

Council Meeting

**Council Chamber, Town Hall, High Street,
Colchester, CO1 1PJ
Thursday, 13 February 2020 at 18:00**

Information for Members of the Public

Access to information and meetings

You have the right to attend all meetings of the Council, its Committees and Cabinet. You also have the right to see the agenda (the list of items to be discussed at a meeting), which is usually published five working days before the meeting, and minutes once they are published.

Dates of the meetings are available here:

<https://colchester.cmis.uk.com/colchester/MeetingCalendar.aspx>.

Most meetings take place in public. This only changes when certain issues, for instance, commercially sensitive information or details concerning an individual are considered. At this point you will be told whether there are any issues to be discussed in private, if so, you will be asked to leave the meeting.

Have Your Say!

The Council welcomes contributions and representations from members of the public at most public meetings. If you would like to speak at a meeting and need to find out more, please refer to the Have Your Say! arrangements here: <http://www.colchester.gov.uk/haveyoursay>.

Audio Recording, Mobile phones and other devices

The Council audio records public meetings for live broadcast over the internet and the recordings are available to listen to afterwards on the Council's website. Audio recording, photography and filming of meetings by members of the public is also welcomed. Phones, tablets, laptops, cameras and other devices can be used at all meetings of the Council so long as this doesn't cause a disturbance. It is not permitted to use voice or camera flash functions and devices must be set to silent. Councillors can use devices to receive messages, to access meeting papers and information via the internet. Looking at or posting on social media by Committee members is at the discretion of the Chairman / Mayor who may choose to require all devices to be switched off at any time.

Access

There is wheelchair access to the Town Hall from St Runwald Street. There is an induction loop in all the meeting rooms. If you need help with reading or understanding this document please take it to the Library and Community Hub, Colchester Central Library, using the contact details below and we will try to provide a reading service, translation or other formats you may need.

Facilities

Toilets with lift access, if required, are on each floor of the Town Hall. A water dispenser is available on the first floor.

Evacuation Procedures

Evacuate the building using the nearest available exit. Make your way to the assembly area in the car park in St Runwald Street behind the Town Hall. Do not re-enter the building until the Town Hall staff advise you that it is safe to do so.

Library and Community Hub, Colchester Central Library, 21 Trinity Square,
Colchester, CO1 1JB

telephone (01206) 282222 or textphone 18001 followed by the full number you wish to call

e-mail: democratic.services@colchester.gov.uk

www.colchester.gov.uk

COLCHESTER BOROUGH COUNCIL
Council
Thursday, 13 February 2020 at 18:00

TO ALL MEMBERS OF THE COUNCIL

Published 04/02/2020

You are hereby summoned to attend a meeting of the Council to be held at the Town Hall, Colchester on Thursday, 13 February 2020 at 18:00 for the transaction of the business stated below.



Chief Executive

AGENDA
THE LIST OF ITEMS TO BE DISCUSSED AT THE MEETING
(Part A - open to the public)

Please note that the business will be subject to short breaks at approximately 90 minute intervals.

Please note that Agenda items 1 to 6 are normally dealt with briefly.

1 Welcome and Announcements (Council)

The Mayor will welcome members of the public and Councillors and will ask the Chaplain to say a prayer. The Mayor will also remind everyone to use microphones at all times when they are speaking, explain action required in the event of an emergency, mobile phones switched to silent and audio-recording of the meeting.

2 Have Your Say! (Council)

The Mayor will invite members of the public to indicate if they wish to speak or present a petition on any item included on the agenda or any other matter relating to the business of the Council. Please indicate if you wish to speak at this point if your name has not been noted by Council staff.

3 Declarations of Interest

Councillors will be asked to say if there are any items on the agenda about which they have a disclosable pecuniary interest which would prevent them from participating in any discussion of the item or participating in any vote upon the item, or any other pecuniary interest or non-pecuniary interest.

- 4 **Minutes of the Previous Meeting (Council)**
A... Motion that the minutes of the meeting held on 5 December 2019 be confirmed as a correct record.
Minutes 051219 7 - 18
- 5 **Mayor's Announcements**
The Mayor to make announcements.
- 6 **Items (if any) referred under the Call-in Procedure (Council)**
The Council consider any items referred by the Scrutiny Panel under the Call-in Procedure because they are considered to be contrary to the policy framework of the Council or contrary to, or not wholly in accordance with, the budget.
- 7 **Recommendations of the Cabinet, Panels and Committees**
Council will consider the following recommendations:-
- 7(i) **2020-2021 Revenue Budget, New Strategic Priorities and the Medium Term Financial Forecast** 19 - 48
B... Motion that the recommendations contained in draft minute 412 of the Cabinet meeting and the recommendations contained in the reports by the Assistant Director Corporate and Improvement Services entitled Precept and Council Tax Levels 2020/21 and Supplementary Budget Report 2020/21 be approved and adopted.
- 7(ii) **Climate Emergency Action Plan** 49 - 52
C... Motion that the recommendation contained in draft minute 411 of the Cabinet meeting of 29 January 2020 be approved and adopted.
- 7(iii) **Safeguarding Policy and Suicide Protocol** 53 - 54
D... Motion that the recommendations contained in draft minute 420 of the Cabinet meeting of 29 January 2020 be approved and adopted.
- 7(iv) **Review of Local Code of Corporate Governance** 55 - 56
E... Motion that the recommendation contained in draft minute 193 of the Governance and Audit Committee meeting of 21 January 2020 be approved and adopted.
- 8 **Questions to Cabinet Members and Chairmen pursuant to Council Procedure Rule 10**
Cabinet members and Chairmen will receive and answer pre-notified questions in accordance with Council Procedure Rule 10(1) followed by any oral questions (not submitted in advance) in accordance with Council Procedure Rule 10(3).

(Note: a period of up to 60 minutes is available for pre-notified questions and oral questions by Members of the Council to Cabinet Members and Chairmen (or in their absence Deputy Chairmen)).
At the time of the publication of the Summons no pre-notified questions had been submitted.

- 9 **Schedule of Portfolio Holder Decisions** 57 - 60
- To note the schedule of portfolio holder decisions covering the period 27 November 2019 - 4 February 2020.
- 10 **Urgent Items (Council)**
- Council will consider any business not specified in the Summons which by reason of special circumstances the Mayor determines should be considered at the meeting as a matter of urgency.
- 11 **Reports Referred to in Recommendations**
- The reports specified below are submitted for information and referred to in the recommendations specified in item 7 of the agenda:
- Revenue Budget, New Strategic Priorities and Medium Term Financial Forecast, report to Cabinet, 29 January 2020** 61 - 110
- Climate Emergency Action Plan, report to Cabinet, 29 January 2020** 111 - 192
- Safeguarding Policy and Suicide Protocol, report to Cabinet, 29 January 2020** 193 - 240
- Local Code of Corporate Governance, report to Governance and Audit Committee, 21 January 2020** 241 - 272
- 12 **Exclusion of the Public (not Scrutiny or Executive)**
- In accordance with Section 100A(4) of the Local Government Act 1972 to exclude the public, including the press, from the meeting so that any items containing exempt information (for example confidential personal, financial or legal advice), in Part B of this agenda (printed on yellow paper) can be decided. (Exempt information is defined in Section 100I and Schedule 12A of the Local Government Act 1972).

Part B

(not open to the public including the press)

Council

Thursday, 05 December 2019

Attendees:

Councillor Christopher Arnold, Councillor Lewis Barber, Councillor Nick Barlow, Councillor Lyn Barton, Councillor Kevin Bentley, Councillor Tina Bourne, Councillor Roger Buston, Councillor Nigel Chapman, Councillor Peter Chillingworth, Councillor Helen Chuah, Councillor Phil Coleman, Councillor Nick Cope, Councillor Mark Cory, Councillor Simon Crow, Councillor Robert Davidson, Councillor Beverly Davies, Councillor Paul Dundas, Councillor John Elliott, Councillor Andrew Ellis, Councillor Adam Fox, Councillor Mark Goacher, Councillor Martin Goss, Councillor Dave Harris, Councillor Chris Hayter, Councillor Pauline Hazell, Councillor Theresa Higgins, Councillor Mike Hogg, Councillor Brian Jarvis, Councillor John Jowers, Councillor David King, Councillor Cyril Liddy, Councillor Michael Lilley, Councillor Sue Lissimore, Councillor Derek Loveland, Councillor Andrea Luxford Vaughan, Councillor Fiona Maclean, Councillor Jackie Maclean, Councillor Sam McCarthy, Councillor Patricia Moore, Councillor Beverley Oxford, Councillor Gerard Oxford, Councillor Philip Oxford, Councillor Chris Pearson, Councillor Lee Scordis, Councillor Lesley Scott-Boutell, Councillor Martyn Warnes, Councillor Lorcan Whitehead, Councillor Dennis Willetts, Councillor Barbara Wood, Councillor Julie Young, Councillor Tim Young

355 Prayers

The Reverend Canon Paul Norrington opened the meeting with prayers.

356 Have Your Say! (Council)

Darius Laws addressed Council pursuant to the provisions of Council Procedure Rule 6(5) about North Station Road. The environment of North Station Road was blighted by the volume of slow-moving traffic. This was compounded by the mounting of the pavement by delivery vehicles serving the many takeaways. The Council should use its enforcement powers to tackle this issue and also address those who left their engines idling. If the necessary action was taken and the relevant authorities cooperated, the road could be restored to its Victorian splendour, especially if trees were planted.

Councillor Lilley, Portfolio Holder for Communities, Public Safety and Licensing, explained that the North Essex Parking Partnership was seeking to address the parking issues relating to the businesses on North Station Road. Councillor Cory, Leader of the

Council and Portfolio Holder for Strategy, explained that North Station Road was being looked at as part of the tree planting programme.

Sally Buchanan addressed Council pursuant to the provisions of Council Procedure Rule 6(5) and presented a petition to the Mayor asking for the recently sold Beehive Pub to be considered as an asset of community value. The local community opposed the proposal to change the use of the building to any other use than a community pub. It was believed that the pub remained a viable business and local residents had believed that the business would reopen as a pub after a period of refurbishment. It was a place where all sectors of the community could meet and the benefits it provided to the community were in line with the Council's strategic objectives. The local community had never been given notice of the intention to close the pub and details of the sale had been subject to a confidentiality clause. If the community had been aware it would have sought to purchase the site and run it as a community venture. The planning application should be withdrawn as it was invalid. The Council needed to exercise civic leadership by withdrawing the planning application and working with community leaders representing those wishing to retain the Beehive and Colchester Islamic Centre to find a sustainable solution that worked for all parties.

Councillor J. Young, Portfolio Holder for Culture and Performance, responded. The request to consider the site as an asset of community value would be considered. The site was in private ownership and had been bought on the open market. The planning application for the site was due to be determined at a meeting of the Planning Committee on 18 December 2019. A written response would be provided.

Angel Kalyan addressed Council pursuant to the provisions of Council Procedure Rule 6(5). Following her comments to Council in February 2019, she had been to court as instructed but had been unable to present her case on 11 March 2019. An internal process was requested to address the anomalies that could not be put before the court. Otherwise there was no process of redress available to her. She should be given the opportunity to put her case to Council and for a legitimate response to be given.

Adrian Pritchard, Chief Executive, responded and stressed that no other internal process would be made available. All internal processes had been exhausted. The only avenue available was to take the Council to court, but the court had decided that she did not have a case against the Council. The Council would not enter into further communications with Mrs Kalyan on this issue.

357 Minutes of the Previous Meeting (Council)

RESOLVED that the minutes of the meeting on 16 October 2019 be confirmed as a correct record.

358 North Essex Garden Communities Ltd – Approval of 2019/20 Interim Business Plan and Budget

Councillors Bentley and Jowers (in respect of decisions taken by Essex County Council, of which they were members) declared a pecuniary interest in the following item pursuant to the provisions of Meetings General Procedure Rule 7(5) and left the meeting during its consideration and determination.

Julian Bowden addressed Council pursuant to the provisions of Council Procedure Rule 6(5). He had attended North Essex Garden Communities Ltd's (NEGC) public consultation meeting at Marks Tey. The information provided at the event consisted of a number of posters with little detailed information on the proposals or costings. If further funding was provided to NEGC, it would only be used for further promotional work, rather than developing a properly formulated plan.

William Sunnocks addressed Council pursuant to the provisions of Council Procedure Rule 6(5) on behalf of CAUSE to request Council hold back the further funding to NEGC Ltd. NEGC Ltd was a housing delivery company with no plan to deliver and no land to deliver it on. It had already spent £6 million without delivering anything. If the funding was withheld planners would concentrate on smaller sites, leading to more housing development and increased section 106 contributions. If the funding was provided, it would lead to the loss of the Council's planning powers in the long term, and it would also lead to requests for even more funding. NEGC Ltd was already struggling and a number of criticisms of the Garden Communities proposals were due to be considered by the Planning Inspector. It had also been announced that the section 2 plans would deliver 377 more houses than the objectively assessed housing need figure, so it was no longer the case that Garden Communities were needed to meet legally binding housing targets.

It was RESOLVED that Council Procedure Rule 11(2) be suspended to allow Group Spokespersons to speak untimed on this item.

Councillor King moved that the recommendation contained in minute 377 of the Cabinet meeting of 4 September 2019 be approved and adopted.

On being put to the vote the motion was lost (TWENTY THREE voted FOR and TWENTY SIX voting AGAINST).

A named vote having been requested pursuant to the provisions of Council Procedure Rule 15(2), the voting was as follows:-

FOR: Councillors Barlow, Barton, Bourne, Chuah, Coleman, Cory, Fox, Goss, Harris, Higgins, Hogg, King, Liddy, Lilley, McCarthy, Pearson, Scordis, Scott-Boutell, Warnes,

Whitehead, J. Young, T. Young and the Mayor (Cope);

AGAINST: Councillors Arnold, Barber, Buston, Chapman, Chillingworth, Crow, Davidson, Davies, Dundas, Elliott, Ellis, Goacher, Hayter, Hazell, Jarvis, Lissimore, Loveland, Luxford Vaughan, F. Maclean, J. Maclean, Moore, G. Oxford, P. Oxford, Willetts, Wood and the Deputy Mayor (B. Oxford).

359 Local Council Tax Support 2020-2021

RESOLVED that the recommendation contained in draft minute 398 of the Cabinet meeting of 20 November 2019 be approved and adopted.

360 Officer Pay Policy Statement for 2020-2021

RESOLVED that the recommendation contained in draft minute 399 of the Cabinet meeting of 20 November 2019 be approved and adopted.

361 Colchester's Homelessness and Rough Sleeping Strategy 2020-2025

RESOLVED that the recommendation contained in draft minute 401 of the Cabinet meeting of 20 November 2019 be approved and adopted.

362 Nomination for Deputy Mayor 2020-2021

RESOLVED that the recommendation contained in draft minute 406 of the Cabinet meeting of 20 November 2019 be approved and adopted and that Councillor Davidson be nominated for appointment as Deputy Mayor for the borough of Colchester for the 2020-21 municipal year (UNANIMOUS).

363 Review of Ethical Governance Policies

RESOLVED that the recommendation contained in draft minute 180 of the Governance and Audit Committee meeting of 26 November 2019 be approved and adopted (UNANIMOUS).

364 Adoption of the Eight Ash Green Neighbourhood Plan

John Allcock, Chair of the Parish Council Neighbourhood Plan Group, addressed Council pursuant to the provisions of Meetings General Procedure Rule 6(5). Whilst residents of Eight Ash Green would prefer the village to remain as it was, they accepted that there was a need for expansion. The Plan included proposals for 150 dwellings on a

single strategic site, which was an increase of 22%. The Plan was the result of five years hard work. It had received 89% support at referendum. He expressed thanks to his colleagues on the Neighbourhood Plan Group and to Bethany Jones, Planning Officer at Colchester Borough Council.

RESOLVED that the Eight Ash Green Neighbourhood Plan be made (UNANIMOUS)

365 Local Electricity Bill

It was proposed by Councillor Liddy that:-

“Colchester Borough Council

(i) acknowledges the efforts that it staff have made to reduce greenhouse gas emissions and promote renewable energy;

(ii) recognises that councils can play a central role in creating sustainable communities, particularly through the provision of locally generated renewable electricity;

(iii) further recognises

- that very large financial setup and running costs involved in selling locally generated renewable electricity to local customers result in it being impossible for local renewable electricity generators to do so,
- that making these financial costs proportionate to the scale of a renewable electricity supplier's operation would create significant opportunities for councils to be providers of locally generated renewable electricity directly to local people, businesses and organisations, and
- that revenues received by councils that became local renewable electricity providers could be used to help fund local greenhouse gas emissions reduction measures and to help improve local services and facilities;

(iv) accordingly resolves to support the Local Electricity Bill, currently supported by a cross-party group of 115 MPs, and which, if made law, would make the setup and running costs of selling renewable electricity to local customers proportionate by establishing a Right to Local Supply; and

(v) further resolves to inform the

- local media of this decision,
- local MPs after the General Election, asking them to support the Bill in the new Parliament, and
- organisers of the campaign for the Bill, Power for People, (at 8 Delancey Passage, Camden, London NW1 7NN or info@powerforpeople.org.uk) expressing support.”

On being put to the vote, the motion was approved and adopted (UNANIMOUS)

366 Questions to Cabinet Members and Chairmen pursuant to Council Procedure Rule 10

Questioner	Subject	Response
Pre-notified questions		
Councillor Liddy	2019 was another year of climatic extremes. A wet spring followed by at times a very hot summer, including the hottest day on record. As the year draws to a close, will the Portfolio Holder for Business and Resources and all other cabinet members, along with all group leaders and members join me in expressing our thanks to our all CBC, CBH and Amphora employees, managerial, professional, administrative and manual, especially the recycling operatives, who have worked so hard this year to keep this Borough's services to their usual high standard?	Councillor King, Portfolio Holder for Business and Resources, responded and explained that Colchester Borough Council was a very efficient authority which was well served by its officers. The authority was focused on providing good customer service, and this was demonstrated by customer insight surveys which showed 99% satisfaction rates. Particular tribute was paid to those who worked outside and dealt with customers in difficult or distressing circumstances.
Councillor G. Oxford	How can the 14 million disabled people be convinced that planning officers are capable of making the correct recommendation to Committee if the plans are impossible to be fully compliant with disability legislation?	Councillor Lilley, Portfolio Holder for Communities, Wellbeing and Public Safety, explained that planning officers had to balance a number of competing factors when considering applications. Planning officers did receive training to ensure that they had an

		understanding of the challenges experienced by disabled groups in accessing the built environment. A detailed written response would be sent.
Councillor G. Oxford	Given the national changes to the criteria to eligibility for a blue badge which they stated could increase the number issued to triple, have we plans to increase the number of fully compliant disabled bays in our car parks especially the three (Britannia, Priory Street and Vineyard Street) without height limiters?	Councillor Lilley, Portfolio Holder for Communities, Wellbeing and Public Safety, explained that the government had changed the law to ensure blue badges covered hidden disabilities. However it had not legislated to compel Councils to provide spaces for them. Those with hidden disabilities often did not require larger parking bays and could use the standard bays. However, further consideration would be given increasing the number of fully compliant disabled bays and to raising the height limit for blue badge holders.
Councillor Davies	<p>Would the use of electric as opposed to petrol or diesel powered vehicles assist with bringing down levels of air pollution?</p> <p>Noting Colchester Borough Council's press release of 28th March 2018 in which it announced plans to install EV charge points for shoppers, visitors and residents, and the Policy</p>	Councillor Lilley, Portfolio Holder for Communities, Wellbeing and Public Safety, explained that a charging point at Priory Street car park was being installed and four more were planned for St Marys car park. The Council's car parks were being surveyed to identify the most suitable places for charging points. Issues relating to charging points in residential areas

	<p>and Public Initiatives Panel papers of 6th March 2019 in which it was stated that one electric vehicle charging point at Priory Street is now being investigated, please can the Portfolio Holder tell me, in detail, what steps have already been taken, and what steps are planned, to install EV charge points in the borough?</p>	<p>were for Essex County Council. .</p>
<p>Councillor Dundas</p>	<p>It was noted in the latest Financial Monitoring Report for 2019/20 that income from Pools and Swimming Lessons are a total of £108,000 less than anticipated. This is disappointing, particularly bearing in mind Colchester's population is only going up.</p> <p>Furthermore, Colchester provides just one 25m fitness pool and leisure pool for nearly 200,000 people on one site. Tendring and Braintree both provide three 25m pools over three sites for around 150,000 people each.</p> <p>Can the Portfolio Holder for Commercial Services therefore advise:</p> <p>1. What measure are being taken to address the shortfall in expected income</p>	<p>Councillor Higgins, Portfolio Holder for Commercial Services, explained that income at Leisure World pools had been impacted by the road works on the A133. Special promotions and offers were in place in order to try and attract customers and maximise income.</p> <p>The Council did not hold comparative costs for swimming pool provision per head. However, Leisure World provided both a leisure pool and a swimming pool. It was acknowledged that a 50-metre swimming pool would be an asset for the region.</p>

	<p>to make our swimming offering more commercially appealing?</p> <p>2. How our costs of swimming pool provision compares with our neighbouring authorities per head?</p>	
Councillor Bentley	<p>Like many residents in the Borough I received two versions of the latest paper edition of the Council's newspaper, The Centurion. One was hand delivered, the other sent in the post to the 'Occupier' at my home address. It appeared to have been sent from Liverpool as this was the return address.</p> <p>I would be grateful if the Leader could please tell me:</p> <p>1. Why were copies of the Centurion hand delivered and posted?</p> <p>2. How many properties received both a hand delivered and posted copy?</p> <p>3. Who took this decision?</p> <p>4. How much did it cost the taxpayers of Colchester?</p> <p>5. What is the calculated Co2 emissions of such a double drop both in trees used and carbon expended in the double delivery?</p> <p>6. Does the Leader believe such an action fits in with the recently agreed Council motion on climate change?</p>	<p>Councillor Cory, Leader of the Council and Portfolio Holder for Strategy, explained that the multiple deliveries had been a mistake. There had been no increase in cost, and the carbon impact had been small. A local supplier was used to print the Centurion and it was printed on 100% recycled paper. Some copies were distributed by Royal Mail, and the Council was not responsible for where these were dispatched from.</p> <p>The administration was taking action to deliver on the Climate Emergency. It had established the Conservation and Environmental Sustainability Task and Finish Group which would report to Cabinet in January on a proposed Action Plan to deliver on the pledge to go carbon neutral by 2030.</p>

Oral questions		
Councillor Willetts	<p>In 2014 consultancy firm Quarterbridge undertook a feasibility study on the profitability of moving the market to the High Street, which was reported in a part B report to Cabinet, which included a five-year plan. Cabinet considered a private report in November 2019 which demonstrated that profits were only at a one third of the projected level. As a result the set up and take down had been moved to the Neighbourhoods team to reduce the costs. Would he Portfolio for Waste Environment and Transportation issue a public report explaining what had gone wrong and how the shortfall in the budget would be met?</p>	<p>Councillor Cory, Leader of the Council and Portfolio Holder for Strategy, indicated that a written response would be sent.</p>
Councillor Willetts	<p>Following the declaration of the climate emergency, and what proportion of the vehicles in the Council's waste fleet and liveried vehicles no longer emit carbon dioxide when their engines were running?</p>	<p>Councillor Cory, Portfolio Holder for Waste, Environment and Transportation, explained that the Council had been rated as the 3rd in the region in terms of sustainability issues. The Local Authority Carbon Management Plans had reduced emissions significantly and recycling rates had improved. In terms of the waste fleet, the Council had the most up to date technology that</p>

		<p>was available. In terms of the liveried vehicle fleet, the technology was available for low emission vehicles and the Council was looking at this issue through the carbon audit. It was noted that Essex County Council had not declared a climate emergency, and its waste management plan was increasing emissions through increased traffic and the emphasis on landfill.</p>
Councillor Willetts	<p>At the recent Scrutiny Panel it had been reported that that there was an overspend of £175,000 due to the target of 3% of posts being vacant not being delivered. In addition it was noted that housing growth had meant that agency staff had been needed to be taken on. Could the Portfolio Holder for Resources explain the apparent inconsistency between these policies?</p>	<p>Councillor King, Portfolio Holder for Business and Resources, indicated that he had provided a briefing to the Shadow Portfolio Holder for Waste, Environment and Transportation on waste service staffing issues and he was happy to provide the details to Councillor Willetts. It was good practice to account for possible staff vacancy rates</p>
Councillor T. Young	<p>Would the Leader of the Council ensure all meeting held in the Town hall were accessible ? The correct equipment needed to be available and needed to be used by officers. If further equipment was needed, this needed to be purchased.</p>	<p>Councillor Cory, Leader of the Council and Portfolio Holder for Strategy, indicated that he agreed and would ensure that this issue was discussed by the Council's Leadership Team.</p>

Councillor Barber	Could the correspondence between Councillor Goss and the Environment Agency on issues relating to algae on the River Colne be provided to members, so they could be reassured that the Environment Agency had not mislead the Council.	Councillor Cory, Leader of the Council and Portfolio Strategy, explained that he would check the position on the release of information with the Portfolio Holder for Waste, Environment and Transportation. He did not believe that the Council had been misled. The algae on the River Colne had cleared up naturally.
-------------------	--	--

367 Mayor's Announcements

The Mayor announced the following events:-

- The Mayor's Big Junior Fun Run for runners between the ages of 4 and 14, Recreation Park, 8 December 2019;
- The Mayoral Carol Concert, Mercury at Abbey Field, 19 December 2019;
- A Baroque Feast: Colchester Back Choir and Orchestra, St Botolph's Church, 22 February 2020
- East meets West Cream Tea, Moot Hall, 13 March 2020

368 Schedule of Portfolio Holder decisions

RESOLVED that the schedule of Portfolio Holder decisions for the period 1 October 2019 - 26 November 2019 be noted.

Extract from the draft minutes of the Cabinet meeting on 29 January 2020

412. 2020/21 Revenue Budget, New Strategic Priorities and the Medium Term Financial Forecast

The Assistant Director for Corporate and Improvement Services submitted a report a copy of which had been circulated to each Member together with the draft recommendation from the Scrutiny Panel meeting of 28 January 2020.

Councillor Davies, Chair of the Scrutiny Panel, attended and addressed Cabinet to introduce the recommendations from the Scrutiny Panel. In addition, the Panel had considered the wording in paragraph 6.12 of the report that the release of the latest instalment of £350K had been postponed was incorrect and should be clarified going forward. The Panel had also discussed the Town Fund and the potential impact that this could have on strategic priorities if the bid should be successful.

Councillor King, Portfolio Holder for Business and Resources, thanked the Scrutiny Panel for their comments. It was acknowledged that further feasibility work was required on the New Strategic Priorities and this would be provided. There were a number of significant variables which could have an impact, including the Town Fund bid, and priorities would change as matters progressed. A further report would be submitted to Council alongside the budget report, providing further information.

Councillor Cory, Leader of the Council and Portfolio Holder for Strategy, explained that in respect of the wording of paragraph 6.12, it was accepted that the wording of the report should have stated that Council had not agreed to release the funds referred to in the report.

Councillor King presented the report. The budget report was an enabler that would allow the Council to meet its statutory requirements and its ambitious objectives. It was a prudent budget which would maintain sound reserves. The borrowing proposals were sound and were at the median level for local authority borrowing. The proposed Council tax rise was modest and the overall rise over recent years was well below the level of inflation.

RESOLVED that:-

- (a) The 2020/21 Revenue Budget and Medium-Term Financial Forecast as set out in Appendices A, G and H of the Assistant Director's report be approved.
- (b) The use of General Fund balances and reserves to make a £2.805m one off pension fund deficit payment for 2020/23 as set out in Section 7 of the Assistant Director's report be approved.
- (c) Revenue budget provision in 2020/21, 2021/22 and 2022/23 be made to meet the cost of the pension deficit payment for 2023/24 as set out in Section 7 of the Assistant Director's report.
- (d) The pension 'pass through' arrangement from April 2019 for Amphora employees as set out in Section 7 of the Assistant Director's report be approved and authority for completion of the final agreement be delegated to the Portfolio Holder for Business and Resources in conjunction with the section 151 Officer.
- (e) The allocation of £500k in the 2020/21 budget for the Local Plan be approved, noting that use will be dependent on the Planning Inspectorate hearing outcomes and the consequent way ahead for garden communities, North Essex Garden Communities Ltd or alternative approaches.
- (f) The Capital Strategy and Capital Programme set out in Appendix B of the Assistant Director's report be approved.
- (g) The budget resilience statement set out in Appendix D of the Assistant Director's report and the forecast level of reserves and balances set out in Appendix I of the Assistant Director's report be noted.
- (h) The Treasury Management Strategy Statement and prudential indicators set out in Appendix E of the Assistant Director's report be approved.
- (i) *RECOMMENDED to COUNCIL* the 2020/21 revenue budget requirement of £24,514k.
- (j) *RECOMMENDED TO COUNCIL* Colchester's element of the Council Tax at £195.57 per Band D property being an increase of £4.95 (2.6%).

(k) Care leavers treatment as designated persons for council tax purposes removing any council tax liability be approved, in accordance with Section 13 of the Assistant Director's report.

(l) The 2020/21 implementation agreed in 2019 Budget Setting of a 200% council premium for properties empty over five years be noted.

(m) The recommendations from the Scrutiny Panel be accepted.

REASONS

The Council is required to determine its annual budget requirement and set a council tax by 11 March preceding the new financial year.

The Chief Finance Officer must report to the Authority on the robustness of the estimates used to calculate its budget requirement and the adequacy of the proposed reserves.

ALTERNATIVE OPTIONS

No alternative options were proposed.

Report of	Assistant Director for Corporate and Improvement Services	Author	Paul Cook ☎ 505861
Title	Precept and Council Tax Levels 2020/21		
Wards affected	Not Applicable		

1 Executive Summary

- 1.1 The purpose of this report is to set out the statutory resolutions the Council is required to approve, in order to set the Council Tax for each band for the financial year 2020/21. These include the following information:
- A Council Tax Base of 63,933 Band D equivalent properties, together with details of the Council Tax base for individual parishes.
 - A Council Tax requirement for Colchester Borough Council of £12.50 million (excluding parishes).
 - Colchester's element of the Council Tax being £195.57 for Band D properties (excluding parishes). An increase of 2.60%.
 - Expected Band D Council Tax for Essex County Council, Essex Police and Essex Fire and Rescue Authority.
 - The total Council Tax payable for the different parts of the Council's area.
 - Parish, Town and Community Councils precept amounts for 2020/21.
- 1.2 The report should be read alongside the 2020/21 Revenue Budget, New Strategic Priorities and the Medium-Term Financial Forecast

2 Recommended Decision

- 2.1 To approve the statutory resolutions as set out at Appendix 1 which are in accordance with the Local Government Finance Act 1992, as amended by the Localism Act 2011, in respect of the Council Tax for each band for the financial year 2020/21.

3 Reason for Recommended Decision

- 3.1 The Council is required, in accordance with the Local Government Finance Act 1992, as amended by the Localism Act 2011, to set formally the Council Tax for each band, which will include precepting authorities.

4 **Alternative Options**

- 4.1 The resolutions are a statutory requirement

5 **Colchester Borough Council's Council Tax Requirement**

- 5.1 29 January 2020 Cabinet approved and recommended to Council the 2020/21 Revenue Budget Requirement.
- 5.2 The final 2020/21 Local Government Finance Settlement has not yet been received but is expected before the Council meeting on 13 February 2020. The Settlement is not expected to contain any material changes from the Cabinet Report. Any differences will be reported to the Council meeting.
- 5.3 The budget proposals are based on additional business rates income above the 2020/21 business rate baseline. The January 2020 business rates 2020/21 return to the Ministry of Housing, Communities and Local Government confirms the budget estimate.
- 5.4 The forecast collection fund business rates deficit as at the end of 2019.20 is unchanged from the budgeted figure of £485k. This deficit will be met from the business rates reserve.
- 5.5 Any additional business rates achieved over the forecasts will be allocated to the business rates reserve.
- 5.6 Cabinet recommended that Colchester's element of the Council Tax for 2020/21 be agreed at £195.57 for Band D properties, which represents an increase of £4.95 (2.60%).
- 5.7 In approving Colchester's element of the Council Tax, account must be taken of Retained Business Rates and any surplus or deficit arising from the Collection Fund. Colchester's Council Tax requirement also must reflect Parish Council spending and the Table 1 sets out the position:
- 5.8 Colchester's Council Tax at Band D for 2020/21 is £195.57 and is set out in Table 2

Table 1 – Council Tax Requirement (£k)			
1	Budget Requirement		24,514
2	Use of New Homes Bonus	(3,602)	
3	Use of Reserves and Balances	(2,779)	
4			18,133
5	Parish Councils requirement	2,094	
6			20,227
7	Business Rates Baseline	(4,300)	
8	Business Rates Growth	(1,870)	
9			14,057
10	Deficit on collection fund business rates	485	
11	Deficit on collection fund council tax	55	
12	Council Tax Requirement		14,597

Table 2 – Colchester Band D Council Tax		
1	Council Tax Requirement (as detailed above)	14,597,183
2	Divided by Council Tax Base	63,933.0
3	Council Tax at Band D (including Parishes)	228.32
4	Deduct Parish Element	(32.75)
5	Council Tax at Band D for Colchester Borough Council	195.57

6 Essex County Council and Essex Police, Fire and Crime Commissioner

- 6.1 In order to determine formally the overall level of Council Tax, account has to be taken of the precept requirements of Essex County Council, Essex Police and the Fire and Rescue Service.
- 6.2 The table sets out the overall position based on information received at the date of writing this report. The Police Fire and Crime Panel expect to approve the budgets for Essex Police and Crime Commissioner and the Fire and Rescue Service on 6 February 2020. Essex County Council is expected to formally approve its budget on 11 February. Any change to the information set out in this report will be reported to this meeting.

Table 3 – Essex County Council, Police, Fire and Crime Commissioner				
	Council Tax at Band D			
	2019/20 £	2020/21 £	Change £p	Change %
Colchester Borough Council	190.62	195.57	4.95	2.60
Essex County Council	1,270.44	1,321.11	50.67	3.99
Essex Police & Crime Commissioner	192.96	198.63	5.67	2.94
Essex Fire and Rescue Service	72.45	73.89	1.44	1.99
	1,726.47	1,789.20	62.73	3.63

- 6.3 The overall position (excluding parishes) is set out in Table 4.
- 6.4 The appropriate Parish elements are added to these figures. Full details of the tax rates are given in Appendix 1. (Details of the individual Parish Precepts are set out in Appendix 2).
- 6.5

Table 4 = Overall Council Tax Rates					
Band	Colchester	County	Police	Fire	Total
A	130.38	880.74	132.42	49.26	1,192.80
B	152.11	1,027.53	154.49	57.47	1,391.60
C	173.84	1,174.32	176.56	65.68	1,590.40
D	195.57	1,321.11	198.63	73.89	1,789.20
E	239.03	1,614.69	242.77	90.31	2,186.80
F	282.49	1,908.27	286.91	106.73	2,584.40
G	325.95	2,201.85	331.05	123.15	2,982.00
H	391.14	2,642.22	397.26	147.78	3,578.40

7. Special Expenses

- 7.1 Special expenses are defined as those expenses incurred by the Council in performing, in part of the borough, a function performed elsewhere in the borough by a Parish Council. The Local Government Act 1992 allows the Council to treat any special

expenses as general expenses, i.e. as part of its own budget requirement for Council Tax purposes, provided the Council resolved accordingly.

- 7.2 It is reasonable for the Council to continue to treat special expenses as general expenses, and for clarity it is considered sensible to reaffirm this position on an annual basis. A resolution to this effect, therefore, is included within Appendix 1.

8. Strategic Plan References

- 8.1 The Strategic Plan objectives have informed all stages of the Council's budget setting process.

9. Publicity Considerations

- 9.1 The usual arrangements will be made to publish the approved tax levels in the local press and to produce the Council Tax Information Leaflet for distribution with the Council Tax bills. These will be in accordance with the legal requirements.

10. Financial Implications

- 10.1 Included in the body of this report.

11. Consultation

- 11.1. The budget report to Cabinet set out consultation in respect of the budget including the statutory NNDR ratepayers meeting. This meeting took place on 15 January 2020.

12. Environment and Sustainability Implications

- 12.1. The New Strategic Priorities reflect the Council's declaration of a Climate Emergency and its commitment to becoming carbon neutral by 2030. The environmental and sustainability implications of individual programmes will be thoroughly assessed with reference to the definition of sustainable development set out in the National Planning Policy Framework.

13. Equality and Diversity Implications

- 13.1 Consideration will be given to equality and diversity issues in respect of budget changes proposed as part of the budget process. This will be done in line with agreed policies and procedures including production of Equality Impact Assessments where appropriate.

14. Standard References

- 14.1. There are no direct Publicity, Human Rights, Community Safety or Health and Safety implications as a result of this report.

Appendices

Appendix 1: Resolutions

Appendix 2: Parish Council Precepts 2020/21

Background Papers

None

RESOLUTIONS

1. It be noted that the Tax Base has been approved and the following amounts were calculated for the year 2020/21 in accordance with regulations made under Section 33(5) of the Local Government Finance Act 1992 as amended ('the Act'):
- (a) 63,933.0 equivalent band D properties being the amount calculated by the Council, in accordance with Regulation 3 of the Local Authorities (Calculation of Council Tax Base) Regulations 1992, as its Council Tax base for the year. (Item T in the Act)
- (b) Part of the Council's area for the parish of:

Parish	Parish Tax Base
Abberton & Langenhoe	434.7
Aldham	206.7
Birch	304.8
Boxted	604.3
Chappel	219.9
Copford	684.5
Dedham	927.1
East Donyland	820.2
East Mersea	124.0
Eight Ash Green	649.5
Fingringhoe	337.1
Fordham	326.1
Great Horkesley	1,049.2
Great Tey	378.8
Langham	488.9
Laver Breton	132.2
Laver de la Haye	720.6
Laver Marney	89.7
Little Horkesley	90.7
Marks Tey	950.9
Messing cum Inworth	176.3
Mount Bures	106.4
Myland	5,852.6
Stanway	4,061.3
Tiptree	3,508.0
Wakes Colne	238.6
West Bergholt	1,340.2
West Mersea	3,163.9
Winstred Hundred	487.9
Wivenhoe	2,851.0
Wormingford	193.8

Being the amounts calculated by the Council, in accordance with Regulation 6 of the Regulations, as the amounts of its Council Tax base for the year for dwellings in those parts of its area to which one or more special items relate.

2. Calculate that the Council Tax Requirement for the Council's own purposes for 2020/21 (excluding parish precepts) is £12,503,000

3. The following amounts be now calculated by the Council for the year 2020/21 in accordance with Sections 32 to 36 of the Local Government Finance Act 1992:
 - (a) £127,039,200 Being the aggregate of the amounts which the Council estimates for the items set out in Section 31A (2) of the Act. [Gross Expenditure]

 - (b) £112,442,600 Being the aggregate of the amounts which the Council estimates for the items set out in Section 31A (3) of the Act. [Gross Income including Government grants]

 - (c) £14,596,600 Being the amount by which the aggregate at 3(a) above exceeds the aggregate at 3(b) above, calculated by the Council, in accordance with Section 31A (4) of the Act, as its Council Tax Requirement for the year. (Item R in the formula in Section 31B of the Act)

 - (d) £228.32 Being the amount at 3(c) above divided by the amount at 1(a) above, calculated by the Council, in accordance with Section 31B (1) of the Act, as the basic amount of its Council Tax for the year. [Council Tax, including parishes]

 - (e) £2,093,829 Being the aggregate amount of all special items referred to in Section 34(1) of the Act. [Parish Precepts]

 - (f) £195.57 Being the amount at 3(d) above, less the result given by dividing the amount at 3(e) above by the amount at 1(a) above (Item T in the formula), calculated by the Council, in accordance with Section 34(2) of the Act, as the basic amount of its Council Tax for the year for dwellings in those parts of its area to which no special item relates.

(g) Part of the Council's area

	£
Abberton & Langenhoe	34.9
Aldham	63.3
Birch	36.1
Boxted	85.1
Chappel	77.5
Copford	59.2
Dedham	45.4
East Donyland	84.5
East Mersea	63.0
Eight Ash Green	52.1
Fingringhoe	34.9
Fordham	90.0
Great Horkesley	33.4
Great Tey	50.0
Langham	40.3
Laver Breton	0.0
Laver de la Haye	23.2
Laver Marney	0.0
Little Horkesley	45.4
Marks Tey	62.6
Messing cum Inworth	69.4
Mount Bures	27.6
Myland	23.5
Stanway	66.5
Tiptree	105.5
Wakes Colne	55.0
West Bergholt	76.4
West Mersea	103.5
Winstred Hundred	26.4
Wivenhoe	119.1
Wormingford	49.3
All other parts of the Council's area	195.57

Being the amounts given by adding to the amount at 3(f) above the amounts of the special item or items relating to dwellings in those parts of the Council's area mentioned above divided in each case by the amount at 1(b) above, calculated by the Council, in accordance with Section 34(3) of the Act, as the basis amounts of its Council Tax for the year for dwellings in those parts of its area to which one or more special items relate.

(h) Parts of the Council's Area

Parish	Band A £	Band B £	Band C £	Band D £	Band E £	Band F £	Band G £	Band H £
Abberton & Langenhoe	153.66	179.27	204.88	230.49	281.71	332.93	384.15	460.98
Aldham	172.58	201.34	230.11	258.87	316.40	373.92	431.45	517.74
Birch	154.44	180.18	205.92	231.66	283.14	334.62	386.10	463.32
Boxted	187.11	218.29	249.48	280.66	343.03	405.40	467.77	561.32
Chappel	182.02	212.36	242.69	273.03	333.70	394.38	455.05	546.06
Copford	169.82	198.12	226.43	254.73	311.34	367.94	424.55	509.46
Dedham	160.63	187.41	214.18	240.95	294.49	348.04	401.58	481.90
East Donyland	186.69	217.81	248.92	280.04	342.27	404.50	466.73	560.08
East Mersea	172.39	201.13	229.86	258.59	316.05	373.52	430.98	517.18
Eight Ash Green	165.10	192.62	220.13	247.65	302.68	357.72	412.75	495.30
Fingringhoe	153.62	179.22	204.83	230.43	281.64	332.84	384.05	460.86
Fordham	190.35	222.07	253.80	285.52	348.97	412.42	475.87	571.04
Great Horkesley	152.67	178.11	203.56	229.00	279.89	330.78	381.67	458.00
Great Tey	163.69	190.98	218.26	245.54	300.10	354.67	409.23	491.08
Langham	157.23	183.43	209.64	235.84	288.25	340.66	393.07	471.68
Layer Breton	130.38	152.11	173.84	195.57	239.03	282.49	325.95	391.14
Layer de la Haye	145.86	170.17	194.48	218.79	267.41	316.03	364.65	437.58
Layer Marney	130.38	152.11	173.84	195.57	239.03	282.49	325.95	391.14
Little Horkesley	160.66	187.44	214.21	240.99	294.54	348.10	401.65	481.98
Marks Tey	172.13	200.81	229.50	258.19	315.57	372.94	430.32	516.38
Messing cum Inworth	176.65	206.09	235.53	264.97	323.85	382.73	441.62	529.94
Mount Bures	148.79	173.58	198.38	223.18	272.78	322.37	371.97	446.36
Myland	146.04	170.38	194.72	219.06	267.74	316.42	365.10	438.12
Stanway	174.70	203.82	232.93	262.05	320.28	378.52	436.75	524.10
Tiptree	200.71	234.16	267.61	301.06	367.96	434.86	501.77	602.12
Wakes Colne	167.05	194.89	222.73	250.57	306.25	361.93	417.62	501.14
West Bergholt	181.30	211.52	241.73	271.95	332.38	392.82	453.25	543.90

Parish	Band A £	Band B £	Band C £	Band D £	Band E £	Band F £	Band G £	Band H £
West Mersea	199.35	232.57	265.80	299.02	365.47	431.92	498.37	598.04
Winstred Hundred	147.99	172.65	197.32	221.98	271.31	320.64	369.97	443.96
Wivenhoe	209.77	244.73	279.69	314.65	384.57	454.49	524.42	629.30
Wormingford	163.24	190.45	217.65	244.86	299.27	353.69	408.10	489.72
All other parts of Council's area	130.38	152.11	173.84	195.57	239.03	282.49	325.95	391.14

Being the amounts given by multiplying the amounts at (f) and (g) above by the number which, in the proportion set out in Section 5(1) of the Act, is applicable to dwellings listed in a particular valuation band divided by the number which in that proportion is applicable to dwellings listed in valuation band D, calculated by the Council in accordance with Section 36(1) of the Act, as the amounts to be taken into account for the year in respect of categories of dwellings listed in different valuation bands.

4. It be noted that for the year 2020/21 Essex County Council, and the Essex Police, Fire and Crime Commissioner have stated the following amounts in precepts issued to the Council, in accordance with Section 40 of the Local Government Finance Act 1992, for each of the categories of dwellings shown below:

Band	Precepting Authority		
	County	Police	Fire
	£	£	£
A	880.74	132.42	49.26
B	1,027.53	154.49	57.47
C	1,174.32	176.56	65.68
D	1,321.11	198.63	73.89
E	1,614.69	242.77	90.31
F	1,908.27	286.91	106.73
G	2,201.85	331.05	123.15
H	2,642.22	397.26	147.78

Valuation Bands

5. Having calculated the aggregate in each case of the amounts at 3(h) and 4 above, the Council, in accordance with Section 30(2) of the Local Government Finance Act 1992, hereby sets the following amounts as the amounts of Council Tax for the year 2020/21 for each of the categories of dwellings shown overleaf:
6. For the purposes of Section 35 of the Local Government Act 1992, any expenses incurred by the Council in performing in part of its area a function performed elsewhere in its area by a parish council or chairman of a parish meeting shall not be treated as special expenses.
7. Determines that the Council's basic amount of Council Tax for 2020/21 is **not excessive** in accordance with the principles approved under Section 52ZB of the Act, and as shown in the calculation below.
- (a) Increase defined by the Secretary of State as constituting an excessive increase for 2020/21:
- (i) 2%, or more than 2%, greater than its relevant basic amount of council tax for 2019/20;
and
- (ii) more than £5.00 greater than its relevant basic amount of council tax for 2019/20.
- (b) Percentage increase in the Council's basic amount of Council Tax:
- | | |
|----------------------|-----------------|
| 2019/20 amount | £190.62 |
| 2020/21 amount | £195.57 |
| Percentage increase: | £4.95 and 2.60% |

The figure at 7(b) is less than the figure at 7(a) above and therefore the Council's basic amount of Council Tax for 2020/21 is **not excessive** and no referendum is required.

8 Discretionary council tax discounts and exemptions for 2020/21 are:

Reference to:	Council position
<i>Second Homes: (Prescribed classes of Dwelling A & B)</i>	No discount applicable to this class
<i>Empty dwellings undergoing major repair (formerly Exempt Dwellings "Class A")</i>	No discount applicable to this class
<i>Vacant dwellings (formerly Exempt Dwellings "Class C")</i>	A 100% discount will be given for a maximum period of 28 days.
<i>Empty Homes Premium</i>	A premium of 100% will be charged for properties empty for over 2 years, and 200% for empty over 5 years.

9. Parts of the Council's Area

Parish	Band A £	Band B £	Band C £	Band D £	Band E £	Band F £	Band G £	Band H £
Abberton & Langenhoe	1,216.08	1,418.76	1,621.44	1,824.12	2,229.48	2,634.84	3,040.20	3,648.24
Aldham	1,235.00	1,440.83	1,646.67	1,852.50	2,264.17	2,675.83	3,087.50	3,705.00
Birch	1,216.86	1,419.67	1,622.48	1,825.29	2,230.91	2,636.53	3,042.15	3,650.58
Boxted	1,249.53	1,457.78	1,666.04	1,874.29	2,290.80	2,707.31	3,123.82	3,748.58
Chappel	1,244.44	1,451.85	1,659.25	1,866.66	2,281.47	2,696.29	3,111.10	3,733.32
Copford	1,232.24	1,437.61	1,642.99	1,848.36	2,259.11	2,669.85	3,080.60	3,696.72
Dedham	1,223.05	1,426.90	1,630.74	1,834.58	2,242.26	2,649.95	3,057.63	3,669.16
East Donyland	1,249.11	1,457.30	1,665.48	1,873.67	2,290.04	2,706.41	3,122.78	3,747.34
East Mersea	1,234.81	1,440.62	1,646.42	1,852.22	2,263.82	2,675.43	3,087.03	3,704.44
Eight Ash Green	1,227.52	1,432.11	1,636.69	1,841.28	2,250.45	2,659.63	3,068.80	3,682.56
Fingringhoe	1,216.04	1,418.71	1,621.39	1,824.06	2,229.41	2,634.75	3,040.10	3,648.12
Fordham	1,252.77	1,461.56	1,670.36	1,879.15	2,296.74	2,714.33	3,131.92	3,758.30
Great Horkesley	1,215.09	1,417.60	1,620.12	1,822.63	2,227.66	2,632.69	3,037.72	3,645.26
Great Tey	1,226.11	1,430.47	1,634.82	1,839.17	2,247.87	2,656.58	3,065.28	3,678.34
Langham	1,219.65	1,422.92	1,626.20	1,829.47	2,236.02	2,642.57	3,049.12	3,658.94
Layer Breton	1,192.80	1,391.60	1,590.40	1,789.20	2,186.80	2,584.40	2,982.00	3,578.40
Layer de la Haye	1,208.28	1,409.66	1,611.04	1,812.42	2,215.18	2,617.94	3,020.70	3,624.84
Layer Marney	1,192.80	1,391.60	1,590.40	1,789.20	2,186.80	2,584.40	2,982.00	3,578.40
Little Horkesley	1,223.08	1,426.93	1,630.77	1,834.62	2,242.31	2,650.01	3,057.70	3,669.24
Marks Tey	1,234.55	1,440.30	1,646.06	1,851.82	2,263.34	2,674.85	3,086.37	3,703.64
Messing cum Inworth	1,239.07	1,445.58	1,652.09	1,858.60	2,271.62	2,684.64	3,097.67	3,717.20
Mount Bures	1,211.21	1,413.07	1,614.94	1,816.81	2,220.55	2,624.28	3,028.02	3,633.62
Myland	1,208.46	1,409.87	1,611.28	1,812.69	2,215.51	2,618.33	3,021.15	3,625.38
Stanway	1,237.12	1,443.31	1,649.49	1,855.68	2,268.05	2,680.43	3,092.80	3,711.36
Tiptree	1,263.13	1,473.65	1,684.17	1,894.69	2,315.73	2,736.77	3,157.82	3,789.38
Wakes Colne	1,229.47	1,434.38	1,639.29	1,844.20	2,254.02	2,663.84	3,073.67	3,688.40
West Bergholt	1,243.72	1,451.01	1,658.29	1,865.58	2,280.15	2,694.73	3,109.30	3,731.16

Parish	Band A £	Band B £	Band C £	Band D £	Band E £	Band F £	Band G £	Band H £
West Mersea	1,261.77	1,472.06	1,682.36	1,892.65	2,313.24	2,733.83	3,154.42	3,785.30
Winstred Hundred	1,210.41	1,412.14	1,613.88	1,815.61	2,219.08	2,622.55	3,026.02	3,631.22
Wivenhoe	1,272.19	1,484.22	1,696.25	1,908.28	2,332.34	2,756.40	3,180.47	3,816.56
Wormingford	1,225.66	1,429.94	1,634.21	1,838.49	2,247.04	2,655.60	3,064.15	3,676.98
All other parts of Council's area	1,192.80	1,391.60	1,590.40	1,789.20	2,186.80	2,584.40	2,982.00	3,578.40

Parish Council Precepts 2020/21

Parish	Precept 2019/20	Precept 2020/21	Increase/ (Reduction)	Increase/ (Reduction)
	£	£	£	%
Abberton & Langenhoe	14,619	15,181	562	3.84
Aldham	11,084	13,084	2,000	18.04
Birch	9,000	11,000	2,000	22.22
Boxted	49,272	51,418	2,146	4.36
Chappel	17,034	17,034	0	0.00
Copford	37,197	40,494	3,297	8.86
Dedham	42,033	42,068	35	0.08
East Donyland	63,302	69,282	5,980	9.45
East Mersea	7,814	7,814	0	0.00
Eight Ash Green	32,224	33,829	1,605	4.98
Fingringhoe	11,675	11,751	76	0.65
Fordham	29,450	29,333	(117)	(0.40)
Great Horkesley	19,854	35,075	15,221	76.67
Great Tey	18,427	18,927	500	2.71
Langham	19,193	19,690	497	2.59
Layer Breton	0	0	0	n/a
Layer de la Haye	15,891	16,735	844	5.31
Layer Marney	0	0	0	n/a
Little Horkesley	3,631	4,120	489	13.47
Marks Tey	55,603	59,550	3,947	7.10
Messing cum Inworth	11,267	12,235	968	8.59
Mount Bures	3,385	2,938	(447)	(13.21)
Myland	136,220	137,470	1,250	0.92
Stanway	172,675	270,000	97,325	56.36
Tiptree	358,678	370,059	11,381	3.17
Wakes Colne	13,122	13,122	0	0.00
West Bergholt	92,577	102,367	9,790	10.57
West Mersea	304,041	327,317	23,276	7.66
Winstred Hundred	12,884	12,884	0	0.00
Wivenhoe	324,829	339,500	14,671	4.52
Wormingford	9,439	9,552	113	1.20
Totals	1,896,420	2,093,829	197,409	10.41

13 February 2020

Report of	Assistant Director for Corporate and Improvement Services	Author	Paul Cook ☎ 505861
Title	Supplementary Budget Report 2020/21		
Wards affected	All		

1 **Executive Summary**

- 1.1 This report includes additional information and recommendations to the budget report recommended by Cabinet. It also takes account of recommendations from and discussions with the 28 January 2020 Scrutiny Panel meeting.
- 1.2 The report provides further budget detail on
 - New Strategic Priorities including the Northern Gateway.
 - Business Rates
 - The ability to identify savings to close the forecast budget gap from 2022/23 onwards.
- 1.3 New Homes Bonus is allocated to the Local Highways Panel and St Marks Community Centre.

2 **Recommended Decisions**

- 2.1 To note the treatment of £500k as set out in section 6.14 of the 29 January 2020 Cabinet budget report
- 2.2 To note that 29 January 2020 Cabinet acknowledged that the wording of para 6.12 of the Cabinet budget report should have stated that Council had not agreed to release the funds.
- 2.3 To agree allocations of £100k to the Local Highways Panel in 2020/21, and £150k to St Marks Community Centre in 2021/22 from the Balance for future allocation and New Strategic Priorities set out in Row 20 of Appendix K of the 29 January 2020 Cabinet Report.

- 2.4 To note the feasibility and implementation allocations and indicative programme costs for New Strategic Projects set out in Appendix L.

3 New Strategic Priorities

- 3.1 Cabinet at its meeting on 20 November 2019 allocated £500k of reserves for the implementation of New Strategic Projects including feasibility assessments and scoping exercises. Appendix L sets out the use of those reserves.
- 3.2 Appendix L also sets out indicative capital and revenue for the New Strategic Priorities. These figures will be refined following the feasibility and scoping exercises. The planned investment is provided for in the Medium Term Financial Forecast.

4 Budget gaps after 2020/21

- 4.1 The main budget report forecasts two levels of budget gap. These are
- the position if government funding is broadly at current levels
 - the position assuming loss of government support in £500k annual steps from 2021/22 onwards

Table - Budget (Surplus)/Gaps forecast in the Medium Term Financial Forecast (£k)						
		19/20	20/21	21/22	22/23	23/24
1	Government funding maintained	0	0	(43)	494	1,086
2	After funding loss in £500k steps	0	0	457	1,494	2,586

- 4.2 The Council has a good record of delivering efficiencies. Since 2010 it has identified £21.3m of revenue savings up to and including the 2020/21 budget. With appropriate reviews and efficiency improvements it is expected the savings requirements set out in the table can be achieved.

5 Business Rates and Future Funding

- 5.1 The major uncertainty over the next few years is Government's undertaking to introduce 100% business rates retention and carry out a Fair Funding Review. These changes are planned for 2021/22. Any financial implications will need to be addressed in setting the 2021/22 budget.
- 5.2 The likely impact of 100% retention was reported to Scrutiny Panel 15 October 2019. The position has not changed substantially since then and is summarised in the paragraphs below.
- 5.3 The current business rates retention system has applied since 2013/14. Each authority is set a business rates baseline. The baseline is then increased annually for inflation. The baseline is intended to be a fair assessment of the authority's business rates collection potential.
- 5.4 A separate spending need assessment for the local authority (unchanged in principle since before 2013/14) is made based on various factors.
- 5.5 The authority's 40% share of the baseline plus any Revenue Support Grant and other grants make up its finance settlement. The settlement will differ from what the

authority has been assessed to need in funding. If higher, a tariff is paid by the authority to the government. If lower a top-up is received by the authority.

- 5.6 Colchester is a tariff authority. Furthermore, by regularly collecting more than the baseline can retain additional business rates.
- 5.7 A further aspect of the current system is for authorities to combine in a business rates pool. For technical reasons treating several authorities as a single authority reduces the share of rates collected returned to the government. In the case of the Essex Pool this has resulted in a £200k per annum budgeted gain in the Colchester Medium-Term Financial Forecast. This level of pooling gain is expected to continue to be achieved. However, the arrangements after 2020/21 remain unclear.
- 5.8 In the 2020/21 Local Government Finance Settlement MHCLG confirmed:
- Not making major local government funding reform until after a full Spending Review
 - Introducing reforms to the system to increase stability and certainty
- 5.9 As an authority experiencing and planning for an ambitious level of growth, the key aspects of any future MHCLG consultation will include:
- How much and for how long will Colchester retain the benefit of the additional business rates it generates?
 - Why should new rating powers and abilities be restricted to Combined Authorities?
 - Would Colchester be affected by any major change in London business rates especially if business rates powers were fully devolved to London?

6 New Homes Bonus Allocations

- 6.1 Additional New Homes Bonus allocations have been identified since the 29 January 2020 Cabinet meeting as follows
- £100k support for the Local Highways Panel in 2020/21
 - £150k support for St Marks Community Centre in 2021/22.

7 Consultation

- 7.1 This report reflects discussions at 28 January 2020 Scrutiny Panel and 29 January 2020 Cabinet.

8 Financial implications

- 8.1 As set out in the report.

9 Environmental and Sustainability Implications

- 9.1 The New Strategic Priorities reflect the Council's declaration of a Climate Emergency and its commitment to becoming carbon neutral by 2030. The

environmental and sustainability implications of individual programmes will be thoroughly assessed with reference to the definition of sustainable development set out in the National Planning Policy Framework. Indicative allocations for New Strategic Priorities are set in Appendix L

10 Equality and Diversity Implications

- 10.1 Consideration will be given to equality and diversity issues in taking forward budget proposals. This will be done in line with agreed policies and procedures including production of Equality Impact Assessments where appropriate.

11 Risk Management Implications

- 11.1 As set out in the report

12 Other Standard References

- 12.1 There are no direct Publicity, Human Rights, Community Safety or Health and Safety implications as a result of this report.

Appendices

- Appendix L – New Strategic Priorities

Background Papers

None

Appendix L – Indicative funding allocations for New Strategic Priorities

- 1 These New Strategic Priority themes are at an early stage. The scoping and feasibility work provided for in the budget will lead to greater clarity for each theme. The scoping exercises will be completed by Summer 2020. When the scoping exercises are available, they will be taken into account by the 'We Are Colchester' work towards a Towns Fund bid to Government. They are inviting proposals for up to £25M, to the terms of their prospectus, the intent to draw in significant additional investment from other partners, business and the wider public sector. That is likely to lead to some adjustments to the New Strategic Priorities and associated initial funding allocations

The Towns Fund

- 2 The Towns Fund will provide the core public investment in Town Deals. The objective of the Fund is to drive the economic regeneration of towns to deliver long term economic and productivity growth through:
 - Urban regeneration, planning and land use: ensuring towns are thriving places for people to live and work, including by: increasing density in town centres; strengthening local economic assets including local cultural assets; site acquisition, remediation, preparation, regeneration; and making full use of planning tools to bring strategic direction and change.
 - Skills and enterprise infrastructure: driving private sector investment and ensuring towns have the space to support skills and small business development.
 - Connectivity: developing local transport schemes that complement regional and national networks, as well as supporting the delivery of improved digital connectivity

	<p>Place Theme including</p> <ul style="list-style-type: none"> • Create a vision for Colchester Town Centre that puts Colchester on the map as a regional centre for heritage and culture and a place to visit, invest in and re-locate to. Work with partners to harness significant regeneration opportunities. • Government has launched the £3.6bn Towns Fund to unleash the full economic potential of over 100 places (including Colchester). Local people will make proposals for a significant investment of up to £25 million in each place. Objectives are to increase economic growth with a focus on regeneration, improved transport, better broadband connectivity, skills and culture. The private sector has an integral role to play in Town Deals– driving investment and value for money and ensuring that funding delivers the jobs, businesses and homes towns need to thrive for generations to come. A Board must be established for each Town Deal led by a representative of the local business community. • Stage 1 provides capacity support to places to put the structures and vision in place in order to move to the next stage of 	50	100	2,000	<p>The Towns Fund is detailed separately in the Capital Programme</p> <p>Place projects will use external grants and partner contributions</p> <p>There are likely to be ongoing revenue costs</p>
--	---	----	-----	-------	--

	<p>agreeing a deal. Colchester has been allocated £173,029.</p> <ul style="list-style-type: none"> • Stage 2 of the programme will use the locally owned Town Investment Plan to put together a business case to apply for up to £25m of government funding for interventions. The Colchester Board will be seeking up to £25m from Government plus significant additional investment from other partners. Towns Fund priorities will clearly have an impact upon the Council's own New Strategic Priorities, and it is only possible to give indicative figures for the New Strategic priorities at this stage. • Appendix B of the Cabinet Report adds £10m for the period 2021/22 to 2023/24 to the Capital Programme as an indicative figure. This is set out in row 3 of Table B2. This allocation will be revised as the programme develops. • Prioritise plans for cycling and walking in Colchester and develop new projects to encourage sustainable modes of travel, improving health, wellbeing, community safety and air quality and providing a more attractive environment for people to cycle and walk • Create Garden Communities to deliver a step-change in homes and jobs and 				
--	--	--	--	--	--

	<p>address residents' aspirations for the prospects and prosperity of Colchester through resilient, self-reliant communities and stewardship of community assets.</p> <ul style="list-style-type: none"> • Work with partners to develop a vision for the upper, middle and lower River Colne that prioritises its value as a unique natural asset to be carefully utilised, protected and enhanced. 				
					Range for Place Theme
					Scope
					High
					Low
					Rev
					Cap
					Scope
					100
					150
					2,000
					25
					50
					500

	Commercial Theme including: <ul style="list-style-type: none"> Regenerate the Rowan House site and existing accommodation to provide top quality office space and stimulate inward investment, providing a better working environment and additional revenue. Creating a new gateway to Colchester, jobs and housing and contributing to sustainability and the council's revenue with land south of Axial Way and adjacent to the stadium. 	150	0	0	It is expected the commercial projects will be self-financing or income generating. Project costs will either be covered by capital receipts or project income will fully meet the cost of any prudential borrowing Business cases for individual projects will be presented to Cabinet Feasibility costs will be capitalised once a scheme goes ahead releasing the £150k revenue investment			
					Range for Commercial Theme			
						Scope	Rev	Cap
					High	300		
					Low	100		

	<p>Community Theme including:</p> <ul style="list-style-type: none"> Improved community facilities by building on existing assets (people and places) that enable communities to come together, play together & encourage improved health and wellbeing. Building on the work of Creative Colchester by working with them and Arts funded partners to develop a collaborative Cultural Vision and Ambitions for the Borough Bringing our history to life, from the Temple and Castle to the Roman Circus, through display of physical objects, events, interpretation and commemoration to physical and digital trails and displays. Building pride in Britain's 1st City, drawing in residents and visitors. 	150	100	4,000	<p>The Youth Zone project will rely on matched funding from other stakeholders</p> <p>There are likely to be ongoing revenue costs for heritage and cultural projects</p>
--	--	-----	-----	-------	---

	<ul style="list-style-type: none">• Work in collaboration to bring a Youth Zone to Colchester and improve facilities, activities and youth engagement aiming for positive impacts on volunteering, improved health & wellbeing, reducing ASB and crime and developing a greater sense of community.																
					Range for Community Theme												
					<table><tr><td></td><td>Scope</td><td>Rev</td><td>Cap</td></tr><tr><td>High</td><td>200</td><td>200</td><td>2,000</td></tr><tr><td>Low</td><td>100</td><td>50</td><td>6,000</td></tr></table>		Scope	Rev	Cap	High	200	200	2,000	Low	100	50	6,000
	Scope	Rev	Cap														
High	200	200	2,000														
Low	100	50	6,000														
	Total all themes	500	605	10,000	Overall cost will be contained within these figures												

Extract from the draft minutes of the Cabinet meeting on 29 January 2020

411. Climate Emergency Action Plan

The Assistant Director for Environment submitted a report a copy of which had been circulated to each Member together with the recommendation from the Scrutiny Panel meeting of 28 January 2020.

Rory Doyle, Communities Group Manager, presented the Climate Emergency Action Plan to the Cabinet. He highlighted that the Carbon Trust had praised the Council for its previous track record. The Council had achieved a 40.8% decrease in carbon dioxide emissions since 2008 and reached the target in its 2016-19 Local Authority Carbon Management Plan a year early. The Action Plan incorporated a number of the Carbon Trust's recommendations. It also showed how the Council would work with the local community and other stakeholders to address the Climate Emergency. The Action Plan proposed to aim for a net carbon zero target in respect of emissions within the Council's direct control (Scope 1 and Scope 2 emissions) and some Scope 3 emissions. However, it was proposed that the Council should collect available data and measure further relevant Scope 3 emissions, and then report back to Cabinet when this further information was available.

Councillor Davies, Chairman of the Scrutiny Panel, attended and addressed the Cabinet to introduce the recommendations from the Scrutiny Panel. The Panel had stressed the need for the targets in the Action Plan to be measurable. The Panel were also keen to see the introduction of a Supplementary Planning Document that would require the installation of electric vehicle charging points in all new homes, and believed that other authorities had introduced such a policy. The Panel had noted the comments about Leisure World and felt it would useful to benchmark Leisure World against a similar facility of a similar age. The scale of the change required to deal with the Climate Emergency must not be underestimated and conservation and environmental sustainability issues had to be at the heart of everything the Council did.

Councillor Cory, Leader of the Council and Portfolio Holder for Strategy, thanked the Conservation and Environmental Sustainability Task and Finish Group and officers for their work on the Action Plan. The comments of the Scrutiny Panel in respect of SMART targets would be considered further by the Task and Finish Group when the Action Plan was reviewed. In respect of the installation of electric vehicle charging points, it was not possible to make this mandatory at this stage and the Council's policy was as strong as it could be in the circumstances.

Councillor King, Portfolio Holder for Business and Resources, accepted there was a need for cultural change. However, progress was being made and all decision making reports were now required to address the conservation and environmental sustainability implications of the decision.

RESOLVED that:-

(a) The findings set out in the Climate Action Planning Report prepared by the Carbon Trust (Appendix A of the Assistant Director's report) be noted.

(b) The recommendations from the Conservation, Environment and Sustainability Task and Finish Group, as set out below, be approved.

(a) The Climate Emergency Action Plan be approved, subject to the inclusion and clarification of Scope 3 elements to the section entitled "Scope of the Carbon Emission Target".

(b) The Climate Emergency Action Plan be kept under review and that the Council commit to a target in respect of additional Scope 3 emissions once measurement of this wider carbon footprint has been undertaken.

(c) The Climate Emergency Action Plan be **RECOMMENDED** to **COUNCIL** to note in accordance with terms of the motion on the Climate Emergency agreed in July 2019.

(d) The recommendations from the Scrutiny Panel be noted.

REASONS

The Council has declared a climate emergency in recognition of the urgent need to take action to address global warming and the crisis being created by unavoidable climate change.

In declaring a climate emergency, the Council has made tackling climate change a New Strategic Priority and our initial Climate Emergency Action Plan (Appendix B) reflects this.

ALTERNATIVE OPTIONS

No alternative options were proposed, but it was open to Cabinet not to approve the recommendations from the Task and Finish Group.

Extract from the draft minutes of the Cabinet meeting of 29 January 2020

420. Safeguarding Policy and Suicide Protocol

The Assistant Director for Communities submitted a report a copy of which had been circulated to each Member.

Councillor Fox, Portfolio Holder for Housing, stressed the importance of the Safeguarding Policy and Suicide Protocol, which helped ensure that officers had the tools and processes to deal effectively with the most vulnerable residents.

RESOLVED that:-

- (a) The revised Safeguarding Policy (Version 7) be approved and authority for minor amendments be delegated to the Assistant Director for Communities in consultation with the relevant Portfolio Holder.
- (b) The revised Suicide Protocol (Version 2) be approved and authority for minor amendments be delegated to the Assistant Director for Communities in consultation with the relevant Portfolio Holder.

RECOMMENDED TO COUNCIL that:-

- (a) The revised Safeguarding Policy (Version 7) be adopted into the Policy Framework and that the Safeguarding Policy be reviewed formally every five years (unless there is a major change to legislation or approach).
- (b) The revised Suicide Protocol (Version 2) be adopted into the Policy Framework and that the Suicide Protocol be reviewed formally every five years (unless there is a major change to legislation or approach).

REASONS

By reviewing and approving the revised Safeguarding Policy and Suicide Protocol, Cabinet will assist the Council in meeting its legal duties.

ALTERNATIVE OPTIONS

No alternative option was proposed as this was a statutory requirement.

Extract from the draft minutes of the Governance and Audit Committee meeting on 21 January 2020

193 Review of Local Code of Corporate Governance

The Committee was requested to review the revised Local Code of Corporate Governance. Hayley McGrath, Corporate Governance Manager, attended to assist the Committee and presented the report. It was explained that the draft Local Code of Corporate Governance had been considered by this Committee at its previous meeting in November 2019, and following discussions at that meeting, the wording of Principle Two of the proposed Code had been revisited and further revised. Members were advised that the Monitoring Officer had considered the proposed Code in the light of comments made by the Committee that the phrase “common purpose” may not accurately reflect political differences inherent in the Council’s structure. The proposed wording of Principle Two of the Proposed Code had therefore been changed to link the phrase “common purpose” to the Council’s Strategic Plan which had been unanimously approved at Full Council. The wording had therefore been amended to “Members and officers working together to deliver the objectives of the 2018-2021 Strategic Plan (the common purpose), with clearly defined functions and roles.”

Councillor Pearson commented that this matter had been discussed at length in the previous meeting, and proposed that the suggested amendments to the Code be approved and recommended to Full Council for inclusion in the Policy Framework.

RESOLVED that the revised wording of Core Principle 2 of the Local Code of Corporate Governance be approved and the Local Code of Corporate Governance be referred to Full Council.

RECOMMENDED TO COUNCIL that the revised Local Code of Corporate Governance be included in the Policy Framework.

Record of Decisions taken under Scheme of Delegation to Cabinet Members
27 November 2019 – 4 February 2020

Portfolio – Business and Resources					
Date	Number	Report Title	Author	Decision	Result
24 January 2020	RES-009-19	Contract Award for Roofing Works at Leisure World Colchester	Martin Leek	To agree to enter into a contract with the successful tenderer Roofing Contractors (Cambridge) Limited for the delivery of the roofing works.	Decision agreed 31 January 2020

Portfolio – Culture and Performance					
Date	Number	Report Title	Author	Decision	Result
None in this period					

Portfolio – Commercial Services					
Date	Number	Report Title	Author	Decision	Result
None in this period					

Portfolio – Customers					
Date	Number	Report Title	Author	Decision	Result
17 December 2019	CUS-001-19	Built Environment and Regulatory System Award of Contract	Rob Molnar	To award a contract to Northgate Public Services UK Ltd. for the supply of a System for Build Environment	Decision agreed 30 December

Agenda item 9

**Record of Decisions taken under Scheme of Delegation to Cabinet Members
27 November 2019 – 4 February 2020**

				and Regulatory services under the GOV.UK G-Cloud 11 framework.	2019
--	--	--	--	--	------

Portfolio – Housing					
Date	Number	Report Title	Author	Decision	Result
18 December 2019	HOU-008-19	Award of Contract for Window Cleaning Services of the Housing Stock	Clare Lawrance	To accept the tender submitted by S & S Cleaning Services Ltd for Communal Area Window Cleaning Services	Decision agreed 31 December 2019
9 January 2020	HOU-009-19	Housing Revenue Account Fees and Charges 2020-21	Suzanne Norton	Approval of the Housing Revenue Account Fees and Charges 2020/21	Decision agreed 23 January 2020

Portfolio – Communities, Well Being and Public Safety					
Date	Number	Report Title	Author	Decision	Result
None in this period					

**Record of Decisions taken under Scheme of Delegation to Cabinet Members
27 November 2019 – 4 February 2020**

Portfolio – Strategy					
Date	Number	Report Title	Author	Decision	Result
17 December 2019	STR-001-19	Response to ECC A120/A133 Link Road & Rapid Transit System Consultation	Rachel Forkin	To respond to the consultation on the A120/A133 Link Road and Rapid Transit System as set out in Appendix C of the Portfolio Holder Report.	Decision agreed 30 December 2019

Portfolio – Waste, Environment and Transportation					
Date	Number	Report Title	Author	Decision	Result
None in this period					

Report of	Assistant Director for Corporate and Improvement Services	Author	Paul Cook ☎ 505861
Title	2020/21 Revenue Budget, New Strategic Priorities and the Medium-Term Financial Forecast		
Wards affected	All		

1 Executive Summary

- 1.1 The Council continues to demonstrate prudence and robust financial management. It is therefore able to invest in New Strategic Priorities and deliver a balanced revenue budget for 2020/21. This will require a modest £4.95 (2.6%) increase in the Colchester Borough Council Tax for 2020/21. Grants to parish councils have been maintained at 2019/20 levels after several years' successive reductions.
- 1.2 The report also covers the Council's future investment in long term assets via its Capital Programme; Capital Strategy and Treasury Management Strategy for 2020/21.
- 1.3 The report also sets out the Medium-Term Financial Forecast to 2023/24.

2 Recommended Decision

- 2.1 To approve the 2020/21 Revenue Budget and Medium-Term Financial Forecast as set out in Appendices A, G and H.
- 2.2 To approve the use of General Fund balances and reserves to make a £2.805m one off pension fund deficit payment for 2020/23 as set out in Section 7 of this report.
- 2.3 To make revenue budget provision in 2020/21, 2021/22 and 2022/23 to meet the cost of the pension deficit payment for 2023/24 as set out in Section 7 of this report.
- 2.4 To approve the pension 'pass through' arrangement from April 2019 for Amphora employees as set out in Section 7 of this report and to delegate completion of the final agreement to the Portfolio Holder for Resources in conjunction with the S151 Officer.
- 2.5 To approve the allocation of £500k in the 2020/21 budget for the Local Plan, noting that use will be dependent on the Planning Inspectorate hearing outcomes and the

consequent way ahead for garden communities, North Essex Garden Communities Ltd or alternative approaches.

- 2.6 To approve the Capital Strategy and Capital Programme set out in Appendix B.
- 2.7 To note the budget resilience statement set out in Appendix D and the forecast level of reserves and balances set out in Appendix I.
- 2.8 To approve the Treasury Management Strategy Statement and prudential indicators set out in Appendix E.
- 2.9 To recommend to Council the 2020/21 revenue budget requirement of £24,514k.
- 2.10 To recommend to Council Colchester's element of the Council Tax at £195.57 per Band D property being an increase of £4.95 (2.6%).
- 2.11 To approve care leavers treatment as designated persons for council tax purposes removing any council tax liability in accordance with Section 13 of this report.
- 2.12 To note the 2020/21 implementation agreed in 2019 Budget Setting of a 200% council premium for properties empty over five years.

3 Reason for Recommended Decisions

- 3.1 The Council is required to determine its annual budget requirement and set a council tax by 11 March preceding the new financial year.
- 3.2 The Chief Finance Officer must report to the Authority on the robustness of the estimates used to calculate its budget requirement and the adequacy of the proposed reserves.

4 Alternative Options

- 4.1 None

5. Background information

- 5.1 The timetable and approach to the 2020/21 budget strategy was agreed at Cabinet on 10 July 2019. The Budget was further developed in a report to 20 November 2019 Cabinet.

6 New Strategic Priorities

- 6.1 The Council's budget and forward planning is centred around our obligation to provide high quality statutory and other services to the people of Colchester Borough, in accord with the Council's Strategic Plan.
- 6.2 The Council's 2020/21 Budget and Medium-Term Financial Forecast will maintain or improve those essential services, supporting those helping others. The budget will continue to improve the facilities and opportunities available to the people of Colchester and the wider Borough, and our visitors, through capital investment and the New Strategic Priorities agreed by Cabinet in November 2019. Early progress and illustrative highlights are set out below, by theme:

Environment Theme

6.3 Environment and Sustainability

- The Environment and Sustainability Task and Finish Group's work is underway and will inform the Council's response to the Climate Emergency
- A Carbon Trust 'Footprint Report' shows Colchester met its 2020 target one year early and includes proposals for Carbon Neutrality by 2030
- The Climate Emergency Action Plan will present a range of ambitious actions for Full Council to adopt in February, with resources made available to deliver

6.4 Colchester Woodland Project

- Thousands of trees have been planted at community events across Colchester and a further 10,000 trees will be donated to the public, parish councils and community groups to plant on their land by the end of March 2020
- Environmental Impact Assessments of larger planting sites will be completed by May 2020 and work is underway towards delivery of 200,000 trees by 2024

6.5 Waste and Recycling Service

- A comprehensive review of the service is being carried out aiming to improve collection and recycling performance, service to the customer and employee health and wellbeing

Place Theme

6.6 Highways and Cycling

- Work is underway to review options for cycle routes, cycle security, cycle parking and to 'green' the Colchester Orbital
- Workstreams are being developed to encourage sustainable modes of travel improving health, wellbeing, community safety and air quality.
- A new Transport Strategy is being sought with Essex County Council to prioritise plans for cycling and walking, part of a wider partnering approach that will see jointly funded much needed Town Centre high street improvements

6.7 Garden Communities and the Local Plan

- Joint work continues with Government, Essex County and other Council partners towards infrastructure supporting future garden communities
- Government commitments have been secured for improvements to the A12 and A133/A120 link road. Further government funding has been provided for garden community development
- Local Plan hearings opened 14 January 2020 with future funding and next steps subject to the Inspector's report.

6.8 River Colne Renewal

- Cleanliness and appearance of the River Colne is being reviewed with the Environment Agency
- Ideas gathered by the Policy and Public Initiatives Panel are being reviewed for further consultation and public engagement to consider issues such as access, use and river condition
- A longer-term vision for the River Colne will be developed

Commercial Theme

6.9 Rowan House Site

- A Workforce, ICT and accommodation improvement strategy is in development to provide more effective working tools and a modern and effective business environment
- Detailed feasibility work being scoped and costed including 'Amphora 3' development and budget implications

6.9 Northern Gateway

- The Northern Gateway South Masterplan and Heat Network boreholes have been completed
- Sports Park construction is progressing well (opening Summer 2020) providing high quality facilities for residents and visitors, to encourage and enable more sport participation and greater community health and wellbeing.

Community Theme

6.10 Renew Our Community Assets

- Colchester Borough is home to many types of community assets, ranging from established Borough-wide or local neighbourhood community groups to green spaces. Many wards and parishes contain village halls and venues for hire. Neighbourhoods develop their own publications and online resources to share with their neighbours. Volunteers lead and contribute to activities which improve the quality of life of residents.
- This renewal programme is in the scoping phase. It will build on the recent Local Delivery Pilot that is increasing participation in sport and leisure. It will also build on experience from recent S106 funded community projects.
- The project will develop of a new asset-based community development strategy by March 2020

6.11 Cultural Strategy

- Developing a refreshed cultural and arts and heritage vision and strategy with partners with an external consultant to be appointed by April 2020

6.12 Youth Focus

- Conducting an independent study and analysis to consider the benefits and costs of a Youth Zone for Colchester by the end of January 2020
- Broadening the study to consider Youth Provision across the borough and identify any gaps with an interim report due February 2020

6.13 Heritage Live

- Highlighting of Colchester Castle and Balmerne Hill due for completion February 2020
- Commencing work on Nero and Gladiators Castle Exhibition to support a 'Roman Invasion'. Exhibition to open in August 2021
- Commence preparation for Roman Church structural works in April 2020
- Engaging with schools to support visits to museums
- Commemoration of Captain Jones and Lieutenant Pinto with work commencing in March 2020

6 Local Plan and North Essex Garden Communities

- 6.11 Local Plan hearings are taking place in January 2020. At the hearings the Inspector is publicly examining the additional evidence submitted by Braintree, Colchester and Tendring councils in support of their Local Plans. The hearings are in response

to questions raised by the Planning Inspector about Garden Communities. Garden Communities are the long-term strategy of the three North Essex councils, in partnership with Essex County Council, to help meet the future growth of the area in a more strategic and infrastructure supported way, in accord with Government direction and policy

- 6.12 Half of the necessary planning and development funding has been provided by Government, the balance by stage by the Council partners. Release of the latest instalment of £350k for the 2019/20 Colchester contribution to North Essex Garden Communities was postponed, pending the Inspector's decisions. If garden communities are approved full Council will be asked to agree to release this sum, currently held in our reserves.
- 6.13 Colchester Council remains a full partner and shareholder in the current delivery vehicle, North Essex Garden Communities Ltd (NEGC). Continuing support for which has been demonstrated by the Government's announcement on 14 January 2020 of a further £550k grant for the project. Further support from Government is expected as from our Council partners who like Colchester Borough Council will provide or plan for future year Local Plan support, including garden community plans and development.
- 6.14 Colchester Borough Council accordingly sets aside £500k of New Homes Bonus funding in years 2020/21 to 2023/24 to allow for development of the Local Plan. If the Inspector finds in favour of Garden Communities, this could be used to make North Essex Garden Communities contributions. If the Inspector finds against Garden Communities, the New Homes Bonus could be used to take forward an alternative approach to the Local Plan or to otherwise mitigate the impacts of development or to meet the infrastructure needs that would have been met through garden communities.
- 6.15 More details on the financial arrangements for North Essex Garden Communities are set out in Appendix C.

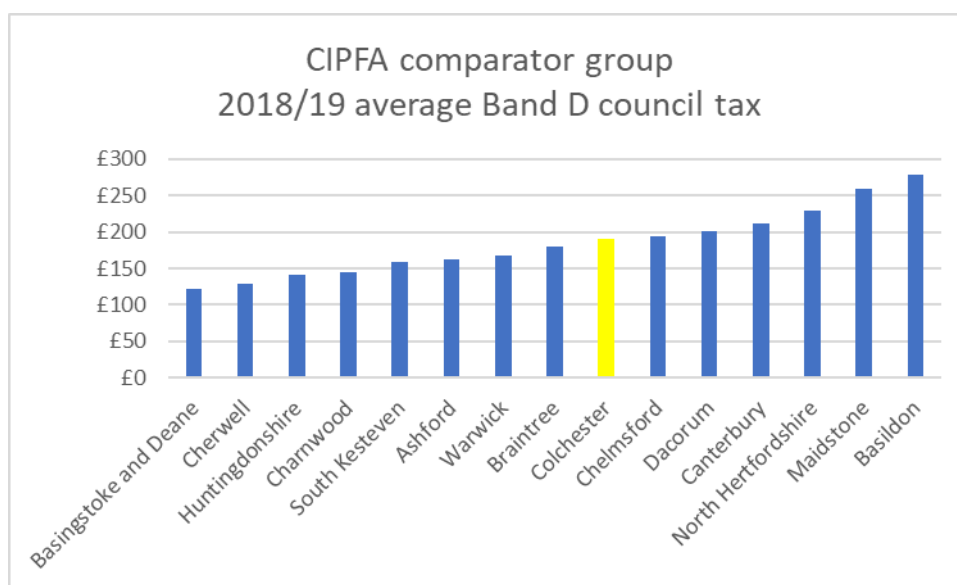
7 Pensions

- 7.1 The 2019 Essex County Council Superannuation Fund actuarial valuation has been completed. The Colchester deficit - which was assessed at £31m in the 2016 valuation – has reduced to £17m. This deficit will be repaid over the next 16 years, this being the period recommended by the scheme actuary.
- 7.2 The most financially advantageous option for CBC is to pay 3 years' deficit contributions up front in 2020/21. This is the approach that was successfully followed in 2017/18.
- 7.3 The 2020-23 Medium Term Financial Forecast includes annual contributions to replenish a reserve for future deficit repayments. The deficit will be reassessed by the scheme actuaries in their 2022 valuation. A reserve is planned to be available in April 2023 to pay the expected 2023-26 deficit repayments up front.
- 7.4 At the establishment of Amphora, it became a separate member of the Essex superannuation fund. Amphora membership ensured transferring employees could continue in the pension scheme. The Amphora membership is underwritten by the Council.

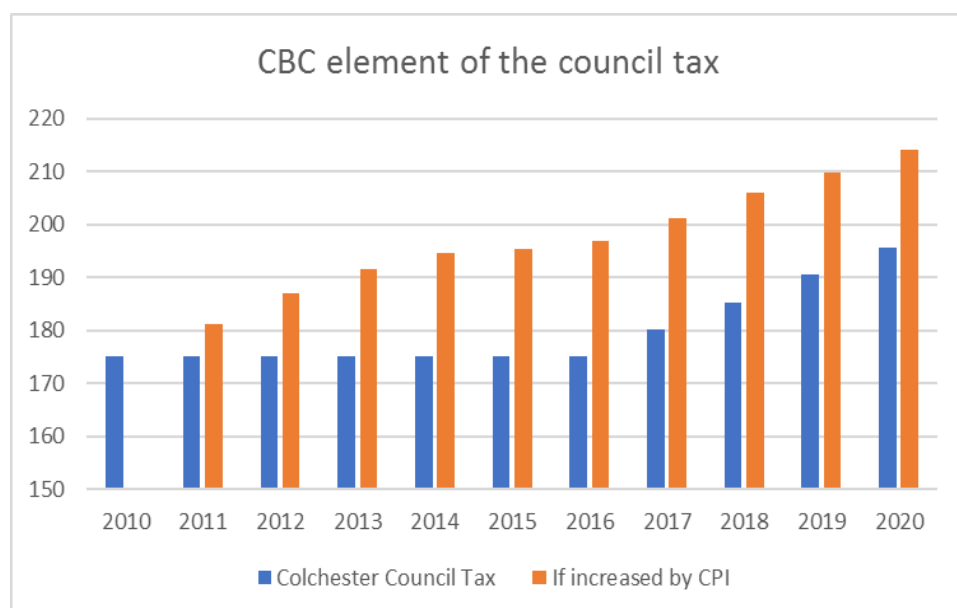
- 7.5 Under company accounting requirements changes in fund asset values and pension liabilities must be reflected in profit and loss. This has led to unpredictable variations in profitability. This is inappropriate as Amphora is in any case fully owned by the Council.
- 7.6 It is therefore proposed to 'pass through' the Amphora pension liabilities back to the Council from April 2019, including them in the wider Council pension scheme. This will reflect the practical reality that the Amphora is an alternative vehicle for delivering Council services. The change will avoid misleading volatility in Amphora profitability and enable the variations to be treated through reserves in the Council's accounts without impacting on the budget requirement.

8 Council Tax

- 8.1 The proposed council tax for Colchester represents good value. The chart shows the council tax in 2019/20 was within the interquartile range for the Council's comparator group.



- 8.2 The chart demonstrates how Colchester's council tax increases have lagged behind inflation over the last few years.



9 Prudence

- 9.1 The Section 151 Officer is content with the resilience of the proposed 2020/21 budget and the level of reserves. The Budget Resilience Statement is set out in Appendix D. The forecast level of reserves is set out in Appendix I
- 9.2 It is expected that the Council will spend within budget in 2019/20.
- 9.3 The General Reserve is forecast to be £2.373m at the end of 2020/21 and therefore fulfils the agreed minimum level of 10% of the net budget.

10 Consultation

- 10.1 Scrutiny Panel has examined the 2020/21 Budget and Medium Term Financial Forecast at its July 2019 and November 2019 meetings. This report will be considered by Scrutiny Panel at its 28 January 2020 meeting.
- 10.2 The Leader of the Opposition and the Shadow Portfolio Holder for Resources have been offered the opportunity to meet with officers to assist with consideration of any alternative budget proposals.
- 10.3 A consultation meeting with business ratepayers took place on 15th January 2020. The main comments made were that new and start-up businesses could benefit greatly by clearer information on business rates liabilities and discounts from the Council so that this element of their business could be effectively managed.

11 Financial implications

- 11.1 As set out in the report.

12 Environmental and Sustainability Implications

- 12.1 The New Strategic Priorities reflect the Council's declaration of a Climate Emergency and its commitment to becoming carbon neutral by 2030. The environmental and sustainability implications of individual programmes will be thoroughly assessed with reference to the definition of sustainable development set out in the National Planning Policy Framework.

13 Equality and Diversity Implications

- 13.1 Consideration will be given to equality and diversity issues in respect of budget changes proposed as part of the budget process. This will be done in line with agreed policies and procedures including production of Equality Impact Assessments where appropriate.
- 13.2 Care leavers will now be treated as designated persons under the council tax regulations. A care leaver joining an existing household with a single person discount in place will be given sufficient discretionary relief to ensure that the council tax liability does not increase as a result of their presence. It is not expected

this will result in a significant cost, and Essex County Council are bearing a relevant share.

13.3 A household where only care leavers are liable to pay council tax will be given sufficient discretionary relief to extinguish the council tax liability completely.

13.4 A care leaver in a property, which would otherwise be exempt from council tax, will be given sufficient discretionary relief to ensure that no council tax continues to be payable.

14 **Risk Management Implications**

14.1 As set out in the report

15 **Other Standard References**

15.1 There are no direct Publicity, Human Rights, Community Safety or Health and Safety implications as a result of this report.

Appendices






- Appendix A – Revenue Budget 2020/21 and Medium Term Financial Forecast
- Appendix B – Capital Strategy and Capital Programme
- Appendix C – North Essex Garden Communities
- Appendix D – Budget Resilience Statement
- Appendix E – Treasury Management Strategy Statement
- Appendix F – Technical reconciliations of budget requirement
- Appendix G – Summary Budget 2020/21
- Appendix H – 2020/21 General Fund Budgets
- Appendix I – Reserves
- Appendix J – Use of New Homes Bonus

Background Papers

Appendix A - Revenue Budget 2020/21 and Medium Term Financial Forecast

- 1 The provisional 2020/21 local government finance settlement has now been received. All the Council's government support is in the form of retained business rates or New Homes Bonus. Revenue Support Grant is no longer received. The Council fund its net budget from council tax and by exceeding government business rates assumptions.
- 2 The overall 2020/21 Medium Term Financial Forecast is set out in Table A1 below. This show a balanced position for 2020/21. Row 6 shows the forecast budget surplus or gap from 2021/22 onwards assuming a continuity of current funding levels. Row 8 shows the potential gap after including potential government funding losses assumed in the Medium Term Financial Forecast.
- 3 The funding available allows the Council to offer a wide range of services, examples of which are set out in the chart. Full service budgets are provided in Appendices G and H.

Table A1 – Funding the Medium Term Financial Forecast						
		19/20	20/21	21/22	22/23	23/24
		£'000	£'000	£'000	£'000	£'000
1	Base Budget	20,438	19,921	20,351	21,216	21,918
2	Retained business rates	(4,257)	(4,300)	(3,843)	(3,386)	(2,930)
3	Business Rates growth above government plans	(2,163)	(1,444)	(1,929)	(1,929)	(1,929)
4	New Homes Bonus used for base budget	(1,946)	(1,674)	(1,171)	(999)	(603)
5	Council Tax	(12,072)	(12,503)	(12,951)	(13,407)	(13,870)
6	(Surplus)/Gap if government funding maintained	0	0	(43)	494	1,086
7	Potential government funding loss			500	1,000	1,500
8	(Surplus)/Gap after potential loss	0	0	457	1,494	2,586

The Council's direct spending of £84.923m				
Community	Customer	Environment	Policy and Corporate	Back Office
				
£6.437m	£43.836m	£16.127m	£21.287m	£0.991m
Licensing	Elections	Waste	Sport	Democracy
Bereavement	Local Tax	Recycling	ICT	Management
Culture	Benefits	Car Parking	Housing	

Council Tax

- 4 The number of properties expected to be subject to council tax (council tax base) is shown below. The numbers are standardised to council tax band D. (For example, Band A council tax is 6/9 of Band D, so a Band A property would count as 0.667 Band D equivalents. The figures also allow for Single Person and other discounts.
- 5 The increasing numbers of properties demonstrate the growth of Colchester and its increasing council tax base.

Table A2- Changes in Band D equivalent properties		
	No of properties	Gain from previous year
2020/21	63,933	602
2019/20	63,331	1,371
2018/19	61,960	828
2017/18	61,132	636
2016/17	60,496	949

Appendix B – Capital Strategy and Capital Programme

1. The Chartered Institute of Public Finance and Accountancy Prudential Code requires local authorities to produce a Capital Strategy. This is in line with the Ministry of Housing, Communities and Local Government's 2018 statutory guidance on local government investments, particularly about non-financial investments.
2. In contrast to revenue expenditure which is spending on the day to day running costs of services such as employee costs and supplies and services, capital investment seeks to provide long-term solutions to Council priorities and operational requirements that yield benefits to the Council generally for a period of more than one year.
3. The five aims of the Capital Strategy are:
 - a. To take a long-term perspective on capital investment and to reflect the Council's wider place-making and growth agenda.
 - b. To ensure investment is prudent, affordable, and sustainable over the long term.
 - c. To set out the arrangements and governance for capital investment decision-making.
 - d. To make the most effective and appropriate use of funds available - including revenue, capital receipts and housing right-to-buy receipts – to deliver the Council's strategic aims.
 - e. To establish a clear methodology to prioritise capital proposals. .
4. The Council has adopted the New Strategic Priorities set out in this Report.
5. Colchester Commercial Holdings Ltd is the holding company for three separate subsidiaries, with related but distinct products, services, markets and opportunities. These companies make a high-quality commercial offer which maintains the strong public sector ethos of its shareholder.
 - a. Colchester Amphora Trading will deliver high quality products and services to public and private sector clients in the Property, Leisure and Health Care industries.
 - b. Colchester Amphora Energy will design and implement low carbon energy systems and provide energy services in Colchester.
 - c. Colchester Amphora Homes will deliver high quality affordable and private sale homes in Colchester and the surrounding area.
6. Colchester Borough Council's Asset Management Strategy will set out the vision for how we manage our assets over the next 5 years

Principles for Capital Planning

7. The Council operates a clear and transparent approach to the prioritisation of all capital spending. This includes decisions to invest in the Colchester Commercial Holdings group of companies.

Table B1 Investment Principles	
Affordability and financial sustainability, whilst risk aware	The Council will only invest in projects that are affordable and financially sustainable in the long term and where risk is at an appropriate level.
Strategic Plan Spending Priorities	The Council prioritises investment in its Strategic Plan Spending Priorities.
Revolving Investment Fund	The Council operates a Revolving investment Fund to deliver major capital projects.
Investing for growth	The Council will grow Colchester and its economy, whilst delivering whole systems solutions to demographic, social and environmental challenges sustainably across Colchester. This will generate increased business rates income for future retention.
Invest to save and to generate returns	The Council will invest in projects which will <ul style="list-style-type: none"> • reduce service costs • avoid costs (capital or revenue) that would otherwise arise • invest to generate a financial return (invest to invest).
Colchester Commercial Holdings Ltd	The Council will invest in and lend to Colchester Commercial Holdings Ltd to enable the subsidiary companies to provide services to residents and to the Council. The companies also generate dividend income for the Council.
Investment to improve and maintain Council assets and systems	The Council will improve and maintain the condition of core assets and systems to replace them or extend their life where appropriate. The Council will make provision for lifecycle investment to maintain infrastructure to a standard that effectively supports service delivery.

8. The Council owns investment properties in Colchester and the portfolio generates a revenue return. The scale of investment is proportionate, and the risk is at a manageable level. Investment properties are regularly periodically to market level under a rolling programme.
9. When making non-financial investments the Council considers the balance between security, liquidity and yield based on its risk appetite. It also considers the contribution of the non-financial investment to a range of outcomes including growth and income.
10. Colchester has not borrowed for outright investment purposes.
11. The Council's Medium Term Financial Forecast includes dividend income from Colchester Commercial Holdings Limited and investment property income to achieve a balanced budget. These contributions are at a proportionate level.
Funding Sources for Capital Investment
12. The Council funds its Capital Programme from a range of sources, which are principally;
 - a. Capital receipts
 - b. Grants

- c. Section 106 agreements
- d. Reserves and revenue
- e. Prudential borrowing

13. Housing Revenue Account Capital is entirely funded from the ring fenced Housing Revenue Account. It is a rolling 5-year outlook based on stock condition and planned projects. Key areas of housing investment include planned and cyclical works; mechanical and electrical and heating; accessible homes and repairs. The programme also includes development and special projects. The Housing Revenue Account capital programme is funded from:
- a. Housing Revenue Account Self Financing (The Major Repairs Reserve)
 - b. Capital Receipts (Housing Revenue Account)
 - c. Revenue and Reserves (Housing Revenue Account)
 - d. Prudential Borrowing

Governance of the Capital Strategy

14. The Capital Programme will be agreed by full Council as part of the annual budget setting process. Variations to the Capital Programme or any in-year additions must be ratified by Budget Group. Any changes found outside Executive Directors remit will be recommended to Cabinet for approval.
15. The Revolving Investment Fund Committee meets regularly to develop and assess investment proposals. It is supported by the Revolving Investment Fund Steering Group.
16. Capital projects are overseen by the Programme Delivery Board, which will escalate issues to the Revolving Investment Fund Committee or Cabinet as appropriate. This is supported by the Business Delivery Group whose function is to identify risks and issues and to review all new and closed projects.
17. Financial monitoring reports on the capital programme are considered quarterly by Cabinet and monthly by the Business Delivery Group and escalated by exception to the Business Delivery Board.
18. Relevant requirements of the Capital Strategy will be incorporated into financial regulations and standing orders.

Capital Programme 2020/21 onwards

1. The Capital Programme builds on the schemes approved in setting the 2019/20 Budget. The proposed programme reflects 'in house' and external grants and awards and remains dependent on confirmation of values and allocation decisions, by Government and or through the Revolving Investment Fund. The indicative projection below includes £10m for the Town Deal Fund, though that fund could be up to £25M. and assumes:
 - Reprofilling the 2019/20 programme as previously reported, including bringing ultra fast broadband to Colchester with government funding
 - The Towns Deal Fund allocation of £10M is illustrative. The Council will seek the maximum £25M that is available from the Ministry of Housing, Communities and Local Government. Government support could be either capital or revenue. It is expected there will be additional investment from partners.
 - Continuing and augmenting the Revolving Investment Fund. Includes superb facilities at the Northern Gateway Sports Park
 - The New Strategic Priorities set out in the main budget report
 - Upgrading CCTV to digital offering a vastly improved service
 - Setting up a Limited Liability Partnership and Charity to lease 100 newly acquired properties from the council. This will have a significant impact on the need for temporary accommodation and is a ground breaking scheme

Table B2 – Capital Programme

		2019/20	2020/21	2021/22	2022/23	2023/24
		£'000	£'000	£'000	£'000	£'000
1	General Fund 2019 Programme	58,684	9,994	300		
2	Revised 2019 Programme	46,345	46,749	1,900	420	
	New Schemes in addition to the 2019 Programme					
3	Town Deal Fund			3,300	3,300	3,400
4	New Strategic Priorities		5,000	5,000		
5	Land Acquisition					5,000
6	CCTV		500			
7	100 Homes Project		20,000	0		
8	General Fund 2020 Programme	46,345	72,249	10,200	3,720	8,400
9	Housing Revenue Account 2019 Programme	20,851	35,232	25,516	18,204	17,492
10	Revised 2019 Housing Revenue Account Programme	18,866	3,500			
11	New Schemes		26,663	35,349	30,389	21,316
12	Housing Revenue Account 2020 Programme	18,866	30,163	35,349	30,389	21,316
13	Total 2020 Capital Programme	65,211	102,412	45,549	34,109	29,716

Appendix C – North Essex Garden Communities

- 1 Government, Colchester Borough Council and three other Local Authorities (Essex County Council, Braintree and Tendring District Councils) have agreed to work together to meet housing and infrastructure needs across their respective boundaries. To that end the Local Authorities have created a Council owned Company, North Essex Garden Communities Ltd.
- 2 As Shareholders in North Essex Garden Communities Ltd the Councils are bound together, to work as one and to contribute to the running costs needed for feasibility, planning, communications and other work, including support to the Planning Inspector. Council staff, expertise and capabilities are pooled and supplemented when needed.
- 3 Each Council has a different role, Colchester's includes back office support. Colchester Borough Council as banker thus holds contributions from the partners, including Government. Colchester buys in services when needed and covers or carries forward such costs (including any winding up costs) if and when needed, until partner contributions are received.
- 4 Since 2016/17 each partner has provided their agreed shares, but not always at the same time. In 2019/20 the Colchester Council budget included £350k for North Essex Garden Communities. These funds came from the Council's New Homes Bonus. The contribution was one eighth of the overall Budget needed, taking account of other contributions, costs carried forward from 2018/19 and in year predicted spend.
- 5 Pending a formal decision to release the funds, the £350K Colchester contribution has been held in the Council's reserves, available for any purpose. Other North Essex Garden Communities partners have now released their funding.
- 6 North Essex Garden Communities costs however continue to be incurred by Colchester in 2019/20, for recovery as contributions become available. £177k was carried forward from the 2018/19 financial year outturn. Similarly, the Council has incurred £180k on behalf of all partners in 2019/20.
- 7 These total carry costs of £357k reflect Colchester Council's banker role.
- 8 On 14 January 2020 a £500k government grant to support the project was announced. This will potentially enable the Colchester Borough Council carrying cost to be recovered from North Essex Garden Communities.
- 9 For Colchester Council investment to date or budgeted for 2020/21 or the MTFF is significant, but it is small relative to the multi-billion investments that should follow and the significant advantages that garden communities should provide, from greater social and other infrastructure to more affordable and Council housing, and a better quality of life.
- 10 Such spend for each Council is also excellent value for money. For one eighth of overall spend, Colchester Council secures invaluable feasibility testing, viability and development planning work, and cooperation across North Essex.

- 11 If the Planning Inspector finds in favour of Garden Communities, the Local Authorities will need to continue this feasibility and development work. In the longer term some form of delivery vehicle will be formed, with funding to be found from other partners and or Government.
- 12 In the medium term, as noted in para 9 of Annex D of the 20 November 2019 Budget Report to Cabinet Colchester Council and other partners may have to provide further interim funding.
- 13 In the Colchester Medium Term Financial Forecast this is planned at £500k per year. The precise obligation has yet to be quantified. Government help, in those circumstances, would be sought and expected.
- 14 These funds, for 2020/21 and onwards, will only be released if the Planning Inspector approves Garden Communities and only then after agreement with other partners. This next phase of Garden Communities partnering work would involve taking forward the proposals to the stage where external funding for the long term development of garden communities could be secured.
- 15 Funding for North Essex Garden Communities is currently by contribution, as expected for 2020/21, but it is proposed that as soon as practical, these contributions should take the form of loans from the partner authorities. If this approach is agreed these contributions would potentially be repayable from the long term development and delivery funding to be secured from external funders.

Appendix D – Budget Resilience Statement

- 1 In 2018/19 the Council spent within the approved budget. In 2019/20 the Council is forecast to spend within its approved budget. The Council has a good record of delivering agreed savings. The 2020/21 savings proposals were developed by a comprehensive programme of officer meetings reviewing all service budgets line by line supported by Finance Business Partners.
- 2 The Council has in place reliable revenue and capital monitoring processes enabling it to take corrective action in the event of unexpected budget variations. The Council has good finance and performance monitoring processes – including the Performance Management Board and the Revolving Investment Fund Steering Group - that are being further enhanced during 2019/20 and will apply in 2020/21. These arrangements will ensure that any new expenditure proposals are adequately assessed.
- 3 The Council is not relying on the use of balances to deliver its core services in 2020/21.
- 4 The budget process allows for the review of budget proposals by the Scrutiny Panel and this has applied to the 2020/21 proposals. The Council's use of resources judgment by BDO in the 2018/19 audit was satisfactory, following an assessment of the Council's approach. There is an effective risk management process in place
- 5 The level of Council borrowing and reserves is reasonable in comparison to other authorities in its comparator group as set out in the budget report to November 2019 Cabinet. In particular the minimum level of general reserve is set at 10% of the net revenue budget.
- 6 It appears therefore that the 2020/21 budget and Medium Term Financial Forecast are robust and the reserves and balances adequate as set out in the succeeding tables.
- 7 The Chartered Institute of Public Finance and Accountancy resilience index for 2018/19 shows the Council had a slightly above average external debt figure for its comparator group. However it is in a strong position relative to its comparator group. This reflects the Government self-financing housing revenue account settlement. The majority of this debt (£120m) was determined by government under the self-financing settlement in April 2012. These need to be linked to corporate risk registers.

CIPFA Financial Resilience Index

Tier

Lower

Authority

Colchester

Comparator Group

Nearest Neighbour

Year

2018-19

Results Breakdown

Indicators of Financial Stress

← Higher Risk

Lower Risk →

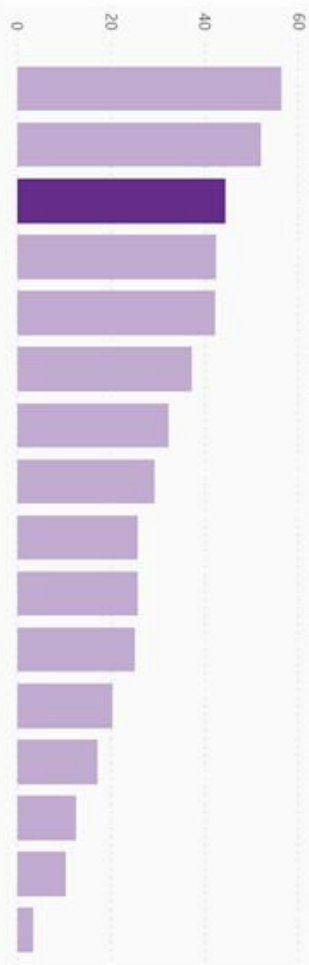


Indicator

Indicator	Min	Indicator Value	Max
Unallocated Reserves	3.35%	44.32%	56.41%
Earmarked Reserves	8.65%	128.94%	275.03%
Change in Unallocated Reserves	-85.78%	-26.60%	137.29%
Change in Earmarked Reserves	-84.31%	121.24%	121.24%
Change in HRA Reserves	-316.00%	91.12%	354.61%

Individual Analysis

Comparator Group Analysis



Unallocated Reserves

Trend Analysis



Appendix E - Treasury Management Strategy Statement

Introduction

- 1.1 This iteration of the Treasury Management Strategy Statement is provided in the traditional Council format to enable the prudential indicators to be set for 2020/21. A fundamental review of the Strategy will take place during 2020/21 to give greater transparency and better integration with the capital Programme.
- 1.2 The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the Council's low risk appetite, providing adequate liquidity initially before considering investment return.
- 1.3 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing need of the Council, essentially the longer-term cash flow planning, to ensure that the Council can meet its capital spending obligations. This management of longer-term cash may involve arranging long or short-term loans or using longer-term cash flow surpluses. On occasion, when it is prudent and economic, any debt previously drawn may be restructured to meet Council risk or cost objectives.
- 1.4 The contribution the treasury management function makes to the authority is critical, as the balance of debt and investment operations ensure liquidity or the ability to meet spending commitments as they fall due, either on day-to-day revenue or for larger capital projects. The treasury operations will see a balance of the interest costs of debt and the investment income arising from cash deposits affecting the available budget. Since cash balances generally result from reserves and balances, it is paramount to ensure adequate security of the sums invested, as a loss of principal will in effect result in a loss to the General Fund Balance.
- 1.5 Whilst any commercial initiatives or loans to third parties will impact on the treasury function, these activities are generally classed as non-treasury activities, (arising usually from capital expenditure), and are separate from the day to day treasury management activities.
- 1.6 The Chartered Institute of Public Finance and Accountancy defines treasury management as the management of the local authority's borrowing, investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.
- 1.7 The contribution Treasury Management function makes to the Council is critical, as the effective balance of debt and investment operations ensure the ability to meet spending commitments as they fall due, both for day to day expenditure and more importantly to fund and adjust to complex capital scheme funding.

- 1.8 Treasury management arrangements have a direct impact on the Council's revenue budget and Medium Term Financial Strategy as a result of the interest costs of borrowing and income due in relation to investments. Cash balances result from reserves and spending or income cashflows from revenue and capital planning; therefore the Treasury Management Strategy is an integral part of setting the Council's budget.
- 1.9 The primary reporting changes include the introduction of a capital strategy to provide focus on long term capital investment plans, the requirement for transparent reporting around Non Treasury management investments (loans to third parties, investment properties purchase, etc.) and commercial activity under the Localism Act 2011 and additional S151 duties with regards assurance.

Reporting requirements

- 1.10 The Council is currently required to produce three main reports each year, which incorporate a variety of policies, estimates and actuals. These reports are all required to be scrutinised and reviewed. This role is undertaken by the Council's Scrutiny Panel and Governance and Audit Committee.
- 1.11 The year's Strategy is recommended to Full Council following consideration by the Cabinet and consideration by the Scrutiny Panel. It covers:
- Capital (including prudential indicators);
 - Minimum Revenue Provision Policy (how residual capital expenditure is charged to revenue over time);
 - Treasury Management Strategy (how the investments and borrowings are to be organised) including treasury indicators; and
 - an investment strategy (the parameters on how investments are to be managed).
- 1.12 Mid-Year Treasury Management Report updates on the capital position, amending prudential indicators as necessary, and whether any policies require revision.
- 1.13 Annual Treasury Report after the financial year end reports actual prudential and treasury indicators and treasury operations compared to the strategy.

Training

- 1.14 The Chartered Institute of Public Finance and Accountancy Code requires the responsible officer to ensure that Members with responsibility for treasury management or scrutiny receive adequate training in treasury management. Further training will be arranged as required. The training needs of treasury management officers are periodically reviewed.

Treasury Management Strategy for 2020/21

- 1.15 The Treasury Management Strategy for 2020/21 covers capital and treasury management.

Table E1 – Content of Treasury Management Strategy	
Capital	capital expenditure plans and the associated prudential indicators
	minimum revenue provision policy
Treasury management	current treasury position
	treasury indicators which limit the treasury risk and activities of the Council
	prospects for interest rates
	borrowing strategy
	policy on borrowing in advance of need
	debt rescheduling
	investment strategy
	creditworthiness policy
	policy on use of external service providers

- 1.16 These elements cover the requirements of the Local Government Act 2003, the Chartered Institute of Public Finance and Accountancy Prudential Code, Ministry of Housing Communities and Local Government Minimum Revenue Provision Guidance, the Chartered Institute of Public Finance and Accountancy Treasury Management Code and Ministry of Housing Communities and Local Government Investment Guidance.

Treasury Management Advisors

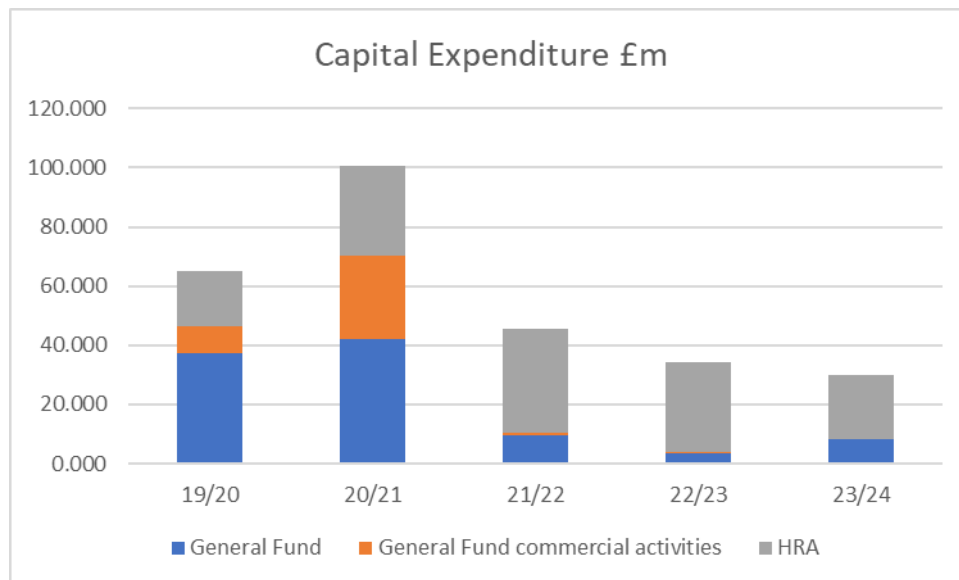
- 1.17 The Council currently uses Link Asset Services as its external treasury management advisors.
- 1.18 Responsibility for treasury management decisions remains with the Council and undue reliance is not placed upon external advisers. Decisions use available information including external advice.

2 The Capital Prudential Indicators 2019/20 – 2023/24

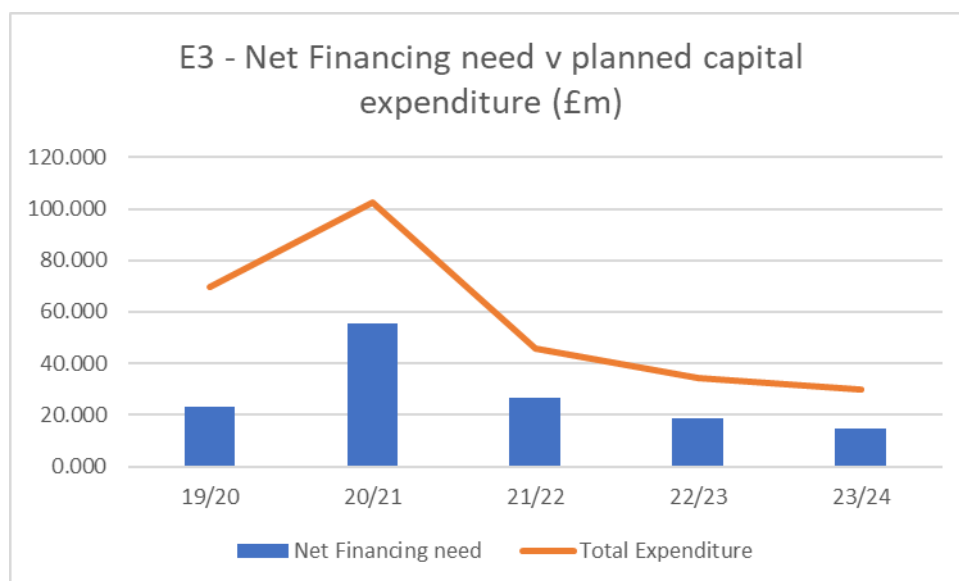
- 2.1 The Council's capital expenditure plans are the key driver of treasury management activity. The output of the capital expenditure plans is reflected in the capital prudential indicators.

Capital expenditure

- 2.2 This prudential Indicator is a summary of the Council's capital expenditure plans set out in Appendix B of this budget report.

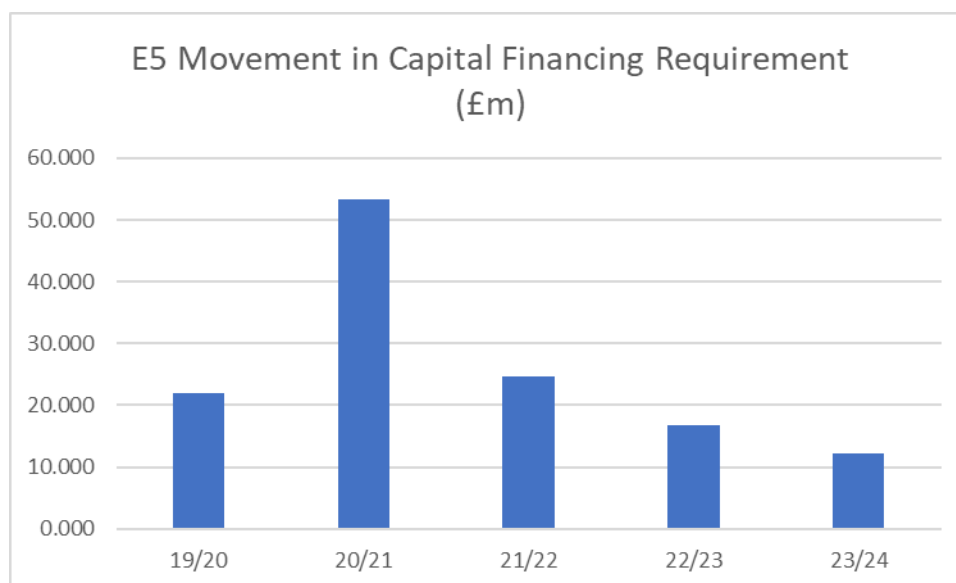
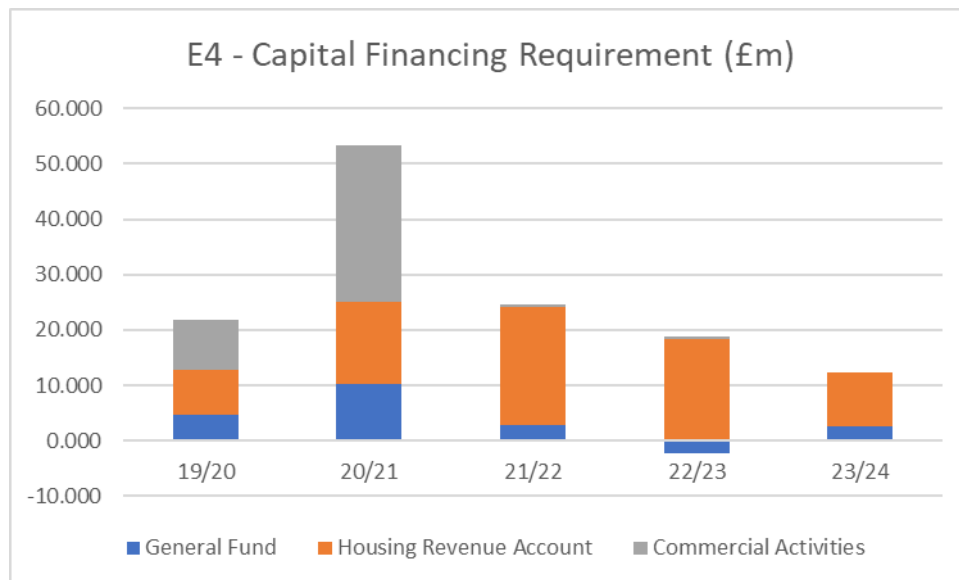


- 2.3 Chart E3 summarises how the capital programme will be financed by capital and revenue resources. The balance of financing will be provided by borrowing. The proportion of borrowing is well below the planned capital programme reflecting the significant use of other financing such as capital receipts and grants.



The Council's borrowing need

- 2.4 The second prudential indicator is the Council's Capital Financing Requirement. This is outstanding capital expenditure which has not yet been funded from either revenue or capital resources. It is a measure of the Council's underlying borrowing need. The requirement does not increase indefinitely, as the Minimum Revenue Provision is a statutory annual revenue charge which reduces the borrowing need in line with each asset's life, and so charges the economic consumption of capital assets as they are used.
- 2.5 Capital Financing Requirement projections are set out in Chart E4 and a breakdown of the annual movement in Chart E5



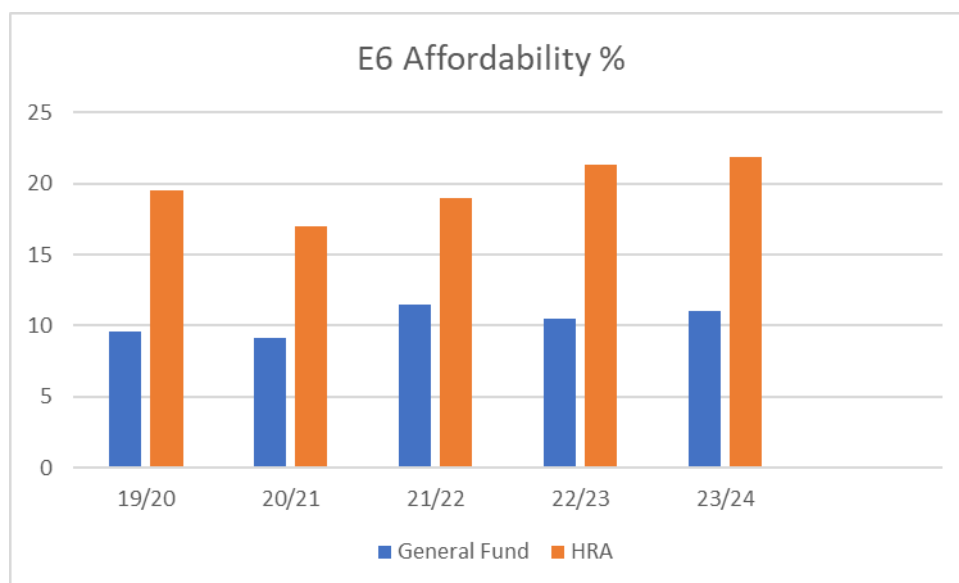
Minimum Revenue Provision Policy Statement

- 2.6 The Council is required to pay off an element of the accumulated General Fund capital spend each year through a revenue charge (the Minimum Revenue Provision), although it is also allowed to undertake additional voluntary payments if required.
- 2.7 Government regulations require the full Council to approve a Minimum Revenue Provision Statement in advance of each year. A variety of options are provided to councils, so long as there is a prudent provision. The Council is recommended to approve the following Minimum Revenue Provision Statement:
- 2.8 For capital expenditure incurred before 1 April 2008 or which in the future will be Supported Capital Expenditure, the policy will allow for the borrowing need to be repaid on an equal instalment basis over a period of 50 years. This has the benefits of reducing the amount payable for the first 17 years, introducing a consistent level of charge, and ensuring that this element of Minimum Revenue Provision is eventually completely repaid.

- 2.9 For all unsupported borrowing (including finance leases) the Minimum Revenue Provision policy will be the Asset Life Method. Minimum Revenue Provision will be based on the estimated life of the assets, in accordance with the regulations. This provides for a reduction in the borrowing need over approximately the asset's life. Repayments included in finance leases are applied as Minimum Revenue Provision.
- 2.10 There is no requirement on the Housing revenue Account to make a minimum revenue provision but there is a requirement for a charge for depreciation to be made.
- 2.11 The S151 Officer will keep the Council's Minimum Revenue Provision Policy under review to ensure that it remains fit for purpose in relation to its borrowing requirements.

Affordability Prudential Indicators

- 2.12 The previous paragraphs cover the overall capital, and control of borrowing prudential indicators, but within this framework prudential indicators are required to assess the affordability of the capital investment plans. These provide an indication of the impact of the capital investment plans on the Council's overall finances.
- 2.13 Ratio of financing costs to net revenue stream. This indicator identifies the trend in the cost of capital (borrowing and other long-term obligation costs net of investment income) against the net revenue stream.



- 2.14 The estimates of financing costs include the commitments set out in the budget report.

3 Economic Outlook provided by Link Asset Services

- 3.1 The Council has appointed Link Asset Services as its treasury advisor and part of our service is to assist the Council to formulate a view on interest rates. Section 3 of the strategy is provided by Link.

Link Asset Services Interest Rate View														
	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Bank Rate View	0.75	0.75	0.75	0.75	0.75	1.00	1.00	1.00	1.00	1.00	1.25	1.25	1.25	1.25
3 Month LIBID	0.70	0.70	0.70	0.80	0.90	1.00	1.00	1.00	1.10	1.20	1.30	1.30	1.30	1.30
6 Month LIBID	0.80	0.80	0.80	0.90	1.00	1.10	1.10	1.20	1.30	1.40	1.50	1.50	1.50	1.50
12 Month LIBID	1.00	1.00	1.00	1.10	1.20	1.30	1.30	1.40	1.50	1.60	1.70	1.70	1.70	1.70
5yr PWLB Rate	2.30	2.40	2.40	2.50	2.50	2.60	2.70	2.80	2.90	2.90	3.00	3.10	3.20	3.20
10yr PWLB Rate	2.60	2.70	2.70	2.70	2.80	2.90	3.00	3.10	3.20	3.20	3.30	3.30	3.40	3.50
25yr PWLB Rate	3.20	3.30	3.40	3.40	3.50	3.60	3.70	3.70	3.80	3.90	4.00	4.00	4.10	4.10
50yr PWLB Rate	3.10	3.20	3.30	3.30	3.40	3.50	3.60	3.60	3.70	3.80	3.90	3.90	4.00	4.00

- 3.2 The above forecasts have been based on an assumption that there is an agreed deal on Brexit, including agreement on the terms of trade between the UK and EU, at some point in time. The result of the general election has removed much uncertainty around this major assumption. However, it does not remove uncertainty around whether agreement can be reached with the EU on a trade deal within the short time to December 2020, as the prime minister has pledged.
- 3.3 It has been little surprise that the Monetary Policy Committee (MPC) has left Bank Rate unchanged at 0.75% so far in 2019 due to the ongoing uncertainty over Brexit and the outcome of the general election. In its meeting on 7 November, the MPC became more dovish due to increased concerns over the outlook for the domestic economy if Brexit uncertainties were to become more entrenched, and for weak global economic growth: if those uncertainties were to materialise, then the MPC were likely to cut Bank Rate. However, if they were both to dissipate, then rates would need to rise at a “gradual pace and to a limited extent”. Brexit uncertainty has had a dampening effect on UK GDP growth in 2019, especially around mid-year. There is still some residual risk that the MPC could cut Bank Rate as the UK economy is still likely to only grow weakly in 2020 due to continuing uncertainty over whether there could effectively be a no deal Brexit in December 2020 if agreement on a trade deal is not reached with the EU. Until that major uncertainty is removed, or the period for agreeing a deal is extended, it is unlikely that the MPC would raise Bank Rate.
- 3.4 Bond yields / Public Works Loan Board rates. There has been much speculation during 2019 that the bond market has gone into a bubble, as evidenced by high bond prices and remarkably low yields. However, given the context that there have been heightened expectations that the US was heading for a recession in 2020, and a general background of a downturn in world economic growth, together with inflation generally at low levels in most countries and expected to remain subdued, conditions are ripe for low bond yields. While inflation targeting by the major central banks has been successful over the last thirty years in lowering inflation expectations, the real equilibrium rate for central rates has fallen considerably due to the high level of borrowing by consumers: this means that central banks do not need to raise rates as much now to have a major impact on consumer spending, inflation, etc. This has pulled down the overall level of interest rates and bond yields in financial markets over the last thirty years. We have therefore seen over the last

year, many bond yields up to ten years in the Eurozone actually turn negative. In addition, there has, at times, been an inversion of bond yields in the US whereby ten-year yields have fallen below shorter-term yields. In the past, this has been a precursor of a recession. The other side of this coin is that bond prices are elevated, as investors would be expected to be moving out of riskier assets i.e. shares, in anticipation of a downturn in corporate earnings and so selling out of equities. However, stock markets are also currently at high levels as some investors have focused on chasing returns in the context of dismal ultra-low interest rates on cash deposits.

- 3.5 During the first half of 2019-20 to 30 September, gilt yields plunged and caused a near halving of longer term Public Works Loan Board rates to completely unprecedented historic low levels. (See paragraph 3.7 for comments on the increase in the Public Works Loan Board rates margin over gilt yields of 100bps introduced on 9.10.19.) There is though, an expectation that financial markets have gone too far in their fears about the degree of the downturn in US and world growth. If, as expected, the US only suffers a mild downturn in growth, bond markets in the US are likely to sell off and that would be expected to put upward pressure on bond yields, not only in the US, but also in the UK due to a correlation between US treasuries and UK gilts; at various times this correlation has been strong but at other times weak. However, forecasting the timing of this, and how strong the correlation is likely to be, is very difficult to forecast with any degree of confidence. Changes in UK Bank Rate will also impact on gilt yields.
- 3.6 One potential danger that may be lurking in investor minds is that Japan has become mired in a twenty-year bog of failing to get economic growth and inflation up off the floor, despite a combination of massive monetary and fiscal stimulus by both the central bank and government. Investors could be fretting that this condition might become contagious to other western economies.
- 3.7 Another danger is that unconventional monetary policy post 2008, (ultra-low interest rates plus quantitative easing), may end up doing more harm than good through prolonged use. Low interest rates have encouraged a debt-fuelled boom that now makes it harder for central banks to raise interest rates. Negative interest rates could damage the profitability of commercial banks and so impair their ability to lend and / or push them into riskier lending. Banks could also end up holding large amounts of their government's bonds and so create a potential doom loop. (A doom loop would occur where the credit rating of the debt of a nation was downgraded which would cause bond prices to fall, causing losses on debt portfolios held by banks and insurers, so reducing their capital and forcing them to sell bonds – which, in turn, would cause further falls in their prices etc.). In addition, the financial viability of pension funds could be damaged by low yields on holdings of bonds.
- 3.8 The overall longer run future trend is for gilt yields, and consequently Public Works Loan Board rates, to rise, albeit gently. From time to time, gilt yields, and therefore Public Works Loan Board rates, can be subject to exceptional levels of volatility due to geo-political, sovereign debt crisis, emerging market developments and sharp changes in investor sentiment. Such volatility could occur at any time during the forecast period.
- 3.9 In addition, Public Works Loan Board rates are subject to ad hoc decisions by H.M. Treasury to change the margin over gilt yields charged in Public Works Loan Board

rates: such changes could be up or down. It is not clear that if gilt yields were to rise back up again by over 100bps within the next year or so, whether H M Treasury would remove the extra 100 bps margin implemented on 9.10.19.

- 3.10 Economic and interest rate forecasting remains difficult with so many influences weighing on UK gilt yields and Public Works Loan Board rates. The above forecasts, (and Monetary Policy Committee decisions), will be liable to further amendment depending on how economic data and developments in financial markets transpire over the next year. Geopolitical developments, especially in the EU, could also have a major impact. Forecasts for average investment earnings beyond the three-year time horizon will be heavily dependent on economic and political developments.

Investment and borrowing rates

- 3.11 Investment returns are likely to remain low during 2020/21 with little increase in the following two years. However, if major progress was made with an agreed Brexit, then there is upside potential for earnings
- 3.12 Borrowing interest rates were on a major falling trend during the first half of 2019-20 but then jumped up by 100 basis points on 9 October 2019. The policy of avoiding new borrowing by running down spare cash balances has served local authorities well over the last few years. However, the unexpected increase of 100 basis points in Public Works Loan Board rates requires a major rethink of local authority treasury management strategy and risk management.
- 3.13 The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in the future when the Council may not be able to avoid new borrowing to finance capital expenditure and/or the refinancing of maturing debt.
- 3.14 There will remain a cost of carry to any new long-term borrowing that causes a temporary increase in cash balances as this position will, most likely, incur a revenue cost - the difference between borrowing costs and investment returns.

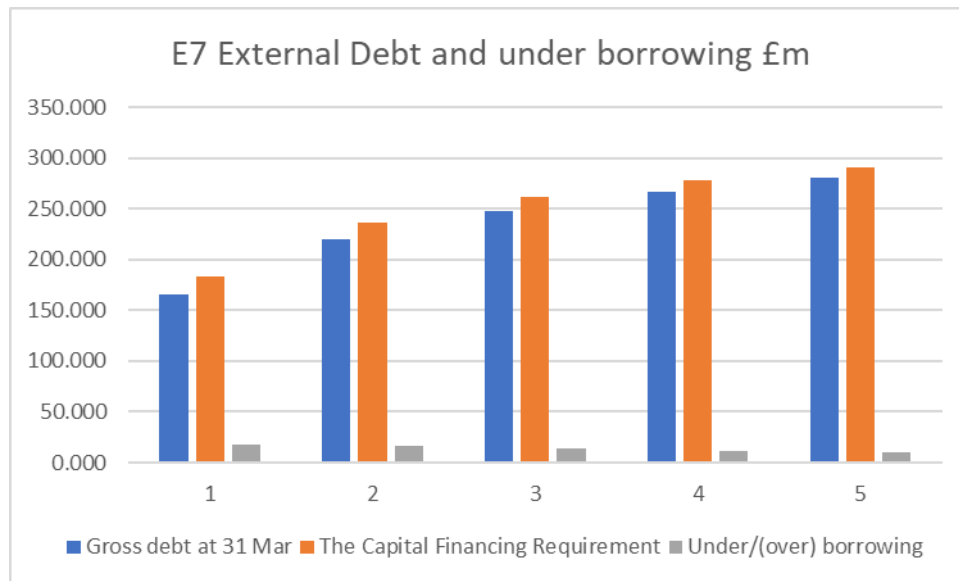
4 Borrowing

- 4.1 The capital expenditure plans set out in Section 2 provide details of the service activity of the Council. The treasury management function ensures that the Council's cash is organised in accordance with the relevant professional codes, so that sufficient cash is available to meet this service activity and the Council's capital strategy. This will involve both the organisation of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the relevant treasury / prudential indicators, the current and projected debt positions and the annual investment strategy.

Current portfolio position

- 4.2 The Council's treasury portfolio position at 31 March 2019, with forward projections are summarised below. The table shows the actual external debt against the underlying capital borrowing need (the Capital Financing Requirement), highlighting any over or under borrowing.

The Council's forward projections for borrowing are summarised below. The table shows the actual external debt, against the underlying capital borrowing need, (the Capital Financing Requirement), highlighting any over or under borrowing.

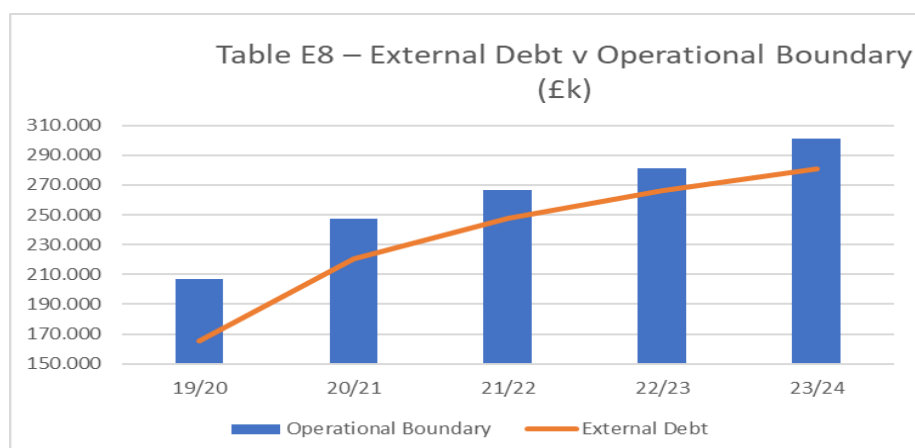


4.3 Within the prudential indicators there are a number of key indicators to ensure that the Council operates its activities within well-defined limits. One of these is that the Council needs to ensure that its gross debt does not, except in the short-term, exceed the total of the Capital Financing Requirement in the preceding year plus the estimates of any additional Capital Financing Requirement for 2018/19 and the following two financial years. This allows some flexibility for limited early borrowing for future years, but ensures that borrowing is not undertaken for revenue or speculative purposes.

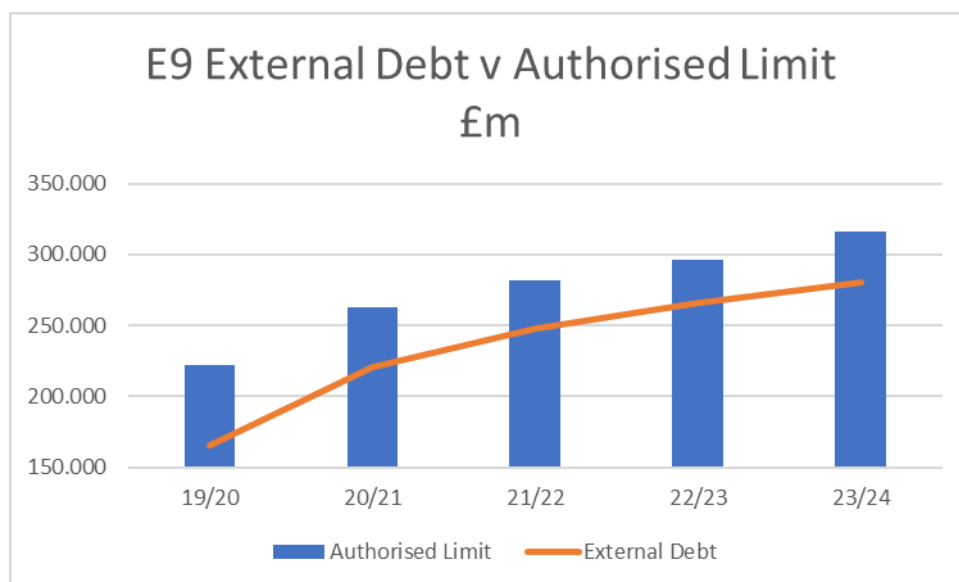
4.4 The S151 Officer reports that the Council complied with this prudential indicator in the current year and does not envisage difficulties for the future. This view takes into account current commitments, existing plans, and the proposals in this report.

Treasury Indicators: Limits to Borrowing Activity

4.5 The Operational Boundary is the limit beyond which external debt is not normally expected to exceed. Planned external debt is well within the operational boundary limit.



- 4.6 The Authorised Limit for external debt represents a control on the maximum level of borrowing. This is a statutory limit determined under section 3 (1) of the Local Government Act 2003 beyond which external debt is prohibited. This limit needs to be set or revised by the full Council. It reflects the level of external debt which, while not desired, could be afforded in the short-term, but is not sustainable in the longer term. The chart shows that planned external debt is well within the authorised limit sought.

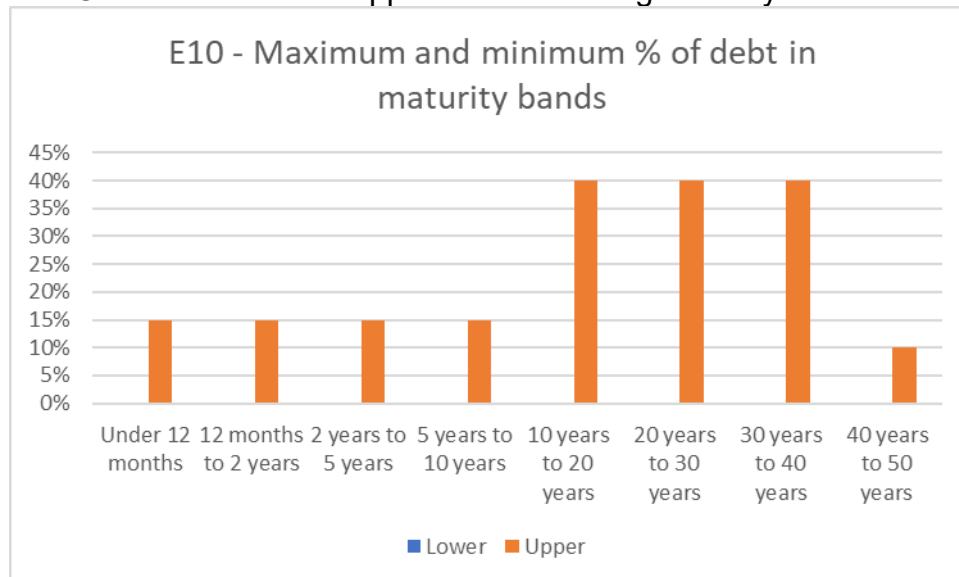


Borrowing Strategy

- 4.7 The Council is currently maintaining an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is still an issue that needs to be considered.
- 4.8 Against this background and the risks within the economic forecast, caution will be adopted with the 2020/21 treasury operations. The S151 Officer will monitor interest rates in financial markets and adopt a pragmatic approach to changing circumstances:
- if it was felt that there was a significant risk of a sharp FALL in long and short-term rates, (e.g. due to a marked increase of risks around relapse into recession or of risks of deflation), then long-term borrowing will be postponed, and potential rescheduling from fixed rate funding into short-term borrowing will be considered.
 - if it was felt that there was a significant risk of a much sharper RISE in long and short-term rates than that currently forecast, perhaps arising from an acceleration in the start date and in the rate of increase in central rates in the USA and UK, an increase in world economic activity or a sudden increase in inflation risks, then the portfolio position will be re-appraised with the likely action that fixed rate funding will be drawn whilst interest rates are lower than they are projected to be in the next few years.
- 4.9 Any decisions will be reported to the Scrutiny Panel or Governance and Audit Committee at the next available opportunity.

Treasury Management Limits on Activity

- 4.10 There are three debt related treasury activity limits. The purpose of these are to restrain the activity of the treasury function within certain limits, thereby managing risk and reducing the impact of any adverse movement in interest rates. However, if these are set to be too restrictive they will impair the opportunities to reduce costs / improve performance. The indicators are:
- Upper limits on variable interest rate exposure. This identifies a maximum limit for variable interest rates based upon the debt position net of investments;
 - Upper limits on fixed interest rate exposure. This is similar to the previous indicator and covers a maximum limit on fixed interest rates;
 - Maturity structure of borrowing. These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing, and are required for upper and lower limits.
- 4.11 The Council is asked to approve the following treasury indicators and limits:



Policy on Borrowing in Advance of Need

- 4.12 The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds. Risks associated with any borrowing in advance activity will be subject to prior appraisal and subsequent reporting through the mid-year or annual reporting mechanism.

Debt Rescheduling

- 4.13 As short-term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long-term debt to short-term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of

debt repayment (premiums incurred). The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings;
- helping to fulfil the treasury strategy;
- enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

- 4.14 Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short-term rates on investments are likely to be lower than rates paid on current debt.
- 4.15 Any rescheduling will be reported to the Scrutiny Panel or the Governance and Audit Committee at the earliest meeting following its action.

Municipal Bond Agency

- 4.16 It is possible that the Municipal Bond Agency will be offering loans to local authorities in the future. The Agency hopes that the borrowing rates will be lower than those offered by the Public Works Loan Board. The Council will consider making use of this new source of borrowing as and when appropriate.

Leases International Financial Reporting Standard 16

- 4.17 This standard replaces the current guidance in International Accounting Standard 17 on leases. The standard provides a single lessee accounting model, requiring lessees to recognise assets and liabilities for all leases unless the lease term is 12 months or less or the underlying asset has a low value. Lessors continue to classify leases as operating or finance, with International Financial Reporting Standard 16's approach to lessor accounting remaining substantially unchanged from the International Financial Reporting Standard 17 approach. The implementation of this new requirement will increase the Council's liability and impact the Council's borrowing limits
- 4.18 In December 2018, the Chartered Institute of Public Finance and Accountancy /Local Authority Scotland Accounts Advisory Committee announced its plans to delay implementation of International Financial Reporting Standard 16 in the Code until 1 April 2020. The Council will therefore need to adopt International Financial Reporting Standard 16 from 1 April 2020. The impact of adopting International Financial Reporting Standard 16 will be disclosed in the financial statements for the year ending 31 March 2021.

Housing Revenue Account borrowing

- 4.19 As part of the Housing Revenue Account reform arrangements in April 2012, the Council decided to follow the 'two pool' approach to allocating existing debt, taking into account those loans that were originally raised for a specific purpose. This assumed that the Housing Revenue Account would be 'fully borrowed', however the Housing Revenue Account is now in a position where it may need to borrow to fund the Housing Investment Programme.

- 4.20 As the Council is maintaining an under-borrowed position, the Housing Revenue Account will be recharged for the cost of any new borrowing requirement based on the average balance of unfinanced Housing Revenue Account borrowing during the year, using the Public Works Loan Board variable rate as at 31 March of the previous year. In an environment of low investment returns and relatively stable borrowing rates, this provides a recharge that is beneficial to both the Housing Revenue Account and General Fund and can be reasonably forecast from early on in the financial year. This approach will be reviewed annually in conjunction with the Treasury Management Strategy Statement and projected investment returns.

5 Annual Investment Strategy

Investment Policy

- 5.1 The Ministry of Housing Communities and Local Government and the Chartered Institute of Public Finance and Accountancy have extended the meaning of 'investments' to include both financial and non-financial investments. This report deals solely with financial investments, (as managed by the treasury management team). Non-financial investments, essentially the purchase of income yielding assets, are covered in the Capital Strategy.
- 5.2 In accordance with the above guidance, and in order to minimise the risk to investments, the Council applies minimum acceptable credit criteria in order to generate a list of highly creditworthy counterparties which also enables diversification and thus avoidance of concentration risk. The key ratings used to monitor counterparties are the Short-term and Long-term ratings.
- 5.3 Ratings will not be the sole determinant of the quality of an institution, and it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To achieve this the Council will engage with its advisors to maintain a monitor on market pricing such as Credit Default Swaps and overlay that information on top of the credit ratings.
- 5.4 Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
- 5.5 Investment instruments identified for use in the financial year are listed in the Appendix, which includes Counterparty, time and monetary limits. These will cover both 'Specified' and 'Non-Specified' Investments.
- 5.6 Such investments are treated as expenditure for treasury management and prudential borrowing purposes even though they do not create physical assets in the Council's accounts. Appropriate budgets in respect of these activities are agreed as part of the Council's budget setting and ongoing monitoring processes and considered as part of the Investment Strategy.
- 5.7 Specified Investments are sterling denominated investments of not more than one-year maturity, meeting the minimum 'high' criteria where applicable. These are considered low risk assets where the possibility of loss of principal or investment

income is small. Non-Specified Investments are those that do not meet the specified investment criteria. A limit of £20m will be applied to the use of Non-Specified Investments (this will partially be driven by the long-term investment limits).

Creditworthiness policy

5.8 This Council applies the creditworthiness service provided by Link Asset Services. This service employs a sophisticated modelling approach utilising credit ratings from the three main credit rating agencies - Fitch, Moody's and Standard & Poor's. The credit ratings of counterparties are supplemented with the following overlays:

- "watches" and "outlooks" from credit rating agencies;
- CDS spreads that may give early warning of likely changes in credit ratings;
- sovereign ratings to select counterparties from only the most creditworthy countries.

5.9 This modelling approach combines credit ratings, and any assigned Watches and Outlooks in a weighted scoring system which is then combined with an overlay of CDS spreads. The end product of this is a series of colour coded bands which indicate the relative creditworthiness of counterparties. These colour codes are used by the Council to determine the suggested duration for investments. The Council will, therefore, use counterparties within the following durational bands

- Yellow 5 years *
- Dark pink 5 years for Ultra-Short Dated Bond Funds with a credit score of 1.25
- Light pink 5 years for Ultra-Short Dated Bond Funds with a credit score of 1.5
- Purple 2 years
- Blue 1 year (only applies to nationalised or semi nationalised UK Banks)
- Orange 1 year
- Red 6 months
- Green 100 days

Y	Pi1	Pi2	P	B	O	R	G	N/C
1	1.25	1.5	2	3	4	5	6	7
Up to 5yrs	Up to 5yrs	Up to 5yrs	Up to 2yrs	Up to 1yr	Up to 1yr	Up to 6mths	Up to 100days	No Colour

- No colour not to be used

5.10 The creditworthiness service uses a wider array of information than just primary ratings. Furthermore, by using a risk weighted scoring system, it does not give undue preponderance to just one agency's ratings.

5.11 Typically the minimum credit ratings criteria the Council uses will be a Short-term rating (Fitch or equivalents) of F1, and a Long-term rating of A-. There may be occasions when the counterparty ratings from one rating agency are marginally lower than these ratings but may still be used. In these instances consideration will be given to the whole range of ratings available, or other topical market information, to support their use.

5.12 All credit ratings will be monitored on a monthly basis. The Council is alerted to changes to ratings of all three agencies through its use of the creditworthiness service. Any rating changes, rating watches (notification of a likely change), rating outlooks (notification of a possible longer term change) are provided to officers

almost immediately after they occur and this information is considered before dealing.

- if a downgrade results in the counterparty / investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately.
- in addition to the use of credit ratings the Council will be advised of information in movements in credit default swap spreads against the iTraxx benchmark and other market data on a daily basis via its Passport website, provided exclusively to it by Link Asset Services. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.

5.13 Sole reliance will not be placed on the use of this external service. In addition the Council will also use market data and market information, and information on any external support for banks to help support its decision making process.

Country limits

5.14 The Council will only use approved counterparties from countries with a minimum sovereign credit rating of AA-, based on the lowest available rating. However this policy excludes UK counterparties. The list of countries that qualify using this credit criteria as at the date of this report are shown in Appendix C. This list will be amended by officers should ratings change in accordance with this policy.

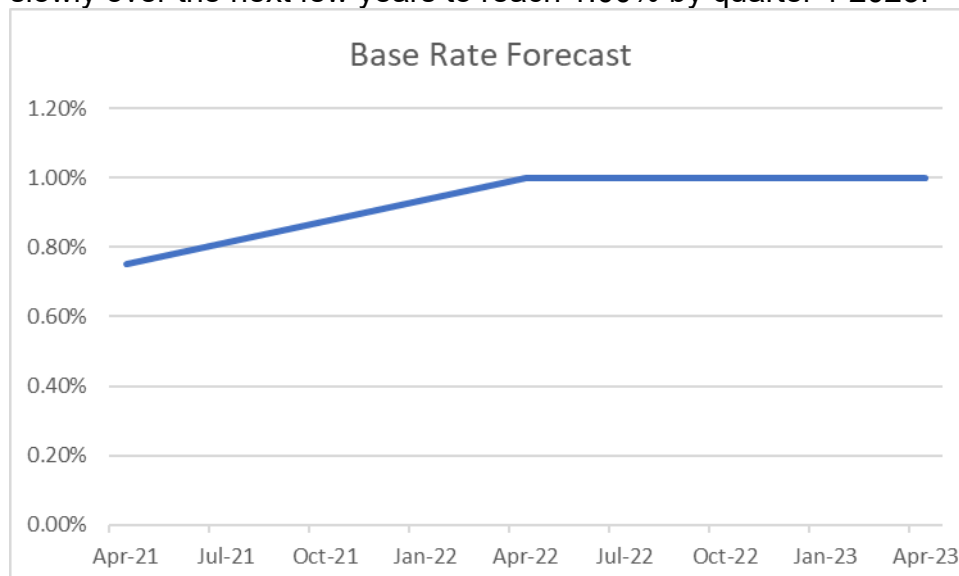
5.15 In addition:

- no more than £15m will be placed with any non-UK country at any time;
- the limits will apply to a group of companies;
- sector limits will be monitored regularly for appropriateness.

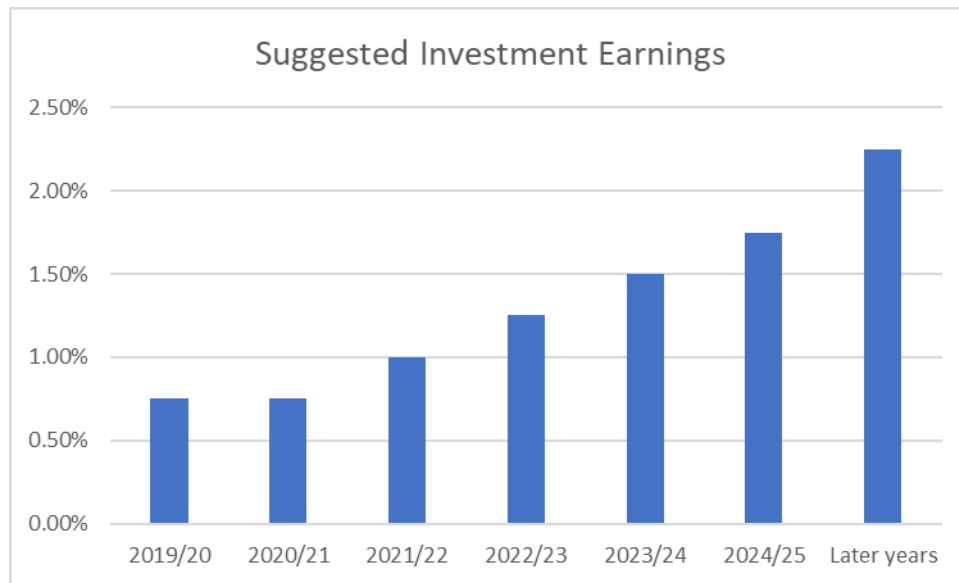
Investment strategy

5.16 The Council will manage all of its investments in-house. Investments will be made with reference to the core balance and cash flow requirements and the outlook for short to medium term interest rates.

5.17 On the assumption that the UK and EU agree a Brexit deal including the terms of trade by the end of 2020 or soon after, then Bank Rate is forecast to increase only slowly over the next few years to reach 1.00% by quarter 1 2023.



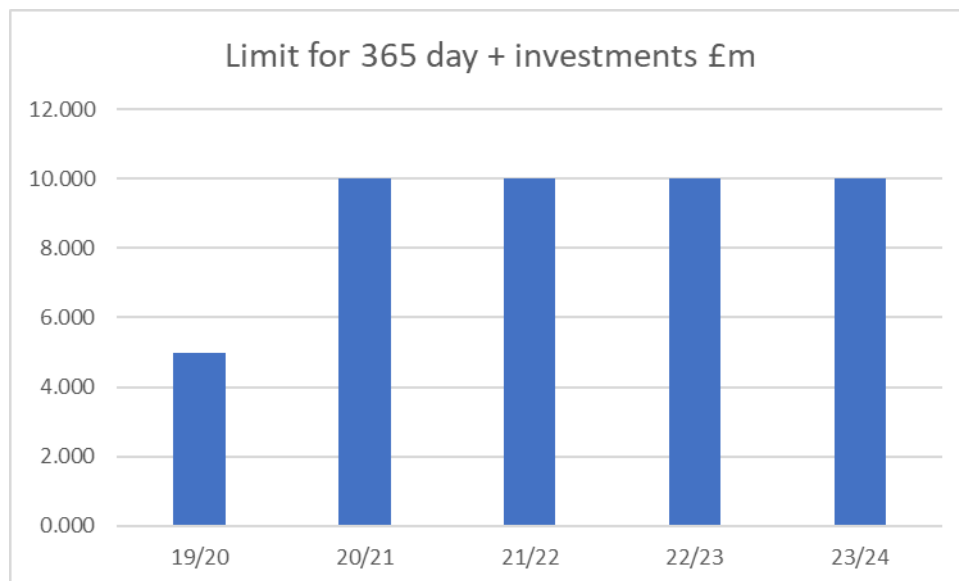
- 5.18 The suggested budgeted investment earnings rates for returns on investments placed for periods up to about three months during each financial year are as follows:



- 5.19 For its cash flow generated balances, the Council will seek to utilise its business reserve instant access and notice accounts, money market funds and short-dated deposits (overnight to 100 days) in order to benefit from the compounding of interest.

Investment treasury indicator and limit

- 5.20 The limit for the total principal funds invested for greater than 365 days is set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment and are based on the availability of funds after each year-end.



End of year investment report

- 5.21 At the end of the financial year, the Council will report on its investment activity to the Governance & Audit Committee as part of its Annual Treasury Report.

Public Works Loan Board rates and forecast shown below take into account the 20 basis point certainty rate reduction effective as of 1 November 2012.

Bank Rate															
	Now	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Link Asset Services	0.75%	0.75%	0.75%	0.75%	0.75%	0.75%	1.00%	1.00%	1.00%	1.00%	1.00%	1.25%	1.25%	1.25%	1.25%
Capital Economics	0.75%	0.75%	0.75%	0.50%	0.50%	0.50%	-	-	-	-	-	-		-	-
5yr PWLB Rate															
	Now	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Link Asset Services	2.36%	2.30%	2.40%	2.40%	2.50%	2.50%	2.60%	2.70%	2.80%	2.90%	2.90%	3.00%	3.10%	3.20%	3.20%
Capital Economics	2.36%	2.40%	2.40%	2.40%	2.40%	2.40%	-	-	-	-	-	-		-	-
10yr PWLB Rate															
	Now	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Link Asset Services	2.61%	2.60%	2.70%	2.70%	2.70%	2.80%	2.90%	3.00%	3.10%	3.20%	3.20%	3.30%	3.30%	3.40%	3.50%
Capital Economics	2.61%	2.60%	2.60%	2.60%	2.60%	2.60%	-	-	-	-	-		-	-	-
25yr PWLB Rate															
	Now	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Link Asset Services	3.18%	3.20%	3.30%	3.40%	3.40%	3.50%	3.60%	3.70%	3.70%	3.80%	3.90%	4.00%	4.00%	4.10%	4.10%
Capital Economics	3.18%	2.90%	2.90%	2.90%	2.90%	2.90%	-	-	-	-	-	-	-	-	-
50yr PWLB Rate															
	Now	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Link Asset Services	3.04%	3.10%	3.20%	3.30%	3.30%	3.40%	3.50%	3.60%	3.60%	3.70%	3.80%	3.90%	3.90%	4.00%	4.00%
Capital Economics	3.04%	3.00%	3.00%	3.00%	3.00%	3.00%	-	-	-	-	-	-		-	-

Specified investments – These investments are sterling investments of not more than one-year maturity, or those which could be for a longer period but where the Council has the right to be repaid within 12 months if it wishes. These are considered low risk assets where the possibility of loss of principal or investment income is small

Organisation	Min. Credit Criteria	Money Limit	Maturity Limit
Banks and Building Societies (including term deposits, CDs or corporate bonds)	Yellow	£10m	1 years
	Purple	£10m	1 years
	Orange	£10m	1 year
	Blue	£10m	1 year
	Red	£7.5m	6 months
	Green	£5m	100 days
	No colour	Not to be used	
UK Government Gilts	UK sovereign rating	£10m	1 year
UK Government Treasury Bills	UK sovereign rating	£10m	1 year
UK Local & Police Authorities	N/A	Unlimited	1 years
Debt Management Agency Deposit Facility	AAA	Unlimited	6 months
Money Market Funds	AAA	£10m	Liquid
Enhanced Money Market Funds	Dark Pink / Light Pink / AAA	£10m	Liquid
Bonds issued by Multilateral Development Banks	AAA	£3m	6 months

Non-Specified Investments – These are investments that do not meet the specified investment criteria. A limit of the lesser of £20m or 50% of the portfolio will be held in aggregate in non-specified investments.

Organisation	Min. Credit Criteria	Money Limit	Maturity Limit
UK Local & Police Authorities	N/A	£10m	5 years
Banks and Building Societies (including term deposits, CDs or corporate bonds)	Yellow / Purple	£10m	5 years
UK Government Gilts	UK sovereign rating	£10m	5 years
UK Government Treasury Bills	UK sovereign rating	£10m	5 years
Property fund	AAA	£5m	5 years

Notes:

- Non U.K. country limit of £15m

- Limit in all Building Societies of £10m

The use of property funds can be deemed capital expenditure, and as such will be an application of capital resources. The Council will seek guidance on the status of any fund it may consider using. Appropriate due diligence will also be undertaken before investment of this type is undertaken.

The criteria in this appendix are intended to be the operational criteria in normal times. At times of heightened volatility, risk and concern in financial markets, this strategy may be amended by temporary operational criteria further limiting investments to counterparties of a higher creditworthiness and / or restricted time limits. This list is based on those countries that have sovereign ratings of AA- or higher and also have banks operating in sterling markets, which have credit ratings of green or above in the Link Asset Services credit worthiness service.

AAA	Australia
	Canada
	Denmark
	Germany
	Luxembourg
	Netherlands
	Norway
	Singapore
	Sweden
	Switzerland
AA+	Finland
	U.S.A.
AA	Abu Dhabi (UAE)
	France
	U.K.
	Hong Kong
AA-	Belgium
	Qatar

Treasury Management Strategy Statement Supporting Tables

Table E2 – Capital Expenditure (£k)						
		19/20	20/21	21/22	22/23	23/24
1	General Fund	37,159	41,949	9,700	3,300	8,400
2	General Fund commercial activities	9,180	28,300	500	420	0
3	Total General Fund	46,339	72,249	10,200	3,720	8,400
4	Housing Revenue Account	18,868	30,163	35,349	30,389	21,316
5	Total	65,211	102,412	45,549	34,109	29,716

Table E3 – Net Financing Need (£k)						
		19/20	20/21	21/22	22/23	23/24
1	Capital receipts	17,825	23,625	73	0	0
2	Capital grants	16,055	11,578	4,580	3,300	3,400
3	Capital reserves	2,119	3,176	4,583	2,297	1,927
4	Revenue	10,486	8,716	9,554	9,627	9,865
5	Net Financing need	23,302	55,317	26,759	18,885	14,524
6	Total Expenditure	69,787	102,412	45,549	34,109	29,716

Table E4 – Capital Financing Requirement (£k)						
		19/20	20/21	21/22	22/23	23/24
1	General Fund	4,654	10,144	2,904	-2,196	2,704
2	Housing Revenue Account	8,052	14,877	21,259	18,465	9,524
3	Commercial Activities	9,180	28,300	500	420	0
4	Total	183,566	236,887	261,550	278,239	290,467
5	Increase on previous year	21,886	53,321	24,663	16,689	12,228

Table E5 – Components of annual movement (£k)						
		19/20	20/21	21/22	22/23	23/24
1	Net financing need from Table E5, Row 5	23,302	55,317	26,759	18,885	14,524
2	Less Minimum Revenue Provision and other financing movements	-1,416	-1,996	-2,096	-2,196	-2,296
3	Movement in Capital Financing Requirement	21,886	53,321	24,663	16,689	12,228

Table E6 – Affordability (%)						
		19/20	20/21	21/22	22/23	23/24
	General Fund	9.6	9.1	11.5	10.5	11.0
	Housing Revenue Account	19.5	17.0	19.0	21.3	21.9

Table E7 – External Debt (£k)						
		19/20	20/21	21/22	22/23	23/24
1	Debt at 1 April	141,805	165,324	220,641	247,400	266,285
2	New Borrowing	23,302	55,317	26,759	18,885	14,524
3	Other long-term liabilities (OLTL)	217	0	0	0	0
4	Gross debt at 31 Mar	165,324	220,641	247,400	266,285	280,809
5	The Capital Financing Requirement	183,566	236,887	261,550	278,239	290,467
6	Under/(over) borrowing	18,242	16,246	14,150	11,954	9,658

Table E8 – Operational Boundary (£k)						
		19/20	20/21	21/22	22/23	23/24
1	Debt	206,632	247,400	266,285	280,809	300,809
2	Other long-term liabilities	217	217	217	217	217
3	Total	206,849	247,617	266,502	281,026	301,026

Table E9 – Authorised Limit (£k)						
		19/20	20/21	21/22	22/23	23/24
1	Debt	221,632	262,400	281,285	295,809	315,809
2	Other long-term liabilities	217	217	217	217	217
3	Total	221,849	262,617	281,502	296,026	316,026

Table E10 - Maturity structure of fixed interest rate borrowing 2020/21		
	Lower	Upper
Under 12 months	0%	15%
12 months to 2 years	0%	15%
2 years to 5 years	0%	15%
5 years to 10 years	0%	15%
10 years to 20 years	0%	40%
20 years to 30 years	0%	40%
30 years to 40 years	0%	40%
40 years to 50 years	0%	10%

Table E11 – Maximum sum invested over 365 days (£k)						
		19/20	20/21	21/22	22/23	23/24
	365+ investments	5,000	10,000	10,000	10,000	10,000

Appendix F – Technical reconciliations of budget requirement

Table F1 – Technical reconciliation of budget requirement		
	Element	£'000
1	Revenue expenditure requirement for 2020/21	24,514
2	Collection fund deficit (business rates and Council Tax)	540
3	New Homes Bonus	(3,602)
5	Use of balances / reserves for pensions payment	(1,870)
6	Use of Business Rates Reserve	(540)
7	Use of Business Rates Pooling gain	(200)
8	Use of balances	(310)
9	Budget Requirement	18,532
10	Funded by:	
11	Business Rates Baseline Funding	(4,300)
12	Business Rates Improvement	(1,729)
13	Council Tax Payers requirement (before Parish element) see below*	(12,503)
14	Total Funding	(18,532)

Table F2 – Technical reconciliation of Band D Council Tax		
1	Council Tax Payers requirement (before Parish element)	12,503
2	Council Tax Base – Band D Properties	63,933
3	Council Tax at Band D	195.56

Table F3 – Technical reconciliation of 2020/21 Base Budget		
1	Base Budget	20,206
2	One-off items	(270)
3	Cost Pressures	5,768
4	New Strategic Priorities excluding New Homes Bonus - revenue	71
5	New Strategic Priorities excluding New Homes Bonus - capital financing	145
6	Growth Items	55
7	Savings	(1,848)
8	Change in use of New Homes Bonus for one off investment	387
9	Forecast Base Budget	24,514

Table F4 – Technical reconciliation of 2020/21 savings		
1	Commercial approach	753
2	Digitalisation	50
3	External Funding	192
4	Fees and Charges	301
5	Invest to Save	350
6	Procurement	150
7	Supplies & Services	52
8	Total Savings	1,848
Table F5 – Technical reconciliation of 2020/21 pressures		
1	General Inflation	817
2	IT costs	77
3	Council Tax Sharing Agreement	0
4	Refuse vehicles and crew	62
5	Staffing Changes	133
6	Commercial Income	126
7	Net impact of Minimum Revenue Provision and Interest	418
8	IT costs	225
9	Finance System Upgrade	24
10	Procurement TUPE	24
11	Review of budget targets	11
12	S&L - pensions and income	127
13	Northern Gateway Sports	72
14	Colchester & Ipswich Museums Service	40
15	Fuel	60
16	Use of Glyphosate Herbicides	21
17	Rowan House Lease	125
18	2019 Actuarial Review Impact	586
19	LCTS - Care Leavers	15
20	Pensions (3 year up-front deficit payment)	2,805
21	Cost pressures excluding New Strategic priorities	5,768
22	New Strategic Priorities excluding New Homes Bonus - Revenue/Capital Financing	216
23	Total cost pressures	5,984

Table F6 – Reconciliation of Medium Term Financial Forecast						
		19/20	20/21	21/22	22/23	23/24
		£'000	£'000	£'000	£'000	£'000
1	Base Budget	20,438	19,921	20,351	21,216	21,918
2	New Homes Bonus for Strategic Priorities	1,469	1,928	2,091	2,258	2,658
3	Use of reserves	(1,701)	2,665	(625)	(625)	(750)
4	Budget Requirement	20,206	24,514	21,817	22,849	23,826

Appendix G - Summary Budget 2020/21

	Adjusted Base Budget	One-Off Items	Cost Pressures	Growth Items	Technical Items	Total Savings	Detailed 20/21 Budgets
		£'000	£'000	£'000	£'000	£'000	£'000
Corporate & Democratic Core	(264)	0	0	0		0	(264)
Executive Management Team	657	0	48	0		0	705
Community	2,147	(90)	204	20		(422)	1,859
Customer	3,205	0	223	35		(218)	3,245
Environmental (excluding North Essex Parking Partnership)	5,374	0	511	0		(770)	5,115
Policy & Corporate	7,774	(25)	1,209	(13)	(0)	(292)	8,653
Total General Fund Services	18,893	(115)	2,195	42	(0)	(1,702)	19,313
Technical Items							
<i>Corporate Items / sums to be allocated to services</i>							
Investment Allowance funded by New Homes Bonus	2,283	(65)	0	400	0	0	2,618
Futures Reviews Funding	(11)	0	11				0
New Strategic Priorities	0		71			(197)	(126)
Staffing Changes	0		110				110
Services Contribution to IT Equipment	0		0			(58)	(58)
LCTS Care Leavers Scheme	0		15			0	15
Inflation (Pay)	0		223			(23)	200
IT Server costs	75	(75)	0			0	0
Leasing Changes Advice	15	(15)	0			0	0
<i>Non-Service Budgets</i>							
CLIA (net interest)	530		403			(100)	833

	Adjusted Base Budget	One-Off Items	Cost Pressures	Growth Items	Technical Items	Total Savings	Detailed 20/21 Budgets
		£'000	£'000	£'000	£'000	£'000	£'000
R&R Contribution	300		0				300
Min Revenue Provision	1,141		159			232	1,532
Pensions	366		2,805				3,171
Contribution to Bad Debts Provision	20		0				20
General Fund/ Housing Revenue Account /North Essex Parking Partnership Adjustment	(3,406)		(8)				(3,414)
Total Below the Line	1,313	(155)	3,789	400	0	(146)	5,201
Total incl Below the line	20,206	(270)	5,984	442	(0)	(1,848)	24,514
Funded by:-							
Use of balances	0	0	0		(125)		(125)
Contribution to balances	1,786	(1,786)	0		935		935
Contribution to Business Rates Reserve	406	(406)	0		0		0
Use of other Earmarked Reserves	(185)	185	0		(2,990)		(2,990)
Use of NNDR reserve	0	0	0		(540)		(540)
Business Rates Baseline	(4,257)		(43)				(4,300)
NNDR Levy Surplus	(65)	65	0				0
NNDR Growth above Baseline	(1,600)		0		(125)		(1,725)
Business Rates Pooling	(200)		0		0		(200)
Council Tax	(12,072)		0		(435)		(12,507)
Collection fund Transfer	(604)	604	0		540		540
New Homes Bonus	(3,415)		0		(187)		(3,602)
Total	(20,206)	(1,338)	(43)	0	(2,927)	0	(24,514)

Appendix H - 2020/21 General Fund Budgets

	Direct Budgets			Non-Direct Budgets	
Area	Spend	Income	Net	Net	Total
	£'000	£'000	£'000	£'000	£'000
Corporate & Democratic Core	286	(550)	(264)	2,597	2,333
Total	286	(550)	(264)	2,597	2,333
Executive Management Team					
EMT	705	-	705	(705)	-
Total	705	-	705	(705)	-
Community					
Assistant Director	157	-	157	(157)	-
Licencing, Food & Safety	526	(537)	(11)	432	421
Community Safety	93	-	93	22	115
Environmental Health Services	519	(67)	452	183	635
Building Control	444	(455)	(11)	268	257
Community Initiatives	403	-	403	184	587
Private Sector Housing	508	(172)	336	140	476
Bereavement Services	923	(1,585)	(662)	289	(373)
Cultural Services	599	(107)	492	946	1,438
Colchester Museums	70	(532)	(462)	34	(428)
Subtotal	4,242	(3,455)	787	2,341	3,128
Colchester & Ipswich Museums	2,195	(1,123)	1,072	846	1,918
Total	6,437	(4,578)	1,859	3,187	5,046
Customer					
Assistant Director	153	-	153	(153)	-
Customer Business	672	(149)	523	(523)	-
Local Taxation & NNDR	486	(713)	(227)	661	434
Customer Solutions	1,122	(100)	1,022	(1,022)	-
Customer Experience	2,406	(312)	2,094	(2,094)	-
Electoral Services	420	(3)	417	109	526
Subtotal	5,259	(1,277)	3,982	(3,022)	960
Benefits - Payments & Subsidy	38,577	(39,314)	(737)	883	146
Total	43,836	(40,591)	3,245	(2,139)	1,106
Environment					
Assistant Director	146	-	146	(146)	-
Neighbourhood Services	11,145	(3,475)	7,670	2,766	10,436
Car Parking	1,084	(3,970)	(2,886)	1,038	(1,848)
Subtotal	12,375	(7,445)	4,930	3,658	8,588

		Direct Budgets				Non-Direct Budgets	
	North Essex Parking Partnership	3,752	(3,637)	115		120	235
	Total	16,127	(11,082)	5,045		3,778	8,823
	Policy & Corporate						
	Assistant Director	167	-	167		(167)	-
	Finance	966	(146)	820		(821)	(1)
	ICT	2,077	(245)	1,832		(1,832)	-
	People and Performance	756	(189)	567		(633)	(66)
	Governance	3,024	(304)	2,720		(2,666)	54
	Place Strategy	1,251	(25)	1,226		(79)	1,147
	Planning	1,164	(1,227)	(63)		759	696
	Housing	2,060	(818)	1,242		(134)	1,108
	Communications	638	(189)	449		(449)	-
	Subtotal	12,103	(3,143)	8,960		(6,022)	2,938
	<i>Company Related:-</i>						
	Client - Commercial Company	1,837	(528)	1,309		(1,837)	(528)
	Corporate Asset Management	1,749	(270)	1,479		(1,404)	75
	Commercial & Investment Props	260	(3,119)	(2,859)		2,428	(431)
	Sport & Leisure	5,335	(5,571)	(236)		2,070	1,834
	Total	21,284	(12,631)	8,653		(4,765)	3,888
	Adjustment for NEPP use of balances	-	185	185		-	185
	Total (excl. NEPP)	84,923	(65,610)	19,313		1,833	21,146

* Non-direct budgets reflect recharges between service areas and technical accounting charges. These are shown to present the full cost of services.

Appendix I – Reserves, Provisions and Balances

	2018/19	2019/20		2020/21
	Actual	Actual	Forecast	Forecast
General Reserve -	2,630	2,586	2,498	2,373
General Reserve - Risk Allocation	1,161	1,161	661	661
General Reserve - Carry-forwards	2,272	522	522	522
Pension Reserve	1,289	3,214	3,214	900
Redundancy, North Essex Parking Partnership, Colchester & Ipswich Museum Service	582	263	463	463
Renewals and Repairs	2,105	2,403	1,903	1,903
Insurance	471	471	471	471
Capital Expenditure Reserve	1,448	1,593	600	600
Capital Receipts Reserve	391	5,011	1,000	1,000
Gosbecks Reserve	171	171	171	171
Heritage Reserve	117	100	100	100
Revenue Grants unapplied	2,944	3,651	2,916	2,916
Parking Reserve	1,458	1,274	1,089	904
Heritage Mersea Mount	11	11	11	0
Business Rates Reserve	1,443	1,510	1,510	770
Mercury Theatre Reserve	110	110	110	0
Revolving Investment Fund Reserve	1,292	1,898	1,000	250
S106 / Asset replacement	45	48	0	0
TOTAL General Fund	19,940	25,997	18,239	14,004
Housing Revenue Account Reserve	4,564	4,564	4,373	3,873
Major Repairs Reserve	3,653	3,653	0	0
Housing Revenue Account Retained Right To Buy Receipts – Debt	5,597	5,597	6,427	1,313
Housing Revenue Account Retained Right To Buy Receipts – Replacement	5,870	5,870	5,549	4,281
TOTAL Housing Revenue Account	19,684	19,684	16,349	9,467
Total	39,624	45,681	34,588	23,471

Appendix K – Allocation of New Homes Bonus

	Allocation of New Homes Bonus	2019/20	2020/21	2021/22	2022/23	2023/24
		£'000	£'000	£'000	£'000	£'000
1	New Homes Bonus	3,415	3,602	3,262	3,257	3,261
2	Allocated to:-					
3	Contribution to RIF	250	250	250	250	250
4	Affordable housing allocation	163	150	88	116	120
5	Base Budget	1,033	833	633	433	233
6	Allocation to CNG Sports Project	500				
7	Savings Implementation Costs	0	441	200	200	0
8	Local Plan allocation reserved for NEGC contributions or alternative local plan options dependent on decisions of the Planning Inspector	0	500	500	500	500
9	Support for one-off schemes (see below)	1,469	1,428	1,591	1,758	2,158
10	Total allocation	3,415	3,602	3,262	3,257	3,261
	Use of NHB allocation for one-off schemes					
11	Support for one-off schemes	1,469	1,428	1,591	1,758	2,158
12	Allocated to:					
13	Cultural Events Fund 2020-21		20			
14	High Street (net additional contribution to ECC works)		40			
15	Environment & Sustainability Task and Finish Group resource		50			
16	West Mersea Town Council Toilets		30			
17	Town Hall office reconfiguration		40			
18	Better Colchester Communications		150			
19	Strategic Priorities Programme Delivery		150			
20	Balance for future allocation and New Strategic Priorities		948	1,591	1,758	2,158

29 January 2020

Report of	Assistant Director of Environment	Author	Rory Doyle
Title	Climate Emergency Action Plan		☎ 507855
Wards affected	All wards		

1. Executive Summary

- 1.1 This report provides an update on progress and current activity in addition to seeking approval for proposed action to be taken to address the Climate Emergency declared by full Council in July 2019.

2. Recommended Decision

- 2.1 To note the findings set out in the Climate Action Planning Report prepared by the Carbon Trust (Appendix A)
- 2.2 To approve the recommendations from the Conservation, Environment and Sustainability Task and Finish Group as set out below:

(a) The Climate Emergency Action Plan be approved, subject to the inclusion and clarification of Scope 3 elements to the section entitled “Scope of the Carbon Emission Target”.

(b) The Climate Emergency Action Plan be kept under review and that the Council commit to a target in respect of additional Scope 3 emissions once measurement of this wider carbon footprint has been undertaken.

3. Reason for Recommended Decision

- 3.1 The Council has declared a climate emergency in recognition of the urgent need to take action to address global warming and the crisis being created by unavoidable climate change.

In declaring a climate emergency, the Council has made tackling climate change a New Strategic Priority and our initial Climate Emergency Action Plan (Appendix B) reflects this.

4. Alternative Options

- 4.1 Not applicable

5. Background Information

- 5.1 In July 2019 the Council unanimously approved a motion to declare a climate emergency. The Council also resolved to:

Support the newly formed Conservation and Environmental Sustainability Task and Finish Group to consider the following actions:

Commission an environmental audit which identifies pollution hotspots, wildlife biodiversity and environmental health issues, and an urban impact assessment with an aim to identify areas of improvement across the borough.

Consult expert opinions in the field, as appropriate.

Collaborate with regional and neighbouring local authorities, as well as communities, to encourage practical measures to reduce emissions, reduce carbon footprints and develop community-based renewable energy projects.

Encourage all sectors of the economy across the borough to take steps to reduce waste and become carbon neutral.

Develop a roadmap for Colchester Borough Council to go carbon neutral by 2030. Report to Cabinet and Full Council within six months with an action plan setting out conservation and environmental sustainability goals to address targets by 2030; incorporating proposals on the investment implications of this proposed activity.

Pledge to ensure future housing and community development projects meet a carbon-neutral standard by 2030

Call upon the Leader of the Council to write to the Minister of State for Energy and Clean Growth requesting that national policy is urgently developed to reflect the seriousness of the current emergency, and to release funds to local authorities, encouraging them to take the necessary measures at local level.

- 5.2 The Carbon Trust commended the action the Council has taken through previous carbon reduction strategies which have seen over £1.5m invested in projects. From a baseline in 2008 of 10,150 tCO₂e the Council has achieved a 40% reduction in carbon emissions one year ahead of the 2020 target.
- 5.3 Action taken extends to more than carbon reduction. The Council has committed to phasing out the use of glyphosate herbicides as soon as practically possible and are exploring alternative methods to controlling weeds and encouraging bio-diversity. We are also working with other organisations and businesses in the borough to encourage them to stop using these herbicides.
- 5.4 The Council continues to take action to address poor air quality in the Borough and encourage people to connect with nature, green space and be more physically active through walking and cycling, particularly for short journeys through our Air Quality Management Areas.
- 5.5 Thousands of trees have been planted at sites in the Borough as part of the first year of the Colchester Woodland Project that will eventually see more than 200,000 trees planted across Colchester in the next five years.
- 5.6 The Climate Emergency Action plan aims to build on the progress made already and address the urgent challenge faced by the Council; one which is made harder because, compared to most places, Colchester has already completed many of the 'easier', 'quick win' projects. This means that moving forward at pace to achieve our targets will require significant investment of time, resource and energy from the Council, Central Government and our partners and citizens.

5.7 It is important to note this is the initial version of the Action Plan, it is only a starting point in a ten year journey. The Council will adapt as we go and update this plan regularly alongside the development of a new Environment & Sustainability Strategy and a Carbon Management Plan that will reflect many of the aspirations and actions from this plan. Meanwhile we will continue to act boldly on climate change.

5.8 The Climate Emergency Action Plan, in summary:

- Provides an assessment of Colchester Borough Councils' emissions and their sources and begins to explore likely future scenarios for the next decade.
- Demonstrates that the Council has achieved its 2020 emissions reduction target one year early and sets a goal for the Council to be Net Carbon zero by 2030.
- Demonstrates what action has already been taken and how this crisis is being addressed through partnership via the Conservation Environment & Sustainability Task & Finish Group.
- Highlights our commitment to work with the whole community in responding to the climate emergency and to work with other local authorities and partners to share learning and knowledge.
- Sets out existing and new actions that will be delivered and where necessary developed further to:
 - Embed the Climate Emergency in Organisational Culture & Decision Making
 - Create a Roadmap to reduce our Carbon footprint to net zero by 2030
 - Provide for environmental sustainability through Planning, Development & Sustainable Travel
 - Embed Sustainability through the Management of Waste and Recycling
 - Undertake Mitigation, Climate Adaptation and Environmental Stewardship
 - Build Community Resilience through Enabling, Behaviour Change & Partnership Working

6. Equality, Diversity and Human Rights implications

6.1 There will be no equality, diversity and human rights implications in undertaking this work.

7. Strategic Plan

7.1 Activity to meet the requirements of the Climate Change Motion will potentially deliver against all streams of the Strategic Plan.

8. Consultation

8.1 Several experts and interest groups have been consulted through the work of the Conservation, Environment & Sustainability Task & Finish Group to date. Work will continue as part of the ongoing development and review of the Climate Emergency Action Plan to identify approaches to ongoing resident and wider stakeholder engagement on climate emergency issues.

9. Publicity Considerations

9.1 Working with businesses, schools, communities and citizens across the Borough will be critical. This is not something the Council can do on its own. Communication and

engagement with all stakeholders is and will continue to be a key strand of this work. An engagement and communications plan will be developed as part of our Climate Emergency Action.

10. Environmental and Climate Change Implications

- 10.1 Environmental and Climate Change Implications are fully considered through this work. Indeed it is as a result of this work that key decisions are now assessed for their likely environmental impact, including on the Council's commitment to reach a net carbon zero target by 2030.

11. Financial implications

- 11.1 As part of sound budgeting practice the Council identified an initial budget investment of £50K to be allocated for this work. This has been used to commission the report referred to above, undertake initial scoping work, gather more evidence and recruit a dedicated Climate Emergency Project Officer.
- 11.2 As one of the Council's New Strategic Priorities further funds will be made available to progress action against our ambitions as set out in the 2020/21 Revenue Budget, New Strategic Priorities and Medium-Term Financial Forecast Cabinet Report agreed by Cabinet in November 2019.
- 11.3 There are likely to be considerable additional financial implications associated with responding to the Climate Emergency albeit there may also be opportunities to partially mitigate these through other policies and associated financial savings e.g. energy costs. Even then it will be difficult to set out clear and actual costs for the next ten years at this stage. As work develops and further funding is required, actions and schemes will be subject to individual business cases and financial evaluation to assess associated costs as required.

12. Community Safety and Health and Wellbeing Implications

- 12.1 Responding to the Climate Emergency will have positive impacts on health and wellbeing through tackling areas such as air quality. There are also many physical and mental health and wellbeing benefits associated with solutions such as increased physical activity and connection to nature and open space associated with active travel, cycling and walking etc.

13 Health and Safety

- 13.1 There are no health and safety implications at this stage.

14 Risk Management Implications

- 14.1 The motion approved by Council sets ambitious targets and without robust prioritisation and risk management they will be difficult to achieve. Effective programme management will need to be utilised to ensure targets are achieved.
- 14.2 Rising to the challenge and tackling our climate emergency will not be achieved through Council action alone as it is a highly complex issue. Reducing greenhouse gas emissions in particular will require systems leadership across multiple sectors, communications and behavioural change that will result in adapted lifestyles, and potentially fundamentally different patterns of development and travel in the long term. Ultimately perceptions of success will need to evolve over time. Our emergent programmes will be related to the

degree of control and influence the Council directly has and our acknowledgement that partnership working across the region will be essential for us to address the challenge.

- 14.3 There are mixed perceptions of climate change within communities across Colchester that manifest into a spectrum of views which the Council are expected to navigate in the development of its action plan, the prioritisation of resource and communication to residents.
- 14.4 The resourcing requirements to undertake systems leadership and the change programme required will be significant. The scale of change required is unprecedented.

Colchester Borough Council Climate Action Planning

David Reilly, Lindsey Hibberd, Oliver Patrick

December 2019



Contacts

Prepared by:

Prepared for:

Lindsey Hibberd, Manager

Lindsey.Hibberd@carbontrust.com

+44(0)20 7832 4556

Oliver Patrick, Analyst

Oliver.Patrick@carbontrust.com

+44(0)20 7832 4564

Approved by:

David Reilly, Director

David.Reilly@carbontrust.com

+44(0)20 7832 4620

Emily Harrup

Transport and Sustainability Projects Officer

Emily.Harrup@Colchester.gov.uk

01206 506 476

**Colchester Borough Council Conservation &
Environmental Sustainability Task and Finish
Group**

Contents

- 1. Introduction**
- 2. Executive Summary**
- 3. Qualitative review**
- 4. Carbon Footprint**
- 5. Carbon Footprint for FY 2018/19**
- 6. Emission hotspots and priority focus areas**
- 7. Workshop**
- 8. Recommendations & next steps**
- 9. Appendix**



1

Introduction



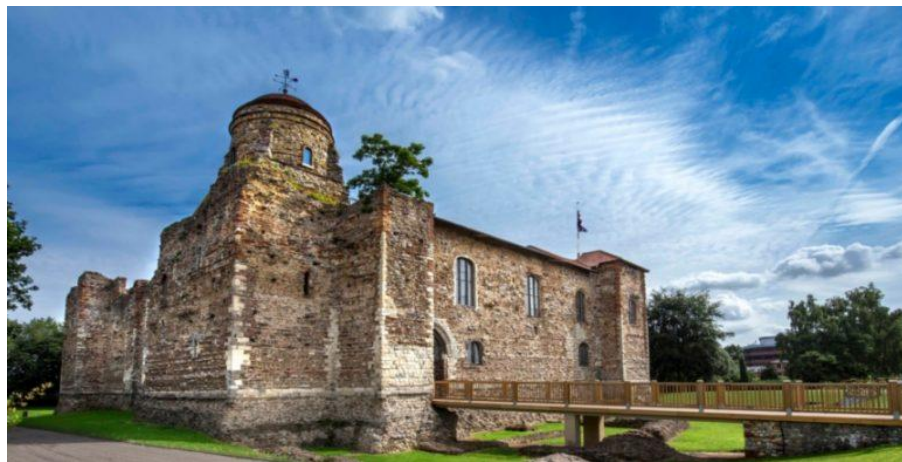
About the Carbon Trust

Our mission is to accelerate the move to a sustainable, low carbon economy.

The Carbon Trust is an independent, expert partner of leading organisations around the world, helping them contribute to and benefit from a more sustainable future through carbon reduction, resource efficiency strategies and commercialising low carbon technologies.



About Colchester Borough Council



Colchester Borough Council provides public support services across the Borough including housing, waste management, transportation, communities, well-being, public safety and environmental services.

The council recognises the environmental impact of its activities and has made significant progress in the reduction of carbon emissions over the last 10 years supported by investment and strategic action to tackle its direct carbon emission sources.

- Colchester Borough Council (CBC) declared a climate emergency in July 2019. One key aspect of the climate emergency declaration was the intention to become a **carbon neutral organisation by 2030**.
- The declaration builds on a **strong heritage of climate action in the borough** - CBC has set two previous carbon reduction targets through their Local Authority Carbon Management Plans.
- The Carbon Trust was commissioned by the Council to perform a **footprinting and scoping exercise** to inform an action plan setting out goals to address the target(s) out to 2030. In particular:
 - Undertake a qualitative review of the interaction between the Carbon Neutral target and other Council strategies
 - Provide analysis / insight on carbon reduction progress to date
 - Develop a revised carbon footprint (2018/19)
 - Undertake a workshop with Officers and Councillors to present results and identify & shape priorities going forward
- This report consolidates the results of the above activities and provides recommendations on future scope, targets and roadmap



2

Executive Summary

1. Key Findings

- Colchester Borough Council (CBC) has achieved impressive carbon reductions over the past decade & continues to view **climate action as a key strategic priority**.
- The Council has set a 2030 Carbon Neutral target which, whilst very ambitious, is in alignment with other Local Authorities who have declared a Climate Emergency.
- CBC's measured footprint for the FY 2018/19 was **6,180 tCO₂e**.
 - The Council's **gas consumption** for space and water heating in buildings is the largest emission source [47%]
 - **Leisure World** is the largest single emitter across the Council's portfolio and accounts for 35.3% of all emissions
- An error was found in how CBC have historically accounted for emissions from their fleet, resulting in an annual underreporting of ~1,300 tCO₂e over the past five years.
 - Historical fleet emissions were recalculated to reflect the use of diesel fuel rather than biofuel
- Relative to a 2008/09 baseline, CBC has achieved a **40.8% decrease in CO₂e emissions** and has reached the 40% emission reduction target set out in the 2016-2020 LACM Plan a year early.

2. Recommendations

Five recommendations are made to the Council:

1. Collect available data and measure relevant Scope 3 emissions

- Before deciding on whether or not to expand the scope of the emissions target, the Council should quantify and understand the emission sources which the Council has some influence over.

2. Perform pathway modelling to identify priority focus areas for the Council

- The Council should understand the impact of business as usual, national policies and local initiatives on the future carbon footprint to understand how their emissions will look in 2030. We would consider this to be a vital step in shaping a carbon neutral road map and action plan.

3. Write and agree an internal data management plan

- Sets out roles and responsibilities for data capture and verification as well as a timetable for reporting to agree a formal process for monitoring against the target.

4. Create an engagement plan

- Establish a plan to continue engaging internally and throughout the Borough on the Climate Emergency with a range of stakeholders.

5. Ensure ethos of the Climate Emergency is embedded in broader strategies

- Engage broader strategy makers to ensure the Climate Emergency is a key feature of strategy revisions.

3

Qualitative review

Understanding CBC's portfolio of strategies and their relationship to the carbon neutral target

CBC's Carbon management planning to date

- Colchester Borough Council has actively engaged in monitoring and reporting carbon emissions from buildings and transport for more than 10 years.
- A number of carbon reduction strategies and action plans have been developed and implemented since 2008, as set out below.
- Progress against each plan has been analysed as part of this project and is presented later in the report.

Year	Document	Target
2008	LACM Plan 2008 - 2012	25% carbon reduction by 2012 (2008 baseline)
2015	LACM Plan 2016 - 2020	40% carbon reduction by 2020 (2008 baseline)
2019	Climate Emergency Declaration	Carbon Neutral by 2030

Comparison to other Councils

- ~ 65% of District, County, Unitary, Metropolitan & Combined Authorities have declared a climate emergency (265/408, Oct 2019)
- Majority of Council's have set a 2030 target, with a mix of targeting the Council's own estate or the wider district

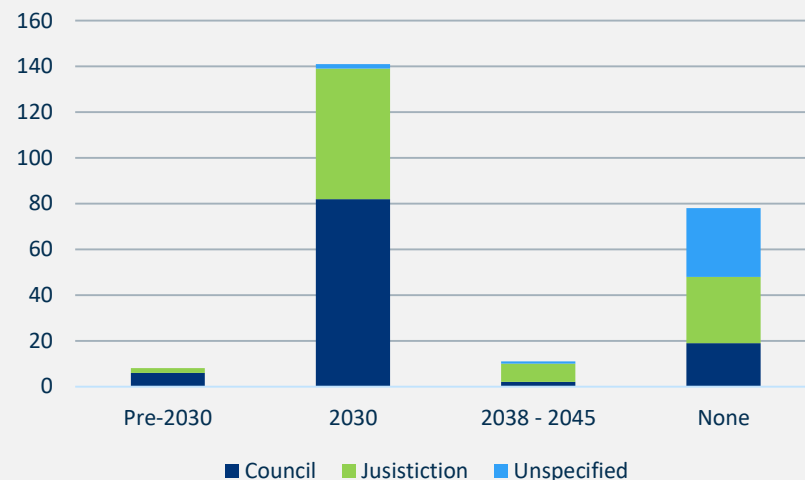
Examples of Concerns

- Not on track for limiting global warming to 1.5°C
- Loss of habitat
- Significant risk from flooding, drought and rising sea levels
- Impact on air quality, e.g. through heating, traffic

Examples of Commitments

- Increase energy efficiency in buildings
- Deploy renewable energy
- Achieve high recycling rates
- Inspire and promote activities throughout the local community

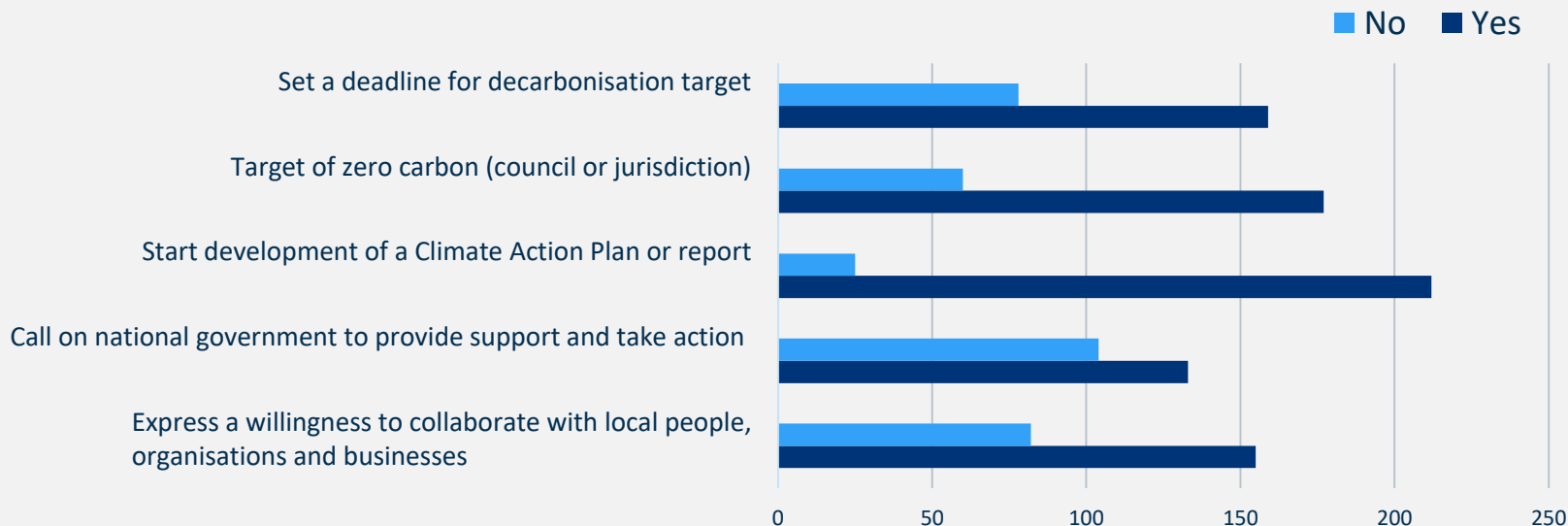
No. of declarations



Above. Summary of Climate Emergency deadlines & scope of 237 declarations of climate emergency (analysed by Igov, Sept 2019)

Climate Emergency Declarations

The following graph compares **common features of 237 Local Authority Climate Emergency Declarations**, based on analysis of the written declarations



Local authority climate emergency declarations

Qualitative review of broader strategies

- In order to understand the broader Council context for the climate emergency declaration, the Carbon Trust has undertaken a review of all key active strategies and plans.
- The following slides show the relevance for each Strategy in relation to the Council's Scope 1, 2 and 3 footprint (further defined on slide 21) and in relation to carbon emissions in the broader Borough.
- The relevance rating has been colour coded as:
 - Green = very relevant
 - Orange = somewhat relevant
 - Blank = not relevant
- The analysis is intended to highlight the interaction between the Council's 2030 carbon neutral target and other active strategies and plans and recommend areas for future consideration.

Qualitative review (continued)

Strategy	Time period	Relevance to Colchester Borough Council Scope 1 & 2 emissions	Relevance to Colchester Borough Council Scope 3 emissions	Relevance to climate considerations in the broader Borough
Our Colchester - The Strategic Plan	2018 - 2021	<ul style="list-style-type: none"> Direct mention of Council's emission reduction targets. 		<ul style="list-style-type: none"> Initiatives around pollution and improving energy efficiency of the private rented sector
Colchester Economic Development Strategy	2015 - 2021		<ul style="list-style-type: none"> Infrastructure projects including: A120, A12 Upgrading Great Eastern Mainline and improving public transport links. Superfast broadband. 	<ul style="list-style-type: none"> Deliver STEM projects to school and college students & young people not in education, employment of training (NEET) and a STEM Centre in Colchester Strategic employment zones: Colchester Northern Gateway, Stanway and University of Essex Knowledge Gateway.
Environmental Sustainability Strategy (2016 update)	2015 - 2020	<ul style="list-style-type: none"> Close links to 2008 LACM target (to reduce carbon emissions in Council buildings by 25% by the year 2012). Internal Environmental Sustainability awareness programme 	<ul style="list-style-type: none"> Embed green procurement 	<ul style="list-style-type: none"> 2010 Climate Change Risk Assessment Community Leadership on emissions reductions Opportunities to develop low carbon private sector housing.
Emerging Local Plan	Emerging 2017 – 2033			<ul style="list-style-type: none"> Local Plan policies and development decisions will impact on the carbon emissions of the Borough
Colchester Borough Council – Asset Management Strategy	2016 – 2021	<ul style="list-style-type: none"> Direct links to Operational and Community Asset Management strategies of: EPC report, Local Authority Carbon Management Plan and Housing Investment programme. Housing Development Strategy 	<ul style="list-style-type: none"> Revolving Investment Fund Strategic Land Purchases 	<ul style="list-style-type: none"> Garden communities strategy Economic Growth Strategy Employment Land Study, Colchester Ultra Ready for Business
Community Enabling Strategy	2015 onwards			<ul style="list-style-type: none"> Community tree warden scheme BIG Garden, High Woods Country Park

Qualitative review (continued)

Strategy	Time period	Relevance to Colchester Borough Council Scope 1 & 2 emissions	Relevance to Colchester Borough Council Scope 3 emissions	Relevance to climate considerations in the broader Borough
Connecting Colchester - Our Digital Strategy	2017 - 2022		<ul style="list-style-type: none"> Could relate to Council broadband contracts 	<ul style="list-style-type: none"> Will enable Colchester to help plan better for its growing population, and the challenges of traffic congestion, protecting air quality and helping ensure technological innovation does not come at the expense of the Borough's high quality of life and environment.
Efficiency Statement	2016 onwards	<ul style="list-style-type: none"> The projects identified by the Local Authority Carbon Management Plan will reduce future energy costs 		
CBC Housing Strategy (and 2018/19 Progress report)	2015 – 2020	<ul style="list-style-type: none"> Improving energy efficiency of the Council's housing stock. Average SAP rating of CBC's housing (73.86) exceeded target set for 2019. Work continues to complete loft and cavity wall fill within the stock with access issues hampering full stock completion. Ground Source Heat Pump installed in Harrison Court to provide heating and hot water, replacing previous ageing gas boilers. 45% of the Council Housing Stock now with Photo Voltaic panels. 		<ul style="list-style-type: none"> Standards and energy efficiency measures that the Council are setting for the wider Borough
Housing Asset Management Strategy	2018 – 2022		<ul style="list-style-type: none"> Objective 7: Can be heated efficiently and cost effectively (whilst reducing environmental impact). Performance measurements include SAP and estimated CO2 emissions. 	

Qualitative review (continued)

- Based on our review of current strategies and action plans, it is apparent that climate action touches many parts of the Council's core activities.
- Key findings of the analysis:
 - Most of the current strategies expire in 2020. When these are revised it is important that the **Climate Emergency ethos and targets are a key feature of the new strategies.**
 - The Climate Emergency targets should **build on the current Environmental Sustainability Strategy**, which has a Strategic Priority to reduce the impact of the Council's Buildings, Services and Operations. The Council should continue to work with the broader community to understand the most impactful strategic priorities for them to 2030.
 - It will be important that the **Climate Emergency is central to the updated Strategic Plan** and that all policies are assessed in light of their contribution to the emissions reductions target.
 - The Economic Development Strategy, Environmental Sustainability Strategy, Asset Management Strategy, Digital Strategy and Housing Asset Management Strategy could all link to the Council's Scope 3 emissions. Therefore, if the Council chooses to include Scope 3, consideration would need to be given to the impact of these strategies on the reduction of these emissions.
 - With a continuing need for Council efficiencies, it is important to continue to monitor (as per the Council's Efficiency Statement), and quantify where possible, any cost savings associated with energy efficiency and carbon reduction measures, to demonstrate broader benefits.



4

Carbon Footprint

Introduction to Greenhouse Gases (GHGs)

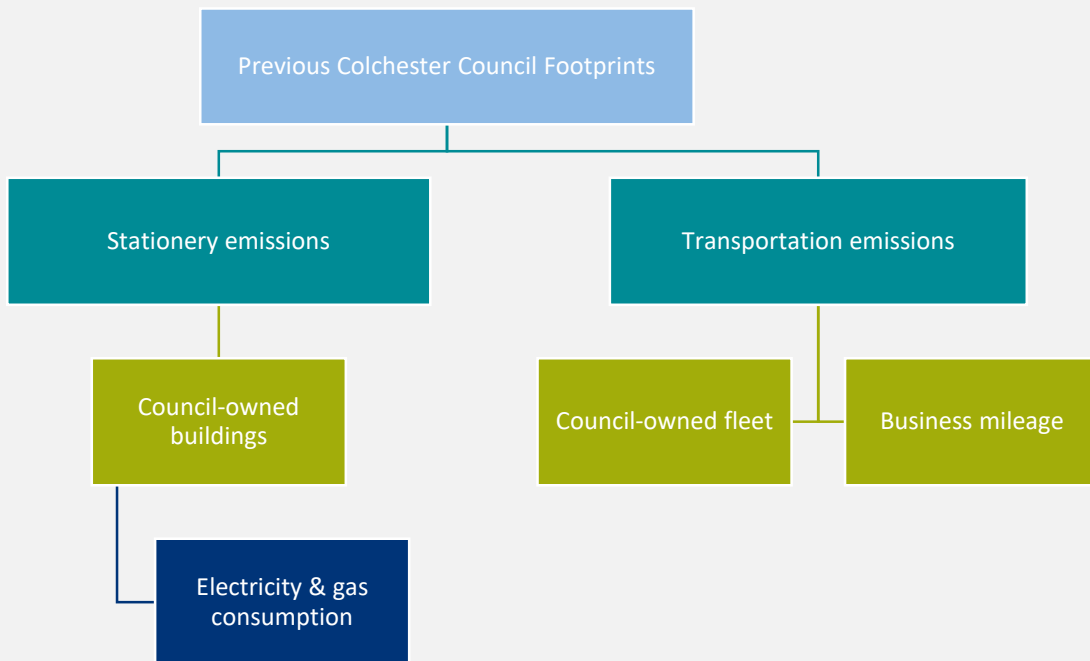
- Greenhouse gases (GHGs) are gases in Earth's atmosphere that trap heat. They let sunlight pass through the atmosphere, but they prevent the heat that the sunlight brings from leaving the atmosphere.
- **Carbon dioxide is not the only greenhouse gas**, there are five other key greenhouse gases that contribute to global warming: Methane, Nitrous Oxide, Hydrofluorocarbons, Perfluorocarbons and Sulphur Hexafluoride.
- Not all of these gases arise from combustion of fossil fuels, with some originating from refrigeration/cooling, agriculture, chemical production and electrical applications.
- **Under the GHG Protocol (see next slide), each gas has its own global warming potential (GWP).** By comparing each gas's GWP to that of Carbon Dioxide (CO₂) we are able to derive a **Carbon Dioxide equivalent value (CO₂e).**
 - Example: CO₂ has a GWP of 1, Methane has a GWP of 24; therefore we can say that 1 ton of methane emissions is equal to 24tCO₂e.
- **Values presented in this report will be given in CO₂e** and therefore reflect the emissions resulting from all greenhouse gases.
- Although CO₂ has the lowest GWP, with some other GHGs having a GWP thousands of times higher, it is by far the most abundant GHG and is therefore the focus when discussing emissions reduction and climate change.

GHG Protocol and emission scopes

- The **greenhouse gas (GHG) protocol** is the most widely used and accepted methodology for GHG accounting. It has been followed to calculate CBC's footprint for FY 18/19.
- Under the GHG Protocol, emission sources are divided into **scopes 1, 2, and 3**. Scopes 1 and 2 emissions are a result of an organisations' **direct** operations, whereas scope 3 emissions result from an organisations' **indirect** activities or value chain (for example, from the manufacturing of products used by the Council).
- Scope 3 emissions are emitted by a third-party's operations and are generally **more difficult to monitor, control and reduce**. As a result, public (and private) sector carbon action has traditionally focused on scope 1 and 2 emissions.
- Where scope 3 emissions have been included, organisations have tended to only consider select elements. However, there is now **increasing appetite to include more scope 3 emissions** in footprints and to encourage carbon reduction in an organisations' value chain.



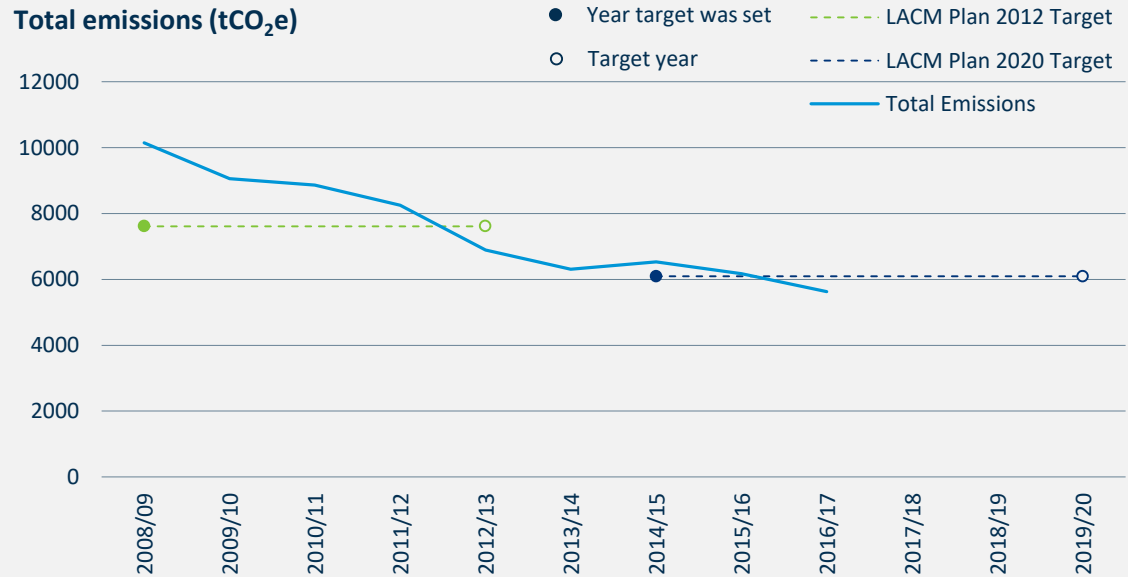
Above. Emissions scopes according to the GHG protocol



- In all previous footprints, CBC have included elements of their stationary emissions and transportation emissions. This has typically included:
- **Scope 1 elements:**
 - Gas consumption, typically used for space and water heating in buildings
 - Fuel consumption used to power the Council's fleet
- **Scope 2 elements:**
 - Electricity consumption
- **Scope 3 elements:**
 - Emissions resulting from business travel in non-Council operated vehicles

- **Analysis of CBC's historic GHG emissions** was carried out using annual GHG emissions reports. Data was available from 2008/09 up to 2016/17.
- Through a number of previous Carbon Management plans, CBC has been working towards **emission reduction targets for the past decade.**
- The emission reductions reported in the GHG reports indicate that **CBC has achieved their reduction targets.**
- The majority of emission reductions were attributed **to purchased electricity and the Council's fleet.**
- During the Carbon Trust analysis, an **accounting error** was found in the method for calculating GHG emissions from the Council's fleet.

Total emissions (tCO₂e)



Above: CBC's evolving footprint as per annual GHG emissions reports

Historical Emissions

Below. CBC's historic emissions as per the annual GHG reports

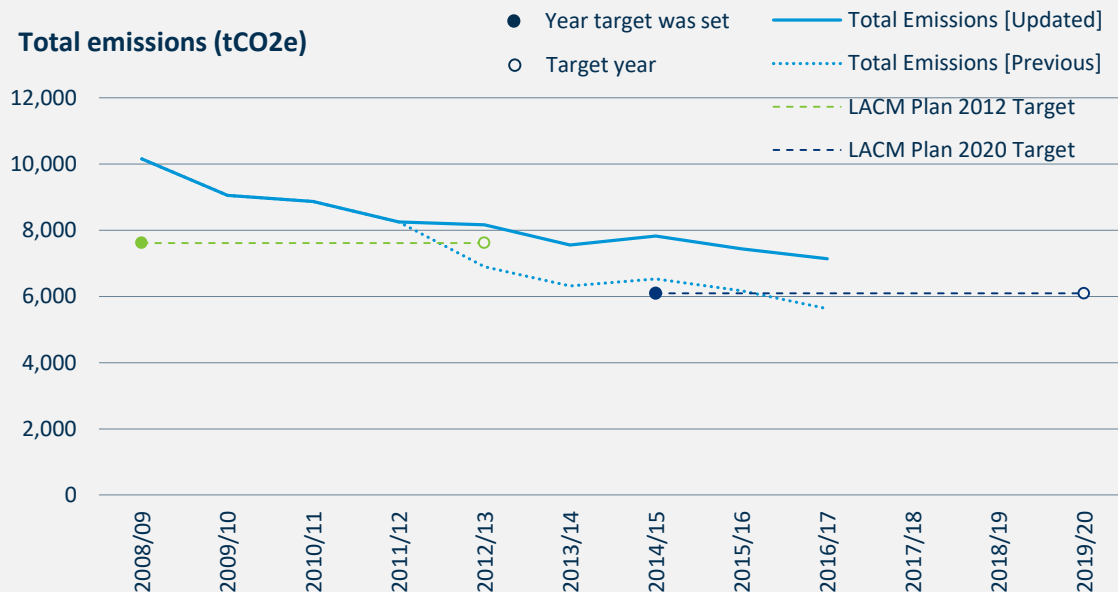
GHG emissions data – Total Tonnes of CO ₂ e										
		FY 16/17	FY 15/16	FY 14/15	FY 13/14	FY 12/13	FY 11/12	FY 10/11	FY 09/10	FY 08/09
Gas Consumption		2,918	3,012	2,993	2,915	3,231	2,642	3,048		
Owned Transport		83	86	169	124	130	1,173	1,157	4,473	5,285
Scope 1 Total		3,001	3,098	3,162	3,039	3,361	3,815	4,205	4,473	5,285
Purchased electricity		2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Scope 2 Total		2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Business Travel		47	41	45	49	50	48	58	65	67
Scope 3 Total		47	41	45	49	50	48	58	65	67
Total emissions		5,631	6,175	6,533	6,312	6,895	8,253	8,866	9,054	10,150
% decrease from baseline		44.5%	39.2%	35.6%	37.8%	32.1%	18.7%	12.7%	10.8%	-

Fleet emissions

- It was found that **emissions from the Council's fleet had been under-reported since 2012** as a result of the Council assigning the majority of their **fuel consumption to biofuel** when calculating emissions.
- It was confirmed that the Council's fleet has always been powered by a combination of diesel and gas oil.
- The calculation resulted in a **~1,300 tCO₂e** annual reduction in emissions (in error) since 2012.
- Since this error has been uncovered, historical fleet emissions have now been adjusted to allow for an accurate comparison in historic emissions, and are shown in the next slide.

Historical Emissions [ADJUSTED]

- The adjusted value does have a material impact on the Council's GHG reporting
- However, the Council are still on track to meet the 40% reduction set out in the LACM Plan 2016-2020
- As of FY 16/17, the Council had achieved a **29.7%** reduction in emissions from the 2008 baseline year
- **The updated emissions pathway will be used from herein**



Above: CBC's adjusted footprint reflecting an increase in emissions from the Council's fleet

Historical Emissions [ADJUSTED]

Below. CBC's historic emissions with adjusted 'owned transport' emissions.

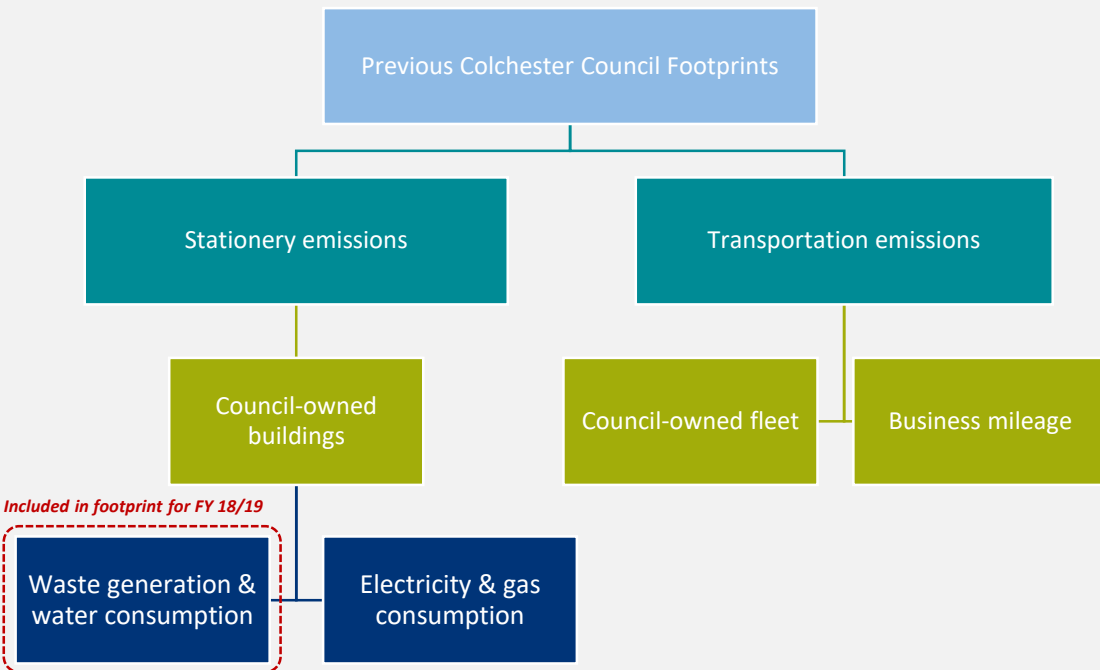
GHG emissions data – Total Tonnes of CO ₂ e										
		FY 16/17	FY 15/16	FY 14/15	FY 13/14	FY 12/13	FY 11/12	FY 10/11	FY 09/10	FY 08/09
Gas Consumption		2,918	3,012	2,993	2,915	3,231	2,642	3,048		
Owned Transport		1,589	1,350	1,461	1,363	1,395	1,173	1,157	4,473	5,285
Scope 1 Total		4,507	4,362	4,454	4,278	4,626	3,815	4,205	4,473	5,285
Purchased electricity		2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Scope 2 Total		2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Business Travel		47	41	45	49	50	48	58	65	67
Scope 3 Total		47	41	45	49	50	48	58	65	67
Total emissions		7,137	7,439	7,825	7,551	8,160	8,253	8,866	9,054	10,150
% decrease from '08		29.7%	26.7%	22.9%	25.6%	19.6%	18.7%	12.7%	10.8%	-



5

Carbon Footprint for FY 18/19

Footprint Scope for FY 18/19



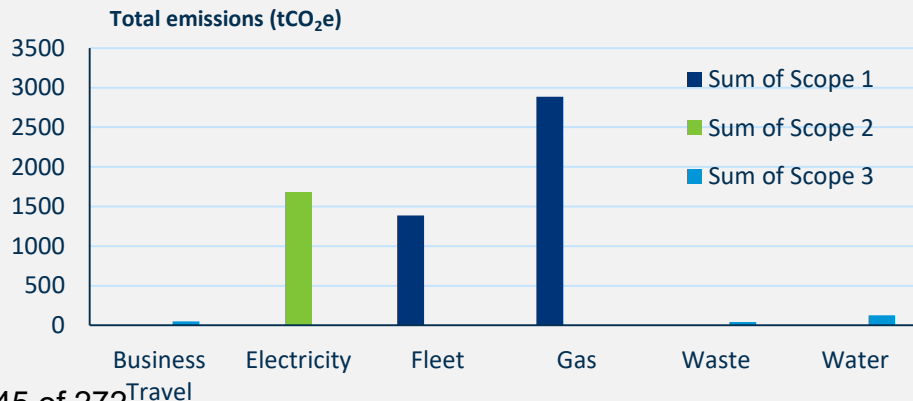
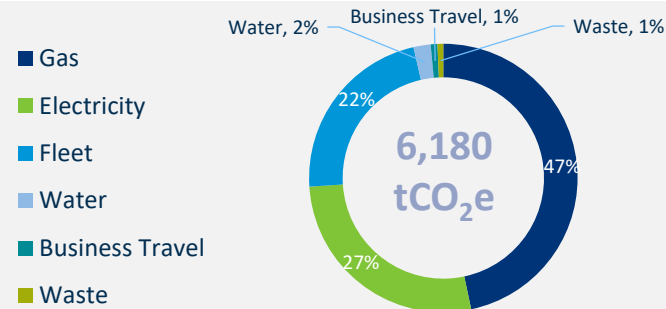
- CBC's carbon footprint was recalculated for the FY 18/19.
- In consultation with the Council, the scope of the footprint was expanded to include:
 - Emissions from the third-party disposal and treatment of waste generated in Council-controlled operations (scope 3).
 - Emissions resulting from the supply and subsequent treatment of water consumed by the Council's operations (scope 3).

N.B. Renewable generation was initially included in CBC's footprint but was removed during the QA process. Renewable generation is not considered to offset emissions in the location-based method used by the GHG protocol and is accounted for by either a) reducing meter readings if the electricity generated is private wired to a building or b) in the national grid emissions factor if the electricity is exported to the grid.

2018/19 Carbon Footprint

- The total carbon footprint for Colchester Borough Council's own operations in the FY 2018/19 is equal to **6,180 tCO₂e**.
- The majority of this footprint is attributed to the Council's gas consumption for space and water heating in buildings. Emissions from electricity consumption and fuel consumption for vehicles also form a significant portion of emissions.

	Emissions [tCO ₂ e]
Scope 1	4,271 (69.1 %)
Scope 2	1,687 (27.3 %)
Scope 3	220 (3.6 %)



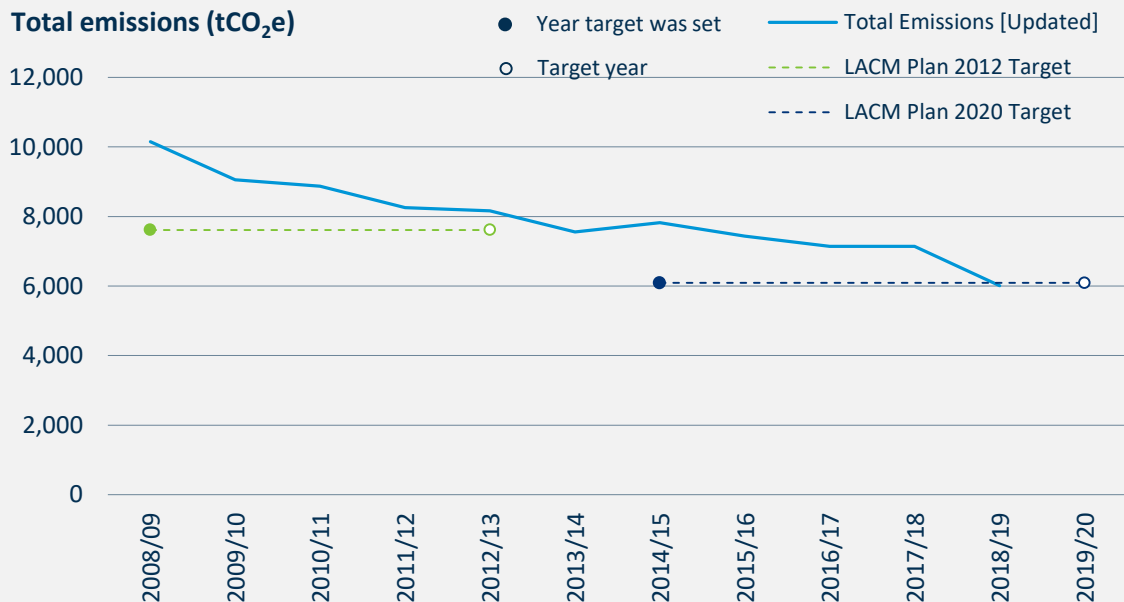
2018/19 Carbon Footprint

Below. CBC's historic emissions, updated with FY 18/19.

GHG emissions data – Total Tonnes of CO ₂ e										
	FY 18/19	FY 16/17	FY 15/16	FY 14/15	FY 13/14	FY 12/13	FY 11/12	FY 10/11	FY 09/10	FY 08/09
Gas Consumption	2,884	2,918	3,012	2,993	2,915	3,231	2,642	3,048	4,473	5,285
Owned Transport	1,383	1,589	1,350	1,461	1,363	1,395	1,173	1,157		
Scope 1 Total	4,272	4,507	4,362	4,454	4,278	4,626	3,815	4,205	4,473	5,285
Purchased electricity	1,687	2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Scope 2 Total	1,687	2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Business Travel	50	47	41	45	49	50	48	58	65	67
Waste ¹	43	-	-	-	-	-	-	-	-	-
Water ¹	127	-	-	-	-	-	-	-	-	-
Scope 3 Total	221	47	41	45	49	50	48	58	65	67
Total emissions	6,180	7,137	7,439	7,825	7,551	8,160	8,253	8,866	9,054	10,150

2018/19 Carbon Footprint

- The baseline year 2008/09 and LACM Plan targets did not include the emissions resulting from waste and water
- Excluding these emission sources, CBC's footprint is equal to **6,009 tCO₂e**
- This represents a **40.8% decrease** in emissions relative to 2008/09, and has resulted in CBC meeting their 40% emission reduction target a year early.



Above: CBC's evolving footprint. Footprint for FY 18/19 does not include water & waste to allow for direct comparison with previous years. No data for 2017/18 was available and it was assumed constant from 2016/17

6

Emission hotspots and priority focus areas

2018/2019 Footprint Breakdown

- The Council's **'stationary' footprint** from buildings, public lighting/amenities etc. accounts for **76.7%** of the overall footprint:
 - The stationary footprint was divided into use-types. **Leisure and recreation is by far the largest contributor to the Council's stationary emissions**, largely driven by Leisure World
- The emissions associated with the Council's fleet are also substantial:
 - As the grid continues to decarbonise and purchased electricity becomes 'greener' **emissions from the Council's fleet will become an increasingly larger portion** of the overall footprint

STATIONARY FOOTPRINT		
Ranking	Site Type	Emissions (tCO ₂ e)
1	Leisure and recreation	2,388
1.a	Leisure World	2,184
2	Residential buildings	1,419
3	Council buildings	376
4	Public conveniences	286
5	Cemetery / Crem	191
6	Street amenities	79
7	Pumping stations	3
TOTAL		4,742

TRANSPORTATION FOOTPRINT		
Ranking	Site Type	Emissions (tCO ₂ e)
1	Fleet Vehicles	1,388
1.a	Waste vehicles	819
1.b	Other vehicles	569
2	Business Travel	50
TOTAL		1,438

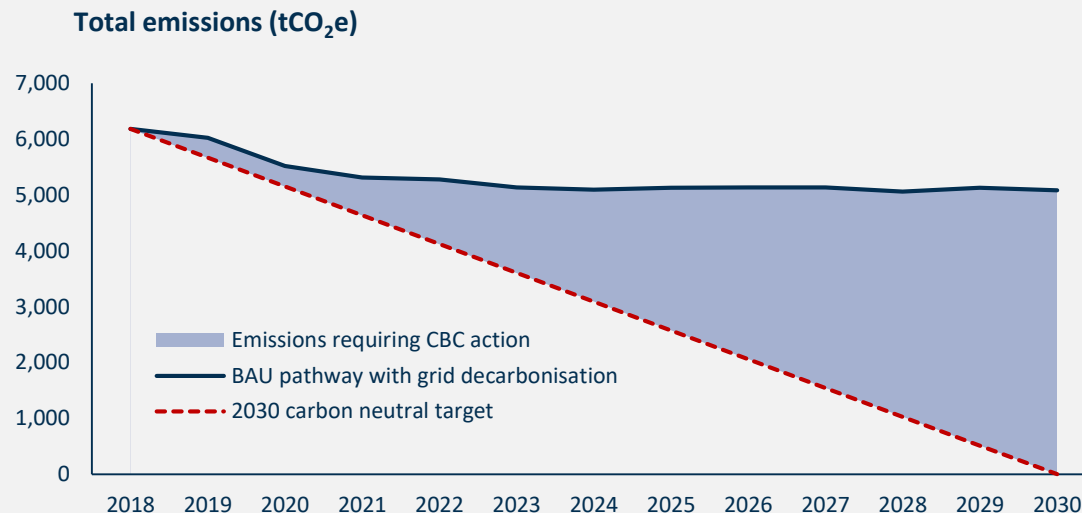
Stationary Breakdown

- Gas emissions, primarily from the space and water heating of buildings, make up the majority of the Council's stationary emissions (60.8%)
- Leisure world is the largest single emitter across the Council's portfolio and accounts for 35.3% of all emissions.
- Future reduction in gas emissions will need to be largely driven by Council-led interventions as national trends between now and 2030 will not impact gas emissions as much as other emission sources e.g. electricity consumption.

STATIONARY FOOTPRINT						
Ranking	Site Type	Electricity emissions (tCO2e)	Gas emissions (tCO2e)	Water emissions (tCO2e)	Waste emissions (tCO2e)	TOTAL
1	Leisure and recreation	762	1,511	82	33	2,388
1.a	Leisure World	656	1,445	58	25	2,184
2	Residential buildings	467	928	25	0	1,419
3	Council buildings	148	209	10	9	376
4	Public conveniences	207	72	7	0	286
5	Cemetery / Crem	23	165	2	1	191
6	Street amenities	78	0	1	0	79
7	Pumping stations	3	0	0	0	3
TOTAL		1,687	2,884	127	43	4,742

Decarbonisation of the grid

- Maintaining a business as usual (BAU) case, where energy consumption remains constant will still result in a **decrease in electricity emissions as a result of grid decarbonisation.**
- In a 'do nothing' scenario, CBC's emissions are **expected to reduce by 1,094 tCO₂e** as a result of CBC using greener electricity from the national grid.
- Beyond this, a further 5,085 tCO₂e reduction must then be achieved by CBC to achieve the 2030 carbon neutral target.



Above: BAU pathway for Colchester assuming a 'do-nothing' scenario whereby emission reductions come from the grid decarbonising.



7

Workshop

Workshop delivery

- Two workshop sessions were led by the Carbon Trust - one with a selection of Council officers and another with members of the Task and Finish Group who are overseeing the implementation of the Climate Emergency Declaration.
- Representatives from Colchester Borough Homes and Colchester Amphora (both wholly-owned subsidiaries of the Council) also attended the officers session
- The aims of the session were to:
 - Present interim results
 - Explore the idea of expanding the scope of CBC's target
 - Give consideration to other aspects of climate action planning (e.g. pathway modelling, science-based targets, approach to offsetting etc.)
 - Discuss potential next steps for the Council

Workshop delivery

- The workshops were used to present the interim results of CBC's updated footprint and to display what other Council's are doing in respect to Climate Emergency declarations. During the workshop, the following points were raised by the project team:
 - Relative to other Council's, **Colchester's climate action to date has been impressive**. Over £1.5mil has been invested in carbon reduction projects and significant emission reductions have been achieved through the Council's actions;
 - Despite the increased fleet emissions the Council has **achieved their 40% emissions reduction target**;
 - The Council's historical focus on scope 1 and 2 emissions is consistent with other public sector organisations, and the scope and target of the Climate Emergency declaration is **typical of other Council's**;

Workshop discussion

- A number of questions were posed to the Council to try and **structure the development of the Council's action plan** (e.g. scope and target setting, approach to offsetting). Some highlights of the discussion included:
 - **Scope.** There were extensive discussions around what should and should not be included within the scope of the target. Particularly, the inclusion of the housing stock managed by Colchester Borough Homes was debated. This currently falls within CBC's scope 3 emission sources and is not included. Before making a firm decision, it was recommended by the Carbon Trust to measure the emissions resulting from the Council's scope 3 emissions.
 - **Target setting.** Both the officers and councillors recognised that a 2030 carbon neutral target is extremely ambitious and will be hard to achieve. However, there was a common feeling that Colchester have an obligation to go 'above and beyond' what is expected. There is a clear desire to take a leading role in Climate Action both in the region and at a national context.
 - **Offsetting** will almost certainly be required for CBC to achieve a 2030 carbon neutral target, and it is unlikely that between now and 2030 tree planting initiatives will offset all of CBC's unmitigated emissions. Both the Officers and Councillors recognised that this could result in a large annual expenditure, and various discussions were had as to how to make best-use of this (for example, by funding carbon-reducing initiatives in the local area). The consideration of and robust strategy towards offsetting should be explored by the Council in any plan that is put forward.

Workshop discussion

- Additionally, the workshops were used to explore concepts that the Council could potentially explore as part of their climate action.
- In particular, **Scenario modelling** and **science-based targets (SBTs)** were presented as points for consideration to the Council. More information can be found in the appendix of this report.
 - There was a **consensus that SBTs should not make up CBC's core target** and that the Council should continue to pursue a 2030 carbon neutral target. However, the **potential for SBTs to form wider targets** (e.g. for scope 3 emissions) was considered as an option;
 - There was particular interest in scenario modelling, and how it could be used to **focus carbon reduction efforts in the appropriate areas** by taking account of national and local trends & policies.
- Examples of good governance procedures (e.g. integrating climate-related KPIs for senior officers) and potential project ideas were also discussed as part of the broader carbon management planning.
- The workshop was concluded by the project team making a series of recommendations to the Council (see section 8 'Recommendations and next steps').

8

Recommendations and next steps

Recommendation 1

Understanding key Scope 3 emissions sources

- CBC are responsible for a much wider footprint outside of their direct control, which is currently not included in the Council's target. This includes contracts (e.g. grounds maintenance) as well as wholly-owned companies such as Colchester Borough Homes and Colchester Amphora;
- We would expect CBC's scope 3 to account for a significant portion of the Council's emissions. Emissions arising from these sources can be reduced from the corporate, procurement and everyday decisions made by the Council;
- There was significant debate amongst Council representatives as to whether or not these sources should be considered within the scope of the Council's target;
- Before making any decision, we recommend for the Council to measure and understand these emission sources to better inform the debate and allow the Council to come to a target that is ambitious but realistic.

Recommended next steps:

- Collect available data and measure relevant Scope 3 emissions

Recommendation 2

Moving towards a road map and action plan – pathway modelling

- We recommend that, before identifying specific project opportunities, the Council need to understand the impact of business as usual, national policies and local initiatives on the future carbon footprint.
- To do so the Council should perform macro-level scenario analysis, which would layer national and Council-level trends & policies to map CBC's emissions out to 2030;
- This will show what the make-up of the Council's emissions will be in 2030 on the current pathway, and in doing so provide steer on focus areas that the Council should prioritise for project implementation between now and then.
- This was discussed at the workshop and received positive feedback from both the Officers and Councillors. The slides presented are contained in the appendices.

Recommended next steps:

- Perform pathway modelling to identify priority focus areas for the Council

Recommendation 3

Footprint calculation

- CBC already has a strong data management and collection process in place for their scope 1 and 2 emissions. However, discrepancies in the calculation of previous footprints were identified and therefore it is important that CBC set up and maintain a robust data capture and verification process to be able to assess their progress.
- In addition, data collection for Rowan House should be refined so that greater confidence can be placed in the meter readings.

Recommended next steps:

- Write and agree an internal data management plan which sets out roles and responsibilities for data capture and verification as well as a timetable for reporting.

Recommendation 4

Maintain collaboration with business and the wider area

- It was very positive to see good collaboration within the organisation and a range of interests from the wider Borough. This should be maintained through ongoing engagement activities.

Recommended next steps:

- CBC should create an engagement plan for continuing to engage a range of stakeholders internally and throughout the Borough on the Climate Emergency

Recommendation 5

Ensure ethos of the Climate Emergency is embedded in broader strategies

- The qualitative review identified that a number of key strategies within CBC will need to be revised in 2020. In order to have maximum impact in the District, it is important that the Climate Emergency ethos and targets are a key feature of the new strategies.

Recommended next steps:

- CBC should engage officers responsible for the development of key strategy revisions early, to ensure the Climate Emergency forms a central pillar of the emerging strategy.



9

Appendix

What is a science-based target?

- Within the Paris Climate Agreement 195 nations agreed to hold the increase in global average temperatures to 2°C and pursue efforts to limit the increase to 1.5°C.
- The Intergovernmental Panel on Climate Change (IPCC) along with the International Energy Agency (IEA) have developed a multitude of greenhouse gas reduction pathways that are required to achieve these warming targets.
 - This sets a 'carbon budget' of how many GHG emissions can be emitted over a certain period of time (e.g. 2050 or 2060).
- If a company, organisation, region, or otherwise is to set an emission reduction target in line with climate science requirements to meet the above, then that target is said to be 'science based'.

Science-based targets (SBTs)

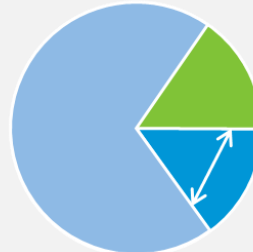
Setting a science-based target

- There are three fundamental components to the development of a science based target:
 - A carbon budget – a finite amount of carbon can be emitted
 - An emissions scenario – how is the budget distributed over time
 - An allocation approach – how is the budget within that scenario allocated amongst companies in the same level of disaggregation
- An analogy can be drawn by considering a pie:

1. Assessing the global carbon budget
How large is the pie?



2. Calculating the Councils carbon budget
How large is my slice?

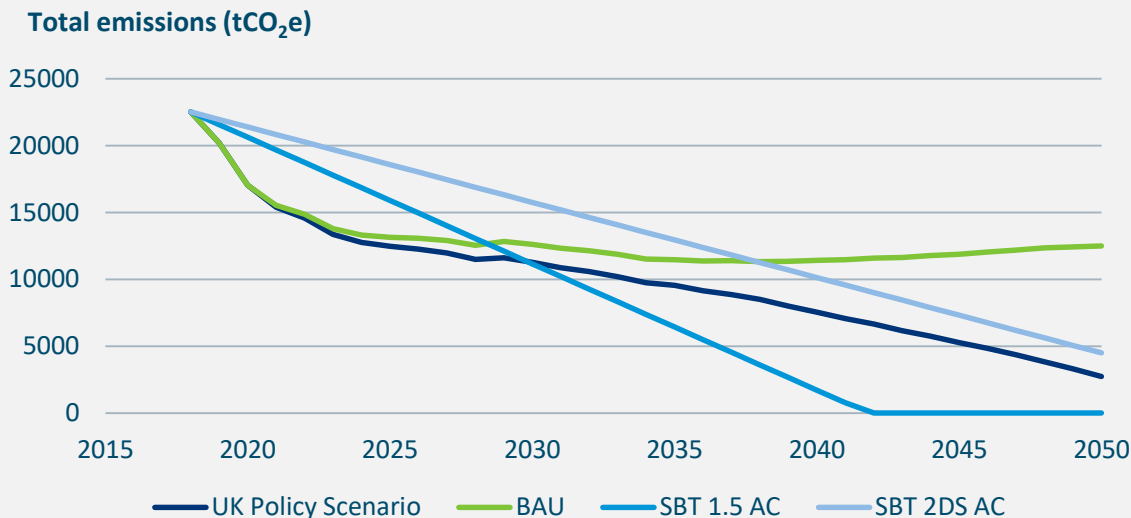


3. Compare your budget and your footprint
Am I eating too much?



Science-based targets (SBTs)

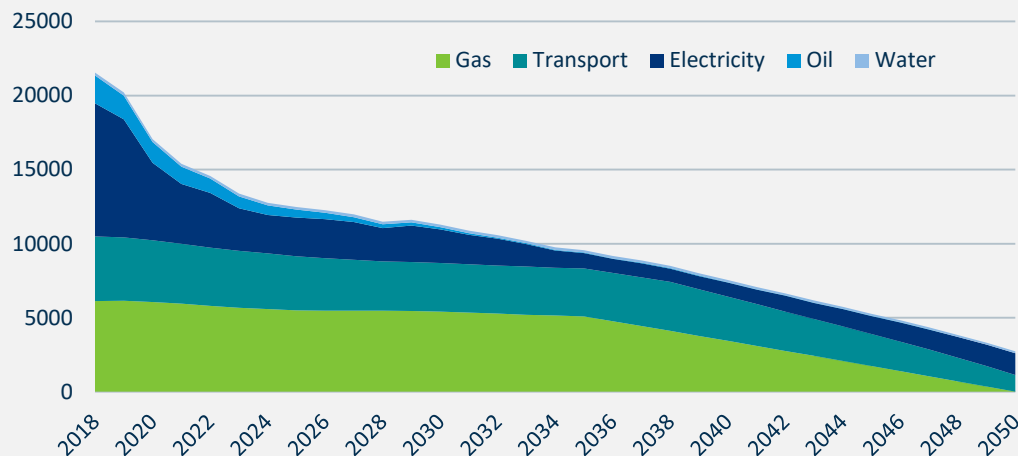
- An example of a science-based target that was conducted by the Carbon Trust was presented to the Council during the workshop.
- A 1.5°C-aligned reduction pathway would result in this Council reaching carbon neutral by 2042.



Above: Science-based target example. This data does not represent Colchester Borough Council

- An example of pathway modelling that conducted by the Carbon Trust was presented to the Council during the workshop.
- For this Council, the modelling showed that by 2050 the majority of their emissions would be a result of electricity and transport.
- The allows the Council to identify where the gap to target exists and therefore prioritise implementation measures.

Total emissions (tCO₂e) with UK Government Policy Scenario



Above: Pathway modelling example. This data does not represent Colchester Borough Council

Appendix: Data Sources

- Energy, vehicle mileage, utilities data – Colchester Borough Council
- Building benchmarks - CIBSE
- Emission Factors – BEIS
- UK emission factors projections – BEIS

Whilst reasonable steps have been taken to ensure that the information contained within this publication is correct, the authors, the Carbon Trust, its agents, contractors and sub-contractors give no warranty and make no representation as to its accuracy and accept no liability for any errors or omissions. All trademarks, service marks and logos in this publication, and copyright in it, are the property of the Carbon Trust (or its licensors). Nothing in this publication shall be construed as granting any licence or right to use or reproduce any of the trademarks, services marks, logos, copyright or any proprietary information in any way without the Carbon Trust's prior written permission. The Carbon Trust enforces infringements of its intellectual property rights to the full extent permitted by law. The Carbon Trust is a company limited by guarantee and registered in England and Wales under company number 4190230 with its registered office at 4th Floor Dorset House, Stamford Street, London SE1 9NT. Published in the UK: 2019. © The Carbon Trust 2019. All rights reserved.

Colchester Borough Council

Climate Emergency Action Plan

January 2020

Contents

	Page
Executive Summary	3
Introduction	4
Challenge and Risks associated with Climate Change	5
Benefits associated with Climate Change Action	5
Action taken already	5
Carbon Emission Baseline	6
Scope of Carbon Emission Target	7
Areas of Focus for Carbon Emission Reduction	9
Action Planning	11
1. Organisational Culture & Decision Making	11
2. Roadmap to Carbon Neutral	12
3. Planning, Development & Sustainable Travel	13
4. Waste Management	14
5. Mitigation, climate adaptation and environmental stewardship	15
6. Build Community Resilience through Enabling, Behaviour Change & Partnership Working	16
Ongoing Review	17
Appendices	
Appendix 1 - Action taken as reported to Cabinet in November 2019	18
Appendix 2 - Proposed measures for implementation within existing planning legislation	20

Executive Summary

Taking action to tackle our Climate Emergency is an absolute priority for Colchester Borough Council (CBC). In July 2019 the Council was one of the first in the region to make a Climate Emergency declaration.

This Action Plan builds upon many years of achievement and environmental innovation, underlined by Colchester's status as one of the top performing Climate Friendly Council's in England & Wales by Friends of the Earth.

This is the first version of our Climate Emergency Action Plan, it is only a starting point in a ten year journey. We will adapt and update this plan regularly alongside the development of a new Environment & Sustainability Strategy and a Carbon Management Plan that will reflect many of the aspirations and actions from this plan.

Meanwhile we will continue to act boldly on climate change to ensure the whole organisation rises to the challenge of the climate emergency.

The Plan, in summary:

- Provides an assessment of CBC's emissions and their sources and begins to explore likely future scenarios for the next decade.
- Demonstrates that the Council has achieved its 2020 emissions reduction target one year early and sets a goal for the Council to be Net Carbon zero by 2030.
- Demonstrates what action has already been taken and how this crisis is being addressed through partnership via the Conservation Environment & Sustainability Task & Finish Group.
- Highlights our commitment to work with the whole community in responding to the climate emergency and to work with other local authorities and partners to share learning and knowledge.
- Sets out existing and new actions that will be delivered and where necessary developed further to:
 - Embed the Climate Emergency in Organisational Culture & Decision Making
 - Create a Roadmap to reduce our Carbon footprint to net zero by 2030
 - Provide for environmental sustainability through Planning, Development & Sustainable Travel
 - Embed sustainability through the Management of Waste and Recycling
 - Undertake Mitigation, Climate Adaptation and Environmental Stewardship
 - Build Community Resilience through Enabling, Behaviour Change & Partnership Working

Introduction

Taking action to tackle our Climate Emergency is an absolute priority for Colchester Borough Council (CBC). In July 2019 the Council was one of the first in the region to make a Climate Emergency declaration.

The Council is committed to firm action, from setting an ambitious target to be carbon neutral by 2030 to driving forward a significant programme of environmental stewardship to sustain and enhance biodiversity and invest in cleaner, greener, renewable energy projects.

This Action Plan builds upon many years of achievement and environmental innovation, underlined by Colchester's status as one of the top performing Climate Friendly Council's in England & Wales by Friends of the Earth.

The plan aims to address the urgent challenge faced by the Council; one which is made harder because, compared to most places, Colchester has already completed many of the 'easier', 'quick win' projects. This means that moving forward at pace to achieve our targets will require significant investment of time, money and energy from the Council, the government, our partners and citizens.

We are aware of growing public support for environmental action and this has been exemplified by groups such as Extinction Rebellion's People's Assembly & Festival and the work of Eco Colchester, with both groups presenting to the Council's Conservation, Environment & Sustainability Task & Finish Group in 2019.

It must be highlighted that opinion is divided on the pace required to meet this emergency; Extinction Rebellion state that we should aim for carbon net zero by 2025, The UK Committee on Climate Change along with the Intergovernmental Panel on Climate Change (IPaC) both reference dates of 2050 for carbon neutral, which the UK Government announced that it would adopt on the 12 June 2019.

Given the scale of the challenge to achieve a net zero carbon goal by 2030 it is likely that some future measures will entail radical steps that will require far reaching policy and societal changes. They will also rely on the measures taken at regional and national level to achieve an overall carbon reduction target. As was recognised in the agreed motion, the council cannot do this alone.

It is important to note this is the initial version of our Action Plan, it is only a starting point in a ten year journey. We will adapt as we go and update this plan regularly alongside the development of a new Environment & Sustainability Strategy and a Carbon Management Plan that will reflect many of the aspirations and actions from this plan. Meanwhile we will continue to act boldly on climate.

Challenge and Risks associated with Climate Change

In 2018, the Intergovernmental Panel on Climate Change (IPCC) published a report which advised that global warming must be limited to 1.5°C, as opposed to the previous target of 2°C. The IPCC's review of over 6,000 sources of evidence found that, with a rise of 1.5°C, there would be risks to health, livelihoods, food security, water supply, human security and economic growth. A rise to 2°C would be even more catastrophic. It warned that there were 12 years within which to take the serious action required to avert this crisis and avoid the worst impacts.

CBC's Comprehensive Climate Risk Assessment outlines the climate change predictions for Colchester; it identifies risks and looks at existing and potential actions to reduce risks.

The short term climate change risks for Colchester are:

- Milder, wetter winters (central estimate shows an increase in mean winter temperature of 1.3°C and 6% increase in winter precipitation)
- Hotter, drier summers (central estimate shows an increase in mean summer temperature of 1.3°C and 7% decrease in summer precipitation)
- More frequent extreme high temperatures (central estimate shows an increase in the mean temperature of the warmest day of 0.9 °C)
- More frequent downpours of rain (central estimate shows an increase of 5% precipitation on the wettest day)
- Significant decrease in soil moisture content in summer
- Sea level rise and increases in storm surge height (central estimate for sea level rise in the East of England shows a 9.7cm increase under the medium emissions scenario and a 11.5cm increase under the high emissions scenario)
- Possible higher wind speeds.

It is clear that the climate of Colchester is very likely to change in the short term, with more significant changes likely in the longer term. Colchester currently has one of the highest average temperatures and lowest rainfall in the East of England. It is likely that Colchester will be more affected than other areas and it is therefore essential that adaptation measures are put in place to reduce Colchester's vulnerability to climate change.

Benefits associated with Climate Change Action

Whilst there are significant challenges, taking action to mitigate and adapt to climate change could also bring multiple benefits for the environment, society and economy in Colchester. There are new opportunities to promote sustainable local development, enhance quality of life, stimulate investment and innovation, create jobs and reinforce stakeholder participation and co-operation.

Action taken already

Colchester is not starting from scratch on its journey towards becoming net carbon neutral or adapting to climate change impacts.

The Council has made significant reductions in carbon through previous carbon reduction strategies. Over £1.5m has been invested in carbon reduction projects and from a baseline of 10,150 tCO₂e in 2008 **the 40% reduction target has been met, one year ahead of the 2020 target.**

In July 2019, the Council passed a motion to declare a climate emergency and to:
Support the newly formed Conservation and Environmental Sustainability Task and Finish Group to consider the following actions:

Commission an environmental audit which identifies pollution hotspots, wildlife biodiversity and environmental health issues, and an urban impact assessment with an aim to identify areas of improvement across the borough.

Consult expert opinions in the field, as appropriate.

Collaborate with regional and neighbouring local authorities, as well as communities, to encourage practical measures to reduce emissions, reduce carbon footprints and develop community-based renewable energy projects.

Encourage all sectors of the economy across the borough to take steps to reduce waste and become carbon neutral.

Develop a roadmap for Colchester Borough Council to go carbon neutral by 2030.

Report to Cabinet and Full Council within six months with an action plan setting out conservation and environmental sustainability goals to address targets by 2030; incorporating proposals on the investment implications of this proposed activity.

Pledge to ensure future housing and community development projects meet a carbon-neutral standard by 2030

Call upon the Leader of the Council to write to the Minister of State for Energy and Clean Growth requesting that national policy is urgently developed to reflect the seriousness of the current emergency, and to release funds to local authorities, encouraging them to take the necessary measures at local level.

Since the motion was passed, the Council has been working closely with a wide range of stakeholders to develop our approach to addressing the climate emergency as set out in appendix 1 and as reported to Cabinet in November 2019.

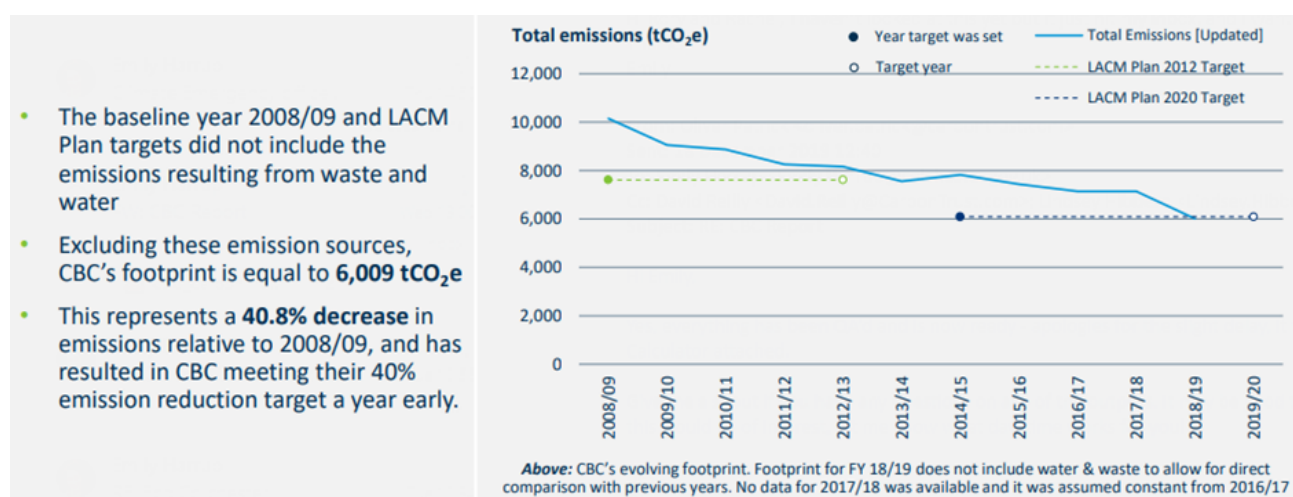
Carbon Emission Baseline

Achieving a net zero carbon target depends on a sound understanding of not only where we have come from, but also where we are now and ultimately where our current plans are taking us.

The Carbon Trust was commissioned to provide the initial evidence base to help us ensure that Colchester Council's response to the climate emergency is informed by sound recommendations and expert guidance to ensure we deploy the most effective solutions to help us tackle climate change.

Analysis of CBC's historic Green House Gas (GHG) emissions was carried out using annual GHG emissions reports. Data was available from 2008/09 up to 2016/17. The emission reductions reported in the GHG reports indicate that CBC achieved its reduction targets with the majority of emission reductions attributed to purchased electricity and the Council's fleet. *(Note: During the Carbon Trust analysis, it became apparent that fleet emission data had been under reported since 2012. However even with this historical calculation error the Carbon Trust report states that in Colchester we have a 40.8% decrease in emissions relative to 2008/09 baselines. This equates to a reduction of 3,970 tonnes of CO₂e)*

Figure 1 – 2018/19 Carbon Footprint



Scope of Carbon Emission Target

The GHG protocol is the most widely used and accepted methodology for GHG accounting. It is the method the Council has used since 2008 and is the method that has been followed to calculate CBC's footprint for FY 18/19.

Under the GHG Protocol, emission sources are divided into scopes 1, 2, and 3. Scopes 1 and 2 emissions are a result of an organisations' direct operations, whereas scope 3 emissions result from an organisations' indirect activities or value chain (for example, from the manufacturing of products used by the Council).

Scope 3 emissions are emitted by a third-party's operations and are generally more difficult to monitor, control and reduce. As a result, public (and private) sector carbon action has traditionally focused on scope 1 and 2 emissions.

Where scope 3 emissions have been included, organisations tend to only consider certain elements where there is a degree of influence or control. However, there is now increasing appetite to include more scope 3 emissions in footprints and to encourage carbon reduction in an organisations' value chain.

All previous carbon footprints for CBC have included:

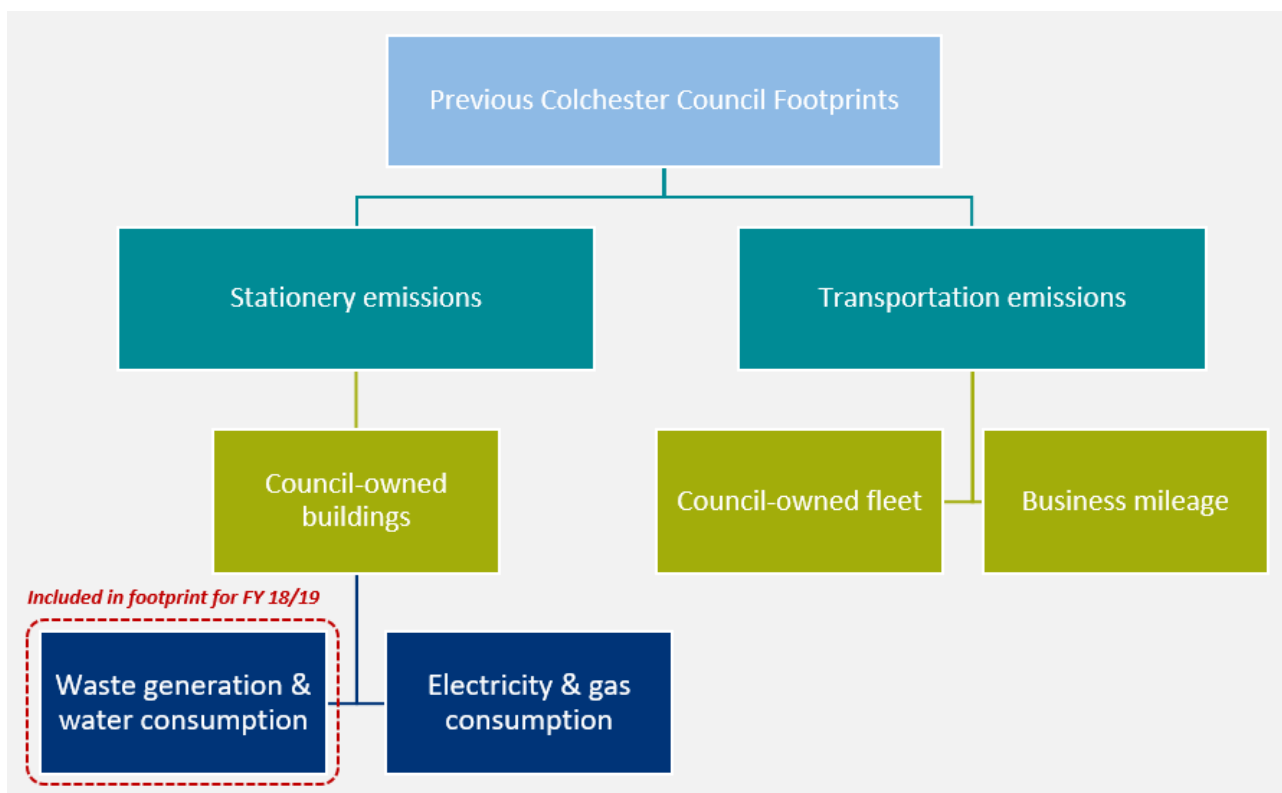
- Emissions from gas consumption for space and water heating in buildings (scope1)
- Emissions from fuel consumption used to power the Council's fleet (scope 1)

- Emissions from electricity consumption (scope 2).
- Emissions resulting from business travel in non-Council operated vehicles (scope 3)

The Council's carbon footprint was recalculated for the financial year 2018/19 and the scope of the footprint was expanded to include further scope 3 emissions including:

- Emissions from the third-party disposal and treatment of waste generated in Council controlled operations (scope 3)
- Emissions resulting from the supply and subsequent treatment of water consumed by the Council's operations (scope 3)

Figure 2 - 2018/19 Adjusted Carbon Footprint Scope



The total carbon footprint for CBC's own operations in the financial year 2018/19 within the scope above is equal to **6,180 tCO₂e**.

The majority of this footprint is attributed to the Council's gas consumption for space and water heating in buildings. Emissions from electricity consumption and for fleet vehicles also form a significant portion of emissions.

Figure 3. – Carbon footprint breakdown by scope

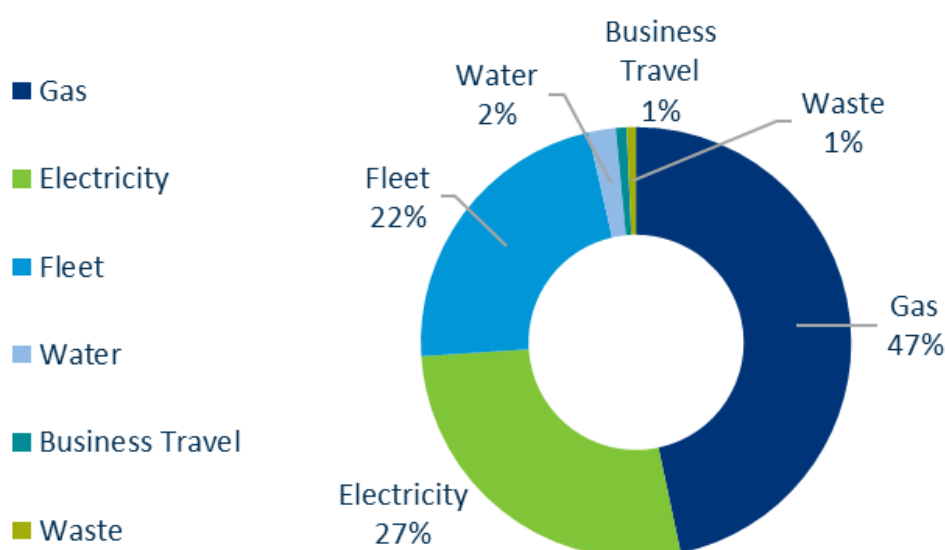


Figure 4. – Historic emissions, updated with data for 18/19.

GHG emissions data – Total Tonnes of CO ₂ e										
	FY 18/19	FY 16/17	FY 15/16	FY 14/15	FY 13/14	FY 12/13	FY 11/12	FY 10/11	FY 09/10	FY 08/09
Gas Consumption	2,884	2,918	3,012	2,993	2,915	3,231	2,642	3,048	4,473	5,285
Owned Transport	1,383	1,589	1,350	1,461	1,363	1,395	1,173	1,157		
Scope 1 Total	4,272	4,507	4,362	4,454	4,278	4,626	3,815	4,205	4,473	5,285
Purchased electricity	1,687	2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Scope 2 Total	1,687	2,583	3,036	3,326	3,224	3,484	4,390	4,603	4,516	4,798
Business Travel	50	47	41	45	49	50	48	58	65	67
Waste ¹	43	-	-	-	-	-	-	-	-	-
Water ¹	127	-	-	-	-	-	-	-	-	-
Scope 3 Total	221	47	41	45	49	50	48	58	65	67
Total emissions	6,180	7,137	7,439	7,825	7,551	8,160	8,253	8,866	9,054	10,150

Areas of Focus for Carbon Emission Reduction

The Council's 'stationary' footprint from buildings, public lighting/amenities etc. accounts for 76.7% of the overall footprint.

The stationary footprint was divided into use-types. Leisure and recreation is by far the largest contributor to the Council's stationary emissions, largely driven by Leisure World, the largest single emitter across the Council's portfolio accounting for 35.3% of all emissions.

The emissions associated with the Council's fleet are also substantial. As the grid continues to decarbonise and purchased electricity becomes 'greener' emissions from the Council's fleet will become an increasingly larger portion of the overall footprint.

Gas emissions, primarily from the space and water heating of buildings, make up the majority of the Council's stationary emissions (60.8%).

Figure 5. Breakdown of Stationary Footprint 18/19

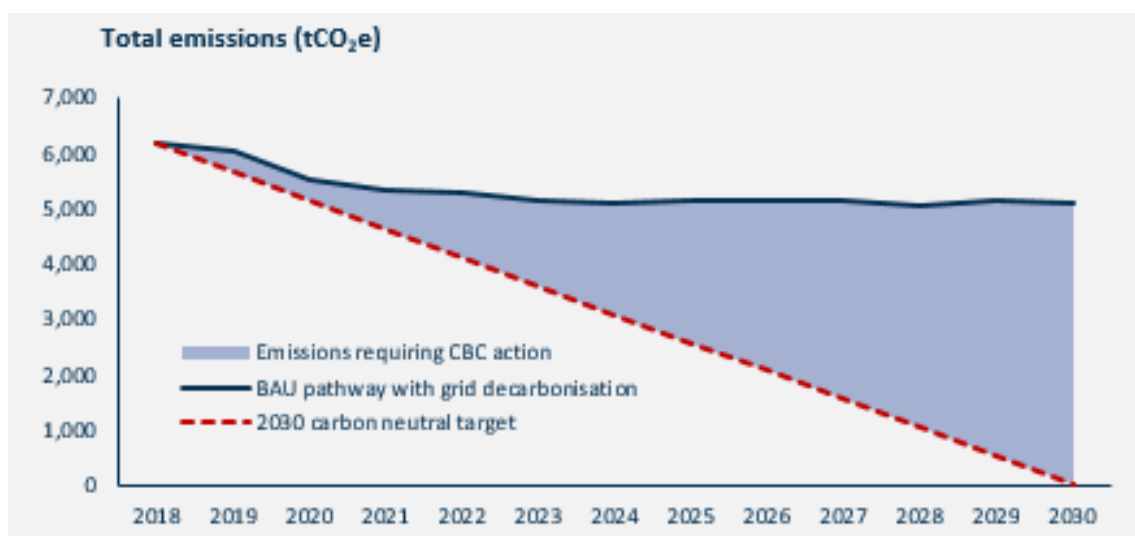
STATIONARY FOOTPRINT						
Ranking	Site Type	Electricity emissions (tCO ₂ e)	Gas emissions (tCO ₂ e)	Water emissions (tCO ₂ e)	Waste emissions (tCO ₂ e)	TOTAL
1	Leisure and recreation	762	1,511	82	33	2,388
1.a	<i>Leisure World</i>	656	1,445	58	25	2,184
2	Residential buildings	467	928	25	0	1,419
3	Council buildings	148	209	10	9	376
4	Public conveniences	207	72	7	0	286
5	Cemetery / Crem	23	165	2	1	191
6	Street amenities	78	0	1	0	79
7	Pumping stations	3	0	0	0	3
TOTAL		1,687	2,884	127	43	4,742

Maintaining a business as usual case, where energy consumption remains constant will still result in a decrease in electricity emissions as a result of grid decarbonisation.

In a 'do nothing' scenario, CBC's emissions are expected to reduce by 1,094 tCO₂e as a result of the Council using greener electricity from the national grid.

Beyond this, a further **5,085 tCO₂e reduction** must then be achieved by CBC to achieve the 2030 net carbon zero target.

Figure 6 - 'do nothing' scenario – emission reductions come from the grid decarbonising.



Further work will be required to ensure that emissions from electricity continue to fall, however greater emphasis will need to be placed on reducing diesel and gas emissions.

Future reduction in gas emissions will need to be largely driven by Council-led interventions as national trends between now and 2030 will not impact gas emissions as much as other emission sources e.g. electricity consumption.

Action Planning

There is a need for a flexible and iterative approach to action planning our carbon reduction strategy and our overall approach to the climate emergency.

As a result, we will adapt and update this plan regularly with more detail on specific projects, costings, milestones for delivery etc as the whole programme of work develops, as new technology becomes available, as we continue to consult with expert partners, wider stakeholders and as we undertake further examination of evidence and best practice.

Alongside the Action Plan we will develop a new Environment & Sustainability Strategy and a Carbon Management Plan that will set out specific carbon reduction projects in greater detail that reflect the aspirations and actions from this overarching initial plan.

Environment and Sustainability is a New Strategic Priority for the Council and has been highlighted in the 2020/21 Budget Strategy to enable the right level of focus, governance and resourcing to be provided to deliver real progress against this action plan.

1. Organisational Culture & Decision Making

We will build on the strategy review undertaken by the Carbon Trust and start a process of aligning CBC's policies and governance to ensure the whole organisation rises to the challenge of the climate emergency.

To make decisions that reflect the declaration of a Climate Emergency the Council will undertake the following actions to ensure all decisions are informed by perspectives on climate change. This will include:

- 1.1 Development and consultation on a new Environmental Sustainability Strategy for Colchester.
- 1.2 Ensuring internal strategies and policies are consistent with the climate change emergency
- 1.3 Embedding environmental/ carbon priorities within the Council's core internal and external communications and narrative
- 1.4 Acknowledging environmental stewardship within the core values of the organisation
- 1.5 Strengthening our assessment of climate and environmental impacts in all decision making and reporting, including project development processes and our performance management framework
- 1.6 Work to improve our procurement processes to ensure that suppliers support our carbon neutral ambitions, for example through specification development and selection processes, in line with the Council's wider commitment to delivering social value.

Climate change adaptation requires universal strategic thinking, a deeper understanding of the challenge and risks, and the adoption of responses that will be

critical to the Council achieving its ambitions. As a result the Council will take steps to:

- 1.7** Develop and roll out a climate change learning and development programme for staff and members to improve understanding of carbon and wider environmental context. The skills programme will include basic training/awareness for everyone, with more targeted/ intensive training for decision-makers to enable them to adequately assess carbon impacts in their decisions.
- 1.8** Continue to develop and support the Council's Travel Plan, to encourage sustainable transport choices by our workforce for both the commute to work and for business travel through schemes such as the 'cycle to work scheme', discounts on public transport and the provision of facilities to support active travellers.

2. Roadmap to Carbon Neutral

We will demonstrate leadership through ensuring that Colchester Borough Council operations will be net carbon zero by 2030.

- 2.1** Development of a new Carbon Management Plan based on insight and evidence gathered from a detailed pathway modelling of the current CBC footprint. Initial action areas for development and some likely measures to be include in the Carbon Management Plan are set out below:
 - 2.1.1** Take steps to ensure the council's future electricity supply is provided by 100% renewably generated sources
 - 2.1.2** Continue to review our estate and assets to investigate means of increasing energy efficiency of heating, lighting and cooling systems.
 - 2.1.3** Investigate options for acquiring or funding further renewable energy generating and/or storage installations in the Borough.
 - 2.1.4** Take a phased approach to renewal of our fleet as new technologies and associated infrastructure becomes available.
 - 2.1.5** Understand the role of carbon offsetting and explore opportunities to develop a robust strategy for offsetting emissions that will keep investment within and benefit the local community e.g. operating own solar farms to provide local energy using currently unused CBC land.

The target for net carbon zero by 2030 relates specifically to the scope of our current footprint scope 1 and 2 emissions i.e. emissions as a result of CBC's direct operations and some scope 3 emissions (see page 7 & 8). However, there is an ambition to go 'as far as possible' and explore the wider footprint outside of the Council's direct control (further scope 3 emissions) not currently included in the target. This includes contracts (e.g. grounds maintenance) as well as wholly-owned companies such as Colchester Borough Homes and Colchester Amphora. As a result, there is a need to measure and understand these emission sources to inform a future target that is ambitious but realistic.

- 2.2** Collect available data and measure relevant scope 3 emission sources to ensure the Council is going as far as possible in its efforts to reduce carbon emissions.

The Council needs to understand the impact of business as usual, national policies, local initiatives and current procurement timelines on the future carbon footprint. This will show what the make-up of the Council's emissions will be in 2030 on the current pathway, and in doing so provide steer on focus areas that the Council should prioritise for project implementation between now and then. In order to achieve this the Council will:

- 2.3** Commission and undertake macro-level scenario analysis, to overlay national and Council-level trends & policies to map CBC's emissions out to 2030. Perform pathway modelling to identify priority focus areas for the Council
- 2.4** Write and agree an internal data management plan which sets out roles and responsibilities for data capture and verification as well as a timetable for reporting.

3. Planning, Development & Sustainable Travel

The Council will continue to play a central role in engaging communities and enabling environmentally friendly choices in everything from energy to active travel. The Planning system is one of the primary mechanisms for Colchester transitioning to a low-carbon society. The planning system does this by shaping new and existing developments in ways that reduce carbon emissions, sustains and enhances biodiversity and positively builds community resilience to challenges such as extreme heat or flood risk.

Central government changes to planning and building regulation legislation is required in order to enforce carbon neutrality on new developments.

Through the Conservation, Environment and Sustainability Task & Finish Group, a review has been undertaken of the measures that could be undertaken through the planning system to achieve carbon neutrality in new and existing developments. Although much work is already taking place, many opportunities have been identified as set out below. The full list of measures and actions to be explored can be seen in Appendix 2.

- 3.1** Pursue the table of actions and measures identified by the planning service (Appendix 2) that can be undertaken within existing planning legislation.
- 3.2** Respond to central government consultations that can influence changes to legislation in relation to increasing sustainability and carbon neutrality standards within planning and building regulations for future development.
- 3.3** Undertake visits to exemplar sustainable developments to better understand different financial models and approaches including for new development, retrofitting existing housing stock and innovative approaches to encouraging sustainable travel.

- 3.4** Investigate the opportunity for the Council to lead the way on its own forthcoming developments, where appropriate, such as Amphora led developments and the Garden Communities, as these provide opportunities to become exemplars of sustainable building and carbon neutrality.
- 3.5** Ongoing lobbying of central government for legislation which will enforce higher environmental standards and carbon neutrality for future developments.
- 3.6** Explore opportunities to develop and adopt shared standards with neighbouring authorities to provide consistency and set expectations on development set across the county.

4. Waste Management

The way we manage waste in Colchester has a significant impact on our carbon footprint, and that of the County Council as the waste disposal authority. Changes in material consumption patterns and a shift towards more sustainable waste management not only saves money but will also have significant implications for reducing emissions.

Future options regarding the collection and recycling of waste need to ensure that a carbon accounting approach is taken towards all aspects of the service. While the Council has control over the method of collection, it is not the Disposal Authority but will work with Essex County Council to continue to encourage the most sustainable options for waste disposal.

Colchester already has an outstanding waste and recycling service, but further opportunities have been identified in the action planning process as set out below:

- 4.1** Further enhance the systems for household waste, recycling, food and garden waste collections across the Borough with a focus on waste minimisation, increased recycling and composting and reduction of residual waste.
- 4.2** Stimulate increased reuse as well as upcycling and repairing opportunities and the necessary skills and training to undertake these.
- 4.3** Reduce resource use, particularly paper for printing and single-use plastic. Seek to progress towards single-use plastic-free status and support community plastic-free initiatives.
- 4.4** Seek to minimise or cease the sale of single use plastics and encourage alternative materials throughout our retail operations
- 4.5** Explore the trial of smart waste technology to improve waste monitoring and collection efficiencies in the Borough.
- 4.6** Continue to communicate frequently with Colchester residents to improve participation in recycling and waste minimisation initiatives.
- 4.7** Review our trade waste collection service to develop additional commercial recycling collections.

- 4.8** Take an asset based community development approach to discovering and enabling existing and new community led initiatives associated with repair, upcycle and reuse social movements.

5. Mitigation, climate adaptation and environmental stewardship

Local Strategic and Health & Wellbeing Partnerships carry out considerable planning to ensure that communities, especially the vulnerable, are supported during events that may cause an interruption to services and utilities, e.g. storms and flooding etc. The Council also has robust Flood Emergency Plans in place and climate related risks are taken into account in the Councils Risk Register.

Open green space and parks, how they are utilised, and the activities they support are a real barometer for 'community' with important links to volunteer and community led action and initiatives. Colchester's rural, urban and coastal geography means outdoor space is a strong factor in the biodiversity, character and attraction of our place. These spaces provide a critical backdrop to our ecological and environmental action. There is also cross over with other key strategic priorities for the Council including; health & wellbeing, increasing physical activity, and active travel. As such the Council will:

- 5.1** Plant 200,000 trees by 2024 as part of the Colchester Woodland Project
- 5.2** Undertake a review and update of the climate risks, actions and control measures set out in the Council's Corporate Risk Assessment and gain a better understanding of what further potential adaptation will be required.
- 5.3** Maximise opportunities to collaborate with and integrate the whole system change approach being implemented through the Essex Local Delivery Pilot (ELDP) including opportunities to lever funds for investment in sustainable local community led initiatives e.g. Community food growing and gardening projects already in development.
- 5.4** Undertake a review of Council Strategies for parks and green space ensuring opportunities to tackle climate change are embedded within the approach including measures to safeguard and enhance existing habitats and species.
- 5.5** Ensure biodiversity is prioritised in green space maintenance including Ceasing the use of glyphosate herbicides in Council operations through a phased approach, identifying and trialling alternative sustainable practices including 'wilding' of open spaces and lobbying and encouraging wider stakeholders with grounds maintenance responsibilities to take the same approach.
- 5.6** Work with partners to develop a vision for the upper, middle, and lower River Colne that prioritises its value as a unique natural asset to be carefully utilised, protected and enhanced.

6. Build Community Resilience through Enabling, Behaviour Change & Partnership Working

Ensuring Colchester is a truly resilient Borough, where communities feel empowered and connected to take action on climate change will be a challenge. However we are aware of growing public support for environmental action, equally Colchester has excellent community partnerships that can be strengthened and nurtured to ensure a collaborative, innovative and inclusive approach to action can be taken by all:

- 6.1** Maximise opportunities to collaborate and support/promote local community led initiatives (including assistance to lever and source funding opportunities where needed) e.g. Wivenhoe Transition Town, Rowhedge Going Greener, Eco Colnes and Halstead
- 6.2** Ensure enabling action on our climate emergency is a key element of a new Community Enabling Strategy for the Council. As part of this undertake regular and ongoing dialogue with community groups across Colchester to ensure we make best use of the assets, skills, talents and creativity within our communities to tackle our climate emergency.
- 6.3** Utilise existing platforms, networks, and Groups such as Eco Colchester, Extinction Rebellion's People's Assembly and our own scrutiny processes to ensure that there is diversity in the development of solutions and proposals for climate action.
- 6.4** Take action to enable and support educational and awareness raising events e.g. Eco Colchester 2020 and the action of interested stakeholders, schools and businesses to promote behaviour change across our communities.
- 6.5** Work with town and parish Councils and seek to identify how we can work together optimally on this challenge, reflecting the wishes of the communities and residents we serve.
- 6.6** Develop a climate emergency communications and engagement plan to support delivery of our overarching action plan

Working with other Local Authorities across Essex will be crucial if we are to deliver against all of the aspirations within the motion, and in the coming months we will be continuing to seek dialogue with our neighbouring authorities and those throughout the UK who have also declared Climate Emergencies. There is already a growing appetite amongst other regional authorities to work together on this agenda, and we will support the principle that the climate change work should be one of the key priorities for the region.

- 6.7** Utilise existing partnering mechanisms to enable regional conversations with other Local Authorities across Essex and the Eastern region on joint climate emergency action.

Ongoing Review

During the next phase of our approach, via the Conservation, Environment and Sustainability Task & Finish Group we will continue to work with expert partners, stakeholders and the community to consult opinion on and fully evaluate activity, options, their associated benefits, impacts, risks and barriers across the 6 action themes described in this first Climate Emergency Action Plan.

In parallel we will mobilise a delivery programme to accelerate the planning and delivery of projects for early implementation, a number of which sit within the Council's 'New Strategic Priorities' programme.

Appendix 1 – Action taken as reported to Cabinet in November 2019.

Climate Emergency Motion Target	What we've done
Audit of pollution hotspots and environmental health issues.	<p>A full audit of pollution hotspots has been undertaken as part of our air quality management activity. Hot spot areas have been identified and continue to be monitored. As a result of the action taken to tackle air pollution in Colchester additional Government funding has been secured to deliver a two-year behaviour change project to tackle levels of pollution in the borough.</p> <p>We also have full details of all potentially polluting processes and the controls they have in place through Environmental Permitting. These processes are monitored regularly for compliance.</p>
<i>Audit of Wildlife/ Biodiversity</i>	<p>Several specialist groups already undertaken audits. These will be assessed as we move forward with our plans to identify whether any gaps exist. Where this is the case a further audit will be engaged.</p> <p>A phased approach to cease the use of glyphosate herbicides has commenced based on the nature of the sites where herbicides are used, the need to encourage biodiversity where possible, and the availability of alternative sustainable practices.</p>
<i>Urban Impact Assessment</i>	<p>The local plan and resulting significant decisions all require a substantial impact assessment.</p> <p>Colchester's Cabinet agreed in November 2019 that environmental and carbon considerations are required to be taken into account in all decision making. All formal Council reports and decisions are now required to set out the environmental and sustainability implications of the decision, with particular reference to the definition of sustainable development set out in the National Planning Policy Framework.</p>
Consult expert opinions in the field	<p>Several experts have been consulted or have attended the task and finish group including the Carbon Trust, Eco Colchester. Feedback has also been considered from Extinction Rebellion Colchester.</p> <p>Through the delivery of wider projects supporting our ambitions from clean air, active travel to woodland planting Colchester is working with a wide range of expert partners including Intelligent Health, Active Essex, Essex University the Woodland Trust and Forestry Commission.</p>
Collaborate with regional and neighbouring local authorities, as well as communities	<p>Joint transport strategy/projects to facilitate increased cycling and walking are being developed with Essex County Council. Community activation, social movements and active travel are the primary means by which the Council aims to increase levels of physical activity, walking and cycling through the Essex Local Delivery Pilot a significant piece of work involving a wide range of stakeholders including Tendring District Council and Basildon Borough Council.</p> <p>The Council is working closely with Essex County Council to coordinate tree planting in addition to Parish Councils and community groups on this project.</p> <p>In November 2019 Colchester's cabinet also committed to working</p>

	with other authorities, organisations and companies who use glyphosate herbicides within the borough to encourage them to cease their use.
Encourage all sectors of the economy across the borough to take steps to reduce waste and become carbon neutral.	<p>Work has continued with the Single Use Plastic reduction campaign across the Borough. The refill campaign has also been publicised and supported through the introduction of 5 new/refurbished public water fountains.</p> <p>A review of our trade waste collection service is also underway to develop additional commercial recycling collections.</p>
Develop a roadmap for Colchester Borough Council to go carbon neutral by 2030.	<p>The Carbon Trust were commissioned to undertake a carbon footprinting exercise and to identify the key areas of focus that will form the basis of a roadmap and strategy for Colchester to be net carbon zero. Workshops have been undertaken with Officers & Members in December 2019 to inform our strategic approach moving forward.</p> <p>The Council has recruited a dedicated Climate Emergency Project Officer to coordinate the development of a new Environment and Sustainability Strategy, Carbon Management Plan and to support the wider delivery of climate emergency projects and ambitions.</p>
Pledge to ensure future housing and community development projects meet a carbon-neutral standard by 2030.	<p>A report was presented to the Environment & Sustainability Task and Finish group outlining measures CBC are already undertaking through planning and a table of new suggested measures recommended to enhance the delivery of sustainable development. This table of new measures will be developed as part of our action plan.</p> <p>Building regulations provide the most robust way of ensuring new housing is carbon neutral. The Council responds to consultations to improve the Building Regulations and will lobby central government to ensure they aim for carbon neutrality.</p>
	The Leader of the Council has written to Minister of State for Energy and Clean Growth requesting that national policy is urgently developed to reflect the seriousness of the current emergency, and to release funds to local authorities, in order that Borough Councils' like Colchester can take the necessary measures at local level.

Appendix 2 - Proposed measures for implementation within existing planning legislation

Short term – within next 12 months

Medium term – within next 3 years

Long term – over 3 years

Measures Identified	Timeframe	How can this be achieved
Investigate the introduction of a Climate Emergency Checklist so decision makers can understand the sustainability of proposals & demonstrate compliance with these measures	Short term: Investigation Delivery: Medium term and ongoing	<ul style="list-style-type: none"> Investigate the incorporation of all of these measures into a Climate Emergency Checklist. Research examples of sustainability checklists from elsewhere.
Dedicated Travel Plan Co-Ordinators for larger developments to ensure that Travel plans are successful	Short term: Investigation Delivery: Ongoing	<ul style="list-style-type: none"> Compile evidence to justify the need for Travel Plan co-ordinators Consider monitoring requirements, i.e. what monitoring data is available from ECC, identify monitoring gaps.
Information on sustainable travel choices to be included in marketing of residential properties for developments where there are good sustainable transport options to encourage reduced car use and ownership.	Short term: Investigation Delivery: ongoing	<ul style="list-style-type: none"> Add informative to relevant applications as part of Transport & Sustainability response/requests to planning permission consultations Consider how this would be monitored.
Improve, enhance & expand the Colchester Orbital as a walking and cycling route	Short term: Ongoing Delivery: Ongoing	<ul style="list-style-type: none"> A scoping paper has been prepared, which identifies further work.
Installation of electric vehicle charging points	Short term: Ongoing Delivery: Ongoing	<ul style="list-style-type: none"> Liaise with other departments. Request electric charging points as part of new development.
Require developers to provide a Canopy Cover Assessment for each major app & maintain or increase canopy cover on site	Short term: Investigation Delivery: Short – Medium term	<ul style="list-style-type: none"> Guidance to be prepared outlining exactly what is required. Talk to local groups about their help in establishing baseline cover across Colchester.
Tree Preservation Orders (TPOs) on allocated sites to safeguard canopy cover	Short term: Investigation Delivery: Ongoing	<ul style="list-style-type: none"> TPOs to be made on all allocated sites where appropriate.
Produce guidance on small scale biodiversity	Short term: Investigate	<ul style="list-style-type: none"> Investigate small scale net gain projects.


net gain projects	Delivery: Medium	<ul style="list-style-type: none"> • Prepare guidance document & discuss planning conditions with DM
Encourage sites or part of sites (e.g. Amphora & MOD sites & garden communities) to deliver exemplar buildings	Short term: Discussion Delivery: Medium to long term	<ul style="list-style-type: none"> • Arrange a site visit for T&F Group to passive house development in Norwich, and other local examples. • Research other local/national examples. • Discussions with developers.
Consideration given to car free developments and other approaches to reducing car parking provision and encouraging car free lifestyles	Short term: Discussion Delivery: Medium-long term	<ul style="list-style-type: none"> • Research car free developments & travel plans & discuss with the Highway Authority to inform discussion on future options.
Introduce car clubs	Short term: Ongoing Delivery: Short - medium	<ul style="list-style-type: none"> • Consider further locations in Colchester to implement car clubs.
Investigate measures to support sustainable modes of transport: investigate a workplace parking levy in the town centre	Medium term: Investigation Delivery: Medium-long term	<ul style="list-style-type: none"> • Research examples of a workplace parking levy and consider its application in Colchester. • Work with other departments to consider incentives such as green number plates, access to bus lanes and parking levy
Above ground SuDS to be designed as multifunctional features to form part of green infrastructure network	Medium term: Discussion Delivery: Medium – Long term	<ul style="list-style-type: none"> • Discuss with ECC as the Lead Local Flood Authority & other LPAs.
Council to adopt or management scheme to be secured to maintain SuDS features where these are also adoptable open space	Medium term: Investigation Delivery: Medium-long term	<ul style="list-style-type: none"> • Consider maintenance and management costs for each SuDS feature. 2. discuss with Parks team.
Require new dwellings to meet optional tighter water standard of 110 litres pppd	Short term: Investigation Delivery: Medium-long term	<ul style="list-style-type: none"> • Research how this is implemented elsewhere (Environment Agency & Anglian Water to advise). • Discuss implementation with DM.
Encourage green roofs and green walls	Short: Investigation Delivery: Medium term	<ul style="list-style-type: none"> • Look at examples of good practice elsewhere. • Consider the benefits of producing a guidance note for applicants.
Explore options for a long term, strategic biodiversity net gain strategy	Medium: Investigation Delivery: Medium - long term	<ul style="list-style-type: none"> • Follow the progress of the Environment Bill & Defra Metric 2.0.

		<ul style="list-style-type: none"> Consider the benefits and options for a strategic project & how this conforms to legislation & best practice. Discuss with other Essex LPAs.
Raise awareness of Home Quality Mark (HQM)	Short term: Discussion Delivery: Medium - long term	<ul style="list-style-type: none"> Talk to ECC about how this is being promoted in Essex & how we can raise the profile of the HQM in Colchester.
Seek a proportion of homes to be built to lifetime homes standard	Short term: Discussions Delivery: Short - medium	<ul style="list-style-type: none"> Discussions with developers.
Consider identifying suitable areas for renewable and low carbon energy	Short term: Investigation Delivery: Medium – longer term	<ul style="list-style-type: none"> Look at examples from other LPAs and the benefits this has brought. Discuss with Climate Emergency Officer as part of Carbon Trust project.
Identify opportunities for development to draw its supply from decentralised, low energy sources	Medium: Discussion Delivery: Long term	<ul style="list-style-type: none"> Discuss with Amphora. Look at allocations.

Cabinet

29th January 2020

Item
12(i)

Report of	Assistant Director Communities	Author	Sonia Carr
Title	Safeguarding Policy & Suicide Protocol		01206 282978
Wards affected	Not applicable		

1. Executive Summary

- 1.1 The Council's Safeguarding Policy was approved by Cabinet in March 2013 and was referred to Council for adoption into the Policy Framework which took place on 20 March 2013.
- 1.2 The policy was reviewed by the Governance and Audit Committee in November 2016, where revisions to the policy were put forward. However, the Committee simply noted the revisions and the revised policy was not put forward to Council for adoption.
- 1.3 This report introduces a revised version of the Safeguarding Policy (Version 7) for review and approval.
- 1.4 Following the publication of the 2012 'Preventing Suicide in England' strategy, Councils were given the responsibility of developing local suicide action plans through their work with health and wellbeing boards (HWBs). A deadline of 2017 was set.
- 1.5 The Council's Suicide Protocol was developed during 2017-18 and implemented in July 2018.
- 1.6 This report introduces a revised version of the Suicide Protocol (Version 2) for review and approval.

2. Recommended Decision

- 2.1 Cabinet is asked to review and approve the revised Safeguarding Policy (Version 7) and recommend that Full Council adopt into the Council's Policy Framework.
- 2.2 Cabinet is asked to recommend to Full Council that the Safeguarding Policy is reviewed formally every 5 years (unless there is a major change to legislation or

approach) and that minor amendments be delegated to Assistant Director in consultation with Portfolio Holder.

- 2.3 Cabinet is asked to review and approve the revised Suicide Protocol (Version 2) and recommend that Full Council adopt into the Council's Policy Framework.
- 2.4 Cabinet is asked to recommend to Full Council that the Suicide Protocol is reviewed formally every 5 years (unless there is a major change to legislation or approach) and that minor amendments be delegated to Assistant Director in consultation with Portfolio Holder.

3. Reason for Recommended Decision

- 3.1 By reviewing and approving the revised Safeguarding Policy and Suicide Protocol, Cabinet will assist the Council in meeting its legal duties.

The following appendices have been included at the end of this report to assist Cabinet in its task:

- Appendix A – Safeguarding Policy (Version 7)
- Appendix B – Suicide Policy (Version 2)

4. Alternative Options

- 4.1 No alternative is available as this is a statutory requirement.

5. Background Information

- 5.1 Safeguarding Policy:
The Council's Safeguarding Policy was approved by Cabinet in March 2013 and was referred to Council for adoption into the Policy Framework which took place on 20 March 2013.
- 5.2 This Policy replaced previous separate safeguarding policies for children and for vulnerable adults. This step was both logical and practical; it brought greater clarity and ease of access for officers, councillors and the public. It also provided up-to-date information on key people and processes and was updated in line with legislation and guidance.
- 5.3 As a Borough Council, our key role is to share information with, and make referrals to, the investigating authority which is Essex County Council. We also have a duty to work in partnership with other key agencies such as the local Safeguarding Boards (Adults and Children) and to participate in audits and key reviews, whose recommendations we adopt to embed best practice.
- 5.4 The Policy was *reviewed* by the Governance and Audit Committee in November 2016, where revisions to the policy were put forward. However, the Committee simply noted the revisions and the revised policy was not put forward to Council for adoption.
- 5.5 A revised version of the Safeguarding Policy (Version 7) has therefore been drafted for review and approval. This version contains up-to-date information on key people, processes, legislation and guidance.
- 5.6 Suicide Protocol:
Following the publication of the 2012 'Preventing Suicide in England' strategy, Councils were given the responsibility of developing local suicide action plans through their work with health and wellbeing boards (HWBs) or equivalent groups and a deadline of 2017 to start this work was set.
- 5.7 Colchester Borough Council wished to play its full part in working with others to reduce these unnecessary deaths, raise awareness and tackle stigma; hence the Council's Suicide Protocol was developed during 2017-18 and implemented in July 2018.
- 5.8 A revised version of the Suicide Protocol (Version 2) has been drafted for review and approval. This staff protocol provides practical guidance on responding to, and managing, threats or ideation of suicide or self-harm.

6. Equality, Diversity and Human Rights implications

- 6.1 This report has no significant equality, diversity and human rights implications.

This report is covered by the Safeguarding Policy Equality Impact Assessment, which can be viewed on the CBC website here: [EQIA - Communities](#)

7. Strategic Plan References

- 7.1 The Council's Strategic Plan 2018-21 is a key mechanism through which the Council monitors how it is meeting its safeguarding responsibilities. It is an integral part of the Plan under its Wellbeing theme; specifically, the action to 'Target support to the most disadvantaged residents and communities' (W4)

8. Consultation

- 8.1 The Council's strategic approach in these areas is underpinned by its Strategic Plan for which extensive consultation took place. CBC's People and Performance team led a review of the Strategic Plan Action Plan in February 2019, to ensure the organisation is on plan to deliver the key priorities.

9. Publicity Considerations

- 9.1 The Council's approach to Safeguarding has the potential to affect everyone who lives, works or visits the borough. It can play a key role in the daily lives of individuals and communities by helping to safeguard vulnerable groups from harm, as well as tackling prejudice and advancing equality of opportunity.
- 9.2 The Council's website includes a section dedicated to Safeguarding children and 'adults with needs for care and support' which contains key information for residents along with links for further information.

10. Financial implications

- 10.1 There are no specific financial implications in relation to Safeguarding; it is mainstreamed into Council business, and resources are in place to ensure that the Council continues to meet its responsibilities in this area in full.
- 10.2 There may be a requirement to source external funding to deliver Suicide Awareness sessions, to support the Protocol. However, this is considered business as usual and will be supported by the Safer Colchester Partnership.

11. Health, Wellbeing and Community Safety Implications

- 11.1 The approaches and activities that are encompassed around the Policy and Protocol are designed to safeguard children and 'adults with needs for care and support' and the severe health and wellbeing impact on those involved, particularly the victim.

- 11.2 The Policy and Protocol demonstrates how the Council meets its legal duty to “safeguard and promote the welfare of children”, and to discharge its legal obligations towards adults with needs for care and support.

12. Health and Safety Implications

- 12.1 The Policy and Protocol demonstrates how the Council meets its legal duty to “safeguard and promote the welfare of children”, and to discharge its legal obligations towards adults with needs for care and support. This will in turn create a safer working environment, and one which is consistent with the Council’s Health and Safety policies.

13. Risk Management Implications

- 13.1 This report supports and facilitates the approval of, and adoption into, the Council’s Policy Framework which is a statutory requirement. The Council could suffer significant reputational damage should its staff or councillors fail to comply with their Safeguarding responsibilities; the Policy and Protocol detail the Council’s strategic and operational approach in this area.

14. Environmental and Sustainability Implications

- 14.1 There are no specific Environmental and Sustainability implications.

Appendices

Appendix A: Safeguarding Policy Version 7 (pages 7 – 42)

Appendix B: Suicide Protocol Version 2 (pages 43 - 49)

APPENDIX A



Safeguarding Policy

Colchester Borough Council

Version 7 January 2020)

See end of this document for "Version Control"

CONTENTS

<u>Introduction</u>	3
<u>Policy Statement</u>	3
<u>Definitions</u>	4
<u>Monitoring and Review Mechanisms</u>	4
<u>Role of the Essex Safeguarding Boards</u>	5
<u>Safeguarding Responsibilities</u>	5
<u>Lines of Accountability</u>	7
<u>Recognising Potential Abuse</u>	7
<u>Responding to a Concern about Abuse or Neglect</u>	8
<u>When the Child or Adult Lives Outside Essex</u>	9
<u>When a Member of Staff or Volunteer is Implicated in Abuse</u>	9
<u>Effective Support and 'Early Help'</u>	10
<u>Confidentiality</u>	11
<u>Consent</u>	12
<u>Data Protection</u>	12
<u>Homelessness</u>	12
<u>Use of Contractors</u>	13
<u>Grant Applications</u>	13
<u>Licensing</u>	13
<u>Health and Safety</u>	14
<u>Photography and Pornography</u>	14
<u>Child Sexual Exploitation (CSE)</u>	14
<u>Domestic Abuse</u>	16
<u>Honour Based Abuse (HBA)</u>	17
<u>Modern Slavery</u>	18
<u>PREVENT</u>	19
<u>Safeguarding Training</u>	20
<u>Safe Recruitment</u>	21
<u>Work Experience/Interns</u>	21
<u>Appendix 1: Current Roles</u>	22
<u>Appendix 2: Procedure Flowchart</u>	23
<u>Appendix 3: Types of Abuse</u>	24
<u>Appendix 4: Policy Statement and Procedure Template</u>	26
<u>Appendix 5: Safeguarding Legislation</u>	27
<u>Appendix 6: Safe Working Practices</u>	30
<u>Appendix 7: Missing and Uncollected Children</u>	32
<u>Appendix 8: Child Trafficking: Signs and Indicators</u>	33
<u>Appendix 9: Links To Further Information</u>	34

INTRODUCTION

Children, and adults with needs for care and support, have the right to participate and be safe in accessing services provided for them. Colchester Borough Council is committed to carrying out its responsibilities by ensuring that their needs and interests are considered by councillors, employees and contractors in the provision of services and in its decision-making.

POLICY STATEMENT

The purpose of the policy is to help the Council meet its legal duty to “safeguard and promote the welfare of children”, and to discharge its legal obligations towards adults with needs for care and support. Colchester Borough Council performs various functions and delivers a wide range of services. This Policy aims to ensure that all of its activities take place within this context.

The Council will safeguard and promote the welfare of children and adults with needs for care and support by:

- Respecting the rights, wishes, feelings and privacy of children and adults
- Ensuring that all staff understand the different forms abuse can take and how to identify them
- Responding appropriately and promptly to concerns reported
- Ensuring that employees understand the Council’s Safeguarding Policy
- Ensuring that employees know how to record and report safeguarding concerns, Incidents or allegations
- Taking any concern made by a councillor, employee, contractor, child or adult seriously and sensitively
- Ensuring that contracted/commissioned and grant-funded services have safeguarding policies and procedures consistent with the Council’s commitment to the protection of children and adults.
- Please see Appendix 4 for the ‘Policy statement and procedure template’ which organisations are free to use and must comply with as a minimum to receive funding from the Council.
- Ensuring that training appropriate to the level of involvement with children and adults with needs for care and support is available for all employees.
- Responding to any allegations appropriately and implementing the appropriate disciplinary and appeals procedures.
- Implementing effective procedures for recording and reporting to the Council any allegations, incidents or suspicions of abuse.
- Ensuring that all councillors and employees adhere to all appropriate safe working practices when working with children and adults with needs for care and support (see Appendix 7).
- Encouraging safeguarding best practice both within the Council and within the borough of Colchester
- Not tolerating harassment of any councillor, employee, contractor or child or adult with needs for care and support who raises concerns of abuse

- Ensuring that unsuitable people are prevented from working with children and ‘adults with needs for care and support’ through its ‘Safer Recruitment Procedure.’

This policy applies to all services within the scope of Colchester Borough Council. In addition to all internal provision of services, it also applies to: Outside hirers; Outside organisations delivering services involving children or adults with needs for care and support on behalf of the Council; Contractors and Grant-funded organisations.

DEFINITIONS

- A “child” refers to the legal definition in UK law being anyone under the age of 18 years.
- An “adult with needs for care and support” largely replaces the pre-Care Act 2014 term ‘vulnerable adult’.

This reflects the local authority’s safeguarding duties that apply in relation to an adult who:

- (a) has needs for care and support (whether or not the authority is meeting any of those needs),
 - (b) is experiencing, or is at risk of, abuse or neglect, and.
 - (c) as a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it..
- In this document the term “Member” is interchangeable with “councillor”.

This policy is inclusive of all children and adults with needs for care and support, irrespective of their age, race or ethnicity, religion, disability, sex or sexual orientation.

MONITORING AND REVIEW MECHANISMS

Monitoring mechanisms include: External (Section 11) audit (ESCB); External Staff Safeguarding Survey (ESAB), internal audits; recording of staff training at different levels; reporting to the Council’s Senior Management Team and Leadership Team; Special Case Reviews, Serious Case Reviews, Domestic Homicide Reviews and Serious Adult Reviews; and positive engagement with Essex Safeguarding Boards, including the sharing of best practice and membership of communication and strategic groups within their structures. The policy will be substantially reviewed every five years although it may be subject to minor corrections or operational updates in the interim.

Colchester Borough Council is committed to safeguarding in the supervision process. The Council’s SMART performance management system, with year-end appraisals of staff performance objectives, helps to ensure safer supervision.

ROLE OF THE ESSEX SAFEGUARDING BOARDS

Essex Safeguarding Children's Board (ESCB) is a multi-agency organisation that brings together agencies which work to safeguard and promote the welfare of children. Under Section 13 of The Children Act 2004, each children's services authority in England must establish a Local Safeguarding Children's Board (LSCB). The objective of the LSCB is to co-ordinate what is done by each person or body represented on the board for the purposes of safeguarding and promoting the welfare of children in the area of the authority by which it is established. Colchester Borough Council is committed to maintaining an effective working relationship with the ESCB to help achieve its mutual aims in respect of child safeguarding.

Essex Safeguarding Adults Board (ESAB) is an Inter-agency forum for agreeing how the different services and professional groups should cooperate to safeguard adults across Essex and for making sure that arrangements work effectively to identify abuse or inadequate care, help vulnerable people and plan and implement joint preventative strategies.

The ESAB was placed on a statutory footing by the Care Act 2014. The ESAB aims to raise awareness and promote the welfare of adults with needs for care and support by the development of an effective cooperative involving people from a wide range of public and voluntary services and other organisations. Colchester Borough Council is committed to maintaining an effective working relationship with the ECAB to help achieve its mutual aims in respect of the safeguarding of adults with needs for care and support.

SAFEGUARDING RESPONSIBILITIES

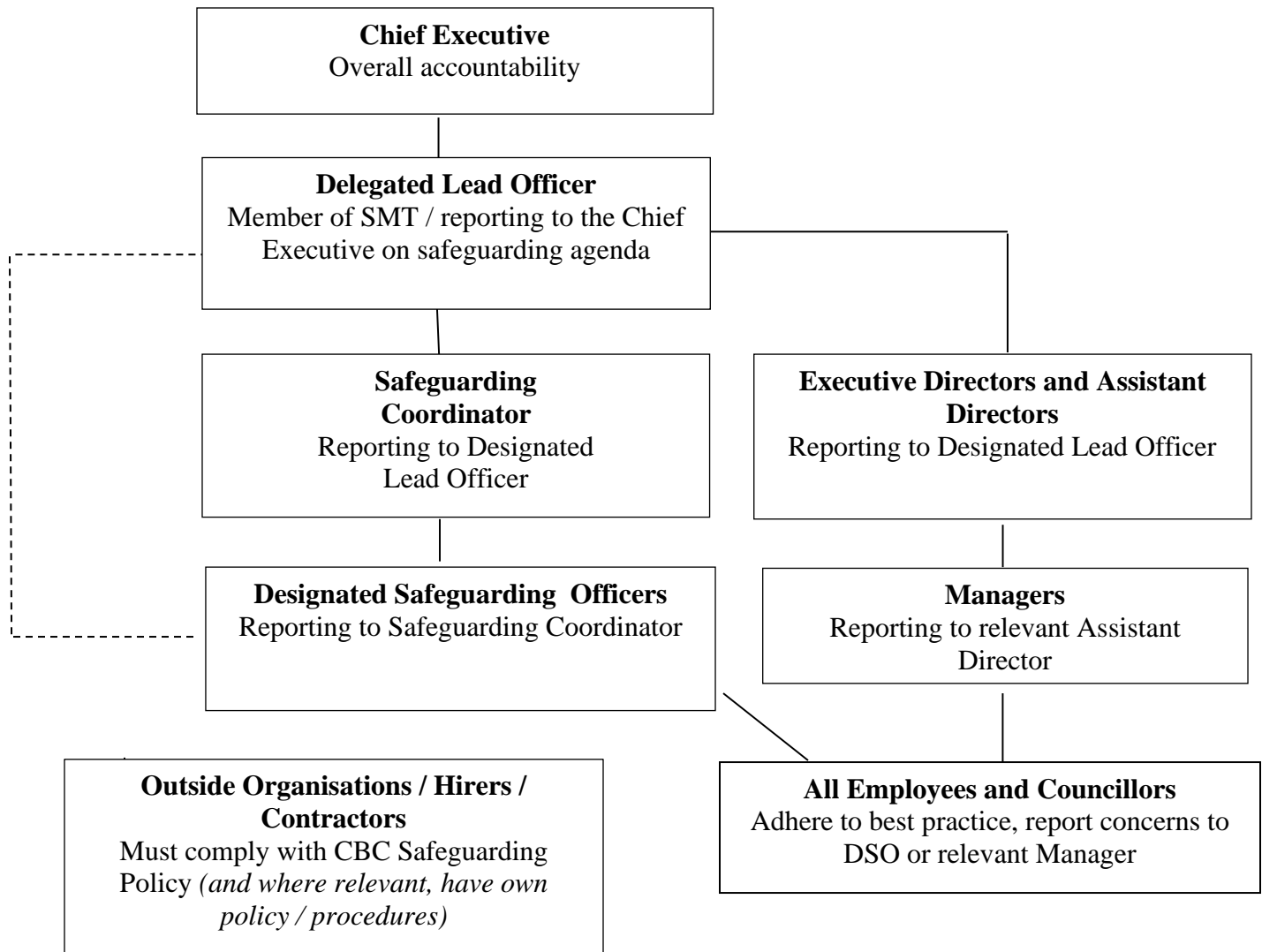
Whilst safeguarding is everyone's responsibility, there are a number of specific safeguarding roles that individuals hold within Colchester Borough Council. The following is a guide as to the safeguarding roles within the Council:

- **Chief Executive:** Overall accountability regarding safeguarding.
- **Delegated Safeguarding Lead:** Senior Officer providing a lead on safeguarding within Colchester Borough Council.
- **Safeguarding Coordinator:** Works with the Delegated Lead to ensure the effective implementation of the Safeguarding Policy throughout Colchester Borough Council; works to: assess and reduce risks in relation to safeguarding; raise awareness of safeguarding issues amongst staff; establish and maintain effective multi-agency working; works to Identify and provide for staff training needs.
- **Strategic People and Performance Manager:** Works to ensure that stringent recruitment procedures are in place and that appropriate checks are made on staff working with children and vulnerable adults. This includes administering Disclosure and Barring Service (DBS) checks and ensuring that

DBS referrals are made if appropriate. Also acts as the first point of call for staff reporting safeguarding allegations made against employees.

- **Managers:** Ensure that 'safe' recruitment is in place for all job roles that involve working with children; Carry out the correct safeguarding induction process for all new staff including booking the appropriate training; Ensure that all staff within their remit are made aware of this policy and have the appropriate ongoing training.
- **Designated Safeguarding Officers:** Follow correct reporting procedures with lead agencies when a report is made to them by a member of staff within their remit, and then reporting to the Safeguarding Coordinator in all cases other than allegations against a member of staff or volunteer (in which case the matter should be reported to the Strategic People and Performance Manager or Designated Safeguarding Lead).
- **All employees and councillors:** Adhering to best practice, participating in relevant training and reporting any disclosure, concern, incident or allegation to the appropriate Designated Officer.
- **Outside organisations:** When delivering services involving children on behalf of Colchester Borough Council outside organisations must comply with Colchester Borough Council's Safeguarding Policy and, where relevant, to have their own policy and procedures in place.
- **Outside hirers:** Agreement to comply with Colchester Borough Council's Safeguarding Policy.
Contractors: Must agree to comply with the Council's Safeguarding Policy and where relevant have own policy and procedures in place.
- **Contractors:** Must agree to comply with the Council's Safeguarding Policy and where relevant have own policy and procedures in place.
- **Councillors/Members:** Councillors are required to adhere to the Policy. If they do not, there may be grounds for reporting their behaviour to the Government Committee, which may require an investigation under the Councillor Code of Conduct. If a safeguarding issue occurs relating to a Councillor, the Designated Officer informed of the breach should contact the Monitoring Officer immediately. Where there is evidence of illegal activity, the councillor will be reported to the relevant authorities and may face criminal investigation. Annual awareness training will be offered to councillors.

LINEs OF ACCOUNTABILITY FOR SAFEGUARDING



RECOGNISING POTENTIAL ABUSE

Even though many councillors, employees and contractors have limited contact with children and with adults with needs for care and support as part of their duties and responsibilities for Colchester Borough Council, everyone should be aware of the potential indicators of abuse and be clear about what to do if they have concerns. There are ten main types of abuse: Physical; Psychological or Emotional; Sexual; Neglect; Self-neglect; Organisational; Discriminatory; Financial or Material; Modern Slavery; and Domestic Abuse. It is not the responsibility of any councillor, employee or contractor to determine *whether* abuse is taking place. Concerns, incidents or allegations must be reported. The role of the councillor or employee is to refer the case to the appropriate person, *not* to investigate or make a judgement.

RESPONDING TO A CONCERN ABOUT ABUSE OR NEGLECT

In an Emergency

Where a member of staff is concerned about the person's **immediate safety**, (s)he should:

- Call the Police on **999**
- Call an Ambulance on **999** if the person needs urgent medical assistance.

Alert a Designated Officer

Where a member of staff has a concern that a child or 'adult with needs for care and support' is being harmed or neglected, or is at risk of this, he should:

- Alert the Designated Officer; a complete list is available on Colin here: [Safeguarding](#). Should the individual team/service Designated Officer(s) be unavailable an alternative Designated Officer should be contacted.

A Child Referral

- If a child is at immediate risk of significant harm, the Designated Officer should call the Children and Families Hub on **0345 603 7627** and request the **Priority Line**. If out of office hours, the Emergency Duty Service should be called on **0345 606 1212**. The Designated Officer should also access the ECC [Request for Support Portal here](#) and select "written confirmation of a verbal safeguarding referral".

Where a child is at immediate risk (as above), consent is not required to raise an alert although it should still be sought (unless this could place the child at risk of significant harm).

If the child is *not* considered to be at immediate risk of significant harm, the Designated Officer (or the member of staff being supported) should access the ECC [Request for Support Portal here](#) in order to complete a request for support online. In this case, consent is always required to give the personal information necessary to complete a request for support.

NB: Consent can be verbal; A parent or guardian is required to provide consent to share information in regard to a child under 16; A child over 16 may provide consent him/herself.

- See page 10 for Effective Support and 'Early Help' – or [click here](#).
- Where a child needs immediate protection, the Police should also be contacted on **999**
- Where *advice* is required around a referral the Children and Families Hub should be contacted on the number **0345 603 7627** (as above), and the '**Consultation Line**' should be requested.

An Adult Referral

- The Designated Officer should call **0345 603 7630** (Adult Social Care) to raise the concern. Unless directed otherwise, a formal referral should also be made by completing the SETSAF form on this page of the ESAB website, which should be securely emailed to Socialcaredirect@essex.gov.uk. The emergency duty out-of-hours service for statutory agencies can be contacted on **0300 123 0778**.
- Where the adult needs immediate protection, the Police should also be contacted, on **999**

The adult's consent should be sought before sharing personal information or data with Adult Social Care unless this could place the adult at risk of significant harm. Where the referral relates to self-neglect in an adult who has capacity, however, consent should always be obtained before sharing information or data.

The Safeguarding Coordinator should always be made aware of all contacts or formal referrals.

WHEN THE CHILD OR ADULT LIVES OUTSIDE ESSEX

Where the usual place of residence of the child or adult with needs for care and support is outside Essex, then the local authority with responsibility for Social Care in that area should be contacted. All child and adult safeguarding boards for local authorities within the UK have websites which include the relevant contact details for Social Care services. Where the usual place of residence is outside the UK or unknown, the Police should be contacted.

Suffolk

In the case of concerns about a child or adult with needs for care and support is usually resident in Suffolk, please contact Customer First on 0808 800 4005 or to discuss whether a referral is required, contact a MASH Social Worker via the Consultation Line (for professionals) on 03456 061 499 (for both Children and Adults)

WHEN A MEMBER OF STAFF OR VOLUNTEER IS IMPLICATED IN ABUSE

- If the conduct of a member of staff is implicated in the abuse of a child or 'adult with needs for care and support', details should be passed to the CBC Delegated Lead or Strategic People and Performance Manager (see Appendix 1, below).
- The CBC Delegated Lead or Strategic People and Performance Manager should telephone the Essex LADO (Local Authority Designated Officer) on **03330 139797** (in regard to a child) or **03330 131000 / 131008 / 134446** (in the case of an 'adult with needs for care and support').
- The member of staff may be suspended from all duties or relevant duties with immediate effect pending investigations.

- These allegations could potentially result in any of the following types of investigation: Criminal; Child protection; and Disciplinary or misconduct.

Outside normal office hours

Where a member of staff is implicated it may not always be possible to contact the Delegated Lead or Strategic People and Performance Manager. In such cases, it may be necessary for the relevant service/duty manager to suspend the member of staff and advise the LADO (via the telephone number above) where this is necessary to guarantee appropriate levels of protection. If the Duty Manager is unsure about the correct course of action after receiving the allegation then (s)he may call the CBC Monitoring Centre via the switchboard **01206 282222** and ask to speak to the acting 'First Call Officer'. This officer will then be able to clarify the best course of action. The recommended actions should be followed and the details of the discussion documented for future reference.

EFFECTIVE SUPPORT AND 'EARLY HELP'

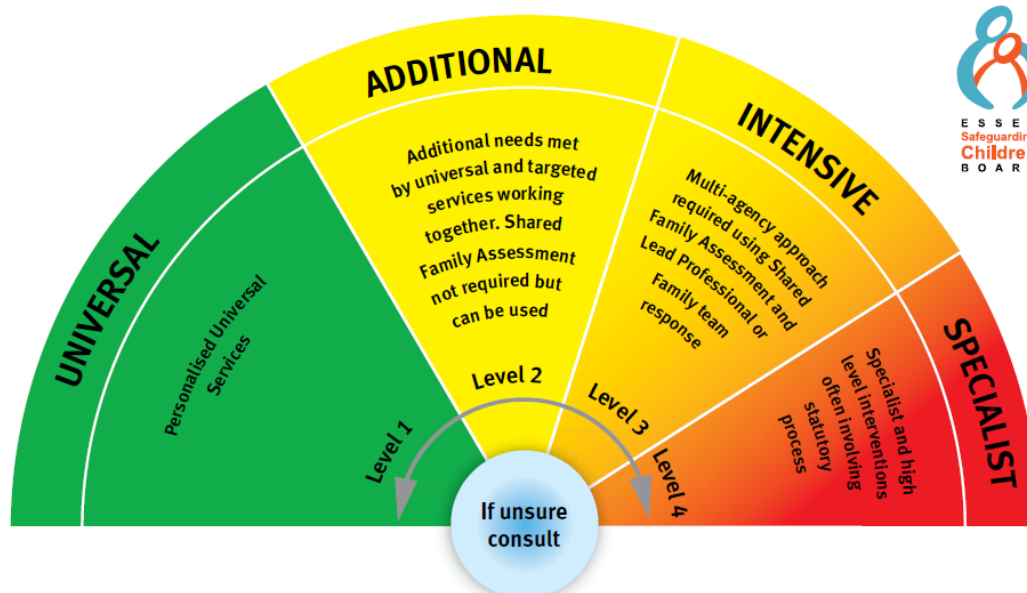
The Council recognises that safeguarding children is not only about preventing abuse and neglect: It is also about promoting children's health and development in order to help provide optimum life chances. Providing effective support to help find solutions at an early stage can prevent problems escalating.

The publication 'Effective Support for Children and Families in Essex' includes guidance that applies to Council staff working with children and families to provide Early Help, targeted and specialist support.

The Council is required to work with others to support children and families in order to prevent their needs escalating to a higher level. The document includes the conceptual model and "windscreen" reproduced on the following page as a way of developing a shared understanding and approach across all services and partnerships, and in order to ensure a consistent approach.

The Essex Effective Support Windscreen

Multi Agency Guidance: Working in partnership to help children and families improve their lives



All partners working with children, young people and their families will offer support as soon as we are aware of any additional needs. We will always seek to work together to provide support to children, young people and their families at the lowest level possible in accordance with their needs.

Further information on the Essex Effective Support for Children and Families can be accessed here: [Essex Effective Support](#), which includes information on 'Early Help' (support): [Early Help](#) and Request for Support [Request Support](#).

A copy of any forms or requests should be emailed to the Designated Safeguarding Officer representing the member of staff's service area, who will save a copy to the Safeguarding area for monitoring purposes.

CONFIDENTIALITY

Employees have a duty to share information relating to suspected abuse with Essex Social Care and Essex Police. Employees must not:

- Discuss any allegations of abuse or bullying, substantiated or not, with anyone from Colchester Borough Council other than with their line manager, a Designated Officer, the Safeguarding Coordinator, the Safeguarding Lead or the Strategic People and Performance Manager.
- Discuss any allegations of abuse or bullying, substantiated or not, with any member of an external agency (excluding Essex Social Care and Essex Police), other than as part of a referral or investigation,
- Discuss any allegations of abuse or bullying, substantiated or not, with any other interested party, including parents, carers and relatives of the child,

without the express permission of the person with overall responsibility for the investigation.

This does not exclude the employee from the need or right to consult with a solicitor, trade union representative or other bona fide legal adviser.

CONSENT

Consent is not required to breach confidentiality and make a safeguarding referral where:

- a serious crime has been committed
- the alleged perpetrator may go on to abuse others
- the child is deemed to be at serious risk of harm
- the adult with needs for care and support is deemed to be at serious risk of harm (unless the individual has capacity and the concern is around 'self-neglect')
- there is a statutory requirement such as Children's Act 1989, Mental Health Act 1983, Care Standards Act 2000
- the public interest overrides the interest of the individual
- a member of staff or volunteer is the person accused of abuse

DATA PROTECTION

All copies of Referral Forms to the Children and Families Hub and Essex Social Care should be retained by the Safeguarding Coordinator in a secure location to ensure confidentiality. This information will be retained in accordance with data protection periods. No other copies should be kept.

HOMELESSNESS

Colchester Borough Council owes a legal duty to provide temporary accommodation to individuals whose status and circumstances meet certain criteria as defined by statute. This function is delegated to Colchester Borough Homes which is an ALMO (Arms-length Management Organisation) owned by the Council. Its officers may need to refer families or individuals to Essex Social Care outside of the safeguarding processes outlined on page 8.

Persons affected	Reason for contacting Essex Social Care
Homeless 16-17 year olds	A 16 or 17 year old may be referred to Essex Social Care for assessment to determine if they are a child in need with a duty owed to them by Essex Social Care.
Intentionally homeless household with children	If a household with children is found to be intentionally homeless, Essex Social Care Direct should be advised in writing so that they can ascertain whether a duty is owed under the Children Act 1989.

Colchester Borough Homes only places children or adults with needs for care and support into 'Bed and Breakfast' or temporary accommodation in an emergency and as a last resort. Officers complete a detailed Housing Options form with applicants. This helps to identify needs and vulnerabilities, and assists in the process of safeguarding both children and adults with needs for care and support.

USE OF CONTRACTORS

Colchester Borough Council will take reasonable care that contractors doing work on its behalf are monitored appropriately. Any contractor or sub-contractor engaged by the Council in areas where workers are likely to come into regular contact with children or 'adults with needs for care and support' should have its own equivalent safeguarding children and adults at risk policies, or failing this, must comply with the terms of this policy. This requirement will be written into the contract.

Where contact with children and adults with needs for care and support is a necessary part of the contracted service, it is the responsibility of the manager who is using the services of the contractor to ensure that satisfactory Disclosure and Barring Service (DBS) checks have been completed where appropriate.

GRANT APPLICATIONS

Safeguarding policies and procedures are required from all grant funded organisations. In addition, satisfactory DBS checks may be required from appropriate individuals working with children and vulnerable adults which seek funding from the Council. (Such requirements are subject to relevant legislation including the 'regulated activity' criteria contained within the Protection of Freedoms Act 2012). This information will be requested at the application stage and applications will not be processed without the relevant documentation. As a minimum, any organisation receiving funding from the Council will be expected to have a statement of policy and procedure regarding safeguarding, in place and understood by employees and volunteers, and available to service users. This applies to all organisations the Council awards grants to, irrespective of how the grant has been awarded. An example policy to use is included in Appendix 4. Commissioned/contracted or grant-funded organisations with minimal contact with children, young people, adults with needs for care and support or 'vulnerable adults' (for DBS purposes) may wish to adopt the Council's policy if deemed suitable.

LICENSING

The Council is responsible for carrying out certain licensing functions. Protection of children from harm is a licensing objective that the Council is legally obliged to consider as part of its licensing function, in particular when licensing premises under the Licensing Act 2003 or the Gambling Act 2005.

HEALTH AND SAFETY

Where the Council inspects premises to discharge its legal responsibilities in this area, employers may be obliged to carry out risk assessments, including for the employment of young people. As part of the inspection process, officers may examine such risk assessments to determine their suitability. If evidence is gained that young people are working without relevant permits in place, or in 'unsuitable workplaces', the Council will report this to Essex Social Care Direct.

PHOTOGRAPHY AND PORNOGRAPHY

It is an unfortunate fact that some people have used children's events as opportunities to take inappropriate photographs or footage of children and young people. Councillors, employees and contractors should be vigilant at all times. Anyone using cameras or film recorders for or on behalf of the Council must have either completed media consent forms from the parents of children being photographed or filmed, or have checked with the parent or guardian, before the activity commences. When commissioning professional photographers or inviting the press to cover the organisation's services, events and activities, the Council will ensure that expectations are made clear in relation to child protection.

There are some easy steps to take:

- Check credentials of any photographers and organisations used.
- Ensure identification is worn at all times.
- Do not allow unsupervised access to children or adults with needs for care and support including through one-to-one photographic sessions.
- Do not allow photographic sessions outside of the activities or services, or at a child's home.
- It is recommended that the names of children or adults with needs for care and support should not be used in photographs or footage, unless with the express permission of the parent/carer of the child, young person or adult.

Council employees should contact the Communications Team for advice and a copy of the Media Consent Form before the activity commences.

CHILD SEXUAL EXPLOITATION (CSE)

Sexual exploitation is a horrific form of sexual abuse that affects thousands of children and young people every year in the UK, when young people under 18 receive 'something' (food, accommodation, drugs, alcohol, cigarettes, affection, gifts, money) in exchange for performing, and/or others performing on them, sexual activities. It can happen to any young person from any background and affects boys and young men as well as girls and young women.

CSE can occur through the use of technology without the child's immediate recognition, for example the persuasion to post sexual images on the internet/mobile phones with no immediate payment or gain. In all cases those

exploiting the child/young person have power over them by virtue of their age, gender, intellect, physical strength and /or economic or other resources. There are 3 important and recognisable elements of child sexual exploitation:

- Children are 'groomed' and there is power and control held by the perpetrator/s
- An 'exchange' (such as gift, food, money, drugs etc.) is present, this could be to a third party and not always to the child themselves
- Sexual acts or the exchange of sexual images is present

The sexual exploitation of children and young people can be seen in varied forms which can be described through understanding models of CSE. It is important to recognise that these models do not necessarily work in isolation and various models can be operating concurrently (*these models are an amalgamation of models reported by Barnardo's, Children's Society and Safe & Sound*).

- Inappropriate relationship model
- Organised network and trafficking model
- Gangs and Group model
- Peer on Peer
- Older Adult 'Boyfriend'/'Girlfriend' model
- Online Grooming model

The UN Convention on the Rights of the Child, article 34 states 'governments must protect children from sexual abuse and exploitation'. Section 11 of the Children Act 2004 places a duty on key organisations to ensure that they work together to improve the wellbeing of children.

The Council is committed to play its full part in tackling CSE which includes reporting concerns and increasing awareness. It endorses the ESCB statement that this problem "cannot be dealt with by individual organisations working alone and that a multi-disciplinary commitment is required to tackle and respond to CSE".

Staff responsibility

Staff with concerns about a specific child being at risk of CSE should speak to a Designated Safeguarding Officer for their service. He or she will assist the member of staff in taking the right steps summarised below as derived from Essex CSE & Missing Arrangements

Non person-specific Information about CSE activity should be included on the Essex Police Child Information Sharing Form available on the CSE Toolbox, or information can be emailed to OC.triage.team.essex@essex.pnn.police.uk.

Person-specific concerns should be detailed on the CSE Risk Vulnerabilities Assessment which can also be found on the CSE Toolbox.

If a child is at immediate risk of harm the Police should always be called on 999. Whenever information is shared, the Safeguarding Coordinator should be

made aware. Further information and guidance on CSE can be found here: [CSE guidance for Professionals](#) (ESCB),

Further information about CSE can be found on the [Essex Police](#) and [ESCB](#) websites and by referring to the SET Operating Procedures [SET Operating Procedures - May 2019](#)

DOMESTIC ABUSE

The Council adopts the [Government's definition](#) of domestic abuse as being: "Any incident or pattern of incidents of controlling, coercive, threatening behaviour, violence or abuse between those aged 16 or over who are, or have been, intimate partners or family members regardless of gender or sexuality." Such abuse can encompass, but is not limited to:

- Psychological
- Physical
- Sexual
- Financial
- Emotional
- Controlling behaviour

Controlling behaviour is a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.

Survivors/victims may be affected by domestic abuse in a number of ways:

- Loss of opportunity
- Isolation from family/friends
- Loss of income or work
- Homelessness
- Emotional/psychological effects such as experiences of anxiety,
- Depression or lowered sense of self-worth
- Poor health
- Physical injury or ongoing impairment
- Death

The effects of domestic abuse on survivors/victims include the direct effects on them and their relationships with other people, particularly their children.

Domestic abuse or violence is a crime and should be reported to the Police. The duty to share information for the prevention, or detection, of a crime overrules the usual principles of Data Protection (as per s.29 of the Act)

What staff should do if they become aware of domestic abuse or violence:

- In an emergency call 999.
- In non-emergency cases and for general advice, please call 101

- Staff should contact a Designated Officer who will advise on making a referral to the Children and Families Hub (if the concern is about a child) or Adult Social Care (if the concern is about an adult) where relevant.
- The Safeguarding Coordinator should also be contacted.

Further information on this issue, and contact details for local and national agencies that support victims/ survivors of domestic abuse and violence are included on the Safer Colchester Partnership website here: [SCP](#)

HONOUR BASED ABUSE

Honour Based Abuse is an international term used by many cultures for justification of abuse and violence. It is a crime or incident committed in order to protect or defend the family or community 'honour'. Honour Based Abuse may sometimes be used as a collective term for Female Genital Mutilation and Forced Marriage.

Forced Marriage

A forced marriage is a marriage in which one or both spouses do not (or, in the case of some adults with learning or physical disabilities, cannot) consent to the marriage and duress is involved. Duress can include physical, psychological, financial, sexual and emotional pressure.

There is a clear distinction between a forced marriage and an arranged marriage. In arranged marriages, the families of both spouses take a leading role in arranging the marriage but the choice whether or not to accept the arrangement remains with the prospective spouses.

Female Genital Mutilation (FGM)

Female genital mutilation (FGM) includes procedures that intentionally alter or injure female genital organs for non-medical reasons. The procedure has no health benefits for girls and women. FGM is internationally recognised as a violation of the human rights of girls and women.

The [Female Genital Mutilation Act 2003](#):

- makes it illegal to practice FGM in the UK
- makes it illegal to take girls who are British nationals or permanent residents of the UK abroad for FGM whether or not it is lawful in that country
- makes it illegal to aid, abet, counsel or procure the carrying out of FGM abroad
- has a penalty of up to 14 years in prison and, or, a fine

Section 4 of the [Serious Crime Act \(2015\)](#) extends sections one to three to "extra-territorial acts" so that it is also an offence for a UK national or permanent UK resident to:

- perform FGM abroad
- assist a girl to perform FGM on herself outside the UK; and
- assist (from outside the UK) a non-UK national or resident to carry out FGM outside the UK on a UK national or permanent UK resident.

Suspensions may arise in a number of ways that a child is being prepared for FGM to take place abroad. These include knowing that the family belongs to a community in which FGM is practised and is making preparations for the child to take a holiday, arranging vaccinations or planning absence from school. The child may also talk about a 'special procedure/ceremony' that is going to take place. Girls are at particular risk of FGM during summer holidays. This is the time when families may take their children abroad for the procedure. Many girls may not be aware that they may be at risk of undergoing FGM. Further information and resources on FGM are available on this page: [ESCB - FGM](#) of the ESCB website.

Where staff have concerns that a child may be a possible or potential victim of Forced Marriage or FGM, this should be raised with a Designated Safeguarding Officer via the existing procedures outlined above in respect of 'Raising a safeguarding concern' involving contact with the Children and Families Hub or Adult Social Care. The Designated Safeguarding Officer will also ensure that the Police are contacted where a criminal offence is suspected.

MODERN SLAVERY

The [Modern Slavery Act 2015](#) is intended to provide law enforcement agencies with stronger legal tools to stamp out modern slavery, ensuring that the perpetrators receive suitably severe punishment, while enhancing the protection of, and support for, victims.

Modern Slavery is estimated to be one of the world's most profitable criminal activities. An assessment published in 2014 conducted by the [Home Office](#) estimates that there are between 10,000 and 13,000 victims in the UK. Sexual exploitation is the most common form of modern slavery currently reported by potential victims in the UK, followed by labour exploitation, forced criminal exploitation and domestic servitude.

Evidence of criminal behaviour should always be reported to the Police.

Where staff have concerns about a child or adult suffering abuse related to any form of modern slavery, this should be raised with a Designated Safeguarding Officer who should follow the procedures outlined above in respect of 'Raising a safeguarding concern' involving contact with the Children and Families Hub or Adult Social Care. The Children and Families Hub will pass concerns onto the NRM (National Referral Mechanism) to ensure that the child gets the appropriate protection and support.

Concerns should always be passed onto the Safeguarding Coordinator. In the case of an adult, the Safeguarding Coordinator should seek consent to make a referral direct to the NRM to secure appropriate protection and support as co-ordinated by the Modern Slavery Human Trafficking Unit (MSHTU). Information about the NRM, including guidance and the referral form, is available on the www.gov.uk website [here](#). Where no referral has been made, the Council has a duty to notify the Home Office of potential victims of Modern Slavery via the [MS1 form](#).

In accordance with section 43(1) of the Modern Slavery Act 2015, the Council is committed to co-operating with the Independent Anti-Slavery Commissioner whose role is to act in the interests of victims and potential victims by ensuring that the law enforcement response to modern slavery is coordinated. This includes annual publication of the Council's Modern Slavery Transparency which appears at the base of [this page](#) of the Council's website.

PREVENT

Section 26 of the [Counter Terrorism and Security Act 2015](#) placed a new duty upon local authorities including district councils to have “due regard to the need to prevent people from being drawn into terrorism”.

The PREVENT Strategy has three objectives, to:

- Respond to the ideological challenge of terrorism and the threat we face from those who promote it
- Prevent people from being drawn into terrorism and ensure they are given appropriate advice and support; and
- Work with sectors and institutions where there are risks of radicalisation that we need to address

It includes all forms of violent terrorism and non-violent extremism - including Islamist and far-right supremacist forms. ‘Extremism’ is defined as “vocal or active opposition to fundamental British values, including democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs.”

Concerns about the possible radicalisation of an individual should be raised with a Designated Safeguarding Officer or with the Safeguarding Coordinator who is the operational lead.

Where there is an immediate risk of harm the Police should be contacted on 999. In order to protect an individual from radicalisation, a [Prevent Referral Form](#) should be completed and submitted to Essex Police (as detailed on the form) or you can call Essex Police Prevent Team for advice on 0800 789 321.

The Safeguarding Co-ordinator should always be made aware of a referral. Consent is normally required to make a referral, and further details on this and

other matters are dealt with in the document SET PREVENT Policy and Guidance.

Where the individual is at risk of abuse or neglect, standard safeguarding procedures apply as per 'Raising a Concern' (highlighted further above). Prevent should not involve covert activity against communities or individuals but should involve the sharing of personal information to ensure that a person at risk of radicalisation is given appropriate support. Following a referral as above, support may be co-ordinated by the local CHANNEL Panel. Working principles include the need for proportionality and the principle of consent (unless seeking this could put a person at risk). The Council's approach is consistent with existing safeguarding processes to include secure record keeping in accordance with the legislation around data protection.

Colchester Borough Council, working alongside the Safer Colchester Partnership, has agreed a Prevent Strategy and Action Plan and can be found here: Safeguarding - Prevent

SAFEGUARDING TRAINING

Whenever Colchester Borough Council recruits' employees it will ensure that they are well informed, trained, supervised and supported so that they are less likely to become involved in actions that may cause harm to children or 'adults with needs for care and support', or be misunderstood. The level to which individual employee training is required is determined in accordance with the training guidance issued by Essex Safeguarding Children Board and Essex Safeguarding Adults Board.

Level 1

Level 1 training refers to all new employees and councillors who are made familiar with their responsibilities in regard to the safeguarding of children and adults with needs for care and support. All staff (including volunteers and casuals) and councillors are required to complete a basic Safeguarding e-Learning package (access to this package can be arranged for volunteers and casual staff who do not have a CBC log-in). This package will explain what safeguarding is, why it is so important, how to recognise the signs of abuse, respond to a disclosure, report your concerns, and record information. This training should be refreshed at least every 3 years.

Level 2

Level 2 training refers to those staff who work "predominantly" with children, young people, adults with needs for care and support and/or their parents/carers (for example Sports Coaches, Customer Service Centre Staff and other 'frontline' staff) and who will subsequently require enhanced training to build on existing knowledge. This training can either be a face to face training session/workshop or eLearning.

Level 3

Level 3 training refers to the training of a Designated Safeguarding Officer, Coordinator or Delegated Lead Officer. This training will offer information on specific responsibilities for each role and is delivered via a face to face training session every 3 years.

Councillors are invited to attend annual safeguarding sessions to update their knowledge and provide an opportunity to review best practice, and their experiences.

SAFE RECRUITMENT

Colchester Borough Council is committed to taking all reasonable steps to prevent unsuitable people working with children and 'vulnerable adults' (The term 'vulnerable adult' has been retained post Care Act in respect to Disclosure and Barring only.) All job descriptions are risk assessed within the organisation to identify which jobs are likely to involve regular and/or substantial unsupervised contact with children and vulnerable adults. For all new employees, confirmation of employment will be dependent on satisfactory checks where appropriate.

Disclosure and Barring Service (DBS) checks are sought where employees and volunteers have substantial or regular or unsupervised contact with children, young people or vulnerable adults as part of their duties or responsibilities for or on behalf of the organisation. Checking activity will be consistent with relevant legislation, especially the 'regulated activity' criteria contained within the Protection of Freedoms Act 2012. DBS checks only guarantee that the person concerned does not have a relevant criminal conviction up to the date that the certificate is issued.

Please see Appendix 9 for a link to the Council's 'Manager's Guide to Recruitment'. Appendix 6 of the Manager's Guide includes a checklist which managers are required to adhere to as part of the process to ensure safe recruitment.

WORK EXPERIENCE / INTERNS

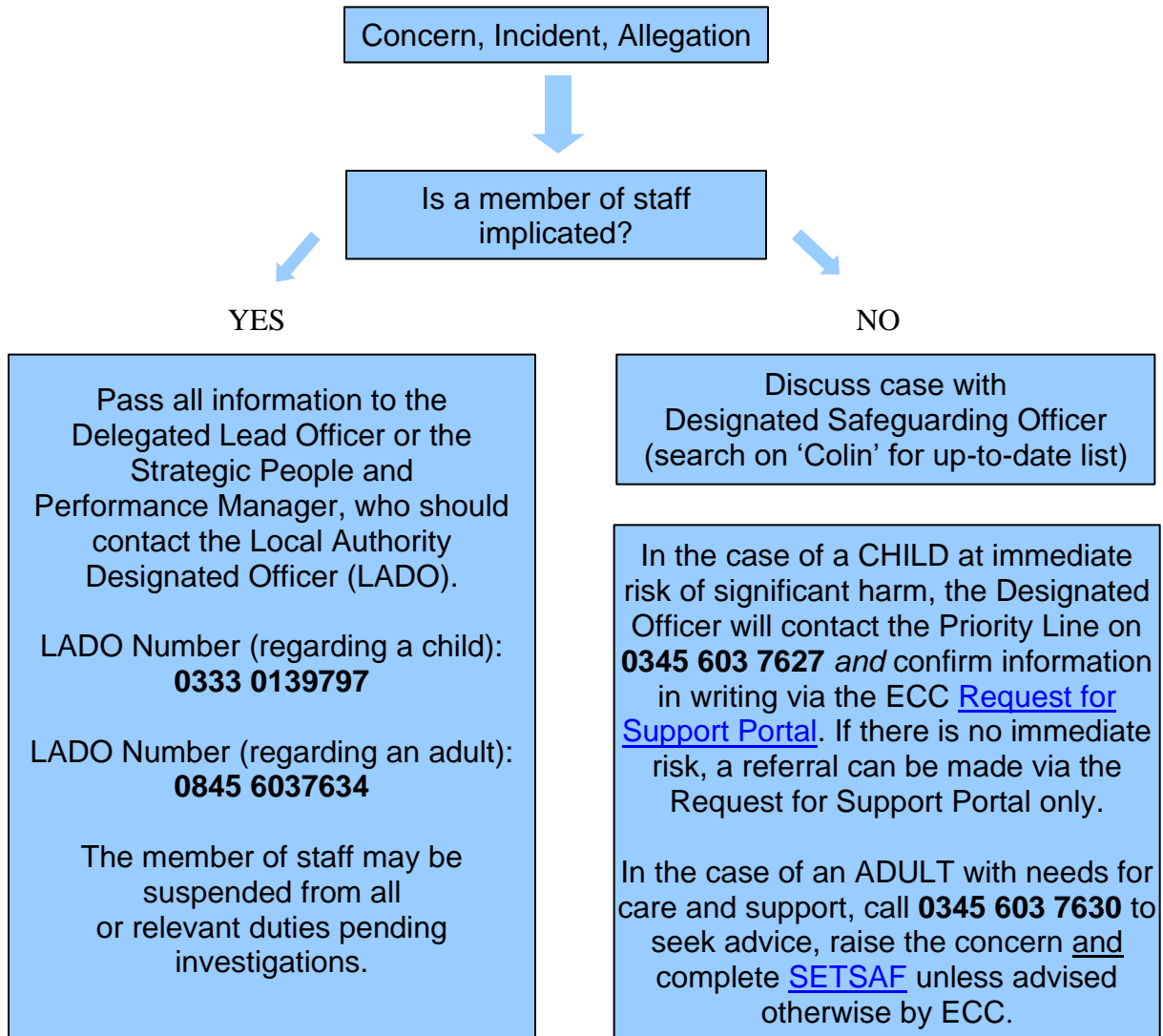
Colchester Borough Council may offer work experience placements across the organisation to a number of young people each year. This is beneficial to both the young person and to the Council. When the organisation offers a work experience placement, managers have a responsibility for their health, safety and welfare. Under health and safety law, these students will be regarded as employees.

APPENDIX 1: CURRENT ROLES AND PROCEDURES

Key CBC staff with Safeguarding responsibilities:

Role	Name	Email	Phone
Delegated Lead Officer	Lucie Breadman	lucie.breadman@colchester.gov.uk	01206 282726
Strategic People & Performance Manager	Jessica Douglas	jessica.douglas@colchester.gov.uk	01206 282239
Safeguarding Coordinator	Sonia Carr	sonia.carr@colchester.gov.uk	01206 282978
Designated Safeguarding Officers	A complete list is available on 'Colin' here: Safeguarding		

APPENDIX 2: PROCEDURE FLOWCHART



Police – **999**: Requiring an emergency response to anyone's immediate safety

Children and Families Hub - **0345 603 7627**: Request the Priority Line where a child is at immediate risk of significant harm. Request the Consultation Line for advice only.

Adult Social Care - **0345 603 7630**: To seek advice on an 'adult with needs for care and support'

- Emergency Out of Hours (Child) - **0345 606 1212**
- Emergency Out of Hours (Adult) - **0300 123 0778**
- Email address for SETSAF form: Socialcaredirect@essex.gov.uk

APPENDIX 3: TYPES OF ABUSE

There are ten main types of abuse. The table below includes key physical and behavioural indicators that staff should look out for:

Type of Abuse	Physical Indicator	Behaviour Indicator
Physical	Unexplained bruising, marks or injuries Bruises which reflect hand marks Cigarette burns Bite marks Broken bones Scalds	Fear of parent being contacted Aggressive or angry outburst Running away Fear of going home Flinching Depression Keeping arms/legs covered Reluctance to change clothes Withdrawn behaviour
Psychological	Developmentally delayed Sudden speech disorders Loss of appetite / loss of weight Disturbed Sleep	Neurotic behaviour e.g. hair twisting, rocking Unable to play/take part Fear of making mistakes Sudden speech disorders Self harm or mutilation Fear of parents being contacted
Neglect and Self Neglect	Constant hunger, stealing food Unkempt state Weight loss/underweight Inappropriate dress Untreated physical illnesses Constantly tired	Truancy/late for school Withholding of 'necessaries', eg nutrition, medication, healthcare, social stimulation Withholding assistance to use toilet, keep clean, warm and comfortable Disregarding one's personal hygiene, health or surroundings
Sexual	Pain/itching in the genital area Bruising/bleeding near genital area STIs Vaginal discharge/ infection Stomach pains Discomfort when walking/ sitting Pregnancy	Sudden change in behaviour Nightmares Unexplained sources of money Sexual drawings/ language Bedwetting Self-harming behaviours Secrets which cannot be told to anyone Behaving beyond their age
Financial or Material	Stealing money Prevention of necessary care options	Never having money for activities, snacks or treats Unexplained or sudden inability to pay bills

		<p>Personal possessions of value go missing from home without explanation</p> <p>Pressure or misappropriation of property, wills, bank accounts, benefits or assets</p>
Discriminatory	Ignoring dietary requirements	<p>Direct or indirect discrimination based on race, gender, culture, disability, sexuality, religion, belief or values</p> <p>Omitting services or activities based on preconceived ideas about someone's age or condition</p>
Organisational	<p>Poor care planning</p> <p>Inflexible routines</p> <p>Lack of privacy</p>	<p>The routine/ practice or management that is not responsive to or respectful to the individuals served</p> <p>Little opportunity for outside activities</p>
Domestic Abuse	<p>Signs of psychological, physical, sexual and financial abuse</p> <p>Female Genital Mutilation</p> <p>Forced marriage.</p>	<p>Being prevented from seeing family/friends or attending college/work/appointments</p> <p>Being followed or continually being asked where they are</p> <p>Feeling scared of others,</p> <p>Being threatened personally or threats against other family/friends</p> <p>Being prevented from leaving the home; withholding finances,</p> <p>Being forced to do something unwanted for their partner.</p>
Modern Slavery	<p>Signs of physical or psychological abuse</p> <p>May appear malnourished or unkempt, or appear withdrawn</p>	<p>Signs of isolation</p> <p>Being prevented from travelling freely or going out on their own</p> <p>Appearing to be under the control or influence of others</p> <p>Appearing to be unfamiliar with their neighbourhood or where they work</p>

APPENDIX 4: POLICY STATEMENT AND PROCEDURE TEMPLATE

(Name of organisation working with or on behalf of Colchester Borough Council) explicitly agrees to the following Statement of Policy and Procedures in regard to Safeguarding:

We are committed to safeguarding children (those under 18) and 'adults with needs for care and support', and protecting them from abuse when they are engaged in services organised and provided by us. We will act in the best interest of the child or adult at all times, and will proactively seek to promote their welfare and protection.

We confirm that we will follow Southend Essex Thurrock (SET) Safeguarding Guidelines.

We will ensure that unsuitable people are prevented from working with children and 'vulnerable adults' through using safe recruitment and selection processes. This will involve DBS (Disclosure and Barring Service) 'checks', where appropriate.

We will take any concern made by a service user, employee, volunteer or child/adult seriously and sensitively, and will not tolerate harassment of a person who raises concerns.

We confirm that we have at least one Designated Safeguarding Officer responsible for raising concerns about abuse or suspected abuse towards a child or 'adult with needs for care and support' with Essex County Council and the Police, as appropriate.

We acknowledge our responsibility to contact Essex County Council promptly if we become aware of concerns about a child or 'adult with needs for care and support'. We confirm that we will contact the Local Authority Designated Officer (LADO) in cases of concerns or allegations about a member of staff or volunteer.

We confirm that those raising a concern will be made aware that it will be shared with appropriate people only and that it will be treated in confidence as far as is possible. Staff and volunteers will not discuss the concern except with the Designated Safeguarding Officer, the Council's Safeguarding Co-ordinator, or an agent of the responsible authority investigating the concern (Essex County Council or Essex Police). We agree to make referrals, and retain records, securely and appropriately in accordance with relevant legislation.

We understand that it is our responsibility to access and monitor appropriate training for staff and volunteers in respect of safeguarding, details of which can be provided by the Local Safeguarding Boards.

APPENDIX 5: SAFEGUARDING LEGISLATION

The table below includes a selection of key safeguarding legislation that underpins the Council's legal responsibilities in this area.

KEY SAFEGUARDING LEGISLATION	
The United Nations Convention on the Rights of the Child 1989	The Convention on the Rights of the Child was adopted by the UK in full in 2008. It was the first legally binding international instrument to incorporate the full range of human rights. In 1989, world leaders decided that children needed a special convention because people under 18 years old often need special care and protection.
The Human Rights Act 1998	Sets out the rights of children and families to challenge what they perceive to be an infringement of their human rights.
Protection of Children Act 1999	Sets out the framework to enable employers to check on the suitability of employees to work with children. This act builds on the Police Act (1997) which set up the Criminal Records Bureau.
The Sexual Offences (Amendment) Act 2000	Introduces the concept of 'abuse of trust,' whereby adults could commit an offence in engaging in sexual activity with someone younger than them if they are seen to be in a position of trust, even if the younger person is above the age of consent (16-18 in the case of child protection).
Care Standards Act 2000	The Care Standards Act 2000 sets out a regulatory framework and standards for services people might receive. This applies to regulated services such as residential care, domiciliary care or adult placement schemes ('Shared Lives').
The Sexual Offences Act 2003	This replaced the Sex Offenders Act (1997). It incorporated 50 new offences, including a new 'Grooming' offence. Offences also include the use of the internet in child abuse and abuse of positions of trust. It also includes a new definition of rape.
Every Child Matters, the Government's vision for children's services (No longer in force)	This set out 5 key outcomes - be healthy, stay safe, enjoy and achieve, make a positive contribution and achieve economic wellbeing. District councils contribute to these outcomes in a variety of ways including particularly housing, planning and environmental health.

KEY SAFEGUARDING LEGISLATION	
Female Genital Mutilation Act 2003	<p>The Female Genital Mutilation Act:</p> <ul style="list-style-type: none"> • Makes it illegal to practice FGM in the UK • Makes it illegal to take girls who are British nationals or permanent residents of the UK abroad for FGM whether or not it is lawful in that country • Makes it illegal to aid, abet, counsel or procure the carrying out of FGM abroad • has a penalty of up to 14 years in prison and, or, a fine
Children Act 2004	<p>Section 11 places a statutory duty on district councils to make arrangements to ensure that in discharging their functions they consider the need to safeguard and promote the welfare of children. Section 10 outlines the duty to promote inter-agency cooperation between named agencies (including district councils).</p>
Mental Capacity Act 2005	<p>Made it an offence to neglect or deliberately ill-treat a person who lacks capacity. It put arrangements in place for advocacy support and best-interest decision-making.</p>
Safeguarding Vulnerable Groups Act 2006	<p>Created the Independent Safeguarding Authority (ISA), whose aim was to prevent unsuitable people working with children and vulnerable adults. It includes social care services, as well as health, education, housing support and supporting people services.</p>
The Apprenticeships, Skills, Children and Learning Act 2009	<p>Section 9 makes amendments to the Children Act 2004, specifically regarding the establishment of Children's Trust Boards. The Children's Trust comprises:</p> <ul style="list-style-type: none"> • the local authority including all constituent services that impact on children and families • named statutory 'relevant partners' such as district councils • any other partners the local authority considers appropriate.
Protection of Freedoms Act 2012	<p>Part 5 of the Protection of Freedoms Act 2012 covers the reduction in scope of the definition of regulated activity, new services provided by the Disclosure and Barring Service (DBS), and disregarding convictions and cautions for consensual gay sex. The DBS helps employers make safer recruitment decisions and prevent unsuitable people from working with vulnerable groups, including children. It replaces the Criminal Records Bureau (CRB) and Independent Safeguarding Authority (ISA). For the purposes of Disclosure and Barring, the term 'vulnerable adult' has been retained.</p>

KEY SAFEGUARDING LEGISLATION	
Care Act 2014	<p>The Act changes the definition of adult safeguarding. This reflects the local authority's new safeguarding duties that apply in relation to an adult who:</p> <ul style="list-style-type: none"> • has needs for care and support (whether or not the authority is meeting any of those needs), • is experiencing, or is at risk of, abuse or neglect, and. • as a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it. <p>The Act also:</p> <ul style="list-style-type: none"> • Places the adult at risk at the centre of the decision-making process. • Places Local Safeguarding Adults Boards on a statutory footing
Serious Crime Act 2015	<p>Section 4 of the Serious Crime Act (2015) extends sections one to three of the Female Genital Mutilation Act 2003 to include "extra-territorial acts" so that it is also an offence for a UK national or permanent UK resident to:</p> <ul style="list-style-type: none"> • perform FGM abroad • assist a girl to perform FGM on herself outside the UK; and • assist (from outside the UK) a non-UK national or resident to carry out FGM outside the UK on a UK national or permanent UK resident.
Counter Terrorism and Security Act 2015	<p>Section 26 of the Counter Terrorism and Security Act 2015 placed a new duty upon local authorities including district councils to have "due regard to the need to prevent people from being drawn into terrorism".</p>

APPENDIX 6: SAFE WORKING PRACTICES

Guidelines for conduct when working/having contact with children and ‘adults with needs for care and support’

It is best practice for councillors, employees and contractors who have contact with children and adults with needs for care and support to follow these guidelines:

- When working with children and adults with needs for care and support, always be open to scrutiny and avoid situations where an employee, volunteer or service provider is alone and unobserved.
- Children and adults with needs for care and support have a right to privacy, respect and dignity. Respect the individual and be sure to provide a safe and positive environment.
- All children and adults with needs for care and support should be treated equally in the context of any activity.
- Councillors, employees and contractors must put the wellbeing and safety of the child or adult with needs for care and support before the development of performance.
- Always report incidents as soon as possible to a line manager and a Designated Safeguarding Officer (and make a written report) if a child or ‘adult with needs for care and support’:
 - is accidentally injured as the result of action taken
 - seems distressed in any way as a result of action taken
 - appears to be sexually aroused by, or misunderstands or misinterprets something you have done
- If a child or adult with needs for care and support arrives at an activity or service showing signs or symptoms that give you cause for concern, you must act appropriately following the procedures outlined above in the Safeguarding Policy.
- When administering first aid, employees should ensure that another adult is present where possible, or is aware of the action being taken. Parents/carers should always be informed when first aid is administered.

NEVER:

- Take children or adults with needs for care and support to your home where they will be alone with you.
- Engage in rough physical games including horseplay.
- Engage in sexually provocative games.
- Allow, encourage or engage in inappropriate touching of any form.
- Allow children or adults with needs for care and support to use language inappropriate to the circumstances, unchallenged, or use it yourself.
- Make sexually suggestive comments about, or to, a child or adult with needs for care and support, even in fun.

NEVER (CONTINUED)

- Allow an allegation about a child or an adult with needs for care and support to be ignored or go unrecorded.
- Do things of a personal nature for children or adults with needs for care and support *that they can do for themselves*, such as assisting with changing. Such tasks should only be carried out with the full understanding and consent of parents/carers. In an emergency situation that requires this type of help, you should endeavour to have someone else present and inform the parents/carers as soon as is reasonably possible. In such situations it is important that all employees treat the child or adult with the utmost discretion.
- Share a room with a child or adult with needs for care and support
- Enter areas designated only for the opposite sex.
- Use the internet or any other electronic or telephone device to access pornography sites.

APPENDIX 7: MISSING AND UNCOLLECTED CHILDREN

Missing children

- When a member of staff becomes aware that a child has gone missing, the supervisor and manager should be informed immediately.
- The manager will inform reception and all other operational staff. Reception staff will be responsible for watching the entrance and exits.
- The supervisor will begin a thorough search of the building, using all supernumerary staff. This will be carried out in a calm manner.
- If the child has not been found after five minutes, the child's parents will be informed (if they are not already aware)
- If the child has not been found after fifteen minutes, the police will be informed.
- The search will continue with as many staff as are available (whilst safety of other children is maintained) until the police arrive and advise further action accordingly.
- The manager should liaise with the Safeguarding Co-ordinator and/or the Safeguarding Lead in regard to communication with the police and the parents.
- When the situation has been resolved, a thorough risk assessment of the circumstances surrounding the incident should be carried out, with safeguards being implemented where possible or necessary to prevent the situation from occurring again.
- All relevant agencies will be informed and a comprehensive record of the incident will be kept confidentially.

Uncollected children

- Every effort will be made to contact a parent/carer using the details supplied on the booking form.
- The children will be supervised at all times whilst waiting for their parent/carer to arrive.
- Under no circumstances will a member of staff take the child home.
- If a child's parents/carers cannot be contacted by staff after one hour, the manager or Designated Safeguarding Officer will contact the Children and Families Hub for advice, which should be followed.
- The child will remain under the care of staff until the parent/carer arrives or until Essex Social Care takes over responsibility for the child.
- Staff must continue to try and contact the parent/carers throughout this process.
- All events must be clearly recorded by all relevant staff as well as the Safeguarding Co-ordinator and duty manager. This record will be kept confidentially by the Safeguarding Co-ordinator.

APPENDIX 8: CHILD TRAFFICKING SIGNS AND INDICATORS

Signs that a child may have been trafficked:

There are a number of circumstances that could indicate that a child may have been trafficked to the UK and may still be in the control of the trafficker or the receiving adults. These include situations in which the child:

- Does not appear to have money but does have a mobile phone
- Is driven around by an older male or 'boyfriend'
- Is withdrawn and refuses to talk
- Shows signs of sexual behaviour or language
- Shows signs of physical or sexual abuse and/or has contracted a sexually transmitted disease
- Has a history with missing links and unexplained moves
- Is required to earn a minimum amount of money every day
- Works in various locations
- Has limited freedom of movement
- Appears to be missing for periods.

Or situations where the child:

- Is known to beg for money
- Is being care for by adults who are not parents. The quality of the relationship between the child and the carers is not good
- The presentation of a trafficked child is usually very different from other children living in the same household
- Has not been registered with or attended a GP practice
- Has not been enrolled in school
- Has to pay off an exorbitant debt, perhaps for the travel costs, before being able to have control of earnings
- Hands over a large part of earnings to another person
- Is excessively afraid of being deported
- Has had their journey or visas arranged by someone other than family
- Does not have possession of their own travel documents
- Is unable to confirm who is going to have responsibility for her/him
- Has entered the country illegally.

APPENDIX 9: LINKS TO FURTHER INFORMATION

- [Essex Safeguarding Children Board](#) – A multi-agency organisation which works to bring together agencies who work to safeguard and promote the welfare of children
- [Essex Safeguarding Adults Board](#) – An inter-agency forum for agreeing how the different services and professional groups should cooperate to safeguard adults with needs for care and support across Essex.
- [Essex Effective Support](#) - includes guidance that applies to Council staff working with children and families to provide early help, targeted and specialist support.
- [Essex Police](#) - Non-emergency: 101; Emergency: 999.
- [NSPCC Child Protection Helpline](#) – Tel: 0808 800 5000
- [Disclosure and Barring Service](#) - The DBS merges the functions previously carried out by the Criminal Records Bureau (CRB) and the Independent Safeguarding Authority (ISA). Tel: 0870 9090 811 (checks) or 01325 953795 (referrals/barring)
- [Child Protection in Sport Unit](#) - Offers advice on child protection issues.
- [ESCB Policies and Guidance](#)
- [ESAB Policies and Guidance](#)
- [Whistleblowing Policy](#)
- [Designated Safeguarding Officers CBC](#)
- [Public Concern at Work](#) - Free confidential advice about malpractice at work. Tel: 020 7404 6609
- Modern Slavery [National Referral Mechanism Forms](#), ['First Responder' Guidance](#) and [MS1 form](#).
- The Council's Modern Slavery Transparency Statement can be viewed at the base of [this page](#) of its website.
- [Essex Police Prevent](#) and [GOV.UK Counter-terrorism policy](#)
- [SET Prevent Policy and Guidance](#)
- [Request for Support Portal](#) – Essex Social Care Referral Process
- *For 'Early Help':*
- [Essex Child and Family Well Being Service](#) (Early Help)
- SETSAF – (on [this page](#) of the ESAB website) - for use by Designated Safeguarding Officers in the case of a concern about an 'adult with needs for care and support'
- [Managers Guide to Recruitment](#)

VERSION CONTROL

<p>Title: Status:</p> <p><u>This</u> version:</p> <p>Consultation: Approved by: Approval:</p> <p>EQIA:</p> <p>Review frequency:</p>	<p>Safeguarding Policy Approved March 2013</p> <p>Version 7 (January 2020)</p> <p>N/A - changes are Legislative or required updates Full Council February 13th 2020</p> <p>The EQIA for this policy is published on the Council website: www.colchester.gov.uk</p> <p>When changes occur that alter the policy or approach significantly, or every 5 years; reviewed at Cabinet or full council level.</p> <p>Minor changes or legislative updates/amendments delegated to Assistant Director (has Lead responsibility for Safeguarding) in consultation with PFH.</p>
---	--

APPENDIX B



Suicide Protocol

Responding to threats or ideas of suicide or self-harm

Colchester Borough Council

Version 2 (January 2020)

See end of this document for "Version Control"

1. Introduction

In 2018, there were 6,507 suicides registered in the UK, an age-standardised rate of 11.2 deaths per 100,000 population. In Essex, 166 people died from suicide during this period; 20 in Colchester (*all data obtained from Office for National Statistics - www.ons.gov.uk*).

Colchester Borough Council wishes to play its full part in working with others to reduce these unnecessary deaths, raise awareness and tackle stigma. This staff protocol provides practical guidance on responding to, and managing, threats or ideation of suicide or self-harm.

2. Scope

This guidance applies to all services within the remit of the Council, where they come into contact with customers or any member of the public, including where the concern is about a member of staff. It applies to all CBC employees, paid or unpaid, permanent or temporary, casual workers, voluntary workers, work experience students, agency staff, consultants, and other contracted persons within the duration of that contract.

3. Background

Any member of staff could encounter a distressed person threatening suicide or self-harm, either in person, on the telephone or in writing. This type of situation can be difficult to handle and particularly when those in receipt of the threat are not trained or qualified to help. There are numerous factors which can lead a person to the point of making such a threat including when a member of staff must tell a customer something they don't want to hear – especially if it will affect their finances. Although people often say things that they don't mean, any threats of self-harm or suicide should be taken seriously. All staff have a duty of care to the person, to, as far as possible and practicable, assist them with support to obtain the professional care and assistance that they need.

This document provides guidance on the procedures to be followed in all instances.

4. General information and guidance

What factors are associated with a decline in mental health?

- stressful events such as failing exams; being made redundant; divorce
- experiencing bereavement or loss
- feelings of shame, isolation or loneliness; a loss of self-esteem
- giving away possessions
- sleep problems – particularly waking up early
- taking less care of themselves, for example eating badly or not caring what they look like
- a sense of uselessness and having no purpose – feeling "What's the point?"
- someone talking about ending their life or about suicide in general
- a significant change of behaviour – someone may appear to be calm and at peace for the first time or, more usually, may be withdrawn and have difficulty communicating

What responses are helpful/unhelpful?

Helpful responses include reassurance and making someone feel respected and supported.

Unhelpful responses include:

- making someone feel rejected, patronised, criticised or analysed
- changing the subject when an affected person is talking about how they feel
- being told that they are wrong or silly

- being told to cheer up or 'snap out of it'
- being told that they should be grateful for having such a good life

NB Practitioners agree that it is inappropriate and can be stigmatising to refer to individuals "committing" suicide given that decriminalisation took place in 1961.

Are people with mental illnesses at greater risk of suicide?

People with mental illnesses *are* generally more likely to feel suicidal and try to take their own lives than people who do not have mental illnesses. A person could be more likely to try to end their own life if they have recently been discharged from a mental health hospital.

5. Responding to a person threatening suicide or self-harm

There is no 'one size fits all' procedure for these situations and how staff deal with a person who is threatening suicide or self-harm may depend on a range of factors, for example:

- the member of staff's job role e.g. whether they are frontline staff
- the relationship they may already have with the person
- if the individual is a Council tenant (staff may already be aware of relevant issues)
- if there are other factors involved e.g. criminal or anti-social behaviour
- whether the person has been taking alcohol or drugs (which can increase the risk of suicide)
- whether the person has medication prescribed, and whether they are taking it
- whether there are children or other vulnerable people present
- the member of staff's own levels of confidence in tackling such an issue

Talking about suicidal thoughts doesn't make someone more likely to end their life. If you are faced with this situation, one of the most important things you can do is to talk to them about how they feel and listen to them. But don't assume that because someone has talked about suicide, they won't try to take their own life.

Try to get an understanding of the person's intentions by asking open, non-judgemental questions, such as:

- Are you having thoughts of killing or harming yourself?
- Have you tried to kill yourself before?
- Have you made any plans?
- Is anyone with you now? (especially if you think they may have children)

6. Procedures

If someone has attempted suicide:

- If you are present when this happens, ring 999 and stay with them until the ambulance arrives.

In an emergency - if you're worried that someone is at immediate risk

- Advise the person that you have a duty of care to ensure they are safe and have appropriate support.
- Obtain basic information about the person making the threat including name, address, telephone number, current location and if possible, GP's name and surgery.
- Encourage them to get immediate help from a friend or family member.
- **Call the Police on 999:** Explain the immediate concerns you have, and any action taken, or advice given.

- **Also share concerns with Essex Partnership University NHS Foundation Trust (EPUT) Access and Assessment Team** [EPUT Access and Assessment Team](#) on 0300 726 1800: The team may already be supporting the person.

Non-emergencies - where someone may be at risk, but is not in immediate danger:

- Encourage them to contact their GP for an emergency appointment or the out of hours' service.
- Find out if they already have contact with any mental health services or support agencies and encourage them to get in touch.
- **Seek consent** to contact **EPUT Access and Assessment Team** [EPUT Access and Assessment Team](#) on 0300 726 1800 or otherwise the **person's GP**.
- Offer information on the advice and support services that are available (see Appendix).

Where the concern is about a customer or member of the public

- Notify the CBC **Safeguarding Co-ordinator** and/or a CBC **Designated Safeguarding Officer** of the action you have taken – details can be found here: [Safeguarding](#) (available on Colin). A Safeguarding referral to Social Care may also be appropriate.

Where the concern is about a member of staff

- Encourage the individual to talk to a CBC "Mental Health First Aider". An up-to-date list is available here: [Mental Health First Aiders](#) (available on Colin). More information is available in the appendix.
- Notify the **Strategic People and Performance Manager** of the action you have taken – details can be found here: [Safeguarding](#)

In all situations:

- Do not try to counsel the person or make a judgement about whether you think they will carry out the threat of suicide or self-harm.
- Keep a record of your concerns and what action you've taken.
- Where the person is a Council tenant, share information with Colchester Borough Homes.
- Notify your line manager of the action you have taken.

7. Supporting staff

Dealing with suicide threats or ideation can be extremely challenging for staff, and line managers need to ensure that enough time is set aside to check on the member of staff's welfare and identify any relevant support needs.

Employee Assistance programme (EAP)

The Employee Assistance Programme can provide free and confidential support to any member of staff. You can access the EAP in several ways including:

Freephone: 0800 243 458

SMS (for a call back): 07909 241229

Email: assistance@workplaceoptions.com

Your personal benefits website: <https://www.workplaceoptions.co.uk/member-login-2/>

Full details can be found here: [Employee Assistance Programme](#).

Mental Health First Aid Trained Staff

Colchester Borough Council and Essex Lifestyle Service work in partnership to embed Mental Health First Aid training within CBC and encourage staff to talk more freely about mental health, reducing stigma and creating a more positive culture.

A Mental Health First Aider in the workplace is a point of contact for an employee who is experiencing a mental health issue or emotional distress. Mental Health First Aiders are not

trained to be therapists or psychiatrists, but they can offer initial support through non-judgmental listening and guidance.

A list of Mental Health First Aiders is available here: [Mental Health First Aiders](#)

8. Monitoring and Review

This Protocol will be substantially reviewed every five years although it may be subject to minor corrections or operational updates in the interim.

9. Other relevant documents

Other policies and procedures that are relevant to this Protocol are:

- **Safeguarding Policy** (updated 2019) can be found at base of [this page](#) of the CBC website
- **Crisis Support Policy** can found on the staff intranet [here](#)
- Southend, Essex & Thurrock (SET) **Child Protection Procedures** can be found on [this page](#) of the ESCB website
- Southend, Essex & Thurrock (SET) **Safeguarding (Adult) Guidelines and Staff Handbook** can both be found on [this page](#) of the ESAB website
- [Survivors of Bereavement by Suicide](#) - National and Local Suicide Prevention Strategies

APPENDIX - USEFUL CONTACTS (not previously listed above)

Local Mental Health Services

Health in Mind

Provides access to a wide range of talking therapy treatments for adults with common mental health problems in and around Colchester and Tendring

Tel: 0300 330 5455 (available Mon – Fri, 9:00am – 5:00pm)

Email: hpft.healthinmind@nhs.uk

Web: www.northessexiapt.nhs.uk/north-east-essex

Community Mental Health Team (Colchester)

35 East Stockwell Street Colchester CO1 1ST

Tel: 01206 334100

EWMHS (Emotional Wellbeing and Mental Health Service)

Emotional Well-being and mental health service for young people up to the age of 18 living in Southend, Essex, Colchester and Thurrock

Tel: 0300 300 1600 (option 2) (available Mon – Fri, 9:00am – 5:00pm)

Email: nelft-ewmhs.referrals@nhs.net

Web: www.nelft.nhs.uk/services-ewmhs

Local drug and alcohol services

Open Road

Charity that provides support for individuals affected by drugs and alcohol across Essex. Colchester Centre (for advice, information, support, assessment and access to treatment)

5a Queen Street Colchester CO1 2PG (open Mon – Fri, 9:30am – 5:00pm)

Tel: 01206 766096 Helpline: 0844 4991323

Web: www.openroad.org.uk/colchester-centre

National Mental Health Organisations

Mind

Provides advice and support to empower anyone experiencing a mental health problem.

Infoline: 0300 123 3393 (available Mon – Fri, 9:00am – 6:00pm)

Text: 86463

Email: info@mind.org.uk

Website: www.mind.org.uk

NHS direct

Help and advice if you have an urgent medical problem and unsure what to do.

Tel: 111 (available 24 hours a day, 7 days a week - free from any landline or mobile)

Or go to: 111.nhs.uk (people aged 5 and over only)

Web: www.nhsdirect.nhs.uk

Rethink Mental Illness

The largest voluntary sector provider of mental health services in England

Advice Line: 0300 5000 927

Web: www.rethink.org

Samaritans

A unique charity dedicated to reducing feelings of isolation and disconnection that can lead to suicide.

Colchester Branch Walsingham Road Community hall Colchester CO2 7BN.

Helpline: 116 123 (available 24 hours - free from any phone)

Email: jo@samaritans.org (response time 24 hours)

Web: www.samaritans.org

Sane

A leading UK mental health charity working to improve the quality of life for anyone affected by mental illness.

Saneline: 0300 304 7000 (4:30pm – 10:30 daily); confidential service for those aged 16 or over

Web: www.sane.org.uk

VERSION CONTROL	
Title:	Suicide Protocol
Status:	Approved July 2018
<i><u>This</u></i> version:	Version 2 (January 2020)
Consultation:	N/A - changes are Legislative or required updates
Approved by:	Full Council
Approval:	February 13th 2020
EQIA:	The EQIA for this policy is published on the Council website: www.colchester.gov.uk
Review frequency:	When changes occur that alter the policy or approach significantly, or every 5 years; reviewed at Cabinet or full council level. Minor changes or legislative updates/amendments delegated to Assistant Director (has Lead responsibility for Safeguarding) in consultation with PFH.

21 January 2020

Report of

Monitoring Officer

Author

Hayley McGrath
☎ 508902

Title

Revised Code of Corporate Governance

Wards
affected

Not applicable

1. Executive Summary

- 1.1 This report requests the Committee to review the Local Code of Corporate Governance for 2019/20. The Local Code of Corporate Governance is how the Council demonstrates that its structures comply with the recognised principles of good governance.
- 1.2 The report also recommends that Full Council includes the Code in its Policy Framework which comprises all of the Authority's key policies.

2. Recommended Decision

- 2.1 To review the updated Local Code of Corporate Governance for 2019/20.
- 2.2 To recommend to Full Council that it be approved for inclusion in the Council's Policy Framework.

3. Reason for Recommended Decision

- 3.1 The Committee was originally asked to review the Local Code of Corporate Governance for 2019/20 at their meeting on 26 November 2019. However, concerns were raised over the wording for Principle 2 (*Members and officers working together to achieve a common purpose, with clearly defined functions and roles*) and the use of the phrase 'common purpose', as Councillors do not necessarily have the same political objectives.
- 3.2 Whilst the wording for the code is prescribed by the Chartered Institute of Public Finance, it was agreed that it would be reviewed to provide clarity on the definition of 'common purpose', and a revised code would be submitted to this meeting of the Committee.
- 3.3 The objective of Principle 2 is to ensure that Councillors and Officers work together to deliver the functions of the Council and implement the Council's vision.
- 3.4 The Council's vision was set out in the Strategic Plan for 2018-21, which was unanimously agreed by Full Council on 21 February 2018.
- 3.4 Therefore, the wording for Principle 2 has been amended to '*Members and officers working together to deliver the objectives of the 2018-2021 Strategic Plan (the common purpose), with clearly defined functions and roles.*'

4. Alternative Options

- 4.1 There are no alternative options to consider

5. Equality, Diversity and Human Rights implications

- 5.1 There are no equality, diversity or Human Rights implications as a result of this report.

6. Strategic Plan References

- 6.1 The achievement of the strategic plan requires a sound system of governance to ensure the effective delivery of services. Therefore, improving on existing governance arrangements will help to ensure that the strategic plan objectives can be achieved.

7. Risk Management Implications

- 7.1 Risk Management is a fundamental part of the Governance process and a failure to agree a Code of Corporate Governance may have an effect on the ability of the Council to control its risks.

8. Environmental and Sustainability Implications

- 8.1 There are no environmental or sustainability implications as a result of this report.

9.1 Other Standard References

- 9.1 There are no particular references to consultation, publicity considerations or financial; community safety or health and safety implications.

10. Appendices

- 10.1 Appendix A – Revised Code of Corporate Governance 2019/20.



Code of Corporate Governance 2019/20

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

November 2019

Contents

Page

INTRODUCTION	2
PRINCIPLE ONE	3
PRINCIPLE TWO	6
PRINCIPLE THREE	13
PRINCIPLE FOUR	17
PRINCIPLE FIVE	21
PRINCIPLE SIX	25

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 2018-2021 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)

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
1.1.1 Develop and promote the Council's purpose and vision	<p>Strategic Plan 2018-21 (approved by Full Council February 2018 following consultation and focus groups, with 20 priorities now set out under four new themes) and action plan.</p> <p>The Council's commercial programme, including the set-up of three trading subsidiaries – Amphora Trading, Homes and Energy – within the Colchester Commercial (Holdings) Ltd (CCH) holding company.</p> <p>Partnership working with local, regional and national stakeholders.</p> <p>Service Plans.</p> <p>ICT, Communication and Technology Strategy.</p> <p>Council website – www.colchester.gov.uk.</p> <p>Local Research and Statistics data on website.</p> <p>The Constitution and its committees and panels.</p>	<p>Development and monitoring of actions to support delivery of the Strategic Plan 2018-21, including spending priorities.</p> <p>Implementing the 'Service Futures' programme which took a fundamental review of Council services and how they are delivered.</p> <p>The development of the CCH/Amphora companies, and the implementation of their high-level goals, financial targets and management agreements.</p> <p>Encouraging self-serve and online options to maximise use of resources</p>

	<p>Core values of 'customer, business and culture' with identified attitudes and behaviours</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.</p> <p>Publication Scheme/Transparency Code.</p>	<p>Council's Improvement and Engagement Team review customer demand and feedback, statistics and research to support business improvement.</p> <p>Council website – continuing its development to support the Council's vision and objectives, including focus on online self-serve options.</p> <p>Digital Access Support Team – external funding secured to help customers get online so they can access self-serve options and information to support themselves and the digital opportunities available if customers use the web.</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>Strategic Plan and its Action Plan.</p> <p>The Constitution and its committees and panels.</p> <p>Medium Term Financial Strategy and Capital Programme.</p> <p>Local Code of Corporate Governance.</p> <p>Annual Governance Statement and Assurance Framework.</p> <p>Risk Register.</p>	<p>Development and monitoring of actions to support delivery of the Strategic Plan 2018-21.</p> <p>Strategic Plan 2018-21 Spending Priorities.</p> <p>Local Code of Corporate Governance updated as required by CIPFA Guidance</p> <p>The Policy Review and Public Initiatives Panel was introduced from May 2018 to provide legislative, improvement and policy advice to Cabinet and Portfolio Holders on issues that may affect executive functions. The Panel considers</p>

		issues at the request of Cabinet and Portfolio Holders and must seek approval from Cabinet on whether and how issues proactively identified by the Panel are examined.
In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	Strategic Plan 2018-21 Partners were key contributors in the Peer Challenge Partnership Strategy Council praised by All-Party Parliamentary Group Inquiry into partnership working Safer Colchester Partnership – annual plan, website, strategic and operational groups	Colchester Ambassadors – key borough businesses and their promotional work. Community Hub at Colchester library brings a range of partners together to provide customer-facing services. Also the Essex County Council Relationship Manager role.
1.1.4 Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	Strategic Plan actions and monitoring of delivery Statement of Accounts Council's website www.colchester.gov.uk 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	Crime and Disorder Committee examines the work of the Safer Colchester Partnership. A webpage has been set up to bring all Annual Reports into one central place on the Council's website for improved transparency and open access. An online Datashare 'library' gives access to view and download a range of council databases and information
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	Customer – Portfolio Holder on the Cabinet Performance reporting to Senior Management , Scrutiny Panel and the Cabinet	Improvement and Engagement Team review customer demand and feedback, statistics and research to encourage services to make informed choices based

	<p>Consultation – “Consultations, Research and Statistics” section on website</p> <p>Mosaic and other customer research tools</p> <p>Annual Monitoring Report</p> <p>External Audit annual audit letter and recommendations</p> <p>Local Government and Social Care Ombudsman – Annual Review Letter</p> <p>Review of Complaints Procedure (to Committee October 2018)</p>	<p>on fact, and support process improvement work council-wide.</p> <p>‘Customer’ strand of the Council’s Customer Service Standard.</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 (on the right)</p> <p><u>‘Help us get it right’</u> options for customers</p>
--	--	--

In order to achieve our aims we have/will:	Source documents/processes	Further work ongoing
1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery	Performance reporting and performance indicators Complaints Procedure Internal Audit Process and annual work programme Chief Operating Officer Performance Management Board External Auditor's annual audit letter and recommendations The Constitution, its committees and panels Risk Management Strategy Ethical Governance Policies Annual Governance Statement Action Plan Review of Complaints Procedure	Performance Management Board addresses and manages performance and financial issues and meets monthly. Preparation for Budget Group is also managed here. <u>'Help us get it right'</u> options for customers
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.	Performance Reporting Performance Management Board Environmental Sustainability Strategy/Actions External Auditor's annual audit letter and recommendations Statement of Accounts Annual Treasury Strategy Statement Parking Partnership annual report Report templates – financial considerations Monitoring of commercial performance Publication Scheme/Transparency Code Sustainability assessments for Local Development Framework	Building a sustainable commercial services arm for the Council – CCH/Amphora trading companies. The Council has declared a Climate Emergency and has established a Conservation and Environmental Sustainability Task and Finish Group. This is developing an Action Plan for the Council to be carbon neutral by 2020.

PRINCIPLE TWO

Members and officers working together to deliver the **objectives of the 2018-2021 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	.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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 Head of Paid Service Constitution (Head of Paid Service responsibilities) Conditions of Employment Schemes of Delegation Job Accountability Statement /Person Specification Signature on Annual Governance Statement	The Constitution will continue to be reviewed on a rolling basis. Support for this from Chief Operating Officer
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 development of the CCH/Amphora companies, and 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	

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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
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 Datashare brings key performance and related data into one place on the website

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	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	Policy Review and Public Initiatives Panel set up to provide legislative, improvement and policy advice to Cabinet and Portfolio Holders on issues that may affect executive functions. Cabinet identifying and resourcing new strategic priorities.
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 Partnership Strategy	Community Hub at Colchester library brings a range of partners together to provide customer-facing services. Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny
2.3.6 When working in partnership: <ul style="list-style-type: none"> ensure that there is clarity about the legal status of the partnership ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions. 	Constitution Individual Partnership Agreements Service Level Agreements Advice given to Members in relation to outside bodies Partnership Strategy Monitoring Officer role and protocol	Customers and Partnerships' strand of Senior Management Team meetings

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
3.1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	Constitution Chief Executive's and Leader's blog on the Council's intranet Performance reporting Governance and Audit Committee has an overall view of conduct issues established by its terms of reference Member and Officer Codes of Conduct Member/Officer Protocol Whistleblowing Policy Anti-Fraud and Corruption Policy Freedom of Information Policy statement and publication scheme Monitoring Officer and S151 Officer Protocols Localism Act Member conduct regime Annual review of Ethical Governance policies Peer Challenge	Staff survey and taking action on its findings Leadership Development Programme led by Executive Management Team Social media, including Yammer on relaunched Council intranet Datashare on the Council's website and on www.data.gov.uk supports the importance of openness and transparency Employee Assistance Programme

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
3.1.1 continued	Planning Procedures Code of Practice Officer Register of Gifts and Hospitality Officer voluntary register of interests Members' Register of Interests Website and intranet Portfolio Holder monthly sessions with senior officers "Corporate Governance" section on the Council's website bringing all relevant information together under one heading	
3.1.2 Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	Member and Officer Codes of Conduct Performance management system Complaints procedures Anti-fraud and Corruption Policy Member/Officer Protocols Induction for new Members and staff Member Development Programme Member Personal Development Plans Officer training on Member/ officer relationship Whistleblowing Policy Information and Communication Technology (ICT) Security Policy Safeguarding Policy Intranet Annual review of Ethical Governance policies Review of Complaints Procedure	Embedding the Council's core values of 'customer, business and culture' with identified attitudes and behaviours. The Job Accountability Statement/Person Specification template highlights the core values to applicants, and the revised staff appraisal scheme now makes how you conduct yourself against the values, attitudes and behaviours to be equally important to achieving the SMART objectives that apply to the role.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
3.1.3 Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	Member and Officer Codes of Conduct Equality and Diversity training for Members and Officers Financial Procedure Rules, Contract Procedure Rules Ethical Governance policies Registers of Interests (Officers and Members) Services and processes are underpinned by Equality Impact Assessments Equality Objectives Officer induction and training Annual review of Ethical Governance Policies Job Accountability Statements include whether or not a role is politically restricted	Introduction of mandatory Member training on Equality and Diversity
3.2.1 Develop and maintain shared values including leadership values both for the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	Member and Officer Codes of Conduct Strategic Plan, objectives and priorities in place and shared Performance reporting Strategic Plan Action Plan – progress is reported to scrutiny on a half-yearly basis	People Strategy actions (existing) and development of 2020 update Embedding the Council's core values of 'customer, business and culture' with identified attitudes and behaviours
3.2.2 Put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	Contract Procedure Rules Ethical Governance Policies Member and Officer Codes of Conduct Monitoring of the above takes place by the Governance and Audit Committee ICT Security Policy Annual reporting to Governance and Audit Committee	

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.
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	Embedding the Council's core values of 'customer, business and culture' with identified attitudes and behaviours
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 Partnership Strategy	Annual report to Cabinet on Members' appointments to outside bodies, including feedback on outcomes, issues and engagement Scrutiny Panel work programme includes review of partnership arrangements, with presentations from partners at Scrutiny

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 on the scrutiny of commercial companies and treasury management
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, its committees and panels Decision making protocols Record of decisions and supporting materials Report template Decision list published (members) Live audio streaming of meetings on the website Website	The Policy Review and Public Initiatives Panel has been set up to provide legislative, improvement and policy advice to Cabinet and Portfolio Holders on issues that may affect executive functions.

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
4.1.3 Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	Member and Officer Codes of Conduct Member and Officer Registers of Interests Declaration of Interests at meetings Code of Conduct guidance and training provided to Members and Officers Planning procedures Code of Practice Governance and Audit Committee (responsibility) and Monitoring Officer (reports) Politically restricted posts Ethical Governance Policies, and annual review Secondary Employment Policy	
4.1.4 Develop and maintain an effective Audit Committee (or equivalent) which is independent or make other appropriate arrangements for the discharge of the functions of such a committee	Audit issues within remit of Governance and Audit Committee Member Development Programme Agenda and Minutes The Constitution	Continue to review Member training programme with specific reference to audit and governance
4.1.5 Put in place effective transparent and accessible arrangements for dealing with complaints	Complaints procedure "Help us get it right" on website with full details Annual letter from Local Government and Social Care Ombudsman Customer insight work Social media Review of Complaints Procedure	Feedback tab on webpages (on the right)
4.2.1 Ensure that those making decisions whether for the authority or partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	Council's Website Report templates dealing with key aspects Report by Assistant Director with necessary technical expertise included Training and professional development Equality Impact Assessments	Datashare Projects carried out by the Council's Customer Improvement and Engagement Team Customer insight work

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.	Business Partners for Policy and Corporate services, including legal and financial matters
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
	Clear and well understood decision making processes with published timelines Publication Scheme and Transparency Code	

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	Business Partners for Policy and Corporate services, including legal and financial matters
4.4.3 Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice into their procedures and decision making processes	Availability of professional legal advice Knowledge of current and forthcoming legislation and regulations Monitoring Officer Protocol S151 Officer Protocol Procedure Rules Report template Constitution Format for quasi-judicial committees “Have Your Say” processes Planning Procedure Code of Practice Equality Impact Assessments Equality Objectives Datashare	Business Partners for Policy and Corporate services, including legal and financial matters

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

these roles are properly understood throughout the organisation	Monitoring Officer and S151 Officer Protocols Employee Policies Learning and Development Strategy/Annual Learning and Development Plan	
---	--	--

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 July 2018	Member skills development Developing the training records on the Member Information System Talent Management/Career Track for staff Introduction of mandatory Member development in respect of GDPR, safeguarding, equality and diversity, and chairing skills. Specialised training provided to Scrutiny members on the scrutiny of commercial companies and treasury management
5.2.2 Develop skills on a continuing basis to improve performance including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	Performance reviews for officers Personal Development Plans for officers Member training and development Member scrutiny training People Strategy Colchester Learning Managers Vine HR and East of England Local Government Association – meetings, best practice and briefings Peer Challenge and action plan	Member skills development Talent Management/Career Track for staff Learning and Development – commercial and Office365 skills Specialised training provided to Scrutiny members on the scrutiny of commercial companies and treasury management

	Charter Status for Elected Member Development renewed July 2018	
5.2.3 Ensure that effective arrangements are in place for reviewing the performance of the authority as a whole and of individual members and agreeing an action plan which might for example aim to address any training or development needs	Performance reporting and indicators Performance and Improvement Framework Performance management and appraisals – staff SMART objectives People Strategy Peer Challenge and action plan Annual Audit Letter Members' Personal Development Plans Annual Training Plan Local Government Ombudsman Annual Letter	

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
5.3.1 Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	Equality Impact Assessments on services and policies Consultations, Research and Statistics on website Voluntary Sector Grants programme Public meetings Equality Objectives Strategic Plan Consultation Local Development Framework consultation Community development work Consultations Customer insight work Improvement and Engagement Team projects Have Your Say! processes Appointment of Independent Persons Audio streaming of Council meetings	Apprenticeship scheme Community Enabling Strategy Locality Budgets Use of social media Council's commitment to paying the Living Wage as a minimum for its staff including, for example, those helping to support the Council's elections work at polling stations Establishment of Policy and Public Initiatives Panel.

<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 Member skills development Staff structure charts</p>	<p>Talent Management/Career Track - the SMT Talent Panel considers critical roles; moderate career track paths; confirm Future Leader or Future Potential assessments; and then consider those on the Future Leader career track and manage their development</p> <p>Future Leader Programme</p> <p>Staff Recognition Scheme</p> <p>Opportunities such as the District Council Staff Development Programme and the Local Authority Challenge as they arise</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
6.1.1 Make clear to themselves, all staff and the community, to whom they are accountable and for what	Constitution Community Enabling Strategy Stakeholder identification Targets and Performance Monitoring Website and intranet Consultation Strategy ICT, Communication and Technology Strategy Asset Management Strategy Datashare section on the Council's website brings together all information required under statutory codes such as the 'Local Government Transparency Code' to make this easily accessible Structure charts for senior management	A key part of the Government's Transparency agenda is to bring information together into one searchable website - www.data.gov.uk to provide clarity on these issues. The information on the Datashare section of the Council's website is now also being published on www.data.gov.uk Locality Budgets for councillors have been brought in with clearer guidelines and all spend/activity transparently available on the Council's website.

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 Partnership Strategy Scrutiny Panel and the Crime and Disorder Committee Work Programme Datashare	Ongoing review of Freedom of Information requests to see if there are items which could be put onto the website or Datashare, so that a repeat request would not be needed as the item had been made freely available. Examples have been business rate and public funeral information now published as a matter of routine.
6.1.3 Produce an annual report on scrutiny function activity	Annual Scrutiny Report	
6.2.1 Ensure that clear channels of communication are in place with all sections of the community and other stakeholders including monitoring arrangements to ensure that they operate effectively	ICT, Communication and Technology Strategy News releases, e-newsletters and social media Websites for the Council and subsidiaries Equality Impact Assessments Safeguarding Policies Datashare, Freedom of Information and Data Protection section of the website Recordings of meetings on the website	Social media and text messaging Customer and demand projects
6.2.2 Hold meetings in public unless there are good reasons for confidentiality	Constitution Access to Information Rules Compliance with Localism Act access to information regulations Audio streaming of Council meetings	
6.2.3 Ensure arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands	Strategic Plan Website - "Consultations, Research and Statistics" section Consultation strategy ICT, Communication and Technology Strategy Community development work Equality Objectives and Equality Impact Assessments	Holding public consultations on key issues to encourage different sections with differing views to take part

	Budget Consultation Meeting	
In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
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	
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	Statement of Accounts Strategic Plan Performance Reporting and Performance Indicators Council website has "Performance and Improvement", "Council Awards and Achievements" and "Council and Democracy" sections Publication Scheme and Transparency Code	Strategic Plan Action Plan – progress is reported to Scrutiny and Cabinet on a half-yearly basis A webpage has been set up to bring all annual reports into one central place on the Council's website for improved transparency

In order to achieve our aims we have/will:	Source documents/Processes	Further work ongoing
<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 Datashare, Freedom of Information and Data Protection section of the website National Fraud Initiative - Fair Processing Notice Egress Switch Secure Email Encryption Publication Scheme and Transparency Code Audio Streaming of Council meetings</p>	<p>Community Hub at Colchester library brings a range of partners together to provide customer-facing services for customers of the Council and other organisations. This town centre location is easy to access for those who do not wish to self-serve or would like some assistance to do so online. It is open plan with a Welcome Zone where staff work with customers, but also includes areas where confidential discussions can be carried out if needed or appropriate</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>6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making</p>	<p>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</p>	<p>Staff survey and taking action on its findings</p> <p>Staff suggestion boxes</p> <p>Investors in People – reaccruited for three years to 2021.</p>