combined County Authority is able to:
- **Provide local accountability** to the public by demonstrating the impact of locally devolved funding and the associated benefits being achieved.
 - **Provide accountability to Government** and comply with external scrutiny requirements i.e. to satisfy the conditions of the Devolution Deal.
 - **Understand the effectiveness of policies or investment** and to justify reinvestment or modify or seek alternative policy.
 - **Develop an evidence base for input into future business cases and for developing future funding submissions.** The Monitoring and Evaluation Framework will define the principles of collection, collation and analysing data which can be utilised for future work and especially in relation to economic impact of particular interventions creating 'benchmarks'.
- 8.25 Lessons learnt from evaluation will be reported to the GLCCA and across the governance framework as required and the SAF itself will undergo review by Audit Committee within the conditions set out earlier for review of the local assurance framework.
- 8.26 **Five-Year Gateway Review:** The Greater Lincolnshire Combined County Authority will be subject to five-yearly Gateway Reviews to assess investment impact of the Investment Fund and has developed a Local Evaluation Framework, in line with Government expectations to support this process. The GLCCA will be subject to an independent panel review to assess the impact of its Investment Fund expenditure

Communications

- 9.1 **Engagement of Local Partners and the Public:** A suite of communications guidance for funding streams has been developed. Communications objectives are to:
- Keep the public and stakeholders informed about the progress and milestones of devolution.
 - Encourage the public and stakeholders to get involved in engagement or consultation activities.
 - Build support for the Greater Lincolnshire devolution by sharing the vision, ambitions and the benefits it will have for local people.
 - Ensure the Greater Lincolnshire CCA's position is presented fairly and accurately in any related media coverage.
- 9.2 All communications activity complies with the code of recommended practice issued under the Local Government Act 1986. The code requires that any publicity describing the Combined County Authority's activities and aims should be as objective as possible, concentrating on facts or explanation or both. Any comment should be objective, balanced, informative and accurate. All publicity and comments are free from political bias.
- 9.3 Primary communications tools are:
- Website: All information about the Greater Lincolnshire CCA, including background information, timelines, news and events, will be published on the Greater Lincolnshire CCA website.
 - Social media: All news, updates and events will be shared via social media.
 - A suite of funding publicity guidance for beneficiaries/ delivery partners will also be available on the website.
- 9.4 **Working with the media:** The Greater Lincolnshire CCA will actively engage with the media to amplify messages to the broadest possible audiences.
- 9.5 **Accessibility:** All communications relating to the Combined County Authority are accessible and transparent. Stakeholders and the public will be kept updated with progress, delivery and decision making. It also supports effective and meaningful engagement activity to encourage participation in the relevant activities and enable local partners and the public the opportunity to inform key decisions and future strategy development. The communications approach takes into account the requirements of the following:
- Project applicants
 - Governance requirements
 - Wider partnership requirements
 - Communities' requirements

Appendices

Appendix 1 – Mayoral Functions

The main functions that are the responsibility of the Mayor:

- a) Transport
 - (i) Power to draw up a local transport plan and strategies (although the Combined County Authority may amend these).
 - (ii) Power to direct on the key routes network.
 - (iii) Bus franchising powers.
 - (iv) Ability to pay grants to operators.
- b) Housing and regeneration
 - (i) Land acquisition powers to support housing, regeneration infrastructure and community development and wellbeing subject to consent from specified Combined County Authority Members.
 - (ii) Power to designate a Mayoral Development Area and then set up a Mayoral Development Corporation subject to consent from specified Combined County Authority Members.
- c) Finance
 - (i) Setting a precept on council tax to fund Mayoral Functions.
 - (ii) Power to charge business rate supplement (subject to ballot).

The Full list of functions is included in the Powers Table of the GLCCA constitution

Appendix 2 – Non- mayoral Functions

The majority of the functions of the proposed GLCCA will be utilised by the GLCCA as a whole. The proposed functions, powers, consent and voting for the GLCCA are set out in full as an appendix to the Proposal.

These would include:

- (i) The duty to set a budget for the CCA (including funding for the functions of the CCA);
- (ii) Economic development and regeneration functions, including the preparation of an economic assessment for the area; to embed a strong, independent, and diverse local business voice into local democratic institutions and to carry out strategic economic planning that clearly articulates the area's economic priorities and sectoral strengths.
- (iii) Adult education and skills functions;
- (iv) Transport functions, including to identify, agree, set up and coordinate a Key Route Network (KRN) on behalf of the Mayor;
- (v) Housing supply, regeneration and place-making functions, along with provision of housing and land, land acquisition and disposal and the development and regeneration of land functions;
- (vi) Power to borrow up to an agreed cap for all functions;
- (vii) Data sharing with the Constituent Councils in areas relating to the MCCA functions
- (viii) Power to establish joint arrangements
- (ix) Incidental powers in relation to its functions (the power to do anything which is incidental to the exercise of its functions).
- (x) A functional power of competence (this means that the CCA will have the power to do anything reasonably related to the exercise of their functions).

The Full list of functions is included in the Powers Table of the GLCCA constitution

Appendix 3- Adult Skills Fund (ASF)

1. All investment decisions made in relation to this funding are undertaken having given full consideration to:
 - Statutory duties relating to adult education and training which have been transferred to the Combined County Authority under Statutory Instruments.
 - Statutory entitlements to education and training of adults living in devolved areas, and policy entitlements where relevant.
 - Statutory and non-statutory guidance.
2. Building on our devolution prospectus and proposal, a Greater Lincolnshire Employment and Skills Strategy will set out a ten-year skills vision for the area. This will bring together employment and skills priorities from our sectors, our employers, from our places and our people, incorporating the evidence base from the GLEP and the locally designated Employer Representative Body (ERB) responsible for the Local Skills Improvement Plan.
3. A Greater Lincolnshire Strategic Skills Plan (SSP), required as part of our readiness conditions for devolution, will set out the strategic vision and priorities specifically for the Adult Skills Funding (ASF) programme. This will provide a clear direction of how the Adult Skills Fund will be commissioned. The Employment and Skills Strategy and the ASF Strategic Skills Plan support the Greater Lincolnshire Combined County Authority's strategic objectives set out in the Greater Lincolnshire Plan and the GLCCA Investment Plan.

Annual Assurance Report

4. The Combined County Authority produces an Annual Assurance Report on the delivery of its Adult Skills Fund functions in line with wider monitoring and evaluation requirements and the English Devolution Accountability Framework. This is reported to the Department for Education (DfE) by 31 January each year.
5. The Combined County Authority will also submit its Annual Assurance Statement to the DfE in July each year following consideration by the GLCCA.

Funding Requirements

6. The Combined County Authority publishes its Funding & Performance Management Rules specific for each academic year. This document sets out the conditions of the Adult Skills Fund and applies to all providers who receive ASF funding from the Combined County Authority.

Stakeholder Engagement

7. The Combined County Authority regularly consults with its key stakeholders, including providers and learners, in order to best inform policy direction and decision making.

Monitoring and Evaluation

8. The Adult Skills Fund reporting will operate in line with the English Devolution Accountability Framework, it will be included within the Greater Lincolnshire monitoring and evaluation submissions as required under the devolution agreement.

9. The Combined County Authority has submitted our policies for adult education, these were required as part of the readiness conditions and have been published as part of the commissioning process. The Combined County Authority's Monitoring and Evaluation Framework will be used for the Adult Skills Fund activity including the use of logic models. It will meet the national requirements together with locally determined requirements so that it can be used to inform and shape the criteria for future funding awards. This formal evaluation is undertaken on an annual basis.

Assurance

10. The Combined County Authority is responsible for assuring the use of funds by all training providers and colleges delivering the Adult Skills Fund. Wider assurance includes internal controls such as performance management and monitoring, risk management and quality assurance review.

Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

2025/26 Budget & Medium-Term Financial Plan

Purpose of the report

This report is to approve the 2025/26 Budget and provide further detail on the management of the Authority's resources over the medium term.

Recommendation

It is recommended that the Combined County Authority

- a. **approve the 2025/26 budget and Medium-Term Financial Plan (Appendix A)**
- b. **agree to adopt an interim Treasury Management Policy and Strategy Statement**
- c. **note further work required to refine the medium-term financial plan and funding model for the Authority**
- d. **opt into the national Public Sector Audit Appointment (PSAA) framework to progress appointment of an external auditor**

Voting and consent arrangements

Voting on the budget is a reserved matter, only the mayor and constituent members may vote. Voting is a simple majority vote of constituent council members to include the mayor (or chairman prior to first mayoral election).

There are no consent requirements for this decision.

Contact details for the report

Report on behalf of: Rob Walsh, Chief Executive, North East Lincolnshire Council
Report prepared by: Guy Lonsdale, Assistant Director Finance, North East Lincolnshire Council

Information

- 1 The Greater Lincolnshire Combined County Authority Regulations 2025 (“the 2025 Regulations”) came into force on 5 February 2025, with the majority of its provisions applying immediately and the remaining provisions coming into force with the election of a Mayor for the Greater Lincolnshire Combined County Authority area on 1 May 2025.
- 2 The formation of the Greater Lincolnshire Combined County Authority and the election of a directly elected mayor to provide overall vision and leadership, will seek the best value for taxpayer’s money, be directly accountable to the area’s electorate and receive new powers on transport, housing and skills.
- 3 The Combined County Authority will manage a £24 million per year allocation of investment funding for 30 years, 50% capital and 50% revenue, to support and drive growth and take forward agreed priorities over the long term.
- 4 Mayoral Capacity Funding totalling £2M has been provided to support the Combined County Authority in the early stages of its development.
- 5 The budget incorporates £1M per annum Skills for Jobs funding received from Government as part of the devolution deal.
- 6 The Combined County Authority will take a role in planning and delivery at a strategic level for the UK Shared Prosperity Fund (UKSPF), subject to funding, policy and delivery considerations at the next Spending Review.

Detailed information to achieve the purpose of the report

- 7 As a corporate body, the Combined County Authority has a requirement to set a balanced budget. That budget needs to be set at a level sufficient to meet the Authority’s legal and financial commitments and ensure the proper discharge of its duties. At the same time the Authority must be able to demonstrate proper stewardship of public funds.
- 8 Over the coming months it is intended that the Combined County Authority will prepare the Greater Lincolnshire Plan, working with the newly elected Mayor to deliver a detailed corporate plan to guide how resources are prioritised. To enable that work to progress and to ensure that the Combined County Authority satisfies its legal obligation, it is proposed that the Authority approve an interim operating budget. That budget is detailed within Appendix A to this report.
- 9 The figures incorporated within the budget are based upon a range of funding and expenditure assumptions for the Combined County Authority.
- 10 The key funding streams for 2025/26 include external grant from central Government, non-recurrent capacity funding, investment income from cash balances and contributions from constituent authorities

- 11 Forecast operating expenditure relates to the interim structure, Service level agreements with constituent authorities for the provision of corporate and support services, non-staffing costs including insurance, travel, external audit and subscriptions, the mayoral office, costs associated with the delivery the inaugural Mayoral election in May 2025 and contingency to meet any unforeseen events.
- 12 As a newly established entity, the organisation will not hold any reserves and therefore it will be necessary to build reserves up over time to meet future commitments. Most notably, future commitments include the costs of delivering periodic mayoral elections. It is proposed that contributions to reserves in 2025/26 are used to support the creation of a general fund balance.
- 13 Further work will need to be undertaken to refine the medium-term financial plan and develop a sustainable funding model for the Authority following the election of the Mayor in May 2025 and the adoption of the Greater Lincolnshire Plan. Initial budget estimates for 2026/27 and 2027/28 have been incorporated into the analysis in Appendix A.

UK Shared Prosperity fund

- 14 The GLCCA will be the lead local authority for the planning and delivery of the UKSPF from 2025/26. The Authority will have overall accountability for the funding and how the Fund operates in the area, with wide flexibility to invest and deliver according to local needs.
- 15 In carrying out this role, the Authority will need to engage with its constituent councils and district councils and other local partners to ensure that the needs of residents can be effectively addressed.
- 16 It is proposed that the one-year single pot allocation of UKSPF is passported to existing delivery authorities based on the same funding share as the 2022 allocation, giving each area the opportunity to prioritise local need, extend successful projects, or identify new ones. North East Lincolnshire Council will administer the fund on behalf of the Authority.

Local Transport Authority

- 17 The GLCCA will become the Local Transport Authority for the new combined county authority area and take on the associated responsibilities and local public transport powers. The Authority will assume responsibility for an area-wide Local Transport Plan and to set up and coordinate a Key Route Network (KRN).
- 18 It is proposed that Local Transport Plan funding is passported to constituent authorities in 2025/26 in line with current allocations. Looking ahead, it will be necessary for the Authority to establish clear underlying principles for the management and distribution of transport funding allocations.

Treasury Management

- 19 The Authority will manage and hold material cash balances through its Investment Fund and other grant funding allocations. It is proposed that the Combined County Authority adopts the Treasury Management strategy and practices of North East Lincolnshire Council on an interim basis. As medium-term plans are developed and defined, the strategy will need to be tailored to reflect the specific needs, risk appetite and ambitions of the Authority.
- 20 The Authority has been given powers to borrow for its new functions, which will allow it to invest in economically productive infrastructure, subject to an agreed cap with HM Treasury. The Authority will need to agree overall debt limits with HM Treasury. These limits are subject to review and oversight by HM Treasury and will be incorporated into future iterations of the Treasury Management Strategy.

Investment Strategy

- 21 The Greater Lincolnshire Investment Strategy will set out the transformational investments that the Authority will commit resources to, and the process required to make those investment decisions. Investment activity will be facilitated through the Investment Fund with the selection of schemes focused on supporting growth, driving social value, tackling market failure and maximising value for money.
- 22 The Investment Fund can be used for capital projects such as infrastructure, equipment or buildings that support economic activity, and revenue projects that support businesses, skills providers or other organisations that play a role in the economy. At this stage options are still being developed.

Adult Skills Fund

- 23 The Adult Skills Fund (ASF) is a key aspect of the devolution deal, with the Authority taking responsibility for the ASF from August 2026 subject to meeting Department for Education readiness conditions. As part of that arrangement the Authority has received implementation funding which is also reflected in the budget.

Robustness of estimates

- 24 The proposed budget for 2025/26 is considered to be based upon robust estimates and indicative allocations for 2026/27 and 2027/28 are considered to be reasonable based upon the information available at this time. However it is acknowledged that the medium term plan and associated Treasury Management Strategy will need to be revisited as the Authority matures and its priorities are confirmed.
- 25 Over time the Authority will need to build its reserves to support the management of its risks and priorities.

External audit

- 26 Public Sector Audit Appointments is designated as an appointing person for principal local government and police bodies for audits, under the provisions of the Local Audit and Accountability Act 2014 and the Local Audit (Appointing Person) Regulations 2015. It is proposed that the Authority opts into this national scheme for appointing an external auditor.

Alternative options considered

- 27 None. The Authority is required to set a balanced budget by statute.

Reason for the recommendation

- 28 The approval of the budget and adoption of the Treasury Management Strategy is required in order for the Authority to manage its financial resources effectively.

Implications, advice and guidance

- 29 Further refinement of the medium-term financial plan, treasury management and investment strategies will take place during 2025 and be reported by to the Authority for further decision at a later date.
- 30 The appointment of an external auditor can be progressed immediately. Once appointed, the Authority will need to work closely with its external auditors to support the development of robust internal control, good governance and value for money arrangements.

Public sector equality duty implications

- 31 No specific implications were identified in the preparation of this report.

Legal implications / comments

- 32 The Authority has a fiduciary duty to set a balanced budget at the start of every year for the coming financial year. It is unlawful for the Authority to spend more money than it has available.

Finance and resource implications / comments

- 33 The financial and resource implications are set out in the body of the report.

Greater Lincolnshire policy / comments

- 34 The budget and MTFP are required as part of the arrangements to enable devolution to the mayor and Greater Lincolnshire Combined County Authority.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- Constituent councils and the Joint Strategic Oversight Committee.

Appendices included with this report

The following documents are included:

- Appendix A – Budget and Medium-Term Financial Plan

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
Greater Lincolnshire Devolution Deal 2023	https://www.gov.uk/government/publications/greater-lincolnshire-devolution-deal-2023
Interim Treasury Management Strategy	https://www.nelincs.gov.uk/assets/uploads/2024/06/5.-Cabinet-Report-Treasury-Management-Policy-and-Strategy-Statement-2025-26.pdf

GLCCA Budget and Medium-Term Financial Plan

March 2025

OPERATING BUDGET	25/26 (£000)	26/27 (£000)	27/28 (£000)
Mayoral capacity funding	1,500	300	200
Contribution from grants	1,800	1,800	1,800
Investment income	400	500	650
Contribution from Constituent councils	300	-	-
TOTAL INCOME	4,000	2,600	2,650
Operating structure	965	998	1,033
Non staffing costs	360	373	386
Corporate and enabling	675	699	723
Contingency	35	50	28
Election costs	1,650	-	-
Mayoral office	115	130	130
TOTAL EXPENDITURE	3,800	2,250	2,300
Contribution to reserves	200	350	350
NET BUDGET	0	0	0

GRANT FUNDED EXPENDITURE	25/26 (£000)	26/27 (£000)	27/28 (£000)
Skills for jobs (revenue)	1,000	1,000	1,000
ASF Implementation (revenue)	150	38	-
Devolved ASF (revenue)	0	TBC	TBC
Investment Fund (Revenue)	10,200	10,200	10,200
Investment Fund (Capital)	12,000	12,000	12,000
LTP Active Travel (passported)	2,227	2,227	2,227
LTP BSIP (passported)	18,509	18,509	18,509
LTP Maintenance Block (passported)	53,807	53,807	53,807
LTP New Fund (passported)	19,667	19,667	19,667
LTP Integrated Travel Block	TBC	TBC	TBC
UK SPF (Revenue, passported)	10,143	-	-
UK SPF (Capital, passported)	1,977	-	-
UK SPF (Capital)	2,666	-	-
TOTAL	132,346	117,448	117,410

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Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Recommended Scheme of Members' Allowances

Purpose of the report

To receive and consider the report of the Independent Remuneration Panel (IRP) in order to approve a scheme of Members' Allowances for the financial year 2025/26 (or for a reasonable period of no longer than four years) in accordance with the Local Authorities (Members' Allowances) (England) Regulations 2003, Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) (Amendment) Regulations 2024 and The Greater Lincolnshire Combined County Authority Regulations 2025.

Recommendation

It is recommended that the Combined County Authority

- a. **having regard to the Independent Remuneration Panels' report and recommendations, set the level of remuneration for the elected Mayor at £86,060 (which is within the range recommended by the Independent Remuneration Panel's report) for inclusion in the approved scheme of allowances.**
- b. **having regard to the Independent Remuneration Panel's report and recommendations, approve and adopt a Members' Allowance scheme for the 2025/26 financial year or for a reasonable period of no longer than four years.**
- c. **authorise the Monitoring Officer to carry out additional associated work to implement the scheme and provide members with guidance on how to submit claims for allowances and how and when remuneration will be received.**

Voting and consent arrangements

Simple majority vote to include the mayor (or chairman prior to first mayoral election). There are no consent requirements for this decision.

Contact details for the report

Report on behalf of: Alison Barker, Chief Executive, North Lincolnshire Council
Report prepared by: Charlotte McKay, Assistant Director (Legal), North Lincolnshire Council

Information

1. The Greater Lincolnshire Combined County Authority (GLCCA) is required to make an annual scheme of Members' Allowances for each financial year (this includes remuneration for the elected Mayor).
2. The GLCCA may set a scheme at the beginning of each year for a minimum of one year or for a reasonable period of no longer than four years. A scheme may be amended at any time but may only be revoked with effect from the beginning of a year. The Authority cannot make or amend a scheme without consultation with and having regard to recommendations of the Independent Remuneration Panel.
3. The Independent Remuneration Panel (IRP) appointed from IRPs used by constituent councils was the North Lincolnshire Council IRP. It comprised three independent lay members experienced in IRP responsibilities over several years and with related extensive public sector knowledge and perspective. (The GLCCA may in future continue to use a constituent council IRP or appoint its own IRP).
4. The IRP was required through its report to recommend a scheme of allowances to the GLCCA regarding allowances payable to:–
 - The Mayor
 - Deputy Mayor (provided that they are not a leader or elected mayor of a constituent council and is not in receipt of an allowance from a constituent council for any other role).
 - Members of the overview and scrutiny committee and any sub-committee of that committee, and
 - Members of the audit committee

(Any Independent Persons cannot receive an allowance if they are a member of the GLCCA or its committees)
5. No other remuneration is to be payable by the GLCCA to its members other than allowances for travel and subsistence paid in accordance with a scheme approved by the GLCCA.
6. Allowances paid do not exceed the amount specified in the recommendations made by the Independent Remuneration Panel.
7. The three constituent councils are Lincolnshire County Council, North Lincolnshire Council and North East Lincolnshire Council.
8. Associated costs of the scheme of allowances are paid by the GLLCA.

9. The work of the IRP including regulatory context, approach and considerations are set out in its report attached as Appendix A, together with its recommendations contained in Schedules A, B and C of its appendix 1.

Alternative options considered

10. To not adopt the scheme of members allowances. This is not recommended.
11. To agree an alternative level of remuneration for the Mayor within the range recommended by the IRP of £85,000 - £90,000. The suggested £86,060 is based on the average annual Mayoral Allowance for those with non-PCC and Fire responsibilities, as of July 2024.

Reason for the recommendation

12. The GLCCA is required to adopt a scheme of members allowances. The approach set out in the report has regard to the recommendations of the IRP.
13. The suggested remuneration for the Mayor of £86,060 is based on the average annual Mayoral Allowance for those with non-PCC and Fire responsibilities, as of July 2024, and is within the range recommended by the IRP of £85,000 - £90,000.

Implications, advice and guidance

14. The proposed appointments will advise the Combined County Authority in its work across the whole of the Greater Lincolnshire.

Public sector equality duty implications

15. No specific implications were identified in the preparation of this decision.

Legal implications / comments

16. The GLCCA, in accordance with the Local Authorities (Members' Allowances) (England) Regulations 2003, Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) (Amendment) Regulations 2024 and The Greater Lincolnshire Combined County Authority Regulations 2025, must have regard to the IRP's report and recommendations before approving and adopting a Members' Allowance Scheme.

Finance and resource implications / comments

17. Estimated costs of the recommended remuneration allowances of the IRP will be subject to setting the elected Mayor's allowance within the proposed recommended range and the appointment of a Deputy Mayor (who may qualify for the recommended allowance or not). Also, the number of appointed members to overview and scrutiny committees(s) and an Audit Committee also has an impact. On costs will include travel, subsistence and associated allowances claimed by members and future annual costs include any adjustments to levels of allowances through indexation as recommended.

The estimated costs of remuneration allowances have been reflected within budget estimates.

18. The elected Mayor and members of the GLCCA will receive guidance on how to submit claims for allowances and how and when remuneration will be received.

Alignment with Greater Lincolnshire policy / comments

19. The proposed scheme of members allowances is consistent with the Proposal for Devolution to Greater Lincolnshire, which sets out that no remuneration is to be payable by the Combined County Authority to its members, other than allowances for travel and subsistence paid in accordance with a scheme approved by the Combined County Authority.
20. The Proposal further set out that the Combined County Authority may establish (or use an existing constituent council) independent remuneration panel to recommend a scheme to the Combined County Authority regarding the allowances payable to the mayor and the Deputy Mayor provided that the Deputy Mayor is not a leader or elected mayor of a constituent council; and any independent persons who are members of the combined county authority or its committees.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- The report was prepared based on recommendations from the North Lincolnshire Council IRP.

Appendices included with this report

Appendix A - Report of the Independent Remuneration Panel (September 2024)

Appendix B - Draft Member Allowances Scheme

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
Local Authorities (Members' Allowances) (England) Regulations 2003	https://www.legislation.gov.uk/uksi/2003/1021/contents/made
Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) (Amendment) Regulations 2024.	https://www.legislation.gov.uk/uksi/2024/430/contents/made
The Greater Lincolnshire Combined County Authority Regulations 2025.	https://www.legislation.gov.uk/uksi/2025/117/contents/made

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**REPORT OF THE INDEPENDENT REMUNERATION PANEL
(SEPTEMBER 2024).**

**RECOMMENDED
GREATER LINCOLNSHIRE
COMBINED COUNTY AUTHORITY
MEMBERS' ALLOWANCES SCHEME**

Regulatory Context

1. This report contains the considerations and recommendations of the Independent Remuneration Panel (IRP or the Panel) appointed to make recommendations on a members' allowance scheme for consideration and approval by the Greater Lincolnshire County Combined Authority (GLCCA) once established.

The IRP was in the unusual position of carrying out its work when the Draft Statutory Instrument 'The Greater Lincolnshire Combined Authority Regulations 2024' (the statutory instrument) had not become law and had been held in abeyance because of restricted parliamentary time due to the snap July 2024 General Election. The position at the time of writing this report remains unchanged. Consequently, the Panel carried out its work on the assumption that the parameters of Schedule 1 Paragraph 9 'Members Allowances' of the draft regulation would apply (using those at its terms of reference). Full details of the draft provision are set out in the draft Statutory Instrument and in short state –

- An established Independent Remuneration Panel (at least three members appointed by the GLCCA or using an existing constituent council IRP) to recommend a scheme to the GLCCA regarding allowances payable to –
 - i. The Mayor.
 - ii. Deputy Mayor (provided that they are not a leader or elected mayor of a constituent council and is not in receipt of an allowance from a constituent council for any other role).
 - iii. Members of the overview and scrutiny committee and any sub-committee of that committee, and
 - iv. Members of the audit committee
(Any Independent Persons cannot receive an allowance if they are a member of the GLCCA or its committees)
- No other remuneration is to be payable by the GLCCA to its members other than allowances for travel and subsistence paid in accordance with a scheme approved by the GLCCA.
- Allowances paid do not exceed the amount specified in the recommendations made by the Independent Remuneration Panel.

The three constituent councils are Lincolnshire County Council, North Lincolnshire Council and North East Lincolnshire Council.

Associated costs of a proposed scheme of allowances should be paid through funding from central government rather than constituent councils.

The Panel

2. The IRP appointed was the North Lincolnshire IRP and all its members experienced in IRP work over several years with a public sector knowledge and perspective. Members are –
Martin Allingham, Tony Forbes and Richard Johnson (with officer guidance and support from the Head of Democracy, North Lincolnshire Council).

Approach and Considerations

3. Due to relatively short time scales and panel availability within that, the panel met once to become familiar with the work requested and on a further occasion before approving its report and recommendations. With the above assumptions referred to in paragraph 1 the panel applied available comparative data particularly of -
 - All other established County Combined Authorities (CCAs), deliberating upon and considering/benchmarking functions and responsibilities (including finance) of those CCAs, functions and responsibilities of associated elected mayors, overview and scrutiny and audit committee functions and comparative allocated levels of remuneration.
 - Remuneration scheme levels of existing constituent councils and remuneration levels for other significant public sector posts.
 - Population and geographic size of existing CCAs

Appendix 2 to the report sets out some examples of but not all comparative data considered.

4. The IRP was quite clear that its recommendations for a GLCCA members' allowance scheme' would be considered by existing governance groups/board (involving key joint constituent council members and officers) in the current interim period before a GLCCA is formally established in law. In the limited timescales available these arrangements were considered to be an appropriate opportunity for 'consultation' on its recommendations, and any suggestions on the content of its recommendations could be considered/updated and approved by the Panel in the interim period prior to formal submission of its report to the first meeting of the GLCCA (when established in law). (The IRP acknowledged that any proposed scheme agreed in principle prior to an election for an elected mayor or before the

GLCCA is established formally would be helpful information to constituent councils and future prospective candidates/agents).

The Mayor and Deputy Mayor Allowance

5. The Panel considered evidence of devolved powers, budgets/financial responsibilities and comparable and benchmarking data around the role and responsibilities of the Mayors of other existing combined authorities and public organisations. It deemed the profile, responsibilities and workload of the Mayor as considerable, as the public face of the GLCCA and arguably the most high-profile political position of the region. The role would also be vital to ensure the GLCCA works collaboratively enabling delivery of its key functions.
6. Comparable data aligned to similar responsibilities and experience of Mayors of existing combined authorities considered by the Panel indicated the position of the Mayor would be sizeable, clearly a full-time position with a number of boards, committees and panels to attend alongside numerous community and regional, national and possibly international engagements and appointments. The role of the Mayor is key to improving economic prosperity and opportunity across the region, raising living standards of all communities, developing and maintaining relationships with numerous stakeholders, with central government and with the private sector, while making a full contribution to the UK economy. The geographical size of the GLCCA is also seen as one of the largest combined authority area with a mix of rural and urban areas adding complexity, various expectations and challenges to the role.
7. The IRP's deliberations concluded that there were two main differences in a Mayoral allowances – those combined authorities with significant additional responsibilities and devolved financial arrangements (Greater Manchester and West Midlands for example) and those that included Police and Crime Commissioner (PCC) and/or Fire responsibilities (the above and West Yorkshire and York and North Yorkshire for example). Consequently, it is the Panels view that remuneration level of a Greater Lincolnshire Mayor should be recommended taking into consideration the remaining similar existing combined authorities using the comparable data listed in paragraph 5 and 6 above, and therefore recommended an annual allowance range of £85,000 - £90,000, which the GLCCA could set at a specific remuneration level within. Subject to ongoing reviews of mayoral allowances of existing combined authorities, as of July 2024 there was an overall average annual Mayoral Allowance of £92,746 and for those with non-PCC and Fire responsibilities an average annual allowance of £86,060.

8. The IRP also considered the position of Deputy Mayor using similar comparable data and concluded that if a Deputy Mayor is appointed an annual allowance of no more than 20% of the Mayor is recommended (provided that they are not a leader or elected mayor of a constituent council and is not in receipt of an allowance from a constituent council for any other role), and subject to confirmation of responsibilities allocated by the Mayor which to date are unknown.

The IRP suggested that an annual allowance for the Deputy Mayor of the GLCCA should ideally be less than an annual Special Responsibility Allowance of a Leader of a constituent council which, if necessary, may be addressed by a constituent council through its IRP if considered appropriate.

Membership of an Overview and Scrutiny Committee (and any sub-committee(s) and Audit Committee.

9. The IRP emphasised that effective overview and scrutiny is a crucial democratic element of all local authorities, not least combined authorities, and a robust overview and scrutiny function effective at holding the Mayor and the combined authority (and its boards) to account is essential. Allocating allowances to members of overview and scrutiny committees is considered necessary to ensure the function is rightly seen as important and that the work of those participating and acting on behalf of residents is valued. The role and responsibilities of an overview and scrutiny chair is also key to the success of the committees functions, whilst developing and maintaining professional, collaborative and understanding relationships with the Mayor and members of the combined authority. The Panel understands and notes that the chair of the overview and scrutiny committee must be independent of the GLCCA and the constituent councils or is not from the same political party as the Mayor or (if the Mayor is not a member of a political party) the party with the most constituent council representatives on the CCA.
10. Using comparable data available and following its considerations (particularly around the work of an overview and scrutiny committee which may become involved in reviewing and developing policy and monitoring performance), it is the Panel's recommendation that a proportionate annual allowance of £8,500 be allocated to an overview and scrutiny committee chair, and its members £1000 (whether they be those with voting rights or not as all members carry out the work the committee is involved in). Co-opted members (non-voting) if required should also receive the annual member allowance for the same reason (pro rata if applicable).

11. Similarly, the IRP recognised the importance of the role of the Audit Committee (its governance and risk functions) and its chair as having similar status and being equivalent to that of an Overview and Scrutiny Committee to which it carries out similar functions and responsibilities, but focussing more on financial and governance accountability and associated assurances. It also understands and notes that members of the Audit Committee must not be the same individuals as those representatives who are members of the CCA and there is a requirement that one member of the Audit Committee be an independent person. Using comparable data available and following its considerations, it is therefore the Panels' recommendation that a proportionate annual allowance of £8,500 also be allocated to an Audit Committee chair, and its members £1000 including any independent member/person. (The Panel understands and notes that any Independent Person cannot receive an allowance if they are a member of the GLCCA or its committees).

12. The Panel assumed and considered that additional independent person(s) may be appointed to be involved in governance matters including a specific responsibility involving standards in public office (code of conduct) and potentially statutory officer 'appointment and employment' matters, and if so, for such responsibilities recommended that that an annual retainer allowance of £500 be allocated, with a £100 per case referred and £100 for each formal meeting attended relevant to the case/matter referred.

The IRP recommends that there is no case for allocating an allowance to a vice-chair of either committee, unless a future substantive role for either committee is defined and then reviewed by the Panel.

Indexation of Above Allowances

13. The IRP also recommends that all the above allowances should be indexed linked annually from the Annual Meeting of the GLCCA (or reflecting the date of appointment/election of the Mayor, Deputy Mayor and committee members/independent persons) to the percentage of the Consumer Price Index (CPI) or the National Joint Committee for Local Government Employees (NJC) whichever is preferred/determined by the combined authority.

14. All the above recommended allowances proposed in paragraphs 5-12 are set out in Schedule A of the proposed GLLCA Allowances Scheme attached as appendix 1.

Expenses – Travel and Subsistence Allowances

15. The IRP considered options for expenses within the allowances scheme, understanding that the statutory instrument had provided for payment of travel and subsistence allowances to the Mayor, members of the Combined Authority and its committees/sub-committees (including independent persons). They also recognised that non-constituent members, associate members of any established boards and any appointed co-opted members carrying out the functions of the GLCCA should be entitled to claim such expenses/allowances within the scheme.
16. The IRP noted that travel claim levels set by the HMRC, together with other travel and subsistence levels of allowances are now relatively uniform across local and existing combined authorities and its recommendations for travel and subsistence allowances are set out in Schedule B of the proposed GLCCA Allowances Scheme attached as appendix 1.

Entitlement and Approved Duties

17. The IRP considered data of existing comparable combined authorities and in general found uniform consistencies which are recommended and set out in Schedule C of the proposed GLCCA Allowances Scheme attached as appendix 1.

Recommendations of the Independent Remuneration Panel

18. (a) That the recommendations of the IRP for the GLLCA Allowances Scheme as set out in Schedules A, B and C of Appendix 1 of this report be considered for approval by the GLCCA at its first formal meeting, and (b) that any suggestions by existing constituent authority joint governance groups/board on the content of the IRP's recommendations be considered/updated and approved by the Panel in the interim period prior to formal submission of its report to the first formal meeting of the GLCCA.

Appendices

19. Appendix 1 – Schedules A, B and C of the GLCCA Members Allowances Scheme
20. Appendix 2 - Some examples of comparative/benchmarking data used.

APPENDIX 1

**GREATER LINCOLNSHIRE COUNTY COMBINED AUTHORITY (GLCCA)
MEMBERS' ALLOWANCES SCHEME**

SCHEDULE A – ALLOWANCES AND REMUNERATION

Mayoral and GLCCA Members Remuneration	Allowance (per annum)
Mayor	£85,000 - £90,000
Deputy Mayor	Subject to application of requirements of schedule 1/paragraph 9 of the statutory instrument – No more than 20% of the Mayor's allowance.
Overview and Scrutiny Committee	
Chair	£8,500
Member (voting)	£1,000
Member (non-voting)	£1,000
Co-opted Member (non-voting)	£1,000
Audit Committee (Governance)	
Chair	£8,500
Member	£1,000
Independent Member/Person	£1,000
Independent Person(s) – Standards in public office/appointment and employment matters.	£ 500 retainer £ 100 per case referred £ 100 for each formal meeting attended relevant to the case/matter referred.

SCHEDULE B – EXPENSES - TRAVEL AND SUBSISTENCE ALLOWANCES

1. Bus and Rail Travel

Members are expected to travel by bus or by standard class rail, or by bicycle. First class travel is considered acceptable only in the following circumstances and by prior agreement of the Monitoring Officer -

- Additional space and privacy are required during the journey in order to work or to enable confidential conferences to be held on the train.
- Where the cost of discounted first-class travel is less than that of the cheapest available standard class ticket.
- To avoid disadvantaging members when travelling with other organisations, or
- Any other special circumstances, which in the view of the Monitoring Officer, would justify first class travel.

Rail travel should be booked in advance through the Combined Authority to take advantage of discounted tickets and special offers.

Claims for car expenses should only be paid where there is no suitable alternative public transport available or there are special circumstances.

2. Car Mileage Rates - (HMRC published mileage rates)

Approved Mileage Rates		
	First 10,000 business miles in the tax year	Each business mile over 10,000 in the tax year
Cars and vans	45p	25p
Motorcycles	24p	24p
Bicycles	20p	20p

3. Passenger Rates

Where a member carries a passenger for a work journey, they can claim the HMRC approved passenger mileage rate of 5p per passenger mile, in addition to the applicable mileage rates for motor cars.

4. Taxi Travel

In rare circumstances (for example, cases of urgency or where no alternative mode of public transport is reasonably available), it may be necessary to travel by taxi. In such circumstances, the amount of the fare paid is reimbursable on production of a valid receipt. (Where reasonably practicable, agreement should be sought in advance from the Monitoring Officer).

5. General Travel Expenses

To reduce costs to the Combined Authority, a member should not travel independently where it would be possible to travel with another Member or officer.

A member may claim specific reimbursement for expenditure incurred on tolls, ferries or parking fees as these are deemed to be additional to the basic car allowance rates.

Subsistence Expenses

6. Day subsistence rates are based on 'meals' taken with eligibility based on the time of the day the meal is taken and time away from home as set out below.

In each instance only the actual cost incurred may be claimed with the following being the maximum rates claimable:¹

Day Subsistence Rates		
Breakfast allowance	£8.28	More than 4 hours away from normal place of residence before 11am.

¹ These figures are reviewed annually in line with the rates applicable to, and published by, the Passenger Transport Forum for Non-Manual Employees of Passenger Transport Executives.

Lunch allowance	£11.28	More than 4 hours away from normal place of residence including the period between 12 noon and 2pm.
Tea allowance	£4.54	More than 4 hours away from normal place of residence including the period between 3pm to 6pm.
Evening meal allowance	£14.09	More than 4 hours away from the normal place of residence after 7pm.

Note: The current total daily maximum subsistence claimable (£38.19) should not be disaggregated and applied to specific meals but a 24-hour maximum claimable to be spent upon subsistence as required.

7. Overnight Stays

All overnight accommodation should be booked and paid for directly through the Combined Authority taking advantage of any corporate rates and offers to seek out the most reasonably priced accommodation available, thus avoiding any claims for reimbursement. Where, exceptionally, this is not possible, actual costs will only be reimbursed where they are supported by receipts.

8. Overseas Travel

Members are entitled to claim reasonable expenses in relation to their journey and stay, reimbursable upon production of receipts. It is expected that the necessary travel and accommodation arrangements would be booked in advance through the Combined Authority in advance to take advantage of special rates and offers.

Note: In the case of travel abroad there are sometimes difficulties in obtaining receipts. However, for the reasons given above, reimbursement should only be available where receipts are provided.

9. Meals Provided Free of Charge

Members are required to deduct an appropriate amount from the subsistence expenses specified in the table above in respect of any meals provided free of charge by an authority or body in respect of the meal or the period to which the expense relates. Expenses cannot be claimed where a free meal has been provided.

10. Meals Taken on Trains

Where main meals are taken on trains during the period for which there is an entitlement to day subsistence expenses, the reasonable cost of meals (including VAT) shall be reimbursable in full. This will then replace the specific meal allowances set out above.

Childcare and Dependent Carers' Allowance

11. Where a member needs to engage a carer to enable them to carry out an Approved Duty, an allowance is payable in respect of the expenses of arranging for the care of:

- Members' children under the age of 14, or
- any dependents where there is medical or social work evidence that care is required.

The Approved Duties for which the dependent carers' allowance may be claimed are set out in Schedule C.

12. The allowance is subject to the following conditions:

- (a) The allowance is payable for the care of any dependent person within the claimant's household.
- (b) The allowance is only payable when the care is provided by someone who is not a household or family member.
- (c) The amount payable will be for the actual cost of care.
- (d) Payment will be made to the member, not the carer.
- (e) The claimant will be required to sign a declaration that they have complied with these conditions.

13. The maximum rates of such allowances are set out below and are subject to the Member observing the above conditions –

Childcare Element

14. For children under the age of 14:

- the real UK Living Wage, as determined by the Living Wage Foundation.
- care must be provided by a registered child-minder.

Other Dependents Element

15. Maximum rate payable = the hourly rate charged by the member's local Adult Social Care services for domiciliary home care.

16. For both types of care, there is a monthly cap of £100, regardless of type or number of dependents and receipts should be provided.

SCHEDULE C – ENTITLEMENT AND APPROVED DUTIES

Part A - Entitlement

1. **Schedule A sets out remuneration allowances** for the Mayor and members identified, and that that the above allowances should be indexed linked annually from the Annual Meeting of the GLCCA (or reflecting the date of appointment/election of the Mayor, Deputy Mayor and committee members/independent persons) to the percentage of the Consumer Price Index (CPI) or the National Joint Committee for Local Government Employees (NJC) whichever is preferred/determined by the combined authority.

2. **Schedule B sets out expenses – travel and subsistence allowances** for
 - The Mayor (and Deputy Mayor)
 - Combined County Authority Members
 - Combined County Authority Committee Members (including independent members/persons, non-constituent members, associate members of any established boards and co-opted members)

3. **Travel Expenses**
 - 3.1 Subject to any exceptions or requirements set out in this Scheme, a member, as defined in paragraph 2 above, engaged in any of the Approved Duties set out in part B of this schedule as applicable, may reclaim any travel costs they incur, in accordance with Schedule B.

4. **Subsistence Expenses**
 - 4.1 Subject to any exceptions or requirements set out in this Scheme, a member, as defined in paragraph 2 above, engaged in any of the of the Approved Duties set out in part B of this

schedule as applicable, may reclaim any subsistence costs they incur, in accordance with Schedule B.

5. Childcare and Dependent Care Allowance

- 5.1** Subject to any exceptions set out in this scheme, a member, as defined paragraph 2 above, may re-claim any costs they incur provided the costs are incurred while engaged on Approved Duties set out in part B of this schedule as applicable, in accordance with Schedule B.

6. Implementation and Backdating of Recommendations

- 6.1** The allowances are implemented from the date of the Annual Meeting and paragraph 7 (Part Year Entitlements) applies.

7. Part Year Entitlements

- 7.1** The provisions of this paragraph shall have effect to regulate the entitlements of a member to allowances where, in the course of a year, this scheme is amended or that member becomes, or ceases to be, a member, or accepts or relinquishes the responsibilities of a role for which an allowance is payable.

- 7.2** If an amendment to this scheme changes the amount to which a member is entitled, then in relation to each of the periods:

- (a)** beginning with the year and ending with the day before that on which the first amendment in that year takes effect, or
- (b)** beginning with the day on which an amendment takes effect and ending with the day before that on which the next amendment takes effect, or (if none) with the year

- 7.3** Where the term of office of a member begins or ends other than at the beginning or end of a year, the entitlement of that member to any allowance shall be from the day they commence their term of office in that year or up to and including the day their term of office in that year ceases.

8. Renunciation of Entitlement to Remuneration or Expenses

8.1 Any member may by notice in writing given to the Monitoring Officer elect to forego all or any part of their entitlement to any expenses under this scheme.

9. Claims and Payments

9.1 A claim for travelling and subsistence expenses under this scheme shall be made in writing within three months of the date of the duty in respect of which the entitlement to the allowance arises.

9.2 A claim for all expenses under this scheme or any expense under any other provisions shall be signed by the claimant (through the requirements of any appropriate software used) that:

- the claimant has incurred the expenditure shown on the claim,
- the claimant has not made and will not make any other claim either under this scheme or to any other body or organisation in respect of the matter to which their claim relates.

9.3 No expenses will be paid under this scheme without:

- (a) a dated receipt² (except in relation to car mileage claims), and
- (b) in the case of travel expenses, the amount being in line with the requirements and restrictions set out in Schedule B, and
- (c) in the case of subsistence expenses, the amount being in line with the requirements and restrictions set out in Schedule B, and
- (d) in the case of car mileage expenses, that:
 - no suitable alternative public transport was available (claimant to provide explanation) or there were special circumstances (to be specified by claimant), and
 - it was not reasonable for the claimant to have travelled with another member or officer (claimant to provide explanation), and,

² For avoidance of doubt, please note that this requirement applies in relation to costs incurred both in the UK and overseas.

in the case of travel expenses for taxi costs incurred, that it was not reasonable to use public transport (claimant to provide explanation) Monitoring Officer. has agreed this in advance where reasonably practicable.

10. Duplication of Allowances and Expenses Claims

10.1 No Member may receive an allowance or expenses from more than one authority in respect of the same duties.

11. Publishing Remuneration and Expenses Paid

11.1 This GLCCA Scheme will be published on the Combined Authority's website.

11.2 A summary of remuneration and expenses paid under this scheme each year³ will be published on the GLCCA website.

Part B – Approved Duties

The following are specified as an approved duty for purpose of the payment of travelling and subsistence expenses in Schedule B of the scheme -

- (i)** A meeting of the Combined Authority, any committee or sub-committee of the Combined Authority or of any other body to which the Combined Authority makes appointments or nominations, or of any committee or sub-committee of such body.
- (ii)** Any other meeting the holding of which is authorised by the Combined Authority, provided that it is a meeting to which members of at least two political groups have been invited.
- (iii)** Meetings of a non-commercial, non-political and non-party political nature, (including for example with Ministers, Members of Parliament, representatives of Government Departments and representatives of key local and major companies who have an involvement in any matter relevant to functions of the Combined Authority) attended by:
 - a)** a Combined Authority member, or

³ A year for this purpose is the financial year running from 1 April to 31 March.

- b)** any member who is the chair (or vice-chair) of a relevant committee, or
- c)** any member who is a nominee of (a) or (b) above

in their capacity as a representative of the Combined Authority, for the purpose of discussing matters which relate to the functions of the Combined Authority or of a constituent or non-constituent council of the Combined Authority, or any other council in which the Combined Authority has an interest in the particular function involved.

- (iv)** Conferences, seminars and study courses, only where the Monitoring Officer is satisfied that they represent value for money and are being held for the purpose of discussing non-political matters which relate to the functions of the Combined Authority or any functions of the local authorities in which the Combined Authority has an interest.
- (v)** At representative functions, official functions, responding to invitations to meet and/or address voluntary and other organisations, site visits and meetings with officers subject to the prior agreement of the Monitoring Officer

APPENDIX 2 (Examples)

Combined Authority Benchmarking	Mayoral Allowance (per annum) (2023/24 unless indicated, as of July 2024)	Deputy Mayor p/a (No allowance if Leader/Elected Mayor of Constituent Auth'ty)	Population (2021)	Overview and Scrutiny Committee (per annum)	Audit Committee (per annum)	Indep' Persons (Standards /Finance etc)
West Yorkshire	£111,218* (24/25)	20%	2,345,200	CH- £12,970 VC- £5,100 M - £3,350 IndepM -£3,350	IndepCh – £1,868 IndepM – £1038	£830 retainer (£220 per mtg)
Greater Manchester	£118,267*		2,848,300	CH - £9,684 VC - £4,035 M - £3,228		
South Yorkshire	£107,000*		1,415,100			
West Midlands	£95,000	33%	2,939,900	CH - £9550 VC - £3000	CH - £9,550	
North East	£92,000		2,567,000		Ch – £500 per mtg IndepM – £1000	
West of England	£87,000		950,000	Ch - £5625	Ch - £5625 IndepM - £650 per mtg	£268 per hearing
Liverpool City Region	£84,298 (22/23)		1,564,000			
Cambridgeshire & Peterborough	£86,121 (22/23)		859,800		Ch - £4289 IndepM - £3068	
Tees Valley	£65,000 (23)		667,000			
York & North Yorkshire	£81,300*		818,300			
East Midlands	£93,000 (24/25)	20% (or 50% subject to overall responsibilities)	1,363,000	Ch - £9,500 M - £1000	Ch - £9,500 M - £1000	£1000
(* Includes PCC and/or Fire responsibilities)						
Average Mayoral Allowance £92,746						
Average Non-PCC/Fire Resp £86,060						
Greater Lincolnshire	£?		1,100,000			

Constituent Authority Relevant Allowances Comparison 2023/24/25 (per annum)

	NLC	NELC	LINCS CC
LEADER			
Basic Allowance	£ 7,142	£ 8,530	£11,248
SRA	£17,303	£22,500	£35,639
TOTAL	£24,445	£31,630	£ 46,887
DEP LEADER			
Basic Allowance	£ 7, 142	£ 8,530	£11,248
SRA	£11, 461	£16,875	£23,388
TOTAL	£16, 603	£25,405	£34,636

COUNCIL	Overview and Scrutiny Cttees (CH/VC)	Audit Committee Chair (CH/VC) (Indep' Chair)	Independent Persons
North Lincs	CH - £8,896 VC - £4,339	CH – £5,471	£44 per complaint referral and per meeting attended
North East Lincs	CH - £5,625	Indep CH – £4,500	
Lincolnshire CC	CH Health – £13, 498 CH - £10,123 VC – Health – £4,500 VC - £3,374	CH - £13, 498 VC - £4,500	

UK City Mayor Allowances (2023)	
Bedford	£63,803
Bristol	£86,439
Croydon	£84,123
Doncaster	£67,236
Hackney	£89,224
Leicester	£78,411
Lewisham	£80,759
Mansfield	£49,377
Middlesborough	£63,560
Newham	£87,997
North Tyneside	£68,499
Salford	£69,903
Tower Hamlets	£80,579
Watford	£73,607

UK/ Devolved Nations Elected Representatives (2023)	
UK Member of Parliament (MP)	£86,584
Minister of State (UK)	£118,264
UK Parliament Under Secretary	£106,409
Member of Northern Ireland Assembly	£51,500
Member of Scottish Parliament	£67,662
Member of Welsh Assembly	£69,273
Greater London Assembly	
Mayor of London	£152,734
Deputy Mayor	£141,406
Chair of London Assembly	£70,225
London Assembly Member	£58,543
NHS Non-Executive Appointment	
NHS Non-Executive	£13,000
NHS Trust Chair	£40,000 – 63,300*
<i>* NHS Trust Chair salary dependent upon annual turnover of the Trust</i>	

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Greater Lincolnshire Combined County Authority

Members' Allowance Scheme

Schedule A – Allowances and Remuneration

Mayoral and GLCCA Members Remuneration	Allowance (per annum)
Mayor	£86,060
Deputy Mayor	Subject to application of requirements of schedule1/paragraph 9 of the statutory instrument – No more than 20% of the mayor's allowance.
Overview and Scrutiny Committee	
Chair	£8,500
Member (voting)	£1,000
Member (non-voting)	£1,000
Co-opted Member (non-voting)	£1,000
Audit Committee (Governance)	
Chair	£8,500
Member	£1,000
Independent Member/Person	£1,000
Independent Person(s) – Standards in public office/appointment and employment matters.	£500 retainer £100 per case referred £100 for each formal meeting attended relevant to the case/matter referred.

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Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Adoption of Policy

Purpose of the report

This report asks the Combined County Authority to consider and approve the initial policies required to enable the establishment and operation of the new strategic authority.

Recommendation

It is recommended that the Combined County Authority

Approves the:

- a. **Anti-Fraud Policy**
- b. **Anti-Bribery Policy**
- c. **Reporting a Concern (Whistleblowing) Policy**
- d. **Audit Arrangements and Risk Management Policy**
- e. **Treasury Management Policy**
- f. **Complaints Policy**
- g. **Freedom of Information Policy**
- h. **Data Protection Policy**
- i. **Information Handling Policy**
- j. **Security Incident Reporting Policy**
- k. **Privacy Notice**

Voting and consent arrangements

Simple majority vote to include the mayor (or chairman prior to first mayoral election). There are no consent requirements for this decision

Contact details for the report

Report on behalf of: Debbie Barnes OBE, Chief Executive, Lincolnshire County Council
Report prepared by: Matthew Garrard, Head of Policy, Lincolnshire County Council

Information

- 1 Policy provides a set of rules to govern the behaviour of an organisation. The Combined County Authority's policies establish the principles that the organisation will follow in:
 - i. according with the Council's constitution
 - ii. implementing the Greater Lincolnshire Plan
 - iii. all decision making
 - iv. developing, improving and commissioning services
 - v. representing the views, needs and strengths of Greater Lincolnshire.

- 2 As a new strategic authority established on 5 February 2025 the Greater Lincolnshire Combined County Authority (GLCCA) has no existing agreed policies. The attached policies have been identified as the minimum requirements necessary to enable the commencement of the GLCCA:
 - Anti-Fraud Policy
 - Anti-Bribery Policy
 - Reporting a Concern (Whistleblowing) Policy
 - Audit Arrangements and Risk Management Policy
 - Treasury Management Policy
 - Complaints Policy
 - Freedom of Information Policy
 - Data Protection Policy
 - Information Handling Policy
 - Security Incident Reporting Policy
 - Privacy Notice

- 3 The proposed policies have been prepared drawing upon best practice from across the three constituent councils and with regard to the proposed service level agreements to support the proposed interim organisational structure of the GLCCA. Further policy will be developed through the governance arrangements of the GLCCA as the authority commences its work.

- 4 The GLCCA constitution sets out that policy, plans and strategy should be determined at meetings of the authority, except for a limited number of mayoral functions. Agreed policy will be published in a policy library on the authority's website.

Alternative options considered

- 5 To not agree one or more of the policies set out in the report. This is not recommended because the policies are considered necessary to enable the operation of the GLCCA.

Reason for the recommendation

- 6 The proposed policies are deemed necessary to ensure compliance with a range of requirements and for the good governance of the new Combined County Authority as set out in the individual policy documents.

Implications, advice and guidance

- 7 The proposed policies will be applicable to the Combined County Authority in its work across the whole of the Greater Lincolnshire. The policies will be reviewed as the Combined County Authority becomes established.

Public sector equality duty implications

- 8 No specific implications were identified in the preparation of this decision.

Legal implications / comments

- 9 Approval and/or amendments to policies of the Combined County Authority is a function reserved to the Combined County Authority.

Finance and resource implications / comments

- 10 There are no specific financial implications arising from the suite of policies presented. However, the policies collectively will contribute towards a sound internal control environment and the efficient and effective management of public funds.

Alignment with Greater Lincolnshire policy / comments

- 11 The establishment of the combined county authority arises from the Greater Lincolnshire Devolution Deal and the proposed policies are necessary as part of that establishment.
- 12 The policies are drawn from the policy of the constituent councils providing some consistency to employees transferring to the new authority and residents.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- In advance of the establishment of the combined county authority, council leaders were consulted on the preparation of this decision.

Appendices included with this report

The following documents are included:

- Anti-Fraud Policy
- Anti-Bribery Policy
- Reporting a Concern (Whistleblowing) Policy
- Audit arrangements and Risk Management Policy
- Treasury Management Policy
- Complaints Policy
- Freedom of Information Policy
- Data Protection Policy
- Information Handling Policy
- Security Incident Reporting Policy
- Privacy Notice

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
nil	

Policy

Anti-fraud and Corruption

Purpose

Fraud has been defined as: the intentional and dishonest distortion of financial statements and other records by persons internal or external to the Council which is carried out to conceal the misappropriation of assets or otherwise for gain.

The Greater Lincolnshire Combined County Authority is committed to minimising the risk of fraud and corruption occurring, detecting its possible occurrence, and the actions it takes when fraudulent activity is suspected and identified.

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Document Version	V1.0
Approved By	GLCCA 6 March 2025

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Introduction

1. This policy sets out the Authority's approach to minimising the risk of fraud and corruption occurring, detecting its possible occurrence, and the actions it takes when fraudulent activity is suspected and identified.
2. Fraud has been defined as: the intentional and dishonest distortion of financial statements and other records by persons internal or external to the Council which is carried out to conceal the misappropriation of assets or otherwise for gain. (Source: CIPFA)
3. Corruption has been defined as: the offering, giving, soliciting or acceptance of an inducement or reward, which may influence a person to act against the interests of the organisation (Source: Audit Commission).
4. In developing this policy, the Authority has adopted the five key principles included in 'FIGHTING FRAUD AND CORRUPTION LOCALLY - A Strategy for the 2020s¹. These are:
 - Govern – having robust anti-fraud arrangements embedded throughout the organisation
 - Acknowledge – acknowledging and understanding fraud risk
 - Prevent – preventing and detecting fraud
 - Pursue – punishing fraudsters and recovering losses
 - Protect – protecting the Authority from fraud
5. The benefits of having a coordinated and robust approach to anti-fraud and corruption laid out in this policy include:
 - Greater ability to prevent losses due to fraud occurring by improving the understanding of the risk
 - Being more resilient to fraud and more aware of new fraud risks
 - Providing support to the national agenda for fighting fraud
 - Being able to clearly account for the effectiveness of the Authority's counter fraud arrangements to the public, partners, and national stakeholders. This will feature as a core element in the Annual Governance Statement
 - Providing assurance over counter fraud arrangements
 - Ensuring that resources for counter fraud activity are in line with the potential risk
 - Providing assurance that fraud risk is being managed

¹ [Fighting fraud and corruption locally, a strategy for the 2020's](#) was published in March 2020

Govern

6. Tackling fraud is everyone's business. We are all responsible for ensuring the Combined County Authority does not lose vital funds to fraud. **The message is clear – we will not tolerate fraud and corruption**
7. The Combined County Authority will maintain a robust framework of procedures and controls which provide the major elements of its anti-fraud and corruption governance arrangements. This policy is an integral part of a range of policies and procedures that provide a corporate framework to help counter any fraudulent activity. These have been formulated in line with the appropriate legislative requirements and professional best practice and include:
 - Fraud Response Plan
 - Reporting a Concern (Whistleblowing) policy
 - Anti-Bribery policy
 - Anti-Money Laundering policy
 - Code of Corporate Governance
 - The Constitution including Contract Procedure Rules and Financial Regulations
 - Employee Code of Conduct
 - Gift and Hospitality policy
 - Risk Management policy
 - Information Security policy

Such an approach supports the delivery of the Combined County Authority's priorities.

Acknowledge

8. All organisations are at increasing risk of fraud and corruption. The illegal and hidden nature of fraud makes it hard to measure accurately. To give some idea of the size of the risk, the estimated level of annual fraud loss across local government in 2010 was £0.7bn². In 2016 this figure was estimated at £7.3bn³. The latest figures show an estimated increase from £7.8bn in 2017 to £8.8bn in 2021-2022⁴.

² Annual Fraud Indicator 2010 – National Fraud Authority

³ Annual Fraud Indicator 2016 – Experian, PKF Littlejohn and University of Portsmouth Centre for Counter Fraud Studies

⁴ Annual Fraud Indicator 2023 – Crowe, Peters & Peters, and University of Portsmouth

9. Acknowledging this risk is the most important part in developing an appropriate and effective anti-fraud response. Recognising fraud must also incorporate a thorough understanding and knowledge about what the fraud problem is, where it is likely to occur, and the scale of potential losses.
10. The Combined County Authority has many of the components for a strong counter fraud response in place including:
 - A dedicated and professionally qualified counter fraud team as part of its service level agreement for Internal Audit to promote awareness of fraud related risks. They undertake criminal investigations where necessary to protect public funds
 - Control arrangements for key financial systems that are robust and underpinned by statutory requirements, Authority financial regulations, and scrutiny through internal and external audit
 - Identification of fraud risks facing the Authority
 - An Audit Committee that will review this strategy as part of its responsibility for considering the effectiveness of counter fraud and corruption activities at the Authority
 - Publication of this strategy and of specific fraud initiatives to raise public awareness
 - Production of an annual fraud report which is available to the public which openly acknowledges the fraud risks the Authority faces, the types of fraud that have occurred during the year and our response to those risks
 - Participation in collaborative counter fraud work with other agencies
 - The use of data matching to identify potential fraud
 - Fraud awareness campaigns to raise awareness of fraud, money laundering and bribery within the Authority and how to report concerns
 - An annual self-assessment of our fraud response based on the checklist provided in the CIPFA, 'Fighting Fraud and Corruption Locally' document
 - External audit of our fraud arrangements
11. The Combined County Authority recognises that new fraud risks are continually emerging and therefore we will continually review our arrangements, considering the latest guidance available to ensure our counter fraud response is robust.

Prevent

12. More than ever, preventing losses from occurring in the first place is a crucial strand of a robust counter fraud strategy. The Authority has policies, procedures, and processes which incorporate efficient and effective internal controls to safeguard the Authority's resources. The existence, appropriateness, and effectiveness of which are independently monitored and reported on by the Authority's Internal Audit provision.
13. The Combined County Authority will:
 - Ensure that anti-fraud controls are considered by management when developing new systems and processes
 - Ensure that the testing of the effectiveness of the design and operation of those anti-fraud controls is considered when prioritising internal audit work
 - Conduct proactive exercises into high-risk areas
14. However, prevention extends beyond making sure that there are appropriate system and process controls in place. It depends on the development of an effective anti-fraud culture that reinforces a zero tolerance to fraud and corruption and deters criminals from committing fraud in the first place. An anti-fraud culture should seek to motivate staff and ensure that they understand the importance of tackling fraud, are able to recognise fraud and abuse, and know how and where to report suspicions of fraud.
15. The Combined County Authority develops its anti-fraud culture by:
 - Making new staff aware of their responsibilities as part of the induction process
 - Regularly updating the Authority's Reporting a Concern (Whistleblowing) policy so it takes account of updated national guidance and advice, and publicising these changes
 - Publicising its Counter Fraud Strategy and Annual Fraud reports
16. No matter how good the Combined County Authority's preventative measures are, fraud cannot be completely eradicated. To this end, the Combined County Authority has a robust Fraud Response Plan that provides a framework for the investigation of allegations of fraud.

17. Additionally, the Authority will continue to make use of information and technology to verify and validate transactions, or to uncover potential and actual fraud, including the following:
 - Continued participation in the National Fraud Initiative to investigate potential frauds identified through national data matching
 - Development of other data matching techniques to prevent and detect fraud in high-risk areas
 - Provision of a suite of fraud awareness materials to enable employees to prevent and detect fraud

Pursue

18. The Authority will take robust and appropriate action to investigate, punish, and recover funds from those who seek to defraud it.
19. We will seek the strongest available sanctions against any member of the public, contractor, member, or employee who commit fraud against the Combined County Authority, its clients, or the public purse. This may include prosecution and additionally for employees, disciplinary action.
20. Where appropriate, the Combined County Authority will also work with other public authorities including the Police and constituent councils. We will share information to prevent, detect, and investigate acts of fraud against the public purse.
21. The Combined County Authority will always seek to recover any funds or assets that have been lost due to fraud and will use all means available to do so under the Authority's Debt Recovery Strategy and where appropriate, the Proceeds of Crime Act legislation.
22. The Combined County Authority will seek to publicise the outcomes of such investigations in the Annual Fraud Report to provide the public with the assurance that public funds are being protected and to act as a deterrent to those that may consider committing fraud in the future.

Protect

23. By adopting the principles of Govern, Acknowledge, Prevent and Pursue, the Authority can protect itself from fraud and the harm fraud can cause both to the Combined County Authority and to the residents of Greater Lincolnshire.

24. This Policy will be reviewed periodically against best available practice to ensure that the Combined County Authority stays protected. In addition, the Combined County Authority will assess its counter fraud arrangements against the checklist produced by CIPFA to complement their 2020s strategy and will act to strengthen its arrangements where necessary.

Appendix 1: Definition of Terms

As per the Fraud Act 2006, fraud is a criminal offence. Fraud is any action taken by an individual, group, or organisation which is designed to facilitate dishonest gain at the expense of (or loss to) the Combined County Authority, the residents of Greater Lincolnshire, or the wider national community and can include:

- **Fraud by False Representation:** Dishonestly making a false representation, and intend by making the representation, to make a gain for themselves or another, or cause a loss or expose another to a risk of loss.
- **Fraud by (wrongly) Failing to Disclose Information:** Dishonestly failing to disclose information which they are under a legal duty to disclose, and intend by failing to disclose the information, to make a gain for themselves or another, or cause a loss or expose another to a risk of loss.
- **Fraud by Abuse of Position:** Occupying a position in which the post holder is expected to safeguard, or not act against, the financial interests of another person, dishonestly abuse that position, and intend by such abuse, to make a gain for themselves or another, or cause a loss or expose another to a risk of loss.

Theft is stealing any property belonging to the Combined County Authority or which has been entrusted to it (i.e., client funds), including cash, equipment, vehicles, and data. Theft does not necessarily require fraud to be committed. Theft can also include the stealing of property belonging to our staff or members whilst on Authority premises.

A person is guilty of theft under the Theft Act 1968 if they ‘dishonestly appropriate property belonging to another with the intent of permanently depriving the other of it’, or they dishonestly retain a wrongful credit. For example, where they do not report and repay an overpayment of salary or advance.

Corruption is defined as an act done with the intent to give some advantage which is inconsistent with a public servant’s official duty and the rights of others. In the public sector, it can also be defined as the abuse of power by a public official for private gain. Forms of corruption vary but include bribery, extortion, nepotism, cronyism, and embezzlement.

Bribery is defined as the offering, giving, soliciting, or acceptance of inducements or reward designed to influence official action or decision making. Under the Bribery Act 2010, organisations are expected to implement anti-bribery measures and both organisations and individuals can face significant penalties for failure to meet these requirements.

Money laundering is the process by which the proceeds of crime are changed so that they appear to come from a legitimate source. Legislation concerning money laundering is included within the Proceeds of Crime Act 2002 (POCA) and Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 (as amended).

A **Whistleblower** is a person who tells someone in authority about alleged dishonest or illegal activities, including fraud occurring in any public or private organisation.

The Public Interest Disclosure Act 1998 provides legal recourse for an employee raising the concern should they feel they have been treated unfairly because of "whistleblowing".

Appendix 2: Roles and Responsibilities

Members	<ul style="list-style-type: none"> • facilitate an anti-fraud and anti-corruption culture • demonstrate a commitment to this strategy and ensure it has the appropriate profile within the Combined County Authority
GLCCA	<ul style="list-style-type: none"> • ensure the strategy is effectively implemented across the Combined County Authority
Audit Committee	<ul style="list-style-type: none"> • to approve the corporate Fraud Strategy • to monitor and review the effectiveness of the Authority's anti-fraud and corruption arrangements • ensure that there is strong political and executive support for work to counter fraud and corruption • ensure consistency across the Authority in the implementation of this strategy
Section 73 Officer	<ul style="list-style-type: none"> • ensure that those working to counter fraud and corruption are professionally trained and accredited for their role, and attend regular refresher courses to ensure they are up to date with new developments and legislation • ensure that there is a level of financial investment in counter fraud and corruption work that is proportionate to the risk that has been identified • ensure that reports on investigations include a section on identified policy and system weaknesses that allowed the fraud/corruption to take place where appropriate
Directors and Service leads	<ul style="list-style-type: none"> • ensure the risks of fraud and corruption are identified, recorded on the risk register as required, and action plans implemented to reduce the risk to an acceptable level • ensure the anti-fraud and anti-corruption strategy is implemented within their area of responsibility • ensure that any allegations or suspicions of fraud are reported in line with the Fraud Response Plan, or if appropriate, the Reporting a Concern (Whistleblowing) policy • ensure the risk of fraud and corruption is considered in all new processes
Monitoring Officer	<ul style="list-style-type: none"> • regularly publicise and monitor compliance with expected standards of ethical conduct • ensure that progress in raising standards is communicated to stakeholders • ensure that effective whistleblowing arrangements are established • ensure registers of interests, gifts & hospitality are maintained

	<ul style="list-style-type: none"> • ensure councillors and officers are fully aware of their obligations in relation to probity • ensure that those working to counter fraud and corruption are undertaking this work in accordance with a clear ethical framework and standards of personal conduct
Audit and Assurance	<ul style="list-style-type: none"> • support Directors and Service leads, and their managers in identifying and mitigating risks for fraud and corruption • promote an anti-fraud culture, including awareness campaigns, risk assessments, and development of tools to identify potentially fraudulent activity • ensure all allegations are recorded and risk assessed • conduct investigations in line with legislation, standards, and rule of conduct • ensure that those carrying out fraud investigations are adequately trained • notify HR and Legal Services (at the outset of investigations into employees) • make recommendations where weaknesses are identified, and ensure action plans implemented to prevent reoccurrences • undertake proactive exercises into areas where the risk of fraud is greatest • consider fraud risks when determining the annual Audit Plan and the content of specific audit assignments
HR	<ul style="list-style-type: none"> • ensure that there is an effective propriety checking system (i.e., safe recruitment) implemented by appropriately trained staff • ensure employment policies support the anti-fraud and anti-corruption framework • monitor effective and appropriate sanctions are applied in all appropriate cases • ensure that HR employees are aware of the Fraud Response Plan and the action to take if they suspect fraudulent activity • inform Audit and Assurance at the outset of any conduct investigation
Managers	<ul style="list-style-type: none"> • ensure all employees are aware of their responsibilities under the anti-fraud and anti-corruption framework • ensure all employees have read the Employee Code of Conduct and understand their responsibilities • ensure all employees understand the Reporting a Concern (Whistleblowing) policy and reporting arrangements • ensure employees are aware of the process for reporting allegations of fraud • ensure accurate and timely reporting of gifts and hospitality

Employees	<ul style="list-style-type: none">• understanding of expected behaviour and of their responsibility to report suspected fraud or corruption and the appropriate methods to do so
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Policy

Anti-bribery

Purpose

Bribery has been defined as: as the giving or receiving of a financial or other advantage in connection with the 'improper performance' of a position of trust or of a function that is expected to be performed impartially or in good faith.

The Greater Lincolnshire Combined County Authority will not offer bribes or any other improper inducements to anyone for any purpose, nor will they accept bribes or improper inducements. This policy sets out arrangements in relation to this.

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1. Introduction

- 1.1 The Bribery Act 2010 introduced specific criminal offences in relation to bribery. The key offences are:
 - Bribery of another person (section 1)
 - Accepting a bribe (section 2)
 - Bribing a foreign official (section 6)
 - Failing to prevent bribery (section 7)
- 1.2 The Act broadly defines bribery as the giving or receiving of a financial or other advantage in connection with the ‘improper performance’ of a position of trust or of a function that is expected to be performed impartially or in good faith.
- 1.3 GLCCA will not offer bribes or any other improper inducements to anyone for any purpose, nor will they accept bribes or improper inducements.
- 1.4 This policy applies to all of the Authority’s activities and employees. Employees include but are not limited to those who are directly employed, agency staff, contractors, non-executives, agents, Members, volunteers and consultants.
- 1.5 For partners and suppliers, we will seek to promote the adoption of policies consistent with the principles set out in this policy. This policy does not change the requirements of the Authority’s gifts and hospitality policy.

2. Corporate responsibilities

- 2.1 Under section 7 of the Bribery Act, commercial organisations can be found guilty of an offence by failing to prevent bribery that is intended to obtain or retain business, or an advantage in the conduct of business, for the organisation. An organisation will have a defence to this corporate offence if it can show that it had in place adequate procedures designed to prevent bribery by or of persons associated with the organisation.
- 2.2 An organisation found guilty of an offence under section 7 is liable to an unlimited fine.
- 2.3 For the purposes of the section 7 of Bribery Act, GLCCA is a ‘commercial organisation’ and may be liable to prosecution if it fails to prevent bribery. Therefore, the Authority must be able to demonstrate that it has adequate procedures to prevent bribery.
- 2.4 Whether the procedures are adequate will ultimately be a matter for the courts to decide on a case-by-case basis. It is for individual organisations to determine what

procedures are required based on the level of risk of bribery in the organisation. Guidance issued by the Ministry of Justice provided six principles to consider in implementing adequate procedures. The Authority continues to be committed to the proportionate implementation of these principles.

2.5 The Authority addresses these principles to comply with the Bribery Act as follows:

2.5.1 Proportionate procedures

The Authority ensures that its procedures to prevent bribery are proportionate to the bribery risks it faces and to the nature, scale and complexity of its activities. It ensures that they are clear, practical, accessible, effectively implemented and enforced.

2.5.2 Top Level Commitment

Both CCA and Senior Leaders are committed to preventing bribery by persons associated with the Authority. They will continue to foster a culture within the Authority in which bribery is never acceptable.

The Authority has an Anti-Fraud Strategy that is regularly reviewed, approved by the Audit Committee and endorsed by the CCA and Head of Paid Service. It contains a clear and unambiguous message that the Authority will not tolerate fraud and corruption.

2.5.3 Risk Assessment

The Authority assesses the nature and extent of its exposure to potential external and internal risks of bribery on a periodic basis. It is assessed on both financial risk and reputation risk.

2.5.4 Due Diligence

The Authority applies due diligence procedures, taking a proportionate and risk-based approach, in respect of persons who perform or will perform services for or on behalf of the organisation, in order to mitigate identified bribery risks.

2.5.5 Communication and training

The Authority seeks to ensure that its bribery prevention policies and procedures are embedded and understood throughout the Authority through internal and external communication, including training and learning that is proportionate to the risks it faces.

2.5.6 Monitoring and review

The Authority monitors and review its procedures designed to prevent bribery and will make improvements where necessary

3. Employee and Member Responsibilities

- 3.1 Bribery is not tolerated by the Authority. All employees and Members are required to act honestly and with integrity at all times and to safeguard the organisation's resources for which they are responsible.
- 3.2 Employees and Members must comply with the spirit, as well as the letter of the laws and regulations of all jurisdictions in which the Authority operates, in respect of the lawful and responsible conduct of activities.
- 3.3 Employees and Members must:
- ensure that they have read, understood and comply with this policy
 - raise concerns as soon as possible if they believe or suspect that a conflict with this policy has occurred, or may occur in the future.
- 3.4 Employees and Members must not:
- Give, promise to give, or offer a payment, gift or hospitality with the expectation or hope that a business advantage will be received, or to reward a business advantage already given
 - Give, promise to give, or offer a payment, gift or hospitality to a government official, agent or representative to "facilitate" or expedite a routine procedure
 - Accept payment from a third party that you know, or suspect is offered with the expectation that it will obtain a business advantage for them
 - Accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that a business advantage will be provided by us in return
 - Retaliate against or threaten a person who has refused to commit a bribery offence or who has raised concerns under this policy
 - Accept facilitation payments (unofficial payments to public officials) in order to secure or expedite actions
- 3.5 An individual guilty of an offence under sections 1, 2 or 6 is liable:
- On conviction in a magistrates court, to imprisonment for a maximum term of 12 months (six months in Northern Ireland), or to a fine not exceeding £5,000, or to both

- On conviction in a crown court, to imprisonment for a maximum term of ten years, or to an unlimited fine, or both
- 3.6 As well as the possibility of civil and criminal prosecution, employees and Members that breach this policy will face disciplinary action, which could result in dismissal for gross misconduct.

4. Reporting a concern

- 4.1 The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for the organisation or under its control. All employees and Members are required to report activity that breaches (or may breach) this policy.
- 4.2 Employees are often the first to realise that there is something seriously wrong within the Authority. However, they may not express their concerns because they feel that speaking up would be disloyal to their colleagues or to the Authority.
- 4.3 They may also fear harassment or victimisation. In these circumstances, it may be easier to ignore the concern rather than report what may just be a suspicion of malpractice. Members and employees should never ignore such suspicions and instead make a referral under the reporting a concern (whistleblowing) policy.
- 4.4 The Reporting a Concern policy is intended to encourage and enable staff to raise serious concerns within the Authority rather than overlooking a problem, informing the media or other external bodies.

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Policy

Reporting a concern

Whistleblowing

Purpose

‘Whistleblowing’ means the reporting by employees of suspected misconduct, illegal acts or failure to act within the Greater Lincolnshire Combined County Authority.

The aim of this Policy is to encourage employees and others who have serious concerns about any aspect of the Authority’s work to come forward and voice those concerns.

‘Whistleblowing’ is viewed by the Authority as a positive act that can make a valuable contribution to the Authority’s efficiency and long-term success. Greater Lincolnshire Combined County Authority is committed to achieving the highest possible standards of service. To help achieve these standards it encourages freedom of speech.

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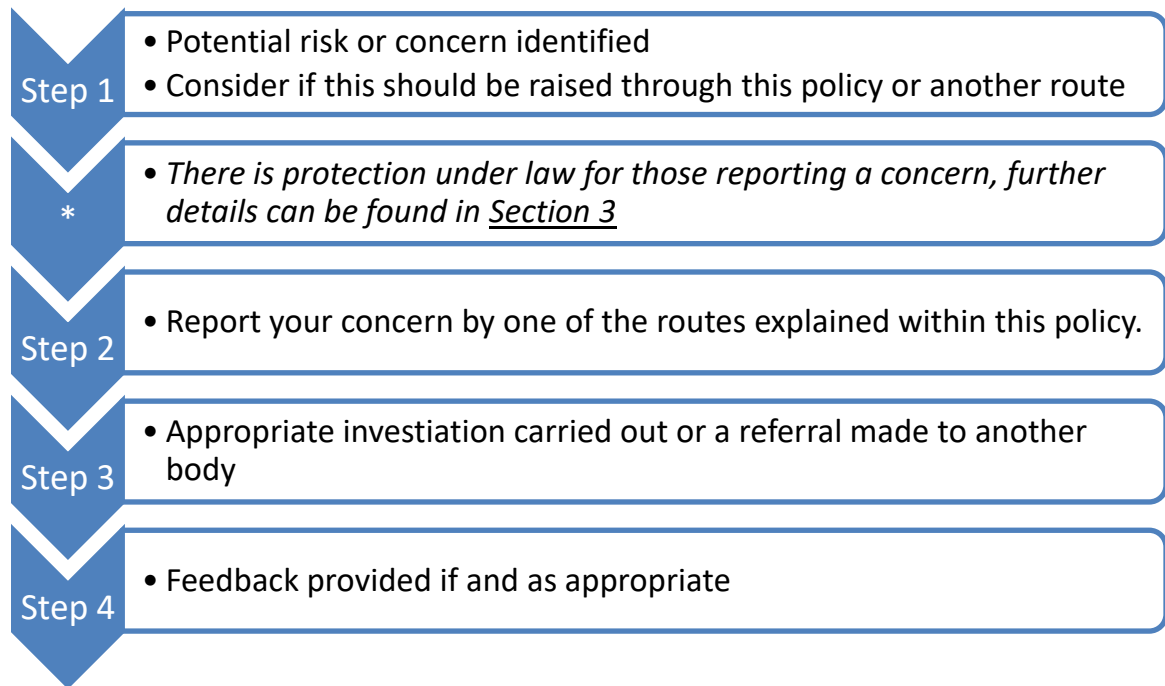
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1. Introduction

- 1.1 The GLCCA is committed to the highest possible standards of openness, probity and accountability. In line with that commitment, the Authority expects its employees, elected members, contractors, volunteers or consultants that have concerns about wrongdoings or malpractice in any aspect of practices encountered within the Authority or its commissioned services to come forward and voice those concerns without fear of reprisal (sometimes called whistleblowing).
- 1.2. This policy is for the raising of concerns by employees, elected members, contractors, volunteers or consultants and sets out the process for the handling of these concerns and the protection given to those raising a concern.
- 1.4. The Authority will investigate any concerns raised, that are related to the actions of Authority employees, members, contractors, volunteers or consultants in the course of their work for the Authority, and where appropriate, take action.
- 1.5. A concern can be raised at any time about an incident that happened in the past, is happening now or will happen in the near future.
- 1.6. When reporting a concern under this Policy the reporter is protected by law. They should not be treated unfairly or lose their job because they raised the concern.
- 1.7. The Authority is committed to preventing any harassment, victimisation or unfair treatment of any person arising from their raising of concerns. Where there are any concerns of harassment, victimisation or unfair treatment, the Authority will investigate the allegations and take appropriate action.

2. Process

The overall process is detailed below:



If concern unresolved, the individual reporting the concern can consider progressing matter further as set out in Section 10

3. What protection does the individual reporting the concern have under law?

3.1 The law protects those reporting any concerns listed in 4.2.

3.2. Anyone reporting a concern should feel that it is safe and acceptable to raise them so that they can be investigated, and action taken where appropriate as soon as possible. This policy aims to ensure that the reporter of the concern should not be concerned about the following:

- Fear of reprisal or victimisation (e.g. loss of job).
- Too much to lose (e.g. reputation, damage to career).
- Feelings of disloyalty.
- Worries about who may be involved.
- No proof, only suspicions.
- Fear of repercussions if there is no evidence or the concern is proved wrong.

- 3.3. When a disclosure is made in the public interest and in accordance with this policy, the individual raising the concern has legal protection from harassment or victimisation because of the disclosure. This is called a 'protected disclosure'.
- 3.4. PIDA (Public Interest Disclosure Act 1998) will protect the individual making a Protected Disclosure, irrespective of whether or not the disclosure relates to information gained in the course of their employment (e.g. a protected disclosure made by an individual acting as a service user would still fall under the PIDA protection).
- 3.5. Independent advice can be sought from organisations such as Citizens' Advice should any individual be unsure whether their disclosure would be protected.

4. When concerns should be raised?

- 4.1 The concern will typically (although not necessarily) be something witnessed at work. To be covered by Protected Disclosure, the individual reporting the concern / making the disclosure must reasonably believe two things:
 - They are acting in the public interest. The public interest is something that may affect the welfare or well-being of the general public. This means, in particular, that personal grievances and complaints are not usually covered by Protected Disclosure.
 - They must reasonably believe that the disclosure shows past, present or likely future wrongdoing
- 4.2 There are various reasons why a concern should be raised with the Authority. Below are examples of the types of concerns that would be classed as a Protected Disclosure under this policy.
 - a) A criminal offence (e.g. fraud, corruption or theft) has been/is likely to be committed.
 - b) A person has failed, is failing or is likely to fail to comply with any legal obligation to which they are subject.
 - c) A miscarriage of justice has been/is likely to occur.
 - d) The health or safety of any individual has been/is likely to be endangered.
 - e) The environment has been/is likely to be damaged.
 - f) Public funds are being used in an unauthorised manner.
 - g) The Authority's Constitution has not been observed or is being breached.
 - h) Unlawful discrimination is occurring in relation to the legally protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, and sexual orientation.
 - i) Any other form of improper action or conduct is taking place. This could include breaches of the 'Nolan' Principles of Public Life.

- j) Information relating to any of the above is being deliberately concealed or attempts are being made to conceal the same.
- 4.3 Although the individual raising the concern will not be expected to prove the truth of an allegation, they will need to demonstrate to the person contacted that there are sufficient grounds for concern. They should also be able to give names, dates and places where possible and the reason as to why they are particularly concerned about the situation.

5. Concerns that don't count as Protected Disclosures

- 5.1 Protected Disclosures do not cover personal grievances (e.g. bullying, harassment, discrimination) unless it is in the public's interest.
- 5.2 Employee relationship issues could be raised with your manager, a colleague or someone within the HR service. If necessary, individuals can also contact the Advisory, Conciliation and Arbitration Service (ACAS) or their union representative for help and advice on resolving a workplace dispute.

6. How to raise a concern

- 6.1 Concerns can be raised in writing, email or direct with the Monitoring Officer
- 6.2 Prior to raising a concern or making a disclosure you may wish to discuss the matter with a manager or with a trade union representative.
- 6.3 There are other options if you do not want to report your concern to the Authority including seeking legal advice or going to a prescribed organisation which can take allegations without initially having to raise them with the Authority.
- 6.4 You can find a list of prescribed people and bodies on the GOV.UK website.

<https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2>

7. Raising a concern anonymously or confidentially

- 7.1 A concern can be raised anonymously however GLCCA may not be able to take the concern further if they do not have sufficient information.
- 7.2 An individual reporting a concern can give their name but request confidentiality, in which case GLCCA will make every effort to protect their identity. If the reporter wishes to raise a concern anonymously, this should be stated at the start of the process.
- 8.3 If a concern is reported to the media, in most cases Protected Disclosure rights do not apply.

8. How will concerns be dealt with?

- 8.1 The Authority is committed to dealing with all Protected Disclosure concerns appropriately, consistently, fairly and professionally.
- 9.2 The action taken by the Authority will depend on the nature of the concern. The matters raised may:
- Be investigated internally
 - Be referred to the Police
 - Be referred to the external auditor
 - Form the subject of an independent inquiry by another public body such as the Local Government Ombudsman or the Information Commissioners Office.
- 9.3 In order to protect individuals and the Authority, initial enquiries will be made by the Monitoring Officer (or an officer nominated by them) to decide whether an investigation is appropriate and, if so, what form it should take. Concerns or allegations, which fall within the scope of another existing procedure (e.g. fraud, money laundering or discrimination issues) will normally be referred for consideration under those procedures.
- 9.4 The Authority will write to the reporter of the concern within a maximum of 10 working days, acknowledging that their concern has been received and if appropriate giving further details of what action the Authority will be taking
- 9.5 Please note, in certain high-risk situations, for example child protection concerns, interim action will already have been taken.

- 9.6 The amount of contact between the body considering the issues and the reporter of the concern will depend on the nature of the matters raised, the potential difficulties involved, and the clarity of the information provided. If necessary, further information will be sought.
- 9.7 The Authority will take steps to protect the reporter of the concern from any mistreatment, detriment or harassment that they may experience because of raising a concern. For instance, if they are required to give evidence in criminal or disciplinary proceedings, the Authority will advise and support them through the procedure.
- 9.8 The Authority accepts that the individual reporting the concern needs to be assured that the matter has been properly addressed. Thus, subject to legal constraints, they will receive information about the outcome of any investigations.

9. Taking further action

- 9.1 If there are genuine concerns about how GLCCA has handled a Protected Disclosure this can be raised with the investigating officer(s) and/or the Monitoring Officer. If a suitable conclusion to the matter cannot be reached GLCCA's external auditors can be contacted.
- 9.2 If an allegation is made but subsequently, following an investigation, not upheld then no action will be taken against the reporter of the concern providing they:
- Have acted in the reasonable belief that the disclosure is in the public interest.
 - Believe that the information disclosed, and any allegation contained in it, is substantially true.
 - Have not acted for personal gain, and
 - Have not acted maliciously or made a false allegation.
- 10.3 It should be noted that if an allegation is made maliciously, falsely or for personal gain, appropriate action may be considered against the reporter. This could result in disciplinary action being considered and protection under PIDA will no longer apply.
- 10.4 If the reporter of the concern alerts a prescribed person or body, it must be one that deals with the issue that is being raised
- 10.5 If the reporter of the concern remains dissatisfied with the investigation carried out by GLCCA relevant advice and guidance will be given on the rights of escalation to the appropriate body.

11. Taking further action

- 11.1 All personal data collected and used in the handling of Protected Disclosure concerns is processed in accordance with relevant data protection legislation and Authority policies.
- 11.2 Protected Disclosure concerns are reported at an anonymised level to the Audit Committee as part of the Annual Fraud report.
- 11.3 Protected Disclosure concerns are recorded on the Authority's complaints system and access is restricted to those authorised to access the information.

Policy

Audit Arrangements and Risk Management

Purpose

This Policy sets out arrangements for audit and risk management to support the Combined County Authority in achieving its stated aims and ambitions and ensuring regulatory compliance and resultant public confidence in the good governance of the authority.

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Principles

This policy builds upon the Combined County Authority's Constitution and Local Assurance Framework. The Combined County Authority has adopted the following audit and risk management principles:

1.1 Robust Internal Controls:

- Establish and maintain strong internal controls across functions and processes within the authority.
- These controls should cover areas such as financial management, procurement, risk management, and governance.
- Regularly review and update these controls to adapt to changing circumstances.

1.2 Internal Audit Function:

- Appoint or establish an internal audit function.
- The internal audit team should be independent, adequately resourced, and skilled in auditing techniques.
- Conduct regular internal audits to assess compliance with policies, procedures, and legal requirements.
- Address any identified weaknesses promptly.

1.3 Risk Management:

- Develop a comprehensive risk management framework for both strategic and operational risks.
- Identify and assess risks specific to the authority's operations.
- Mitigate risks through appropriate controls and monitoring.

1.4 External Audit Engagement:

- Engage with external auditors.
- Provide access to necessary documents, data, and personnel during the audit process.
- Address any audit findings promptly and implement recommended improvements.

1.5 Transparency and Accountability:

- Maintain transparent financial reporting.
- Publish annual financial statements and reports.
- Ensure that financial information is accurate, complete, and timely.

1.6 Training and Awareness:

- Train staff and members on audit requirements, their roles, and responsibilities.

- Foster a culture of compliance and accountability.

1.7 Legal and Regulatory Compliance:

- Stay informed about changes in relevant laws and regulations.
- Comply with reporting deadlines and requirements set by regulatory bodies.

Governance of audit and risk management

Audit committees provide independent and high-level oversight of governance, risk, and control arrangements. By ensuring sufficient assurance over these aspects, Audit Committees instil confidence in all those responsible for governance that the arrangements are effective and appropriate.

The GLCCA Audit Committee is a key component of corporate governance providing an independent, high-level focus on the audit, assurance and reporting framework underpinning financial management and governance arrangements. Its purpose is to provide independent review and assurance to Members on governance, risk management and control frameworks.

The Audit and Governance Committee shall undertake the following for the authority:

Accounts

- Approve the annual statement of accounts.

Governance

- Review corporate governance arrangements against the good governance framework.
- Review the Annual Governance Statement prior to approval to ensure it properly reflects the risk environment and supporting assurances.
- Annually review the assurance framework to ensure it adequately addresses risks and priorities including governance arrangements of significant partnerships.
- Monitor the Combined County Authority's risk and performance management arrangements including reviewing the risk register, progress with mitigating actions and assurances.
- Monitor the anti-fraud and whistle blowing policies and the complaint process.

Internal Audit

- The Combined County Authority must appoint a Local Auditor to audit its accounts for a financial year not later than 31 December in the preceding financial year.
- Provide assurances over the effectiveness of internal audit functions and assuring the internal control environments of key partners.
- Review internal audit requirements undertaken by the Combined County Authority
- Approve the internal audit plan.

- Consider reports and assurances from the Chief Finance Officer in relation to:
 - i. Internal Audit performance;
 - ii. Annual Assurance Opinion on the adequacy and effectiveness of the framework of governance, risk management and control;
 - iii. Risk management and assurance mapping arrangement;
 - iv. Progress to implement recommendations including concerns or where managers have accepted risks that the Authority may find unacceptable.

External Audit

- Review the annual accounts.
- Consider the annual external audit of the Combined County Authority's accounts, including the Annual Audit Letter and assessing the implications and monitoring managers' response to concerns.

Financial Reporting

- Consider whether accounting policies were appropriately followed and any need to report concerns to the Combined County Authority Board.
- Consider any issues arising from External Auditor's audit of the account.
- Ensure there is effective scrutiny of the treasury management strategy and policies in accordance with [CIPFA's Code of Practice](#).
- Maintain an overview of the Combined County Authority's Constitution in respect of contract procedure rules, financial regulations and standards of conduct and make recommendations to the Chief Finance Officer and Monitoring Officer where necessary.

Code of Conduct

- Ensure the Combined County Authority has effective policies and processes in place to ensure high standards of conduct by its Members and Co-opted Members.
- Assisting the Members and Co-opted Members to observe the Code of Conduct.
- Advising the Combined County Authority on the adoption or revision of the Code of Conduct and monitor its operation.
- Advising on training and overseeing the effectiveness of any training for Members and Co-opted Members on matters relating to the Code of Conduct.

General

- To review any issue referred to the Committee by the Chief Operating Officer, Director, s73 Officer, the Monitoring Officer or any Combined County Authority Member.
- Report and make recommendations to the Combined County Authority in relation to the above.

Policy

Treasury Management Practices

Purpose

Treasury Management has been defined as: The management of the Authority's borrowing, investments and cash flows, including its banking, money market and capital market transactions; the effective control of the risks associated with these activities; and the pursuit of optimum performance consistent with those risks.

The treasury management practices prescribe how the Combined County Authority will manage and control its treasury activities.

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PRINCIPLE AND SCHEDULES

This document has been prepared in the sequence provided by CIPFA. For ease of use, the key areas for GLCCA treasury operations are referenced below:

Content	TMP Number
<ul style="list-style-type: none"> • Organisational chart of the Authority's Finance and Treasury Division 	TMP 5
<ul style="list-style-type: none"> • Statement of duties and responsibilities • Absence cover 	TMP 5 TMP 5
<ul style="list-style-type: none"> • Liquidity Management, Cash flow, bank overdraft, short-term borrowing/lending • Cash flow forecasts • Bank statements, payment scheduling 	TMP 1 TMP 8 TMP 3
<ul style="list-style-type: none"> • Electronic banking and dealing • Standard Settlement Instructions, Payment Authorisation 	TMP 5 TMP 11
<ul style="list-style-type: none"> • Approved types and sources of borrowing • Approved investment instruments 	TMP 4 TMP 4
<ul style="list-style-type: none"> • Counterparty and Credit Risk Management • Current criteria 	TMP 1 TMP 1
<ul style="list-style-type: none"> • Electronic Banking and Dealing: • Authorised dealers • Dealing limits • Settlement transmission procedures 	TMP 5
<ul style="list-style-type: none"> • Reporting arrangements/Performance measurement • Officers' responsibilities for reporting 	TMP 6 TMP 2 TMP 5
<ul style="list-style-type: none"> • Budget, Statement of Accounts, treasury-related information requirements for Auditors 	TMP 7
<ul style="list-style-type: none"> • Anti-Money Laundering Procedures 	TMP 9
<ul style="list-style-type: none"> • Contingency Arrangements 	TMP 1
<ul style="list-style-type: none"> • External Service Providers 	TMP 11
<ul style="list-style-type: none"> • References to Statute and Legislation 	TMP 1

TMP1 Schedule 1 - Risk Management

1.1 Risk management

All treasury management activities present risk exposure for the Authority. The Authority's policies and practices emphasise that the effective identification, management, and containment of risk are the prime objectives of treasury management activities.

The Section 73 Officer will formulate suitable criteria for assessing and monitoring the credit risk of investment counterparties in consultation with the Authority's advisors. The criteria will be agreed by Audit Committee. Investment with government offers the least risk but lower yields.

1.1.1 Policy on the use of credit risk analysis techniques

The Authority selects countries and the institutions within them for the counterparty list after analysis and careful monitoring of:

- a) Credit Ratings - the Authority will use credit rating criteria as the main means of assessing the creditworthiness of counterparties for placing investments with – where available this Rating information will be supplemented by additional risk indicators such as Credit Default Swap Rates.
- b) Sovereign credit ratings/sovereign support mechanisms (which now includes resolution mechanisms for failing financial institutions)
- c) The Authority's Treasury Advisor also undertakes analysis on the balance sheet structure of key banking institutions to help inform the potential restructure (i.e. bail-in) of a bank's unsecured liabilities should this be required by the regulatory authorities.
- d) The credit rating criteria will also apply to securities issued by financial and non-financial institutions, which in some instances, might be higher than that of the issuing institution.
- e) Financial limits for individual counterparties and sectors will be set to ensure a sound diversification policy.
- f) Longer term and cash limits may be set for secured investments (e.g., those with underlying collateral or which are by regulation excluded from being bailed-in/restructured in the event of financial distress.)
- g) Where there is no investment-specific rating, but collateral upon which the investment secured is rated, then the higher of the collateral and counterparty rating will be used to determine time and cash limits.
- h) Credit Default Swap (CDS) information
- i) Macro-economic indicators
- j) Asset values - consideration of the use of building societies that do not meet credit rating criteria for banks may be based on asset size rather than a formal rating.
- k) Corporate developments, news and articles, market sentiment

Where one or more counterparties are part of a group a limit will be set for the aggregate for all investments with the group.

- 1.1.2 Treasury Advisors will construct a lending list comprising time, type, sector and specific counterparty limits based on the Authority's approved Annual Investment Strategy. The counterparty list will be agreed and confirmed by the Section 73 officer.
- a) It may be impractical to determine a specific list of non-financial counterparties in whose securities investments might be made. The minimum credit rating criteria and whether the security is secured or unsecured will determine its selection for investment.
 - b) The counterparty list will be checked in accordance with the Annual Investment Strategy.
 - c) Credit ratings for individual counterparties can change at any time. The Treasury Advisors notify the Authority of credit rate changes which affect the Authority's counterparty list and any consequent change in limits. They also provide economic summaries, CDS information (monthly) and share price information.
 - d) In addition, Treasury Management Officers will use their own means to monitor market sentiment (via Treasury Live software) and ratings changes.
 - e) The Section 73 Officer will amend the approved list in line with the policy on criteria for selection of counterparties.
 - f) Where an entity's credit rating is downgraded so that it fails to meet the minimum criteria, then only with the explicit approval of the S73 officer will a lower level of investment be permitted within the non-Specified category. This is particularly apposite for the Authority's own bankers where overnight deposits may be required for Operational purposes.
 - g) Where a credit rating is placed on review for possible downgrade (also termed 'rating watch negative') so that it may fall below the minimum approved credit criteria, then only investments that can be withdrawn on the next working day will be made with that organisation until the rating review has been completed and its outcome known. This will not apply for 'negative outlooks' which indicate a long-term direction of travel rather than a possibility of an imminent downgrade.
 - h) Credit ratings will be used as supplied from one or more of the following credit ratings agencies.
 1. Fitch Ratings Ltd
 2. Moody's Investors Services
 3. Standard & Poor's
 - i) Operationally the Section 73 Officer may take measures to restrict (but not extend) the criteria approved in the Annual Investment Strategy.
 - j) Advisers will be advised of changes to the Counterparty List where necessary.

1.1.3 Policy on environmental, social and governance (ESG) considerations

- a) The Authority is appreciative of the Statement on ESG in Credit Risk and Ratings which commits signatories to incorporating ESG into credit ratings and analysis in a systemic and transparent way. The Authority uses ratings from Fitch, Moody's and Standard & Poor's to support its assessment of suitable counterparties. Each of these rating agencies is a signatory to the ESG in credit risk and ratings statement:

- b) For short term investments with counterparties, this Authority utilises the ratings provided by Fitch, Moody's, and Standard & Poor's to assess creditworthiness, which do include analysis of ESG factors when assigning ratings. The Authority will continue to evaluate additional ESG-related metrics and assessment processes that it could incorporate into its investment process where available in a consistent manner.

1.2 Liquidity Risk Management

- 1.2.1 The Authority will seek to maintain sufficient cash balances to meet its daily cash requirements without recourse to short-term borrowing, should unforeseen circumstances arise short-term borrowing will be undertaken to ensure liabilities are met as they fall due.
 - a) Approved sources of short-term borrowing are: -
 - i. The Authority agrees an overdraft facility, if necessary, with its bankers.
 - ii. The Authority accesses temporary loans either through money brokers or directly from financial institutions/other local authorities.
 - b) The Authority will only borrow in advance of need where there is a clear business case for doing so and will only do so for the current programme or to finance future debt maturities.
- 1.2.1 Cash flow forecasts will be maintained (see TMP8)

1.3 Interest Rate Risk Management

- 1.3.1 Treasury management strategies are prepared in consultation with treasury advisors, where appointed, to take account of interest rate forecasts (see TMP6). Trigger points for consideration of borrowing are included within the strategy where appropriate. The treasury management advisors, where appointed, periodically update the forecasts and any impact on trigger points. The Authority may determine it is more cost effective in the short-term to fund its borrowing requirement using internal resources ('internal borrowing') or through borrowing short-term loans. The benefits of such borrowing will be monitored regularly against the potential for incurring additional costs by deferring or refinancing in future years when interest rates are expected to be higher.
- 1.3.2 For its investments, the Authority also considers dealing from forward periods dependent upon market conditions. The Authority's counterparty term limits will apply and will include the forward period of the investment.
- 1.3.3 The Prudential Code requires the Authority to determine each year upper limits on net fixed interest rate and net variable interest rate exposures are determined each year as part of the Treasury Management Indicators included in the annual Treasury Management Strategy Statement.
- 1.3.4 The upper limits on net fixed interest rate and net variable interest rate are reviewed at least annually and are approved by Authority within the Treasury Management Strategy reports. The provider Credit and Investment Manager maintains a

spreadsheet to monitor compliance which is subject to regular review as part of the assurance arrangements.

- 1.3.5 Policies concerning the use of financial derivatives¹ and other instruments for interest rate management are set out in TMP4.

1.4 Exchange Rate

- 1.4.1 Borrowing and Lending will only be undertaken in £ Sterling.
- 1.4.2 The Authority may have some exposure to exchange rate movements from time to time because expenditure or income is denominated in a foreign currency, but these transactions will generally be small and will normally be converted out of or into sterling at the time of the transaction.

1.5. Inflation Risk Management

- 1.5.1 The organisation will keep under review the sensitivity of its treasury assets and liabilities to inflation and will seek to manage the risk accordingly in the context of the whole organisation's inflation exposures.

1.6. Refinancing

- 1.6.1 The Authority will seek to limit refinancing exposure by ensuring that only a limited amount of loan debt will mature in any one year. This limit will be kept under review and reported annually as part of the Annual Treasury Strategy. The Prudential Code requires as a specific treasury management indicator, upper and lower limits for the maturity structure of the Authority's debt.

The Section 73 Officer will, by the 31st March of each year, produce a borrowing strategy detailing the projected borrowing requirement for the subsequent year.

- 1.6.2 The opportunities for debt restructuring will be kept under review in line with market conditions. All loan debt rescheduling will be reported to the Authority as part of the outturn report.
- 1.6.3 The Section 73 Officer will prepare as a minimum a three-year plan for capital expenditure for the Authority. The Capital Investment Strategy and capital programme will be used as a basis for estimating the anticipated financing requirement and a three-year revenue budget for loan charges consisting of principal repayments, interest and expenses as well as loan repayments and forecast interest rates.
- 1.6.4 The Authority sets affordable limits for borrowing to inform the capital investment plans. The main source of borrowing for the authority is the Public Works Loan Board (PWLB) and estimates shall be prepared using forecast PWLB rates.

¹ Derivatives are financial instruments whose value is derived from the value of something else. They generally take the form of contracts under which the parties agree to payments between them based upon the value of an underlying asset or other data at a particular point in time. The main types of derivatives are futures, forwards, options and swaps.

1.6.5. Policy Concerning Limits on Affordability and Revenue Consequences of Capital Financing

- In considering the affordability of its capital plans, the Authority will consider all the resources currently available/estimated for the future together with the totality of its capital plans, revenue income and revenue expenditure forecasts for the forthcoming year and the two following years and the impact these will have on the Authority.
- It will also consider affordability in the longer term beyond this three-year period and assess the risks and rewards of significant investments to ensure the long-term financial sustainability of the authority. (CIPFA has not defined what longer term means but it is likely to infer 20-30 years in line with the financing time horizon and the expected life of the assets, while medium term financial planning, at a higher level of detail, is probably aimed at around a 10-year time frame and to focus on affordability in particular.)
- The Authority will also undertake an annual review of commercial, (debt for yield), investments (where existing) with a view to divest, where appropriate, to avoid or minimise additional external borrowing.
- The Authority will use the definitions provided in the Prudential Code for borrowing, capital expenditure, capital financing requirement, commercial property, debt, financing costs, investments, net revenue stream, other long term liabilities, treasury management and transferred debt.

1.7. Legal and Regulatory References to Relevant Statutes and Regulations

- 1.7.1 The treasury management activities of the Authority shall comply fully with legal statute, guidance, Codes of Practice, and the regulations of the Authority.
- 1.7.2 The Authority will confirm, if requested to do so by counterparties, the powers and authorities under which the Authority effects transactions with them.
- 1.7.3 The responsible officer shall take appropriate action with the Authority, the Head of Paid Service and the Leader of the Authority to respond to and manage appropriately political risks, leadership in the Authority, change of Government etc.
- 1.7.4 The monitoring officer is the Chief Legal Officer the duty of this officer is to ensure that the treasury management activities of the Authority are lawful.
- 1.7.5 It is the duty of the Section 73 officer to ensure that the financial affairs of the Authority are conducted in a prudent manner and to make a report to the Authority if they have concerns as to the financial prudence of its actions or its expected financial position.
- 1.7.6 Where required, the Authority will also establish the powers of those with whom they enter into transactions, including any compliance requirements in respect of a duty of care and best practice.

1.8 Operational risk, including fraud, error and corruption,

- 1.8.1 The risk that an organisation fails to identify the circumstances in which it may be exposed to the risk of loss through fraud, error, corruption, or other eventualities in its treasury management dealings, and fails to employ suitable systems and procedures and maintain effective contingency management arrangements to these ends. It includes the area of risk commonly referred to as operational risk.
- 1.8.2 This organisation will ensure that it has identified the circumstances which may expose it to the risk of loss through fraud, error, corruption, or other eventualities in its treasury management dealings. Accordingly, it will employ suitable systems and procedures, and will maintain effective contingency management arrangements, to these ends.
- 1.8.3 TMP5 and TMP6 and supporting Schedules set out the Authority's arrangements for clarity of organisation, reporting arrangements, and management information systems and controls.
- 1.8.4 Emergency and Contingency Planning Arrangements
Disaster Recovery Plan.

Under established agile working practises, all members of the Treasury Management team have remote access to the required systems to enable continuity.

- An electronic record is kept of all necessary treasury management data.
- CHAPS payments can be given by instruction by hand to the Bank.

- Balances can also be obtained over the telephone.
- All computer files are “backed up” to enable files to be accessed from remote sites.
- Capability exists to make payments off-site following the adoption of agile working practices.

1.8.5 Details of systems and procedures to be followed:

Authority

- The scheme of delegation to Officers set out the appropriate delegated levels. All loans and investments, including PWLB, are negotiated by authorised persons.

Occurrence

- A detailed register of loans and investments is maintained as part of the treasury management arrangements (Treasury Live). This is confirmed to the ledger balance.
- Adequate and effective cash flow forecasting records are maintained within the treasury management arrangements to support the decision to lend or borrow.
- Confirmation of a deal is received from the counterparty or trading portal. This could be in electronic or hardcopy format.
- A broker note showing details of the loan arranged confirming all transactions placed through brokers

Completeness

- The loans register (Treasury Live) is updated to record all lending and borrowing this includes the date of the transaction and its terms.

Measurement

- The calculation of repayment of principal and interest notified by the lender or borrower is checked for accuracy against the amount calculated by the Authority.

Timeliness

- The Treasury Live system highlights when money borrowed, or lent is due to be repaid. On a daily basis the service will obtain from the Authority’s bankers the intraday balance and ensure that allowance will be made for the repayment/ receipt of loans/ investment due.

Procedure

- All lending is only made to institutions on the approved list.

- All loans raised and repayments made go directly to and from the Authority's designated bank account.
- Authorised limits are set for every institution, grouped entities and certain types of instruments.
- Transactions are cross-checked against broker notes, counterparty confirmations and schedules by dates, amounts, interest rates, maturity, interest payment dates, etc.
- Brokers will have a list of named officers authorised to perform loan transactions.
- The control totals on the Treasury Live system are reconciled quarterly with the ledger.
- There is a clear separation of duties between the authorisation, inputting and releasing a payment processing of a payment and its checking and authorisation.
- Bank reconciliation is carried out regularly from bank statement to financial ledger.

Security

- Investment Payments - should only be authorised by an authorised signatory and payments over £3m require a second authorised signatory authoriser.
- Faster Payments – Payments should be authorised by a signatory from HR services manager and an authorised signatory.
- Cards, PINs and card readers are required for Barclays.net transactions.
- When receiving requests for change of payment details, due care will be exercised to ascertain the bona fide of the request and avoid potential fraud. Additional checks will be made through independently obtained contact details for the payee before altering payment details.

Internal Audit

1.8.6 Internal Audit will undertake an annual regulatory review of the treasury management function. (See TMP 7)

1.9 Price Risk Management

- 1.9.1 This is the risk that, through adverse market fluctuations in the value of the principal sums the Authority borrows and invests, its stated treasury management policies and objectives are compromised, against which effects it has failed to protect itself adequately.
- 1.9.2 The Authority will from time-to-time access instruments in which there is an active secondary market (Certificates of Deposit, Treasury Bills etc.). The capital value of these instruments will fluctuate depending on the remaining period to maturity and prevailing market conditions. However, when using such instruments, the Authority will always do so on the basis that it intends to hold them to maturity and thereby secure a fixed capital value.

- 1.9.3 The Authority may consider Variable Net Asset Value (VNAV) funds, as appropriate, in line with its TMSS.
- 1.9.4 The method for accounting for unrealised gains or losses on the valuation of financial assets will comply with the Accounting Code of Practice.

1.10 Management practices for non-treasury investments

- 1.10.1 The Authority recognises that investment in other financial assets and property primarily for financial return, taken for non-treasury management purposes, requires careful investment management. Such activity includes loans supporting service outcomes, investments in subsidiaries, and investment property portfolios.
- 1.10.2 This organisation will ensure that all the organisation's investments are covered in the capital strategy, investment strategy or equivalent, and will set out, where relevant, the organisation's risk appetite and specific policies and arrangements for non-treasury investments. It will be recognised that the risk appetite for these activities may differ from that for treasury management.
- 1.10.3 The organisation will maintain a schedule setting out a summary of existing material investments, subsidiaries, joint ventures, and liabilities including financial guarantees and the organisation's risk exposure.

Schedule 2 – TMP2 Performance measurement

- 2.1 All strategic treasury decisions are to be evaluated to determine:
- The impact on the Authority's finances
 - Any resultant change in the treasury management risk characteristics.
- 2.2 Methods to be employed for measuring the performance of the authorities Treasury Management activities.
- Prudential Indicators are local to the Authority and are not intended as a comparator between authorities.
 - Benchmarking information can be obtained from Advisors (where applicable), Treasury Live and/or CIPFA.
 - The performance review will be made in the light of general trends in interest rates during the year and how the decisions made corresponded with these trends and the Authority's agreed strategy, i.e. the Authority will avoid hindsight analysis.
 - For debt management the following Performance Indicators will be used
 - Average rate on all external debt
 - Average rate on external debt borrowed in previous financial year
 - Average period to maturity of external debt
 - For new borrowing, the average PWLB borrowing rate for the period for the same maturity profile.
- 2.3 To assist in evaluating the impact of strategic treasury management decisions the following will be carried out.
- The Credit and Investment Manager will produce regular updates to the Treasury Management Strategy Group (TMSG).
 - Mid-year report to Audit Committee. Annual Report to Authority
 - Reviews with the treasury management advisors
 - Internal audit reviews
- 2.4 Frequency and Processes for tendering. Banking services and other treasury services provided by external providers shall be subject to review by the Section 73 Officer at least every 5 years depending on type of contract.
- 2.5 Banking services will be re-tendered or renegotiated at least every 5 years to ensure that the level of prices reflect efficiency savings achieved by the supplier and current pricing trends.
- 2.6 Except for approved direct dealing the Authority uses money broking services in order to make deposits or to borrow from the market and will establish charges for all services prior to using them. The Section 73 Officer has established the under noted list of brokers, which takes account of both prices and quality of services, to obtain funds from the money markets and to place investments in accordance with the Approved list.

- Martin Brokers
- Tullett Prebon
- King and Shaxson Limited
- Tradition UK
- BGC Partners
- Munix Limited

This list may be revised at any time by the Section 73 Officer. Use of individual brokers will be determined by the need to access the services which they provide in the first instance and by performance/cost assessment thereafter.

- 2.7 The Authority's policy is to appoint full-time professional treasury management advisors; the contract will be reviewed at least every three years.
- 2.8 The Authorities' current policy is not to appoint external investment managers, but this will be kept under review by the Section 73 officer.

Schedule 3 - TMP3 Decision making and analysis.

3.1 In respect of funding, borrowing, lending, and new instruments / techniques:

Documents will be retained to evidence the processes and rationale behind all decisions:

3.2 Records to be kept. The Treasury team maintains a daily electronic record of bank balances, statements and cash flow calculations and uses specialist computer software to record all cash flow and treasury management transactions which are authorised independently. The record will have the following details relative to each loan or investment.

- Brokers (if applicable)
- Counterparty
- Interest rate
- Repayment date
- Term of loan
- Loan type
- Commission
- Transfer arrangement
- Basis on which a particular deal was judged to be the correct one.
- Confirmation of compliance with Counterparty List

In addition, the following records will be kept: -

- Broker Confirmations
- Counterparty Confirmations
- Deal Tickets

3.3 Processes to be pursued.

- Cash flow forecasting – 6 months ahead (daily breakdown), period of Medium-Term Financial Forecast (Monthly breakdown).
- Investment of surplus cash balances
- Temporary borrowing to cover cash deficits.
- Long-term borrowing to finance capital expenditure.
- Obtaining other forms of financing where that offers best value.
- Managing the investment and debt portfolio – maturity profile, debt rescheduling opportunities etc.
- Monitoring of actual against budget for debt charges, interest earnings and debt management expenses

3.4 In respect of every decision made the Authority will have regard to the nature and extent of the risks to which the authority may become exposed.

- Be certain about the legality of the decision reached and the nature of the transaction, and that all authorities to proceed have been obtained.

- Be content that the documentation is adequate both to deliver the Authority's objectives and protect the Authority's interests, and to deliver good housekeeping.
- Ensure that third parties are judged satisfactory in the context of the Authorities creditworthiness policies, and that limits have not been exceeded.
- Be content that the terms of any transactions have been fully checked against market and have been found to be competitive.

3.5 In respect of borrowing and other funding decisions, the S73 Officer will:

- consider the ongoing revenue liabilities created, and the implications for the organisation's future plans and budgets to ensure that its capital plans and investment plans are affordable, proportionate to the Authority's overall financial capacity, and are within prudent and sustainable levels. This evaluation will be carried out in detail for three budget years ahead.
- Less detailed evaluation will also be carried out over a longer period of up to 60 years to ensure that plans continue to be affordable, proportionate, prudent and sustainable in the longer term. *(CIPFA has not defined what longer term means)*
- not borrow to invest primarily for financial return.
- not borrow earlier than required to meet cash flow needs unless there is a clear business case for doing so.
- not borrow unless it is to finance the current capital programme or to fund future debt maturities, or to ensure an adequate level of short-term investments to provide liquidity for the Authority.
- increase its CFR and borrowing solely for purposes directly and primarily related to the functions of the authority and where any financial returns are either related to the financial viability of the project in question or otherwise incidental to the primary purpose.
- undertake an annual review of any investments in commercial (debt for yield) schemes with a view to identify whether such assets should be sold to provide resources to finance capital expenditure plans or refinance maturing debt. Evaluate the economic and market factors that might influence the manner and timing of any decision to borrow.
- Consider the merits and demerits of alternative forms of funding, including funding from revenue, leasing, and private partnerships.
- Consider the use of internal resources and/or the most appropriate periods to fund and repayment profiles to use.
- Where applicable, monitor regularly the benefits of internal borrowing against the potential for incurring additional costs by deferring borrowing into future years.
- Ensure that treasury management decisions are made in accordance with good professional practice.

3.6 In respect of investment decisions, the S73 Officer will:

- Determine that the investment is within the Authority's strategy and pre-determined instruments and criteria.

- Consider the optimum period, in the light of cash flow availability and prevailing market conditions.
- Consider the alternative investment products and techniques available, especially the implications of using any which may expose the Authority to changes in the value of its capital.
- Evaluate the credit risk associated with unsecured investments with banks and building societies.
- Determine appropriate credit policy limits and criteria to minimise the Authorities exposure to credit worthiness and other investment risks.

Schedule 4 - TMP4 Approved instruments, methods and techniques

4.1 Approved activities of the Treasury Management operation are as follows

- Borrowing
- Investing
- Capital Financing
- Debt Repayment and rescheduling
- Consideration, approval and use of new financial instruments and treasury management techniques
- Managing the underlying financial risk associated with the Authority's capital financing and surplus funds activities.
- Managing Cash Flow
- Managing any underlying exchange rate risk associated with the Authority's business activities.

4.2 The above list is not finite, and the Authority would, from time to time, consider and determine new financial instruments and treasury management techniques; however, the Section 73 will consider carefully whether officers have the skills and experience to identify and manage the advantages and risks associated with using the instruments/techniques before undertaking them, more so as some risks may not be wholly or immediately transparent.

4.3 Investments will be with those bodies identified by the Authority for use through the Treasury Management Strategy and may include using the following instruments:

- Deposits with the UK government, the Debt Management Agency Deposit Facility (DMADF), and UK local authorities, Term deposits, callable deposits, and forward deals with high rated banks and building societies.
- Treasury Bills, Gilts and other Government issued securities.
- Certificates of deposit with high rated banks and building societies.
- AAA-rated Money Market Funds.
- Highly rated corporate bonds
- Covered bonds (i.e., those with underlying collateral)
- Unsecured corporate bonds
- Reverse Repurchase Agreements ('reverse repos')
- Floating Rate Notes
- Pooled funds i.e., Collective Investment schemes meeting the criteria in SI 2004 No 534 and subsequent amendments.
- Pooled funds i.e., Collective Investment Schemes which do not meet the definition of Collective Investment Schemes in SI 2004 No 534 and subsequent amendments – these will be capital expenditure investments.

4.4 From 3 January 2018, UK public sector bodies were defaulted to "retail" status under the requirements of MiFID II. However, for each counterparty it is looking to transact with, (e.g., financial institution, fund management operator, broker), there remains the option to opt up to "professional" status, subject to meeting certain requirements specified by MiFID II and that it has the appropriate level of knowledge and

experience and decision-making processes in place in order to use regulated investment products.

- 4.5 MIFID II does not cover term deposits so local authorities should not be required to opt up to professional status. However, some non-UK banks do not have the necessary regulatory permissions to deal with retail clients, so opting up to professional status would be required.
- 4.6 For investing in negotiable investment instruments, (e.g., certificates of deposit, gilts, corporate bonds), money market funds and other types of investment funds, which are covered by MIFID II, a schedule is maintained of all counterparties that the treasury management team are authorised to place investments with. This specifies for each investment instrument and for each counterparty, whether the authority has been opted up to professional status. (N.B. some money markets funds will deal with both retail and professional clients.)
- 4.7 A list is maintained for all permissions applied for and received for opt ups to professional status specifying name of the institution (please see below).

SCHEDULE FOR OPT UPS TO PROFESSIONAL STATUS

Banks - None

Money Market Funds Blackrock, Goldman Sachs, Insight, Northern Trust

Bond Funds - None

Others - Link Asset Services, King and Shaxson, Tradition UK, BGC Partners, Tullett Prebon, Munix Limited

SCHEDULE FOR EXEMPTIONS

- 4.8 Approved Techniques include.

Forward dealing up to 3 years in advance. All forms of funding will be considered dependent on the prevailing economic climate, regulations and local considerations. The Section 73 Officer has delegated powers in accordance with Financial Regulations, Standing Orders, and the Scheme of Delegation and the Treasury Management Strategy to take the most appropriate form of borrowing from the approved sources.

- 4.9 Approved Methods and Sources of Raising Capital Finance

Finance will only be raised in accordance with the Local Government Act 2003 and within this limit the Authority has several approved methods and sources of raising capital finance be it for long, short or temporary term. These include:

- Public Works Loan Board (PWLB)
- Any institution approved for investments inc Multi-lateral Agencies.
- Any other bank or building society authorised to operate in the UK.
- UK public and private pension funds (except East Riding Pension Fund)
- Negotiable Bonds

- Municipal Bonds Agency and other special purpose vehicles created to enable local authority bond issues.
- Other local authorities
- Overdraft
- Internal (Capital Receipts, Revenue Balances & use of reserves)
- Private Finance Initiative
- Operating and Finance leases
- Deferred purchase
- Hire Purchase
- Sale and leaseback

Other Methods of Financing include:

- Government and EC capital Grants
- Contributions from other bodies

- 4.10 Use of Derivatives - The Authority will not use standalone derivatives.
- 4.11 The Annual Investment Strategy sets out the limits and the guidelines for use of each type of investment instrument.
- 4.12 Borrowing limits are detailed within the Treasury Management Strategy Statement and Prudential and Treasury Indicators.

Schedule 5 - TMP5 Organisation, clarity and segregation of responsibilities and dealing arrangements.

5.1 Limits to Responsibilities / Discretion at Authority Level

5.1.1. Authority

- Formal Approval of the Constitution.
- Budget consideration and approval.
- Set the Prudential Indicators and revise them as and when necessary.
- Formal Approval of The Treasury Management Strategy Statement, Annual Investment Strategy, Capital Strategy and Prudential Code indicators.
- Receive reports on treasury management arrangements and activities and the approval of decisions.
- Receive the annual report and mid-year review on treasury management

5.1.2 Audit Committee

- Scrutiny and overview of treasury management arrangements and Treasury Management Activity,
- Recommend the Annual Report and mid-year review to CCA (as per TMP6).
- Recommend the Treasury Management Strategy (TMSS) and Practices (TMPs) and Schedules to CCA
- Receiving and reviewing internal and external audit reports and reviewing progress on the implementation of recommendations.

5.1.3 Portfolio Holder

- Scrutiny and overview of treasury management activities on a monthly basis in conjunction with the Section 73 Officer.

5.2 Principles and Practices concerning Segregation of Duties.

The following duties must be undertaken by separate officers: -

- Dealing
- Authorisation of deal
- Release payment from online banking system.
- Administration of user profiles on cash management and banking systems

5.3 Treasury Management Organisation Chart

5.3.1 Section 73 Officer

5.3.2 Treasury Management service provided through SLA with NELC

5.4 Statement of Duties / Responsibilities for Each Treasury Post

5.4.1 Section 73 Officer

- Ensure that at all times those engaged in Treasury Management follow the policies and procedures set out.
- Recommend to the Authority for adoption, Treasury Management Policy Statement, reviewing the same and monitoring compliance.
- Submit Treasury Management reports as prescribed in TMP6, Reporting Requirements and Management Information Arrangements.
- Set income budget for return on investments.
- Submit budgets, budget variations and prudential indicators.
- Receive and review management information reports.
- Ensure the adequacy of treasury management resources and skills and the effective division of responsibilities within the treasury management function.
- Ensure the adequacy of internal audit, and liaison with external audit.
- Approve the appointment of external service providers.
- Recommend to The Authority the approval of the Treasury Management Strategy Statement and Prudential Code indicators.
- To take the most appropriate form of borrowing from the approved sources and to make the most appropriate form of investments in approved instruments.
- Delegate formally and document his/her power to borrow and invest
- To ensure that the scheme of Treasury Management responsibilities as set out in this schedule are adhered to.
- Prior to entering into any capital financing, lending or investment transaction, it is the responsibility of the Section 73 Officer to be satisfied, by reference to the Monitoring Officer, the Authority's legal advisors and external advisors as appropriate, that the proposed transaction does not breach any statute, external regulation or the Authority's Constitution and Financial Regulations.
- In the role of Money Laundering Reporting Officer ensure compliance with appropriate Money Laundering Regulations.
- It is also the responsibility of the responsible officer to ensure that the Authority complies with the requirements of The UK Money Markets Code (formerly known as the Non-Investment Products Code) for principals and broking firms in the wholesale markets.

5.4.2 Deputy arrangements

To deputise for the Section 73 Officer as required.

5.4.3 Strategic Lead

- To lead Treasury Management Operational Group
- Provide oversight of the day-to-day treasury management operations,
- To undertake the day-to-day treasury management duties of the Section 73 Officer,
- To ensure that adequate resources are available,
- Ensure Training is up to date for all roles,
- Submitting management information reports to the Section 73 officer / Head of Paid Service.

- Review compliance with Assurance Targets and report and exceptions to Treasury Management Strategy Group
- Agree reconciliation of Treasury Transactions to the ledger

5.4.4 Provider (via SLA)

- Oversee the execution of Transactions and ensure adequate recording takes place.
- Adherence to agreed policies and practices on a day-by-day basis.
- Maintaining relationships with banking and treasury related third parties and external service Providers.
- Monitoring performance on a day-to-day basis.
- Identifying and recommending opportunities for improved practices.
- Ensure Dealers and Reserve Dealers are kept up to date with market developments.
- Horizon scanning for macro-economic factors

5.4.5 Monitoring Officer

- Ensuring compliance by the Section 73 Officer with the treasury management policy statement and treasury management practices and that they comply with the law.
- Being satisfied that any proposal to vary treasury policy or practice complies with law or any code of practice.
- Giving advice to the Section 73 Officer when advice is sought.

5.4.6 Internal audit

- To provide management with assurance about the effectiveness of key controls that are operated by the Authority and the exposure to risk any control issue may cause.

5.5 Dealing limits:

All long-term funding and investment decisions (+364 days) shall be authorised by the Section 73 Officer either within the minuted forum of Treasury Management Strategy Group or by separate discussion and appropriate (email/Decision notice) confirmation.

In respect of the daily surplus or loan decision required the following limits shall apply to the approval of short-term funding and investment decisions.

Over £5 million and longer than 31 days - approval required from provider Credit and Investment Manager or above.

5.6 Direct Dealing Practices

Direct dealing is carried out with institutions and with external pooled funds identified on the counterparty list and subject to maturity limits and dealing limits.

Deal Transactions

By telephone, e mail or via online dealing portal

5.7 Settlement Transmission Procedures

The transfer of funds for deals arranged shall normally be made via the Authority's online banking platform.

All CHAPS payments relating to settlement transactions require authorisation by at least one bank signatory.

All Single CHAPS payments over £3m relating to settlement transactions require authorisation by 2 bank signatories.

5.8 Documentation Requirements:

For each deal undertaken the following will be prepared:

Investments

- Investment Deal ticket authorising the investment.
- Confirmation from the broker
- Contract notes for purchase and sale of shares/units in pooled funds from the fund's manager/administrator

Loans

- Borrowing Deal ticket with signature to agree loan.
- Confirmation from the broker OR
- Confirmation from PWLB/market counterparty

5.9 Arrangements concerning the management of counterparty risk

- The provider Credit and Investment Manager has responsibility for updating the Authority's records with any credit developments.
- The Strategic Lead is tasked with the responsibility for checking that records have been correctly updated to reflect any credit developments.

Schedule 6 - TMP6 Reporting requirements and management information arrangements.

6.1 Annual programme of reporting

Annual reporting requirements before the start of the year

- Review of the organisation's approved clauses, treasury management policy statement and practices
- Treasury management strategy report on proposed treasury management activities for the year comprising of the Treasury management strategy statement, Annual Investment Strategy (see 6.3) and Minimum Revenue Provision Policy Statement
- Capital strategy to cover the following:
- Give a long-term view of the capital programme and treasury management implications thereof beyond the three-year time horizon for detailed planning.
- An overview of treasury and non-treasury investments to highlight the risks and returns involved in each and the balance, (proportionality), between both types of investments.
- The authorities risk appetite and specific policies and arrangements for non-treasury investments
- Schedule of non-treasury investments

6.2 Treasury Management Strategy Statement

The Treasury Management Strategy Statement (TMSS) sets out the specific expected treasury activities for the forthcoming financial year. This Strategy will be submitted by the Section 73 Officer to the Authority for approval before the commencement of each financial year.

The Treasury Management Strategy is concerned with the following elements:

- The current treasury portfolio position
- The prospects for interest rates
- The expected borrowing strategy
- The expectations for debt rescheduling
- The Annual Investment Strategy (see below) The Prudential Limits placed by the Authority on treasury management activities (currently included in the Prudential Indicators report).

6.3 Annual Investment Strategy

As part of its annual TMSS for the following year, the Section 73 Officer will prepare an Annual Investment Strategy covering the identification and approval of the following:

- The strategy guidelines for decision making on investments.
- The maximum periods for which funds can be committed.

- Specified investments the Authority will use. These are high security (defined by the Authority), and high liquidity investments in sterling and with a maturity of no more than a year.
- Non-specified investments, clarifying the greater risk implications, identifying the general types of investment that may be used and a limit to the overall amount of various categories that can be held at any time.

6.4 Prudential Indicators

Under the prudential system, the Authority must determine the level of their affordable borrowing, having regard to the CIPFA Prudential Code.

The prudential indicators for the forthcoming and following years must be set before the beginning of the forthcoming year.

The Section 73 Officer is responsible for ensuring compliance with these limits. Should it prove necessary to amend these limits, the Section 73 Officer shall submit the changes for approval to the Authority.

6.5 Annual reporting requirements after the year end

An annual report will be presented to the Authority at the earliest practical meeting after the end of the financial year.

The report will include.

- A comprehensive picture for the financial year of all treasury policies, plans, activities and results.
- Report on risk implications of decisions taken and transactions executed.
- Compliance report on approved policy, practices and statutory/regulatory requirements.
- Measurements of performance.
- Report on compliance with CIPFA code recommendations.

6.6 Quarterly and Mid-year reviews

The Authority will review its treasury management activities and strategy on a quarterly and six monthly (*or other*) basis. The mid-year review will go to the Authority. This review will consider the following: -

- a) activities undertaken.
- b) variations (if any) from agreed policies/practices
- c) interim performance report
- d) regular monitoring
- e) monitoring of treasury management and prudential indicators

The quarterly review will monitor the treasury management and prudential indicators as part of the authority's general revenue and capital monitoring and be reported to CCA.

6.7 Management information requirements

The Treasury provider will provide to the Strategic Lead in accordance with agreed timetable:

- Monitoring and forecast information in respect of revenue budgets
- Loan and investment balances
- Information demonstrating compliance with prudential indicators.
- Extent of compliance with Treasury Strategy and reasons for variance (if any)

The Treasury provider will produce for each meeting of the Treasury Management Strategy Group (TMSG) and the Treasury Management Operational Group (TMOG):

- Borrowing and lending balances
- Cash flow report
- Market Intelligence

TMOG will bring any major issues to the attention of the Section 73 Officer.

Schedule 7 – TMP7 Budgeting, accounting and audit Arrangements

- 7.1 The accounts are drawn up in accordance with the Code of Practice on Local Authority Accounting in Great Britain that is recognised by statute as representing proper accounting practices. The Authority has also adopted in full the principles set out in CIPFA's 'Treasury Management in the Public Services – Code of Practice' (the 'CIPFA Code'), together with those of its specific recommendations that are relevant to this Authority's treasury management activities.
- 7.2 Revenue estimates for treasury management activity and function for the forthcoming year and following two years will be prepared. This will bring together all the costs involved in running the function, together with associated income, i.e.:
- Interest payable
 - Interest receivable
 - Debt management expenses (including bank charges, external advisors etc)
- 7.3 A report on these estimates throughout the year will be prepared in accordance with the Authority's budget monitoring arrangements.
- 7.4 List of information requirements of External Auditors
- Calculation of the Minimum Revenue Provision
 - Copy of report to Members where Authority determined Prudential Indicators
 - Analysis of cash and bank balances on 31 March
 - Year-end bank reconciliations
 - Schedule of outstanding borrowing at year end including confirmation from lenders
 - Demonstrate compliance with FRS25, FRS 26 & FRS29
 - Reconciliation of loan interest, discounts received, and premiums paid to the financial ledger by loan type.
 - Maturity analysis of loans outstanding
 - Reconciliation of loans outstanding in the financial ledger to Treasury Live
 - Calculation of loan interest and debt management expenses
 - Schedule of all investments
 - Copy of approved lending list
 - Details of interest applied to internal investments.
 - Interest accrual calculation
 - Treasury Management Strategy
 - Annual Investment Strategy
 - Annual treasury report
 - Reports from Treasury Live system

Schedule 8 – TMP8 Cash and cash flow management

- 8.1 Up to date 3 year annual, and daily rolling cash flow projections will be maintained.
- 8.2 The projections are prepared from the annual Medium Term Financial Forecast and accumulated knowledge on individual cash flow items, adjusted for known changes in levels of income and expenditure (revenue and capital) and changes in payments and receipts dates.
- 8.3 Daily Cash flow records are maintained on the Treasury Live system.
- 8.4 Analysis of the accuracy of forecasts is monitored by comparing rolling actuals to original projections on a monthly basis and reported on.
- 8.5 A debt liability benchmark will be created and monitored on a quarterly basis to inform a long-term view of liquidity requirements.
- 8.6 Bank reconciliation procedure. Bank reconciliations are a key financial control aimed at ensuring:
 - All financial transactions through the Authority's bank accounts are reflected in the financial ledger.
 - All income and expenditure are properly and promptly banked and reflected in the appropriate bank account.
 - All queries are promptly resolved and a record of items that need further investigation.
 - Evidencing that the reconciliations are undertaken regularly throughout the year and are subject to monitoring and review.

Schedule 9 - TMP 9 Money Laundering

- 9.1 Money laundering has the objective of concealing the origin of money generated through criminal activity. Legislation has given a higher profile to the need to report suspicions of money laundering. The Proceeds of Crime Act (POCA) 2002 established the main offences relating to money laundering. In summary, these are:
- concealing, disguising, converting, transferring or removing criminal property from England and Wales, from Scotland or from Northern Ireland
 - being concerned in an arrangement which a person knows, or suspects facilitates the acquisition, retention, use or control of criminal property.
 - Acquiring, using or possessing criminal property.
- 9.2 These apply to all persons in the UK in a personal and professional capacity. Any person involved in any known or suspected money-laundering activity in the UK risks a criminal conviction. Other offences under the POCA include:
- failure to disclose money-laundering offences.
 - tipping off a suspect, either directly or indirectly
 - Doing something that might prejudice an investigation – for example, falsifying a document.
- 9.3 The Terrorism Act 2000 - This act made it an offence of money laundering to become concerned in an arrangement relating to the retention or control of property likely to be used for the purposes of terrorism or resulting from acts of terrorism. All individuals and businesses in the UK have an obligation to report knowledge, reasonable grounds for belief or suspicion about the proceeds from, or finance likely to be used for, terrorism or its laundering, where it relates to information that comes to them in the course of their business or employment.
- 9.4 **The Money Laundering Regulations, 2012, 2015 and 2017.** Organisations pursuing relevant business (especially those in the financial services industry regulated by the FCA) are required to do the following: -
- identify and assess the risks of money laundering and terrorist financing.
 - have policies, controls and procedures to mitigate and manage effectively the risks of money laundering and terrorist financing identified through the risk assessments.
 - appoint a nominated officer.
 - implement internal reporting procedures.
 - train relevant staff in the subject
 - obtain, verify and maintain evidence and records of the identity of new clients and transactions undertaken.
 - report their suspicions.
- 9.5 Public service organisations and their staff are subject to the full provisions of the Terrorism Act 2000 and may commit most of the principal offences under the POCA but are not legally obliged to apply the provisions of the Money Laundering Regulations, 2012, 2015 and 2017. However, as responsible public bodies, they

should employ policies and procedures which reflect the essence of the UK's anti-terrorist financing, and anti-money laundering, regimes. Accordingly, this Authority will do the following:

- evaluate the prospect of laundered monies being handled by them.
- determine the appropriate safeguards to be put in place.
- require every person engaged in treasury management to make themselves aware of their personal and legal responsibilities for money laundering awareness.
- make all its staff aware of their responsibilities under POCA.
- Appoint a member of staff to whom they can report any suspicions.
- in order to ensure compliance is appropriately managed, this Authority will require senior management to give appropriate oversight, analysis and assessment of the risks of clients and work/product types, systems for monitoring compliance with procedures and methods of communicating procedures and other information to personnel.
- The officer responsible for the creation and monitoring the implementation of a corporate anti money laundering policy and procedures is the S73 Officer and it shall be a requirement that all services and departments implement this corporate policy and procedures.

9.6 Procedures for establishing Identity of Lenders/Borrowers

The Authority does not accept loans from individuals.

All loans are obtained from the PWLB, other local authorities or from authorised institutions under the Financial Services and Markets Act 2000. This register can be accessed through the FCA website on www.fca.gov.uk.

The Authority will only borrow from permitted sources identified in TMP4. All banking transactions will only be undertaken by the personnel authorised to operate the Authority's bank accounts.

When receiving requests for change of payment details due care is exercised to ascertain the bona fide of the request and avoid potential fraud. Checks will be made through pre-existing contact details for the payee before altering payment details.

9.7 Methodologies for identifying deposit takers.

In the course of its treasury activities the Authority will only lend money to or invest with those counterparties that are on its approved lending list.

Schedule 10 – TMP10 Training and Qualifications

- 10.1 This Authority recognises the importance of ensuring that all persons involved in the treasury management function are fully equipped to undertake the duties and responsibilities allocated to them. It will therefore seek to appoint individuals who are both capable and experienced and will provide training for staff to enable them to acquire and maintain an appropriate level of expertise, knowledge and skills. The responsible officer will recommend and implement the necessary arrangements, including the specification of the expertise, knowledge and skills required by each role or member of staff.
- 10.2 The responsible officer will ensure that Authority members tasked with treasury management responsibilities have access to training relevant to their needs and those responsibilities.
- 10.3 Those charged with governance recognise their individual responsibility to ensure that they have the necessary skills to complete their role effectively.
- 10.4 The Section 73 Officer is committed to professional responsibilities through both personal compliance and by ensuring that relevant individuals are appropriately trained. Other individuals involved in Treasury Management activities who are members of CIPFA must also comply with the SOPP (Statement of Professional Practice).
- 10.5 Details of individual training needs will be identified, as part of the training needs analysis undertaken as part of the Authority's Performance Management Framework. The present arrangements, including a knowledge and skills schedule, are detailed in the schedule to this document.
- 10.6 In addition, individuals undertaking treasury management duties will receive appropriate training relevant to the requirements and duties of their role prior to undertaking those duties.
- 19.7 Training updates will be provided as required. Regular meetings will be held to ensure individuals are up to date with developments on Treasury issues.
- 10.8 Treasury management seminars will be attended as appropriate and will be open to all relevant individuals.
- 10.9 Schedule of Knowledge and Skills Requirements for Treasury Roles

The S73 Officer has determined the following minimum competencies for each of the key Treasury Roles.

Role	Min.	Currently Met
Treasury lead / provider	<ul style="list-style-type: none"> • Qualification or extensive experience financial risk management sufficient to meet MiFID II requirements. • Detailed knowledge of developing investment and treasury management strategies and investment processes. • Detailed knowledge of the key risks that the authority is exposed to and how a local authorities' investment/treasury management strategy should be considered in conjunction with these risks. • Detailed knowledge of the risk and return characteristics of the main asset classes (deposits, pooled funds, bonds, property), and the need to balance risk versus reward when determining the investment strategy. • Detailed knowledge of the local authorities' cashflow requirements and how these impacts on the types on investments considered. pg. 14 Financial markets • A strong understanding of the primary importance of the investment strategy decisions. • A strong understanding of the workings of the financial markets and of the investment vehicles available to the local authority and the nature of the associated risks. • A strong understanding knowledge of the restrictions placed by regulation or case law, on the investment activities of local authorities. Statutory and legislative frameworks • A strong understanding of MIFID II requirements. • A strong understanding of MHCLG Statutory Guidance on Local Government Investments (and the equivalent guidance in Wales). 	Yes

	<ul style="list-style-type: none"> • A strong understanding of Statutory Guidance on Minimum Revenue Provision (note that this would need to be relevant to the jurisdiction in which a treasury manager operates). • A strong understanding of CIPFA's Treasury Management In the Public Services Code Of Practice And Cross-Sectoral Guidance Notes (CIPFA 2017) and the Treasury Management Code of Practice and Treasury Management in the Public Services Guidance Notes for Local Authorities Including Police Forces and Fire and Rescue Authorities 2018 Edition. • A strong understanding of the Prudential Code for Capital Finance in Local Authorities, 2017 Edition and The Prudential Code for Capital Finance in Local Authorities, Guidance Notes for Practitioners, 2018 Edition. 	
S73 Officer	<ul style="list-style-type: none"> • Detailed knowledge of Treasury and subject matter. 	Yes
Audit Committee Member	<ul style="list-style-type: none"> • A general understanding of Treasury Management principles 	Yes
Authority Member	<ul style="list-style-type: none"> • An awareness of Treasury Management principles. 	TBC

Schedule 11 - TMP11 Use of external service providers

- 11.1 Responsibility for Treasury management decisions remains with the Authority at all times.
- 11.2 This Authority will employ (directly or indirectly) the services of other organisations to assist it in the field of treasury management. In particular, it will use external consultants to provide specialist advice in this ever more complex area. However, it will ensure that it fully understands what services are being provided and that they meet the needs of this organisation, especially in terms of being objective and free from conflicts of interest.
- 11.3 It will also ensure that the skills of the treasury management function are maintained to a high enough level whereby they can provide appropriate challenge to external advice and can avoid undue reliance on such advice.
- 11.4 Treasury management function will therefore be required to allocate appropriate levels of time to using key various sources of information available to them so that they are able to develop suitable levels of understanding to carry out their duties, especially in challenge and avoiding undue reliance.
- 11.5 **Banking Services (TBC)**
Barclays Bank PLC
PO Box No 3333
1 Snow Hill
Snow Hill Queensway
Birmingham
B3 2WN
- 11.6 **Money Broking Services**
Tullet Prebon Ltd
155 Bishopgate
London
EC2N 3DA
- King & Shaxson Ltd
1st Floor
Cutlers Court
115 Houndsditch London
EC3A 7BR
- Martin Brokers (UK) plc
25 Dowgate Hill
London
EC4R 2BB
- Tradition UK
15 St. Botolph St.
London
EC3A 7QX

BGC Partners
One Churchill Place, 18th Floor.
Canary Wharf
London
E14 5RD

Munix Limited
9 Ainslie Place
Edinburgh
EH3 6AT

11.7 Treasury Advisers

Link Asset Services
6th Floor
65 Gresham Street
LONDON
EC2V 7NQ

11.8 Deals Recording

Public Sector Live
31 Southampton Row
London
WC1B 5HJ30 day

Rolling 30 day contract

11.9 Bank Balances

Barclays.net

11.10 Money Market Funds Dealing

Mosaic
Goldman Sachs Asset Management
Plumtree Court
25 Shoe Lane
London
EC4A 4AU

The Authority is mindful of the requirements of the Bribery Act 2011 in its dealings with external providers.

Schedule 12 – TMP12 Corporate Governance

- 12.1 List of Documents to be made available for public inspection.
- a) Medium Term Financial Forecast
 - b) Approved Capital Programme
 - c) Prudential Indicators
 - d) Treasury Management Strategy Statement
 - e) Annual Treasury Report
 - f) Treasury Management Policy Statement (TMPS)
 - g) Access to Authority/Committee minutes on Authority's website
 - h) Annual Accounts
- 12.2 In order to maintain commercial confidentiality, requests for more detailed information should be referred to the Authority's Freedom of Information Officer.

Schedule 13 – Management practices for non-treasury investments

- 13.1 This Authority recognises that investment in other financial assets and property primarily for financial return, taken for non-treasury management purposes, would require careful investment management. Such activity includes loans supporting service outcomes, investments in subsidiaries, and investment property portfolios.
- 13.2 This Authority will ensure that all the organisation's investments are covered in the capital strategy, investment strategy or equivalent, and will set out, where relevant, the Authority's risk appetite and specific policies and arrangements for non-treasury investments. It will be recognised that the risk appetite for these activities may differ from that for treasury management.
- 13.3 The organisation will maintain a schedule setting out a summary of existing material investments, subsidiaries, joint ventures and liabilities including financial guarantees and the organisation's risk exposure.
- 13.4 In the absence of specific Investment Management Principles for non-treasury investments, the Authority intends that TMP 1-12 are replicated/applicable as far as this is relevant and practicable to its non-financial investment activity.

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Policy

Complaints

Purpose

The Greater Lincolnshire Combined County Authority (GLCCA) is committed to providing high-quality services. People may wish to tell us when they are satisfied with the services they have received from us, make suggestions on how we could improve or tell us when things have gone wrong. We believe dealing effectively with all such feedback is essential to providing good services.

This policy sets out how complaints will be dealt with ensuring concerns raised are considered and any resulting adjustments made, where required.

Document Owner	Monitoring Officer
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Complaints Policy

The Greater Lincolnshire Combined County Authority (GLCCA) is committed to providing high-quality services. People may wish to tell us when they are satisfied with the services they have received from us, make suggestions on how we could improve or tell us when things have gone wrong. We believe dealing effectively with all such feedback is essential to providing good services.

This policy sets out how complaints will be dealt with ensuring concerns raised are considered and any resulting adjustments made, where required.

Principles

All complaints are taken seriously, dealt with appropriately and where necessary acted upon.

We will:

- put the customer at the heart of the process, showing understanding and responding appropriately to the circumstances
- resolve complaints as early as possible
- keep the customer informed about the complaints progress
- apologise if we have made a mistake, or when something has gone wrong, we will put it right as soon as possible
- make sure our response addresses all elements of the complaint and provide explanations for any decisions made or actions taken
- use complaints information in a positive way to review and improve the way we provide services and prevent similar occurrences in the future

We encourage our staff to resolve customer's issues without the need to use the formal complaints process as in many cases we can resolve concerns quickly by putting the problem right straight away.

What this policy covers

Complaints covered under this policy

A complaint could be in relation to any of the following examples:

- There has been a significant delay in providing a function
- We have made a mistake in the way we provided a function
- We have failed to deliver a function; this could relate to the quality, standard or service level
- We have not listened properly
- Our processes or policies have not been followed
- Our legal or regulatory requirements have not been met
- We have not delivered against a commitment or promise
- Our staff have not been helpful or have not conducted themselves correctly

Every complaint will be considered on its individual merits and after initial conversations a decision will be made on whether the complaints policy should be implemented.

Complaints not covered by this policy

- **Requests for service;** the GLCCA has not replaced existing local authorities; there are a number of individual councils in the Greater Lincolnshire area who deliver the vast majority of services for your community. If you have a complaint that does not directly relate to an activity carried out by the GLCCA, you should submit your complaint to the appropriate Council.
- **Requests for Information (Subject Access Request and Freedom of Information Requests);** these requests should be referred to our Business Support team at CustomerRelationsTeam@lincolnshire.gov.uk. Dissatisfaction with the response to these requests should be directed to the Information Commissioners Office.
- **Immediate Safeguarding Concerns;** If you believe that an individual is in any immediate danger or risk of harm, this should be reported to the police for immediate action.
- **Where legal processes are involved;** where a legal challenge is being made regarding whether a decision or action is lawful.
- **Where there is a more appropriate individual or organisation to deal with your complaint;** - such as a tribunal, Ombudsman or another local organisation or council.
- **Complaints made more than one year after the customer became aware of the issue;** (unless in exceptional circumstances) - this is because such complaints can be difficult to investigate fully or fairly.

- **Complaints about members of the Combined Authority;** elected councillors have a separate complaints process and the Monitoring Officer can advise you about this.
- **Staff personnel issues;** including disciplinary, grievance, pay, recruitment and selection processes - these should be progressed with guidance from specific HR policies and procedures.
- **Complaints regarding the qualification of our staff;** All staff are employed based on their suitability and relevant qualifications for the role, therefore any complaint which questions whether a particular staff member is qualified to fulfil their role will not be accepted under this policy. Please note that this does not apply to complaints where you believe that staff have not acted appropriately.
- **Complaints about data protection;** Complaints about how the Authority has processed personal data or about information sharing, disclosure, retention, or information security should initially be raised with the Business Support team at CustomerRelationsTeam@lincolnshire.gov.uk.
- **Whistleblowing policy;** there is a separate policy relating to whistleblowing.
- **Complaints that have already exhausted our process;** If the same complaint has received a final written decision or the complaint has already been referred to the Local Government and Social Care Ombudsman (LGSCO) or the Information Commissioner (ICO).

1. How should customers make a complaint?

Before making a formal complaint, we encourage customers to contact our Business Support team first CustomerRelationsTeam@lincolnshire.gov.uk to discuss their concerns in detail, providing an opportunity to gain clarity of the situation and, where necessary, put things right.

Should we not be able to address the concerns or rectify the situation, the customer may then choose to follow the appropriate complaints procedure, as detailed below.

An appointed Officer will act as a point of liaison between the customer and the authority, finding required information and providing details of what has happened. Where the authority is at fault we will apologise and tell the customer what we will do to rectify the situation.

The Business Support team can be contacted by:

- Completing our online [Form](#)
- Emailing CustomerRelationsTeam@lincolnshire.gov.uk
- Writing to Customer relations team, County Offices, Newland, Lincoln, LN1 1YL

Customer should provide as much detail as possible including:

- What has happened or gone wrong from their perspective
- When it happened (or should have happened)
- Why and how we could have done things differently
- What they think we should do to put things right
- Their preferred method of contact and their contact details

2. How we deal with complaints

Customers are encouraged in the first instance to raise any problems with the individual staff member concerned or with their line manager.

If the relevant staff member or their line manager are unable to resolve the issues the customer should contact our Business Support team at CustomerRelationsTeam@lincolnshire.gov.uk who deal with all GLCCA complaints. Before any complaint is progressed to the formal stage, the customer will be contacted to determine how we may put this right for them.

For all stage 1 complaints a Business Support Officer will be appointed as a point of contact (POC) for the customer.

The **Business Support Officer** will:

- where an investigation has been completed contact the customer to advise of the outcome
- be responsible for keeping the complainant up to date including if there are any delays in responding.

All stage 2 complaints will be overseen by our Complaints Manager who will be the customers appointed point of contact (POC).

The **Complaints Manager** will:

- Review the customer's request for escalation of their complaint
- Attempt resolution of the issue with the complainant before agreement to progressing to the next formal stage
- Where resolution has not been possible, conduct a case review of the original complaint and the response provided to determine if any areas have not been satisfactorily addressed or require a further investigation
- Determine if any new issues have been included within the complaint as these cannot be progressed to the next stage without having received due consideration at the stage 1. These may be returned to the first stage of the process
- Should the case review find that a further investigation is required, based on the information provided by the customer, this will be allocated to a relevant Senior Manager within the Authority. This allocation is confirmation that a stage 2 investigation should proceed

- Where an investigation has been completed contact the customer to advise of the outcome
- Be responsible for keeping the complainant up to date including if there are any delays in responding
- Final decisions made during this process will be in conjunction with relevant professionals in the authority

a. Our Complaints Process

Stage 1 (Local Resolution) - A point of contact (POC) within the Business Support team will be provided for the customer who will ensure a response is provided within 10 working days.

Stage 2 (Management Escalation) - If the customer is not satisfied with the stage 1 response, they can ask for the complaint to be referred to the Complaints Manager to consider whether further investigation is required. Once this request is accepted and the points for further investigation confirmed a response will be provided within 10 working days.

The complainant must:

- Provide a detailed explanation of why and how the initial response failed to fully address their concerns, and evidence what element(s) of the complaint have not been answered
- Raise their concerns within 28 days of the response from the initial stage

b. Refused Escalation Requests

There may be some instances in which a complaint will not receive a further investigation. Such reasons may be as follows:

- The customer has not provided their reasons for on-going dissatisfaction with the stage 1 response
- Where all points have been addressed and it is considered that a further investigation will not result in a different outcome
- Where the authority has admitted fault in the stage 1 response
- Where we have been unable to reach an agreement with the customer around the points which require further investigation

- Where we have advised that the original investigation determined that another course of action supersedes or is more appropriate for the concerns raised
- If the customer has entered any formal appeals processes in between their stage 1 response and request for escalation - appeals processes supersede the complaints process (*a customer may return to us once an appeal is complete for further advice)
Where any of the above happens, the customer may contact us further if they believe their complaint should be given further considerations, providing detailed reasons for this.

c. Referral to the Local Government & Social Care Ombudsman

Should the customer have exhausted the above relevant stages of the complaints procedure but consider their problems have still not been addressed or they have not received a response within a reasonable time, they can escalate their complaint to the Local Government & Social Care Ombudsman (LGSCO) for independent review.

The LGSCO is the final stage for complaints about Council services and it investigates complaints in a fair and independent way.

The Ombudsman will contact the Authority to collect information on how we have handled the complaint before they decide in the form of a recommendation. The Authority is not legally bound to follow any recommendations set out by the Ombudsman, although will consider if it is appropriate to do so.

d. Withdrawal of complaints

A complaint may be withdrawn verbally or in writing at any time by the customer (or their representative). The relevant Senior Manager will consider whether, or not the issue of concern requires further consideration under appropriate internal management review systems and will write to the customer confirming the withdrawal.

e. Anonymous Complaints

Anonymous complaints will be recorded and referred to the appropriate manager to decide whether the matters raised require further investigation.

f. Unreasonable behaviour or vexatious complaints

The inclusion of this section within the policy is to ensure those customers who we deem to be 'persistent or vexatious complainants' are dealt with appropriately, whilst ensuring that other customers or Authority staff are not adversely affected.

A complaint could be considered unreasonable or vexatious where the complainant meets one or more of the following:

- persists in pursuing a complaint where the Complaints Policy has been fully and properly implemented and exhausted
- submits repeated and unacceptably high numbers or abusive communications in connection with the same complaint or with minor additions or variations
- has, while addressing a registered complaint, made excessive demands on the time and resources of staff.
- refuses to accept a decision made on a complaint, repeatedly arguing points with no new evidence
- refuses to co-operate with the complaints process resulting in lengthy delays
- changes the basis of the complaint as the investigation proceeds and/or making unjustified complaints about staff who are trying to deal with the complaint
- has harassed or been personally abusive or verbally aggressive on repeated occasions despite documented evidence of this being described to the complainant as unacceptable
- publishes derogatory information or statements about the Authority or the services it provides, including those through partner organisations
- is known to have recorded meetings or face to face/telephone conversations without the prior knowledge and consent of other parties involved
It is not possible to devise a single strategy to deal with 'persistent or vexatious complainants', as each case must be looked at on its own merits. If the Authority considers that a complainant meets the above criteria the following procedure will be implemented:
 - We will inform the customer, in writing or at a face-to-face meeting, why we feel their behaviours or actions are unacceptable
 - We will give them the opportunity to change their behaviours within a reasonable timescale before taking any further action
 - Should the behaviours persist evidence of these will be gathered by the Complaints Manager and presented to the relevant Director or Senior Manager. The Complaints Manager and relevant managers will review the gathered evidence and decide on any potential restrictions that will be applied to the customer

Where the above is undertaken the Authority can apply restrictions in the ways the customer can access Authority Council services which may include one or more of the following:

- their use of the Authority's complaints system will be limited to a single point of contact
- contact shall be restricted to written communications only
- the Authority will not respond to any further contact
- their license to enter any Authority premises will be restricted or removed
- legal action may be taken including injunctions or court orders

There is no right of appeal to Greater Lincolnshire Combined County Authority regarding the implementation of this section of the policy. We would however direct the customer to the Local Government and Social Care Ombudsman (LGSCO) should they not agree with the application of any such restrictions.

Information concerning the restrictions will be shared with relevant staff. This information will also be registered on the customer's record whilst restrictions are in place.

3. Fluency duty

Part 7 of the Immigration Act 2016 requires that employees working in public facing roles in the public sector speak a level of English (or Welsh in Wales) which is sufficient to enable them to effectively carry out their role. A complaint made to Greater Lincolnshire Combined County Authority under the Fluency Duty is one where a member of the public feels a public-facing employee has insufficient proficiency in spoken English for the performance of their role.

A complaint about a public sector employee's accent, dialect, manner or tone of communication, origin or nationality will not be considered a legitimate complaint under the Fluency Duty.

4. Access to information

Data Protection Legislation regulates the processing of information relating to individuals (data subjects) and provides them with several rights regarding the information held about them.

Enquirers can provide feedback about the way in which their information is processed by the Authority using the methods detailed in section 4 above.

Should the enquirer remain dissatisfied with the response provided by the Authority, they can raise this with the Information Commissioner's Office.

The Freedom of Information (FOI) Act 2000 regulates the disclosure of non-personal information. If dissatisfied with a FOI response, an enquirer should firstly approach the Business Support team at CustomerRelationsTeam@lincolnshire.gov.uk to request an internal review. After this, if they remain dissatisfied, they can approach the Information Commissioner's Office to appeal against a decision or complain about an unsatisfactory response.

The Complaints Policy is not a mechanism for individuals to exercise their data protection rights or to submit freedom of information requests. Individuals wishing to exercise their data protection rights (such as the right of access or the right to erasure) or make a freedom of information request should contact the Business Support team.

5. Reporting on complaints

The Authority has a Complaints Manager whose role is to manage (collating, monitoring and reporting) complaints across the Authority and ensure that we learn from them when we have done something wrong. The Complaints Manager oversees the Complaints Policy and associated procedures and ensures the consistency of its application across the Authority.

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Policy

Freedom of Information

Purpose

The Freedom of Information Act (FOI) 2000 and Environmental Information Regulations (EIR) 2004 came into force on 1 January 2005. These Acts give the public a general right of access to information.

This policy sets out how the Greater Lincolnshire Combined County Authority meets our obligations under the FOI Act 2000 and the EIR 2004.

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Scope

This policy applies to:

- All recorded information including official documents, drafts, emails, notes, and audio and video recordings.
- Information held by us or on our behalf.

Training and awareness

We will provide training to all staff to ensure they maintain a good awareness of Freedom of information.

Principles

People have a right to know about our activities, unless there is a good reason for them not to.

An applicant (requester) is not required to provide a reason for requesting information. We, however, must justify when refusing a request.

We will treat all requests for information equally. However, there may be some exceptions for vexatious requests and personal data.

We will treat all requesters equally regardless of who they are.

Publication Scheme

We will aim to publish:

- Information on our website proactively via a publication scheme
- Responses to previous FOI requests

Requests for information

Any written request for information will be regarded as a request for recorded information unless:

- The information can be dealt with as a normal customer enquiry. The request will then be dealt with under the usual customer service procedures.
- It is a request for personal data relating to the individual requesting the information. Such requests are dealt with under data protection legislation.
- If the request is for environmental information, we will consider it under the Environmental Information Regulations 2004.

We will only accept requests in writing, for example, via:

- online form
- letter
- email
- fax
- social media

We will:

- respond to a request for information within 20 working days of receipt
- clarify ambiguous requests with the requester

We will not:

- refuse a request for information because the recorded information is out of date, incomplete or inaccurate.
- make any changes or deletions to records because of a request.

Refusing a request

We will consider refusing a request for information if:

- it would cost too much or take too much staff time to deal with the request
- the request is vexatious
- the request repeats a previous request from the same person
- the request meets an exemption under the Act.

We may also refuse to confirm or deny whether we hold information where the Act allows.

We may seek legal advice where appropriate before refusing a request.

We will ensure that our grounds for refusal are robust and justification will be required should the refusal be challenged.

A written refusal notice shall be issued to the requester if we:

- refuse to say whether we hold information at all
- confirm that information is held but refuse to release it

Charges and complaints

We do not initially charge you for making an FOI request.

We may charge an appropriate fee for complying with some requests for information.

We will supply a detailed breakdown and explanation of charges to the requester.

Staff should seek advice from the customer information service if a fee is being considered.

Complaints and review process

We will carry out a review of a request whenever the requester expresses dissatisfaction with the outcome.

The review shall not be limited to the first decision. We will provide a new decision based on all available evidence that is relevant to the date of the request.

The review shall be carried out by:

- someone who did not deal with the original request, and
- a more senior member of staff (where possible)

We will conduct a review within 20 working days. In exceptional circumstances, this time limit shall be extended to 40 working days.

Further Information

For further information please contact:

customerinformationservice@lincolnshire.gov.uk

or write to

GLCCA Freedom of Information,
Customer Relations Team,
Lincolnshire County Council,
County Offices,
Newland,
Lincoln,
LN1 1YL

Further advice and information is available from the Information Commissioner's Office at www.ico.org.uk.

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Policy

Data Protection

Purpose

Greater Lincolnshire Combined County Authority has a statutory duty to meet obligations, as set out within data protection legislation, as we process personal data when conducting our business.

This policy aims to outline our commitment and approach to achieving our obligations, as required by data protection legislation.

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Scope

This policy applies to:

- All personal data, regardless of format, processed by us.
- Any individual processing personal data held by us.

Definitions

The following definitions shall apply:

Data protection legislation means the UK General Data Protection Regulation ("UK GDPR"), the Data Protection Act 2018, the Privacy and Electronic Communications Regulations 2003 and any other applicable law concerning the processing of personal data.

Data means information which:

- Is processed wholly or partly by automated means,
- Is not processed by automated means and forms part of a relevant filing system i.e. a structured set of data which are accessible by specific criteria,
- Is not processed by automated means and is intended to form part of a filing system.

Personal data means any information, which either directly or indirectly, relates to an identified or identifiable individual. Identifiers include name, address, date of birth, unique identification numbers (such a pupil reference numbers), location data, online identifiers (such as IP addresses), pseudonymised data and information relating to a person's social or economic status.

Data subject means the person who can be identified from the information.

Special category data means personal data consisting of information as to:

- The racial or ethnic origin of the data subject,
- Political opinions,
- Religious beliefs or other beliefs of a similar nature,
- Affiliation with a trade union,
- Physical or mental health or condition,
- Biometric and/or genetic data
- Sexual life

Criminal Convictions Data means personal data concerning:

- The commission or alleged commission of any offence, or
- Any proceedings resulting from any offence or alleged offence committed and the resulting action

Processing in relation to information or data, means any operation(s) performed on personal data (whether automated or not) such as collection, use, storage, distribution and destruction.

Controller means a person or organisation who (either alone or jointly or in common with other persons) determines the purposes for which, and the manner in which, any personal data is, or is to be, processed. For the purpose of this policy, the GLCCA is a Controller.

Processor, in relation to personal data, means any person or organisation (other than an employee of this organisation) that processes data on behalf of the Controller.

The Data Protection Principles

We shall adhere to the six principles of data protection, which are:

Principle 1: Personal data shall be processed fairly and lawfully and in a transparent manner.

Principle 2: Personal data shall be collected for specified, explicit and legitimate purposes and shall not be processed in a manner incompatible with that purpose.

Principle 3: Personal data shall be adequate, relevant and limited to what is necessary for the purpose.

Principle 4: Personal data shall be accurate and, where necessary, kept up to date.

Principle 5: Personal data shall not be kept in a form that permits identification for longer than is necessary.

Principle 6: Personal data shall be processed in a manner that ensures appropriate security.

We shall ensure that we also comply with the 'accountability principle' which requires that we have appropriate processes and records in place to demonstrate our compliance with the principles listed above.

Our Responsibilities

We shall ensure that:

- We pay the annual data protection fee to the Information Commissioner's Office.
- We have staff in post with specific responsibility for ensuring compliance with data protection legislation.
- Staff processing personal data understand that they are responsible for complying with the data protection principles and that processing activities meet a lawful basis for processing (see Appendix A).
- Staff processing data are appropriately trained to do so.
- Staff are provided with appropriate data protection training, support and guidance.

Data Protection Roles and Responsibilities

The following roles are in place to help us achieve compliance with data protection legislation:

- The **Monitoring Officer** has overall responsibility for ensuring we operate in a manner compliant with data protection legislation and for ensuring compliance with this policy.
- The **Data Protection Officer** has day to day responsibility for ensuring individuals are aware of, and apply, this policy.
- The **Senior Leadership Team** have responsibility for supporting the Monitoring Officer and Data Protection Officer by ensuring individuals are aware of, and apply, this policy.
- The **Data Protection Officer (DPO)** will support us in meeting our obligations under data protection legislation by monitoring ongoing compliance, providing advice and assistance on all data protection matters as well as acting as a single point of contact for data protection queries from data subjects and the Information Commissioner's Office.
- All **Staff** have a responsibility to meet the requirements of this policy. This includes complying with individual policy requirements and undertaking training relevant to their role.

Record of Processing Activity

We shall maintain a record of its processing activities. The DPO shall be responsible for creating and maintaining the record of processing activity in conjunction with the Monitoring Officer.

Privacy Notices

We shall ensure that appropriate privacy information is made available to any data subject whose data is processed by us.

Privacy notices will explain in general terms:

- The purpose for which we will process the data collected;
- Why the data is held and for how long;
- Where we get personal data from and with whom it is shared with; and
- Contact details of relevant staff to allow requests for further information.

Privacy notices shall be published on the website and, upon request, shall be provided in hard copy, free of charge.

Data Protection Impact Assessment (DPIA)

We shall complete a DPIA at the early stages of any new processing activity where it is identified that high risk processing is present e.g. large-scale processing, processing special category data or introducing systematic monitoring.

The DPO shall be consulted on all DPIAs.

Data security

We shall ensure we have adequate technical and organisational controls in place which aim to reduce the risk of theft, loss or unlawful processing of personal data.

Security policies and procedures shall be made available to all staff.

We shall record and investigate all personal data breaches.

Where it is determined that a personal data breach results in a risk to the rights and freedoms of an individual(s) we shall report the breach to the Information Commissioner's Office within 72 hours of becoming aware.

Where it is determined that a breach results in a high risk to the rights and freedoms of an individual(s) we shall inform the individual(s) without undue delay.

Contracts and Information Sharing

Contracts with suppliers that deliver services on our behalf, and which involve the processing of personal data, shall include measures to ensure personal data is handled in accordance with data protection legislation.

We shall ensure that whenever personal data is shared with a third party, it is justified and necessary to meet a lawful basis for processing as set out in Appendix A to this policy.

Where necessary, we shall ensure that information sharing agreements exist between ourselves and partner organisations.

We shall ensure that before personal data is shared with any third party, as required by a contract or otherwise, appropriate security controls are in place.

Individual Rights

We shall ensure that adequate processes are in place to support individuals to exercise their rights in respect of their personal data (subject to exemptions) and that those processes are clearly communicated to individuals whose data is being processed.

We shall consider complaints regarding how we process personal data. Complaints shall be referred to the Complaints procedure in the first instance.

Individuals shall be made aware of their right to make a complaint to the Information Commissioner's Office and their ability to seek judicial redress.

Training and Awareness

We shall provide mandatory annual data protection training to all staff handling personal data. Additional training shall be provided where appropriate.

All staff shall maintain a good awareness of data protection and the requirements of this policy.

International Transfers

We shall not transfer personal data outside of the United Kingdom, unless there is a legal requirement to do so or it can be evidenced that appropriate safeguards are in place as required by data protection legislation.

Any systematic sharing of personal data outside of the UK shall be subject to a DPIA.

Information Commissioner's Office

We shall comply fully with all requests from the Information Commissioner's Office to investigate and/or review its data processing activities.

We shall have regard to advice and guidance produced by the Information Commissioner's Office as far as it relates to our data processing activities.

We shall take into account any code of practice published by the Information Commissioner's Office and shall endeavour to align its own practices accordingly.

Further Information

For further information regarding data protection please contact:

customerinformationservice@lincolnshire.gov.uk

Customer Relations Team (GLCCA),
Lincolnshire County Council,
County Offices,
Newland,
Lincoln,
LN1 1YL

Further advice and information is available from the Information Commissioner's Office at www.ico.org.uk.

Review

This policy shall be reviewed annually.

Appendix A – Lawful Bases for Processing

In all processing activities, you must have a valid lawful basis in order to process personal data. You must determine the lawful basis before you begin processing and this must be appropriately documented. No single basis is 'better' or more important than the others – which basis is most appropriate will depend on the purpose for processing and our relationship with the individuals concerned.

There are six available lawful bases for processing personal data:

1. **Consent** – freely given, informed and evidenced by a clear affirmative action.
2. **Contract** – necessary for the performance of a contract with the Data Subject (including specific steps before entering into a contract).
3. **Legal Obligation** – necessary to comply with the law.
4. **Vital Interests** – necessary to protect the life of the data subject.
5. **Public Task** – necessary to perform a task in the public interest or for our official functions, and the task or function has a clear basis in law.
6. **Legitimate Interests** – necessary for our, or a third parties, legitimate interests in circumstances where the Data Subject's right to privacy does not override those legitimate interests (NB. This legal basis is unavailable for public authorities when the processing is in connection with an official task).

If you are processing Special Category Data, you must also identify a further lawful basis. There are ten available lawful bases for processing Special Category Data:

1. **Explicit Consent** – freely given, informed and evidenced by a clear affirmative statement.
2. **Employment, social security or social protection law** – necessary to meet legal obligations in these specific areas.
3. **Vital Interests** – necessary to protect the life of the data subject or another individual where they are physically or legally incapable of giving consent.
4. **Not-for-profit Bodies** – processing carried out by a political, philosophical, religious or trade union.
5. **Deliberately made public by the Data Subject** – data that has manifestly been placed in the public domain by the Data Subject.
6. **Legal Claims** – for establishing, exercising or defending legal rights.
7. **Substantial Public Interest** – necessary for reasons of substantial public interest e.g. official functions, statutory purposes, equal opportunities or preventing or detecting unlawful acts.
8. **Health and Social Care** – necessary to preventative or occupational medicine, for the assessment of the working capacity of an employee, medical diagnosis, provision of health or social care or treatment or management of health and social care systems.
9. **Public interest in the area of Public Health** – such as threats to health or ensuring high standards of healthcare.
10. **Archiving Purposes** – public interest, scientific and historical research purposes or statistical purposes.

Further lawful bases are available for processing Criminal Convictions Data and advice must be sought prior to processing to determine what the appropriate lawful basis is.

Policy

Information Handling

Purpose

The purpose of this policy is to provide staff with an understanding of how information in their possession should be protected, and how information should be shared with other parties.

Greater Lincolnshire Combined County Authority generates and holds a wide variety of information that must be protected against unauthorised access, disclosure, modification, or other misuse.

Different types of information require specific security measures, and therefore proper classification of information assets is vital to ensure effective information security and management practices are adhered to across the Authority.

Adherence to this policy will provide everyone with guidance to help ensure that correct information classification and handling methods are applied to their day-to-day activities and managed accordingly.

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Document Version	V1.0
Approved By	GLCCA 6 March 2025

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Scope

This policy applies to:

- All information, regardless of format, processed by us;
- Any individual processing information held by us.
- All aspects of information and data processing.

General Principles

You must respect the confidentiality, integrity and availability of information at all times.

All information required to deliver services and conduct business has inherent value and requires an appropriate degree of protection.

When processing information you must ensure it is subject to proportionate and reasonable controls:

- relative to the sensitivity of the information
- in a manner which reduces the risk of compromise or loss

You must process information in a manner which meets legal and regulatory requirements. This includes information received from, or exchanged with, external partners.

You must not access or attempt to access information unless you have a clear and authorised business need.

You must process personal data in accordance with our data protection policy. This supports our obligations under current data protection legislation.

All staff must be subject to appropriate employment checks prior to handling information. This includes verification of identity.

All staff processing information must undertake annual data protection training and maintain an awareness of their individual responsibilities.

Handling and Storing Information

You must:

- adopt a clear desk and clear screen policy.

- store information securely when not in use, for example under lock and key. This applies particularly to sensitive information.
- ensure information is protected to prevent unauthorised access
- only remove information from official premises when necessary. When doing so you must ensure it remains accounted for and always protected in line with the requirements of this policy.
- collect printed material from printers as soon as possible
- use secure printing when the facility is available. This requires you to be physically present at the printer to receive the prints
- encrypt information that you store on portable ICT devices or media:
 - laptops
 - smartphones
 - removable media
- only store ICT, removable media or hard copy information in an unoccupied vehicle if it is secured out of sight in the locked boot of the vehicle and only if the alternative option is less secure.
- exercise discretion when discussing official business in public or by telephone
- avoid being overlooked when working

Before you distribute sensitive information ensure it is the minimum necessary to achieve your aim. For example, only share personal data with those who have a defined business need to see it.

You must redact documents to remove unnecessary sensitive information.

When redacting information, you must ensure it prevents accidental disclosure of data. You must carry out quality assurance checks before releasing the document to ensure redaction is successful.

Transmitting/sending Information

By post or courier:

- consider using a 'signed for service' when sending individual mail items containing particularly sensitive information. Your decision should be informed by the additional cost of such a service versus the additional security benefits it provides, for example an audit trail
- you must use a reputable tracking service for bulk transfer of sensitive information via post to a named individual

- packaging must be robust to prevent damage

You must not transfer data using removable media. If no secure alternative exists you must:

- use a reputable tracked service to a named individual
- encrypt removable media using AES 256 encryption
- communicate passwords separately and do not include them with the removable media. You must use a different communication method when providing the password.

By electronic means:

- electronic transfer of official information must occur in a secure manner
- you must encrypt email traffic when emailing sensitive information
- you must check and confirm the email address of the recipient is the intended one before sending
- password protect attachments which contain personal data or other sensitive information to mitigate the risk of sending an email to an incorrect recipient

Destroying Information

You must destroy hard copy information securely when no longer required. You can achieve this by:

- using a crosscut shredder
- using a confidential waste service such as our "blue bin" service

You must always control access to information until it is securely destroyed.

You must not place hard copy information in open waste bins or waste skips.

You must securely delete digital information from hardware and media when no longer required. You should seek advice from the IT service desk if you are unsure how to do this.

Information Sharing and Disclosure

Before sharing information, particularly sensitive information or personal data, you must:

- be satisfied that the request has come from a legitimate source

- if necessary, have taken steps to validate the authenticity of the request
- ensure you are clear on the purpose for which the information is being requested
- ensure you are clear on what is being requested
- where personal data is requested, ensure you have a legal gateway that allows the council to share it
- be satisfied that the request is reasonable and fair, and it is clear why sharing is necessary in relation to the stated purpose
- take reasonable care to avoid oversharing

You may need to document common rules within an information sharing agreement when:

- personal data is being shared to the same partner organisations for an established, repeatable, and agreed purpose
- the sharing normally consists of the same data sets

When personal data is being provided to a supplier or contracted service you must ensure that the sharing is secure and documented within the relevant contract.

Sharing must occur using corporately authorised solutions.

Information disclosure

When receiving a request to disclose information, you must consider:

- the principles of openness and transparency
- the relevant information legislation

The following requests must be sent to the customer information service:

- requests for disclosure under the Freedom of Information Act or Environmental Information Regulations
- requests by individuals for copies of the personal data we hold about them. This is known as a subject access request under the UK General Data Protection Regulation.
- Information must only be shared with third parties when there is a legitimate and lawful purpose. All instances of information sharing that involves personal data should be documented.

Security Incidents

All security incidents involving information must be reported in accordance with the Security Incident Policy.

Further Information

For further information regarding information handling within the school please contact:

customerinformationservice@lincolnshire.gov.uk

or write to

Customer Relations Team,
Lincolnshire County Council,
County Offices,
Newland,
Lincoln,
LN1 1YL

Further advice and information is available from the Information Commissioner's Office at www.ico.org.uk.

Review

This policy shall be reviewed annually.

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Policy

Security Incident Reporting

Purpose

A security incident is any fact or event that results in the compromise, misuse, or loss of information, ICT assets or ICT services. A security incident can impact the confidentiality, integrity, and, or availability of information.

The purpose of this policy is to:

- Outline the types of security incidents.
- Detail how incidents can and will be dealt with.
- Identify responsibilities for reporting and dealing with incidents.
- Detail procedures in place for reporting and processing of incidents.

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Scope

The policy applies to:

- Information which is processed by us or on our behalf by a third party;
- Owned or leased ICT such as PCs; laptops; notebooks; smart phones; software; services, storage media and network resources.

What is a Security Incident?

A security incident is any fact or event that results in the compromise, misuse, or loss of information, ICT assets or ICT services.

A near miss is as any fact or event that has happened, or may have happened, but did not result in a security incident.

A suspected incident is where initial information is sparse, and it may be uncertain whether an actual incident has taken place.

A security incident can impact the confidentiality, integrity, and, or availability of information. Examples of security incidents include:

- the loss or theft of information
- unauthorised disclosure of, or access to, information
- loss or theft of ICT, media, or devices
- physical security breaches
- deliberate or accidental breach of security policy
- insecure disposal of information or ICT assets
- malicious software infection or phishing emails
- social engineering, for example a bogus contractor attempting to use a system

General Principles

We encourage an open and transparent reporting system.

Individuals must report all security incidents accurately and without delay.

Individuals are required to assist in any investigation.

We will record all:

- reported security incidents
- potential security incidents
- near misses
- security weaknesses

We will investigate security incidents in a manner commensurate with the potential impact of the incident.

Where we establish a root cause we will consider corrective action to help prevent similar incidents occurring.

We will determine responsibility for the management of an incident after considering the following points:

- the type of incident
- the type of information involved
- the level of impact or potential impact
- the number and type of stakeholders and partnerships
- the personal data involved
- the source of the incident

Actions on Identifying a Security Incident

As soon as you identify, or suspect, that a security incident has occurred you must take the following action:

- Consider immediate action to contain, rectify or minimise the impact of the security incident e.g. asking an unintended email recipient to permanently delete the email.
- Immediately report all security incidents impacting ICT to cybersecurity@northlincs.gov.uk.
- Immediately report all security incidents to IA@lincolnshire.gov.uk.
- Complete the security incident reporting form which is at [TBC] **Annex A** to this policy and send it to IA@lincolnshire.gov.uk.

Personal Data Breaches

A personal data breach means a security incident leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, *personal* data.

Personal data breaches attract several reporting obligations set out in data protection legislation.

All personal data breaches must be recorded.

A personal data breach which is likely to result in a risk to the rights and freedoms of individuals must be reported to the Information Commissioner's Office (ICO) no later than 72 hours from the point we become aware of the breach.

A personal data breach which is likely to result in a *high* risk to the rights and freedoms of individuals must be reported to the impacted individuals without undue delay.

Whether or not a breach meets either of these thresholds will be determined on a case-by-case basis as part of the security incident process. The final decision on reporting requirements is the responsibility of the Data Protection Officer.

Further Information

For further information regarding security incidents please contact:

customerinformationservice@lincolnshire.gov.uk

or write to

Customer Relations Team (GLCCA),
Lincolnshire County Council,
County Offices,
Newland,
Lincoln,
LN1 1YL

Further advice and information is available from the Information Commissioner's Office at www.ico.org.uk.

Personal Data Breach Report Form	
Contact Information	
Name of reporter	
Job role	
Contact details	
Incident Summary	
Date and time of incident	
Date and time made aware	
Please describe the incident and, if possible, why it happened.	
Please describe any factors that may have reduced the impact of the incident. e.g. stolen laptop was encrypted; incorrect email recipient has confirmed permanent destruction of email.	
Please indicate the type of information involved (tick all that apply)	<p>Personal data <input type="checkbox"/></p> <p>This is any information relating to an identifiable person who can be directly or indirectly identified by it e.g. name, contact details, identification number, email address, location data or online identifier.</p> <p>Special Categories of personal data</p> <p>Personal data that relates to the following categories:</p> <p>Race <input type="checkbox"/></p> <p>Ethnic origin <input type="checkbox"/></p> <p>Religious or philosophical beliefs <input type="checkbox"/></p> <p>Trade Union membership <input type="checkbox"/></p>

	<p>Sex life <input type="checkbox"/></p> <p>Sexual orientation <input type="checkbox"/></p> <p>Political opinions <input type="checkbox"/></p> <p>Physical or mental health or condition <input type="checkbox"/></p> <p>Genetic data <input type="checkbox"/></p> <p>Biometric data <input type="checkbox"/></p> <p>Criminal convictions or offences <input type="checkbox"/></p> <p>Other sensitive information <input type="checkbox"/> This is information that does not contain personal data but which could have a negative impact on the school e.g. commercial, legal, or financial data.</p> <p>Routine information <input type="checkbox"/> Information which is not sensitive and that will not have a negative impact on the school if it was compromised e.g. promotional leaflets.</p>
<p>If personal data is involved, what type of individual does the data relate to?</p>	<p>Staff <input type="checkbox"/></p> <p>Pupil (Child) <input type="checkbox"/></p> <p>Parent <input type="checkbox"/></p> <p>Governor <input type="checkbox"/></p> <p>Other <input type="checkbox"/> (Please explain other here)</p> <p>Not yet known <input type="checkbox"/></p>
<p>Immediate Action</p>	
<p>What immediate action has been taken in response to the incident?</p> <p>Consider actions to stop the breach and actions to prevent a similar incident happening again.</p>	

Impact on Affected Individual(s)					
<p>What are the potential consequences for affected individuals?</p> <p>For each consequence, please select the likelihood of it occurring.</p>		N/A	Unlikely	Likely	Almost Certain or Confirmed
	Personal Safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Safeguarding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Distress	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Embarrassment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Interruption to services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Identity theft	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Fraud	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Financial Loss	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Physical Harm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reputational Damage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Discrimination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (provide details)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Click or tap here to enter text.					
<p>If personal data is involved, how many individuals could be affected?</p>					
<p>Please describe the potential impact to the person and/or partners and stakeholders.</p> <p>Consider the following areas:</p> <ul style="list-style-type: none"> • Finance • Reputation • Delivery of education or related service • Legal and regulatory obligations • Other (please provide details) 					
Reporting					
<p>Who, internally, has been advised of the incident?</p> <p>Please include names and position.</p>					
<p>Who, externally, has been advised of the incident</p> <p>e.g. Partners, Police.</p>					

<p>If personal data is involved, have the affected individual(s) been notified?</p> <p>If yes please also confirm when they were notified and by whom.</p> <p>If no, please explain why.</p>	
Further Information	
<p>If you have any other information which is useful to the incident report please provide details here.</p>	

Please email the report to IA@lincolnshire.gov.uk

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Customer Privacy Notice

Purpose

This privacy notice provides you with general information about how Greater Lincolnshire Combined County Authority collect and use your information in the delivery of our services.

We may provide more detail about the information we collect for individual services within service specific privacy notices.

Document Owner	Monitoring Officer
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Who we are

The Greater Lincolnshire Combined County Authority (GLCCA) is a public authority and is known as the "Controller" of the information that we collect about you.

We are registered with the Information Commissioner's Office.

You can view the registration on the [Information Commissioner's Office website](#).

Our postal address is:

Customer Relations Team (GLCCA)
County Offices
Newland
Lincoln
LN1 1YL

Or:

Email: customerinformationservice@lincolnshire.gov.uk

Data Protection Officer's contact details

You can contact our Data Protection Officer using the postal address above. Please mark the envelope FAO: Data Protection Officer.

Your information

The information we collect about you is split into two categories that are determined by the definitions set out in law.

Personal data is information that identifies and relates to you, this may include:

- Name, address, date of birth and other contact information
- Unique identification numbers
- Details of your social and/or economic status
- Location data
- Online identifiers (for example an IP address)

Special category data is personal data which is considered more sensitive and private in nature. This is information about your:

- Race or ethnic origin
- Political views and affiliations
- Religious or philosophical beliefs
- Trade union membership

- Genetics
- Biometrics (where used for ID purposes, for example, facial recognition)
- Health
- Sex life or sexual orientation

Why we collect information about you

We collect and use your information to help deliver public services

We process your information for the following purposes:

- For the service you requested, and to monitor and improve our performance in responding to your request.
- To allow us to be able to communicate and provide services and benefits appropriate to your needs.
- To ensure that we meet our legal obligations and to exercise our statutory powers in the public interest.
- To conduct public consultations and engagement.
- Where necessary for law enforcement functions.
- Where necessary to protect individuals from harm or injury.
- To allow the statistical analysis of data so we can plan the provision of services.
- To support effective decision making and improve efficiency of services.
- For the purposes of public and staff safety and crime prevention and detection

We will only collect the information that we need to deliver services to you and as far as is reasonable and practicable we will ensure that your information is accurate and kept up to date.

Lawful bases for processing information about you

We must ensure that we have a lawful basis to collect and use your information. The lawful bases we rely on vary depending on our involvement with you. They are:

- Compliance with a legal obligation as required by UK law
- Performance of a public task in the public interest or an official function which has a clear basis in law
- Performance of a contract for the supply of goods or services
- With your consent, where there is documented evidence of that consent
- Pursuit of a legitimate interest, of the council or a third party
- To protect a person's vital interests i.e. to protect someone's life

If the information you provide us with contains special category data, this requires a further lawful basis to those listed above. In relation to the GLCCA's processing activities these are:

- For reasons of substantial public interest
- To establish, exercise or defend legal claims
- For preventative and occupational medicine and the assessment of the working capacity of an employee
- Provision of health and social care treatment or the management of health and social care systems
- Carrying out obligations and exercising specific rights in the field of employment and social security and social protection law
- With your explicit consent
- To protect an individual's vital interests
- Processing personal data which are manifestly made public by you

How we collect your information

Your information is collected in several ways:

- Directly from you when you contact the GLCCA or sign up to a service. This includes face to face contact, telephone calls, and emails.
- Provided by members of the public.
- Provided by another organisation involved in the provision of services such as healthcare, social and welfare organisations, and law enforcement agencies.
- Provided by another organisation to allow the research and intelligence necessary to perform our statutory functions.
- Provided by government bodies such as the Department of Work and Pensions and Her Majesty's Revenue and Customs.
- Surveillance systems such as CCTV.

Who we share your information with

The type of service you receive will inform who we share your information with. Where necessary we may share your information with the following categories of recipients:

- Providers of goods and services
- Healthcare, social and welfare organisations and professionals
- Financial organisations, including debt collection, tracing and credit referencing agencies
- Elected members
- Local and central government
- Ombudsman and regulatory authorities
- Professional advisors, consultants and contractors
- Police forces, other law enforcement and prosecuting authorities
- Voluntary and charitable organisations
- Disclosure and Barring Service
- Courts and Tribunals
- Utilities providers

How long we hold your information for

We are required to retain your information for as long as is necessary, after which it will be securely destroyed.

Retention periods can differ and will depend on various criteria including the purpose of processing, regulatory and legal requirements, and internal organisational need.

We have retention schedules in place that set out in detail how long information will be held for.

At times we may be subject to a legal hold that will require information to be held beyond its usual retention period.

Any information that is subject to a legal hold cannot be destroyed until that legal hold has passed.

Where your information is held

All information in hard copy format is held within the UK.

Information in electronic format is held in the UK, and in some instances within the EEA where we use a cloud-based IT system for example.

We also use limited IT services which are based outside of the EEA. In these circumstances we ensure adequate safeguards are in place to help protect your data and your data protection rights.

Your information rights

You have several rights in relation to the information that the council holds about you:

Access - You have the right to ask us for copies of your personal information.

Rectification - You have the right to ask us to rectify information you think is inaccurate. You also have the right to ask us to complete information you think is incomplete.

Erase - You have the right to ask us to erase your personal information in certain circumstances.

Restriction of processing - You have the right to ask us to restrict the processing of your information in certain circumstances.

Object to processing - You have the the right to object to the processing of your personal data in certain circumstances.

Data portability - You have the right to ask that we transfer the information you gave us to another organisation, or to you, in certain circumstances.

Automated Decisions and Profiling – You have the right to prevent your information being processed and decisions being made about you solely by automated means (without any human involvement)

Consent – Where we have asked for your consent to process your personal data, you have the right to withdraw that consent at any time.

To view more information about your rights and when these might apply visit the [Information Commissioner's Office website](#).

To make a request to exercise your information rights please contact the GLCCA directly.

Information Commissioner's Office

You have the right to complain to the Information Commissioner's Office (ICO) if you are not satisfied with the way that the council has handled your information.

The ICO is an independent body set up to uphold information rights in the UK. They can also provide advice and guidance and can be contacted through their website: www.ico.org.uk , via their helpline on 0303 123 1113 or in writing to:

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF

Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Establishing the Greater Lincolnshire Combined County Authority

Purpose of the report

This report outlines the key steps for the development of an operating model and organisation structure to ensure the effective and timely establishment, of a fit for purpose Combined County Authority for Greater Lincolnshire (GLCCA).

Recommendation

It is recommended that the Combined County Authority

- a. **approve the proposed operating principles and interim structure for the GLCCA**
- b. **appoints the Head of Paid Service as the Interim Chief Operating Officer**
- c. **approve the use of Service Level Agreements to resource the interim non statutory posts and functions of the GLCCA, and**
- d. **approve the adoption of Lincolnshire County Council's pay and grading structure for the GLCCA.**

Voting and consent arrangements

Simple majority vote to include the mayor (or chairman prior to first mayoral election). There are no consent requirements for this decision.

Contact details for the report

Report on behalf of: Debbie Barnes OBE, Chief Executive, Lincolnshire County Council
Report prepared by: Tony Kavanagh, Assistant Director HR, Lincolnshire County Council

Information

1. The Greater Lincolnshire Combined County Authority was established as a distinct organisation in February 2025. As a new entity a key requirement for the Combined County Authority is the development of an operating model and resource structure to enable it to deliver its functions and the ambitions for Greater Lincolnshire.
2. This report proposes an interim organisation structure for the GLCCA to support it to commence delivery and allow for the development of a longer term operating model and structure as the authority matures.
3. The preparation of the interim organisation structure has been informed by the following operating principles. The principles update those set in the Proposal for Devolution to Greater Lincolnshire and it is recommended that they be adopted to guide the design of the operating model and permanent organisation structure:

- Efficient use of public resources:

The Combined County Authority is a small strategic commissioning body overseeing the effective delivery of growth priorities, working collaboratively with Constituent Councils, non-Constituent Members and other stakeholders.

- Local Enterprise Partnership Integration:

Relevant functions of the LEP have been integrated into the Combined County Authority. In addition there is also a commitment to include the business voice in decision making.

The Combined County Authority will require a high level of partnership working ensuring any arrangements are efficient and proportional and avoid unnecessary duplication. The operating model design will be built upon a foundation of partnership working and inclusion of a strong business voice.

- Drawing on constituent council expertise:

The proposed Combined County Authority will require a range of capabilities to discharge its functions effectively. This will include 3 groups of officers and may include the pooling of some roles from constituent councils to deliver those functions which will be led by the combined county authority:

- The statutory officers which are legally required
- Officers directly responsible for commissioning the core functions
- Officers responsible for supporting services.

In developing the operating model it will not be assumed that these roles will be directly employed by a Combined County Authority. This will be an option considered alongside others including employment by partner organisations (including Constituent Councils) or contracting from third parties.

- Concurrent delivery through constituent councils:

Where powers are held concurrently with the Constituent Councils, the Combined County Authority will not seek to duplicate service delivery where existing arrangements are already in place.

As a commissioning body, the GLCCA will seek delivery of its functions through the Constituent Councils and other parties.

4. The proposed interim organisation structure is set out at Appendix A to the report. It is recommended that the authority agree the structure to provide initial resource for the GLCCA's functions and appoint the Head of Paid Service as the Interim Chief Operating Officer.

Appointments

5. In considering appointments to the roles set out in the interim organisation structure there are several options available to the Combined County Authority, including:
 - Section 113 – allows a Local Authority to place officers at the disposal of another Local Authority through an agreement. The agreement can be used for the provision of pooled resources, shared services, or the provision of statutory posts.
 - Secondment agreements – are a structured mechanism for seconding an officer to another Local Authority to undertake a specific role.
 - Service Level Agreements (SLAs)– define and ensure quality of service provision and levels being provided by one Authority to another.
6. It is proposed that Section 113 agreements are agreed between the GLCCA and the respective Local Authorities providing the resources for the appointments to the majority of the statutory officer roles. This decision will be considered separately by the Authority and is dealt with elsewhere on the agenda.
7. This decision considers the non-statutory posts and it is recommended that SLAs are agreed between the Local Authority and the GLCCA. SLAs ensure that clear expectations are set around service delivery, quality, reliability and consistency.
8. SLAs provide clear transparency around accountability and responsibility, setting out clear legal protection by delineating the anticipated responsibilities and commitments of both parties.

Pay and Grading Structure

9. The Pay and Grading (P&G) structure sets out the power to appoint officers on such reasonable terms and conditions including remuneration as the Authority sees fit. A Pay and Grading structure will set out the GLCCA's approach to pay policy in accordance with the requirements of section 3 of the Localism Act 2011. The purpose of the statement is to provide transparency regarding the Authority's approach to setting the pay of its employees, by identifying:
 - the methods by which salaries will be determined
 - the detail and level of remuneration of its most senior staff i.e. Chief Officers as defined by the relevant legislation
10. In determining the pay and remuneration of all GLCCA employees, GLCCA will comply with all relevant employment legislations. This includes but not an exhaustive list, the Equality Act 2010, Part Time Employment (Prevention of Less Favourable Treatment) Regulations 2000, The Agency Workers Regulations 2010 and where relevant the Transfer of Undertakings (Protection of Earnings) Regulations.
11. Regarding the Equal Pay requirements contained within the Equality Act, the GLCCA will ensure that there is no pay discrimination within its pay structures and that all pay differentials will be objectively justified through a job evaluation mechanism which relates salaries to the requirements of the demands and responsibilities of the role.
12. A pay structure is to attract and retain staff with appropriate skills to work for the GLCCA.
13. The GLCCA will adopt, and 'dynamically align' to Lincolnshire County Council's Pay and Grading structure as outlined as follows:
 - Green book employees pay and conditions policy – Pay and allowances - Lincolnshire County Council and Job evaluation and grading policy
 - Any roles which due to their seniority and remuneration fall outside the parameters of the above policy, will be determined in accordance with the Senior leadership pay guidance – Lincolnshire County Council

Alternative options considered

14. To adopt the pay and grading of an alternative constituent council. This is not recommended due to the provision of services and roles to the GLCCA of a larger number of employees from Lincolnshire County Council (LCC), the use of LCC pay, terms and conditions was seen as the most practical choice.

Reason for the recommendation

15. Without the use of an already established recognised pay, terms and conditions agreement the GLCCA would have to create its own. This is impractical given the timescales since the statutory instrument was agreed on 5 February 2025 and the official ratification of the GLCCA on 6 March 2025.

Implications, advice and guidance

16. The proposed appointments will enable the Combined County Authority in its work across the whole of the Greater Lincolnshire.

Public sector equality duty implications

17. No specific implications were identified in the preparation of this decision.

Legal implications / comments

18. The recommendations sought within this report fall within the legal powers of the GLCCA to consider and determine.

Finance and resource implications / comments

19. The costs associated with the proposed interim structure are reflected within the CCA's proposed budget model and are to be financed from grant contributions. Longer term the Pay and Grading structure will shape the pay and remuneration of permanent GLCCA employees.

Alignment with Greater Lincolnshire policy / comments

20. The proposed interim structure has been developed with regard to the principles set out in the Proposal for Devolution to Greater Lincolnshire including:
- Efficient use of public resources.
 - Local Enterprise Partnership Integration,
 - Drawing on constituent council expertise,
 - Concurrent delivery through constituent councils.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- The relevant services will be engaged in the preparation of any SLAs.

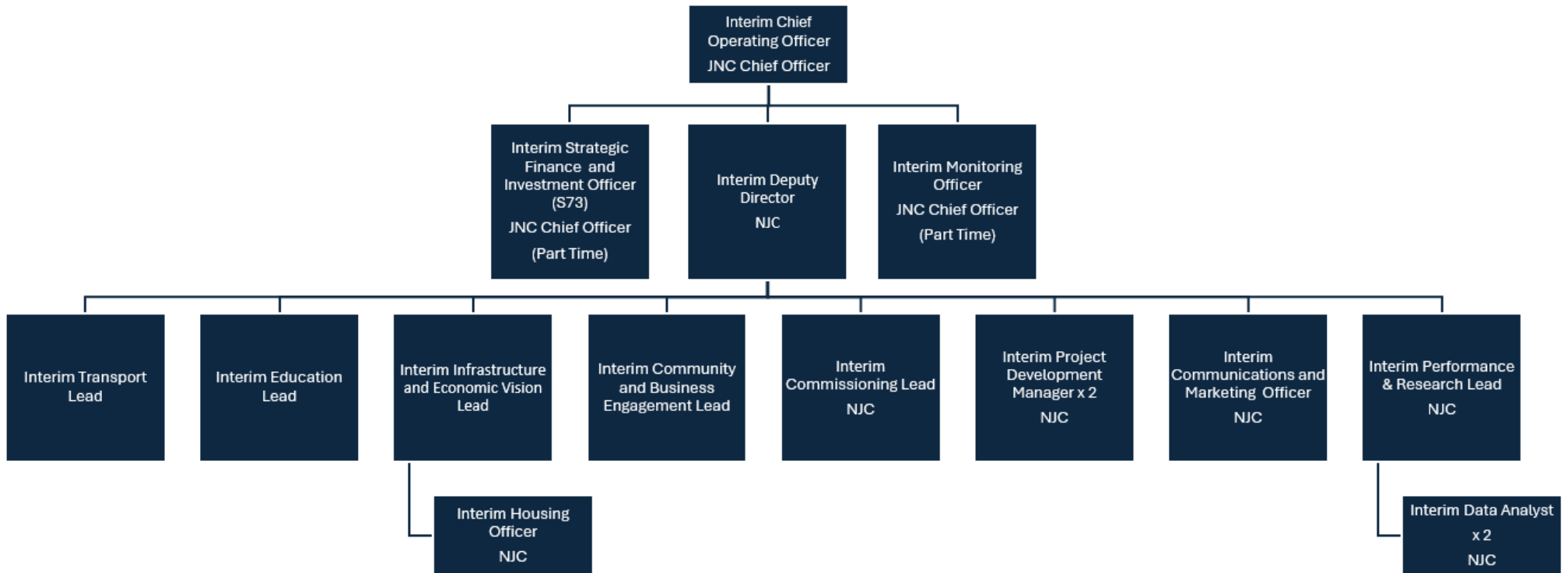
Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
Proposal for devolution to Greater Lincolnshire	https://www.lincolnshire.gov.uk/devolution

Interim Structure of the GLCCA

March 2025



Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Appointment of Combined County Authority Returning Officer for the election of a Mayor on 1 May 2025

Purpose of the report

This report asks the Combined County Authority to appoint a Combined County Authority Returning Officer for the proposed election of a Mayor for Greater Lincolnshire on 1 May 2025 as set out in The Greater Lincolnshire Combined County Authority Regulations 2025.

Recommendation

It is recommended that the Combined County Authority:

approves the appointment of Rob Walsh, Chief Executive, North East Lincolnshire Council as the combined county authority returning officer for the proposed election of mayor on 1 May 2025, in accordance with Article 10 of the Combined Authorities (Mayoral Elections) Order 2017.

Voting and consent arrangements

Simple majority vote to include the Mayor (or Chair prior to first mayoral election). There are no consent requirements for this decision.

Contact details for the report

Report on behalf of: Debbie Barnes OBE, Chief Executive, Lincolnshire County Council
Report prepared by: Matthew Garrard, Head of Policy, Lincolnshire County Council

Information

- 1 The Greater Lincolnshire Combined County Authority Regulations 2025 laid in Parliament make provision for the establishment of a Greater Lincolnshire Combined County Authority (GLCCA) and for the election of a mayor for Greater Lincolnshire on 1 May 2025.
- 2 The Combined Authorities (Mayoral Elections) Order 2017 require that an officer be appointed as the Combined County Authority Returning Officer (CCARO) responsible for the effectual conduct of the election in the manner provided by the Order.
- 3 The CCARO is personally responsible for a number of specific aspects of the combined county authority mayoral election including:
 - giving notice of the election
 - the nomination procedures
 - encouraging participation
 - ensuring that candidates and their agents comply with the requirements as to the content of candidate election addresses, and with the procedures for submitting them
 - producing and distributing the booklet containing the candidates' election addresses to every voter
 - the collation of local totals and calculation of the result
 - the declaration of the result
- 4 Provisions in the 2017 order set out that:
 - the CCARO must be an officer of a constituent council or the GLCCA
 - the appointment of the CCARO must be made by the constituent councils or the GLCCA
- 5 The Election Regulations permit the appointment by the constituent councils of a combined county authority returning officer for the mayoral election ahead of the establishment of a combined county authority. In accordance with the regulations the three constituent councils – Lincolnshire County Council, North Lincolnshire Council, and North East Lincolnshire Council - appointed Rob Walsh, Chief Executive, North East Lincolnshire to this role in December 2024.
- 6 Elections to the County Council are also scheduled to take place on 1 May 2025 and the appointment of the CCARO by the constituent councils has enabled early coordination across the two concurrent elections. The Elections Regulations also make provision for the CCARO to direct local returning officers allowing for district/borough councils to deliver the mayoral election in the county area.
- 7 Once elected, the term of office of the Mayor begins on the fourth day after the day of the poll. However, as the 5 May 2025 is a bank holiday, the Mayor will take office on Tuesday 6 May 2025. The Mayor's term of office is four years.

Alternative options considered

- 8 To not appoint a combined county authority returning officer. This is not recommended because this would delay preparations for the mayoral election.

Reason for the recommendation

- 9 The Electoral Commission advises that a Combined Authority Mayoral election is a significant event which brings with it its own particular challenges which may come under considerable scrutiny – from voters, candidates and the media. Having detailed and robust plans in place is seen as crucial to ensuring a well-run election and given the personal responsibility of the CCARO their appointment is viewed as fundamental to this planning.
- 10 Only the constituent councils or the Greater Lincolnshire Combined County Authority can appoint the CCARO. Having reviewed preparations for mayoral elections in other areas the constituent councils appointed a CCARO to allow sufficient time to ensure that the necessary robust plans for the election are put in place. The recommendation in this report supports the decision of the constituent councils and progresses the preparations for the election of the mayor and for concurrent planning with the county elections to also be held on 1 May 2025.

Implications, advice and guidance

- 11 The appointment of the CCARO is applicable across the whole of the Greater Lincolnshire region.

Public sector equality duty implications

- 12 The appointment has enabled early preparations to be made for a free and fair election across Greater Lincolnshire with the potential to advance opportunity to access to the democratic process for all residents.

Legal implications / comments

- 13 In accordance with The Combined Authorities (Mayoral Elections) Order 2017 and section 35 of the Representation of the People Act 1983 and pursuant to The Local Authorities (Functions and Responsibilities) (England) Regulations 2000, these are matters reserved to the GLCCA to consider and determine.

Finance and resource implications / comments

- 14 The Greater Lincolnshire Combined County Authority are responsible for meeting the costs of appointing a CCARO and for the administration of the election. The cost of the election will be managed by the CCARO and North East Lincolnshire Council.

- 15 Additional insurance cover will be arranged to indemnify the CCARO (as well as their deputies and all persons engaged by them in the performance of official duties) with no personal exposure to the individual/s concerned.

Greater Lincolnshire policy / comments

- 16 The recommendation endorses the earlier decisions taken by the constituent councils enabling the election of a Mayor for Greater Lincolnshire as a key requirement of the Greater Lincolnshire Devolution Deal

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- nil

Appendices included with this report

The following documents are included:

- nil

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
The Greater Lincolnshire Combined County Authority Regulations 2025	https://www.legislation.gov.uk/uksi/2025/117/contents/made
The Combined Authorities (Mayoral Elections) Order 2017	https://www.legislation.gov.uk/uksi/2017/67/contents
Combined Authority and Combined County Authority Returning Officer guidance for Combined Authority Mayoral elections	The Electoral Commission Website https://www.electoralcommission.org.uk/full-guidance/combined-authority-and-combined-county-authority-returning-officer-guidance-combined-authority

Report to the Greater Lincolnshire Combined County Authority

Meeting on 6 March 2025

Delivering Devolution

Purpose of the report

This report sets out the initial ambitions, activities and forward plan of decision making for the Greater Lincolnshire Combined County Authority.

Recommendation

It is recommended that the Combined County Authority

- a. adopt the Greater Lincolnshire Devolution Deal and the Greater Lincolnshire Devolution Proposal as policy**
- b. agree the forward plan of decision making to deliver the devolution deal and proposal**

Voting and consent arrangements

Simple majority vote to include the mayor (or chairman prior to first mayoral election). There are no consent requirements for this decision.

Contact details for the report

Report on behalf of: Debbie Barnes OBE, Chief Executive, Lincolnshire County Council

Report prepared by: Matthew Garrard, Head of Policy, Lincolnshire County Council

Information

1. Greater Lincolnshire secured significant devolution of powers and funding through the Greater Lincolnshire Devolution Deal agreed in November 2022.
2. The arrangements to deliver devolution were detailed in the Proposal for Devolution to Greater Lincolnshire. The Proposal was agreed in Spring 2024 following consultation with residents, businesses, local councils and public sector stakeholders.
3. The Proposal forms the basis for the establishment of the Greater Lincolnshire Combined County Authority and states that devolution to Greater Lincolnshire should: provide the powers, funding and flexibilities required to accelerate progress to address long term challenges and opportunities across Greater Lincolnshire; support levelling up across the area with a focus on improving the economic, social and environmental wellbeing of people who live and work in Greater Lincolnshire; see local decision makers creating the conditions for more high wage, high skill jobs; and provide a catalyst to improve learning, training, and pathways into those jobs, raising living standards and levelling up.
4. The Proposal provides for the Mayor and the Greater Lincolnshire Combined County Authority to deliver on the region's ambitions through:
 - Local decisions and long term investment in infrastructure to turbo charge business growth and tackle low business productivity, particularly in key sectors that create high wage, high skills jobs that boost living standards
 - Long term strategic planning and investment to protect our environment and unlock high quality housing in our communities that meets the needs of younger workforce and supports those in later life.
 - Local commissioning of high quality skills, training and pathways to attract and retain younger workers, meet the significant skills needs of our key industries and capitalise on economic opportunity through better alignment of skills, employment, and career opportunities across Greater Lincolnshire
 - A stronger voice regionally and nationally to make the case for more investment on Greater Lincolnshire's priorities including the UK Food Valley, energy, ports and logistics, delivering on the potential of the area from the Humber to The Wash.
 - Managing water as an asset, to mitigate the threat of coastal erosion and flooding, and meet the area's unique demands for water to support growth in agriculture and innovations in manufacturing and carbon capture.

5. The Proposal for Devolution includes 10 priority themes detailing what the Combined County Authority would seek to deliver to improve the economic, social and environmental wellbeing of people who live and work in Greater Lincolnshire. These are:
 - i. Infrastructure which supports the movement of people, goods, and ideas
 - ii. Modern transport services that connect people to learning, business opportunity, jobs, and services
 - iii. Investing in high quality homes and communities
 - iv. Raising awareness, inspiration, and access to support our residents to train and upskill for the job they want
 - v. Growing skills capacity for the future
 - vi. Investing to achieve net zero, to drive productivity and to grow jobs
 - vii. Investing to take advantage of our unique natural environment in a responsible way, whilst protecting our communities from climate change impact
 - viii. Driving innovation, enterprise and adoption of new technologies
 - ix. Increasing employment opportunities through recruitment pathways and work-based training into higher skilled employment
 - x. Creating a 'whole system' approach to getting more people into better paid work
6. The attached forward plan sets out initial decisions required to be considered by the Combined County Authority to continue the work to date to deliver on the commitments made in the devolution proposal.

Alternative options considered

7. To not adopt the deal and proposal as policy. This would leave Greater Lincolnshire without clear ambitions to share with external stakeholders including through Government consultations and the Spending Review.

Reason for the recommendation

8. The recommendations build on the work to date to secure devolution to Greater Lincolnshire and provides clear early focus for the Combined County Authority, enabling it to commence its role and activity pending the election of a Mayor for Greater Lincolnshire and the development of a Greater Lincolnshire Plan.

Implications, advice and guidance

9. Implementation of the arrangements set out in the devolution deal is expected to provide benefit across Greater Lincolnshire.

Public sector equality duty implications

10. No specific implications were identified in the preparation of the report.

Legal implications / comments

11. The recommendations sought within this report fall within the legal powers of the GLCCA to consider and determine.

Finance and resource implications / comments

12. The activities set out in the report and forward plan include those necessary to unlock funding contained within the Devolution Deal. The financial implications will be set out as part of the future decision making process.

Alignment with Greater Lincolnshire policy / comments

13. Preparatory work for the establishment of the GLCCA has been based on delivery of the commitments made in the Proposal for Devolution. The adoption of the Proposal and Forward Plan provides a framework for future decision making to progress the commitments including those steps necessary to secure devolution of functions and budgets in the Devolution Deal such as the Adult Skills Fund.

Consultation, Boards, Overview and Scrutiny / comments

The following have been consulted in the preparation of this report:

- Consultation was carried out across Greater Lincolnshire to inform development of the Proposal for Devolution in late 2023.

Appendices included with this report

The following documents are included:

- Appendix A - Forward Plan

Background Papers used in the preparation of this report

The following background papers within Section 100D of the Local Government Act 1972 were used in the preparation of this report.

Background Paper	Where it can be viewed
Greater Lincolnshire Devolution Deal 2023	https://www.gov.uk/government/publications/greater-lincolnshire-devolution-deal-2023
The Greater Lincolnshire Combined County Authority Regulations 2025	https://www.legislation.gov.uk/uksi/2025/117/contents/made

The Forward Plan is an indication of future decisions to be taken.

It sets out all the known decisions to be taken by the the Combined County Authority, Boards or by way of a Mayoral Decision in the coming months. This makes sure that local residents, businesses and organisations know what decisions are due to be taken and when.

The Forward Plan is updated regularly and and may be changed in line with any revisions to the priorities and plans of the Greater Lincolnshire Combined County Authority

The Forward Plan is published on the Combined County Authority website, at least 28 clear days' notice will be given of any key decisions to be taken.

This is the Forward Plan of decisions from **March 2025**

Decision making in the Combined County Authority

Decisions of the Combined County Authority and its boards are usually made at meetings held in public. The agenda and reports for the meeting will be published on the website seven days before the meeting date.

Decision making meetings are typically scheduled for the 2nd and 4th week of the month. The Combined County Authority and Board typically meet every two months to take decisions.

The most significant type of decision made by the Combined County Authority is known as a 'key decision'.

What is a 'key decision'?

A key decision is a decision which is likely to:

- (a) result in the Authority or the Mayor spending or saving a significant amount, compared with the budget for the service or function the decision relates to; or
- (b) be significant in terms of its effects on persons living or working in an area comprising two or more wards or electoral divisions in the area of the combined authority.

When assessing whether or not a decision is a key decision, a decision which results in a significant amount spent or saved will not generally be considered to be a key decision if that amount is less than £500,000.

The Forward Plan of Key Decisions provides brief details about the key decisions we expect to be taken at least 28 clear days in advance of the decision being taken. The Plan contains specific information relating to each decision, including the date the decision will be made, how it will be made, a brief description of the topic and contact details of the lead officer.

Occasionally a decision may need to be made urgently, which means it cannot be entered onto the Forward Plan. Where a key decision will need to be taken more urgently than it would be possible to give 28 days' notice, General Exception or Special Urgency provisions apply.



6 March 2025 - Greater Lincolnshire Combined County Authority

#	Item/ Title of Decision	Purpose	Contact Officer	Background Documents
1	Election of the Chair	Appointment of a Chair	Matthew Garrard Head of Policy matthew.garrard@linconshire.gov.uk	
2	Membership of the GLCCA	Confirm Membership	Matthew Garrard Head of Policy matthew.garrard@linconshire.gov.uk	
3	Election of the Vice Chair	Appointment of a Vice Chair	Matthew Garrard Head of Policy matthew.garrard@linconshire.gov.uk	
6	Appointment of Statutory Officers	Appointment of Statutory Officers	Tony Kavanagh Assistant Director HR tony.kavanagh@linconshire.gov.uk	
7	Governance: Constitution (including financial regulations) Consents and Concurrency Protocols Approve the title of the Mayor under s.42 of the Levelling Up and Regeneration Act 2023 Appointment of Non Constituent Members: to designate nominating bodies, to receive consent to the designation of nominating bodies and accept any nominations for Non Constituent Members and Delegates (Substitutes) Appointment of Associate Member Recruitment of Independent Person to Chair of the Overview and Scrutiny Committee Recruitment of the Independent Person to Chair of the Audit Committee Recruitment of Independent Persons to assist with the standards regime Appointments to Outside Bodies including Transport for the North and Rail North Committee.	Inform and seek agreement to the shared governance arrangements	Lisa Tremble Head of Legal lisa.tremble@lincolnshire.gov.uk	
8	Assurance Framework	Inform and seek agreement to the shared governance arrangements	Matthew Garrard Head of Policy matthew.garrard@linconshire.gov.uk	
9	Budget 2025/2026, Resources & MTFP	Inform and seek agreement to the shared governance arrangements	Guy Lonsdale Assistant Director Finance guy.lonsdale@nelincs.gov.uk	
10	Member Allowances	Inform and seek agreement to the shared governance arrangements	Charlotte McKay Assistant Director Legal charlotte.mckay@northlincs.gov.uk	



11	Adoption of Policy: Anti-Fraud Anti-Bribery Whistleblowing Risk Management Treasury Management Complaints Freedom of Information Data Protection Information Handling Security Incident Reporting Data Breach Reporting Privacy Notice	Inform and seek agreement to the shared governance arrangements	Matthew Garrard Head of Policy matthew.garrard@linconshire.gov.uk	
12	Interim Organisation Structure	Inform and seek agreement to the shared governance arrangements	Tony Kavanagh Assistant Director HR tony.kavanagh@linconshire.gov.uk	
13	Appointment of the CCARO	Inform and seek agreement to the shared governance arrangements	Matthew Garrard Head of Policy matthew.garrard@linconshire.gov.uk	
14	Developing Devolution: Early Priorities, Calendar of Meetings and Forward Plan	Provide an update on forward planning and activity	Matthew Garrard Head of Policy matthew.garrard@linconshire.gov.uk	



w/c 12 May 2025 - Greater Lincolnshire Skills and Employment Board			
Meeting focus: Devolution of skills			
Title of Decision	Purpose	Contact Officer	Background Documents
Appointment of a Chair	Appointment of a Chair	n/a	
Appointment of a Vice Chair	Appointment of a Vice Chair	n/a	
ASF Readiness Conditions inc Strategic Skills Plan	Review and recommend ASF Readiness Conditions to the GLCCA for submission to DfE on 31/05/2025	Clare Hughes Interim Employment and Skills Lead	
Careers education and support	Provide an update on Careers education and support	Clare Hughes Interim Employment and Skills Lead	
Care Leavers	Provide an update on the Care Leavers Covenant	Clare Hughes Interim Employment and Skills Lead	
Calendar of Meetings and Forward Plan	Provide an update on planned activity and visibility of decision required of the Employment & Skills Board	Lee Sirdifield Interim Chief Operating Officer lee.sirdifield@lincolnshire.gov.uk	Forward Plan March 2025
w/c 26 May 2025 - Greater Lincolnshire Combined County Authority Annual Meeting			
Meeting focus: Growth			
# Title of Decision	Purpose	Contact Officer	Background Documents
Membership of the GLCCA	Post election confirmation of membership	Lisa Tremble Head of Legal lisa.tremble@lincolnshire.gov.uk	
Appointment of Deputy Mayor	Appointment of Deputy Mayor	n/a	
Appointment of Members - Regulatory Committees	Appointment of Members - Regulatory Committees	Lisa Tremble Head of Legal lisa.tremble@lincolnshire.gov.uk	



	Appointment to outside bodies	Appointment to outside bodies	Lisa Tremble Head of Legal lisa.tremble@lincolnshire.gov.uk	
	Turbo charging rural growth: KEY Greater Lincolnshire Plan KEY Investment Plan Local Growth Plan	To consider and agree the interim Greater Lincolnshire Plan, Investment Plan and principles and next steps for the development of a Local Growth Plan	Caroline Illingworth, Interim Community and Business Engagement	
	KEY Adult Skills Fund Readiness inc Strategic Skills Plan	To agree the Strategic Skills Plan and agree ASF Readiness and submit to DfE	Clare Hughes Interim Employment and Skills Lead	
	Economic Advisory Panel	Provide an update on the approach and selection process for the EAP	Caroline Illingworth, Interim Community and Business Engagement	
	GLCCA Advisory Panels	To provide an update on the status of the various panels to start from September	Caroline Illingworth, Interim Community and Business Engagement	



w/c 16 June 2025 Greater Lincolnshire Transport Board				
Meeting focus: Joined up transport				
#	Title of Decision	Purpose	Contact Officer	Background Documents
	Appointment of a Chair	Appointment of a Chair	n/a	
	Appointment of a Vice Chair	Appointment of a Vice Chair	n/a	
	Local Transport Plan	To review progress and agree activity to develop an interim Local Transport Plan	Lana Meddings Transport and Growth Manager lana.meddings@lincolnshire.gov.uk	
	Rural Transport Group	To consider the establishment of the Rural Transport Group and approve the terms of reference	Andy Gutherson Executive Director Place andy.gutherson@lincolnshire.gov.uk	
	Rural Bus Pilot	To agree the approach and plan for a Rural Bus Pilot	Andy Gutherson Executive Director Place andy.gutherson@lincolnshire.gov.uk	
	Calendar of Meetings and Forward Plan	Provide an update on planned activity and visibility of decision required of the Transport Board	Lee Sirdifield Interim Chief Operating Officer lee.sirdifield@lincolnshire.gov.uk	Forward Plan March 2025
w/c 30 June 2025 Greater Lincolnshire Business & Infrastructure Board				
Meeting focus: Future homes				
#	Title of Report	Purpose	Contact Officer	Background Documents
	Appointment of a Chair	Appointment of a Chair	n/a	
	Appointment of a Vice Chair	Appointment of a Vice Chair	n/a	
	Housing Pipeline	To review activity and agree an approach to the development of a Housing Pipeline and associated Homes England Action Plan	Halina Davies, Interim Infrastructure and Economic Vision Lead	
	Business & Infrastructure Strategy	To review progress and recommend an interim Business & Infrastructure Strategy to the GLCCA.	Halina Davies, Interim Infrastructure and Economic Vision Lead	
	Calendar of Meetings and Forward Plan	Provide an update on planned activity and visibility of decision required of the Business & Infrastructure Board	Lee Sirdifield Interim Chief Operating Officer lee.sirdifield@lincolnshire.gov.uk	Forward Plan March 2025
w/c 7 July 2025 Greater Lincolnshire Employment & Skills Board				
Meeting focus: Skills for employment				
#	Title of Decision	Purpose	Contact Officer	Background Documents
	Skills Boot Camps	Provide an update on progress and plans in relation to Skills Boot Camps	Clare Hughes Interim Employment and Skills Lead	
	Greater Lincolnshire Employment & Skills Strategy	To review progress and recommend an interim Employment & Skills Strategy to the GLCCA.	Clare Hughes Interim Employment and Skills Lead	
	LSIP	Provide an update on progress and plans in relation to the LSIP	Clare Hughes Interim Employment and Skills Lead	



w/c 21 July 2025 Greater Lincolnshire Combined County Authority

Meeting focus: Transport and infrastructure for growth

#	Title of Decision	Purpose	Contact Officer	Background Documents
	KEY Business & Infrastructure Strategy	Agree an interim Business & Infrastructure Strategy	Ruth Carver Deputy Director	
	UKSPF Briefing	Provide an update on progress and plans in relation to UKSPF	Andy Gutherson Executive Director Place andy.gutherson@lincolnshire.gov.uk	
	Local Transport Plan	Recommend an interim Local Transport Plan for consideration by the mayor.	Lana Meddings Transport and Growth Manager lana.meddings@lincolnshire.gov.uk	

w/c 8 September 2025 Greater Lincolnshire Transport Board

Meeting focus: Key routes

#	Title of Decision	Purpose	Contact Officer	Background Documents
	Bus Service Improvement Plan	Review progress and and agree activity in relation to the Bus Service Improvement Plan	Andy Gutherson Executive Director Place andy.gutherson@lincolnshire.gov.uk	
	Key Routes Network	To review and recommend a Key Routes Network to the GLCCA.	Karen Cassar Assistant Director Highways karen.cassar@lincolnshire.gov.uk	

w/c 22 September 2025 Greater Lincolnshire Business & Infrastructure Board

Meeting focus: Supporting key sectors

#	Title of Decision	Purpose	Contact Officer	Background Documents
	Decarbonisation	To consider the draft strategy and recommend to the GLCCA for approval	Halina Davies, Interim Infrastructure and Economic Vision Lead	
	Food Valley Programme	Update on the programme, partnership and arrangements set out in the devolution deal	Halina Davies, Interim Infrastructure and Economic Vision Lead	
	Water Partnership	To establish an enhanced water partnership as set out in the devolution deal	Halina Davies, Interim Infrastructure and Economic Vision Lead	

