Code of Corporate Governance 2019/20

A guide to the Council’s compliance with the six principles of Corporate Governance.

November 2019
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THE PRINCIPLES OF CORPORATE GOVERNANCE

Core Principle 1  Focusing on the purpose of the Council and outcomes for the community and creating and implementing a vision for the local area.

Core Principle 2  Members and officers working together to achieve a common purpose with clearly defined functions and roles.

Core Principle 3  Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

Core Principle 4  Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.

Core Principle 5  Developing the capacity and capability of members and officers to be effective.

Core Principle 6  Engaging with local people and other stakeholders to ensure robust public accountability.
CODE OF CORPORATE GOVERNANCE

INTRODUCTION

“Governance is about how local government bodies ensure that they are doing the right things, in the right way for everyone, in a timely, inclusive, open, honest and accountable manner.

It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and where appropriate, lead their communities”.

Delivering Good Governance in Local Authorities (CIPFA/SOLACE 2007)

The CIPFA/SOLACE guidance “Delivering Good Governance in Local Authorities” identified six Core Principles against which local authorities should review their existing corporate governance arrangements and develop and maintain a local code of governance. These principles are:

1. Focusing on the purpose of the Council and outcomes for the community and creating and implementing a vision for the local area
2. Members and officers working together to achieve a common purpose with clearly defined functions and roles
3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour
4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
5. Developing the capacity and capability of members and officers to be effective
6. Engaging with local people and other stakeholders to ensure robust public accountability.

This Code of Governance has been prepared in accordance with the Guidance and will be reviewed by the Governance and Audit Committee on an annual basis.

Additionally authorities are required to prepare and publish an Annual Governance Statement in accordance with this framework under Regulation 4(2) of the Accounts and Audit (Amendment) (England) Regulations 2011. The Annual Governance Statement is a key corporate document. The Chief Executive and the Leader of the Council have joint responsibility as signatories for its accuracy and completeness.
**PRINCIPLE ONE**

**Core Principle 1 – Focusing on the purpose of the Council and outcomes for the community and creating and implementing a vision for the local area**

**Our aims in relation to focusing on the purpose of the Council and outcomes for the community and creating and implementing a vision for the local area are to:**

1.1 Exercise strategic leadership by developing and clearly communicating the authority’s purpose, vision and its intended outcome for citizens and service users

1.2 Ensure users receive a high quality service whether directly, or in partnership, or by commissioning

1.3 Ensure that the authority makes best use of resources and that tax payers and service users receive excellent value for money

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<tr>
<th>In order to achieve our aims we have/will:</th>
<th>Source documents/Processes</th>
<th>Further work ongoing</th>
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<tbody>
<tr>
<td>1.1.1 Develop and promote the Council’s purpose and vision</td>
<td>Strategic Plan 2018-21 (approved by Full Council February 2018 following consultation and focus groups, with 20 priorities now set out under four new themes) and action plan. The Council’s commercial programme, including the set-up of three trading subsidiaries – Amphora Trading, Homes and Energy – within the Colchester Commercial (Holdings) Ltd (CCH) holding company. Partnership working with local, regional and national stakeholders. Service Plans. ICT, Communication and Technology Strategy. Council website – <a href="http://www.colchester.gov.uk">www.colchester.gov.uk</a>. Local Research and Statistics data on website. The Constitution and its committees and panels.</td>
<td>Development and monitoring of actions to support delivery of the Strategic Plan 2018-21, including spending priorities. Implementing the ‘Service Futures’ programme which took a fundamental review of Council services and how they are delivered. The development of the CCH/Amphora companies, and the implementation of their high-level goals, financial targets and management agreements. Encouraging self-serve and online options to maximise use of resources</td>
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<td>1.1.2  Review on a regular basis the Council’s vision for the local area and its impact on the authority’s governance arrangements</td>
<td>Strategic Plan and its Action Plan. The Constitution and its committees and panels. Medium Term Financial Strategy and Capital Programme. Local Code of Corporate Governance. Annual Governance Statement and Assurance Framework. Risk Register.</td>
<td>Development and monitoring of actions to support delivery of the Strategic Plan 2018-21. Strategic Plan 2018-21 Spending Priorities. Local Code of Corporate Governance updated as required by CIPFA Guidance. The Policy Review and Public Initiatives Panel was introduced from May 2018 to provide legislative, improvement and policy advice to Cabinet and Portfolio Holders on issues that may affect executive functions. The Panel considers...</td>
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<td>1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties</td>
<td>Strategic Plan 2018-21 Partners were key contributors in the Peer Challenge Partnership Strategy Council praised by All-Party Parliamentary Group Inquiry into partnership working Safer Colchester Partnership – annual plan, website, strategic and operational groups</td>
<td>Colchester Ambassadors – key borough businesses and their promotional work. Community Hub at Colchester library brings a range of partners together to provide customer-facing services. Also the Essex County Council Relationship Manager role.</td>
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<td>1.1.4 Publish an annual report on a timely basis to communicate the authority’s activities and achievements, its financial position and performance</td>
<td>Strategic Plan actions and monitoring of delivery Statement of Accounts Council’s website <a href="http://www.colchester.gov.uk">www.colchester.gov.uk</a> Awards and accreditations, Performance and Improvement sections of the website Performance Management Board ICT, Communication and Technology Strategy The Council’s Forward Plan Publication Scheme/Transparency Code</td>
<td>Crime and Disorder Committee examines the work of the Safer Colchester Partnership. A webpage has been set up to bring all Annual Reports into one central place on the Council’s website for improved transparency and open access. An online Datashare ‘library’ gives access to view and download a range of council databases and information</td>
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<td>1.2.1 Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available</td>
<td>Customer – Portfolio Holder on the Cabinet Performance reporting to Senior Management, Scrutiny Panel and the Cabinet</td>
<td>Improvement and Engagement Team review customer demand and feedback, statistics and research to encourage services to make informed choices based</td>
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<td>Consultation – “Consultations, Research and Statistics” section on website Mosaic and other customer research tools Annual Monitoring Report External Audit annual audit letter and recommendations Local Government and Social Care Ombudsman – Annual Review Letter Review of Complaints Procedure (to Committee October 2018)</td>
<td>on fact, and support process improvement work council-wide. ‘Customer’ strand of the Council’s <a href="#">Customer Service Standard</a>. ‘Customers and Partnerships’ strand of Senior Management Team meetings – this meeting aims to ensure we are focused on our customers and looking for partnership opportunities. Feedback tab on webpages (on the right) ‘Help us get it right’ options for customers</td>
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<td>1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery</td>
<td>Performance reporting and performance indicators</td>
<td>Performance Management Board addresses and manages performance and financial issues and meets monthly. Preparation for Budget Group is also managed here.</td>
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<td>Complaints Procedure</td>
<td>'Help us get it right' options for customers</td>
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<td>Internal Audit Process and annual work programme</td>
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<td>Chief Operating Officer</td>
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<td>Performance Management Board</td>
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<td>External Auditor’s annual audit letter and recommendations</td>
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<td>The Constitution, its committees and panels</td>
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<td>Risk Management Strategy</td>
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<td>Ethical Governance Policies</td>
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<td>Annual Governance Statement Action Plan</td>
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<td>Review of Complaints Procedure</td>
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<td>1.3.1 Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.</td>
<td>Performance Reporting</td>
<td>Building a sustainable commercial services arm for the Council – CCH/Amphora trading companies.</td>
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<td>Performance Management Board</td>
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<td>Environmental Sustainability Strategy/Actions</td>
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<td>External Auditor’s annual audit letter and recommendations</td>
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<td>Statement of Accounts</td>
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<td>Annual Treasury Strategy Statement</td>
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<td>Parking Partnership annual report</td>
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<td>Report templates – financial considerations</td>
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<td>Monitoring of commercial performance</td>
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<td>Publication Scheme/Transparency Code</td>
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<td>Sustainability assessments for Local Development Framework</td>
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<td>The Council has declared a Climate Emergency and has established a Conservation and Environmental Sustainability Task and Finish Group. This is developing an Action Plan for the Council to be carbon neutral by 2020.</td>
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## PRINCIPLE TWO

### Core Principle 2 – Members and Officers working together to achieve a common purpose with clearly defined functions and roles

Our aims in relation to Members and Officers working together to achieve a common purpose with clearly defined functions and roles are to:

2.1 Ensure effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function

2.2 Ensure that a constructive working relationship exists between authority members and officers and the responsibilities of members and officers are carried out to a high standard

2.3 Ensure relationships between the authority, its partners and the public are clear so that each knows what to expect of the other

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<tr>
<td>2.1.1 Set out a clear statement of the respective roles and responsibilities of the executive and of the executive’s members individually and the authority’s approach towards putting this into practice</td>
<td>Constitution (Cabinet terms of reference) Record of decisions and supporting materials Member/Officer Protocol Member Training and Development Senior officer training Member role profiles Committee and Councillor area on the Council website Publication Scheme/Transparency Code</td>
<td>The Constitution will continue to be reviewed on a rolling basis.</td>
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<tr>
<td>2.1.2 Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers</td>
<td>Constitution (Statutory Officer positions, Terms of Reference for Committees, Member roles) Protocols on planning, the representational role of Members, Chairmen, Officer/Members Schemes of Delegation Terms and Conditions of Employment Member role profiles Website and its Datashare section</td>
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<td>2.2.2 Make the chief executive or equivalent responsible and accountable to the authority for all aspects of operational management</td>
<td>Development of the Committee and Councillor area on the Council website provides more complete and easily accessible information about Councillors and the Council’s decision making processes. Chief Executive designated Head of Paid Service Constitution (Head of Paid Service responsibilities) Conditions of Employment Schemes of Delegation Job Accountability Statement /Person Specification Signature on Annual Governance Statement</td>
<td>The Constitution will continue to be reviewed on a rolling basis. Support for this from Chief Operating Officer</td>
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<tr>
<td>2.2.3 Develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained</td>
<td>Constitution Member/Officer Protocol Regular 1:2:1s</td>
<td>The Constitution will continue to be reviewed on a rolling basis. The development of the CCH/Amphora companies, and the implementation of their high-level goals, financial targets and management agreements.</td>
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<tr>
<td>2.2.4 Make a senior officer (usually the section 151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control</td>
<td>Strategic Finance Manager is the Council’s Chief Financial Officer (S151 Officer). Constitution Job Accountability Statement / Person Specification S151 Officer Protocol Report template includes financial implications before report considered by Members Officer Pay Policy agreed by Full Council</td>
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<td>2.2.5 Make a senior officer (other than the responsible financial officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations are complied with (usually the Monitoring Officer)</td>
<td>Strategic Governance Manager is the Council’s Monitoring Officer Monitoring Officer Protocol Job Accountability Statement / Person Specification Report template requires that Legal Services are consulted before a report is considered by Members</td>
<td>Portfolio Holder briefings</td>
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<tr>
<td>2.3.1 Develop protocols to ensure effective communication between members and officers in their respective roles</td>
<td>Member / Officer Protocol Planning Procedures Code of Practice Outside Bodies advice given to Members Member and Officer Codes of Conduct</td>
<td>Portfolio Holder briefings</td>
</tr>
<tr>
<td>2.3.2 Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process including an effective remuneration panel (if applicable)</td>
<td>Pay and conditions policies and practices Independent Remuneration Panel Terms of Reference and Reports Regular liaison meeting with Unison Officer Pay Policy agreed by Full Council</td>
<td>Customers and Partnerships’ strand of Senior Management Team meetings Customer insight work Datashare brings key performance and related data into one place on the website</td>
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<tr>
<td>2.3.3 Ensure that effective mechanisms exist to monitor service delivery</td>
<td>Performance reporting and performance indicators Complaints Procedure Assistant Directors monitoring Service Plans Performance Management Board Performance management system Scrutiny Panel Annual Governance Statements for the Council, Colchester and Ipswich Museums Service and North Essex Parking Partnership Publication Scheme/Transparency Code</td>
<td>Customers and Partnerships’ strand of Senior Management Team meetings Customer insight work Datashare brings key performance and related data into one place on the website</td>
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<td>2.3.4 Ensure that the organisation’s vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated</td>
<td>Strategic Plan underpinned by a review of all existing consultation work. Medium Term Financial Strategy Performance reporting and indicators Council Website ICT, Communication and Technology Strategy News releases, e-newsletters and social media Customer insight groups Service Reviews</td>
<td>Policy Review and Public Initiatives Panel set up to provide legislative, improvement and policy advice to Cabinet and Portfolio Holders on issues that may affect executive functions. Cabinet identifying and resourcing new strategic priorities.</td>
</tr>
<tr>
<td>2.3.5 When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority</td>
<td>Constitution Individual Partnership Agreements Service Level Agreements Advice given to Members in relation to outside bodies Partnership Strategy</td>
<td>Community Hub at Colchester library brings a range of partners together to provide customer-facing services. Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny</td>
</tr>
<tr>
<td>2.3.6 When working in partnership: • ensure that there is clarity about the legal status of the partnership • ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.</td>
<td>Constitution Individual Partnership Agreements Service Level Agreements Advice given to Members in relation to outside bodies Partnership Strategy Monitoring Officer role and protocol</td>
<td>Customers and Partnerships’ strand of Senior Management Team meetings</td>
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# PRINCIPLE THREE

## Core Principle 3 – Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Our aims in relation to promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour are to:

3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance

3.2 Ensuring that organisational values are put into practice and are effective

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| 3.1.1 Ensure that the authority’s leadership sets a tone for the organisation by creating a climate of openness, support and respect | Constitution  
Chief Executive’s and Leader’s blog on the Council’s intranet  
Performance reporting  
Governance and Audit Committee has an overall view of conduct issues established by its terms of reference  
Member and Officer Codes of Conduct  
Member/Officer Protocol  
Whistleblowing Policy  
Anti-Fraud and Corruption Policy  
Freedom of Information Policy statement and publication scheme  
Monitoring Officer and S151 Officer Protocols  
Localism Act Member conduct regime  
Annual review of Ethical Governance policies Peer Challenge | Staff survey and taking action on its findings  
Leadership Development Programme led by Executive Management Team  
Social media, including Yammer on relaunched Council intranet  
Datashare on the Council’s website and on www.data.gov.uk supports the importance of openness and transparency  
Employee Assistance Programme |
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| **3.1.1 continued**                      | Planning Procedures Code of Practice  
Officer Register of Gifts and Hospitality  
Officer voluntary register of interests  
Members’ Register of Interests  
Website and intranet  
Portfolio Holder monthly sessions with senior officers  
“Corporate Governance” section on the Council’s website bringing all relevant information together under one heading |  |  |
| **3.1.2 Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols** | Member and Officer Codes of Conduct  
Performance management system  
Complaints procedures  
Anti-fraud and Corruption Policy  
Member/Officer Protocols  
Induction for new Members and staff  
Member Development Programme  
Member Personal Development Plans  
Officer training on Member/ officer relationship  
Whistleblowing Policy  
Information and Communication Technology (ICT) Security Policy  
Safeguarding Policy  
Intranet  
Annual review of Ethical Governance policies  
Review of Complaints Procedure | Embedding the Council’s core values of ‘customer, business and culture’ with identified attitudes and behaviours.  
The Job Accountability Statement/Person Specification template highlights the core values to applicants, and the revised staff appraisal scheme now makes how you conduct yourself against the values, attitudes and behaviours to be equally important to achieving the SMART objectives that apply to the role. |
In order to achieve our aims we have/will: | Source documents/Processes | Further work ongoing |
---|---|---|
3.1.3 Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice | Member and Officer Codes of Conduct  
Equity and Diversity training for Members and Officers  
Financial Procedure Rules,  
Contract Procedure Rules  
Ethical Governance policies  
Registers of Interests (Officers and Members)  
Services and processes are underpinned by Equality Impact Assessments  
Equality Objectives  
Officer induction and training  
Annual review of Ethical Governance Policies  
Job Accountability Statements include whether or not a role is politically restricted | Introduction of mandatory Member training on Equality and Diversity |
3.2.1 Develop and maintain shared values including leadership values both for the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners | Member and Officer Codes of Conduct  
Strategic Plan, objectives and priorities in place and shared  
Performance reporting  
Strategic Plan Action Plan – progress is reported to scrutiny on a half-yearly basis | People Strategy actions (existing) and development of 2020 update  
Embedding the Council’s core values of 'customer, business and culture’ with identified attitudes and behaviours |
3.2.2 Put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice | Contract Procedure Rules  
Ethical Governance Policies  
Member and Officer Codes of Conduct  
Monitoring of the above takes place by the Governance and Audit Committee  
ICT Security Policy  
Annual reporting to Governance and Audit Committee |
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<td>3.2.3 Develop and maintain an effective Standards Committee</td>
<td>Member conduct issues (standards) within remit of Governance and Audit Committee</td>
<td>Annual review of the Localism Act arrangements by the Governance and Audit Committee.</td>
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<td>Agenda and Minutes</td>
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<td>Terms of Reference</td>
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<td>Regular meetings</td>
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<td>Member training on Code of Conduct</td>
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<td>Work programme</td>
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<td>3.2.4 Use the organisation's shared values to act as a guide for decision making</td>
<td>Member and Officer Codes of Conduct</td>
<td>Embedding the Council’s core values of ‘customer, business and culture’ with identified attitudes and behaviours</td>
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<td>and as a basis for developing positive and trusting relationships within the</td>
<td>Strategic Plan, objectives and priorities in place and being shared</td>
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<td>authority</td>
<td>Performance Appraisals</td>
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<td>Portfolio Holder briefing with Senior Managers</td>
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<td>Policy Framework</td>
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<td>3.2.5 In pursuing the vision of a partnership, agree a set of values against</td>
<td>Values agreed with each partner</td>
<td>Annual report to Cabinet on Members’ appointments to outside bodies, including feedback on outcomes, issues and engagement</td>
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<td>which decision making and actions can be judged. Such values must be demonstrated</td>
<td>Partnership Strategy</td>
<td>Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny</td>
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<td>by partners’ behaviour both individually and collectively</td>
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### PRINCIPLE FOUR

**Core Principle 4 – Taking informed and transparent decisions which are subject to effective scrutiny and managing risk**

Our aims in taking informed and transparent decisions which are subject to effective scrutiny and managing risk are to:

- 4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcomes of constructive scrutiny
- 4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs
- 4.3 Ensuring that an effective risk management system is in place
- 4.4 Using their legal powers to the full benefit of the citizens and communities in their areas

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<td>4.1.1. Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the organisation's performance overall and of any organisation for which it is responsible</td>
<td>Scrutiny is supported by robust evidence and data analysis Agenda and Minutes Scrutiny Panel Work programme Successful outcome of reviews Ownership of work programme Training for scrutiny chairman and members Scrutiny of partners and joint projects</td>
<td>Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny Specialised training provided to Scrutiny members on the scrutiny of commercial companies and treasury management</td>
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<td>4.1.2 Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based</td>
<td>The Constitution, its committees and panels Decision making protocols Record of decisions and supporting materials Report template Decision list published (members) Live audio streaming of meetings on the website Website</td>
<td>The Policy Review and Public Initiatives Panel has been set up to provide legislative, improvement and policy advice to Cabinet and Portfolio Holders on issues that may affect executive functions.</td>
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| 4.1.3 Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice | Member and Officer Codes of Conduct  
Member and Officer Registers of Interests  
Declaration of Interests at meetings  
Code of Conduct guidance and training provided to Members and Officers  
Planning procedures Code of Practice  
Governance and Audit Committee (responsibility) and Monitoring Officer (reports)  
Politically restricted posts  
Ethical Governance Policies, and annual review  
Secondary Employment Policy | |
| 4.1.4 Develop and maintain an effective Audit Committee (or equivalent) which is independent or make other appropriate arrangements for the discharge of the functions of such a committee | Audit issues within remit of Governance and Audit Committee  
Member Development Programme  
Agenda and Minutes  
The Constitution | Continue to review Member training programme with specific reference to audit and governance |
| 4.1.5 Put in place effective transparent and accessible arrangements for dealing with complaints | Complaints procedure “Help us get it right” on website with full details  
Annual letter from Local Government and Social Care Ombudsman  
Customer insight work  
Social media  
Review of Complaints Procedure | Feedback tab on webpages (on the right) |
| 4.2.1 Ensure that those making decisions whether for the authority or partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications | Council’s Website  
Report templates dealing with key aspects  
Report by Assistant Director with necessary technical expertise included  
Training and professional development  
Equality Impact Assessments | Datashare  
Projects carried out by the Council’s Customer Improvement and Engagement Team  
Customer insight work |
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<tr>
<td>4.2.2 Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately</td>
<td>Report template requires that consultation is undertaken with legal and financial functions before report considered by Members Record of decision making and supporting materials S151 and Monitoring Officer Protocols Equality Impact Assessments Clear and well understood decision making processes with published timelines.</td>
<td>Business Partners for Policy and Corporate services, including legal and financial matters</td>
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<td>4.3.1 Ensure that risk management is embedded into the culture of the organisation, with members and managers at all levels recognising that risk management is part of their job</td>
<td>Risk Management Strategy - Policy Framework Corporate Risk Manager Corporate/service planning Cabinet Member with accountability for risk management Half-yearly reporting to Governance and Audit Committee Performance Management Board quarterly risk review Risk Registers- Strategic, Operational and Project Risk and Control self-assessment completed by all managers Training for Members and Officers Intranet area for Risk Management Corporate Governance Team, bringing together the co-ordination of governance processes.</td>
<td>Embedding of risk management processes into projects, with a review of what constitutes a significant project Integrating operational, strategic and project risks into the risk reporting process to senior management</td>
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<td>Clear and well understood decision making processes with published timelines Publication Scheme and Transparency Code</td>
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| **4.4.1 Actively recognise the limits of lawful activity placed on them by, for example the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities** | Constitution  
Monitoring Officer  
Report templates  
Equality Impact Assessments  
Equality Objectives | |
| **4.4.2 Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law** | Availability of professional legal advice  
Knowledge of current and forthcoming legislation and regulations  
Monitoring Officer Protocol  
S151 Officer Protocol  
Report templates  
Constitution  
Equality Impact Assessments  
Equality Objectives  
Training and Policy updates | Business Partners for Policy and Corporate services, including legal and financial matters |
| **4.4.3 Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice into their procedures and decision making processes** | Availability of professional legal advice  
Knowledge of current and forthcoming legislation and regulations  
Monitoring Officer Protocol  
S151 Officer Protocol  
Procedure Rules  
Report template  
Constitution  
Format for quasi-judicial committees  
"Have Your Say" processes  
Planning Procedure Code of Practice  
Equality Impact Assessments  
Equality Objectives  
Datashare | Business Partners for Policy and Corporate services, including legal and financial matters |
## Core Principle 5 – Developing the capacity and capability of Members and Officers to be effective

Our aims in relation to developing the capacity and capability of Members and Officers to be effective are:

5.1 Making sure that Members and Officers have the skills, knowledge, experience and resources they need to perform well in their roles
5.2 Developing the capability of people with governance responsibilities and evaluating their performance as an individual and as a group
5.3 Encouraging new talent for membership of the authority so that best use can be made of individuals’ skills and resources in balancing continuity and renewal

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| 5.1.1 Provide induction programmes tailored to individual needs and opportunities for Members and Officers to update their knowledge on a regular basis | Member training and development  
Member training records on the website  
Member and Officer induction programmes  
Refresher courses  
Briefings  
Performance reviews for officers  
People Strategy  
Personal Development Plans  
Learning and Development Strategy  
Charter Status for Elected Member Development renewed July 2018 | Member skills development  
Intranet section with e-induction options and information for new starters.  
MyLearning is being developed as the ‘one stop shop’ for staff e-learning and development needs – from induction to essential skills and wellbeing.  
Introduction of mandatory member development in respect of GDPR, safeguarding, equality and diversity and chairing skills. |
| 5.1.2 Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that | Appraisals and regular 1 to 1 sessions  
Personal Development Plans  
Training and development  
Recruitment and Induction | Talent Management/Career Track for staff  
Future Leader programme |
these roles are properly understood throughout the organisation | Monitoring Officer and S151 Officer Protocols
Employee Policies
Learning and Development Strategy/Annual
Learning and Development Plan

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| 5.2.1 Assess the skills required by Members and Officers and make a commitment to develop those skills to enable roles to be carried out effectively | Performance reviews for officers
SMART objectives
Personal Development Plans for officers
Member training and development
People Strategy
Learning and Development Strategy/Annual
Learning and Development Plan
Charter Status for Elected Member Development renewed July 2018 | Member skills development
Developing the training records on the Member Information System
Talent Management/Career Track for staff
Introduction of mandatory Member development in respect of GDPR, safeguarding, equality and diversity, and chairing skills.
Specialised training provided to Scrutiny members on the scrutiny of commercial companies and treasury management |

| 5.2.2 Develop skills on a continuing basis to improve performance including the ability to scrutinise and challenge and to recognise when outside expert advice is needed | Performance reviews for officers
Personal Development Plans for officers
Member training and development
Member scrutiny training
People Strategy
Colchester Learning Managers
Vine HR and East of England Local Government Association – meetings, best practice and briefings
Peer Challenge and action plan | Member skills development
Talent Management/Career Track for staff
Learning and Development – commercial and Office365 skills
Specialised training provided to Scrutiny members on the scrutiny of commercial companies and treasury management |
| 5.2.3 Ensure that effective arrangements are in place for reviewing the performance of the authority as a whole and of individual members and agreeing an action plan which might for example aim to address any training or development needs | Performance reporting and indicators  
Performance and Improvement Framework  
Performance management and appraisals – staff  
SMART objectives  
People Strategy  
Peer Challenge and action plan  
Annual Audit Letter  
Members’ Personal Development Plans  
Annual Training Plan  
Local Government Ombudsman Annual Letter |}

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| 5.3.1 Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority | Equality Impact Assessments on services and policies  
Consultations, Research and Statistics on website  
Voluntary Sector Grants programme  
Public meetings  
Equality Objectives  
Strategic Plan Consultation  
Local Development Framework consultation  
Community development work  
Consultations  
Customer insight work  
Improvement and Engagement Team projects  
Have Your Say! processes  
Appointment of Independent Persons  
Audio streaming of Council meetings | Apprenticeship scheme  
Community Enabling Strategy  
Locality Budgets  
Use of social media  
Council’s commitment to paying the Living Wage as a minimum for its staff including, for example, those helping to support the Council’s elections work at polling stations  
Establishment of Policy and Public Initiatives Panel. |
| 5.3.2 Ensure that career structures are in place for Members and Officers to encourage participation and development | People Strategy  
Internal Recruitment Process  
Internal Secondments  
Personal Development Plans for officers  
Personal Development Plans for members  
Talent Management/Career Track for staff  
Member skills development  
Staff structure charts | Talent Management/Career Track - the SMT Talent Panel considers critical roles; moderate career track paths; confirm Future Leader or Future Potential assessments; and then consider those on the Future Leader career track and manage their development  
Future Leader Programme  
Staff Recognition Scheme  
Opportunities such as the District Council Staff Development Programme and the Local Authority Challenge as they arise |
## PRINCIPLE SIX

### Core Principle 6 – Engaging with local people and other stakeholders to ensure robust public accountability

**Our aims in relation to engaging with local people and other stakeholders to ensure robust public accountability are to:**

6.1 Exercise leadership through a robust scrutiny function which engages effectively with local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships

6.2 Take an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly, in partnership or by commissioning

6.3 Make best use of human resources by taking an active and planned approach to meet responsibility to staff

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| 6.1.1 Make clear to themselves, all staff and the community, to whom they are accountable and for what | Constitution  
Community Enabling Strategy  
Stakeholder identification  
Targets and Performance Monitoring  
Website and intranet  
Consultation Strategy  
ICT, Communication and Technology Strategy  
Asset Management Strategy  
Datashare section on the Council’s website brings together all information required under statutory codes such as the ‘Local Government Transparency Code’ to make this easily accessible  
Structure charts for senior management | A key part of the Government’s Transparency agenda is to bring information together into one searchable website - [www.data.gov.uk](http://www.data.gov.uk) to provide clarity on these issues. The information on the Datashare section of the Council’s website is now also being published on [www.data.gov.uk](http://www.data.gov.uk)  
Locality Budgets for councillors have been brought in with clearer guidelines and all spend/activity transparently available on the Council’s website. |
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| 6.1.2 Consider those institutional stakeholders to whom they are accountable and assess the effectiveness of the relationships and any changes required | Stakeholder identification  
Stipulatary provisions  
Stakeholder surveys  
Consultation Strategy  
ICT, Communication and Technology Strategy  
Partnership Strategy  
Scrutiny Panel and the Crime and Disorder Committee Work Programme  
Datashare | Ongoing review of Freedom of Information requests to see if there are items which could be put onto the website or Datashare, so that a repeat request would not be needed as the item had been made freely available. Examples have been business rate and public funeral information now published as a matter of routine. |
| 6.1.3 Produce an annual report on scrutiny function activity | Annual Scrutiny Report | |
| 6.2.1 Ensure that clear channels of communication are in place with all sections of the community and other stakeholders including monitoring arrangements to ensure that they operate effectively | ICT, Communication and Technology Strategy  
News releases, e-newsletters and social media  
Websites for the Council and subsidiaries  
Equality Impact Assessments  
Safeguarding Policies  
Datashare, Freedom of Information and Data Protection section of the website  
Recordings of meetings on the website | Social media and text messaging  
Customer and demand projects |
| 6.2.2 Hold meetings in public unless there are good reasons for confidentiality | Constitution  
Access to Information Rules  
Compliance with Localism Act access to information regulations  
Audio streaming of Council meetings | |
| 6.2.3 Ensure arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands | Strategic Plan  
Website - “Consultations, Research and Statistics” section  
Consultation strategy  
ICT, Communication and Technology Strategy  
Community development work  
Equality Objectives and Equality Impact Assessments | Holding public consultations on key issues to encourage different sections with differing views to take part |
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<td>6.2.4 Establish a clear policy on the types of issues they will meaningfully</td>
<td>Statement of Community Involvement&lt;br&gt;Customer insight project team and its work&lt;br&gt;</td>
<td>Strategic Plan Action Plan – progress is reported to Scrutiny and Cabinet on a half-</td>
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<td>consult on or engage with the public and service users including a feedback</td>
<td>Partnership framework&lt;br&gt;ICT, Communication and Technology Strategy&lt;br&gt;Consultation</td>
<td>yearly basis&lt;br&gt;A webpage has been set up to bring all annual reports into one central</td>
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<td>mechanism for those consultees to demonstrate what has changed as a result</td>
<td>Strategy&lt;br&gt;Budget Consultation - meeting and online&lt;br&gt;Strategic Plan consultation</td>
<td>place on the Council’s website for improved transparency&lt;br&gt;</td>
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<td>Website - “Consultations, Research and Statistics” section&lt;br&gt;Cabinet and Council –</td>
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<td>progress of questions raised by the public</td>
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<td>6.2.5 On an annual basis, publish a performance plan giving information on the</td>
<td>Statement of Accounts&lt;br&gt;Strategic Plan&lt;br&gt;Performance Reporting and Performance</td>
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<td>authority’s vision, strategy, plans and financial statements as well as</td>
<td>Indicators&lt;br&gt;Council website has “Performance and Improvement”, “Council Awards and</td>
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<td>information about its outcomes, achievements and the satisfaction of service</td>
<td>Achievements” and “Council and Democracy” sections&lt;br&gt;Publication Scheme and</td>
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<td>users in the previous period</td>
<td>Transparency Code</td>
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| 6.2.6 Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so | Constitution  
Customer service standards  
Voluntary Sector Compact  
“Have Your Say” at meetings  
Freedom of Information Act Publication Scheme  
Member and Officer Codes of Conduct  
Ethical Governance Policies  
Monitoring Officer Protocol  
ICT, Communication and Technology Strategy  
Data Protection Policy  
ICT Security Policy  
Council website  
Datashare, Freedom of Information and Data Protection section of the website  
National Fraud Initiative - Fair Processing Notice  
Egress Switch Secure Email Encryption  
Publication Scheme and Transparency Code  
Audio Streaming of Council meetings | Community Hub at Colchester library brings a range of partners together to provide customer-facing services for customers of the Council and other organisations. This town centre location is easy to access for those who do not wish to self-serve or would like some assistance to do so online. It is open plan with a Welcome Zone where staff work with customers, but also includes areas where confidential discussions can be carried out if needed or appropriate  
Security checks on staff who process official/sensitive information using the Public Sector Network or who need a secure GCSX e-mail address |
| 6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making | Investors in People  
Facilities and Recognition Agreement with UNISON – including monthly meetings.  
Internal Communications Strategy  
Service Reviews and other operational reviews include consultation and involvement arrangements as part of the process/staff communications | Staff survey and taking action on its findings  
Staff suggestion boxes  
Investors in People – reaccredited for three years to 2021. |