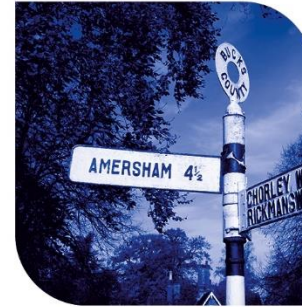




Buckinghamshire Council Code of Governance September 2023



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CODE OF GOVERNANCE

Introduction

This is **Buckinghamshire Council's Code of Governance**. It sets out the Council's governance framework, taking the seven Principles of Good Governance and giving evidence as to how the Council meets each one.

The Code is a companion to the Council's Annual Governance Statement.

- The Code *illustrates* the Council's governance
- The Annual Governance Statement *reviews the effectiveness* of that governance in any given year.

1. What is governance?

Governance means: the values, culture, processes and systems by which the Council is controlled, directed and through which we deliver services for our communities. Governance means carrying out our activities in accordance with the law and proper standards; and that public money is used well and properly accounted.

2. The Seven Principles of Good Governance

The *Delivering Good Governance in Local Government Framework* was published by CIPFA (the Chartered Institute of Public Finance and Accountancy) in 2016. The Framework sets out **seven key principles** against which authorities can demonstrate how they comply.

The Principles are:

- A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law;
- B. Ensuring openness and comprehensive stakeholder engagement;
- C. Defining outcomes in terms of sustainable economic, social, and environmental benefits;
- D. Determining the interventions necessary to optimise the achievement of the intended outcomes;
- E. Developing the Council's capacity, including the capability of its leadership and the individuals within it;
- F. Managing risks and performance through robust internal control and strong public financial management; and
- G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

Sub-principles give more detail about the levels of governance expected. The Code of Governance sets out:

- the **principles** in the first two columns of the Table – as expressions of the Council’s commitment to good governance
- our **supporting evidence** in the right-hand column of the Table – showing how we meet the principles.

3. Overview of governance

Councillors and decision making

Buckinghamshire Council has **147 councillors**, three for each of the 49 wards. These councillors are from different political parties and have different roles in the **decision-making process**. All councillors agree to follow the member code of conduct and the rules for making decisions set out in [our Constitution](#).

The Council’s budget and policy framework is approved by **Council**. The **Cabinet**, led by the Leader of the Council takes all key decisions to implement the framework. **Select Committees** have an important role in holding the Cabinet to account and in developing or reviewing policy. The Council also has a series of **committees** which take decisions on particular functions such as planning, licensing, audit and governance, and standards. Sixteen **community boards** bring the council, groups, organisations and local people together to look at local issues and find ways of improving them together.

Partnership Working

The Council works proactively with **local partners**. Most of our public sector partners work across the same geography and serve the same population. This provides great opportunities to join up and improve services. We are committed to partnership working, focusing on shared priorities, and encouraging collaboration, sharing intelligence, and driving change and tackling key issues in a more coordinated way. Examples of key partnerships include:

- | | |
|---|--|
| <ul style="list-style-type: none">• Buckinghamshire Growth Board• Local Enterprise Partnership• Integrated Care Partnership and health partners• Town and Parish Councils, our local MPs, unparished area of High Wycombe• Buckinghamshire Cultural Partnership | <ul style="list-style-type: none">• Our Armed Services through our Armed Services Covenant• Schools, colleges, universities and lifelong learning• Police, fire and rescue• Housing providers• Natural Environment Partnership |
|---|--|

Senior Leadership Team

The ***Council's Corporate Management Team*** comprises the Chief Executive and her directors. The Team implements the policy and budgetary framework set by the Council and provides advice to Cabinet and the Council on the development of future policy and budgetary issues.

Statutory Officers and Internal Control

The Council's governance is supported and guided by statutory officers:

- the Head of Paid Service (our Chief Executive) - responsible for directing the council's resources
- the Monitoring Officer – responsible for the lawfulness and fairness of the council's decision making
- the Chief Finance Officer, responsible for ensuring the council conducts its financial affairs properly
- the Chief Internal Auditor also has an important role in overseeing the Council's internal control arrangements.

This Code shows how the Council delivers good governance in practice. We have shown the evidence under each of the Seven Principles of Good Governance.

It is approved annually by the Audit & Governance Committee. Next Review Date: September 2024

Principle 1 – Officers and Councillors behave with integrity and that the Council demonstrates a strong commitment to ethical values

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
Behaving with integrity	1.1.1 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>The Corporate Plan The Council's Values:</p> <ul style="list-style-type: none"> - Proud (showing care, setting high standards) - Ambitious (confident in our ability to meet challenges) - Collaborative (working with partners, making connections) - Trustworthy (accountable, behaving professionally) <p>Our Leaders' behaviours ('LEADER'):</p> <ul style="list-style-type: none"> - Lead, Emotionally Intelligent, Authentic, Drive Performance, Encourage development, Role model - Council's Senior Leadership Team - Member Code of Conduct (Constitution Part H, 2) - Arrangements for dealing with complaints against councillors (Constitution Part H, 3) - Employee Code of Conduct (Constitution Part I, 4) - Councillor Induction Programme - Officer Induction Programme - Council complaints processes - Protocol on Member-Officer Relations (Constitution Part H, 4) - Terms of reference of committees (Constitution Part D): <ul style="list-style-type: none"> o Audit & Governance Committee o Standards & General Purposes Committee o Buckinghamshire Shareholder Committee (training for directors, conflicts of interest guidance, appointments protocol)

Principle 1 – Officers and Councillors behave with integrity and that the Council demonstrates a strong commitment to ethical values

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	<p>1.1.2 Ensuring members take the lead in establishing specific 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>	<ul style="list-style-type: none"> - Statutory Officer roles - Head of Paid Service; Chief Finance Officer; Monitoring Officer - Statutory Officers Group - monthly <ul style="list-style-type: none"> - Member Code of Conduct (Constitution Part H, 2) - Arrangements for dealing with complaints against councillors Constitution Part H, 3 - Employee Code of Conduct (Constitution Part I, 4) - Member Induction Programme - Officer Induction Programme - Council complaints processes - Protocol on Member-Officer Relations (Constitution Part H, 4) <p>Terms of reference of committees (Constitution Part D):</p> <ul style="list-style-type: none"> - Audit & Governance Committee - Standards & General Purposes Committee <p>Buckinghamshire Shareholder Committee (training for directors, conflicts of interest guidance, appointments protocol)</p>

Principle 1 – Officers and Councillors behave with integrity and that the Council demonstrates a strong commitment to ethical values

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	1.1.3 Leading by example and using the above values as a framework for decision making and other actions	Our Leaders' behaviours ('LEADER'): <ul style="list-style-type: none"> - Lead, Emotionally Intelligent, Authentic, Drive Performance, Encourage development, Role model Member Code of Conduct (Constitution Part H , 2) Employee Code of Conduct (Constitution Part I , 4)
	1.1.4 Demonstrating, communicating and embedding the values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	<ul style="list-style-type: none"> - Financial Procedure Rules (Constitution Part I, 7) - Financial Regulations - Procurement Code and Strategic Procurement Team - Supplier Management Policy - Pay Policy Statement
1.2 Demonstrating strong commitment to ethical values	1.2.1 Seeking to establish, monitor and maintain the organisation's ethical standards and performance	<ul style="list-style-type: none"> - Terms of reference (Constitution Part D): <ul style="list-style-type: none"> o Standards & General Purposes Committee - Officer and member induction - Member Code of Conduct (Constitution Part H, 2) - Arrangements for dealing complaints against councillors Constitution Part H, 3 - Employee Code of Conduct (Constitution Part I, 4)

Principle 1 – Officers and Councillors behave with integrity and that the Council demonstrates a strong commitment to ethical values

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	1.2.2 Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	<ul style="list-style-type: none"> - Member Code of Conduct (Constitution Part H, 2) - Arrangements for dealing with complaints against councillors Constitution Part H, 3 - Employee Code of Conduct (Constitution Part I, 4) - Member Induction Programme - Officer Induction Programme - Council complaints processes - Protocol on Member-Officer Relations (Constitution Part H, 4)
	1.2.3 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<ul style="list-style-type: none"> - Statutory Officer roles - Head of Paid Service; Chief Finance Officer; Monitoring Officer - Statutory Officers Group - monthly - Key governance policies: <ul style="list-style-type: none"> o Anti-Fraud & Corruption; o Complaints; o General Data Protection; o Anti-Money Laundering; and o Whistleblowing Policy o Whistleblowing Policy for Schools o Modern Slavery Statement
	1.2.4 Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation	<ul style="list-style-type: none"> - Financial Procedure Rules (Constitution Part I, 7) - Financial Regulations - Procurement Code and Strategic Procurement Team - Supplier Management Policy

Principle 1 – Officers and Councillors behave with integrity and that the Council demonstrates a strong commitment to ethical values

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
1.3 Respecting the rule of law	1.3.1 Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	<ul style="list-style-type: none"> - Member Code of Conduct (Constitution Part H, 2) - Arrangements for dealing with complaints against councillors (Constitution Part H, 3) - Employee Code of Conduct (Constitution Part I, 4) - Member Induction Programme - Officer Induction Programme - Council complaints processes - Protocol on Member-Officer Relations (Constitution Part H, 4)
	1.3.2 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	<ul style="list-style-type: none"> - Statutory Officer roles - Head of Paid Service; Chief Finance Officer; Monitoring Officer - Statutory Officers Group - monthly - Senior Leadership Team
	1.3.3 Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	<ul style="list-style-type: none"> - Senior Management Team - Report templates (legal and financial implications for all meetings of Council, Cabinet or the main committees). - Statutory Officer roles - Head of Paid Service; Chief Finance Officer; Monitoring Officer - Legal Services
	1.3.4 Dealing with breaches of legal and regulatory provisions effectively	<p>Terms of reference of committees (Constitution Part D):</p> <ul style="list-style-type: none"> - Audit & Governance Committee - Standards & General Purposes Committee

Principle 1 – Officers and Councillors behave with integrity and that the Council demonstrates a strong commitment to ethical values

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	1.3.5 Ensuring corruption and misuse of power are dealt with effectively	<ul style="list-style-type: none"> - Member-Officer Constitution Review Group (including chairs and deputy chairs of these committees) - Whistleblowing Policy - Whistleblowing Policy for Schools - Anti-Fraud & Corruption Policy - Business Assurance Strategy and Internal Audit Plan

Principle 2 – Ensuring that the Council’s procedures facilitate openness and comprehensive stakeholder engagement

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
2.1 Openness	2.1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation’s commitment to openness	<ul style="list-style-type: none"> - Modern.gov publication of meetings calendar, agendas, reports and minutes and - Cabinet Forward Plan - Constitutional rights of address and petition to Council, Cabinet and Committees: - Public participation (Part B) - Procedure Rules for each body (Parts C, D, E and G)
	2.1.2 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	<ul style="list-style-type: none"> - Webcasts of formal meetings (live and retained online) - Code of Data Transparency – compliance - FOI/EIR Compliance. - Constitutional rights of address and petition to Council, Cabinet and Committees: <ul style="list-style-type: none"> o Public participation (Part B) o Procedure Rules for each body (Parts C, D, E and G) o Limited use of exempt reports
	2.1.3 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	<ul style="list-style-type: none"> - Scheme of delegation for officer decisions (Constitution Part I, 2) - Recommendations in reports - based on reasoned arguments; legal/financial implications; alternative options - Work programmes for each committee, updated at each meeting

Principle 2 – Ensuring that the Council’s procedures facilitate openness and comprehensive stakeholder engagement

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	2.1.4 Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	<ul style="list-style-type: none"> - Consultation and Engagement Policy - Consultation and engagement forward plan and service leads - Outcome of public consultation and engagement activities
2.2 Engaging comprehensively with institutional stakeholders	2.2.1 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	<ul style="list-style-type: none"> - Consultation and engagement forward plan and service leads
	2.2.2 Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	<ul style="list-style-type: none"> - Buckinghamshire Growth Board - Local Enterprise Partnership - Community Boards (x 16) - Buckinghamshire, Oxfordshire and Berkshire West Integrated Care Board - Integrated Care Partnership - Voluntary, community and social enterprise (VSE) - Strategic Framework 2021/2024

Principle 2 – Ensuring that the Council’s procedures facilitate openness and comprehensive stakeholder engagement

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	<p>2.2.3 Ensuring that partnerships are based on:</p> <ul style="list-style-type: none"> – trust – a shared commitment to change – a culture that promotes and accepts challenge among partners. <p>and that the added value of partnership working is explicit</p>	<ul style="list-style-type: none"> - Strategic Partnership Boards - Safeguarding Adults Board - Safeguarding Children's Partnership - Health and Wellbeing Board - Safer Buckinghamshire Board - Safer Buckinghamshire Strategy - Thames Valley Police and Crime Panel - Children and Young People Partnership Plan - Youth Offending Service (multi-agency) - Communities and Localism Select Committee - oversight of partnerships (Constitution Part G, 1) The Council's Values ('Collaboration')
<p>2.3 Engaging with individual citizens and service users effectively</p>	<p>2.3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes</p>	<ul style="list-style-type: none"> - Outcome of public consultation and engagement activities - Customer Partnership Panel
	<p>2.3.2 Ensuring that communication methods are effective, and that members and officers are clear about their roles with regard to community engagement</p>	<ul style="list-style-type: none"> - Consultation and Engagement Team - Consultation and Engagement Policy - Consultation and engagement forward plan and service leads

Principle 2 – Ensuring that the Council’s procedures facilitate openness and comprehensive stakeholder engagement

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	2.3.3 Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	<ul style="list-style-type: none"> - Outcome of public consultation and engagement activities
	2.3.4 Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account	<ul style="list-style-type: none"> - Consultation and engagement forward plan and service leads - Outcome of public consultation and engagement activities
	2.3.5 Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	<ul style="list-style-type: none"> - Consultation and Engagement Team - Consultation and Engagement Policy
	2.3.6 Taking account of the impact of decisions on future generations of tax payers and service users	<ul style="list-style-type: none"> - Budget Planning

Principle 3 - The Council defines outcomes in terms of sustainable economic, social, and environmental benefits

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
3.1 Defining outcomes	3.1.1 Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions	<ul style="list-style-type: none"> - Corporate Plan and Corporate Plan Refresh - Medium Term Financial Plan - Service level plans - Forward Plan of all executive and key decisions - Budget Planning
	3.1.2 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	<ul style="list-style-type: none"> - Equality Policy - Equality impact assessments - Equality and environmental implications – contained in reports to meetings
	3.1.3 Delivering defined outcomes on a sustainable basis within the resources that will be available	<ul style="list-style-type: none"> - Legal, financial, environmental and equality implications – contained in reports to meetings
	3.1.4 Identifying and managing risks to the achievement of outcomes	<ul style="list-style-type: none"> - Alternative options – contained in reports to meetings - Risk management process and Risk Management Group – risks reviewed and managed
	3.1.5 Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	<ul style="list-style-type: none"> - Forward Plan of all executive and key decisions - Committee and Select Committee Forward Plans - Select Committee process - holding executive to account - Service users forums

Principle 3 - The Council defines outcomes in terms of sustainable economic, social, and environmental benefits

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
3.2 Sustainable economic, social and environmental benefits	3.2.1 Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision	<ul style="list-style-type: none"> - Corporate Plan and Corporate Plan Refresh - Medium Term Financial Plan
	3.2.2 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	<ul style="list-style-type: none"> - Corporate Plan and Corporate Plan Refresh - Medium Term Financial Plan - Risk Management Strategy - Pre-election guidance
	3.2.3 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	<ul style="list-style-type: none"> - Corporate Plan and Corporate Plan Refresh - Service level plans
	3.2.4 Ensuring fair access to services	<ul style="list-style-type: none"> - Equality Impact Assessments - Equality implications section in reports to meetings

Principle 4 - The Council determines the interventions necessary to optimise the achievement of intended outcomes

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
4.1 Determining interventions	4.1.1 Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore, ensuring best value is achieved however services are provided	<ul style="list-style-type: none"> - Format of reports and recommendations to Cabinet and other decision-makers - based on reasoned arguments; legal/financial implications; alternative options; with evidence/mitigations of risk
	4.1.2 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	<ul style="list-style-type: none"> - Consultation and Engagement Team - Consultation and Engagement Policy
4.2 Planning interventions	4.2.1 Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	<ul style="list-style-type: none"> - Reporting cycles for council and service priorities - Budget Process - Medium Term Financial Plan

Principle 4 - The Council determines the interventions necessary to optimise the achievement of intended outcomes

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	4.2.2 Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	<ul style="list-style-type: none"> - Consultation and Engagement Team - Consultation and Engagement Policy - Adults & Health Practice and Quality Board - Buckinghamshire Education Strategy 2022-2027 - Children’s Services Continuous Improvement Board - Buckinghamshire ‘Better Lives Strategy 2022-25’ - Children’s Transformation Programme and Board
	4.2.3 Considering and monitoring risks facing each partner when working collaboratively, including shared risks	<ul style="list-style-type: none"> - Risk Management Strategy - Risk Management Working Group
	4.2.4 Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances	<ul style="list-style-type: none"> - Council Resilience Group - Corporate Resilience Framework - Business Continuity Management Team - Scheduled exercises - Local Resilience Framework
	4.2.5 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	<ul style="list-style-type: none"> - Performance management framework
	4.2.6 Ensuring capacity exists to generate the information required to review service quality regularly	<ul style="list-style-type: none"> - People Plan 2020-2025
	4.2.7 Preparing budgets in accordance with objectives, strategies and the medium-term financial plan	<ul style="list-style-type: none"> - Medium Term Financial Plan

Principle 4 - The Council determines the interventions necessary to optimise the achievement of intended outcomes

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	4.2.8 Informing medium, and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	<ul style="list-style-type: none"> - Medium Term Financial Planning Process (and three-year planning cycle) - Buckinghamshire Capital & Investment Strategy 2022-23 - Finance Business Partner for each service - Directorate Budget Boards
4.3 Optimising achievement of intended outcomes	4.3.1 Ensuring the medium-term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> - Medium Term Financial Planning Process (and three-year planning cycle) - Finance Business Partner for each service - Directorate Budget Boards
	4.3.2 Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	<ul style="list-style-type: none"> - Medium Term Financial Planning Process (and three-year planning cycle) - Finance Business Partner for each service - Directorate Budget Boards
	4.3.3 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	<ul style="list-style-type: none"> - Buckinghamshire Capital & Investment Strategy 2022-23
	4.3.4 Ensuring the achievement of 'social value' through service planning and commissioning	<ul style="list-style-type: none"> - Social Value policy

Principle 5 - Developing the Council's capacity, including the capability of its leadership and the individuals within it

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
5.1 Developing the Council's capacity	5.1.1 Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness	<ul style="list-style-type: none"> - Corporate Plan and Corporate Plan Refresh quarterly KPI reports - Corporate Investment Boards (overview of capital programme). Supported by three boards: <ul style="list-style-type: none"> - Property (including Schools) - IT - Highways - Medium Term Financial Planning Process - Treasury Management Strategy - Buckinghamshire Capital & Investment Strategy 2022-23
	5.1.2 Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently	<ul style="list-style-type: none"> - Format of reports and recommendations to Cabinet and other decision-makers - based on reasoned arguments; benchmarking as appropriate; legal/financial implications; alternative options; with evidence/mitigations of risk
	5.1.3 Recognising the benefits of partnerships and collaborative working where added value can be achieved	Corporate Plan: Moving forward together: valuing partnerships

Principle 5 - Developing the Council's capacity, including the capability of its leadership and the individuals within it		
Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	5.1.4 Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	<ul style="list-style-type: none"> - People Plan 2020-2025 - Leadership development programme - Performance management arrangements - Staff development programme - Member Induction Programme - Officer Induction Programme
5.2 Developing the capability of the entity's leadership and other individuals	5.2.1 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	<ul style="list-style-type: none"> - Constitution - Scheme of Delegation - Councillor-officer protocol - Senior Leadership Team
	5.2.2 Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	<ul style="list-style-type: none"> - Constitution - Scheme of Delegation
	5.2.3 Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads 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	<ul style="list-style-type: none"> - Constitution - Scheme of Delegation

	<p>5.2.4 Developing the capabilities of members and senior management to achieve effective 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:</p> <ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> - Leadership development programme - Performance management arrangements - Staff development programme - Member Induction Programme - Officer Induction Programme - Coaching for Performance - Continuing Professional Development - Coaching pool - Upskilling apprenticeships
	<p>5.2.5 Ensuring that there are structures in place to encourage public participation</p>	<ul style="list-style-type: none"> - Consultation and Engagement Team - Consultation and Engagement Policy

Principle 5 - Developing the Council's capacity, including the capability of its leadership and the individuals within it

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
		<ul style="list-style-type: none"> - Consultation and engagement forward plan and service leads - Outcome of public consultation and engagement activities published on the council's consultation and engagement platform - Constitution – public participation in meetings <ul style="list-style-type: none"> - Access to information procedure rules - Procedure Rules for each body - Freedom of Information and Subject Access Processes - Corporate and councillor complaints processes
	<p>5.2.6 Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections</p>	<ul style="list-style-type: none"> - External Auditor - OFSTED and Care Quality Commission Inspections - Senior Leadership Team
	<p>5.2.7 Holding staff to account through regular performance reviews which take account of training or development needs</p>	<ul style="list-style-type: none"> - Coaching for Performance (programme of appraisal and review)

Principle 5 - Developing the Council's capacity, including the capability of its leadership and the individuals within it

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	<p>5.2.8 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</p>	<ul style="list-style-type: none"> - Cabinet Portfolio for Health and Wellbeing, including Equality, Diversity and Inclusion - Equality, Diversity and Inclusion Annual Report - Wellbeing advice - Appraisal process - Employee assistance programme - confidential advice, assistance and counselling - Health & Safety Action Plans - Health & Safety Champions - Physical Health & Mental Health Staff Networks - Occupational Health Service - Capability and Performance Improvement

Principle 6 - Managing risks and performance through robust internal control and strong public financial management

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
6.1 Managing risk	6.1.1 Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<ul style="list-style-type: none"> - Medium Term Financial Planning Process (and three-year planning cycle) - Buckinghamshire Capital & Investment Strategy 2022-23 - Finance Business Partner for each service - Directorate Budget Boards - Financial and Contract Procedure Rules - CIPFA Financial Management Code - Directorate schemes of financial delegation - Audited annual statement of accounts - Chief Finance Officer/S151 Officer annual report to Council

Principle 6 - Managing risks and performance through robust internal control and strong public financial management

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	6.1.2 Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> - Risk Management Strategy - Corporate and Directorate Risk Registers - Strategic Risk register and processes - Audit & Governance Committee oversight and regular reporting - Risk Management Group - three members of the Audit & Governance Committee with the Section 151 Officer, Monitoring Officer and Chief Internal Auditor); reporting to the Audit & Governance Committee - CMT oversight of risks - Directorate/service risk registers - Allocated risk owners - Public Sector Internal Audit Standards - periodic self-assessment (last 2021/22 - positive) - Pentana Risk Management System
	6.1.3 Ensuring that responsibilities for managing individual risks are clearly allocated	<ul style="list-style-type: none"> - Risk Management Strategy - Risk Management Group
6.2 Managing performance	6.2.1 Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	<ul style="list-style-type: none"> - Service delivery plans - KPIs (Red, Amber, Green ratings) - tracking progress of activities - Performance Scorecard

Principle 6 - Managing risks and performance through robust internal control and strong public financial management

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	<p>6.2.2 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</p>	<ul style="list-style-type: none"> - Risk Management Strategy - Corporate and Directorate Risk Registers - Strategic Risk register and processes - Audit & Governance Committee oversight and regular reporting - Risk Management Group - three members of the Audit & Governance Committee with the Section 151 Officer, Monitoring Officer and Chief Internal Auditor): reporting to the Audit & Governance Committee - CMT oversight of risks - Directorate/service risk registers - Allocated risk owners. - Public Sector Internal Audit Standards - periodic self-assessment (last 2021/22 - positive) - Pentana Risk Management System

Principle 6 - Managing risks and performance through robust internal control and strong public financial management

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	<p>6.2.3 Ensuring an effective scrutiny or oversight function is in place which provides 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 organisation for which it is responsible (Or, for a committee system)</p> <p>Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making</p>	<ul style="list-style-type: none"> - Select committees - Budget Scrutiny Inquiry Task and Finish Group - Audit & Governance Committee - Standards & General Purposes Committee - Community Boards x 16 - Evidenced based decision making and partnership working - Constitution – procedure rules for each class of meeting (Cabinet, Scrutiny, Committee)
	<p>6.2.4 Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement</p>	<ul style="list-style-type: none"> - Cabinet and Committee forward plans and action logs
	<p>6.2.5 Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements)</p>	<ul style="list-style-type: none"> - Constitution <ul style="list-style-type: none"> o Contract Procedure Rules o Financial Procedure Rules o Procurement Strategy
6.3 Robust internal control	<p>6.3.1 Aligning the risk management strategy and policies on internal control with achieving objectives</p>	<ul style="list-style-type: none"> - Risk Management Strategy
	<p>6.3.2 Evaluating and monitoring risk management and internal control on a regular basis</p>	<ul style="list-style-type: none"> - Internal Audit Plan - Internal Audit Annual Report to Audit & Governance Committee

Principle 6 - Managing risks and performance through robust internal control and strong public financial management

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
		<ul style="list-style-type: none"> - Business Continuity Framework - Counter Fraud Team - Anti-Fraud and Corruption Strategy and Anti Money Laundering Policy - reviewed by Audit & Governance Committee - Shareholder Committee - oversight of risks (council companies - Aylesbury Vale Estates; Buckinghamshire Advantage; Consilio)
	6.3.3 Ensuring effective counter fraud and anti-corruption arrangements are in place	<ul style="list-style-type: none"> - Counter Fraud Team - Anti-Fraud and Corruption Strategy and Anti Money Laundering Policy - reviewed by Audit & Governance Committee
	6.3.4 Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	<ul style="list-style-type: none"> - Internal Audit Plan - Business Assurance Team - Chief Internal Auditor
	6.3.5 Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> • provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment. 	<ul style="list-style-type: none"> - Constitution <ul style="list-style-type: none"> ○ Terms of reference of Committees ○ Audit & Governance Committee - Risk Management Group (reporting to Audit & Governance Committee) - Annual report of Audit & Governance Committee to Council

Principle 6 - Managing risks and performance through robust internal control and strong public financial management

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	<ul style="list-style-type: none"> that its recommendations are listened to and acted upon 	
6.4 Managing data	6.4.1 Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	<ul style="list-style-type: none"> - Information Governance Group to monitor compliance - Mandatory staff training on data protection and cyber security - GDPR review of all data collection - information asset registers - Privacy Policy - Data Protection Officer and Cauldicott Guardian
	6.4.2 Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	<ul style="list-style-type: none"> - Data Sharing Protocols - Information Management Team - Information Governance Group
	6.4.3 Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	<ul style="list-style-type: none"> - Information Asset Registers - Information Management Team
6.5 Strong public financial management	6.5.1 Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	<ul style="list-style-type: none"> - Financial strategy - Financial procedure rules - Financial instructions - Financial scheme of delegation
	6.5.2 Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	<ul style="list-style-type: none"> - Medium Term Financial Plan - Constitution <ul style="list-style-type: none"> o Financial Procedure Rules

Principle 7 - Implementing good practices in transparency, reporting, and audit, to deliver effective accountability

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
7.1 Implementing good practices in transparency, reporting, and audit to deliver effective accountability	7.1.1 Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	<ul style="list-style-type: none"> - Report templates to all formal meetings - Options considered for each report - Legal, financial and other implications included
	7.1.2 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	<ul style="list-style-type: none"> - Report templates and guidelines to officers - Publication Scheme - Code on Data Transparency – compliance
7.2 Implementing good practices in reporting	7.2.1 Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way	<ul style="list-style-type: none"> - Annual Scrutiny Report - Chief Finance Officer/Section 151 Officer Statutory Report: to Budget Council, February each year - Customer First Programme annual report - Annual reports of Cabinet, Committees, Annual Scrutiny Report and Community Boards and Shareholder Committee
	7.2.2 Ensuring members and senior management own the results reported	<ul style="list-style-type: none"> - Reports – clear member and officer accountability - Action logs – each decision-making body - Forward plans – identifying issue, author and decision makers

Principle 7 - Implementing good practices in transparency, reporting, and audit, to deliver effective accountability

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
	7.2.3 Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)	<ul style="list-style-type: none"> - Annual Governance Statement - Audit & Governance Committee work programme - Standards & General Purposes Committee work programme
	7.2.4 Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate	<ul style="list-style-type: none"> - Audit & Governance Committee
	7.2.5 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	<ul style="list-style-type: none"> - Performance Framework
7.3 Assurance and effective accountability	7.3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	<ul style="list-style-type: none"> - Audit & Governance Committee
	7.3.2 Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon	<ul style="list-style-type: none"> - Internal Audit Plan - Internal Audit Annual Report to Audit & Governance Committee - Business Continuity Framework - Counter Fraud Team - Anti-Fraud and Corruption Strategy and Anti Money Laundering Policy - reviewed by Audit & Governance

Principle 7 - Implementing good practices in transparency, reporting, and audit, to deliver effective accountability

Supporting Principles:	Buckinghamshire Council commits itself to:	Evidence that the Council complies with these requirements:
		Committee
	7.3.3 Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	<ul style="list-style-type: none"> - External Auditor - OFSTED and Care Quality Commission Inspections - Audit Inspections
	7.3.4 Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	<ul style="list-style-type: none"> - Business Assurance Team
	7.3.5 Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met	<ul style="list-style-type: none"> - Constitution – partnership arrangements - Corporate Plan – partnership working