Annual Governance Statement 2017/2018
Chelmsford City Council

1.0   Our responsibilities

1.1   We have a duty under the Local Government Act 1999 to make arrangements that ensure we continuously improve the way we work in terms of economy, efficiency and effectiveness. This includes a responsibility to ensure that our business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for.

1.2   To fulfill this responsibility, we have put in place arrangements for the governance of our affairs and carrying out our functions, which includes arrangements for managing risk.

1.3   We have approved and adopted a Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government (2016 Edition)*. A copy of the code is on our website ***here***.

1.4   This Annual Governance Statement (AGS) sets out the specific aspects of the Code that were reviewed during 2017/18. It also meets the requirements of regulation 6(1) & (2) of the Accounts and Audit Regulations 2015 in relation to the publication of an annual governance statement.

2.0   Our Governance Framework

2.1   The Governance Framework is made up of:
- the systems, processes, culture and values by which the Council is directed and controlled, and
- the Council's activities, through which it accounts to, involves, works closely with and leads the community.

2.2   The Framework enables us to monitor how far we achieve our strategic objectives and to consider whether those objectives have led us to provide appropriate, cost-effective services.

2.3   The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve our policies, aims and objectives, so it can only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to:
- identify and prioritise the risks to us of achieving our policies, aims and objectives
- evaluate the likelihood of those risks happening and the effects if they do occur, and
- manage those risks efficiently, effectively and economically.

2.4   The following diagrams indicate our established governance framework and how this is then monitored. The remaining sections of this statement describe the key elements of the systems and processes that make up our governance arrangements, which have been in place for the year ended 31 March 2018 and up to the date of the approval of this Statement and the Statement of Accounts.

Council's Governance Framework:

Suite of Documents dealing with the Council's approach
- Council Vision and Priorities
- Budget and Budgetary Control
- Risk Management
- Anti-fraud and Corruption Strategy
- Business Continuity
- Fire risk assessment
- Policies, procedures, Codes of Conduct
- Partnership Protocol
- Code of Corporate Governance and Annual Governance Statement

Corporate Officer Group
- Responsible for drafting Annual Governance Statement, maintaining assurance framework and supporting evidence.
- Reporting the Annual Governance Statement to the Governance and Audit Committees for approval in June each year.

Statutory Officers
- Head of Paid Service – Chief Executive
- Section 151 Officer – Director of Finance
- Monitoring Officer – Legal & Democratic Services Manager

Governance Committee

- Approve and monitor the Council's Code of Corporate Governance statement
- Review and approve for publication the Council's Annual Governance statement (Jointly with the Audit Committee)
- Oversee the Council's arrangements for dealing with complaints including complaints under the Code of Conduct for Councillors, to the Local Government Ombudsman and the Annual Whistleblowing report
- Review of the Constitution and governance rules and arrangements

Audit Committee

- Monitor the Council's revenue budget
- Monitor the Council's capital programme
- Monitor effectiveness of Council's risk management arrangements, the control environment and associated anti-fraud and anti-corruption arrangements,
- Review the assessment of fraud risks and potential harm to the Council from fraud and corruption,
- Approve Internal Audit's charter, strategy, resources, risk based plan and significant interim changes to the plan as well as its Annual Report and the CAE's opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and controls.

Processes to Ensure Good Governance is monitored

| First Line of Defence	Second Line of Defence	Third Line of Defence	Fourth Line of Defence
Operational Delivery	Legal, regularity, information and security assurance etc;		
Assurance by Managers, Directors & Statutory Officers	Budgetary Monitoring	Internal Audit	External Audit
Performance Management and data quality	Strategic Risk Board		

3.0   The Council's Vision

3.1   The City Council's long-term vision for Chelmsford is to enhance the economic, cultural, leisure and retail heart of Essex and to become a leading regional centre in the East of England. This vision was agreed by the Council and its partners and together we have made great strides towards achieving it. The Council's Corporate Priorities in its Corporate Plan were developed by Cabinet and Management Team through consultation with residents and key partners.

3.2   The Corporate Plan recognises the challenges and opportunities we face and sets out how we will achieve our ambitious vision for the city. It is themed on 'People' and 'Place' and sets out   the following six key priorities for Chelmsford and its residents:

Attracting investment and delivering infrastructure	Promoting a more sustainable environment
Facilitating suitable housing for local needs	Promoting healthier and more active lives
Providing high quality public spaces	Enhancing participation in cultural activities

3.3   Under each of the Corporate Priorities we have adopted a number of key objectives and actions to enable us to achieve and track how we are progressing against each corporate priority. For example, to achieve the overall vision, there is:
- A corporate priority to 'attract investment and deliver infrastructure'.
- Below these there is an objective to make the City Centre more attractive; and
- Actions are also identified to carry out specific work in the City Centre that together will deliver the wider objectives.

3.4   Overall responsibility for delivering our Corporate Plan vision, sits with the Council's Cabinet Members and Directors, who have the responsibility for delivering individual actions assigned to individual officers. Officers have the capability of monitoring progress on a continual basis using our performance system called Pentana. Pentana links together all the information from our performance framework (such as the Corporate Plan, Strategies, Team plans and Individual Performance targets). The information contained within the Corporate Plan evolves as actions, projects and performance indicators are completed and new ones are formed.

3.5   Alongside the Corporate Plan sits the Community Plan (Chelmsford Tomorrow 2021). The Community Plan provides a framework for "One Chelmsford" by focusing on areas that require input from a range of partners. The plan looks at joining up services, filling any gaps created by organisations working in isolation and to achieve outcomes and better value for money.
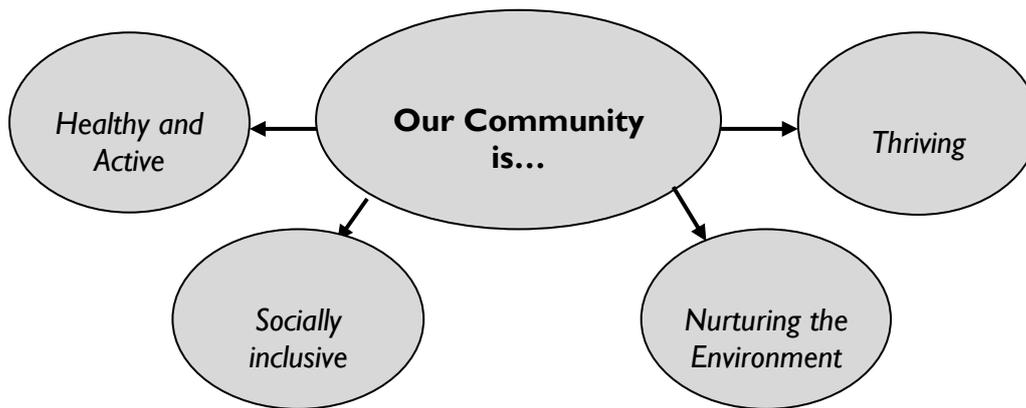
3.6   To communicate the Corporate Plan and vision, we publish our Annual Report and Statement of Accounts, and an annual Medium Term Financial Strategy. We also extensively use our website and newspaper "City Life" to keep residents informed throughout the year.

4.0   Assessment of the Effectiveness of key Elements of the Governance Framework

4.1   We focus on delivering services against the priorities set out in our Corporate Plan. We prioritise where we should allocate resources depending on how appropriate they are for these themes. Risk management arrangements are reviewed to ensure areas of highest risk are mitigated appropriately. The Council has shown that its performance has improved consistently through target-setting and improvements to service delivery.

4.2   We have an overall framework for managing performance throughout the Council. Performance is reviewed and challenged in various ways Examples for this year are as follows and details of what was reported and when can be found in the links in **Appendix A**:

   4.2.1 The latest performance information is accessed via Pentana. This system allows staff to access and update information relating to the progress of actions, projects and performance indicators. All performance reports are automatically generated from Pentana. All risk information for assurance purposes is reported from Pentana to the Strategic Risk Board.

   4.2.2 Directors regularly meet their Cabinet Member to discuss progress against their service plans

   4.2.3 Performance reports are reviewed regularly by Management Team and by the Overview and Scrutiny Committee.

   4.2.4 Directors will regularly meet with the Chief Executive to discuss performance and progress against their action plans.

   4.2.5 PPA (Personal Performance Appraisal) – The overall objective of the appraisal scheme is to help each employee to maximise their performance for the joint benefit of the employee and the Council. It also provides the line manager with a forum to communicate the aims and future direction of the council and service area and to manage the performance of the individuals within their service area.

4.3 The quality of our services is also assessed through satisfaction surveys and customer feedback. Significant examples for this year are set out below and included in **Appendix A.**

4.3.1 Customer Service awards – The Customer Service Award Panel meets every three months to review all the nominations that have been submitted. The panel includes; the Council's Cabinet Member for Corporate Services, the Director of Corporate Services, the Customer Services Manager, the Chief Officer of Chelmsford Volunteering Service and two members of the Citizen Panel. Employees can be nominated for a variety of reasons, including 'going the extra mile' and 'dealing well with a challenging situation'.

4.3.2 Staff Survey – This measures employee engagement and organisation climate indicators and gives an opportunity for an employee to feedback on their experiences of working for the Council to highlight issues they feel should be addressed in the future. This feedback is acted upon and is a tool to support employee engagement which in turn has a direct effect on the community we serve.

4.3.3 Continuous improvement – the Council ensures this by the Corporate Management Team identifying areas of the organisation which could be more effective or benefit from undergoing a review. Directors are responsible for the reviews undertaken within their service areas and report findings from the reviews back to the Senior Management Team before change is implemented examples of which are included in **Appendix A**

4.3.4 Investors in People Gold (IiP) - This was initially awarded in 2014, then reaccredited in 2016 and work is ongoing ahead of the next scheduled reaccreditation in October 2019. It indicates the highest level of achievement in developing staff and continues therefore to create better resources to deliver services to the public.

4.4 Examples of the work undertaken in accordance with the core Cipfa/Solace principles in 2017/2018 are:

4.4.1 Riverside development target – work commenced on site in July 2017 on this significant capital project with a January 2019 completion. External endorsement of the project received from Sport England with a contribution of £1.5m.

4.4.2 Joint working with Epping Forest District Council and Broxbourne Council, through funding provided by Arts Council England, to develop the resilience of the Museum Service; a key delivery objective being the setting up of the Chelmsford Cultural Development Trust.

4.4.3 Successfully being awarded £1.4m contribution from the Heritage Lottery Fund for the £2.2m phase 2 of the Museum redisplay.

4.4.4 Joint working on Arts, Culture and Events strategy with Arts Council England.

4.4.5 Joint working on traveller incursions through membership of the Essex Countywide Traveller Joint Committee with Essex County Council, and a number of other Essex local authorities, the Police and Fire service, for more effective use of resources.

4.4.6 Joint working on council tax recovery data sharing with Essex authorities.

4.4.7 Joint working through the Local Government Association resources to assist with preparation of our approach to increase temporary housing as well as the overall strategy to identify how housing delivery can be improved in the City's area.

4.4.8 Review of the Local Plan, including working with neighboring authorities and other statutory bodies through the 'Duty to Co-operate strategic cross boundary planning issues.

5.0 Roles and Responsibilities for the Development and Maintenance of Our Governance Arrangements

5.1 Our Constitution clearly sets out the roles and responsibilities of the Cabinet (Executive), Committees approved by full Council and other bodies where Councillors have a decision-making role. The Executive functions are the responsibility of the Leader of the Council who has adopted a scheme that most decisions will be taken by the Cabinet and no individual responsibilities have been granted to individual Councillors.

5.2 The Constitution also sets out officers' responsibilities for operational and financial matters. Financial Rules that form part of the Constitution define the financial responsibilities. There is a comprehensive scheme of delegating functions to officers, which sets out the scope of delegation and any restrictions.

5.3 The various Codes of Conduct for Councillors and officers and the Councillor/Officer Protocol ensure that roles and responsibilities are defined and understood. The protocol describes and regulates the way Councillors and officers should work together effectively.

5.4 Following the major review of the Constitution which was concluded in 2016/17, some minor changes and additions took place in 2017/18, namely;

5.4.1 Council Procedure Rules – Paragraph 4.1.13.7(c) (Speaking more than once)
5.4.2 Part 3 -Audit Committee Terms of Reference
5.4.3 Part 3 – Regulatory Committee Terms of Reference
5.4.4 Practice Note – Failure to attend meetings
5.4.5 Practice Note - Independent Persons Protocol

5.5 Approval of the changes were discussed with the Cabinet and Governance Committees before being agreed at Full Council. Details of the approval process is captured in **Appendix A.**

5.6 The roles and functions of the key officers and Committees responsible for Governance monitoring are set out in Part 3 of the Constitution. Details can be accessed ***here*.**

6.0 Core principle A: Behaving with Integrity, Demonstrating Strong Commitment to Ethical Values and Respecting the Rule of Law

General Principles

6.1 Following the major review of the Council's Constitution in 2016/17 there were only minor changes required in 2017/18. Those changes introduced were considered by Councillors at various stages before formal adoption by Full Council. All these changes directly address the way in which Councillors and Officers are expected to behave and are available through the Council's website for easy access to those engaging with the Council. This ensures that the

rules under which the Council operates are up to date and reflect the latest legislative provisions.

6.2   We aim to ensure that Councillors and senior officers have the skills, knowledge and capacity they need to fulfil their responsibilities. We recognise the value of well trained, competent people in effective service delivery as employees play an important role in delivering change. Our People Strategy and associated Workforce Development Plan, which ensures we have those people, are linked to and integrated with our vision and priorities for the future, as set out in our Corporate Plan.

6.3   The Terms of Reference for all member Panels and Committees have been included in the Constitution. This reflects the importance placed on transparent decision making. Examples are:
    6.3.1   Museum Lottery Bid Project Board
    6.3.2   Riverside Redevelopment Project Board
    6.3.3   Community Infrastructure Spending Panel
    6.3.4   ICT Strategy Board
    6.3.5   Mayoral Working Group
    6.3.6   Civic Centre Panel
    6.3.7   Leader's Property Panel

Councillors

6.4   We regularly communicate these changes and particularly those related to Councillor's conduct to ensure they are understood. In 2017/18 examples of the briefings provided and the dates changes were introduced though formal adoption procedures are contained in **Appendix A**.

Councillor Development

i) As part of the Council's agenda to keep members fully informed of ongoing planning developments in the City, City tours are organised for members as appropriate.
ii) Group leaders are consulted as part of the training needs analysis exercise.
iii) Political groups have a primary role in encouraging the talent of new Members, in particular encouraging representatives from all sections of the community to stand for election as Councillors.
iv) Details of development events and activities are circulated to Councillors during the year, supplemented by online resources and e-learning modules. These include in house courses such as Ward Leadership, Working with the Media, Community Champions and Chairing skills as well as Local Government Association programme of events.
v) Councillors are offered one-to-one support and a 'quick-fix' helpline for Digital Services, alongside appropriate committee training to enable them to fulfill their civic duties.
vi) Councillors who serve on Committees receive training that is specifically geared to their role on those Committees.
   a) Members who are part of the Overview and Scrutiny Committee also have the opportunity to be part of a 'task and finish' group, where they get a more detailed insight into key topics and the workings of the Council.
   b) Members of the Audit Committee have chosen specific subjects e.g. internal audit in which they specialised by being allocated to an officer who provided the appropriate training.
vii) New development sessions are also being explored and appropriately tailored to meet the needs of the first time elected Councillor.

> viii) Councillors receive regular updates on legislative and policy changes through "inform and debate" sessions of the Committee.
> ix) Ongoing training records for Councillors are maintained and reported as appropriate.
> x) The Council's Governance Committee is responsible for the duty in the Localism Act 2011 to promote and maintain high standards of conduct by members as well as managing the local standards regime overseeing the Council's arrangements for dealing with complaints and advising the Council on any requirements to help improve these areas. In 207/18 no recommendations were required in relation to Councillor development.
> xi) A task and finish group was formed to look into Member Development. The relevant recommendations and report from the group can be found on our website.

Officers

6.5 Our Workforce Development Action Plan and Learning and Organisational Development Strategy both ensure that employees have opportunities to develop their skills and knowledge to keep up-to-date with the changing requirements of the Council and their role.

6.6 The Council's People Strategy and Workplace plan sets out the Council's plans on how it should creatively use its employees to meet its vision for the future of the city of Chelmsford, linking with the Council's Corporate Plan. It is recognised that all the Council's services are provided directly and indirectly through its employees in order to meet the strategic vision for the future. The Council must be able to recruit the right people with the right attitude, skills and expected behaviours to the right jobs, at the right time and at the right cost to enable delivery of excellent services in our community.

6.7 The Council has in place a set of values known as the Chelmsford Behaviours. These complement the Codes of Conduct and create a strong ethical framework for staff. These behaviours are reinforced for all managers attending the Managers of Chelmsford Tomorrow programme. Our appraisal framework is underpinned by our behavioral framework which sets out the standards of behaviour that is expected of all staff under the headings of communication, attitude, performance, fairness and adaptability.

6.8 The Council is fully committed to the elimination of unlawful and unfair discrimination and values the differences that a diverse workforce brings to the organisation. The Council aims to create a work environment where everyone is treated with dignity and respect. The Council has established an Equality and Diversity Champions Group to support the achievement of the Council's equality and diversity objectives and enable equality and diversity to be embedded within Service activity. All staff are encouraged to attend learning events to enable an understanding of equality, diversity and inclusion. The Council's website page sets out our responsibilities and priorities under equality and diversity and the Council's intranet provides appropriate guidance and resources for all employees.

New Starter Induction

6.9 Before commencing employment a successful applicant is required to read and sign key documents including the following:

6.9.1   Code of Conduct for Employees
6.9.2   Corporate Information Security Policy
6.9.3   Safeguarding Induction Booklet
6.9.4   Financial Rules
6.9.5   Whistleblowing Policy

6.9.6   Anti-Fraud and Anti-Corruption Policy

6.10   The Council acknowledges that most of its employees can be relied on to conduct themselves in an exemplary manner, irrespective of formal rules. However, in a large organisation such as the Council it is necessary for there to be a formal document in force which identifies conduct which is unacceptable to the Council as an employer; indicates the likely consequences of such conduct and provides a framework for managers and employees that helps ensure that the required high standards of job performance and conduct are met and maintained.

6.11   The Council is committed to promoting the welfare and protection of vulnerable people and has a well-developed Safeguarding Policy. Disclosure and Barring Service checks are in place for eligible roles to ensure that the right people are hired and to minimise the risk to children, young people and vulnerable groups.

Officer Development
i)   We have an induction process that is continually reviewed to ensure it remains fit for purpose. A recent review has been concluded which provides managers with specific guidance to ensure employees receive a consistent and comprehensive local induction to the service and their role. The outcome of this change provides a more holistic approach to the induction process, moving away from the 'checklist' approach.
ii)   A new onboarding intranet page has been introduced to enable new appointees to gain greater understanding and the context in which they will be contributing prior to taking up their new position with the Council.
iii) We are continuing to send our officers on the 'Managers of Chelmsford Tomorrow' (MCT) development programme which is devised to support employees in developing their management and leadership skills.
a) The Council recognises that it is important that employees are equipped with the skills to effectively deal with change. MCT programme includes a specific module on change management. The module provides employees with skills and techniques for use when implementing change.
b) To date about 180 staff have gone through the course. The programme is now open to all officers, enabling non–managerial staff with management potential to participate
c) The Council's top management team have also gone through an adaptation of the 'Managers of Chelmsford Tomorrow' development programme.
d) We have introduced an Advanced MCT programme which builds on the foundation course and offers a much deeper understanding of the techniques covered at the foundation stage alongside new learning. Participants are awarded the NLP Business Practitioner Certificate on completion. We now have a set of qualified NLP Business Practitioners who act as internal coaches across the authority.
e) The learning and development (training) budget is held by Human Resources Department and each director is asked to provide details with estimated costs of their essential training needs including Health and Safety mandatory training and training identified through the service plan and the PPA process. These proposals are then presented to Management Team for approval

7.0 **Core Principle B: How We Ensured Openness and Comprehensive Stakeholder Engagement with Individuals and Institutions**

Ensuring Openness

7.1 As referred to in the section above the Council's methods and processes for taking decisions are set out in its Constitution, and adopted plans and Strategies. However, these need to change over time to remain relevant. The review of the Constitution has improved the transparency of decision making by simplifying the structure, the use of plain English, greater consistency and introduction of Practice Notes to provide greater explanation and clarity.

7.2 The review of the Council's website was predicated on the need to improve the user experience and was based on the change to mobile device access, which requires the information to be displayed differently. This process was completed on 6th February 2017. Progress on the shift to mobile devices has been measure against the 2015 performance as a baseline.

7.2.1 In 2017, 61.5% of visitors accessed our website on mobile devices compared to 48.2% in 2015.

7.2.2 In 2017, for the first time, smartphones became the main device for accessing our website.

7.2.3 This trend is continuing and for the first 6 weeks of 2018, access on mobile devices is 64.5%, with smartphones now accounting for over half of all visitors.

Year	Desktop	Smartphones	Tablets	Total Mobile
2015	51.8%	31.0%	17.2%	48.2%
2016	47.2%	37.7%	15.1%	52.8%
2017	38.5%	47.3%	14.2%	61.5%
2018	35.6%	51.2%	13.2%	64.5%

How do we engage with our stakeholders?

7.3 The above changes for accessing our website is part of a wider aim to involve local people in shaping their area and the services they receive. Informing, consulting and working closely with residents is one of the key ways we interact with and involve local communities, giving them opportunities to gain a greater awareness and understanding of what the Council does, voice their views and influence Council decision-making. Consulting and involving residents is also vital in maintaining high customer satisfaction levels and strong democratic processes, empowering individuals and developing citizenship.

7.4 The Council has an established Consultation and Engagement Strategy. It guides our staff when they consult and engage with local communities, and is accompanied by a toolkit for staff, providing practical information to help and guide them when involved in activities aimed at encouraging participation in Council work. Examples or how this is implemented are:

7.4.1 Community events - The Council organises a programme of these throughout the year to engage with all groups of the community, promote the work of the Council and signpost residents to relevant support and services. Events involve a wide selection of groups from the public and business communities and examples appear in **Appendix A**.

7.4.2 "The 3 Foot Festival" and "The Fling Festival" – These unique Chelmsford events enjoy long running popularity and in summer 2017 attracted 13,554 and 3,100 visitors respectively. The festivals in 2017 were operationally much more successful than in 2016, although attendances and income were slightly lower than the previous year. New processes, along with a new management structure were introduced in 2017 following an audit of the 2016 festivals. The audit made a number of recommendations, all of which were implemented.

7.4.3 We are Chelmsford' (WAC) event – The Council has organised these annually since 2013, when the idea was first suggested by Managers of Chelmsford Tomorrow Cohort group 14.

i) The event aims to strengthen and promote a unified brand of Chelmsford City Council to residents and staff.

ii) It celebrates the excellence of Chelmsford with Chelmsford City Council. It has always operated as a market-style event in the High Street where there is the opportunity to engage passers-by and share information with people that may otherwise be difficult to reach.

iii) In addition to the information market stalls, a number of activities were organised to coincide with the event.

iv) After a review in 2017, it was agreed that the High Street presence was not really engaging with a sufficient number of the public when compared to the resources and staff time involved across the organisation. Therefore, for this year's WAC, a number of exclusive or behind the scenes tours, activities or talks have been arranged along with an improved online presence as opposed to a High Street presence. In addition, the focus is to make it more inclusive of other organisations and companies who are as much part of Chelmsford as the Council.

7.4.4 Citizens' Panel and Youth Panel - The Council has an established process for consultation through their use, but was identified in the Annual Governance Statement for last year as being in need to review.

i) The Citizens' Panel currently has over 600 members and the Youth Panel, which is for 14-18-year olds, has approximately 300 members.

ii) For each, panel members receive newsletters updating them on achievements, issues and developments affecting both the Council and the wider Chelmsford area.

iii) Panel Members have also been sent opportunities to take part in consultation activities, through surveys, and become more involved with the workings of the Council such as opportunities to become panel members for the Customer Service Awards Scheme.

iv) The work and engagement with the panels has been reviewed by a Task and Finish Group of the Overview and Scrutiny Committee. The final report was submitted in June 2016 to the Overview and Scrutiny Committee. It was agreed by the Committee that the Youth Panel be disbanded as it had been demonstrated that it was no longer viable in its existing format, and that other ways of engaging with younger residents through other established groups should be explored. It was also agreed that with regard to the Citizen's Panel, that significant structural and operational changes be made. It was agreed to relaunch this to both the public and internally, with a new name and an agreed programme of consultations.

v) Following the Task and Finish Group the following changes have been implemented:

a. The Youth Panel has been disbanded and a new youth consultation structure in development. This sees a member of the Marketing, Engagement and Event Team working with council services to run meaningful and effective consultation to Chelmsford's younger generation. A trial consultation was run with Chelmsford Museum re the ongoing development. A secondary consultation with a new service area is currently being organised to further develop the scheme.

b. The Citizen Panel continues to run and now operates with a quarterly newsletter. This provides members with information on all upcoming consultation and how to get involved. Additionally, the annual meetings are currently being explored with the plan to re-launch during 2018.

7.5   We work closely with Parish/Town Councils in a bid to improve relations and cross-tier working. A quarterly newsletter for Parishes is produced and circulated electronically. The content of the newsletter has recently been improved. A Parish Charter has been adopted by 18 of the 26 Parish Councils. The Monitoring Officer continues to provide guidance for Parish Councils on the standards regime. For example:

7.5.1   The guidance issued in relation to the Code of Conduct for Councillors, referred to in paragraph 5.5 (ii), was specifically drawn to the attention of all Town and Parish Council Clerks before these were considered by the Governance Committee and afterwards.

7.5.2   Working with Parish Councils to investigate complaints prior to determinations being made.

7.5.3   The Council organises a Parish and Town Council Planning Forum where a number of presentations have been held in relation to how the planning process works as well as on the review of the Council's Local Plan policies.

7.5.4   The Council organises annual presentations to Parish and Town Councils in relation to parking and highways. These are occasionally delivered in partnership with Essex Highways officers.

Partnerships and Joint Working Arrangements

7.6   We work extensively in partnership with other organisations and agencies, and currently we classify six partnerships as 'significant' in terms of their strategic importance to the Council as they help us achieve the Corporate Priorities. Their progress is reviewed regularly and scrutinised annually by the Overview and Scrutiny Committee. These six significant partnerships are:

7.6.1 One Chelmsford Partnership (a merger of the Chelmsford Partnership and the Safer Chelmsford Partnership)

7.6.2 South Essex Parking Partnership – This was reviewed and extended to allow for the delegation of additional powers to agree the making of Traffic Regulation Orders and the re-allocation of contingency funding to assist with that work.

7.6.3 Essex Waste Partnership

7.6.4 Chelmsford Local Delivery Mechanism

7.6.5 Essex Online Partnership

7.6.6 Mid Essex Children's Partnership

7.7   A Protocol for Partnership Working and an accompanying checklist cover key aspects of governance arrangements that need to be satisfied when the Council enters into a new partnership working arrangement. These include having adequate and documented financial, risk, legal, performance, and audit arrangements in place, as well as ensuring that that covers many areas such as roles and responsibilities, decision-making and communication.

7.8   The council also aim to work closely with other Essex authorities wherever appropriate. In addition to key partnerships mentioned above, during 2017/18 the Council continued to take an active part in the following joint projects:

7.8.1 An Essex-wide data matching agreement was completed. Data sets from individual Councils are being shared to identify any inconsistencies mainly through Council Tax, to reduce the discounts claimed improperly. As at February 2018, £183,000 of improperly claimed discounts across Essex have been identified.

7.8.2 The Council Tax Sharing agreement between Essex Billing and Major Precepting authorities that was completed in 2014/15, continues to operate allowing the partners to share the costs of discretionary Council Tax discounts and fund schemes that aim to maximise the Council Tax income collected.

How We Enhance Accountability for Service Delivery and Effectiveness of Other Public Service Providers

7.9   Chelmsford City Council has a role in improving public health and reducing health inequalities. It carries this out through a local strategic partnership (One Chelmsford), Chelmsford Health & Wellbeing Group and by fully engaging with Mid Essex Clinical Commissioning Group and Essex County Council's public health team. Whilst Chelmsford City Council has an important role to play the statutory duty for public health rest with Public Health England and Unitary or County Councils.

7.10   Chelmsford City Council has a duty of care under section 11 of the Children's Act 2004 to safeguard and promote the welfare of children and young people. Moreover, it has a duty under section 47 of that Act to cooperate with Essex County Council in discharging its safeguarding duties as a Children's Services Authority through the Essex Safeguarding Children's Board. The Council works closely with the Essex Safeguarding Adults Board to ensure that adults who live in the Borough, or receive local services, are safe from harm and are not subjected to exploitation or abuse.

7.11   The Council continues to refresh its Safeguarding Policy and related documents at least annually. Regular training is being provided to staff and Councillors on an ongoing basis. A dedicated safeguarding section has been created on the intranet for both staff and Councillors and it contains all the relevant documents, forms and information in one place.

7.12   The City Council is now required annually to complete online a self-assessment audit. As a result of the 2017/18 submission, work continues on a new action plan to refresh our current arrangements and make further improvements over the next 12 months. This plan was approved by both Safeguarding Boards.

8.0 **Core Principle C: How We Defined the Outcomes Required and Clarified the Sustainable Economic, Social and Environmental Benefits We Expect to Deliver**

Corporate Plan & Community Plan

8.1 The Corporate Plan sets out the fundamental principles as to how the Council will operate and, under the Community Plan, how these are applied in the wider context.

Local Plan Review

8.2 The Council has embarked on a review of its adopted Local Development Framework. The emerging new Local Plan, which covers the period up to 2036, is subject to widespread public and stakeholder consultation. The Council's Development Policy Committee will continue to make the planning policy key decisions as the Local Plan moves forward to eventual adoption by Full Council. Further details of the new Local Plan and its progress can be found here.

Ensuring Effective Arrangements for the Delivery of Infrastructure

8.3 The Council approved the basis for assessing applications for use of Community Infrastructure Levy funds. The procedures for allocating and spending the Community Infrastructure Levy funds can be found here.

8.4 The form for the agreements used for ensuring delivery of infrastructure under section 106 of the Town and Country Planning Act 1990 was reviewed this year and a new and simpler template document has been introduced, which developers have already indicated is an improvement in terms of clarity. This will streamline the preparation and completion of these documents in future and make better use of resources as well as swifter release of planning decisions.

Working with other agencies

8.5 As referred to under Principle B we work closely with Partner agencies within the Chelmsford area, utilising the skills and resources of the combined agencies to deliver in an effective and efficient way. Examples of the agencies with which we have had close working relationships are:

8.5.1 Government Departments and Agencies, such as:
  i) Sport England – Riverside Leisure Centre Project
  ii) Environment Agency- Flood Alleviation Scheme
  iii) Heritage Lottery Fund – Museum "No Borders" Project

8.5.2 Essex County Council - to deliver the required highway infrastructure improvements for the City Centre such as:
  i) The Riverside Leisure Centre Development;
  ii) Improvements to Mill Yard and the area surrounding the Chelmsford Railway Station utilising South East Local Economy Partnership funding;
  iii) Delivery and improvements to the two Park and Ride facilities in Chelmsford;
  iv) The Beaulieu Park redevelopment and the wider infrastructure requirements;
  v) Consultation as regards the review of the Local Plan
  vi) The process for allocating Community Infrastructure Levy funds

8.5.3 Other Local Authorities eg:

>   i)   Museum "No Borders" Project with Broxbourne Borough Council and Epping Forest District Council, including joint funding bids to develop local museum strategies;
>   ii) Management of Traveller Incursions through a Joint Committee with 12 other agencies including 10 Essex Councils as well as the Fire Service and Police.

> 8.5.4 Other Organisations eg:
>   i)   Abellio Greater Anglia as occupier of the land and organisation running the Facilities at Chelmsford Railway station and Network Rail as land owners
>   ii) Landowners and developers, related enabling development through property transactions such as, The Marconi and Chelmer Waterside sites.

9.0   Core Principle D: How We Identified and Established the Actions necessary to Ensure We achieved the Intended Outcomes, Planned for Them and Made Sure We Achieved the Optimum Results

9.1   The Council establishes and monitors progress of key projects through the use of programme plans. There is also a co-ordinated assessment of how the key objectives have been achieved as well as monitoring risks and taking action to address these. A number of Advisory Panels have been established involving Councillors as well as key officers, to advise on progress and risks, to ensure decisions required are reached in accordance with project plan timelines. The Terms of Reference for those formally established are set out in Part 3 of the Council's Constitution. Examples of those where work has been ongoing in 2017/18 or have recently been established are shown in **Appendix A.**

9.2   Where appropriate there are formal agreements between the agencies to ensure that all aspects of the joint working are appropriately addressed, for example the Mill Yard project funding agreement.

10.0   Core Principle E: How We Developed the Capacity and Capability of our Organisation to Deliver the Required Outcomes

10.1   Where the Council lacks the skills or capacity to deliver projects assistance has been brought in. This is with a view to the transfer of skills where possible such as with the Digital Strategy details of which were set out in the Full Council report in May 2017. In other cases, consultants have been appointed, such as to:

10.1.1 Provide the design and project management for the Riverside Leisure Centre development;

10.1.2 Prepare the paperwork and strategy for the changes to the Chelmsford Museum;

10.1.3 Prepare the designs and options for the acquisition of modular units.

11.0   Core Principle F: How We Manage Risks and Performance through Robust Internal Controls and Financial Management

Fraud, Internal Audit and Risk Management

11.1   The Internal Audit function produces an annual plan which identifies key strategic and operational risks facing the Council and sets out a programme of work designed to provide assurance to the Section 151 officer, Management and Members that the Council complies with relevant laws, regulations, internal policies and procedures. All internal and

external audit reports are available to the Audit Committee. The Chief Assurance Executive reports quarterly to Audit Committee.

11.2   In line with the Public Sector Internal Audit Standards (PSIAS) and the CIPFA Statement on the Role of the Head of Internal Audit, the Chief Assurance Executive is required to provide an independent and objective, evidence-based annual audit opinion which will conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and internal control, based upon;

- A summary of internal audit work carried out, including reporting on the adequacy of the Council's control environment relating to the prevention and detection of fraud and corruption.
- Follow up on the implementation of recommendations
- Any significant governance issues
- The annual review of the effectiveness of Internal Audit

11.3   During 2017/18, the Chief Assurance Executive was appointed in November 2017, following the departure of an Interim Chief Assurance Executive who was in post April to September 2017. The Internal Audit Service was delivered by an in-house team and independent consultant. The overall annual audit opinion and full summary of the work that Internal Audit has undertaken during the financial year 2017/18, which provides detail on the high risk and priority issues which could impact on the effectiveness of the Council's system of internal control during 2017/18, will be provided in the Annual Report at the June 2018 Audit Committee.

In summary, in forming the annual opinion on the Council's control framework, risk and governance arrangements, the Chief Assurance Executive has had to take in to account various factors at play during 2017/18, such as:

- the impact of resourcing constraints on full plan delivery

- the concern that the audit plan prior to November 2017 was not delivered on a PSIAS compliant basis

- the concern that the 2017/18 audit plan did not fully focus on the Council's highest risks

- the limitations of historical knowledge prior to November 2017

However, on balance, whilst these factors must be taken in to account when placing reliance on the opinion, based solely on the audit work undertaken for the year ended 31st March 2018, it is the Chief Assurance Executive's opinion that the adequacy and effectiveness of the Council's arrangements is: Moderate Assurance. Overall the Council's systems for control, risk and governance are generally adequate with some improvement required.   Medium risk rated weaknesses identified in individual assignments are not significant in aggregate to the system of internal control, high risk rated weaknesses identified in individual assignments are isolated to specific system or processes, and none of the individual assignment reports have an overall classification of critical risk. This opinion has been derived from consideration of the detail in the Annual Report. This is also in line with the "acceptable" opinion provided by the Interim Chief Audit Executive in 2016/17. In addition, External Audit's Annual Audit letter for 2016/17 provided the Council with an unqualified audit opinion on the financial statements and an unqualified value for money conclusion.

11.4   All planned audits from 2017/18 will be scheduled for follow up reviews to ensure that management action plans for implementation of agreed audit recommendations have been fully implemented within agreed timescales. This will provide departmental management teams, Strategic Risk Group, Management Team and the Audit Committee with a direction of travel in the internal control environment across the Council and areas where further improvement is required.

11.5   The roles of internal and external audit complement each other. Both are concerned with the Council's control environment and both use an objective, risk based approach in reaching their conclusions.

11.6   The Council employs an Accredited Financial Investigator who has been successful in assisting this and other councils in recovering money through the use of the Proceeds of Crime Act 2002.

11.7   Pentana, the integrated performance, risk and audit application has been used across the organisation since April 2013, for monitoring audit recommendations, risk information and some projects.

11.8   To maximise the effectiveness of the application and reflect the change in working practices the Risk Management Strategy has been revised and was approved by the Audit Committee on May 2016. The strategy updated the arrangements for the Strategic Risk Board and the working relationship with business continuity, information governance, property risks and internal audit, which is currently being applied.

Monitoring for fraud, corruption and maladministration

11.9   We have the following policies that aim to prevent or deal with such occurrences. Examples are set out in Appendix A as to how and when such issues are considered by Councillors and officers:

11.9.1   Anti-fraud and Corruption Strategy

11.9.2   Whistleblowing Policy

11.9.3   Human Resources policies regarding disciplinary measures for staff involved in such incidents, and

11.9.4   Fraud Response Plan for managers.

11.10   The AGS for 2015-16 identified the need to review the Council's Whistleblowing Policy and Procedure. This has now been completed and was approved by the Governance Committee in June 2017.

Using Complaints Procedures to Identify Performance Concerns

11.11   The Council has well-established Whistleblowing as well as Comments, Compliments and Complaints schemes. Details of these are accessible on the Council's website and can be viewed _**here**_. All these help us to assess whether there are any fundamental issues with the way the Council is operating. No major issues were identified in 2017-18 and the reports to the Governance Committee identified in **Appendix A** show that:

11.11.1   The Local Government Ombudsman's Annual Report indicated no issues of concern.

11.11.2   13 complaints against City and Parish Councillors were received under the Code of Conduct for Councillors, and all were addressed without the need for a formal investigation.

11.11.3   Of the 16 complaints received through the Whistleblowing Procedure.
i) Several were service complaints
ii) Some were not within the statutory responsibilities of the Council
iii) Those which were whistleblowing complaints were investigated internally or externally as appropriate and one remains under investigation.

How we effectively manage our performance and the Council's approach to ensuring Robust Internal Controls

11.12   Details as to how we do this are captured in earlier parts of this AGS.

Managing Data

11.13   The Council has established Policies for dealing with Freedom of Information, Environmental Information and Data subject requests. The processes for dealing with them are included on the Council's website and there is a dedicated team that deals with requests and also complaints as regards Data Handling. 722 requests were dealt with during 2017/18 and 24 data breaches were identified. *Figures collected 12/02/18

11.14   The Council's website was altered to provide a more user-friendly experience for those accessing information via mobile phones or tablets. The Council is one of only 36 nationally that has been awarded 4 stars by SOCITM for it's ease of use of its website on mobile devices and for general accessibility. This is the first time we have achieved this standard and we were one of only 7 out of 93 redesigned sites to get a 4-star rating. In addition, under SOCITM's Better Connected scheme our website also won:
• Best UK Council Website for 2017
• Best Shire Council Website for 2017
• Best for Building Control 2017

11.15   The council agreed a new Digital Strategy in May 2017. Since this has been agreed the Council has begun it's transformational approach. We have successfully migrated email and staff working data into the Microsoft Cloud (based in the UK). This has delivered us granular security and allowed councilors and officers to access their documents and emails outside of the council building rather than sending work home via personal email. During 2018/19 we will be migrating more shared data and building our CRM solution to allow us more control over documents and personal data. GDPR compliance will form a big part of the council data strategy for this year.

Strong Public Financial Management

11.16   Our Financial Rules provide a concise set of principles to encourage the intended users to act in an empowered and accountable way when conforming to the rules. To ensure that the principles defined by the Financial Rules could be fully understood, we publish a set of practice notes to provide further guidance. They focus on various areas of Financial Management processes including the following:

11.16.1 Assets control and security
11.16.2 Fraud and Corruption
11.16.3 Preparation of Budget
11.16.4 Purchase Ordering and Invoice Payment
11.16.5 Budgetary Control
11.16.6 Insurance and Risk Management

11.16.7 Contracts, External Partners and Third Party Working
11.16.8 Income and Debt Management

11.17   We have established a financial planning process including a Medium Term Financial Strategy, the preparation of a robust budget including a review of balances, and a reporting system of controlling spending against approved budgets.

11.18   We regularly review our financial systems, rules and risk arrangements to make sure they meet our needs and comply with best practice. We present regular reports to the Audit Committee on the work of Internal Audit, revenue and capital monitoring, risk management and the annual report and Statement of Accounts.

11.19   Containing spending within the allocated budget is a high priority for Directors and managers when managing performance. The Council has a rigorous revenue-monitoring process. Management Team and Cabinet Members are given a detailed monthly report, and a quarterly report is presented to the Audit Committee.

11.20   Our purchasing process identifies opportunities for better use of resources. The process is designed to encourage competition and ensuring compliance, giving a better deal for us and our purchasing partners.

12.   Core Principle G: How We Implemented Good Practice in Transparency Reporting, and Measuring How We Delivered Effective Accountability

Implementing Transparency and Good Practice in Reporting

12.1   The Council complies with all legislative requirements in terms of publishing notices of executive key decisions to be taken and the Cabinet agendas in which the details are set out for Councillors to take these. The definition of "key decisions" are contained in Part 2 - Article 14 of the Council's Constitution.

12.2   Where such decisions are taken by officers, these too are documented and the Notices of the Decisions taken are published on the Council's website. The processes for recording decisions have recently been review and a new streamlined process will be in operation soon. Occasionally decisions need to be taken urgently and the Chief Executive or in their absence the relevant director is authorised to do so under the Officer Scheme of Delegation in Part 3.4 of the Constitution. In such cases the procedures for taking these are included in the Executive Rules in Part 4.4 of the Constitution.

12.3   As regards, Full Council functions and decisions, a number of Committees have been established, the terms of reference for which are set out in Part 3 of the Constitution and where officers have been authorised to take these decisions, the terms for doing so are set out in the Officer Scheme of Delegation.

12.4   Template reports are available and used to ensure that any matter requiring approval at Committee identifies the legislative and legal issues that need to be addressed. Legal and Democratic Services are required to be consulted in the preparation of all reports and for executive decisions they are also considered by the Council's Chief Finance Officer, Monitoring Officer and Director of Corporate services before they are published to ensure compliance with all legal and governance requirements.

Assurance and Effective Accountability

12.5   At least once a year we are responsible for reviewing the effectiveness of our governance framework, including the system of internal control. The review is informed by the following:

   12.5.1 Managers in the Council who are responsible for developing and maintaining the governance environment and include the Chief Finance Officer and Monitoring Officer.

   12.5.2 They meet regularly to monitor and where necessary review actions required under the Code of Corporate Governance and Annual Governance Statement.

   12.5.3 The work of the internal auditors, and

   12.5.4 Comments made by the external auditors and other inspection agencies.

12.6   The process listed below has been applied to maintain and review the effectiveness of our governance framework during the year and has been used as the evidence base for this AGS.

   12.6.1   **Cabinet** - The Cabinet is responsible for monitoring overall financial and performance management and receives comprehensive quarterly reports about this. It is also responsible for monitoring the Corporate Plan's critical performance indicators and key projects, and completes this quarterly: details as to when this occurred appear in **Appendix A**.

   12.6.2   **Overview & Scrutiny Committee** - There is a well-supported Overview and Scrutiny Committee with a work programme for the 12 months ahead and reviewed at each meeting of the Committee. A report on the work of the Committee is produced each year. Those addressed in 2017/18 are shown in **Appendix A.**

   12.6.3   **Governance Committee** - The Committee has met regularly during the year and received reports on a wide variety of issues as identified in **Appendix A**. Of particular note are:
   i) The need for an Independent Person Protocol, to explain their roles and responsibilities and how they will be involved in the Standards Regime work. This was addressed by the Governance Committee in October 2017, when a protocol was agreed and published as a practice note to the Constitution.
   ii) The Committee received regular reports from the Monitoring Officer to ensure lawful decision-making and high ethical standards. Of specific note are that:
   a) 13 complaints were received under the standards regime in 2017-18, none of which required formal investigations. The reporting on the outcomes are shown on the Council's website *here* and in **Appendix A**.
   b) The Committee also received an annual report on Whistleblowing and the review of the Policy and Procedure was considered by its meeting in June 2017.
   c) The Council was assessed for compliance with the Regulation of Investigatory Powers Act in 2016, which is done every three years. The outcome was reported to the Governance Committee and the minor recommendations have either already been addressed or are in hand.

d) The Annual report was made on the Committee's work by the Chairman to Full Council and means that all the Committees responsible for monitoring the Council's governance continue to report annually to Full Council.

12.6.4 **Audit Committee** - The Committee met regularly during 2017/18. The Committee monitored budgets and the work of Internal Audit and deals with issues such as risk management, financial control systems and the relationship with external audit. The Committee received various updates including the following topics:
   i) Risk Management
   ii) The Annual Internal Audit Report
   iii) Review of the Audit Committee's terms of reference
   iv) Annual report on Fraud Investigations
   v) Audit Charter
   vi) Internal Audit Strategy
   vii) Anti-Fraud and Corruption Strategy
   viii) External Auditor's Annual Audit Letter for the year ending 31 March 2017

12.6.5 In accordance with the Chartered Institute of Public Finance and Accountancy's (CIPFA) recommended practice an annual report on the work of the Audit Committee was submitted to Full Council.

12.6.6 The Chief Financial Officer makes regular reports to Cabinet and the Audit Committee on the state of our finances, the budget process, monitoring of expenditure against budget, the medium term financial forecast and the annual report and statement of accounts. He also presents other financial reports as necessary and therefore has the opportunity to add financial considerations to any reports.

12.6.7 **Internal Audit & Performance Management** - Internal Audit provides an independent and objective assurance service to Council management. It completes a programme of reviews throughout the year to provide an opinion on internal control, risk management and governance arrangements. Investigations is also responsible for fraud investigation and detection, which includes reviewing the control environment in areas where fraud or irregularity has happened. Any significant weaknesses that Internal Audit identifies in the control environment are reported to senior management and the Audit Committee.

12.6.8 Performance Management monitors Critical Performance Indicators. Reports are presented to the Management Team monthly and to Cabinet, and Overview and Scrutiny Committee every quarter. Directors meet the Chief Executive regularly to discuss performance and progress against their action plans.

12.6.9 The assurance framework data is stored and reported through Pentana the Performance, Risk & Audit system that was purchased in 2013. The risk element to the system has been extended to include operational risk management for key activities, such as fire risk assessments, business continuity recommendations and health & safety audit recommendations that are identified by external specialists. Also, information management security breaches are recorded and mitigation managed through Pentana including report production for Strategy Risk Board.

12.7 The year-end review of governance arrangements and the control environment also included the following:

12.7.1   Obtaining assurance from the Chief Financial Officer under section 151 of the Local Government Act 1972 that he is content with information that all managers of key financial systems have given him about the adequacy of existing systems.

12.7.2   Reviewing external inspection reports received during the year and reviewing the compliance with the Public Sector Internal Audit Standards (presented to the Audit Committee on 21st June 2017 by Interim Chief Audit Executive and in March 2018 by new Chief Assurance Executive).

12.7.3   Reviewing comments received from our external auditor on last year's AGS.

12.7.4   Our financial management arrangements conform to the governance requirements of the 2016 CIPFA Statement on the Role of the Chief Financial Officer in Local Government.

12.7.5   Appendix A provides a more comprehensive listing of key governance processes and events that took place during 2017/18.

12.8   **External Auditors Qualification**

12.8.1   In the Audit Results Report, for 2017/18 the External Auditors reached a qualified conclusion upon whether the Council had provided value for money as a result of a number of weaknesses in the Digital Transformation programme. The programme was reviewed in December 2017 and Operational and Governance arrangements were strengthened to overcome the weaknesses identified.

13.0   Targets for Improvement

13.1   The main improvements made to governance arrangements in 2017/18 are captured in **Appendix B.**

13.2   The following governance issues have been identified to be addressed in 2018/19:

Important areas of governance for 2018/19
i)   Ensuring compliance regarding the governance arrangements for the Riverside Ice and Leisure Centre redevelopment.
ii)   Ensuring compliance regarding the governance arrangements for the Digital Transformation.
iii)   Ensuring compliance regarding the governance arrangements for the new Local Plan.
iv)   Ensuring compliance regarding the governance arraignments for the changes in Housing Services.
v)   Ensuring compliance regarding the governance arrangements for the Museum redevelopment.

14. **Certification**

To the best of our knowledge, the governance arrangements, as defined above, have been effectively operating during the year. We did not find any matters that needed addressing during our review other than those that were previously identified and have been progressed.

Signed…………………………………………………………………………
    Leader of the Council

Signed…………………………………………………………………………
    Chief Executive

Signed……………………………………………………………………………
    Interim Director of Financial Services

Date: 2018

2017/18 Calendar of key Governance events

| May 2017 | **Annual Council –** |
| | • Digital Transformation Strategy |

June 2017 — **Overview & Scrutiny Committee –**
- End of Year Key Performance Report 2016-17
- Annual Report on the Scrutiny Function 2016-17
- Decisions taken under Delegation to the Chief Executive

Joint Audit & Governance Committee-
- Review of Local Code of Corporate Governance and Annual Governance Statement 2016/17

Audit Committee-
- Audit Committee Annual Report 2016/17
- Internal Audit Annual Report 2016/17
- Internal Audit Operational Report
- Update for Internal Audit Plan
- Compliance with the Public Sector Internal Audit Standards
- Internal Audit Transformation
- Review of the Audit Committee's Terms of Reference

Governance Committee-
- Monitoring Officer Report
- Whistleblowing Policy
- Annual Report of the Governance Committee 2016/17

July 2017 — **Cabinet-**
- Treasury Management Outturn 2016/17
- Capital Programme Update
- Medium Term Financial Strategy
- Homelessness Strategy and Review 2017-22

Full Council-
- Allocating and Spending Community Infrastructure Levy
- Section 106 Spending Plan
- Treasury Management Outturn 2016/17
- Capital Programme Update and Outturn 2016/17
- Medium Term Financial Strategy
- Riverside Ice & Leisure Redevelopment Project – Award of Main Contract
- Amendment to the Constitution – Code of Conduct for Members
- Annual Report of the Governance Committee 2016/17
- Amendments to Terms of Reference of the Audit Committee
- Annual Report from Overview and Scrutiny Committee 2016/17
- Amendments to Terms of Reference of the Regulatory Committee

Development Policy Committee-
- Chelmsford Local Plan Preferred Options Consultation – Initial Consultation Feedback

September 2017 — **Cabinet-**
- Discretionary Business Rate Relief Policy

- Redevelopment of Chelmsford Museum
- Chelmsford Car Parking Fees & Charges 2018 & 2019

Audit Committee-
- Audit Results Report 2016/17 (ISA 260)
- Revenue Budget Monitoring
- Internal Audit Operational Report

Development Policy Committee-
- Local Plan Update
- Local Development Scheme
- Strategic Land Availability Assessment Update
- Annual Monitoring Report

October 2017

Treasury Management Sub Committee
- Treasury Management Mid-Year Review 2017-18

Governance Committee-
- Monitoring Officer Report
- Annual Whistleblowing Report
- Complaints to the Local Government and Social Care Ombudsman – Annual Review
- Introduction of an Independent Persons Protocol
- Disqualification Criteria for Councillors
- Amendment to Council Procedure Rules

November 2017

Cabinet-
- Local Council Tax Scheme for 2018/19
- Treasury Management Mid-Year Review 2017/18
- Mid-Year Budget Review 2017/18
- Proposed Chelmsford Business Improvement District

Overview & Scrutiny Committee-
- Quarter 1 & 2 2017/18 Performance Information Report
- Annual Report on Housing Delivery
- Review of the City Centre Public Spaces Protection Order
- Update on the Citizens & Youth Panel
- Task & Finish Group on Member Development
- Representatives on Outside Bodies Update
- Decisions taken under delegation to the Chief Executive

December 2017

Full Council-
- Local Council Tax Scheme for 2018/19
- Treasury Management Mid-Year Review 2017/18
- Mid-Year Review of the Budget 2017/18
- Amendment to Council Procedure Rule
- Appointment of Electoral Registration Officer & Returning Officer

Audit Committee-
- Annual Audit Letter
- Revenue Monitoring
- Risk Management Update
- Fraud Investigations Annual Report 2016/17
- Internal Audit Operational Report

Treasury Management Sub Committee-
- Treasury Management Strategy 2018/19

January 2018	**Development Policy Committee-** • Chelmsford Local Plan Pre-Submission Consultation • Local Plan Viability Study, including Community Infrastructure Levy Review • North Essex Garden Communities Issues and Options Consultations, November 2017-January 2018 **Cabinet-** • Treasury Management Strategy 2018/19 • Revenue Estimates 2018/19
February 2018	**Overview and Scrutiny Committee-** • Quarter Three 2017/18 Performance Information Report • Annual Presentation by Safer Chelmsford Partnership • Annual Presentation by Essex Police **Full Council-** • Revenue Budget 2018/19 • Revenue Estimates 2018/19 • Capital Programme • Pay Policy Statement for 2018/19 • Amendment to Procedure Rules for Meetings
March 2018	**Cabinet-** • Proposed Public Spaces Protection Order **Governance Committee-** • Monitoring Officer Report • Complaints to Local Government Ombudsman – Finding of Fault • Annual Report for 2017/18 Regulation of Investigatory Powers Act 2000 ("RIPA") • Local Government Ethical Standards – Consultation • Gifts and Hospitality Report **Audit Committee-** • Annual Audit Plan • Revenue Monitoring • Internal Audit Plan 2018/19 • Internal Audit Operational Report • Internal Audit Charter & Strategy • Digital Services Update • Grant Claim Certification • Accounting Policies
April 2018	**Cabinet-** • Business Improvement District Update • Local Development Scheme Review • Neighborhood Allocation of Community Infrastructure Levy • Community Infrastructure Levy Cap • Grant funding to facilitate Community led Housing in Chelmsford
May 2018	**Annual Council-** • Arrangements for and Appointments to City Council and Outside Bodies

Appendix B

Progress of outstanding Governance Issues identified in 2017/18

Governance Issue	Progress	Outcome	Core Principle
Reviewing the Council's Whistleblowing Policy and Procedures	This was reviewed by the Governance Committee in *June 2017*.	An updated policy and procedures have been in place since June 2017. The new policy is available here.	A, B & G
Introducing an Indepdnent Person Protocol related to complaints made in relation to the Councillor Code of Conduct to explain the role and how Independent Persons will engage in the standard regime.	This was agreed by the Governance Committee in *October 2017*.	The Independent Person Protocol is now in place and available to view here.	A & G
Ensuring that compliance with the Public Sector Internal Audit Standards is reviewed by the Audit Committee.	This was reviewed by the Audit Committee in *June 2017*.	Compliance with the Public Sector Internal Audit Standards was ensured by the Audit Committee in June 2017 and the report is available to view here.	F & G
Refreshing the Council's procedures for addressing assesments under the Equalties Act 2010.	A new Equality, Diversity and Inclusion Group was set up in *2017/18*.	• A revised E&D action plan. • An updated equality, diversity and inclusion intranet page. • Published Equality Monitoring Data. • Reviewed the E&D training provision. • Provided guidance and training to identified employees within services to enable equality assessment of community focussed policies, plans and strategies.	A & E

Core Principle A   Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law

Core Principle B   Ensuring openness and comprehensive stakeholder engagement

Core Principle C   Defining outcomes in terms of sustainable economic, social and environmental benefits

Core Principle D   Determining the interventions necessary to optimise the achievement of the intended outcomes

Core Principle E   Developing the entity's capacity, including the capability of its leadership and the individuals within it

Core Principle F   Managing risks and performance through robust internal control and strong public financial management

Core Principle G   Implementing good practices in transparency, reporting and audit to deliver effective accountability