

Audit Committee
Thursday 28 July 2022
10.30 am Luttrell Room - County Hall,
Taunton



SUPPLEMENT TO THE AGENDA

To: The Members of the Audit Committee

We are now able to enclose the following information which was unavailable when the agenda was published:

Item 10	Draft Annual Governance Statement (AGS) (Pages 3 - 52) To consider the Corporate Governance Code.
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Published on 28 July 2022

Democratic Services, County Hall, Taunton

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Somerset County Council Corporate Governance Code 2021-2022

SOMERSET COUNTY COUNCIL: GOVERNANCE CODE

INTRODUCTION

1. The purpose of this Code is to state the importance to the Council of good corporate governance and to set out the Council's commitment to the principles involved.
2. The Code is based on guidance to all UK local authorities.
3. The Code is part of the Council's constitution and therefore applies to all members and employees of the Council and to any individuals or bodies authorised to act on its behalf.
4. The effectiveness of the Code and how it is reviewed is set out in Section 4.
5. The Code will be reviewed in its entirety by no later than 31 March 2022, but minor reviews and updates will be made annually as required.

Approved by: Executive & SLT	May 2022
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Version Control	Agreed by date	Issue date
Key Changes (such as changes in legislation and reporting arrangements)		
The Code will be renewed no later than 31 March 2022		

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SECTION 1: THE IMPORTANCE OF GOOD CORPORATE GOVERNANCE

- 1.1. Corporate Governance refers to the processes by which organisations such as the Council are directed, controlled, led and held to account. It is also about culture and values - the way that councillors (members) and employees think and act. In summary, if management is about running the Council, corporate governance is about seeing that it is, run properly.
- 1.2. The Council is a complex organisation which affects all who live and work in Somerset and businesses and organisations that are based here. It is therefore essential that there is confidence in our corporate governance, and the Council must therefore ensure that:
 - as a democratic body, we engage with and account to our citizens and stakeholders effectively;
 - we conduct our business in accordance with the law and to proper standards.
 - public money is properly accounted for and is used economically, efficiently, and effectively;
 - controls are proportionate to risk so as not to impede performance.
 - we continuously improve the way in which we function, in terms of effectiveness, quality, service availability, fairness, sustainability and innovation; and
 - we fulfil our purpose and meet our priorities as set out in our Council Plan.
- 1.3. **The Council is therefore committed to good corporate governance** – to doing the right things in the right way for the right people in a way which is timely, inclusive, open, honest, and accountable. This Code sets out that commitment and how we evidence it.
- 1.4. **This commitment includes improving governance** on a continuing basis across the Council as a whole, through a process of evaluation and review. This is detailed further in **Section 4**.

SECTION 2: THE BASIS OF THIS CODE

2.1 This Code is based on guidance provided to all UK local authorities¹ which, are centred on **seven Core Principles**², designed to underpin the governance arrangements of all public sector bodies.

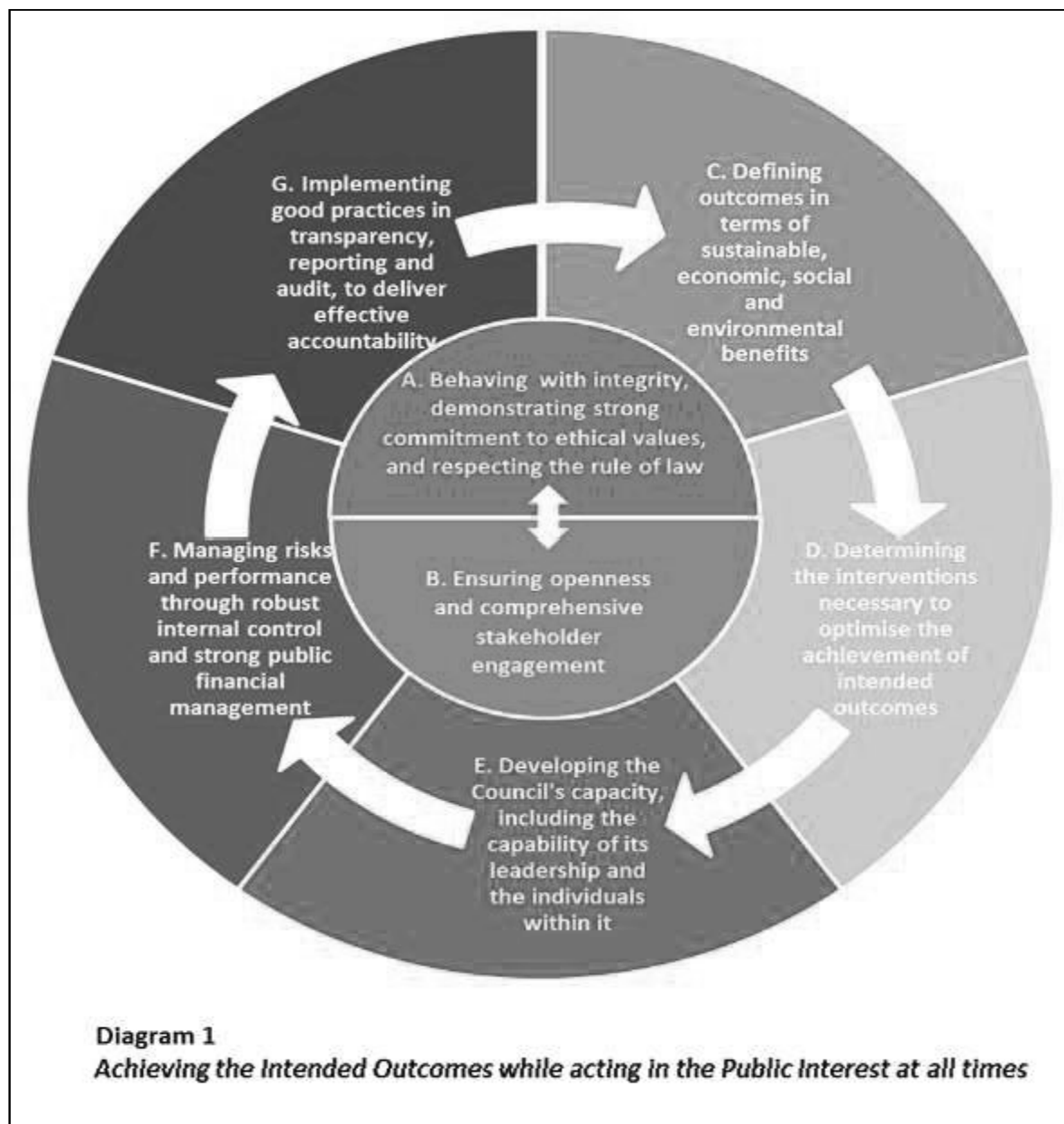
2.2 These Core Principles and how they relate with each other is, illustrated in **Diagram 1**.

2.3 This also shows that:

- i) Core Principles A and B are fundamental to the application of the other principles,
- ii) good governance is dynamic,
- iii) good governance requires all of the principles to be met.

¹ 'Delivering Good Governance in Local Government Framework, 2016', issued jointly by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE).

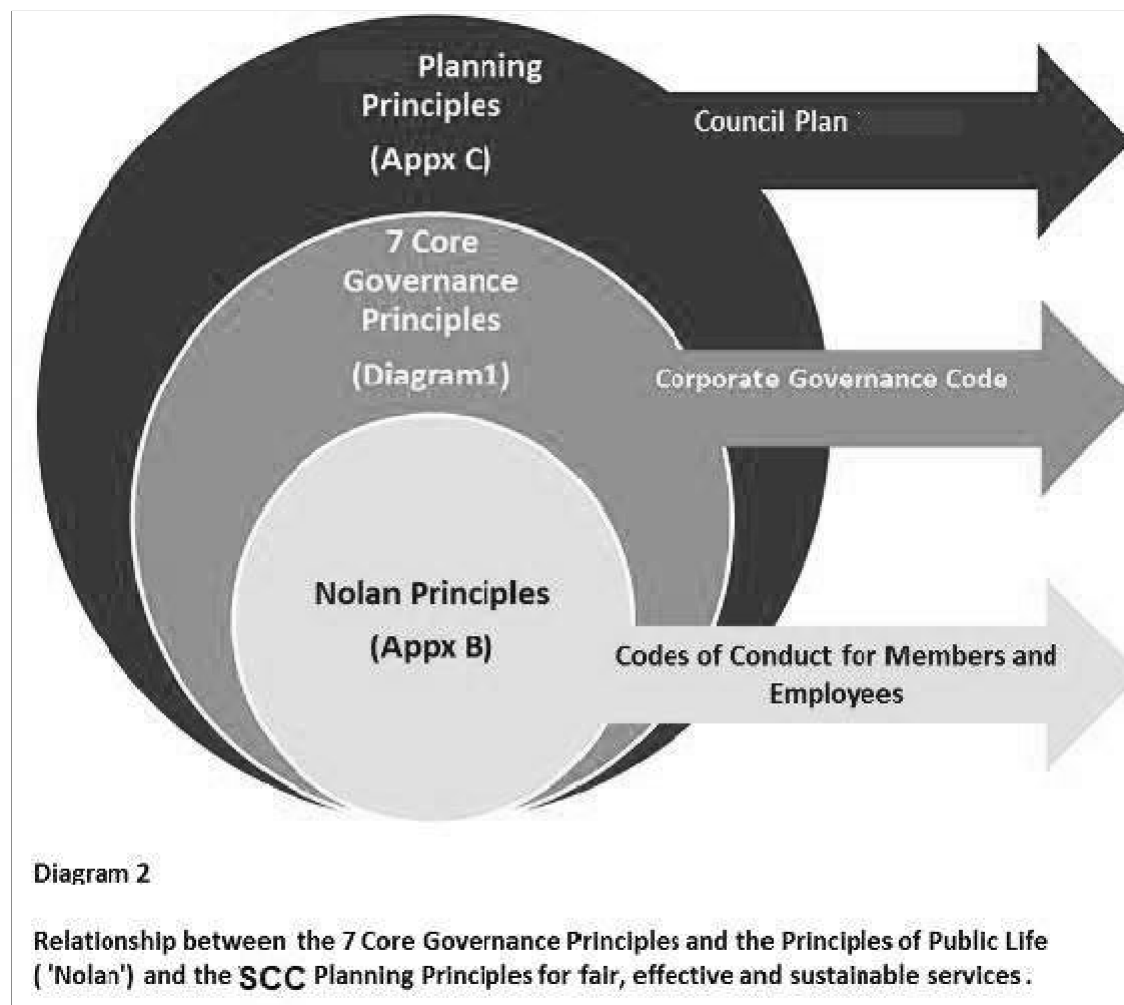
² From the International Framework: Good Governance in the Public Sector (CIPFA/International Federation of Accountants, 2014)



2.4 This Code sets out our commitment to all seven of the Core Principles shown in Diagram 1 and to the various elements of our governance framework – the policies, strategies and processes - which help us to ensure that the principles are met (**Section 3**).

2.5 A summary of the whole governance framework is illustrated in **Appendix A**.

2.6 Since effective Corporate Governance relies on the way that councillors (members) and employees think and act, the Code also recognises the importance of the seven 'Principles of Public Life' (the 'Nolan Principles')³ which are the basis of the ethical standards expected of public office holders. These support the seven Core Principles of this Code which in turn underpin the Council's approach to planning fair, effective and sustainable services and its responsibilities for sustainable development. This relationship is illustrated in **Diagram 2**.



³ See Appendix B

Principles of good governance	Sub-principles	Behaviours and actions that demonstrate good governance in practice relating to the sub-principle	Possible Evidence Documents / Metrics / Case Studies	Evidence Owner
<p>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</p> <p>Previously Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour)</p> <p>Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the</p>	Behaving with integrity	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation	Members Code of Conduct and Elected Member Role Descriptions	Scott Wooldridge
			Officer Standards of Conduct	Chris Squire
			all members sign acceptance of office	Scott Wooldridge
			officers sign contracts of employment	Chris Squire
			members induction and training sessions on Code of Conduct.	Scott Wooldridge
			Constitution & Standards Committee / regular reports to Council	Scott Wooldridge
			Regular review of the Constitution via Constitution & Standards Committee (quarterly & annual review by council).	Scott Wooldridge
			No member appraisals. However Personal Development Plans undertaken voluntarily and these provide an opportunity for reflection and action.	Scott Wooldridge
			Officer's Code of Conduct	Scott Wooldridge
			Core and Key Value expectations	Chris Squire
			Our Working Agreement	Chris Squire
			Staff Appreciation	Chris Squire
			Staff Performance Appraisals	Chris Squire
		Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood.	Constitution content including Members Code of Conduct	Scott Wooldridge
			Tell Local Councillor Protocol	Scott Wooldridge
			Protocol for Member / Officer Relations	Scott Wooldridge
			decision making requirements	Scott Wooldridge

public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

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These should build on the Seven Principles of Public Life (the Nolan Principles)	maintaining a Committee with responsibility for member conduct policy and protocols (Constitution & Standards)	Scott Wooldridge
	Constitution reviewed annually by Full Council and at least quarterly by Constitution Committee.	Scott Wooldridge
	Core Brief and Members Core Brief regularly include relevant content around conduct and expectations / guidance.Members Portal	Scott Wooldridge Chris Squire Peter Elliot
	Core and Key Value expectations	Chris Squire
	Our Working Agreement	Chris Squire
	New JDs	Chris Squire
	Staff Awards	Chris Squire
	Staff Performance Appraisals	Chris Squire
	Constitution content including Code of Conduct and Role Descriptions	Scott Wooldridge
	decision making requirements	Scott Wooldridge
Leading by example and using these standard operating principles or values as a framework for decision making and other actions	meeting agendas requiring interest declarations	Scott Wooldridge
	formal records /minutes of meetings, regular reminders reference declaration of interests / gifts and hospitality	Scott Wooldridge
	maintain separate committee with responsibility for standards of conduct.	Scott Wooldridge
	Guidance and templates available for report authors on the Intranet site.	Scott Wooldridge
Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	Registers of interests and gifts and hospitality maintained for members and staff, regular reminders sent	Scott Wooldridge
	whistleblowing policy in place and updated as necessary	Scott Wooldridge
	member complaints policy online	Scott Wooldridge
	summaries of member complaints made in summary form to Standards Committee	Scott Wooldridge

		Members Code of Conduct and Officer Standards of Behaviour both have guidance on declaration of interests.	Scott Wooldridge
		officer interests / declarations can be made on line via the Intranet.	Scott Wooldridge
		Meeting agendas requiring interest declarations	Scott Wooldridge
		Formal records /minutes of meetings, regular reminders reference declaration of interests / gifts and hospitality	Scott Wooldridge
		Regular review of relevant policies by the Constitution & Standards Committee.	Scott Wooldridge
		Anti-fraud and corruption Policy & reports	Jason Vaughan
		HR Policies & Codes of conduct	Chris Squire
		SCC Internal Policy Register	Nicola Miles
		SCC Policies, Plans and Strategies Framework	Nicola Miles Scott Wooldridge
		Annual Team Health Check (ATHC) - Formerly Strategic Managers Checklist.	Nicola Miles
		Constitution contains guidance on decision making requirements	Scott Wooldridge
	Demonstrating strong commitment to ethical values	Member's Code of Conduct requires adherence to the Nolan Principles.	Scott Wooldridge
		Maintaining a committee with responsibility for standards of conduct	Scott Wooldridge
		Regular Constitution and Standards Committee reports to Council.	Scott Wooldridge
		Regular conduct content and guidance in Core Brief and Member Core Brief.	Scott Wooldridge
		Requirements of decision report templates (and guidance) to specify implications of proposed decisions for decision makers to have regard to	Scott Wooldridge
		Core and Key Value expectations	Chris Squire

			Staff Appreciation	Chris Squire
			Staff Performance Appraisals	Chris Squire
			Constitution and policy content.	Scott Wooldridge
		Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	Member Induction and training in Code of Conduct.	Scott Wooldridge
			Officer Inductions	Chris Squire
			Constitution and policy content. No member appraisals in place but Personal Development Plans are offered to elected members.	Scott Wooldridge
		Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	Staff appraisals	Chris Squire
			Core and Key Values	Chris Squire
			♦Social Value Policy and Guidance - compliance evidenced through the Commissioning Gateway submissions.	Claire Griffiths, Sunita Mills
			♦Market Position Statements (Adults / Children's and high level.	
			♦Protocols to work in partnership and joint commissioning boards / agreements.	
		Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation	♦Grant applications and agreement notices	Scott Wooldridge
			♦Contract Standing Orders	
			♦Modern Slavery Statement	
			Constitution sets out legal requirements around decision making and other constitutional arrangements, report templates and guidance available on Intranet	Scott Wooldridge
	Respecting the rule of law	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	Staff Responsibilities	Chris Squire
			SLT Director Assurance Statements	Scott Wooldridge
			Key member roles and responsibilities in the Constitution.	Scott Wooldridge
		Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil	Democratic Services support to members and committees.	Scott Wooldridge
			Member / Officer Protocol.	Scott Wooldridge

	their responsibilities in accordance with legislative and regulatory requirements	Inductions & Learning Centre	Clive Mallon
		Key decision process	Scott Wooldridge
		Tell Local Councillor Protocol.	Scott Wooldridge
		Somerset Elections Protocol.	Scott Wooldridge
		Constitution and policy content.	Scott Wooldridge
		Decision reports include a requirement for officers to detail legal implications.	Honor Clarke
		Recorded advice to Social Workers	Honor Clarke
	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	Constitution sets the framework, decision reports include a requirement for officers to detail legal implications.	Scott Wooldridge
		Decision report templates and guidance for completion.	Scott Wooldridge
	Dealing with breaches of legal and regulatory provisions effectively	Policies and procedures in place	Scott Wooldridge & Jason Vaughan
		Governance Board Transparency Code Annual Assurance Report 2020	Nicola Miles
	Ensuring corruption and misuse of power are dealt with effectively	Local Government Transparency Act publications	Nicola Miles

<p>B. Ensuring openness and comprehensive stakeholder engagement</p> <p>(Previously Engaging with local people and other stakeholders to ensure robust public accountability)</p> <p>Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.</p>	Openness	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	Open Communications & Press Releases	Jan Stafford
			Constitution details the Access to Information requirements in relation to agendas, meetings, reports minutes and decision records.	Scott Wooldridge
			Decision and report templates meet Access to Information requirements as do decision records, summaries of decisions, summaries of outcomes and minutes.	Scott Wooldridge
		Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided	Democratic Services Website	Scott Wooldridge
			Constitution details the Access to Information requirements in relation to agendas, meetings, reports minutes and decision records.	Scott Wooldridge
			Decision and report guidance and templates meet Access to Information requirements as do decision records, summaries of decisions, summaries of outcomes and minutes.	Scott Wooldridge
		Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	Officer reports provide all necessary information for the decision makers.	Scott Wooldridge
			Cabinet forward plan of business published on the website meets Access to Information requirements.	Scott Wooldridge
			Consultation Website	Victoria Hill
			Tracker Survey	Victoria Hill
		Using formal and informal consultation and	Consultation Resources	Victoria Hill

		engagement to determine the most appropriate and effective interventions/ courses of action	Somerset VCSE Strategic Coordination Initiative	Jeff Brown
			Stronger Communities lead within Public Health Commissioning Stronger Communities approach aligned to Health and Wellbeing Board and reflected in Adults' work programmes.	Jeff Brown
			Development of joint commissioning / development of joint health and social care strategy	Sunita Mills
	Engaging comprehensively with institutional stakeholders	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	Partnership Register Strategic Managers Checklist Partnership Lifecycle Guidance	Nicola Miles
			Health and Wellbeing Board - Health and Wellbeing Board Constitution	Louise Woolway
		Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	Somerset Waste Partnership & SWP Business Plan	Mickey Green
			Website & Comms	Jan Stafford
	Engaging stakeholders effectively, including individual citizens and service users	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision	We don't currently have a single communications strategy - its made up of a number of policy and guidance documents hosted on the intranet.	Jan Stafford
			Engagement with Somerset VCSE sector	Jeff Brown

	is contributing towards the achievement of intended outcomes.		
	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	Joint strategic needs assessment	Pip Tucker
		All JSNA reports contain case studies and the outcome of consultation with specific population groups	Pip Tucker
	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	Joint strategic needs assessment	Vicky Chipchase
		JSNA 2015 includes findings from focus groups with young people in rural Somerset	Lauren Oliver
		Somerset's UK Youth Parliament and Advisory Group	Kate Darlington
		Children in Care Council, Leaving Care Council	Alison Pennells
		Youth Offending Team	Michael Stevens & Lise Bird
		Consultation section of decision papers.	Victoria Hill
		The role of the elected member and their responsibilities for 'full patch'	Scott Wooldridge
	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	Procurement Soft-market testing	Claire Griffiths
	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	The role of the elected member and their responsibilities for communities in their divisions	Scott Wooldridge
		Consulting with all groups whether members of the public, equalities groups/networks or organised groups	Victoria Hill

Taking account of the interests of future generations of tax payers and service users	Early Years and School Place Planning Infrastructure Growth Plan	Elizabeth Smith
	Joint strategic needs assessment	Pip Tucker
	JSNA 2015 includes findings from focus groups with young people in rural Somerset. The Annual Report of the Director of Public Health for 2021 included focus group work with children and young people across the county to understand the impact of the pandemic on their lives and views of the future.	Pip Tucker
	Medium Term Financial Plan 2021-2022	Jason Vaughan
	IMD - 2019 on website	Adrian Lee
	Somerset Intelligence website	Adrian Lee
	JSNA 2019/20 on Health impacts of climate change was produced in association with the Somerset Climate Emergency Strategy, with its own public consultation	Pip Tucker
	School population forecasts	Tony Johnson
	Vision Statement	Nicola Miles Alastair Higton & Sarah Hawkins & James Hadley
	Strategic Planning - Links to County Vision & Business Plan	Nicola Miles

<p>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits.</p> <p>(Previously Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area)</p> <p>The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.</p>	<p>Defining outcomes</p>	<p>Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions</p>	<p>MTFP Cumulative Impact Assessments produced to support budget setting decisions.</p>	<p>Jason Vaughan Tom Rutland Victoria Hill</p>
			<p>Equalities Objectives</p>	<p>Tom Rutland Michele Anderson</p>
		<p>Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer</p>	<p>SLT Scorecards</p>	<p>Nicola Miles</p>
			<p>Performance Report</p>	<p>Nicola Miles</p>
		<p>Delivering defined outcomes on a sustainable basis within the resources that will be available</p>	<p>Transformation Priorities Assurance Reporting LGR Programme Reporting</p>	<p>Alastair Higton & Sarah Hawkins</p>
			<p>MTFP Strategy</p>	<p>Jason Vaughan & Donna Parham</p>
			<p>Financial Reports including monthly revenue budget reports to Cabinet</p>	<p>Jason Vaughan</p>
			<p>Strategic Risk Management Strategy</p>	<p>Pam Pursley</p>
			<p>JCAD Core Risk</p>	<p>Pam Pursley</p>
		<p>Identifying and managing risks to the achievement of outcomes</p>	<p>Strategic Risk Management Group, regular review, updating and reporting of strategic risks to SLT and Audit Committee</p>	<p>Jason Vaughan Ben Bryant</p>

			MTFP financial tracker	Jason Vaughan & Donna Parham
			Transformational and Financial Risks are both included in JCAD, the councils Risk management system. All risks reviewed at least monthly.	Alastair Higton Sarah Hawkins Jason Vaughan Donna Parham
			SCC Business Plan Commissioning Intentions through commissioning / service plans Evidence through the Commissioning Gateway Co-production Guidance	Jan Stafford Sam Mills
			MTFP Priorities	Jason Vaughan
	Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available		Call Centre stats/ complaints handling	Jan Stafford
			SWB decisions on Recycle More and alternatives to landfill projects	Mickey Green
			Capital programme	Ben Bryant
	Sustainable economic, social and environmental benefits	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	One Public Estate programme requires consideration of options for shared use and efficiency savings across the public estate.	Oliver Woodhams

		Economic Development Projects (SEIC , innovation centres)	Sarah Rose
		Constitution sets decision making requirements	Scott Wooldridge
		officer reports and decision making templates and guidance	Scott Wooldridge
	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	discussion in Cabinet / SLT meetings and pre-agenda meetings with chairs and vice-chairs.	Scott Wooldridge
		Minutes and decision records record decisions and reasons.	Scott Wooldridge
		Constitution sets decision making requirements	Scott Wooldridge
		officer reports and decision making templates and guidance	Scott Wooldridge
	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure	discussion in Cabinet / SLT meetings and pre-agenda meetings with chairs and vice-chairs.	Scott Wooldridge

		appropriate trade-offs	Minutes and decision records record decisions and reasons.	Scott Wooldridge
			Equality Impact Assessment	Scott Wooldridge Tom Rutland
			Equality Objectives & New Equality Policy	Tom Rutland
		Ensuring fair access to services	Constitution sets decision making requirements	Scott Wooldridge
			officer reports and decision making templates and guidance	Scott Wooldridge

<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p> <p>Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of</p>	<p>Determining interventions</p>	<p>Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided</p>	discussion in Cabinet / SLT meetings and pre-agenda meetings with chairs and vice-chairs.	Scott Wooldridge
			Minutes and decision records record decisions and reasons.	Scott Wooldridge
			Stakeholders feedback	Jason Vaughan
			MTFP	Jason Vaughan
		<p>Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources</p>	Capital	Jason Vaughan
			Service Plans	Nicola Miles
			SLT Forward PlanTransformation Programme Governance e.g. LGR Governance and associated Forward plans	Alastair Higton & Sarah Hawkins

<p>outcomes is optimised.</p> <p>Page 23</p>		available including people, skills, land and assets and bearing in mind future impacts		
	Planning interventions	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	Forwards Plans for Committees	Scott Wooldridge
			Somerset VCSE Strategic Coordination Initiative	Jeff Brown
			Strategic Risk Management Strategy	Pam Pursley

Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered

Considering and monitoring risks facing each partner when working collaboratively including shared risks

Strategic Risk Management Group, regular review, updating and reporting of strategic risks to SLT and Audit Committee

Pam Pursley
Michele Cusack (chair)

		Business Continuity Plans	Nicola Dawson
		Partnership Lifecycle Guidance	James Hadley
		Living' Service Plans?	Nicola Miles
	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances	Public Health regularly use prioritisation tool to update plans	Louise Woolway
		Directors Scorecards	Nicola Miles
		Performance Report & Stat report to DFE & DOH	Nicola Miles Tony Johnson
	Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured		
		Children's Dashboards & QPRM papers	Tony Johnson

			Performance Report	Nicola Miles
		Ensuring capacity exists to generate the information required to review service quality regularly	Scorecards	Nicola Miles
			Extensive range of on-line real-time reports for key operational services.	Tony Johnson
			Detailed performance reports presented monthly to management teams and range of other boards/meeting.	Tony Johnson

			Monthly and quarterly corporate monitoring process. Supplemented by Annual data reports and specific deep-dive exercises or ad-hoc reports as required.	Tony Johnson
			SLT reporting, tracking and follow through of escalations and action.	Alastair Higton & Sarah Hawkins
			Change Control Process	Alastair Higton & Sarah Hawkins & Jason Vaughan

Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan

Programme Business Case Process, including cost model

Alastair Highton & Sarah Hawkins

Linkages across plans

Nicola Miles

Business Plan

Jason Vaughan

Jason Vaughan
Jan Stafford
Nicola Miles

Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy

Yes, Investments etc.

Jason
Vaughan

**Optimising
achievement of
intended outcomes**

Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints

Jason
Vaughan

Ensuring the budgeting process is all-inclusive, considering the full cost of operations over the medium and longer term

Social Value in commissioning intentions.

Sam Mills

Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage

In accordance with the Contract Procedure Rules and Standing Order, social value should be considered as part of all procurements. In doing so consideration needs to be given to the MTFP in establishing the approach to evaluating the Most Economically Advantageous Tender

Claire Griffiths

Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"

The TAMP 2010 and Highways Infrastructure Asset Management Strategy (HIAMS).

Neil Guild

DfT Local Highways Infrastructure Incentive Fund Self-assessment.

Neil Guild

<p>E. Developing the entity's capacity, including the capability of its leadership and the individuals within it</p> <p>(Previously Developing the capacity and capability of members and officers to be effective)</p> <p>Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is</p>	<p>Developing the entity's capacity</p>	<p>Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness</p>	<p>Highways Commissioning Intentions document, linked to our Service Level Agreement between Highways and Transport Commissioning, and E&CI Operations.</p>	<p>Neil Guild</p>
			<p>County Wide asset rationalisation programme using Place Based Review approach. Establishment of Corporate Landlord Model steering group in advance of implementation April 2019. Individual workstreams focus on challenges and solutions.</p>	<p>Oliver Woodhams</p>
			<p>6 monthly occupancy studies of our Smart office bases and drop-ins</p>	<p>Oliver Woodhams Victoria Chipchase</p>
			<p>Regular review of children's centres and GetSet operations/strategic objectives. (Suggest changed to Regular Review of Property Assets)</p>	<p>Oliver Woodhams Victoria Chipchase</p>

strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

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	Monthly meetings with the library service to review use and opportunities	Oliver Woodhams Victoria Chipchase
	Monthly Education Infrastructure Board to ensure sufficiency of education places	Oliver Woodhams Victoria Chipchase
	Project team meetings	Oliver Woodhams Victoria Chipchase
	Project monitoring dashboard	Oliver Woodhams Victoria Chipchase
	Monthly corporate property project progress meeting	Oliver Woodhams Victoria Chipchase
	Attendance at monthly infrastructure and programme boards	Oliver Woodhams Victoria Chipchase
	Benchmarking Groups (Corporate and Service) Childrens Services Benchmarking Group	Penny Johnson
	Waste	Mickey Green
Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently	Health and Wellbeing Board	Lou Woolway
Recognising the benefits of partnerships and	Somerset Intelligence Partnership	Adrian Lee

		collaborative working where added value can be achieved	Key Partners Register	Nicola Miles
			Partnership Lifecycle Guidance	Nicola Miles
			Our People Strategy	Chris Squire
			Service Plan	Chris Squire
		Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	Establishment Control & Workforce Analytics	Chris Squire
			Workforce Planning Toolkit.	Chris Squire
			Service Areas responsible for generating own workforce plans with HR and OD providing support materials.	Chris Squire
			Constitution includes Member / Officer Protocol and role descriptions for members	Scott Wooldridge
			regular Cabinet / SLT meetings	Scott Wooldridge
		Developing the capability of the entity's leadership and other individuals	Officer's JD's	Chris Squire
			Constitution includes high level Council and Cabinet Scheme of Delegation	Scott Wooldridge

	on in the relationship and that a shared understanding of roles and objectives is maintained	Standing Orders and Financial Regulations - reviewed at least annually by Full Council and in the interim by Constitution Committee	Scott Wooldridge
	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	Constitution sets out legal roles of Leader and CEO and relationship management in the Member / Officer Protocol	Scott Wooldridge
		Member induction programme following election	Scott Wooldridge
	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority	annual member training programme	Scott Wooldridge
	Developing the capabilities of members and senior management to achieve	PDPs for members	Scott Wooldridge

<p>effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:– ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged – ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis– ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external</p>	cross party Member Development Panel has oversight role of member training and support	Scott Wooldridge
	Officer Training:	Chris Squire
	Development of widely accessible learning and information	Chris Squire
	Full records of all officer corporate central training available.	Chris Squire/Clive Mallon
	Workforce planning identifies succession planning matters	Chris Squire
	Constitution sets out the public rights to engage	Scott Wooldridge
	including access to reports, agendas, minutes, meetings, public question time provisions at formal meetings.	Scott Wooldridge
Ensuring that there are structures in place to encourage public participation	No provision for reviewing individual member performance.	Scott Wooldridge

			peer review / service inspection reports are formally considered and acted upon as appropriate	Pat Flaherty Nicola Miles?
		Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	SLT 1-2-1's with CEO	Pat Flaherty
			Coaching opportunities	Chris Squire
			Generate a picture and record of learning needs and requisite training and action taken	Chris Squire/Clive Mallon
			H&W Champions	Chris Squire
		Holding staff to account through regular performance reviews which take account of training or development needs	Mental Health First Aiders	Chris Squire
		Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	Mindfulness	Chris Squire
			Carefirst & EAP	Chris Squire
			Rapid Access to Physio	Chris Squire
			Occ Health	Chris Squire
			New Workforce Analytics / Dashboards	Chris Squire
			Policy exists	Jason Vaughan
			RM Strategy	Jason Vaughan

<p>F. Managing risks and performance through robust internal control and strong public financial management.</p> <p>(Previously Taking informed decisions which are subject to effective scrutiny and managing risk)</p> <p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability. It is also essential that a culture and structure for scrutiny is in place as a key part</p>	Managing risk	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	Yes - via SLT and Audit Committee	Jason Vaughan
			SCC Risk Strategic Risk Management Strategy	Pam Pursley
		Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	JCAD	Pam Pursley
			Service Plans Analysis	Nicola Miles
		Ensuring that responsibilities for managing individual risks are clearly allocated	Performance Report (especially Appendix A1)	Pam Pursley
	Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	Performance Management Framework and Learning Centre Module?	Nicola Miles
			Constitution sets decision making requirements	Scott Wooldridge
			officer reports and decision making templates and guidance, discussion in Cabinet / SLT meetings and pre-agenda meetings with chairs and vice-chairs.	Scott Wooldridge

of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

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Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	Minutes and decision records record decisions and reasons.	Scott Wooldridge
	Programme Business Case process	Alastair Higon & Sarah Hawkins & Sam Mills
	Quarterly Transformation and Improvement update to Cabinet as part of Finance Report	Alastair Higon & Sarah Hawkins
	SCC Lessons Learned Portal	Alastair Higon & Sarah Hawkins
	Change Control Process	Alastair Higon & Sarah Hawkins & Jason Vaughan
	Role of scrutiny / terms of reference detailed in the Constitution / reviewed at least annually.	Scott Wooldridge
	Scrutiny Review and Improvements	Scott Wooldridge
Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives	Agendas and minutes published	Scott Wooldridge
	members trained	Scott Wooldridge

<p>before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible(OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making</p>	Scorecards & deadlines	Nicola Miles
	Performance Report & Timetable	Nicola Miles
	Budget Reports	Jason Vaughan
	Budget Monitoring Assumption is that this refers to the bases of accounting for in-year budgeting and Statement of Accounts. Agenda item 10 of link shows the forecasting forward to year end. Budget monitoring is done on the same accounting bases as SoA. Guidance and co-ordination through Corporate Finance in both cases.	Jason Vaughan
	Risk Management Policy and Strategy in place	Jason Vaughan

	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements)	strategic risk management group	Jason Vaughan
Robust internal control	Aligning the risk management strategy and policies on internal control with achieving the objectives	regular strategic risk reports to SLT and Audit Committee	Jason Vaughan
		risk reports part of the performance management reporting arrangements	Jason Vaughan
		Risk Management Policy and Strategy in place	Jason Vaughan
		strategic risk management group	Jason Vaughan
	Evaluating and monitoring the authority's risk management and internal control on a regular basis	regular strategic risk reports to SLT and Audit Committee	Jason Vaughan
		risk reports part of the performance management reporting arrangements	Jason Vaughan
		National Fraud Initiative	Sarah Skinner

	CIPFA - Fighting Fraud and Corruption Locally	
Ensuring effective counter fraud and anti-corruption arrangements are in place	PPP	
	SWAP	
	Police	
	Healthy Organisation Report - Healthy Organisation looks at key areas within SCC governance, and will form a key source document in setting up the next Internal Audit Plan.	Scott Wooldridge and Jason Vaughan
	Audit Committee in place under the Constitution and meeting regularly in accordance with best practice.	Scott Wooldridge
Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	Terms of reference set out in the Constitution and regular training provided to members.	Scott Wooldridge
Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body:– provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment – that	The Information Governance Board	Rebecca Martin
	The Information Governance Manager	Rebecca Martin

	its recommendations are listened to and acted upon		
Managing data	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	Framework of Information Governance Policy	Rebecca Martin
		The NHS toolkit has been completed and submitted electronically	Rebecca Martin
		Staff receive induction and refresher training.	Rebecca Martin
		Sharing Protocols	Rebecca Martin
		Sharing Agreements	Rebecca Martin
	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	Contracts include relevant data protection, confidentiality and FOI clauses.	Rebecca Martin
		Regular audit procedures against data to ensure accuracy	Jan Stafford
		Validation procedures to ensure data quality	Jan Stafford
	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance	Rectify data quality issues. - Data Strategy	Tony Johnson

		monitoring	Resilience Report	Jason Vaughan
			Grant Thornton Reports	Jason Vaughan
	Strong public financial management	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	SLT business report	Jason Vaughan
			Finance reports to Audit Committee	Jason Vaughan
		Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	Budget Monitoring reports	Jason Vaughan
			Performance Report	Nicola Miles
			Agreements with Gov Board around level of publication and frequency	Nicola Miles

<p>G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.</p> <p>Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.</p>	Implementing good practice in transparency	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	You Said, We Did	Jan Stafford
		Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	Leader's Report	James Hadley
	Implementing good practices in reporting	Reporting at least annually on performance, value for money and the stewardship of its resources	financial statements	Jason Vaughan
			Narrative Report	Jason Vaughan
			Comprehensive Income and Expenditure Account	James Hadley
			Accountability in Service Plans and Scorecards	Scott Wooldridge &
			AGS Action Plan	

			Jason Vaughan
	Ensuring members and senior management own the results	As above re AGS. There are also references to working jointly in Financial Regulations and Financial Procedures (see link and Section E in both cases)	Jason Vaughan
		1. Performance Reports 2. SLT Business Meeting Agenda (PMO)	1. Nicola Miles 2. Sarah Hawkins
	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	Internal Audit Opinion	Alastair Woodland

			Internal Audit Charter and review of SWAP in light of PSIAS. Process for Audit Committee dealing with Partial assurance audits and use of JCAD to track.	Alastair Woodland
		Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations	See above re Charter and review of SWAP and Partial. Note regular agenda items to Audit Committee (quarterly) entitled Internal Audit update	Alastair Woodland
	Assurance and effective accountability	Ensuring that recommendations for corrective action made by external audit are acted upon	Ofsted	Tony Johnson

	Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon	Peer Review	Nicola Miles
	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	QPRM	Tony Johnson
		PIMS	Tony Johnson
	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	Risk Register	Pam Pursley
	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met	Checklist	Jan Stafford

SECTION 4 HOW CORPORATE Governance IS REVIEWED

1. The Leader of the Council and Chief Executive are required to ensure that each year a review is undertaken to measure the extent to which the Council has met the requirements of this Code as part of the providing assurance for the Annual Governance Statement.
2. The review is undertaken by the Governance Board and reported to the Council and the Senior Leadership Team.
3. Where the review reveals possible gaps or weaknesses, action is agreed to ensure effective governance in future. Agreed action is monitored for implementation.
4. Where necessary, this Code will be amended because of the annual review, changes in best practice or statutory changes. Minor amendments to wording, titles and to details of 'what is in place' to support the principles may be approved by the Director of Finance and Monitoring Officer but any substantive changes to the Code and the principles will require Senior Leadership Team endorsement.
5. This code will be renewed no later than 31 March 2022

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