



**Somerset County Council  
Corporate Governance Code  
2020-2021**

# 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 included in the Council’s constitution and therefore applies to all members and employees of the Council and also to any individuals or bodies authorised to act on its behalf.
4. How the effectiveness of the Code 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.

Approvals	
Approved by Cabinet & SLT	May 2020

**Lead Officers:**

**Scott Wooldridge, Monitoring Officer**

**Jason Vaughan, Director of Finance**

Version Control		
Key Changes (such as for changes in legislation and reporting arrangements)	Agreed By/date	Issue Date
Minor Changes to reflect: •		
<b>To be renewed no later than 31 March 2022</b>		

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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 authorities<sup>1</sup> which are centred on **seven Core Principles**<sup>2</sup>, designed to underpin the governance arrangements of all public sector bodies.

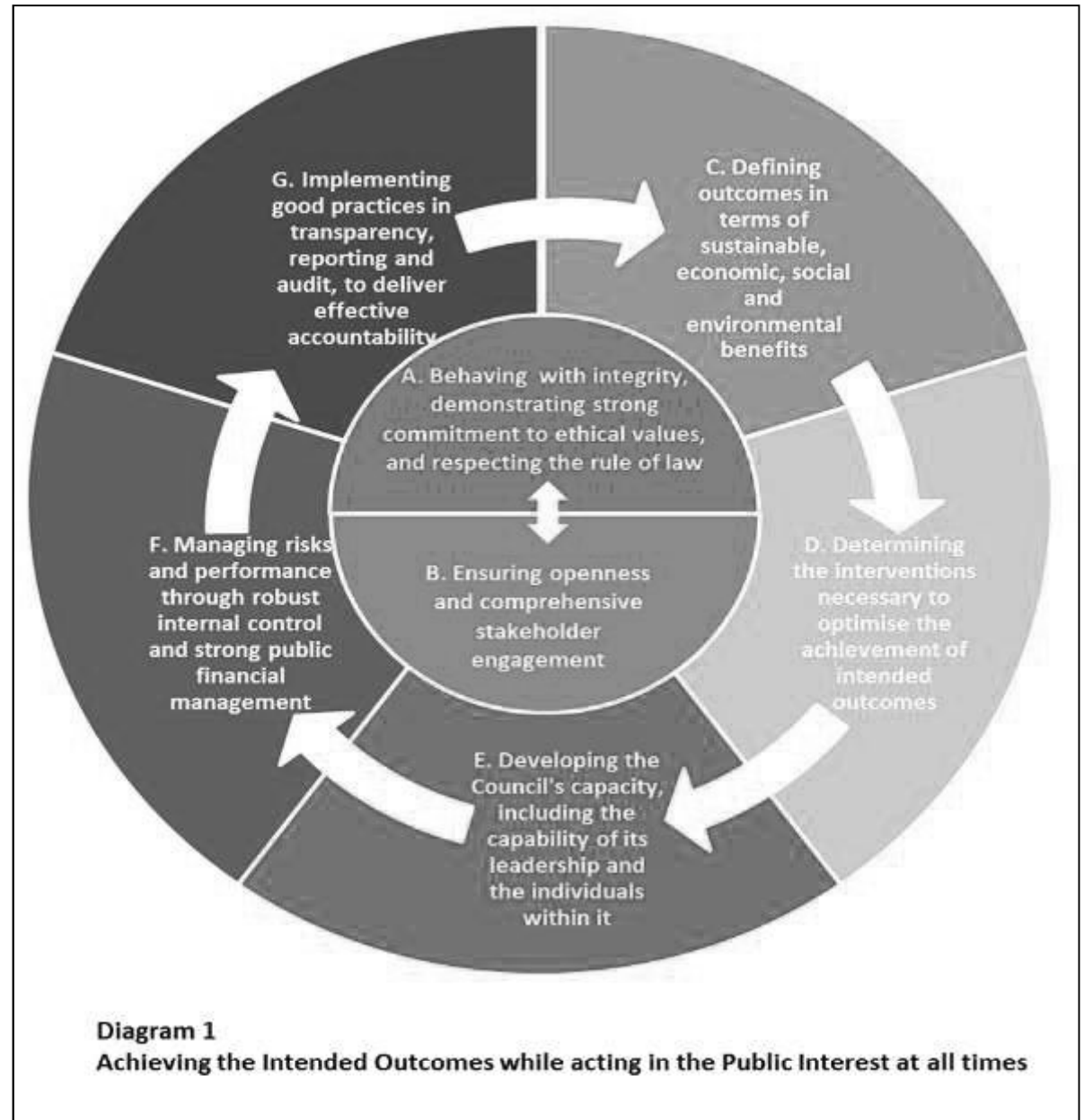
2.2 These Core Principles and how they relate with each other is illustrated in **Diagram 1**.

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.

<sup>1</sup> '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).

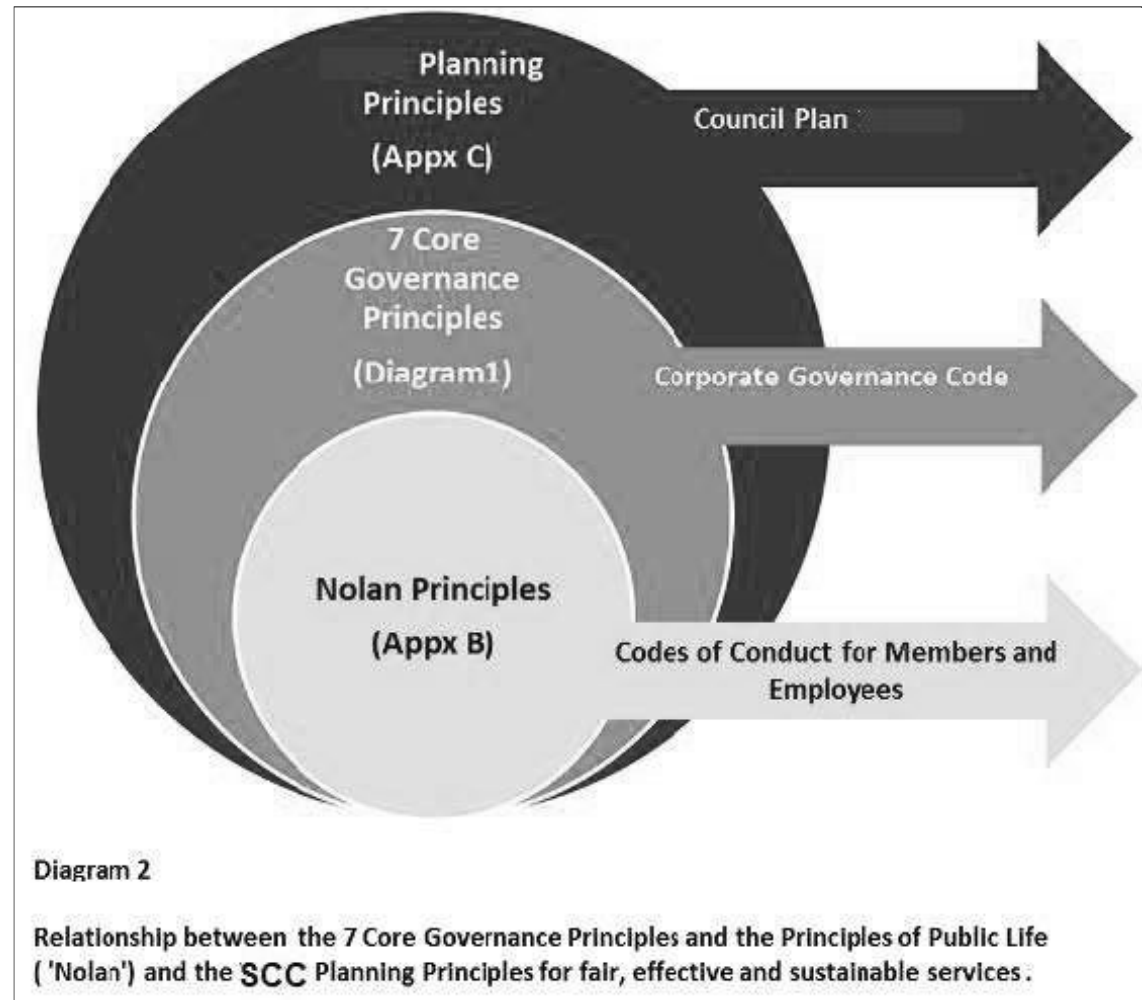
<sup>2</sup> From the International Framework: Good Governance in the Public Sector (CIPFA/International Federation of Accountants, 2014)



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')<sup>3</sup> 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**.



<sup>3</sup> 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><b>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b></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><b>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 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.</b></p>	<p><b>Behaving with integrity</b></p>	<p>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</p>	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 Awards	Chris Squire	
		Staff Performance Appraisals	Chris Squire	
		<p>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. These should build on the Seven Principles of Public Life (the Nolan Principles)</p>	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
			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

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
			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
		Leading by example and using these standard operating principles or values as a framework for decision making and other actions	Constitution content including Code of Conduct and Role Descriptions	Scott Wooldridge
			decision making requirements	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
			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	James Hadley			



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
			SCC Policies, Plans and Strategies Framework	James Hadley
			Strategic Managers Checklist.	James Hadley
			Constitution contains guidance on decision making requirements	Scott Wooldridge
	<b>Demonstrating strong commitment to ethical values</b>	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	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 Awards	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.
		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	
		<ul style="list-style-type: none"> <li>◆Social Value Policy and Guidance - compliance evidenced through the Commissioning Gateway submissions.</li> <li>◆Market Position Statements (Adults / Children's and high level.</li> <li>◆Protocols to work in partnership and joint commissioning boards / agreements.</li> <li>◆Grant applications and agreement notices</li> <li>◆Contract Standing Orders</li> </ul>	Claire Griffiths, Alastair Higon & Sarah Hawkins	

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
		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	Constitution sets out legal requirements around decision making and other constitutional arrangements, report templates and guidance available on Intranet	Scott Wooldridge
	<b>Respecting the rule of law</b>	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 their responsibilities in accordance with legislative and regulatory requirements	Democratic Services support to members and committees.	Scott Wooldridge
			Member / Officer Protocol.	Scott Wooldridge
			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
		Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	Decision reports include a requirement for officers to detail legal implications.	Honor Clarke
			Recorded advice to Social Workers	Honor Clarke
			Constitution sets the framework, decision reports include a requirement for officers to detail legal implications. Decision report templates and guidance for completion.	Scott Wooldridge 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	James Hadley
Ensuring corruption and misuse of power are dealt with effectively	Local Government Transparency Act publications	James Hadley		

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<p><b>B. Ensuring openness and comprehensive stakeholder engagement</b></p> <p>(Previously Engaging with local people and other stakeholders to ensure robust public accountability)</p> <p><b>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.</b></p>	<p><b>Openness</b></p>	<p>Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness</p>	<p>Open Communications &amp; Press Releases</p>	<p>Jan Stafford</p>
		<p>Constitution details the Access to Information requirements in relation to agendas, meetings, reports minutes and decision records.</p>	<p>Scott Wooldridge</p>	
		<p>Decision and report templates meet Access to Information requirements as do decision records, summaries of decisions, summaries of outcomes and minutes.</p>	<p>Scott Wooldridge</p>	
		<p>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</p>	<p>Democratic Services Website</p>	<p>Scott Wooldridge</p>
		<p>Constitution details the Access to Information requirements in relation to agendas, meetings, reports minutes and decision records.</p>	<p>Scott Wooldridge</p>	
		<p>Decision and report guidance and templates meet Access to Information requirements as do decision records, summaries of decisions, summaries of outcomes and minutes.</p>	<p>Scott Wooldridge</p>	
		<p>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</p>	<p>Officer reports provide all necessary information for the decision makers.</p>	<p>Scott Wooldridge</p>
		<p>Cabinet forward plan of business published on the website meets Access to Information requirements.</p>	<p>Scott Wooldridge</p>	
		<p>Consultation Website</p>	<p>Nitin Sharma</p>	
		<p>Tracker Survey</p>	<p>Nitin Sharma</p>	
		<p>Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action</p>	<p>Consultation Resources</p>	<p>Nitin Sharma</p>
		<p>Somerset VCSE Strategic Coordination Initiative</p>	<p>Jeff Brown</p>	

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			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	James Hadley
	<b>Engaging comprehensively with institutional stakeholders</b>	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	James Hadley
			Health and Wellbeing Board - Health and Wellbeing Board Constitution	James Hadley
		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
		Ensuring that partnerships are based on:– trust – a shared commitment to change– a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit	Cabinet Papers	Nitin Sharma
	Website & Comms		Jan Stafford	
	<b>Engaging stakeholders effectively, including individual citizens and service users</b>	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 is contributing towards the achievement of intended outcomes.	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
			VCSE Strategic Forum	Jeff Brown
		Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community	Joint strategic needs assessment	Pip Tucker
		All JSNA reports contain case studies and the outcome of consultation with specific population groups	Pip Tucker	

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
		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 Service	Kat Brooklyn
			Consultation section of decision papers.	Nitin Sharma
			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
			Consultation section of decision papers	Nitin Sharma
		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	Nitin Sharma
			Early Years and School Place Planning Infrastructure Growth Plan	Elizabeth Smith
			Joint strategic needs assessment	Pip Tucker
		Taking account of the interests of future generations of tax payers and service users	JSNA 2015 includes findings from focus groups with young people in rural Somerset	Pip Tucker
			Medium Term Financial Plan 2021-2022	Jason Vaughan
			IMD (update expected this summer 2019)	Adrian Lee
			Somerset Intelligence website	Adrian Lee
			JSNA 2017 process had service user engagement exercise	Pip Tucker
			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	Alastair Higton & Sarah Hawkins & James Hadley			
Strategic Planning - Links to County Vision & Business Plan	James Hadley			

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><b>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits.</b></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><b>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.</b></p>	<p><b>Defining outcomes</b></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</p> <p>Specifying the intended impact on, or changes for, stakeholders including citizens and service</p> <p>Delivering defined outcomes on a sustainable basis within the resources that will be available</p>	<p>MTFP Cumulative Impact Assessments produced to support budget setting decisions.</p> <p>Equalities Objectives</p> <p>SLT Scorecards</p> <p>Performance Report</p> <p>Transformation Priorities Assurance Reporting</p> <p>MTFP Strategy</p> <p>Financial Reports including monthly revenue budget reports to Cabinet</p> <p>Strategic Risk Management Strategy</p> <p>JCAD</p>	<p>Jason Vaughan, Tom Rutland, Nitin Sharma</p> <p>Tom Rutland</p> <p>James Hadley</p> <p>James Hadley</p> <p>Alastair Higton &amp; Sarah Hawkins</p> <p>Jason Vaughan &amp; Donna Parham</p> <p>Jason Vaughan</p> <p>Scott Wooldridge</p> <p>Scott Wooldridge</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>MTFP financial tracker</p> <p>Transformational and Financial Risks are both included in JCAD, the councils Risk management system. All risks regularly at least monthly.</p> <p>SCC Business Plan</p> <p>Commissioning Intentions through commissioning / service plans</p> <p>Evidence through the Commissioning Gateway</p> <p>Co-production Guidance</p>	<p>Jason Vaughan</p> <p>Jason Vaughan &amp; Donna Parham</p> <p>Alastair Higton &amp; Sarah Hawkins &amp; Jason Vaughan &amp; Donna Parham</p> <p>Jan Stafford &amp; James Hadley &amp; Sam Mills</p>
		<p>Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available</p>	<p>MTFP Priorities</p> <p>Call Centre stats/ complaints handling</p> <p>SWB decisions on Recycle More and alternatives to landfill projects</p> <p>Capital programme</p>	<p>Jason Vaughan</p> <p>Jan Stafford</p> <p>Mickey Green</p> <p>Ben Bryant</p>



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	<b>Sustainable economic, social and environmental benefits</b>	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 appropriate trade-offs	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
			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

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<p><b>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</b></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 outcomes is optimised.</p>	<p><b>Determining interventions</b></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>	<p>discussion in Cabinet / SLT meetings and pre-agenda meetings with chairs and vice-chairs.</p>	<p>Scott Wooldridge</p>
	<p>Minutes and decision records record decisions and reasons.</p>	<p>Scott Wooldridge</p>		
	<p>Stakeholders feedback</p>	<p>Jason Vaughan</p>		
	<p>MTFP</p>	<p>Jason Vaughan</p>		
	<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 available including people, skills, land and assets and bearing in mind future impacts</p>	<p>Capital</p>	<p>Jason Vaughan</p>	
	<p>Service Plans</p>	<p>James Hadley</p>		
	<p>Programme Governance Timetable and SLT Forward Plan</p>	<p>Alastair Higton &amp; Sarah Hawkins</p>		
	<p><b>Planning interventions</b></p>	<p>Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</p>	<p>Forwards Plans for Committees</p>	<p>Scott Wooldridge</p>
	<p>Somerset VCSE Strategic Coordination Initiative</p>	<p>Jeff Brown</p>		
	<p>Strategic Risk Management Strategy</p>	<p>Jason Vaughan</p>		
	<p>Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</p>	<p>JCAD</p>	<p>Jason Vaughan</p>	
	<p>Considering and monitoring risks facing each partner when working collaboratively including shared risks</p>	<p>Strategic Risk Management Group, regular review, updating and reporting of strategic risks to SLT and Audit Committee</p>	<p>Jason Vaughan</p>	
	<p>Business Continuity Plans</p>	<p>Nicola Dawson</p>		
	<p>Partnership Lifecycle Guidance</p>	<p>James Hadley</p>		
<p>10 Point Plan</p>	<p>Sarah Hawkins</p>			
<p>Living' Service Plans?</p>	<p>James Hadley</p>			



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		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	James Hadley	
		Performance Report & Stat report to <b>DFE &amp; DOH</b>	James Hadley	
		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	James Hadley	
		Ensuring capacity exists to generate the information required to review service quality regularly	Scorecards	James Hadley
		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 Higon & Sarah Hawkins	
		Change Control Process	Alastair Higon & Sarah Hawkins	
		Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan	Programme Business Case Process, including cost model	Alastair Higon & Sarah Hawkins & Sam Mills
		Linkages across plans	James Hadley	
		Jason Vaughan		
Business Plan	Jason Vaughan & Jan Stafford & James Hadley			
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		
<b>Optimising achievement of intended outcomes</b>	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, taking into account the full cost of operations over the medium and longer term	Social Value in commissioning intentions.	Sam Mills		

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		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.	Highways Infrastructure Asset Management Strategy (HIAMS).	David Jones
		The Public Services (Social Value) Act 2012	DfT Local Highways Infrastructure Incentive Fund Self-assessment.	Neil Guild

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<p><b>E. Developing the entity's capacity, including the capability of its leadership and the individuals within it</b></p> <p>(Previously Developing the capacity and capability of members and officers to be effective)</p> <p><b>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 strengthened by the participation of people with many different types</b></p>	<p><b>Developing the entity's capacity</b></p>	<p>Reviewing operations, performance use of <b>assets</b> on a regular basis to ensure their continuing effectiveness</p>	Highways Commissioning Intentions document, linked to our Service Level Agreement between Highways and Transport Commissioning, and E&CI Operations.	David Jones
		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.	Oliver Woodhams	
		6 monthly occupancy studies of our Smart office bases and drop-ins	Oliver Woodhams	
		Regular review of children's centres and GetSet operations/strategic objectives	Oliver Woodhams	
		Monthly meetings with the library service to review use and opportunities	Oliver Woodhams	
		Monthly Education Infrastructure Board to ensure sufficiency of education places	Oliver Woodhams	
		Project team meetings	Oliver Woodhams	
		Project monitoring dashboard	Oliver Woodhams	
		Monthly corporate property project progress meeting	Oliver Woodhams	
		Attendance at monthly infrastructure and programme boards	Oliver Woodhams	
		Benchmarking Groups (Corporate and Service)	James Hadley	
		Childrens Services Benchmarking Group	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	James Hadley
		Recognising the benefits of partnerships and collaborative working where added value can be achieved	Somerset Intelligence Partnership	Adrian Lee
			Key Partners Register	James Hadley
			Partnership Lifecycle Guidance	James Hadley
			Our People Strategy	Chris Squire
		Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	Service Plan	Chris Squire
			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			

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of backgrounds, reflecting the structure and diversity of communities.	Developing the capability of the entity's leadership and other individuals		regular Cabinet / SLT meetings	Scott Wooldridge
		Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	Officer's JD's Constitution includes high level Council and Cabinet Scheme of Delegation	Chris Squire 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	Standing Orders and Financial Regulations - reviewed at least annually by Full Council and in the interim by Constitution Committee Constitution sets out legal roles of Leader and CEO and relationship management in the Member / Officer Protocol Member induction programme following election	Scott Wooldridge 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 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 –	PDPs for members cross party Member Development Panel has oversight role of member training and support Officer Training: Development of widely accessible learning and information Full records of all officer corporate central training available. Workforce planning identifies succession planning matters Constitution sets out the public rights to engage	Scott Wooldridge Scott Wooldridge Chris Squire Chris Squire Chris Squire Chris Squire Scott Wooldridge
		Ensuring that there are structures in place to encourage public participation	including access to reports, agendas, minutes, meetings, public question time provisions at formal meetings. No provision for reviewing individual member performance. peer review / service inspection reports are formally considered and acted upon as appropriate	Scott Wooldridge Pat Flaherty
		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 Pat Coaching opportunities Generate a picture and record of learning needs and requisite training and action taken H&W Champions	Pat Flaherty Chris Squire Chris Squire 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	Mindfulness Carefirst & EAP	Chris Squire Chris Squire

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		physical and mental wellbeing	Rapid Access to Physio	Chris Squire
			Occ Health	Chris Squire
			New Workforce Analytics / Dashboards	Chris Squire
			Policy exists	Jason Vaughan
			RM Strategy	Jason Vaughan

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<b>F. Managing risks and performance through robust internal control and strong public financial management.</b>  (Previously Taking informed decisions which are subject to effective scrutiny and managing risk)  <b>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 of accountable decision making.</b>	<b>Managing risk</b>	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 SCC Risk Strategic Risk Management Strategy	Jason Vaughan Pam Pursley
		Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	JCAD Service Plans Analysis	Scott Wooldridge James Hadley
		Ensuring that responsibilities for managing individual risks are clearly allocated	Performance Report (especially Appendix A1)	James Hadley
		<b>Managing performance</b>	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	Performance Management Framework and Learning Centre Module? Constitution sets decision making requirements
	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		officer reports and decision making templates and guidance, 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
			Programme Business Case process	Alastair Higton & Sarah Hawkins & Sam Mills
			Quarterly Transformation and Improvement update to Cabinet, alongside Finance Report	Alastair Higton & Sarah Hawkins
			SCC Lessons Learned Portal	Alastair Higton & Sarah Hawkins
			Change Control Process	Alastair Higton & Sarah Hawkins & Jason Vaughan
			Role of scrutiny / terms of reference detailed in the Constitution / reviewed at least annually.	Scott Wooldridge
	Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any		Scrutiny Review and Improvements	Scott Wooldridge
			Agendas and minutes published	Scott Wooldridge
		members trained	Scott Wooldridge	
Scorecards & deadlines		James Hadley		
Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	Performance Report & Timetable	James Hadley		
	Budget Reports	Jason Vaughan		
	Budget Monitoring	Jason Vaughan		
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.	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	



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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.	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. (also need our response to the report)	Scott Wooldridge and Jason Vaughan
	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	Audit Committee in place under the Constitution and meeting regularly in accordance with best practice.	Scott Wooldridge	
		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	The Information Governance Board	Rebecca Martin	
		The Information Governance Manager	Rebecca Martin	
	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	
Contracts include relevant data protection, confidentiality and FOI clauses.			Rebecca Martin	
Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies		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 monitoring	Rectify data quality issues. - Data Strategy	Tony Johnson		
	Resilience Report	Jason Vaughan		
	Grant Thornton Reports	Jason Vaughan		
Strong public	Ensuring financial management supports both	SLT business report	Jason Vaughan	

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	<b>financial management</b>	long term achievement of outcomes and short-term financial and operational performance	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	James Hadley
			Agreements with Gov Board around level of publication and frequency	James Hadley



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<p><b>G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.</b></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>	<p><b>Implementing good practice in transparency</b></p>	<p>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</p>	<p>You Said, We Did</p>	<p>Jan Stafford</p>
		<p>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</p>	<p>Leader's Report</p>	<p>James Hadley</p>
	<p><b>Implementing good practices in reporting</b></p>	<p>Reporting at least annually on performance, value for money and the stewardship of its resources</p>	<p>financial statements Narrative Report</p>	<p>Jason Vaughan</p>
			<p>Comprehensive Income and Expenditure Account</p>	<p>Jason Vaughan</p>
			<p>Accountability in Service Plans and Scorecards</p>	<p>James Hadley</p>
			<p>AGS Action Plan</p>	<p>Scott Wooldridge &amp; Jason Vaughan</p>
		<p>Ensuring members and senior management own the results</p>	<p>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)</p>	<p>Jason Vaughan</p>
		<p>Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)</p>	<p>Performance Reports &amp; SLT Business Meeting Agenda</p>	<p>James Hadley</p>
		<p>Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate</p>	<p>Internal Audit Opinion</p>	<p>Lisa Fryer</p>
			<p>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.</p>	<p>Lisa Fryer</p>
<p>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</p>	<p>See above re Charter and review of SWAP and Partials. Note regular agenda items to Audit Committee (quarterly) entitled Internal Audit update</p>	<p>Lisa Fryer</p>		

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	<b>Assurance and effective accountability</b>	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	James Hadley
		Welcoming peer challenge, reviews and inspections from regulatory bodies and	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