

College Group Policy

Code of Conduct

Manager Responsible: Chair of the Board

Version Number: 1.4

Approval Date:	23 September 2022
Approved by:	Board of the Corporation
Minute number:	
Ratified by:	Not Required
Minute number:	
Review Date:	30 September 2024
Author / Editor:	Clerk to the Corporation

Intended Audience: <i>(Check appropriate box)</i>			
Staff:	<input checked="" type="checkbox"/>	Governors:	<input checked="" type="checkbox"/>
Students:	<input type="checkbox"/>	External:	<input checked="" type="checkbox"/>



Chelmsford College

**Dovedale
Nursery** 

AMENDMENT SUMMARY

<u>Version</u>	<u>Date</u>	<u>Remarks</u>
1.0	11 Sep 2018	Periodic review
1.1	07 Dec 2019	Periodic review – No changes
1.2	21 Feb 2020	Minor textual amendment to appointment titles.
1.3	23 Jul 2020	Periodic review – No Changes
1.4	23 Sept 2022	Periodic review – updates: new statutory duty; revised Code of Governance; Funding agreement; aims and values

Age, Disability, Gender & Race Equality Statement

Age, Disability, Gender and Race Equality Impact Measures will be set and monitored through analysis of all data related to potential suspected or actual abuse of this policy.

A copy of the Equality Impact Assessment Initial Screening Form is attached as an Annex to this document

CHELMSFORD COLLEGE

COLLEGE CODE OF CONDUCT

FOR CORPORATION MEMBERS

Board Approved: 28 September 2018

Revised: 7 July 2017

First published: June 1995

*** Throughout this code "Corporation Member" or "Members" reads interchangeably with "Governor" or "Governors" and similarly "Corporation" with "Governing Body" or "Board" as appropriate.**

CONTENTS

	Page
College Code of Conduct for Corporation Members	3
Schedule - List of source documents	14
Appendix 1 - The Seven Principles of Public Life	15
Appendix 2 - Six Core Principles of Good Governance	16-17
Appendix 3 - Summary of main responsibilities of Corporation Members under the Articles of Government	18-19
Appendix 4 - Summary of main responsibilities of the Principal and the Clerk under the Articles of Government	20
Appendix 5 - Summary of main provisions of the Financial Memorandum with the ESFA & Governance requirements Of the Funding Agreement	21-24
Appendix 6 - Summary of the Statutory Powers of the Corporation	25-26
Appendix 7 - Complaints against the Corporation or Individual Members	27 - 29

COLLEGE CODE OF CONDUCT FOR CORPORATION MEMBERS

(Approved by the Corporation on 28 September 2018)

1. INTRODUCTION

- 1.1 This Code is intended as a guide, to indicate the standards of conduct and accountability which are expected of Corporation Members, to enable them to understand their legal and ethical duties and to assist them both in carrying out those duties and in their relationship with the Corporation and Principal as the Chief Executive. This Code therefore is aimed at promoting effective, well informed, and accountable college governance, and is not intended to be a definitive or authoritative statement of the law or good practice.
- 1.2 In addition to this Code, Corporation Members are recommended to familiarise themselves with the source documents listed in the Schedule on Page 15.
- 1.3 If a Corporation Member is in doubt about the provisions of this Code or any of the source documents, the Clerk should be consulted and, if necessary, professional advice should be obtained. However, ultimate responsibility for the appropriateness of conduct as a Corporation Member of the College and for any act or omission in that capacity rests with the individual Corporation Member.
- 1.4 This Code applies to every committee or working party of the Corporation and to every subsidiary company or joint venture of the College to which Corporation Members may be appointed.
- 1.5 By accepting appointment to the Corporation each Corporation Member agrees to accept the provisions of this Code.
- 1.6 Each Corporation Member by accepting the provisions of this Code agrees that any breach of the Code by them may lead to the termination of their appointment as a Member in accordance with clause 10 of the Corporation's Instrument and Articles of Government.

2. INTERPRETATION

In this Code:-

- 2.1 'College' means this College;
- 2.2 'College Mission Statement' means the statement set out at paragraph 3.1 of this Code or such other mission statement as may be agreed by the Corporation from time to time;

- 2.3 'College Core Values' means those Core Values set out at paragraph 3.2 of this Code or such other core values as may be agreed by the Corporation from time to time;
- 2.4 'Corporation' means the further education corporation which was established for the purpose of conducting the College;
- 2.5 'Corporation Member, 'Chair', 'Principal' and 'Clerk' mean respectively the Member of the Corporation of the College, the Chair of the Corporation, the Principal of the College and the Clerk of the Corporation;
- 2.6 'DBES' means the Department for Business, Energy & Industrial Strategy;
- 2.7 'ESFA' means the Education & Skills Funding Agency or any successor body;
- 2.8 'Foundation Code' means the Code of Good Governance for English Colleges issued by the Association of Colleges in April 2015;
- 2.9 'DfE' means the Department for Education or any successor body;
- 2.10 all other definitions have the same meanings as given in the College's Instrument and Articles of Government; and
- 2.11 words importing one gender import any gender.

3. AIMS AND VALUES

- 3.1 The College's Mission is 'Chelmsford College: unlocking potential'.
- 3.2 The College's Core Values are:
- Excellence in teaching, learning and assessment
 - Innovation in how we work and develop
 - Ambition for all in the College community to be the best we can be
 - Respect and support for every individual
 - Fairness and equity in all our undertakings
 - Forward thinking in our development
- 3.3 The College Mission Statement, together with the corporate objectives of the College agreed by the Corporation from time to time, seek to encapsulate the core purposes and aims of the College. Corporation Members, should have due regard to these purposes and aims and to the Core Values when

conducting the business of the Corporation and considering the activities and proposed activities of the College.

3.4 The Corporation recognises its obligations to all those with whom it and/or the College have dealings, including students, employees, suppliers, other educational institutions and the wider community. In particular, the Corporation is committed to:

- having close regard to the voice of the learner;
- combating any discrimination within the College on the grounds of the characteristics protected by the Equality Act 2010 (“the 2010 Act”) and promoting equality in accordance with its duty under the 2010 Act;
- upholding the principles set out in the College’s Student Handbook, which is given to all students on enrolment and copies of which are available from the Clerk;
- engaging with the community which the College serves in order to understand and meet its needs;
- observing its duty under the Education (No.2) Act 1986 to take reasonable steps to ensure freedom of speech for members of the College community and visiting speakers and its duty under the Counter Terrorism and Security Act 2015 to have regard to the need, when exercising its functions, to prevent people from being drawn into terrorism.

3.5 The Corporation is also committed to ensuring that it conducts its business in accordance with the highest ethical standards as set out in more detail in this Code.

4. DUTIES

4.1 Corporation Members owe a fiduciary duty to the College. This means that they should show it the highest loyalty and act in good faith in its best interests. Each Corporation Member should act honestly, diligently and (subject to the provisions appearing in paragraph 10 of this Code relating to collective responsibility) independently. The actions of Corporation Members should promote and protect the good reputation of the College and the trust and confidence of those with whom it deals.

4.2 Decisions taken by Corporation Members at meetings of the Corporation and its committees must not be for any improper purpose or personal motive. Decisions taken must always be for the benefit of the College, its students and staff and other users of the College and must be taken with a view to safeguarding public funds. Accordingly, Corporation Members must not be

bound in their speaking and voting by mandates given to them by other bodies or persons (including but not limited to the bodies that elected them).

- 4.3 Corporation Members must observe the provisions of the College's Instrument and Articles of Government and in particular the duty to give immediate notice to the Clerk should they become disqualified from continuing to hold office and also the responsibilities given to the Corporation by the College's Articles of Government. Those responsibilities, including a list of "reserved" responsibilities which are so important that they must not be delegated, are set out in Appendix 3.
- 4.4 Corporation Members should comply with the Standing Orders and terms of reference of the Corporation and its committees to ensure that the Corporation conducts itself in an orderly, fair, open and transparent manner. Corporation Members must keep those Standing Orders and terms of reference under periodic review.
- 4.5 Corporation Members should also have regard to the different, but complementary, responsibilities given to the Principal as the College's Chief Executive. The responsibilities given to the Principal by the College's Articles of Government are set out in Appendix 4. Whereas it is the Corporation's function to decide strategic policy and overall direction and to monitor the performance of the Principal and any other senior post holders, it is the Principal's role to implement the Corporation's decisions, and to manage the College's affairs within the budgets and framework fixed by the Corporation. Corporation Members should work together so that the Corporation and the Principal as Chief Executive perform their respective roles effectively.
- 4.6 Corporation Members should refer to the Clerk for advice relating to the governance functions which are set out in Appendix 4 and have regard to the Clerk's independent advisory role.

5. STATUTORY ACCOUNTABILITY

- 5.1 Corporation Members are collectively responsible for observing the duties set out in the Funding Agreement which the College has entered into with the ESFA as a condition of receiving public funds. A summary of some of the more important requirements of the Funding Agreement with the ESFA is set out in Appendix 5.
- 5.2 Although the ESFA is the main provider of funds to the College, Corporation Members should note that they are also responsible for the proper use of income derived from other sources, such as the Office for Students (OfS) and the European Union (EU) and for the control and monitoring of expenditure of such income, in order to meet the requirements of the

relevant funding body and public audit. Where funding is received directly from OfS, the College will have a memorandum of assurance and accountability with OfS which sets out the basis on which such funding is provided. Where OfS funding is received indirectly via collaboration with a OfS funded institution such funding will be subject to obligations contained in the memorandum of co-operation between the College and that institution.

- 5.3 As accounting officer for the Agency, its Chief Executive is directly responsible and accountable to Parliament for ensuring that the uses to which the ESFA puts its funds are consistent with the purposes for which the funds were given and comply with the conditions attached to them. The Principal, as accounting officer for the College, is also directly responsible and accountable to Parliament, through the Public Accounts Committee, for the effective stewardship by the College of public funds. The Principal may be required to appear before the Public Accounts Committee, alongside the Chief Executive of Skills Funding, to give an account of the use made by the College of such funds. The Corporation is accountable to Parliament for ensuring the financial health of the College, and to the Courts for ensuring that the College is conducted in accordance with the Education Acts and the general law.

6. PUBLIC SERVICE VALUES

Although further education corporations are classified as part of the private not for profit sector for government accounting purposes, they remain public bodies in many legal contexts. In particular, public service values are at the heart of the further education service. High standards of personal and corporate conduct, based on the principles set out in Appendices 1 and 2 of this Code, and the recognition that students and other users of the College's services come first, are a requirement of being a Corporation Member, and should underpin all decisions taken by the Corporation.

7. SKILL, CARE AND DILIGENCE

A Corporation Member should in all his or her work for the College exercise such skill as he or she possesses and that may be a higher level than another Member by virtue of their experience or qualifications, but not so as to act as an expert, together with such care and diligence as would be expected from a reasonable person in the circumstances. This will be particularly relevant when Corporation Members act as agents of the College, for example, when functions are delegated to a committee of the Corporation or to the Chair. Corporation Members should be careful to act within the Terms of Reference of any committees on which they serve.

8. POWERS

Corporation Members are responsible for taking decisions which are within the powers given to the Corporation by Parliament under sections 18 and 19 of the Further and Higher Education Act 1992, as amended. A summary of those powers is set out in Appendix 6. If a Corporation Member thinks that the Corporation is likely to exceed its powers by taking a particular decision, he or she should immediately refer the matter to the Clerk for advice. Equally, if the Clerk believes that the Corporation might be in danger of exceeding its powers (acting ultra vires) or otherwise acting inappropriately or unreasonably or unlawfully, he should raise the matter immediately with the Board through the Chair.

9. CONFLICTS OF INTEREST

- 9.1 Like other persons who owe a fiduciary duty, Corporation Members should seek to avoid putting themselves in a position where there is a conflict (actual or potential) between their personal interests and their duties to the Corporation. They should not allow any conflict of interest to arise which might interfere with the exercise of their independent judgement *nec timens nec favens* – without fear or favour.
- 9.2 Corporation Members are reminded that under the College's Instrument of Government and its policy on Conflicts of Interest and the general law they must disclose to the Corporation any direct or indirect financial interest they have, or may have, in the supply of work to the College or the supply of goods for the purposes of the College, or in any contract or proposed contract concerning the College, or in any other matter relating to the College or any other interest of a type specified by the Corporation in any matter relating to the College, or any duty which is material and which conflicts or may conflict with the interests of the Corporation.
- 9.3 If an interest of any kind (including an interest of a spouse, partner or business associate of a Corporation Member or of a close relative of the Corporation Member or his or her spouse, partner or business associate) is likely or would, if publicly known, be perceived as being likely to interfere with the exercise of a Corporation Member's independent judgement, then:-
- 9.3.1 the interest, financial or otherwise, should be reported to the Clerk;
 - 9.3.2 the nature and extent of the interest should be fully disclosed to the Corporation before the matter giving rise to the interest is considered;
 - 9.3.3 if the Corporation Member concerned is present at a meeting of the Corporation, or any of its committees, at which such supply,

contract or other matter constituting the interest is to be considered, he or she should:-

- (a) not take part in the consideration or vote on any question with respect to it and shall not be counted in the quorum for that meeting; and
- (b) withdraw from that Corporation or committee meeting where required to do so by a majority of the Members of the Corporation or committee present at the meeting.

9.4 For the purposes of clause 9.3 "close relative" includes but is not limited to a father, mother, brother, sister, child, grandchild and step-father/mother/brother/sister/child.

9.5 Where it is proposed that the Corporation should grant a member a financial interest (such as a contract for the supply of goods or services) the Corporation must observe the requirements of the Charities Act 2011. The Corporation may wish to take legal advice before granting such an interest to a member.

9.6 Corporation Members must not receive gifts, hospitality or benefits of any kind from a third party which might be in breach of the Bribery Act 2010 and the College's anti-bribery policy and the College's policy on receiving gifts and hospitality or be seen to compromise their personal judgement or integrity. Any offer or receipt of such gifts, hospitality or benefits should immediately be reported to the Clerk.

9.7 The Clerk will maintain a Register of Corporation Members' Interests which will be open for public inspection. Corporation Members must disclose routinely to the Corporation all business interests, financial or otherwise, which they or persons associated with them may have, and the Clerk will enter such interests on the Register. Corporation Members must give sufficient details to allow the nature of the interests to be understood by enquirers. Corporation Members should inform the Clerk whenever their circumstances change and interests are acquired or lost. In deciding whether an interest should be disclosed, Corporation Members should have regard to the meaning given to "interest" in paragraphs 9.3 and 9.5 of this Code.

10. COLLECTIVE RESPONSIBILITY

10.1 The Corporation operates by Corporation Members taking majority decisions in a corporate manner at quorate meetings, including meetings held by telephone and by alternative methods such as written resolutions, which may be procured electronically, in both cases only if so provided for in the

Instrument and Articles. Therefore, a decision of the Corporation, even when it is not unanimous, is a decision taken by the Corporation Members collectively and each individual Corporation Member has a duty to stand by it, whether or not he or she was present at the meeting of the Corporation when the decision was taken.

- 10.2 If a Corporation Member disagrees with a decision taken by the Corporation, his or her first duty is to have any disagreement discussed and minuted. If the Corporation Member strongly disagrees, he or she should consult the Chair and, if necessary, then raise the matter with the Corporation by means of a specific Agenda item, when it next meets. If no meeting is scheduled, the Corporation Member should refer to the power of the Chair or of any five Corporation Members under the College's Instrument of Government (Clause 12(4)) to call a special meeting and, if appropriate, exercise it, requesting the Clerk to circulate the Corporation Member's views in advance to the other Corporation Members. Alternatively, as a last resort, the Corporation Member may decide to offer his or her resignation from office, after consulting the Chair.

11. OPENNESS AND CONFIDENTIALITY

- 11.1 Because of the Corporation's public accountability and the importance of conducting its business openly and transparently, Corporation Members should ensure that, as a general principle, students and staff of the College have free access to information about the proceedings of the Corporation. Accordingly, agendas, minutes and other papers relating to meetings of the Corporation are normally available for public inspection when they have been approved for publication by the Chair.
- 11.2 There will be occasions when the record of discussions and decisions will not be made available for public inspection; for example, when the Corporation considers sensitive issues or named individuals and for other good reasons. Such excluded items will be kept in a confidential folder by the Clerk, and will be circulated in confidence to Corporation Members save for those Members who have a conflicting interest in the particular sensitive matter. Some confidential items are likely to be of a sensitive nature for a certain period of time only (for example information relating to a proposed commercial transaction or collaboration with another institution). Such items should be reviewed annually by the Clerk to consider whether the confidential status should be removed or whether the public interest in disclosure outweighs that confidential status and the item made available for public inspection, after ratification by the Board.

- 11.3 However, staff and student Corporation Members have no right of access to minutes dealing with matters in respect of which they are required to withdraw from meetings under the College's Instrument of Government.
- 11.4 It is important that the Corporation and its Committees have full and frank discussions in order to take decisions collectively. To do so, there must be trust between Corporation Members with a shared corporate responsibility for decisions. Corporation Members should keep confidential any matter which, by reason of its nature, the Chair or members of any committee of the Corporation are satisfied should be dealt with on a confidential basis.
- 11.5 Corporation Members should not make statements to the press or media or at any public meeting relating to the proceedings of the Corporation or its Committees (see paragraph 9 of Section 1 Board Procedures). It is unethical for Corporation Members publicly to criticise, canvass or reveal the views of other Corporation Members which have been expressed at meetings of the Corporation or its Committees.

12. COMPLAINTS

- 12.1 In order to ensure that the affairs of the College are conducted in an open and transparent manner and that the College is accountable for its use of public funds but also to its employees, its students and the community it serves, it is important for there to be appropriate complaints procedures in place and for these to be well publicised. Corporation Members are reminded of their specific responsibility under the Articles of Government to make rules specifying the procedures in accordance with which employees may seek redress of any grievances relating to their employment, of the importance of having formal complaints procedures in place to handle issues raised by students, former students and third parties and of the legal requirement to have a whistle blowing procedure in place.
- 12.2 Under the ESFA's Funding Agreement with Colleges (Section 15.3), students, employers and other third parties have a right to make a complaint to the ESFA in respect of the College or of any of its decisions.
- 12.3 The Chief Executive of the Education & Skills Funding Agency has a formal procedure for considering complaints against the Corporation, or against individual Members, and these should be addressed to The Complaints Team, The Education & Skills Funding Agency, Cheylesmore House, Quinton Road, Coventry, CV1 2WT. However, the ESFA will not normally deal with complaints unless they have been first registered under the College complaints procedure, and the complainant is dissatisfied with the College investigation of the complaint, or the redress offered.
- 12.4 The College Procedure for consideration of complaints against the

Corporation or individual Members is set out in Appendix 7.

13. ATTENDANCE AT MEETINGS

A high level of attendance at meetings of the Corporation is expected so that Corporation Members can perform their functions properly.

14. GOVERNANCE DEVELOPMENT

- 14.1 The Corporation shall seek to ensure that all Corporation Members are appointed on merit, in accordance with an open selection procedure carried out by the Corporation's Search & Governance Committee and are drawn widely from the community which the College serves so as to be representative of that community. The Corporation should have regard to the provisions relating to the membership of the Corporation in the College's Instrument of Government, the need to combat discrimination and to promote equality, and the need to make available a range of necessary skills and experience to ensure that the Corporation carries out its functions under the College's Articles of Government.
- 14.2 Corporation Members must obtain a thorough grounding in their duties and responsibilities by participating in the College's governance induction and training programmes, including regular refresher workshops.
- 14.3 In order to promote more effective governance, Corporation Members will carry out an annual review of the performance by the Corporation of its duties and responsibilities, including a review of their own performance as part of a continuing and critical process of self-evaluation. The Governing Body must conduct an annual governance self-assessment (except in the year of an external governance review) and must have an external governance review at least once every three years, based on the governance code(s) used by the Governing Body. In accordance with the obligation to supply information to the Secretary of State (see Clause 38 Provision of Information), the Governing Body must supply the Department with details of the outcomes of governance reviews, and of progress in meeting review recommendations, when so requested.
- 14.4 The Governing Body must report in its annual reports on activities undertaken over the year to develop governors and governance professionals.

SCHEDULE - List of source documents

- 1.** the College's Instrument of Government;
- 2.** the College's Articles of Government;
- 3.** the Standing Orders and terms of reference of the Corporation and its committees;
- 4.** the Financial Memorandum entered into by the College with the ESFA & EFA;
- 5.** the College's Mission Statement and corporate objectives;
- 6.** the College's Strategic Plan;
- 7.** the College's policies that extend to Corporation members, including the College's policies on equal opportunities and freedom of speech, the anti-bribery policy as required by the Bribery Act 2010, the College's policy on receiving gifts and hospitality, the College's policy on conflicts of interests, the College's policy on safeguarding learners and the College's policy on preventing people being drawn into terrorism;
- 8.** the principles laid down by the Committee on Standards in Public Life (Nolan Committee) for those holding public office, namely:
 - selflessness;
 - integrity;
 - objectivity;
 - accountability;
 - openness;
 - honesty; and
 - leadership.

An extract from the report of the Nolan Committee setting out these Principles in more detail is set out at Appendix 1;
- 9.** the Audit Code of Practice issued by the ESFA;
- 10.** The Code of Good Governance for English Colleges published by the AoC Governors' Council in April 2015; revised 2019 and 2022;
- 11.** the Good Governance Standard for Public Services published by the Independent Commission on Good Governance in Public Services (Good Governance Standard).

APPENDIX 1

The Seven Principles of Public Life

The following is an extract from the Second Report of the Nolan Committee on Standards in Public Life, May 1996

SELFLESSNESS

Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

INTEGRITY

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

OBJECTIVITY

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

ACCOUNTABILITY

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

OPENNESS

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

HONESTY

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

LEADERSHIP

Holders of public office should promote and support these principles by leadership and example.

APPENDIX 2

Six Core Principles of Good Governance

The following is an extract from the Good Governance Standard for Public Services published by the Independent Commission on Good Governance in Public Services, January 2005

1. Good governance means focusing on the organisation's purposes and on outcomes for citizens and service users

1.1 Being clear about the organisation's purposes and its intended outcomes for citizens and service users;

1.2 Making sure that users receive a high quality service;

1.3 Making sure that taxpayers receive value for money.

2. Good governance means performing effectively in clearly defined functions and roles

2.1 Being clear about the functions of the governing body;

2.2 Being clear about the responsibilities of the non-executives and the executive, and making sure that those responsibilities are carried out;

2.3 Being clear about relationships between the governors and the public.

3. Good governance means promoting values for the whole organisation and demonstrating the values of good governance through behaviour

3.1 Putting organisational values into practice;

3.2 Individual governors behaving in ways that uphold and exemplify effective governance.

4. Good Governance means taking informed, transparent decisions and managing risk

4.1 Being rigorous and transparent about how decisions are taken;

4.2 Having and using good quality information, advice and support;

4.3 Making sure that an effective risk management system is in operation.

5. Good governance means developing the capacity and capability of the governing body to be effective

- 5.1 Making sure that appointed and elected governors have the skills, knowledge and experience they need to perform well;
- 5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group;
- 5.3 Striking a balance, in the membership of the governing body, between continuity and renewal.

6. Good governance means engaging stakeholders and making accountability real

- 6.1 Understanding formal and informal accountability relationships;
- 6.2 Taking an active and planned approach to dialogue with accountability to the public;
- 6.3 Taking an active and planned approach to responsibility to staff;
- 6.4 Engaging effectively with institutional stakeholders.

APPENDIX 3

Summary of Main Responsibilities of Corporation Members under the Articles of Government

Responsibilities that cannot be delegated are indicated with a double asterisk.

Under the College's Articles of Government the Corporation shall be responsible:

- (a) for the determination and periodic review of the educational character and mission of the institution and for oversight of its activities;
- (b) for publishing arrangements for obtaining the views of staff and students on the determination and periodic review of staff and students of the educational character and mission of the institution and the oversight of its activities;
- (c) for approving the quality strategy of the institution;
- (d) for the effective and efficient use of resources, the solvency of the institution and the Corporation and for safeguarding their assets**;
- (e) for approving annual estimates of income and expenditure;
- (f) for the appointment, grading, suspension, dismissal and determination of the pay and conditions of service of the holders of senior posts and the Clerk, including, where the Clerk is, or is to be appointed as, a member of staff, the Clerk's appointment, grading, suspension, dismissal and determination of pay in the capacity as a member of staff;
- (g) for setting a framework for the pay and conditions of service of all other staff; and
- (h) for setting the policy by which the tuition and other fees payable to the College are determined (subject to any terms and conditions attached to grants, loans or other payments paid or made by the ESFA).

"Senior Post" means the post of Principal and such other senior posts if any as the Corporation Members may designate for the purposes of the Articles.

Responsibilities which must not be delegated

The Articles of Government prohibit the Corporation from delegating the following:-

- (a) the determination and periodic review of the educational character and mission of the institution;

- (b) the approval of the annual estimates of income and expenditure;
- (c) the responsibility for ensuring the solvency of the institution and the [Corporation*] and the safeguarding of their assets;
- (d) the appointment of the Principal or holder of a senior post;
- (e) the appointment of the Clerk (including, where the Clerk is, or is to be, appointed as a member of staff the Clerk's appointment in the capacity as member of staff);
- (f) the modifying or revoking of the Articles of Government;
- (g) the consideration of the case for dismissal, of the Principal, the Clerk or the holder of a senior post unless such function is delegated to a committee of Members of the Corporation; and
- (h) the power to determine an appeal in connection with the dismissal of the Principal, the Clerk or the holder of a senior post unless such power is delegated to a committee of Members of the Corporation.

The Corporation may, from time to time, resolve to add other functions which must not be delegated to this list of "reserved" responsibilities.

APPENDIX 4

Summary of main responsibilities of the Principal under the Articles of Government

Under the College's Articles of Government the Principal shall be the Chief Executive of the College and shall be responsible for:

- (a) making proposals to the Corporation about the educational character and mission of the institution, and for implementing the decisions of the Corporation;
- (b) the determination, of the institution's academic activities and the determination of its other activities;
- (c) preparing annual estimates of income and expenditure, for consideration and approval by the Corporation, and the management of budget and resources within the estimates approved by the Corporation;
- (d) the organisation, direction and management of the institution and leadership of the staff;
- (e) the appointment, assignment, grading, appraisal, suspension, dismissal, and determination, within the framework set by the Corporation, of the pay and conditions of service of staff, other than the holders of senior posts or the Clerk, where the Clerk is also a member of the staff; and
- (f) maintaining student discipline and, within the rules and procedures provided for within these Articles, suspending or expelling students on disciplinary grounds and expelling students for academic reasons.

Summary of main responsibilities of the Clerk under the Articles of Government

Under the College's Articles of Government the Clerk shall be responsible for advising the Corporation with regard to:

- (a) the operation of its powers;
- (b) procedural matters;
- (c) the conduct of its business; and
- (d) matters of governance practice.

APPENDIX 5

Summary of the Governance requirements (schedule 9) of the Conditions of Funding in the ESFA Funding Agreement

Purpose

The ESFA issues a Funding Agreement each year for further education colleges (a merging of the SFA's a financial memorandum and the EFA's funding agreement).

1 Background

1.1 As the Accounting Officer, the Chief Executive of Education and Skills Funding Agency is accountable for assuring the use of funds which the Department receives from the Secretary of State and that the use of funds is consistent with the Secretary of State's statutory remit and any conditions imposed by the Secretary of State. The Department is also responsible for the regularity and propriety of expenditure for the use of funds.

1.2 The Department's Conditions of Funding, including this Agreement, therefore reflect the obligations and responsibilities of the Department for monitoring the use of funds allocated to Colleges. However, the Department's expectation is that, as independent corporate bodies or charitable trusts (subject to their own statutory duties, other obligations and the Department's Conditions of Funding), Colleges will take full control of their own financial affairs.

2 Responsibilities Of The Governing Body

2.1 The Governing Body of the College has responsibilities for ensuring that the College's funds are used only in accordance with the corporation's powers as set out in the Further and Higher Education Act 1992 and the College's own statutory duties and other obligations.

2.2 The Governing Body of the College has responsibilities for ensuring that the College's funds are used only in accordance with the College's powers as set out in the Further and Higher Education Act 1992 and/or the College's own statutory duties, articles of association or trust deeds and other obligations.

2.3 The Governing Body will appoint an accounting officer with an appropriate separation of duties between executive and non-executive roles and responsibilities. The expectation is that the accounting officer will be the Principal or most senior executive leader of the College. The Governing Body will inform the Department in writing of the name and position of the accounting officer, and if the accounting officer is absent from the College for an extended period, as determined by the corporation, the name of the person who will discharge the accounting officer's responsibilities during the absence.

2.4 The College will inform the Department in writing, as soon as is reasonably practicable, of the vacating or filling of the positions of the Chair of the Governing Body, the Principal, the accounting officer, and the governance professional.

3 Charity Regulation

3.1 The Secretary of State for Education is the Principal Regulator for further education and sixth-form college corporations as exempt charities

3.2 The Governing Body of the College (save where the College is an institution designated under section 28 of the Further and Higher Education Act 1992) is responsible for ensuring it operates in line with its exempt charitable status.

3.3 Where the College is a designated institution which is an exempt charity by virtue of its relationship with a higher education institution, the OfS is the Principal Regulator. As such the College will comply with Paragraphs 3.4 to 3.6 below which act in place of Paragraphs 3.1 and 3.2.

3.4 The College must comply with all requests from the OfS to enable the OfS to comply with its duties as Principal Regulator.

3.5 The College will provide the OfS with the information it requires under Paragraph 3.4 at the times and in the formats specified. This information will be of sufficient quality to meet the purposes for which it has been requested.

3.6 Failure to comply with any request for information under Paragraph 3.4, at all or in the required timescales, will constitute a breach of agreement.

4 Responsibilities Of The Accounting Officer

4.1 The Governing Body will require the accounting officer to take personal responsibility, which will not be delegated, to assure them that there is compliance with the Department's Conditions of Funding. The accounting officer may be required to appear before the Parliamentary Committee of Public Accounts on matters relating to the College's use of funds.

4.2 The accounting officer will be responsible for advising the Governing Body in writing if at any time, in their opinion, any action or policy under consideration by the Governing Body is incompatible with the Department's Conditions of Funding. If the accounting officer has evidence that the Governing Body is acting, or intending to act, in breach of the Department's Conditions of Funding, the accounting officer must inform the Department's Chief Executive in writing as soon as is reasonably practicable.

4.3 The College must receive approval from the Secretary of State before making a change to its legal entity name. The process for seeking approval is set out in the college name change guidance, which can be found at: Changing the name of a further education institution - GOV.UK (www.gov.uk).

5 Specific Governance Requirements

5.1 Any person who is selected by the Governing Body for appointment as a governance professional must have a qualification relevant to the role or equivalent experience.

5.2 The Governing Body must report in its annual reports on activities undertaken over the year to develop governors and governance professionals.

5.3 The Governing Body must conduct an annual governance self-assessment (except in the year of an external governance review) and must have an external governance review at least once every three years, based on the governance code(s) used by the Governing Body. In accordance with the obligation to supply information to the Secretary of State (see Clause 38 Provision of Information), the Governing Body must supply the Department with details of the outcomes of governance reviews, and of progress in meeting review recommendations, when so requested.

6 Audit Committee

6.1 The Governing Body must establish an independent and objective audit committee to advise the Governing Body's governance, risk management, internal control, and assurance frameworks, in line with the detail set out in the post-16 audit code of practice and any other directions drawn up and published by the Department in consultation with the College. Any mandatory requirements under the post-16 audit code of practice will be a condition of funding under this Agreement.

7 Payment Of Funds

7.1 The Department will normally make payments of recurrent funding to the College in monthly instalments in accordance with a funding profile for the whole year.

7.2 In addition to its statutory health and safety responsibilities, the College will manage and develop its estate to ensure that it manages resources to provide the best possible learning and teaching environments. The College will use all appropriate statutory and advisory information provided by relevant agencies. The Department will provide on its website reference and signposting information to support Colleges to follow good practices in estate management and development.

8 Financial Reporting

8.1 The Department shall specify in the Accounts Direction and post-16 audit code of practice its requirements as to the information to be contained in the College's financial statements and how they should be reported. College accounts direction - GOV.UK (www.gov.uk).

8.2 The college must submit financial plans to the Department as set out in the Financial Planning Handbook. College financial planning handbook and financial plan - GOV.UK (www.gov.uk).

8.3 The College will provide the Department with copies of its audited financial statements.

Colleges are required to make their financial statements available to members of the public on request.

8.4 The College must notify the Department in writing, within one (1) Working Day, if, at any time, there is a risk to its solvency and viability, or any transactions could jeopardise its solvency or financial viability. The Department may require the College, within such time as the Department deems reasonable, to:

8.4.1 provide information to demonstrate to the Department's satisfaction the College's ability to continue to meet the needs of Learners and to discharge its responsibilities in relation to its solvency and safeguarding of assets, and

8.4.2 provide evidence of financial resources sufficient to enable it to continue to deliver the Provision, and

8.4.3 put in place a plan, through financial intervention processes, that will secure a recovery to a specified satisfactory financial position, in the view of the Department, and

8.4.4 carry out actions, as considered appropriate by the Department, including, but not limited to, a strategic options review and/or a financial recovery plan.

8.5 Failure to comply with any of the requirements under Paragraph 8.3 and 8.4 of this Schedule 9 (College Governance) within such time as the Department deems reasonable, may result in the Department taking such actions as it deems appropriate, which may include, but is not limited to, action under Clause 34 (Withholding, Suspension and Repayment of Funding).

8.6 Where, in the Department's view, information obtained in respect of the College, either as a result of an assessment undertaken by the Department in line with the approach set out in the Financial Planning Handbook or audited accounts, indicates that there is, or in the foreseeable future there is likely to be, a risk to the solvency or financial viability of the College, the Department may take such action as it deems appropriate, which may include, but is not limited to, requiring the College to comply with additional conditions of funding imposed under Clause 12 (Intervention).

8.7 The College must comply with any action taken or any additional conditions of funding imposed under Paragraph 8.6 of this Schedule 9 (College Governance).

8.8 If the Department assesses that the College has failed to comply with any action taken or additional conditions of funding imposed under Paragraph 8.6 of this Schedule 9 (College Governance) within such time as the Department deems reasonable, the Department may take such actions as it deems appropriate which may include, but is not limited to, under Clause 34 (Withholding, Suspension and Repayment of Funding).

9 Contingent Liabilities

9.1 The College will not give any guarantees or indemnities other than in the normal course of business to the extent that the College has the power to do so under the Further and Higher Education Act 1992, its articles of association or trust deeds.

10 College Companies

10.1 The College is free to participate in companies within the limits of the powers provided by the Further and Higher Education Act 1992 as amended and its articles of association or trust deeds. The Governing Body will ensure that appropriate arrangements are in place for the governance and management of any companies and the College will inform the Department as soon as is reasonably practicable if participation in any company may pose a risk to the solvency of the College.

11 Investments

11.1 The College is able to make investments provided it is within its power to do so, including the legitimate use of any public funds. The College must follow the Charity Commission's guidance and requirements about investments, including the use of trading subsidiaries.

11.2 The College must manage its overseas investments in line with the Charity Commission guidance, must seek not put the College's charitable assets under undue risk, and must obtain independent professional advice on key decisions.

12 Payments To Employees On Termination Of Employment

12.1 The Governing Body will demonstrate that payments in respect of termination are regular and secure value for money and avoid spending public funds on settlements where disciplinary

action would have been more appropriate. All settlements will be brought to the attention of the College's financial statements auditors. This includes via the regularity self-assessment questionnaire which must be completed with sufficient, relevant, and timely information.

13 Provision Of Information

13.1 The College will provide the Department on request with a copy of any Asset Deed held in respect of the Premises.

14 Interpretation

14.1 The rights, powers and remedies reserved to the Department in the Department Conditions of Funding are in addition to any other statutory rights, powers and remedies that it and/or the Secretary of State may hold now or at any time in the future. In the event that the Department fails to exercise, or delays in exercising, any of its rights, powers, and remedies this will not constitute or operate as a waiver of any of them.

APPENDIX 6

Summary of the Statutory Powers and Duties of the Corporation

PRINCIPAL POWERS

Under section 18(1) of the Further and Higher Education Act 1992 a further education corporation may:-

- (a) provide further and higher education;
- (b) provide secondary education suitable to the requirements of persons who have attained the age of 14 years, or provide secondary education or participate in the provision of secondary education at a school (subject to the consultation with the appropriate local education authority); and
- (c) supply goods or services in connection with their provision of education.

These powers are known as the Corporation's "principal powers".

SUPPLEMENTARY POWERS

Under section 19 of the 1992 Act the Corporation may do anything which appears to it to be necessary or expedient for the purpose of or in connection with the exercise of any of the principal powers conferred by section 18 of the Act, including in particular the following powers:-

- (a) to acquire and dispose of land and other property;
- (b) to enter into contracts, including in particular:
 - (i) contracts for the employment of teachers and other staff for the purposes of or in connection with carrying on any activities undertaken in the exercise of the Corporation's principal powers; and
 - (ii) contracts with respect to the carrying on by the Corporation of any such activities;
- (c) to form, participate in forming or invest in a company or become a member of a charitable incorporated organisation;
- (d) to borrow such sums as the Corporation thinks fit for the purposes of carrying on any activities it has power to carry on or to meet any liability transferred to it under sections 23 to 27 of the 1992 Act (i.e. when the College achieved its corporate independence on 1st April 1993) and, in connection with such borrowing, the power to grant any mortgage, charge or other security in respect of any land or other property of the Corporation;

- (e) to invest any sums not immediately required for the purposes of carrying on any activities the Corporation has power to carry on;
- (f) to accept gifts of money, land or other property and apply it, or hold and administer it on trust for, any of those purposes;
- (g) to do anything incidental to the conduct of an educational institution providing further or higher education, including founding scholarships or exhibitions, making grants and giving prizes and
- (h) to provide advice or assistance to any other person where it appears to the Corporation to be appropriate for them to do so for the purpose of or in connection with the provision of education by the other person

The Corporation may also provide facilities of any description (including boarding accommodation and recreational facilities for students and staff and facilities to meet the needs of students having learning difficulties) which appear to be necessary or desirable for the purposes of or in connection with the carrying on of the principal powers.

The powers conferred by section 19 of the 1992 Act are known as “supplementary powers”.

The Skills and Post-16 Education Act 2022 places new duties on providers of English-funded, post-16 technical education or training delivered in a specified geographical area:

- (a) to co-operate with the designated Employer Representative Body to help it develop a Local Skills Improvement Plan (LSIP), keep this under review and develop a replacement plan where appropriate;
- (b) have regard to the LSIP when considering their technical education and training offer
- (c) **for governing bodies to review how well their institution's provision meets local needs, requiring the Board to periodically review how well the education or training provided meets local needs; in light of such a review, what actions the college might take to better meet those needs; and publish the review on the college's website. Such reviews to be carried every 3 years**

APPENDIX 7

Procedure for Considering Complaints against the Corporation or Individual Members

1. Scope

This procedure applies to complaints against Chelmsford College Further education Corporation alleging either

- That it has failed to discharge a statutory duty set out in Article 3(1) and Article 9 or 10 of the Articles of Government of Chelmsford College (or has failed to discharge such responsibilities in a satisfactory manner: or
- That it has failed to observe the requirements of the relevant sections of the Further And Higher Education Act 1992 (as amended by the Learning and Skills Act 2000 and other subsequent relevant legislation, e.g. Education Act 2011 and Technical & Further education Act 2017) or any other instruction from the Chief Executive of the Education & Skills Funding Agency or the Department for Education

This procedure also applies to complaints against an individual Member relating to his eligibility, to any breach of the Code of Conduct for Members of the Further Education Corporation, or to misconduct which, if committed by an employee of the College, would warrant disciplinary investigation.

2. Limitation of Time and Interest; Malicious Complaints

Complaints will not be considered unless they are made within six months of the alleged misconduct becoming known to the complainant, or becoming knowledge in the public domain.

Complainants need not have any contractual relationship with the College, but complaints judged to be made with malice towards the College, the Corporation or an individual Member shall not be covered by privilege and the Corporation reserves the right to take legal action against malicious complainants.

3. Procedure for Filing a Complaint

Complaints may be made either on the College Complaints Form (available from each College Campus reception desk) or in writing to the independent Clerk to the Corporation at the Moulsham Street, Campus, Moulsham Street, Chelmsford, Essex, CM2 0JQ.

At this stage, only brief details of the complaint, and the person(s) lodging the complaint, need be given, together with a contact address or telephone number.

4. Initial Investigation and Report

The Clerk will ask the Chairman of the Corporation to nominate a person to investigate the complaint; this may be the Principal, a Member of the Corporation or the Clerk, or other professional legal or audit adviser to the College where specialist knowledge is required.

The investigator will report back to the Chairman as soon as is practicable

- a) That there is a prima facie case warranting formal investigation, and formally detailing the complaint and requesting that the procedure for formal investigation be put in motion (see following paragraph); or
- b) That there is evidence of malicious intent on behalf of the complainant (in which case the Corporation will be asked to consider whether to pursue legal action); or
- c) That the matter should not be pursued on grounds of triviality or insufficient evidence (in which case the Chairman shall write to the complainant explaining this)

5. Formal Investigation

If warranted by the Investigator's Report, the Chairman shall order a formal investigation.

- (a) If the complaint is against the Corporation, then the formal investigation shall be presided over and conducted by one or more of the external Members of the Corporation (the President), assisted as necessary by any of the professional advisers to the Corporation. The complainant will be given the opportunity to make a formal presentation of his case, and to submit documentary evidence or call witness evidence. The Corporation as respondent (represented by the Chairman, or another external Member nominated by him or by a College professional adviser), will make a statement of explanation, justification or rebuttal, may present documentary evidence or call witness evidence.
- (b) The President may ask questions of any party and may ask for additional documentary evidence or call for other witnesses

- (c) The President will deliver his opinion to the Chairman, who shall call a Special Meeting of the Corporation to consider it. The Opinion shall **either** that the complaint is wholly or in part made out and suggesting action in redress; **or** that the complaint is not made out at all, in any part, **or**, insufficiently; in this latter case, he may suggest conciliatory action in redress. The Corporation shall determine what action to take; the Clerk shall inform the complainant of the President's opinion (in full) and of the decision of the Corporation and of the appeal procedure to the Chief Executive of the Skills Funding Agency.
- (d) If the complaint is against an individual Member, or group of Members, then the procedure set out above shall be followed except that the Hearing shall be presided over by the Chairman sitting with two other independent members; in the vent of misconduct being evidence and proven, the Corporation in Special Meeting shall normally be asked to terminate the office of the Member(s).

Fiona Chalk

Interim Clerk to the Corporation – September 2022