



HOUSE OF LORDS

# Library Note

## **The Governance and Administration of the House of Lords**

This Note sets out how the House of Lords is structured, governed and managed, including joint working with the House of Commons. It also provides a brief history of past changes to the governance and administration of the House of Lords. The Note has been produced by the Secretary to the Management Board, and is published by the Library on behalf of the Administration.

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## 1. Introduction

This Note sets out how the House of Lords is structured, governed and managed, including joint working with the House of Commons. An overview of the administration of the House of Commons is available in the House of Commons Library Standard Note, *The Administration of the House of Commons*, 21 January 2015, SN/PC/6976.<sup>1</sup>

## 2. Governance and Administration of the House of Lords

### 2.1 Usual Channels

The usual channels consist of the Leaders and Whips of the three main political parties. For certain purposes the usual channels include the Convenor of the Crossbench Peers. The usual channels are primarily responsible for making decisions about the arrangement of parliamentary business. Through their membership of the House Committee and the Administration and Works Committee (see section 2.3), the usual channels also play a key role in decisions about the governance and administration of the House, including on facilities and services for Members. The usual channels handle the distribution of individual desks and rooms to Members.

### 2.2 Office Holders

#### Lord Speaker

The office of Lord Speaker was created following the Constitutional Reform Act 2005 when the historical roles of the Lord Chancellor, including the Speakership of the House of Lords, were re-distributed and reformed. The Lord Speaker presides over daily business in the House of Lords Chamber (supported by a panel of Deputy Speakers) and is an ambassador for the work of the House. They also chair the main domestic committee of the House (see section 2.3).<sup>2</sup>

The Lord Speaker is elected for a period of five years, renewable once, under Standing Order 19. To date, there have been two Lord Speakers. The first election took place in June 2006 when Baroness Hayman was elected. Baroness D'Souza is the current Lord Speaker. She was elected in July 2011 and took office in September 2011. The result of the election is subject to the approval of the Queen, notified to the House by the Lord Great Chamberlain. Upon election, the successful candidate is required to lay aside outside financial interests falling into specific categories, including remunerated directorships and other employment, as a salaried officeholder. They also become unaffiliated from any party or group within the House and are not expected to vote.

In a self-regulating House, the Lord Speaker has no power to call Members to order, to decide who speaks next, or to select amendments.<sup>3</sup> However, the Lord Speaker does “collect the voices” and calls for divisions when necessary. In addition to the presiding officer role, the Lord Speaker has ceremonial duties within the House: for example, at the State Opening of Parliament (when they are in the Queen’s procession), and when visiting Heads of State address

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<sup>1</sup> House of Commons Library, [The Administration of the House of Commons](#), 19 December 2014, SN/PC/6976.

<sup>2</sup> For further background information see the reports of the Select Committee on the Speakership of the House of Lords ([The Speakership of the House of Lords](#), 19 December 2005, HL Paper 92 of session 2005–06; and [The Speakership of the House of Lords](#), 27 November 2003, HL Paper 199 of session 2002–03).

<sup>3</sup> In contrast to the role of the Speaker of the House of Commons.

Members of the two Houses. They also have an ambassadorial role receiving and visiting distinguished overseas visitors and participating in inter-parliamentary speakers' conferences. The Lord Speaker conducts outreach activities to engage the public in the work of the Lords.

On the administrative side, in addition to chairing the House Committee (see section 2.3), the Lord Speaker has formal responsibility for the security of the Lords part of the parliamentary estate and is one of the three 'key holders' of Westminster Hall (with the Lord Great Chamberlain and the Speaker of the House of Commons). Proposals to make documentaries about the House of Lords as an institution are also addressed directly to the Lord Speaker, for consideration by the Filming Steering Group, which they chair.

### Chairman of Committees

The Chairman of Committees is the senior Deputy Speaker and a salaried officeholder of the House of Lords who chairs various select committees of the House, and has a role in the Administration of the House.<sup>4</sup> The Chairman of Committees also presides over the House when it is in committee in the Chamber.

At the beginning of every session, and whenever a vacancy occurs, a Peer is appointed by the House to fill the salaried office of Chairman of Committees under Standing Order 61. Like the Lord Speaker, the Chairman of Committees is required to lay aside outside financial interests and any party or group affiliation on appointment and for the duration of their time in office. The current holder, Lord Laming, was appointed in September 2015 until the end of the 2015–16 session. They are assisted by another salaried officeholder, the Principal Deputy Chairman of Committees,<sup>5</sup> and a panel of unpaid Deputy Chairmen. Nominations for both officeholders are agreed by the usual channels.

They are chairman *ex officio* of all committees unless the House otherwise directs. In practice this means that they usually chair the following select committees:

- Liaison Committee
- Administration and Works Committee
- Refreshment Committee
- Procedure Committee
- Committee for Privileges and Conduct
- Committee of Selection
- Hybrid Instruments Committee
- Standing Orders (Private Bills) Committee and private bill committees

The Chairman also takes certain administrative decisions in their own right, without reference to the committees. In the House the Chairman speaks on, and answers oral and written questions concerning, the Administration and the work of the House Committee (of which they are a member) and of the committees they chair. Counsel to the Chairman of Committees provides legal advice and assistance where required, including in relation to Unopposed Bill Committees. In addition to their duties in the House, the Chairman exercises a general supervision and control over private bills, personal bills, Scottish provisional order confirmation bills and hybrid instruments. This includes naming members of select and joint committees

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<sup>4</sup> The position is in some ways analogous to the Chairman of Ways and Means in the House of Commons.

<sup>5</sup> The current holder is Lord Boswell of Aynho, who also chairs the EU Committee.

appointed to consider such matters,<sup>6</sup> including the chairman of any select committee on a private bill they appoint. The Chairman also chairs the Accommodation Steering Group.

The position of Chairman of Committees existed from the early eighteenth century in a semi-official capacity, it having long been accepted that as a general rule or by convention there should be one Lord who, if present, took the chair in all committees of the whole House and of select committees (mainly private bill committees). The position first received official sanction in 1800 when the House adopted resolutions defining its basic duties. Thereafter the Chairman of Committees was appointed on a sessional basis and, once appointed, automatically took the chair in all committees unless the House decided otherwise.<sup>7</sup>

Until 2005 the Chairman of Committees chaired the House Committee and was responsible for the security of the Lords part of the parliamentary estate. Both of these functions were transferred to the Lord Speaker.

## 2.3 Domestic Committees

Members of the House serve on a number of committees of the House of Lords concerned with the governance and the work of the House. The House Committee is the principal domestic committee of the House and sets the strategic framework and financial limits within which the other four domestic committees, and the House's Administration, operate. The four domestic committees are the Administration and Works Committee, the Information Committee, the Refreshment Committee, and the Works of Art Committee. Members also serve on the Audit Committee (with two external members) and the Consultative Panel on Parliamentary Security. An organisation chart is available in Appendix I.

The four domestic committees canvass the views of Members and provide a forum within which they can consider House services. Within the financial envelope established by the House Committee, these committees propose rules and take decisions on a range of matters, including Members' use of facilities and services, subject on occasion to agreement by the House.

The following other domestic committees, all chaired by the Chairman of Committees, are not considered in this Note as they concern the proceedings of the House rather than its governance:

- Procedure Committee
- Committee for Privileges and Conduct
- Committee of Selection

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<sup>6</sup> Unless he is of the opinion that any such committee should be selected and proposed to the House by the Committee of Selection or unless at least two members of that committee request a meeting for that purpose.

<sup>7</sup> For further background see 'The Origin of the Office of Chairman of Committees in the House of Lords' by John C Sainty, House of Lords Record Office Memorandum No. 52 (1974) and 'New Light on the Office of the Chairman of Committees' by John C Sainty, House of Lords Record Office Memorandum No. 79 (1990).

## House Committee

The House Committee is the main domestic committee of the House.<sup>8</sup> It sets the policy framework for the Administration of the House and provides non-executive guidance to the Management Board and has particular responsibility for financial matters. It approves the House's strategic, business and financial plans, annual reports, annual estimates and supplementary estimates and supervises the arrangements relating to financial support for Members.

All twelve members of the Committee, which is chaired by the Lord Speaker, are Members of the House. The Leaders of the three main parties, the Convenor of the Crossbench Peers and the Chairman of Committees are members on an *ex officio* basis. There are six backbench members and the chairmen of the House's Audit and Information Committees also attend as observers. It usually meets monthly when the House is sitting. Further details of the work of the House Committee, including minutes, agendas and attendance, are published on the parliamentary website.<sup>9</sup>

## Audit Committee

The Audit Committee was established in 2002 and is appointed by the House Committee. Its membership includes five Members of the House and two external members. The Audit Committee considers internal and external audit reports and management responses and provides advice to the Clerk of the Parliaments (in his role as the Accounting Officer) and senior management on the effectiveness of internal controls. The Committee also provides advice on risk management, financial good practice, value-for-money and governance, and reviews the annual financial statements and accounts.

The Committee usually meets six times a year, including two joint meetings with the House of Commons Administration Estimate Audit Committee, and reports annually to the House. The members hold no other office in the House, and do not sit on any other domestic committee.<sup>10</sup> Membership of the Committee and its terms of reference are the responsibility of the House Committee. The current chairman is Baroness Cohen of Pimlico. Further details of the work of the Audit Committee, including minutes, agendas and attendance, are published on the parliamentary website.<sup>11</sup>

## Consultative Panel on Parliamentary Security

Following changes to the governance of security in Parliament (see below), a Consultative Panel on Parliamentary Security was established to replace the Joint Committee on Security at the beginning of the 2015 Parliament. The Consultative Panel is an informal body, which supports the Speaker and the Lord Speaker in the discharge of their political responsibility for security. It also receives regular briefings from the Parliamentary Security Director in order to maintain a thorough, up-to-date understanding of the security of Parliament; provides a forum in which the views of Members of both Houses can be communicated and discussed effectively; provides effective advocacy to other Members for any necessary changes in security arrangements; and

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<sup>8</sup> In the House of Commons the equivalent body is the [House of Commons Commission](#). This is a statutory body, established under the House of Commons (Administration) Act 1978, which is chaired by the Speaker. The relevant domestic committees are the [Administration Committee](#) and the [Finance and Services Committee](#).

<sup>9</sup> Parliament website, '[House of Lords: House Committee](#)', accessed on 4 September 2015.

<sup>10</sup> House of Lords Offices Committee, *Fifth Report*, 16 May 2002, HL Paper 105 of session 2001–02.

<sup>11</sup> Parliament website, '[House of Lords: Audit Committee](#)', accessed on 4 September 2015.



ensures better awareness by Members of security management and governance arrangements. The Consultative Panel includes Members from both Houses, including the Chairman of Ways and Means in the House of Commons who acts as the chair.

### **Administration and Works Committee**

The Administration and Works Committee is appointed to consider administrative services, security, works and the overall provision of accommodation, within the strategic framework and financial limits approved by the House Committee. The Chairman of Committees chairs the Committee. Further details of the work of the Administration and Works Committee, including minutes, agendas and attendance, are published on the parliamentary website.<sup>12</sup>

### **Refreshment Committee**

The Refreshment Committee is appointed to consider the refreshment services provided for the House within the strategic framework and financial limits approved by the House Committee. The Chairman of Committees chairs the Committee. Further details of the work of the Refreshment Committee, including minutes, agendas and attendance, are published on the parliamentary website.<sup>13</sup>

### **Information Committee**

The Information Committee is appointed to consider information and communications services, including ICT, the Library and Parliamentary Archives, within the strategic framework and financial limits approved by the House Committee. The Committee of Selection nominates the chairman, who is currently Baroness Donaghy. Further details of the work of the Information Committee, including minutes, agendas and attendance, are published on the parliamentary website.<sup>14</sup>

### **Works of Art Committee**

The Works of Art Committee is appointed to administer the House of Lords Works of Art Collection Fund and consider matters relating to the works of art and the artistic heritage in the House of Lords, within the strategic framework and financial limits approved by the House Committee. The Committee uses the Collection Fund, which is part of the annual works budget, to acquire, commission and purchase works of art for the House's permanent collection. It also advises on matters such as the display and conservation of the works of art, decorative schemes and furniture. The Committee of Selection nominates the chairman, who is currently Baroness Maddock.

### **Liaison Committee**

While not one of the main domestic committees concerned with the governance of the House, the Liaison Committee is appointed to advise the House on the resources required for select committee work and also allocates resources between select committees, among other roles.

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<sup>12</sup> Parliament website, '[House of Lords: Administration and Works Committee](#)', accessed on 4 September 2015.

<sup>13</sup> Parliament website, '[House of Lords: Refreshment Committee](#)', accessed on 4 September 2015.

<sup>14</sup> Parliament website, '[House of Lords: Information Committee](#)', accessed on 4 September 2015.

The Chairman of Committees chairs the Committee. Further details of the work of the Liaison Committee are published on the parliamentary website.<sup>15</sup>

### **Leader's Group on Governance**

A Leader's Group was established on 23 March 2015 to consider governance arrangements in the House of Lords, chaired by Baroness Shephard of Northwold, which is expected to report by the end of 2015. The Group is considering how to ensure that domestic committee decision-making in the House of Lords is effective, transparent and accountable. In particular, it is examining domestic committee decision-making structures, including which decisions go to which committee, or are referred between committees, and which decisions are remitted to the House; and considering what arrangements are necessary to uphold the interests of the House of Lords as an equal partner when making decisions alongside, or sharing services with, the House of Commons.

## **2.4 House Administration**

### **Management Board**

The House of Lords Management Board's terms of reference are as follows:

The Board takes strategic and corporate decisions for the House Administration within the policy framework set by the House Committee.<sup>16</sup> The Board:

- Collectively provides leadership to the Administration in accordance with the House's standards and values.
- Prepares the Administration's strategic plan, business plans, financial plans, annual estimates and annual report for approval by the House Committee.
- Manages the Administration with the resources agreed by the House Committee.
- Supports the Clerk of the Parliaments in the discharge of his functions as Accounting Officer and employer of the staff of the House.
- Advises the House Committee and other domestic committees of the House on issues which fall within their terms of reference.
- Assesses and manages risk, and maintains a transparent system of prudent and effective controls.
- Monitors the Administration's performance in achieving its objectives.
- Encourages the process of change in order to enhance the Administration's performance.

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<sup>15</sup> Parliament website, '[House of Lords: Liaison Committee](#)', accessed on 4 September 2015.

<sup>16</sup> In the House of Commons the equivalent body is the House of Commons Executive Committee. This is a sub-committee of the House of Commons Commission, which is chaired by the Director General of the House of Commons.

The Clerk of the Parliaments chairs the Board. The other members of the Board include the directors of key functions in the House of Lords and are listed below:

- The Clerk Assistant (Parliamentary Services)
- The Reading Clerk (Corporate Services)
- Black Rod (Access)
- Finance Director (Financial Resources)
- Director of Human Resources (Human Resources)
- Director of Facilities (Support Services)
- Director of Information Services and Librarian (Information Services)
- Director of Parliamentary Digital Service (Digital Services)
- The longer serving external member of the Audit Committee (in attendance)

On 12 June 2007, the House Committee agreed the following reserved matters for the Board, which must be collectively discharged (rather than by any other postholder or group of postholders) before (in most cases) the issues are submitted to the House Committee for approval:

- Approval of the House strategic plan and corporate risks, annual business plans, annual financial plans, annual estimates and the annual report.
- Approval of new types of expenditure which could be politically contentious.
- Approval of the pay negotiating remit and any major alterations in terms and conditions of employment.
- Approval of any fundamental reorganisation of the structure of the Administration.

The Board meets regularly during the year, usually once a month, and also meets jointly with the House of Commons Executive Committee twice a year. Further details of the work of the Management Board, including minutes, agendas and attendance, are published on the parliamentary website.<sup>17</sup>

### **Management Sub-boards and Groups**

The Management Board has delegated some responsibility to a number of sub-boards and groups, the majority of which are bicameral. They are listed below and their terms of reference are reproduced in Appendix 2:

- Joint Investment Board [bicameral]
- Digital Strategy Board [bicameral]
- Parliamentary Security Board
- Business Resilience Group [bicameral]
- Business Planning Group [House of Lords]

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<sup>17</sup> Parliament website, '[House of Lords: Management Board](#)', accessed on 4 September 2015.

## Cyber Security

From 1 April 2015, a Cyber Authority was established to take decisions on cyber security matters, referring to the House of Lords Management Board and House of Commons Executive Committee as necessary. The Cyber Authority brings together the Senior Information Risk Owners (SIROs) in both Houses,<sup>18</sup> the Parliamentary Security Director, and the Director of the Parliamentary Digital Service. The Cyber Authority is also responsible for planning and coordinating work on Parliament's cyber security strategy, frameworks and activities.

## Administration

The core task of the House of Lords Administration is to support the work of the House and its committees, and to support Members in their parliamentary work.<sup>19</sup> To do this the Administration employs approximately 500 staff across a number of departments and offices, which are described below. The staff of the Administration are employed by the Clerk of the Parliaments, are not civil servants, serve the House rather than the Government and are politically impartial.

### Clerk of the Parliaments' Office

The Office supports the Clerk of the Parliaments in carrying out their functions and responsibilities. The Office also supports the Lord Speaker, Chairman of Committees, Clerk Assistant and Reading Clerk, and provides administrative support for the Audit Committee, the domestic committees (except the Information Committee), and the Management Board. The Office is also responsible for the Registrar of Lords Interests, internal communications and information compliance matters.

The Clerk of the Parliaments' Office also encompasses two distinct offices: the Lord Speaker's Office (including administrative support for the House Committee) and the Overseas Office, which facilitates contacts between the House and overseas parliaments and international assemblies, and provides advice and support to Members, including the Lord Speaker, when they attend conferences overseas. The Reading Clerk is responsible for overseeing these offices, as well as the provision of a number of corporate services, including the internal audit function, business planning, and the performance and risk management frameworks.

### Parliamentary Services

Parliamentary Services is a grouping of four procedural offices:

- The **Committee Office** supports the select committees of the House with procedural and legal advice and the administrative support necessary to fulfil the committees' orders of reference. Apart from the Liaison Committee and Information Committee, it does not support the domestic committees or those concerned solely with legislation and procedure.
- The **Journal Office** comprises the Registry, the Table Office and the Printed Paper Office. The Registry maintains records of the membership and business of the House

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<sup>18</sup> The Reading Clerk acts as the SIRO in the House of Lords.

<sup>19</sup> In the House of Commons the equivalent body is the House of Commons Service.

and compiles the Journals of the House (the authoritative record of proceedings). The Table Office advises Members on the tabling of parliamentary business and produces the *House of Lords Business* document, including the Minutes of Proceedings. The Printed Paper Office is responsible for providing documents required by Members of the House to discharge their parliamentary functions. The Office supports the House of Lords Commissioner for Standards and the work of the Committee for Privileges and Conduct and Procedure Committee.<sup>20</sup>

- The **Legislation Office** supports the consideration and passage of primary public and private legislation, as well as secondary legislation, through the House; authorises, on behalf of the Clerk of the Parliaments, the publication of bills and amendments, Acts of Parliament and Measures and the transmission of official messages to the House of Commons; and supports the work of the Delegated Powers and Regulatory Reform Committee, the Secondary Legislation Scrutiny Committee and the Joint Committee on Statutory Instruments.
- The **Official Report (Hansard)** provides overnight a substantially verbatim record of proceedings in the Chamber and Grand Committee as well as Written Answers and Written Ministerial Statements; transcripts of Select Committee evidence sessions are also produced.

#### Department of Information Services

The Department includes three offices:

- The **Information Office** produces and disseminates publications about the role and work of the House; manages contacts with the press and media; and provides an enquiry service for Members, the public, press and staff.
- The **Library** provides research, information and bibliographic services which support the parliamentary functions of the House.
- The **Parliamentary Archives** is a shared service, which provides an archive and records management service for both Houses (see below).

#### Black Rod's Department

The Department is responsible for operational security in the Lords part of the parliamentary estate (in coordination with the House of Commons and subject to the strategic oversight of the Parliamentary Security Director); controlling access to the Chamber and the precincts of the House (including booking in Members' guests to the Galleries and Below Bar) and maintaining order within them; organising all ceremonial occasions in the House and State Ceremonial events within the Palace of Westminster; and for the daily administration of the Queen's residual estate at Westminster. It also considers requests for filming and photography, including the licensing of media activities, on the Lords part of the parliamentary estate. Recent changes to the governance of security in Parliament (as set out below) will see Black Rod's responsibility for operational security transferred to the Parliamentary Security Director in due course.

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<sup>20</sup> These functions are concerned with procedural matters and are therefore not covered by this Note.

## Department of Facilities

The Department includes two offices:

- **Property and Office Services (POS)** manages the provision of accommodation (including the booking of committee and meeting rooms) and works services (including cleaning, mail, photocopying and stationery) to Members and staff. POS plans, supervises and controls works, maintenance and conservation projects and budgets across the Lords part of the parliamentary estate in conjunction with the House of Commons Director General of Facilities and the Parliamentary Director of Estates.
- **Catering and Retail Services (CRS)** is responsible for the provision of catering services (including restaurants, cafés and bars) to Members and their guests, and to staff, and a gift shop for Members, staff and guests. It also provides a private banqueting service to Members.

The Department of Facilities is also responsible for the Parliamentary Safety Team, a shared service hosted by the House of Commons, in its work supporting the Administration (see below).

## Human Resources Office

The Office provides a personnel service for the Administration's staff (i.e. not Members' staff) and is responsible for the recruitment of staff, maintenance of the pay and grading systems and other conditions of service, pay negotiation and authorisation, training, superannuation, performance management and grievance and disciplinary matters. The Human Resources Office is also responsible for the Health and Wellbeing Service, a shared service hosted by the House of Commons, in its work supporting the Administration (see below).

## Finance Department

The Department is responsible for providing accounting and financial services to the House, including: financial management and administration; financial reporting; resource and cash management; payments to Members, suppliers and staff; and accounting for receipts from Members, staff and the public. The Department includes the Parliamentary Procurement and Commercial Service, a shared service (see below).

## Shared Services and Joint Departments

A number of shared services are provided by one House on behalf of both, while a joint department provides ICT services. The most significant ones are described below. The House of Lords *Strategy for the Administration 2014–19*, which was endorsed by the House Committee, contains a strategic commitment to “Work jointly with the House of Commons Service, and where possible amalgamate, when doing so improves services or provides value-for-money and does not compromise our objectives or the House of Lords’ voice”.<sup>21</sup> In response to a suggestion by the Clerk of the Parliaments, the House of Commons Governance Committee recommended that a review of shared services should be conducted.<sup>22</sup> As a result a Bicameral

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<sup>21</sup> House of Lords, [House of Lords Strategy for the Administration 2014–19](#), 2013.

<sup>22</sup> House of Commons Governance Committee, [House of Commons Governance](#), 17 December 2014, HC 692 of session 2014–15.

Review of Joint Working was established in April 2015, which will identify barriers to joint working and potential benefits that could be realised by closer working, or by providing services to both Houses jointly. The findings will be discussed by the Lords House Committee and House of Commons Commission at a joint meeting in October 2015.

### *Parliamentary Estates Directorate*

The Palace of Westminster is a Royal Palace and is under the joint stewardship of the House of Lords and the House of Commons. Responsibility for the maintenance of the Palace and the parliamentary estate is a shared service, hosted by the House of Commons and provided by the Parliamentary Estates Directorate (led by the Parliamentary Director of Estates) and the House of Commons Department of Facilities. Expenditure on the Palace and the parliamentary estate is split between the Lords and Commons on a 40:60 ratio, or solely allocated to either House where appropriate.

### Parliamentary Digital Service (PDS)

On 1 April 2015 PDS came into being, which brought together the management of all online and ICT services, including both ICT services currently managed by the Parliamentary ICT service and web services which were previously managed by the Web and Intranet Service (a shared service hosted by the House of Commons), into a single organisation. A Director was appointed in March 2015 to run PDS, who will be publicly accountable for delivering measurably rising levels of satisfaction with Parliament's digital services from Member's staff and the public. PDS is a joint department of both Houses under the Parliament (Joint Departments) Act 2007 (see section 3.1).<sup>23</sup> Each House pays for its own ICT hardware and House-specific software, and the costs of PDS itself are split between the Lords and Commons on a 30:70 ratio. Joint ICT development project costs are shared on a basis agreed project by project.

### Office of the Parliamentary Security Director (OPSD)

The Parliamentary Security Director (PSD) is a House of Commons official who serves both Houses with an office located in the House of Lords. The PSD has executive responsibility for security for Parliament and gives strategic and policy direction on security issues to Black Rod in the House of Lords, the Serjeant at Arms in the House of Commons and the Director of the Parliamentary Digital Service. They are subject to the overall political direction of, and accountable to, the Speakers of the two Houses, and are line-managed by the Clerks of both Houses. They have the right of access to the House of Lords Management Board and House of Commons Executive Committee and chairs the bicameral Parliamentary Security Board. They are also responsible for the management of the Commons and Lords security budgets, including the contract with the Metropolitan Police Service (MPS) for the provision of security across the parliamentary estate ('the Police Contract'). Costs are split between the Lords and Commons on a 30:70 ratio.

In November 2014, following a high-level review of the governance of security in Parliament, the House of Commons Commission and the House Committee agreed that responsibility for every aspect of security should lie with the PSD, as a single accountable security expert. This arrangement would involve Black Rod and the Serjeant at Arms retaining responsibilities for access in their respective Chambers. Any remaining responsibilities for operational security would be as agreed by the PSD. Regarding the future provision of security to Parliament under

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<sup>23</sup> House of Lords House Committee, [Establishment of PICT](#), 6 December 2007, HL Paper 20 of session 2007–08.

the Police Contract, the Commission and House Committee also agreed that the security officer work force, who are currently employed by the MPS, should be brought in-house to become parliamentary staff. Parliament will continue to work in strategic partnership with the MPS who will retain responsibility for core functions of armed and unarmed policing. Implementing these decisions will require significant changes in security governance arrangements across Parliament, which will be delivered in 2015/16.

Until any changes are implemented the existing arrangements and responsibilities will remain unchanged. In due course the transfer of responsibility for every aspect of security to the PSD will involve the creation of a new security department, which will subsume all responsibilities of the OPSD and the security responsibilities of the Serjeant at Arms and Black Rod, together with the management of the new parliamentary security officer operation.

#### Parliamentary Procurement and Commercial Service

The Clerks of the two Houses agreed in July 2013 to establish a unified parliamentary procurement function. The Parliamentary Procurement and Commercial Service, which launched on 1 April 2014, provides a procurement and contract management support service for both Houses, and is hosted by the House of Lords. The relevant costs are split between the Lords and Commons on a 30:70 ratio.

#### Parliamentary Archives

Parliamentary Archives is a shared service, hosted by the House of Lords, which provides an archive and records management service for both Houses, answers enquiries about the archives and history of Parliament and makes records accessible to Members and the public in the search room. Outreach activities also aim to enhance public awareness of the historical and informational value of the archives as a core resource of Parliament. Costs are split between the Lords and Commons on a 60:40 ratio.

#### Other Shared Services

A number of other shared services are provided by departments in the House of Commons, as follows:

- The **Parliamentary Programme and Project Assurance Office** is part of the Governance Office<sup>24</sup> and provides programme and project assurance facilities to both Houses.
- The **Broadcasting Unit** is part of the Department of Chamber and Committee Services and oversees the production and distribution of the audio-visual record and the broadcasting and webcasting of both Houses, operates the annunciator service and provides an audio-visual archive service.
- The **Pass Access Unit** is also part of the Department of Chamber and Committee Services, within the Serjeant at Arms Directorate. The Pass Access Unit confirms the identity of individuals and, subject to that confirmation and vetting them to the

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<sup>24</sup> The Governance Office sits outside the departmental structure and concentrates on supporting the Clerk of the House of Commons and Executive Committee. It carries out a number of key corporate functions, including risk management, internal audit, strategic planning and central communications.



Government Baseline Personnel Security Standard (BPSS) and the outcome of other background checks, issues parliamentary passes. The Unit also operates the pass access control system. The **Audit and Compliance Unit**, which is also part of the Serjeant at Arms Directorate, seeks to ensure that contractors, sub-contractors and recruitment agencies used by Parliament vet staff to the BPSS standard.

- The **Continuous Improvement team** is part of the Finance Department and is responsible for identifying and delivering ongoing value-for-money and efficiency savings, and further improving the quality of services, in both Houses.
- The **Health and Wellbeing Service** and the **Parliamentary Safety Team** are part of the Department of Human Resources and Change and provide advisory and support services to Members and staff of both Houses.
- The **Portfolio Management team** is also part of the Department of Human Resources and Change and provides corporate oversight of the key projects and programmes across Parliament to both Houses.
- The **Logistics Service** is part of the Department of Facilities, within the Accommodation and Logistics Services Directorate, and is responsible for the contract under which the Off Site Consolidation Centre is provided for Parliament, as well as the Mail and Late Night Transport contracts.
- The **Public Engagement Directorate** is part of the Department of Information Services and provides support to visitors to Parliament, including commercial tours, as well as support for schools and young people.
- The **Curator's Office** is part of the Department of Information Services and is responsible for conserving, developing and displaying the works of art collections of both Houses.
- The **Parliamentary Office of Science and Technology (POST)** is also part of the Department of Information Services and provides publications and advice on all matters regarding science and technology for both Houses, including to select committees. Three members of the House of Lords sit on the POST Board.

### 3. Changes to the Governance and Administration of the House of Lords

#### 3.1 Legislation

##### Clerk of the Parliaments Act 1824

The Act sets out that the Clerk of the Parliaments shall be appointed by the Crown and shall be removable by the Crown upon an address of the House of Lords for that purpose. It also sets out how the other Table Clerks shall be appointed and the Clerk of the Parliaments' role as employer of the other staff of the House.<sup>25</sup>

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<sup>25</sup> [Clerk of the Parliaments Act 1824](#).

## Parliamentary Corporate Bodies Act 1992

The Act designates the Clerk of the House of Commons and the Clerk of the Parliaments as Corporate Officers, making them responsible for signing contracts and holding property on behalf of their respective Houses.<sup>26</sup>

## Parliament (Joint Departments) Act 2007

The Act provides the Corporate Officers of both Houses with the power to establish joint departments, subject to the approval of the House of Commons Commission and the House of Lords on the recommendation of the House Committee.<sup>27</sup> The Act was passed to allow the formal establishment of PICT as a joint department but also allows the establishment of other joint departments without further legislation. The Act provides that the Corporate Officers' functions in connection with joint departments are exercisable by them only jointly, including the appointment of staff.

## 3.2 Reviews

### Pre-1991–92

The Select Committee on the House of Lords' Offices ('the Offices Committee') was established shortly after the Clerk of the Parliaments Act 1824.<sup>28</sup> From the end of the nineteenth century the Offices Committee was appointed at the beginning of each session in order to supervise appointments and conditions of employment in the two "offices" of the Clerk of the Parliaments and Black Rod.<sup>29</sup> It subsequently acquired a wide range of responsibilities. Before the 1991–92 reforms (see below) the Offices Committee had up to 60 Members or more and latterly appointed seven sub-committees on: the Library; Refreshments; Works of Art; Computers; Staff of the House; Finance; and Administration.

Until 25 April 1965 the entire Palace of Westminster, as a Royal Palace, had been under the immediate control of the Crown, on whose behalf the Lord Great Chamberlain acted. Thereafter the Queen made over to each House the control, use and occupation of the part of the Palace which it occupied, but responsibility for the Royal Apartments of the Palace, including the Robing Room and the Royal Gallery, remained with the Lord Great Chamberlain, as did certain ceremonial functions. Responsibility for the Lords was vested in the Lord Chancellor on behalf of the House, in his role as Speaker. In turn he delegated his authority in this regard to the Offices Committee, with Black Rod acting as its agent. Under these arrangements the Minister of Public Building and Works remained responsible to Parliament for the maintenance of fabric of the Palace, as well as the provision of "furnishing, fuel and light". The Minister also continued to be responsible for the management of Westminster Hall and the Crypt Chapel, the control of which was vested jointly in the Lord Great Chamberlain and in the two Speakers, on behalf of both Houses.<sup>30</sup>

In 1992 both Houses assumed control of all parliamentary expenditure, as well as responsibility for the maintenance of the fabric of the Palace, which had become the responsibility of the

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<sup>26</sup> [Parliamentary Corporate Bodies Act 1992](#).

<sup>27</sup> [Parliament \(Joint Appointments\) Act 2007](#).

<sup>28</sup> Until 1889 it was called the Select Committee on the Office of the Clerk of the Parliaments and Office of the Gentleman Usher of the Black Rod.

<sup>29</sup> At that stage the only two offices in the House Administration.

<sup>30</sup> HL *Hansard*, 23 March 1965, [cols 524–9](#).

Property Services Agency, a government agency. Black Rod assumed responsibility for the latter function in the House of Lords before it was transferred to the Director of Facilities in 2009 (see below).

## 1991–92 Reforms

The domestic committee structure in the House of Lords was reconfigured in 1991–92 in the wake of changes to the House of Commons' administration following the Ibbs Review.<sup>31</sup> Responsibility for the delivery of services and general administration remained with the Offices Committee, but its seven sub-committees were reduced to four—Finance and Staff, Administration and Works, Library and Computers, and Refreshment—and an Advisory Panel on Works of Art was established. The sub-committees were given delegated responsibility for decision-making, though they could not report directly to the House and lacked formal terms of reference. In practice, the changes meant that the Offices Committee became a 'post-box', receiving reports from the sub-committees and then reporting them to the House when considered necessary. At this stage the Offices Committee had reduced to 28 members and it met infrequently with very short meetings. There was much overlap between the members of the Offices Committee and the sub-committees, as well as the items of business they considered and deliberated upon. During the same period changes were also made to the financial management arrangements in the House of Lords, following similar changes in the House of Commons.

## 2000–02 Reforms

On 21 June 2000 the House considered a report by the Offices Committee, which included a recommendation to appoint a management consultant, Mr Michael Braithwaite, to undertake a review of the House of Lords.<sup>32</sup> The report recommended that the review should cover the Administration's management framework as well as the structure for taking decisions about the services of the House and other domestic matters following the 1991–92 reforms.<sup>33</sup> After a short debate, during which some Members opposed the appointment of a management consultant, the Chairman of Committees withdrew the motion to approve the report.<sup>34</sup> On 19 July 2000 the Offices Committee made a revised but similar recommendation in another report, which proposed that a steering group of Members would be convened to supervise the review.<sup>35</sup> The House debated the report on 27 July 2000; and although it was agreed that a review would be undertaken, the House deleted the reference to it being conducted by Mr Braithwaite.<sup>36</sup>

A steering group was duly established in September 2000, chaired by Lord Grenfell, which reported to the Chairman of Committees, Lord MacKay of Ardbrecknish, on 5 March 2001.<sup>37</sup> It decided not to appoint a consultant and recommended the absorption of the responsibilities of the Finance and Staff and Administration and Works sub-committees into a "slimmed down"

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<sup>31</sup> House of Commons Commission, *Report on House of Commons Services*, HC 38 of session 1990–91.

<sup>32</sup> Mr Braithwaite had undertaken a review of the House of Commons Administration in 1999. See House of Commons Commission, *Review of Management and Services*, 26 July 1999, HC 745 1998–99.

<sup>33</sup> House of Lords Offices Committee, *Fifth Report*, 25 May 2000, HL Paper 70 of session 1999–2000.

<sup>34</sup> HL *Hansard*, 21 June 2000, [cols 256–65](#).

<sup>35</sup> House of Lords Offices Committee, *Sixth Report*, 24 July 2000, HL Paper 97 of session 1999–2000.

<sup>36</sup> HL *Hansard*, 27 July 2000, [cols 604–35](#).

<sup>37</sup> *Report by the Steering Group on Management and Services in the House of Lords*, 24 July 2001, HL Paper 22 of session 2001–02. The other members of the group were Lord Levene of Portsoken, Lord Newton of Braintree and Lord Oakeshott of Seagrove Bay.

Offices Committee, which would meet more regularly and operate in a more transparent manner. It also recommended the appointment of a full-time professionally qualified Principal Financial Officer to be explicitly responsible for financial management and reporting to the Clerk of the Parliaments as Accounting Officer.

A working group was announced on 1 November 2001 to develop the steering group's work further. Chaired by Lord Tordoff (who had succeeded Lord MacKay as Chairman of Committees), it reported to the Offices Committee on 12 February 2002.<sup>38</sup> This report was republished by the Offices Committee on 16 May 2002<sup>39</sup> and recommended, among other things:

- The establishment of a House Committee in place of the Offices Committee, to meet once a month in order to provide leadership and strategic planning for the administration, domestic committees and staff. The Committee would have a membership of eleven, including the Chairman of Committees (as the chair), the Leaders of the three major parties (with the Chief Whips acting as alternates), the Convenor of the Crossbench Peers (or a nominated alternate) and six backbench Members (two each from the Labour and Conservative parties, and one each from the Liberal Democrat party and the Crossbench Peers), with the backbench Members appointed for a whole Parliament to act as the principal representatives of the membership of the House as a whole.<sup>40</sup> It suggested that the House Committee would make routine reports to the House for information, with occasional reports for agreement.
- The establishment of a Management Board to bring the various functions of the Administration together and to develop a sense of corporate identity, chaired by the Clerk of the Parliaments. The Board would advise the House Committee and assist it in preparing the strategic plan, before formulating a business plan for its implementation. Decisions on staff numbers and grading would be formally delegated to the Board.
- The establishment of an Audit Committee, whose membership would not overlap with the House Committee or the domestic committees, chaired by a Member and including two external members.
- The reconstitution of the Offices Committee sub-committees, including the Advisory Panel on Works of Art, as four free-standing select committees with minimal overlaps in membership. The committees would act as 'user groups' to canvass the views of Members in a transparent manner to allow them more opportunity to influence decision-making. They would have the ability to make policy recommendations and executive decisions within defined financial thresholds, and would report directly to the House. The Finance and Staff sub-committee would be abolished and its main responsibilities transferred to the House Committee, while the Library and Computers sub-committee would be renamed as the Information Committee.

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<sup>38</sup> House of Lords Offices Committee, [Report by the Working Group on Management and Services](#), 15 February 2002, HL Paper 79 of session 2001–02. The other members of the group were Lord Grenfell, Lord Hunt of Wirral, Lord Sharman and Viscount Tenby.

<sup>39</sup> House of Lords Offices Committee, [Fifth Report](#), 16 May 2002, HL Paper 105 of session 2001–02.

<sup>40</sup> The steering group recommended only four back-bench members but this was increased to six when the Offices Committee agreed an amendment to this effect proposed by Lord Strathclyde when the report was agreed. The total membership increased to twelve in 2006 following the creation of the Lord Speaker, who became House Committee chairman.

- A strengthened Office of the Clerk of the Parliaments, with a requisite increase in resources to support the new arrangements. Support was also expressed for the appointment of a full-time Principal Financial Officer.

It was expected that the establishment of the House Committee would allow the House of Lords to better assert itself in relation to the House of Commons regarding matters such as accommodation, as well as increasing its capability to formulate strategies relating to the provision of joint services. The working group also remarked that, owing to the uncertainty occasioned by possible Lords reform, a full external review of management structures should be commissioned within a reasonable period from the time any reforms came into effect. The House debated and agreed the report on 10 June 2002,<sup>41</sup> and most of the recommended changes took effect at the beginning of the 2002–03 session.

### **Tordoff/Hunt Report on Internal Governance (2007)**

On 12 June 2007 the House Committee considered the internal governance of the House of Lords on the basis of a paper by the then Clerk of the Parliaments and an external review of the Management Board, which had been conducted by Sir John Parker.<sup>42</sup> Two members of the House Committee, Lord Hunt of Wirral and Lord Tordoff, were asked to prepare a paper on the internal governance in the House of Lords in the light of the Parker Review and the Tebbit Review in the House of Commons.<sup>43</sup> The report was presented to the Lord Speaker and agreed by the House Committee in November 2007. It concluded that the governance arrangements put in place in 2000–02 needed only incremental tweaking and recommended:

- Changes to the terms of reference of the House Committee to better reflect its non-executive role with respect to the Management Board, its function in setting strategic direction, and its role in supervising arrangements relating to Members' expenses.
- Changes to the terms of reference of domestic committees to clarify their need to operate within the strategic framework set by the House Committee.
- Better communication among the committees and between the committees and Members, as well as consideration as to how to improve their respective working practices.
- Reducing the number of backbench Members on the House Committee from six members to four (this recommendation was not implemented).

A report by the House Committee, which set out the proposed changes to the domestic committees' terms of reference,<sup>44</sup> was agreed by the House without debate on 5 December 2007.<sup>45</sup>

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<sup>41</sup> HL *Hansard*, 10 June 2002, [cols 12–16](#).

<sup>42</sup> House of Lords Administration, [Review of the Management Board of the House of Lords](#), April 2007.

<sup>43</sup> House of Commons Commission, [Review of Management and Services of the House of Commons](#), 25 June 2007. HC 685 of session 2006–07.

<sup>44</sup> House of Lords House Committee, [Domestic Committees' Terms of Reference](#), 29 November 2007, HL Paper 13 of session 2007–08.

<sup>45</sup> HL *Hansard*, 5 December 2007, [col 1702](#).

## Senior Management Restructure (2008)

A report published by the House Committee on 14 March 2008 considered proposals for the appointment of a new post of Director of Facilities, to allow the post of Black Rod to focus on the traditional aspects of the role.<sup>46</sup> The report recommended, among other things, that the new Director of Facilities would have responsibility for works, accommodation, facilities and services, and would also become the Management Board member responsible for the then Refreshment Department.<sup>47</sup> The House agreed these recommendations on 31 March 2008,<sup>48</sup> and they took effect following the retirement of Sir Michael Willcocks as Black Rod in May 2009.

## Thomas/Makower Review (2011)

Mike Thomas, a management consultant, and Andrew Makower, then Principal Clerk of Select Committees, conducted a ‘light touch’ review of “the structure of the House of Lords Administration and the operation of the Management Board” which concluded in March 2011.<sup>49</sup> The report made recommendations for streamlining the House of Lords Administration so as to improve the service provided to Members and reduce bureaucracy. The following recommendations were accepted and implemented:

- The administration of the House of Lords to become known as the ‘House of Lords Administration’.
- The merger of the Delegated Legislation Office with the Public and Private Bill Office into a new Legislation Office headed by a ‘Clerk of Legislation’ (previously the head of the Public and Private Bill Office).
- The transfer of the supply functions of the Printed Paper Office (office supplies, including photocopiers and pre-paid envelopes) to the Department of Facilities. The remainder of the office, alongside the Table Office, was brought within the Journal Office.
- That, on a trial basis, an external member of the Audit Committee should attend Management Board meetings.
- The adoption of formal Service Level Agreements with the House of Commons in respect of the Parliamentary Estates Directorate, and with PICT.

The report also made the following recommendations, which were not implemented:

- The appointment of a professionally qualified Finance Director or Head of Corporate Services; using the new performance measurement system to enable the Board to track implementation of its priorities and to improve its oversight of major programmes and projects.

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<sup>46</sup> House of Lords House Committee, [Senior Management Restructure](#), 14 March 2008, HL Paper 78 of session 2007–08.

<sup>47</sup> This is now known as Catering and Retail Services.

<sup>48</sup> HL *Hansard*, 31 March 2008, [cols 725–8](#).

<sup>49</sup> House of Lords Administration, [Report of a Review of the Structure of the House of Lords Administration and the Operation of the Management Board](#), 11 March 2011.

- The appointment of a senior member of staff with a wide brief to run the Clerk of the Parliaments' Office and support the Clerk, along similar lines to the Head of the Office of the Chief Executive in the House of Commons.

### **Leader's Group on Governance (2015)**

A Leader's Group was established on 23 March 2015 to consider governance arrangements in the House of Lords. Its work is described at the end of section 2.3.

## **4. Budget of the House of Lords**

The House of Lords, in common with government departments, derives its funding from the House of Commons ('Supply') within a formal system of financial control administered by the Treasury. The House's use of resources is thus subject to formal oversight by the Treasury and the House of Commons, though as a Chamber of Parliament with common dependencies and programmes with the House of Commons, the House of Lords occupies a special position, recognised by the Treasury, under which it is in practice not subject to the strict disciplines of government financial management. Nor is it explicitly subject to some of the legal requirements which are imposed on departments and departmental bodies. Nevertheless, the House seeks to comply with the principles of financial management and control applicable to government departments. The House's use of resources is also subject to similar scrutiny and control to government departments.

The House has also elected to have its accounts audited by the National Audit Office. The Clerk of the Parliaments, who is appointed *ex officio* as Accounting Officer, is in principle accountable to the House of Commons, through the Public Accounts Committee, for the regularity and propriety of expenditure.

In 2015/16 the House of Lords will have a resource budget of £103 million and a capital budget of £28 million.

The House of Lords *Strategy for the Administration 2014–19* says that the House will “adhere to the savings target of not increasing the resource budget in real terms (compared with 2010/11), subject to the need to maintain the ability of the House and its Members to carry out their parliamentary functions in changing circumstances including increased attendance” and “continuously seek to improve value-for-money and to identify inefficiencies and waste”. As at 2014/15 the House had reduced its resource budget by 15 percent in real terms since 2010/11.

## **5. Senior Appointments**

### **Clerk of the Parliaments**

The Clerk of the Parliaments has a salary aligned to the Judicial Group 4 pay scale (the same level as a High Court Judge).

Erskine May sets out the appointment procedure and responsibilities of the role:

The Clerk of the Parliaments is the head of the House Administration, consisting of the permanent staff of the House. He is *ex officio* Chairman of the Management Board, and is in effect the House's 'Chief Executive'.

Under the Parliamentary Corporate Bodies Act 1992 (c 27) the Clerk of the Parliaments is a corporation sole known as the Corporate Officer of the House of Lords. As such he is empowered to acquire, hold, manage and dispose of land and other property for any purpose of the House of Lords, and to enter into contracts for that purpose. The Clerk of the Parliaments employs all the staff in administrative departments of the House. Clerks are appointed by the Clerk of the Parliaments and are removable by him. He has responsibilities in relation to freedom of information. The Clerk of the Parliaments sits with the House Committee and the other domestic committees.

The Clerk of the Parliaments is appointed by the Crown by letters patent under the Great Seal. He must exercise his duties in person, and he can be removed from office only by the Sovereign upon an Address of the House of Lords for that purpose.

The Clerk makes a declaration at the Table of the House upon entering office ‘to make true entries and records of the things done and passed’ in the Parliaments and to ‘keep secret all such matters as shall be treated therein and not to disclose the same before they shall be published but to such as it ought to be disclosed unto’.

The Minutes of Proceedings of the House are prepared under his direction and issued in his name, and in the House he is responsible for calling each item of the day’s business. He gives advice to Members of the House on order and procedure. He has the custody of the manuscripts and printed records stored in the Victoria Tower. He signs all orders of the House and other official communications. He endorses all bills sent to the Commons. In his custody also are placed bills which have passed through both Houses and await the Royal Assent and he is responsible for the preparation of the texts of Acts of Parliament. At the ceremony of the Royal Assent to bills by commission, he pronounces to each Act the words by which the Royal Assent is signified, and it is his duty by statute to endorse on every Act the date on which it received the Royal Assent.<sup>50</sup>

The Clerk of the Parliaments is expected to provide authoritative advice on procedural matters on a daily basis to the Lord Speaker, the Leader of the House and other members of the front benches, the Chairman of Committees and individual Members. He sits for part of each sitting day in the Chamber of the House, announces the business of the House and participates in certain ceremonial occasions. The Clerk of the Parliaments is returning officer for elections within the House in connection with the Speakership and hereditary Members of the House. The Clerk of the Parliaments is the Accounting Officer for the House of Lords (see above) and, as the Responsible Person under the Regulatory Reform (Fire Safety Order) Order 2005, has ultimate responsibility for fire safety management on the Lords part of the parliamentary estate. He is also the data controller for the purposes of the Data Protection Act 1998.

The position originated towards the end of the thirteenth century in the reign of Edward I. The plural term ‘Clerk of the Parliaments’ came into existence in Henry VIII’s reign and signifies that the Clerk of the Parliaments serves from one Parliament to the next. The Clerk of the House of Commons emerged as a distinct position during the fourteenth century and incumbents are still formally known as the ‘Under-clerk of the Parliaments’.

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<sup>50</sup> Erskine May, *Parliamentary Practice*, 2011, 24th ed, p 115. For more background see Maurice F Bond, ‘The Office of Clerk of the Parliaments’, *Parliamentary Affairs*, 1958, vol 12 no 3, pp 297–310.



The Clerk of the Parliaments issues letters of delegation to the other members of the Management Board setting out their roles and responsibilities, and they also receive an annual budget letter from the Finance Director. At the end of the financial year the Board members submit second-tier governance statements to the Clerk of the Parliaments setting out how they have ensured the effective and efficient management of the responsibilities delegated to them and their departments or offices by the Clerk of the Parliaments.

David Beamish is the 63rd Clerk of the Parliaments and took up office on 15 April 2011. He took his oath of office on 26 April 2011. On 4 March 2014 it was announced that the Queen had approved the extension of his appointment as Clerk of the Parliaments until 15 April 2017.

### **Clerk Assistant and Reading Clerk**

Erskine May sets out the appointment procedure and responsibilities of the roles:

The Clerk Assistant and the Reading Clerk are appointed by the Lord Speaker, subject to the approbation of the House on their appointments being notified and, when appointed, they cannot be suspended or removed from their offices without an order of the House. They sit at the Table of the House on the right hand of the Clerk of the Parliaments and in general assist him in the performance of his duties.

The Clerk Assistant keeps the Minutes of Proceedings of the House and prepares House of Lords Business, containing the next day's Order Paper and future business. The Minutes of Proceedings have been issued daily since 1825 and form the basis of the Lords Journals which are compiled from them subsequently. The Clerk Assistant exercises the functions of the Corporate Officer of the Lords during any vacancy in the office of Clerk of the Parliaments.

The Reading Clerk records the daily attendances, reads aloud the letters patent and writs of summons of newly created Peers on the occasion of their introduction and administers the oath. He also reads the commissions for Royal Assent and prorogation.

In addition to these invariable duties, the Clerk Assistant and the Reading Clerk undertake such other functions as the Clerk of the Parliaments assigns to them.

In performing their duties at the Table of the House, the Clerk of the Parliaments, Clerk Assistant and Reading Clerk are assisted by other senior Clerks who sit at the Table according to a rota.<sup>51</sup>

The Clerk Assistant acts as the Clerk of the Parliaments' deputy in the House and performs his House functions in his absence. In the event of a vacancy in the Office of Clerk of the Parliaments he would discharge the functions of the Corporate Officer under section 1(4) of the Parliamentary Corporate Bodies Act 1992. Within the Administration the Clerk Assistant is also responsible for Parliamentary Services. Edward Ollard is the present Clerk Assistant and has been in post since April 2011.

Within the Administration the Reading Clerk is responsible for Corporate Services. Simon Burton is the current Reading Clerk and has been in post since March 2014. He is also the Clerk of the Overseas Office.

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<sup>51</sup> Erskine May, *Parliamentary Practice*, 2011, 24th ed, pp 115–16.

## Gentleman Usher of the Black Rod and Serjeant-at-Arms

Erskine May sets out the appointment procedure and responsibilities of the role:

The Gentleman Usher of the Black Rod ('Black Rod') is appointed by the Crown by letters patent under the garter seal. He, or his deputy the Yeoman Usher, is on duty when the House is sitting, and acts as the Messenger of the Sovereign whenever the attendance of the Commons is required. He is responsible for the administrative arrangements whenever the Sovereign is in Parliament. He is responsible for security in the House of Lords area of the Palace of Westminster and the parliamentary estate, and reports to the Clerk of the Parliaments in respect of this function. Black Rod also acts as Secretary to the Lord Great Chamberlain and as such is responsible for certain ceremonial duties and arrangements including daily management of the Sovereign's residual estate in the Palace. He takes part in the introduction of a new Peer. By Standing Order 13 he is responsible for giving effect to such orders and rules as the House may make for the admission of the public to the Chamber and the precincts of the House. It is his duty to execute the orders of the House in cases of contempt.

Since 1971, Black Rod has also held the office of Serjeant-at-Arms, to which he is appointed by the Crown by letters patent under the Great Seal. In this capacity he attends the Lord Speaker.

The Yeoman Usher of the Black Rod and Deputy Serjeant-at-Arms acts as the Deputy of Black Rod for such of the above functions as Black Rod may assign to him. In particular he attends to the Lord Speaker in carrying the Mace in and out of the Chamber.<sup>52</sup>

The position originated in the mid-fourteenth century. Black Rod is currently responsible for the operational delivery of security for the House but this role will be transferred to the Parliamentary Security Director in due course. He is also responsible for business resilience and continuity arrangements for the House; and the planning and conduct of ceremonial events for Royal and State occasions in the Palace of Westminster including personally summoning the Commons to the Lords to hear the Queen's Speech during the State Opening of Parliament. He appoints and controls the Doorkeepers of the House and considers requests for filming or photography on the Lords part of the parliamentary estate.

David Leakey, a former British military commander, took up office on 1 February 2011. In February 2014 the Queen approved the extension of his appointment as Gentleman Usher of the Black Rod until the end of January 2017.

## Other Senior Appointments

The other members of the Management Board are appointed by the Clerk of the Parliaments and the present incumbents are as follows:

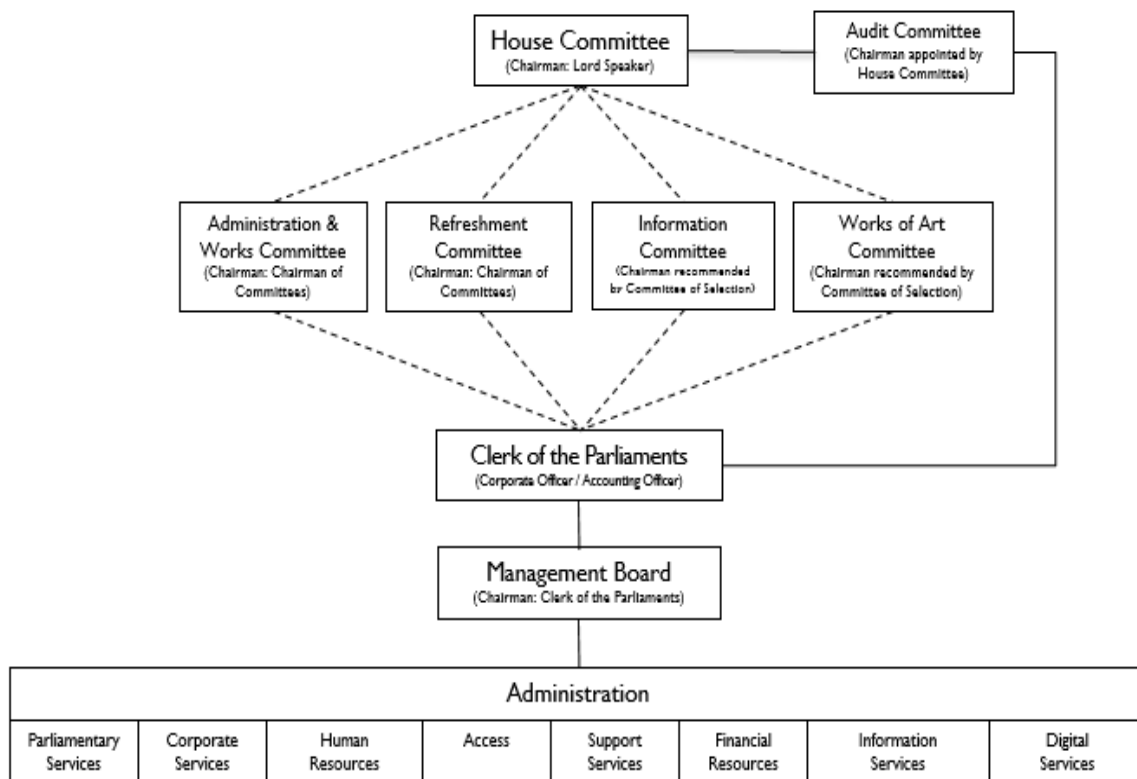
- Andrew Makower, the Finance Director, is a Table Clerk and head of the Finance Department.

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<sup>52</sup> Erskine May, *Parliamentary Practice*, 2011, 24th ed, pp 116–17. For further historical background see Maurice Bond and David Beamish, *The Gentleman Usher of the Black Rod*, House of Lords Information Office, 1976; and *Select Committee on the Office of the Gentleman Usher of the Black Rod*, 1906, HL Paper 140.

- Tom Mohan, the Director of Human Resources, is a Table Clerk and head of the Human Resources Office.
- Carl Woodall, the Director of Facilities, is a professional appointment and head of the Department of Facilities.
- Elizabeth Hallam Smith, the Director of Information Services and Librarian, is also a professional appointment and head of the Department of Information Services.
- Rob Greig is the Director of the Parliamentary Digital Service. This is a joint post appointed by the Clerks of both Houses.

## Appendix I: House of Lords Organisation Chart



## Appendix 2: Management Sub-boards and Groups

### Joint Investment Board

The Joint Investment Board is a sub-committee of the House of Commons Executive Committee and the House of Lords Management Board and, with the following remit:

1. To develop the Medium Term Investment Plan through a yearly prioritisation exercise and make recommendations to the Executive Committee and Management Board.
2. To consider dependencies and obtain assurances on capacity to deliver the investment plan.
3. To obtain advice on the overall impact of change arising from the investment plan, including ongoing costs, savings and support.
4. To ensure that all relevant Departments/Teams are consulted and contribute to the development of the investment plan.
5. To communicate the plans to senior leaders across both Houses.
6. To monitor delivery of major investment programmes against agreed baselines in terms of time, cost and benefits.
7. To monitor risk and review investment portfolio risk registers.
8. To adjust programme funding allocations in year as necessary, within the overall limits of the Investment Plan and in line with the Finance rules of both Houses.
9. To review major business cases where appropriate and provide advice to the Finance Directors.
10. To seek assurance on governance and delivery as appropriate through receiving reports from the Programme and Project Assurance team, Gateway Reviews (with the agreement of the SRO) and Internal Audit Reviews.
11. To provide strategic direction to the programme and project management community across Parliament and sponsor professional development.
12. To report major successes and concerns to the Executive Committee and Management Board.

### Digital Strategy Board

The Digital Strategy Board is a sub-committee of the House of Commons Executive Committee and the House of Lords Management Board and should:

- Support the work of the Digital Service, and its Director, in ensuring that digital delivery is at the forefront of Parliament's work, integrated into departmental business planning, and that user needs are prioritised; and in engaging others in achieving these aims.

- Support the Director in developing Parliament's digital strategy, subject to final approval by the Executive Committee and Management Board, and in delivering the strategy.
- Agree the Digital Service's strategic performance measures and provide a forum for discussion of performance against those measures.
- Agree policies for Parliament's online services, including the website, intranet and social media, and support the Director in implementation.
- Review ICT/digital business cases, above a certain threshold, and provide advice to the Finance Directors on the issues they raise.

### **Parliamentary Security Board**

The Parliamentary Security Board (PSB) was established with effect from 1 January 2012.

The Board's remit is to draw up and recommend to the House of Commons Executive Committee and the House of Lords Management Board the strategy, plans and policies for the delivery of physical, personnel, cyber and information security across Parliament. To this end, PSB:

- Oversees the management and implementation of parliamentary security reviews.
- Assesses security threats of all kinds and plans appropriate measures in response.
- Assesses security throughout the parliamentary environment—including the physical estate, people and the cyber sphere—identifying and prioritising areas requiring changes.
- Plans and monitors the implementation of agreed changes.
- Establishes a single authoritative source of requirements and advice relating to security, of all kinds, for all users of parliamentary facilities and services when working on the parliamentary estate, in constituencies or otherwise remotely.

The Board meets monthly and, through the Parliamentary Security Director, reports to the Executive Committee and Management Board. Additional meetings may be held for the consideration of specific strategic issues.

It consults and takes guidance from the Consultative Panel on Parliamentary Security and, where appropriate, other domestic committees of both Houses, on security matters.

### **Business Resilience Group**

The Business Resilience Group is a sub-committee of the House of Lords Management Board and House of Commons Executive Committee, and provides assurance to the Boards according to the following remit:

- To act as an internal bicameral forum to discuss and, on behalf of the Executive Committee and Management Board, manage business resilience issues at a strategic level and to monitor and support the review process.

- To develop and refine business resilience strategy and ensure that documented, tested and robust incident management and business continuity plans are in place to support the management of corporate business continuity risks in the two Houses of Parliament.
- To discharge the operational requirements for developing and maintaining business continuity plans and the Incident Management Framework to the Business Resilience Co-ordinator.
- To maintain and review contingency plans for the relocation of Parliament.
- To report during the first quarter of the year to the Clerk of the House and the Clerk of the Parliaments on the status of business resilience in the two Houses to feed into the Statements of Internal Control.
- To report and provide assurance to the Executive Committee and Management Board at appropriate times when required to include response to internal audit and external audit of alignment to industry standards.
- To promote awareness of the Houses' business continuity plans among Members and staff through a communication strategy, a programme of training and planned exercises.
- To include in its membership key representatives from the House Services and PICT.

### **Business Planning Group**

The terms of reference of the Business Planning Group, a sub-board of the House of Lords Management Board, as agreed by the Board in May 2015, are:

- To advise the Management Board on issues relating to business planning, risk management and corporate governance.
- To draft, for submission to the Board, the annual House business plan; to keep the House strategic plan under review; to keep the corporate risks under continuous review, with an annual review of the corporate risks as a whole; and to make recommendations thereon to the Board.
- To prepare guidance for offices on the content and format of office business plans and reports on performance.
- To sign off individual office business plans on behalf of the Board.
- To conduct an annual horizon-scanning exercise, at the beginning of the annual business planning round, including the identification of 'black swan' risks, which can be characterised as extreme outliers with very low likelihood and very high impact. These will be reflected in the planning instructions issued to Heads of Offices.