



Colchester  
City Council

# Code of Corporate Governance 2024/25

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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 deliver the objectives of the Strategic Plan (the 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 updated 2016)**

**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

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>1.1.1 Develop and promote the Council's purpose and vision</p>	<p>The <a href="#">Strategic Plan 2023-26</a> sets out how the Council will address the key challenges facing the City through five strategic priority themes. It was approved by Full Council in February 2023. In March 2023 the Cabinet agreed the <a href="#">strategic plan delivery plan</a>.</p> <p>Alongside the Strategic Plan 2023-26 the <a href="#">Fit for the Future Transformation Portfolio</a> was approved in March 2024, this sets out the details of activity that will transform delivery, generate income and reduce net operating costs.</p> <p><a href="#">Performance report</a> to Cabinet in September 2024 reviewing the details of delivery against the council's 23-26 strategic plan.</p> <p>The Council's commercial programme, including its trading companies within Colchester Commercial (Holdings) Ltd (CCHL) 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.</p>	<p>Development and monitoring of actions to support delivery of the <a href="#">Strategic Plan 2023-26</a>, including the <a href="#">strategic plan delivery plan</a>.</p> <p>Continual development of Colchester Commercial Holdings Ltd (CCHL), and the implementation of their high-level goals, financial targets and management agreements. Monitoring includes the <a href="#">CCHL Annual Report 2023/24</a>.</p> <p>Encouraging self-serve and online options to maximise use of resources.</p> <p>Council website – continuing its development to support the Council's vision and objectives, including focus on online self-serve options.</p>

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>1.1.1 Develop and promote the Council’s purpose and vision contd.</p>	<p>People Strategy - embedding the organisational goals for staff, including our people vision and values.</p> <p>Key Performance Indicators (KPIs) reported and published to show achievements against targets</p> <p>The Council’s strategies and policies.</p> <p>Awards and accreditations - <a href="#">council-wide</a></p> <p>The <a href="#">Publication Scheme/Transparency Code</a>.</p> <p><a href="#">The North East Essex Digital Access Support Team (NEE DAST)</a> is a collaboration between North East Essex Integrated Care Board, Tendring District Council and Colchester City Council, providing a free service to residents that helps them gain basic skills and confidence using smart technology, providing both virtual and community-based events, including drop-in sessions and one-to-ones.</p>	

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>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</p>	<p>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.  <a href="#">strategic plan delivery plan</a> and <a href="#">news releases</a>.</p> <p>The final recommendations from the <a href="#">Peer Challenge</a> have been implemented and <a href="#">progress report</a> was presented to Cabinet in July 2023.</p>	<p>Development and monitoring of actions to support delivery of the <a href="#">Strategic Plan 2023-26</a>, including the <a href="#">strategic plan delivery plan</a></p> <p>Local Code of Corporate Governance updated annually as required by CIPFA Guidance.</p>



In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties.</p>	<p>Strategic Plan 2023-26 Partners were key contributors in the Peer Challenge Safer Colchester Partnership – annual plan, website, strategic and operational groups Working with a range of partners to provide customer-facing services. Crime and Disorder Committee examines the work of the Safer Colchester Partnership. The inclusion of Health Alliance director on the Council’s Board of Directors</p>	<p>Development of shared services arrangement with Epping Forest and Braintree District Councils.</p>
<p>1.1.4 Publish an annual report on a timely basis to communicate the authority’s activities and achievements, its financial position and performance</p>	<p>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 All <a href="#">Annual Reports</a> into one place on the website for improved transparency and open access. An online '<a href="#">Council data</a>' library gives access to view and download a range of council databases, performance data and information.</p>	<p>Development and monitoring of actions to support delivery of the <a href="#">Strategic Plan 2023-26</a>, including the <a href="#">strategic plan delivery plan</a>.  <a href="#">update on progress in delivering Cabinet vision and priorities</a> and <a href="#">news releases</a>.  Development of the Council’s Productivity Plan in accordance with the Local Government Financial assessment for 24/25.</p>

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>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</p>	<p>Performance reporting to Senior Management, Scrutiny Panel and Cabinet                      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                      ‘Customer’ strand of the Council’s <a href="#">Customer Service Standard</a>.</p>	<p>Research and Change Team review customer demand and feedback, statistics and research to encourage services to make informed choices based on fact, and support process improvement work council-wide.</p> <p>‘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.</p> <p>Feedback tab on webpages  <a href="#">‘Help us get it right’</a> options for customers</p>

In order to achieve our aims we have/will:	Source documents/processes	Further work ongoing
<p>1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery</p>	<p>Performance reporting and performance indicators  Complaints Procedure  Internal Audit Process and annual work programme  Chief Operating Officer  External Auditor's annual audit letter and recommendations  The Constitution, Committees and Panels  Risk Management Strategy  Ethical Governance Policies  Annual Governance Statement Action Plan  Review of Complaints Procedure</p>	<p>Senior Leadership Board addresses and manages performance and financial issues and meets monthly. Preparation for Budget Group is also managed here.</p> <p><u>'Help us get it right'</u> options for customers</p>
<p>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.</p>	<p>Performance Reporting  Performance Management Board  Environmental Sustainability Strategy/Actions  External Auditor's annual audit letter and recommendations  Statement of Accounts  Annual Treasury Strategy Statement  North Essex Parking Partnership annual report  Report templates – financial considerations  Monitoring of commercial performance  Publication Scheme/Transparency Code  Sustainability assessments for Local Plan</p>	<p>Building a sustainable commercial services arm for the Council – CCHL/Amphora trading companies. The Council has declared a Climate Emergency and has established an Environment and Sustainability Committee. This is an advisory Panel to Cabinet looking at how the Council should respond to the climate emergency.</p> <p>All decision making reports require an assessment of the environmental and sustainability implications of the decision. Development of the Shareholder Team for the Council's companies.</p>

## PRINCIPLE TWO

**Members and officers working together to deliver the objectives of the Strategic Plan (the 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

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	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	The Constitution will continue to be reviewed on a rolling basis.
2.1.2 Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers	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	.
2.2.2 Make the chief executive or equivalent responsible and accountable to the authority for all aspects of operational management	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 with Head of Paid Service responsibilities Conditions of Employment Schemes of Delegation Job Accountability Statement /Person Specification Signature on Annual Governance Statement	The Constitution will continue to be reviewed on a rolling basis.  Support for this from Chief Operating Officer  Continued assessment that the SMT arrangements streamline officer decision making and increase accountability of operational managers.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	Constitution Member/Officer Protocol Regular 1:2:1s	The Constitution will continue to be reviewed on a rolling basis.  The continued development of the shareholder group for CCHL/Amphora companies, to support the implementation of their high-level goals, financial targets and management agreements.
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	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	
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)	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	
2.3.1 Develop protocols to ensure effective communication between members and officers in their respective roles	Member / Officer Protocol Planning Procedures Code of Practice Outside Bodies advice given to Members Member and Officer Codes of Conduct	Portfolio Holder briefings  All member briefings

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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)	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	
2.3.3 Ensure that effective mechanisms exist to monitor service delivery	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	Customers and Partnerships' strand of Senior Management Team meetings  Customer insight work

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>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</p>	<p>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  <a href="#">update on progress in delivering Cabinet vision and priorities</a> and <a href="#">news releases</a>.</p> <p>Environment and Sustainability Panel set polcito provide Colchester’s response to the climate emergency.</p> <p>The final recommendations from the <a href="#">Peer Challenge</a> were implemented and <a href="#">progress report</a> was presented to Cabinet in July 2023.</p>	<p>Development and monitoring of actions to support delivery of the <a href="#">Strategic Plan 2023-26</a>, including the <a href="#">strategic plan delivery plan</a>.</p>



In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	Constitution Individual Partnership Agreements Service Level Agreements Advice given to Members in relation to outside bodies	Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny.
2.3.6 When working in partnership: <ul style="list-style-type: none"> <li>• ensure that there is clarity about the legal status of the partnership</li> <li>• 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.</li> </ul>	Constitution Individual Partnership Agreements Service Level Agreements Advice given to Members in relation to outside bodies Monitoring Officer role and protocol	Customers and Partnerships' strand of Senior Management Team meetings.  Development of shared services arrangement with Epping Forest and Braintree District Councils.

## 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.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>3.1.1 Ensure that the authority’s leadership sets a tone for the organisation by creating a climate of openness, support and respect.</p>	<p>Constitution                      Chief Executive’s and Leader’s blog on 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                      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                      'Council data' online resource</p>	<p>Staff survey and taking action on its findings                      Leadership Development Programme led by Senior Leadership Board                      Social media, including Yammer                      Regular staff news bulletins by email                      Information and videos on intranet                      Employee Assistance Programme                      Staff Wellbeing Champions and Mental Health First Aiders</p>

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>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</p>	<p>Member and Officer Codes of Conduct  Performance management system  Complaints procedures  Anti-fraud and Corruption Policy  Member/Officer Protocol  Induction for new Members and staff  Member Development Programme  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  Adoption of New Model Code of Conduct and provision of training on the new code for members.  The three statutory officers – Head of paid Service, Chief Finance Officer &amp; Monitoring Officer work together in compliance with the Code of Practice on Good Governance for Local Authority Statutory Officers.</p>	<p>Embedding the organisational goals for staff, including our people vision and values.</p> <p>The Job Accountability Statement/Person Specification template highlights the core values to applicants, and the staff appraisal scheme 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.</p>

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 Equality and Diversity training for Members and Officers Financial & Contract Procedure Rules, Ethical Governance policies Registers of Interests (Officers and Members) 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	Adoption of New Model Code of Conduct and provision of training on the new code for members.
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 - embedding the organisational goals for staff, including our people vision and values  People Strategy actions
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	

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
3.2.3 Develop and maintain an effective Standards Committee	Member conduct issues (standards) within remit of Governance and Audit Committee Agenda and Minutes Terms of Reference Regular meetings Member training on Code of Conduct Work programme	Annual review of the Localism Act arrangements by the Governance and Audit Committee.  Adoption of New Model Code of Conduct and provision of training on the new code for members.  Development of the function of the Governance & Audit cttee, in line with the CIPFA guide to audit committees.
3.2.4 Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	Member and Officer Codes of Conduct Strategic Plan, objectives and priorities in place and being shared Performance Appraisals Portfolio Holder briefing with Senior Managers Policy Framework	People Strategy - embedding the organisational goals for staff, including our people vision and values.
3.2.5 In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively	Values agreed with each partner  Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny	Annual report to Cabinet on Members' appointments to outside bodies, including feedback on outcomes, issues and engagement  Development of shared services arrangement with Epping Forest and Braintree District Councils.

## 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.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	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	Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny  Specialised training provided to Scrutiny members
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	The Constitution, Committees and Panels Decision making protocols Record of decisions and supporting materials Report template Decision list published (members) Live streaming of meetings via YouTube Website	Meetings have been live streamed through YouTube or Audiominutes leading to greater public engagement.
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	Adoption of New Model Code of Conduct and provision of training on the new code for members.



In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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  Development of the function of the Governance & Audit cttee, in line with the CIPFA guide to audit committees.
4.1.5 Put in place effective transparent and accessible arrangements for dealing with complaints	Complaints procedure " <a href="#">Help us get it right</a> " on website with full details Annual letter from Local Government and Social Care Ombudsman Customer insight work Social media Review of Complaints Procedure	
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 Clear and well understood decision-making processes with published timelines Publication Scheme and Transparency Code 'Council data' online resource	Projects carried out by the Council's Research and Change Team  Customer insight work  Introduction of a requirement that all decision making reports must address the environmental and sustainability implications of the decision.  Development of the Corporate Landlord Model to ensure that the stewardship of the Council's property assets is fit for purpose.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	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.	Strengthening the involvement of legal, governance and financial advisors in key projects and reviews.
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	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.	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  Providing strategic training to senior officers and members to set the risk framework.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	Strengthening the involvement of legal, governance and financial advisors in key projects and reviews.
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 'Council data' online resource	Strengthening the involvement of legal, governance and financial advisors in key projects and reviews.

## PRINCIPLE FIVE

### **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

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>5.1.1 Provide induction programmes tailored to individual needs and opportunities for Members and Officers to update their knowledge on a regular basis</p>	<p>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 2022 (re-assessed every 3 years)</p>	<p>Member skills development</p> <p>Intranet section with e-induction options and information for new starters.</p> <p>Learning and Development section on the intranet is now a 'one stop shop' for staff e-learning – from induction to essential skills and wellbeing – with new section offering free webinars/resources.</p> <p>Refreshed approach to member induction in 2024</p>
<p>5.1.2 Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the organisation</p>	<p>Appraisals and regular 1 to 1 sessions            Personal Development Plans            Training and development            Recruitment and Induction            Monitoring Officer and S151 Officer Protocols            Employee Policies            Learning and Development Strategy/Annual Learning and Development Plan            Talent Management/Career Track for staff            Future Leader programme</p>	

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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 2022 (re-assessed every 3 years) Talent Management/Career Track for staff – Senior Management Team 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	Member skills development  Specialised training provided to Scrutiny members.  Member Development Group is overseeing work looking at Personal Development Plans for members.  Development of the function of the Governance & Audit cttee, in line with the CIPFA guide to audit committees.
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 Charter Status for Elected Member Development renewed April 2022 (re-assessed every 3 years) Talent Management/Career Track for staff	Member skills development  Learning and Development – commercial and Office365 skills  Specialised training provided to Scrutiny members.  Development of the function of the Governance & Audit cttee, in line with the CIPFA guide to audit committees.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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’ Training Needs Analysis Annual Training Plan Local Government and Social Care Ombudsman Annual Letter	External assessment for the reaccreditation of Member Charter Status required every 3 years – retained 2022.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>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.</p>	<p>Equality Impact Assessments on services and policies                      Consultations, Research and Statistics on website                      Voluntary Sector Grants programme                      Community Enabling Strategy                      Public meetings                      Equality Objectives                      Strategic Plan Consultation                      Local Development Framework consultation                      Community development work                      Consultations                      Customer insight work                      Research and Change Team projects                      Have Your Say! processes                      Appointment of Independent Persons                      Audio streaming of Council meetings</p> <p>The adoption of on-line committee meetings, during the pandemic, enabled greater participation from all sections of the community. The viewing figures demonstrate greater public participation than the previous audio recordings. A public consultation provided responses that demonstrated overwhelming support for on-line meetings.</p>	<p>Apprenticeship scheme, and encouraging the Council’s apprentices to take part in elections work</p> <p>Locality Budgets</p> <p>Use of social media</p> <p>Maintaining the 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</p> <p>Although the temporary legislation for on-line formal meetings was not extended beyond May 2021, there is an indication from the government in October 24 that there will be future changes to formal reports, these developments will be monitored and representations made where appropriate..</p> <p>Non-formal meetings continue to be held virtually, where appropriate.</p> <p>Further development of the technology required to enable fully interactive hybrid meetings in the future.</p>



<b>In order to achieve our aims we have/will:</b>	<b>Source documents/Processes</b>	<b>Further work ongoing</b>
<p>5.3.2 Ensure that career structures are in place for Members and Officers to encourage participation and development</p>	<p>People Strategy                      Internal Recruitment Process                      Internal Secondments                      Personal Development Plans for officers                      Personal Development Plans for members                      Talent Management/Career Track for staff                      Future Leader Programme                      Member skills development                      Staff structure charts</p>	<p>Apprenticeship Programme for staff</p> <p>Staff Recognition Scheme and annual celebration of achievements.</p> <p>Opportunities such as the District Council Staff Development Programme and the Local Authority Challenge as they arise</p> <p>Commitment to LGA Leadership Academy                      Member Development Group is overseeing work looking at Personal Development Plans for members.</p>

## 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.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>6.1.1 Make clear to themselves, all staff and the community, to whom they are accountable and for what</p>	<p>Constitution  Community Enabling Strategy  Stakeholder identification  Targets and Performance Monitoring  Website and intranet  Consultation work  ICT, Communication and Technology Strategy  Asset Management Strategy  'Council data' resource on the Council's website brings together all information required under statutory codes such as the 'Local Government Transparency Code' and the 'Publication Scheme' to make this easily accessible  <a href="#">Structure charts</a> for senior management</p>	<p>A wide range of information is brought together into one place on our website -- <a href="#">Council Data</a> - much of this can be downloaded / shows year-on-year data. Planned IT and access improvements have now been made.</p> <p>Locality Budgets for councillors have been brought in with clearer guidelines and all spend/activity transparently available on the Council's website.</p>

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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 Statutory provisions Stakeholder surveys Consultation Strategy ICT, Communication and Technology Strategy Scrutiny Panel and the Crime and Disorder Committee Work Programme 'Council data' online resource	Ongoing review of Freedom of Information requests to see if there are items which could be put onto the website or 'Council data', so that a repeat request would not be needed as the item had been made freely available.
6.1.3 Produce an annual report on scrutiny function activity	<a href="#">Annual Scrutiny Report</a> which is agreed by Full Council	
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 'Council data', Freedom of Information and Data Protection section of the website Recordings of meetings on the website <a href="#">Cost of Living</a> resources set up, and have provided a source of latest updates, information, advice and support for <a href="#">residents</a> , <a href="#">businesses</a> and <a href="#">communities</a> . <a href="#">The North East Essex Digital Access Support Team (NEE DAST)</a> providing a free service to residents that helps them gain basic skills and confidence using smart technology, providing both virtual and community-based events, including drop-in sessions and one-to-ones.	Social media and text messaging  Customer and demand projects

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	Meetings have been live streamed through YouTube or Audio minutes leading to greater public engagement.
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 work ICT, Communication and Technology Strategy Community development work Equality Objectives/Equality Impact Assessments Budget Consultation Meeting	Holding <a href="#">public consultations</a> on key issues to encourage different sections with differing views to take part
6.2.4 Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users including a feedback mechanism for those consultees to demonstrate what has changed as a result	Statement of Community Involvement Customer insight project team and its work Partnership framework ICT, Communication and Technology Strategy Consultation Strategy Budget Consultation - meeting and online Strategic Plan consultation Website - "Consultations, Research and Statistics" section Cabinet and Council – progress of questions raised by the public	

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<p>6.2.5 On an annual basis, publish a performance plan giving information on the authority’s vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period</p>	<p>Statement of Accounts                      Strategic Plan                      Strategic Plan Action Plan – progress is reported to Scrutiny and Cabinet on a half-yearly basis                      Performance Reporting and Indicators                      Council website has “Performance and Improvement”, “Council Awards and Achievements” and “Council and Democracy” sections                      Publication Scheme and Transparency Code                      All annual reports into one central place on the Council’s website for improved transparency.</p>	
<p>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</p>	<p>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                      'Council data', Freedom of Information and Data Protection section of the website                      National Fraud Initiative - Fair Processing Notice                      Publication Scheme and Transparency Code                      Live Streaming of Council meetings</p>	<p>Security checks on staff who process official/sensitive information using the Public Sector Network or who need a secure GCSX e-mail address</p> <p>Working with a range of partners to provide customer-facing services.</p>

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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 involvement – engagement group called ‘Speak Up Now’ has been established