❄ WIRRAL

Corporate Governance Committee

Date:	**Wednesday, 18 January 2012**
Time:	**5.00 pm**
Venue:	Committee Room 1 - Wallasey Town Hall

Contact Officer:	Mark Delap
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AGENDA

1. **MEMBERS CODE OF CONDUCT - DECLARATIONS OF INTEREST**

   Members are requested to consider whether they have a personal or prejudicial interest in connection with any of the items on this agenda and, if so, to declare it and state the nature of such interest.

2. **MINUTES (Pages 1 - 4)**

   To receive the minutes of the meeting held on 7 December 2011

Items for Discussion

3. **CORPORATE GOVERNANCE COMPREHENSIVE WORK PROGRAMME PROGRESS REPORT (Pages 5 - 24)**

4. **REVIEW OF CODE OF CORPORATE GOVERNANCE (Pages 25 - 66)**

5. **AKA SUPPLEMENTAL REPORT AND KLOE MATRIX (Pages 67 - 76)**

6. **MEMBERS' SURVEY (Pages 77 - 86)**

7. **ANY OTHER URGENT BUSINESS APPROVED BY THE CHAIR (PART 1)**

8. **EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC**

The public may be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information.

RECOMMENDED – That, in accordance with section 100(A) (4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information as defined by the relevant paragraphs of Part 1 of Schedule 12A (as amended) to that Act. The public interest test has been applied and favours exclusion.

9. **ANY OTHER URGENT BUSINESS APPROVED BY THE CHAIR (PART 2)**

CORPORATE GOVERNANCE COMMITTEE

Wednesday, 7 December 2011

Present:	Councillor	S Foulkes (Chair)	

	Councillors	P Davies	AR McLachlan
		AER Jones	JE Green
		A McArdle	T Harney

Invited Members: (Non Voting)	Councillors	JE Green	T Harney

17   MEMBERS CODE OF CONDUCT - DECLARATIONS OF INTEREST

No declarations of interest were received.

18   AGENDA DISTRIBUTION

RESOLVED: That

(1)   in future agendas for the Corporate Governance Committee meetings be sent:

> **(a)   to all Members of the Cabinet;**
> **(b)   electronically to Anna Klonowski Associates Ltd; and**

(2)   the Leaders of the Conservative and Liberal Democrat Groups be requested to inform the Director of Law, HR and Asset Management the names of Members of their Groups who they wish to receive a copy of future agendas for the Corporate Governance Committee meetings.

19   MINUTES

RESOLVED:

That the Minutes of the meeting of the Committee held on 16 November 2011 be confirmed as a correct record.

20   WIRRAL COUNCIL'S MEMBERS' QUESTIONNAIRE

The Chief Executive circulated a copy of the draft Questionnaire and accompanying letter to all Members. They had been prepared in order to conduct a survey to ascertain Members' views, as had been agreed at the last meeting (Minute No. 15 refers). The Member Training Steering Group (MTSG), led by Councillor T Harney, had set out its proposals in respect of the identified need to review and improve Members' corporate governance training and development, under KLOE 10 – Member Capacity. This training and development was a priority and a commitment had been made to provide the training required between January and March 2012. The questionnaire also provided an opportunity for Members to identify their other training needs.

Reference was made to the wealth of experience some Members had which it was hoped could be channelled positively. This would be included in the accompanying

letter along with the deadline for the return of Members' questionnaires, 16 December 2011. All three Political Group Leaders were in agreement over the content of the questionnaire and the accompanying letter.

RESOLVED: That

(1)   the Members' questionnaire and accompanying letter be amended as detailed above, the three Political Group Leaders' electronic signatures be added to the bottom of the letter and they be despatched to Members without delay; and

(2)   the MTSG and the Organisational Development Manager, Melissa Holt be thanked for their contributions to the Members' questionnaire.

21   **IMPROVING THE COUNCIL'S CORPORATE GOVERNANCE**

A report by the Chief Executive served to assist the improvements under way in respect of the Council's Corporate Governance arrangements.

Members were informed that good governance meant:

- focussing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area;
- Members and officers working together to achieve a common purpose with clearly defined functions and roles;
- promoting the values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- developing the capacity and capability of members and officers to be effective; and
- engaging with local people and other stakeholders to ensure robust public accountability.

The Chief Executive's report proposed that Corporate Governance Development and Training be reviewed and improved across the Council. It also proposed that a Corporate Governance Amnesty to enable officers and partners to have confidential conversations and discussions with Cabinet Members. This would allow them to air Corporate Governance concerns in confidence and without fear of reprisal.

An Improving Corporate Governance Report by AKA was attached at Appendix A to the report. The programme outlined in Appendix A was in addition to the Key Lines of Enquiry (KLOE) work, previously considered by this Committee. Plans in respect of each KLOE were appended to the report at Appendix B for the Committee's consideration.

The report recommended that a Members' development programme should run ahead of the officer programme to enable the change programme to be led by those who had the legitimacy of the electorate. It was considered essential that this programme was shaped by Elected Members. It was also proposed to work with the Member Training Steering Group to draft a questionnaire and carry out interviews to establish what further development Members would like. The aim was to consult, design and commission appropriate development programmes for Members, officers and partners.

The report also proposed cross departmental activity, a Joint Cabinet and Chief Officer Discussion Forum, set out overarching timelines for the activity proposed and a list of milestones.

The Committee was concerned that the draft Protocol – Promoting Good Governance in Wirral MBC had not been included as an appendix to the report.

Councillor S Foulkes informed that the Corporate Governance Amnesty would be presented to the work force once the draft Protocol was made available to the Committee as had been requested. The Committee wanted clear guidelines to deal with Corporate Governance complaints quickly and systematically.

Councillor J Green highlighted, in relation to the proposed Corporate Governance Amnesty, that there were some elements of the report he had some concerns over.

It was noted that there was a confidential email address that could be used by Council staff, who wanted to raise there concerns, but were not happy doing this directly with the politicians.

The Committee had regard to its scheduled meeting dates, KLOEs, work required and timelines. Councillor A McLachlan informed of the progress being made in respect of KLOE 6 – Review of Committee Services including a Review of Committee Reports over the last three months. It was noted that a Working Group had been established and was due to meet on 9 January 2012.

It was reported that a Democracy Working Party had been set up comprising two Members of each Political Group to seek to achieve consensus on the most appropriate form of democracy within the Council, taking into account the strengths and weaknesses both of the old Committee system and the current Cabinet system, and of any legislation and subsequent regulations as they become known. It was noted that this Working Party may wish to report feedback in relation to KLOE 6, and possibly link in with work being carried out.

It was suggested that, to provide some continuity, it would be helpful, for a Member of a the Democracy Working Party and the Member Training Steering Group to join the Committee Services Working Group on KLOE 6. It was agreed that meetings needed to be timetabled to coincide with when decisions were required and recommendations being considered around the KLOEs.

The Chief Executive informed that he had written to Members setting out the definition of what a KLOE Lead Member would do. There had been no feedback on this so he presumed they were happy with the detailed definitions provided. If this was the case, he would circulate these definitions wider.

Councillor J Green informed that if any Member leading on a KLOE wanted some support from Conservative Members they were welcome to discuss this with him.

RESOLVED: That

(1)   the Director of Law, HR and Asset Management be requested to provide each of the three Political Group Leaders with a copy of the draft Protocol – Promoting Good Governance in Wirral MBC and the Deputy Director be requested to provide them with a report on Action 2 and if there is a consensus of agreement the Protocol and recommendations in respect of Action 2, they be adopted, but if not, a special meeting of the Committee be convened to consider all of the issues raised in detail;

> **(2)** the recommendations of the Improving Corporate Governance in Wirral MBC Report, as set out in Appendix A to the report, be agreed in principle, subject to the agreement of the draft Protocol at (2) above;
>
> **(3)** the project plans, as set out at Appendix B to the report, be noted; and
>
> **(4)** the current Committee meeting schedule will remain in place for the time being but meetings will be cancelled if there is insufficient business to be transacted.

22 **PERFORMANCE MANAGEMENT - DELIVERING THE COUNCIL'S VISION AND VALUES**

A report by the Chief Executive set out proposals to ensure that the Council's performance management processes would drive the delivery of the Council's vision and values and also enable corporate governance improvements to be reflected in all areas of performance. Key strands of this work included ensuring strong linkage of the Performance Management Framework with the Corporate Plan, the Strategic Change Programme and the work of the Corporate Governance Improvement Programme as a whole.

RESOLVED: That

> **(1)** the proposed Values and Behaviours, PERFORM, be reviewed in the context of the 2012/13 Corporate Plan and that the revised Vision and Values will clearly underpin the performance management framework;
>
> **(2)** the proposed performance improvement framework be reviewed to ensure that it fully reflects the revised values and behaviours and that Corporate Governance issues and improvements are embedded in the Corporate Planning process;
>
> **(3)** a programme of quarterly review and challenge of performance against Corporate and Departmental Plans be developed to ensure that progress in the achievement of outcomes is monitored and supported. (An outline of key actions is detailed in Appendix1 to the report.); and
>
> **(4)** the proposed organisational development process be reviewed to ensure that it supports the delivery of the outcomes reflected in the hierarchy of plans – Corporate, Departmental, Service and individual.

WIRRAL COUNCIL

CORPORATE GOVERNANCE CABINET COMMITTEE

18 JANUARY 2012

SUBJECT:	CORPORATE GOVERNANCE COMPREHENSIVE WORK PROGRAMME PROGRESS REPORT
WARD/S AFFECTED	ALL
REPORT OF:	CHIEF EXECUTIVE
RESPONSIBLE PORTFOLIO HOLDER:	COUNCILLOR STEVE FOULKES
KEY DECISION:	NO

1.0   EXECUTIVE SUMMARY

This report updates members on progress on the delivery of the comprehensive work programme which supports the Council's corporate governance improvement goals and Destination Excellence objective. This report highlights progress against the critical milestones set out by Anna Klonowski in her report *'Improving Corporate Governance In Wirral'* presented to Committee on 7th December 2011, as well as the 10 Key Lines of Enquiry (KLOE) approved by Corporate Governance Committee on 16th November 2011.

2.0   RECOMMENDATIONS

2.1   That members note the contents of this report and its various appendices as well as the progress being made by the Corporate Governance Improvement Team.

3.0   REASON FOR RECOMMENDATION

3.1   Given the scope and scale of activity now being taken forward through the Council's Corporate Governance Improvement Programme, the committee has requested that regular reports are provided to illustrate the progress being made in all aspects of this work.

4.0   BACKGROUND AND KEY ISSUES

Background

4.1   In response to the AKA supplemental report to Cabinet on 22 September entitled 'Wirral Borough Council's Corporate Governance Arrangements: Refresh and Renew', the Council has developed a comprehensive work programme to improve all aspects of its corporate governance.

4.2   This Committee has agreed that the principles and approach adopted in developing the programme are:
- A whole systems, integrated approach to ensure step change rather than incremental change
- Led by Chief Executive
- Project-managed with time limited tasks
- Co-ordinated through a single point of management and reporting
- Resourced appropriately
- Owned by the whole organisation including Members and Officers

Cultural Change and resultant Communications

4.3   A critical theme running through the Corporate Governance Improvement Programme is the need for on-going cultural change. An under pinning communications plan is also required to ensure key stakeholders – including staff – are kept informed of improvements and support the improved working practices that are being developed through the KLOEs.

4.4   In her report entitled *'Improving Corporate Governance In Wirral'* presented to Committee on 7th December 2011, Anna Klonowski sets out a series of activities that the Council should undertake to progress a cultural change programme. The report also proposes a series of key milestones against a timetable as a means for the Council to progress this cultural change programme as a matter of urgency.

4.5   A summary of the proposed milestones is included in Appendix 1 (the wording of which is based on AKA report), to illustrate progress made to date. A significant amount of activity is planned in the coming weeks including:
- A series of Meet the Leader events for all Council staff
- A questionnaire to all Council staff
- A programme of one to one appointments for staff meet with members of the Cabinet to raise any concerns they have about corporate governance
- A secure email to run alongside the one to one meetings with Cabinet Members to provide another mechanism for staff to raise concerns about corporate governance
- A series of staff focus groups to be scheduled

4.6   These initial events will provide a baseline to understand the issues facing the Council and will inform the organisational development programme developed to implement and embed the cultural changes required to improve the way the Council conducts its business.

4.7   Overall this work is on schedule with Anna Klonowski's milestones and timetable as illustrated. Future progress reports on this workstream will be presented in the same dashboard format that is used to provide status reports for the KLOEs.

Key Lines of Enquiry (KLOE)

4.8   At its meeting on 16 November 2011, Corporate Governance Committee approved 10 separate Project Initiation Documents (PIDs) to review aspects of the Council's governance highlighted by Anna Klonowski as being in need of urgent improvement. These review projects have been progressing since the end of November 2011.

4.9   In line with good project management practice, a project sponsor and project manager has been allocated to each KLOE. To ensure Member involvement in the process, each KLOE also has an allocated lead member. A summary of these responsibilities is included in Appendix 2.

4.10   A report illustrating progress with each KLOE is included in Appendix 3. The report is intended to provide Members with a short summary of where things are up to in terms of overall progress against the timetable, using a RAG (red, amber, green) scale. The report also highlights the products and deliverables that will result from each KLOE. There is also reference to any issues or decisions that need to be resolved.

4.11   It was agreed at the last Corporate Governance Committee that an update on KLOE 4 Review of Internal Audit and KLOE 7 Review of Performance Management should be provided. This update is detailed in the dashboard report (Appendix 3)

Conclusion

4.12   Members will note that the majority of KLOEs are progressing well and remain on schedule to achieve their milestones. There is some slippage in KLOE 4, because the Council was unsuccessful in procuring external support for the review. Another procurement exercise is underway and it is envisaged the final report will be available within the required timescales.

4.13   KLOE 3 is also currently assessed as Amber. The scale of this project has resulted in the prioritisation of the Finance function and a plan to review the remaining functions is currently being developed.

4.14   The progress graphic is taken from the programme management system to provide a visual indication of progress to date for each KLOE. These can vary due to the level of detail in the project plan – i.e. number of tasks listed and the duration of those tasks and therefore are not directly comparable. Appendix 2 details all KLOE leads and more detailed and specific information is available from them, if required.

5.0   RELEVANT RISKS

5.1   A register of standard risks is being developed in relation to each of the KLOE projects with additional risks being identified by project managers where appropriate.

5.2 A formal Programme Risk Register is being developed. A number of initial programme risks have been identified. These are reviewed on a weekly basis by the Corporate Governance Improvement Team led by Deputy Director of Finance (Programme Manager), and include:

- There is a risk that the scope and timetable of the respective Key Lines of Enquiry do not sufficiently align with each other, which could compromise the overall outcome of the Corporate Governance Improvement Programme.
- There is a risk of there not being sufficient capacity within the Corporate Governance Improvement Team to manage the workload which could result in the overall programme being delayed.
- There is a risk that other issues, not specifically in KLOE scope, but which are fundamental to the overall programme outcomes, are not sufficiently integrated.
- There is a risk that all relevant stakeholders are not appropriately engaged.
- There is a risk of inadequate compliance with the agreed way forward.

6.0 OTHER OPTIONS CONSIDERED

6.1 None: the programme addresses issues raised in the Corporate Governance Report.

7.0 CONSULTATION

7.1 Each KLOE has an allocated lead member to ensure that Members are engaged in the process. Within the scope of KLOE 10 a survey of Member's corporate governance training needs has also been undertaken.

7.2 A staff survey on corporate governance is scheduled to be launched from Monday 16th January.

7.3 Where appropriate, external agencies, councillors and officers from other authorities are being consulted and asked to share knowledge.

8.0 RESOURCE IMPLICATIONS: FINANCIAL; STAFFING; ASSETS

8.1 There are no resource implications arising from this report.

9.0 LEGAL IMPLICATIONS

9.1 There are no legal implications arising from this report.

10.0 EQUALITIES IMPLICATIONS

10.1 KLOE 8 involves a detailed review of equalities and the steps the Council needs to take to comply with the new equality duty effective from 11th April 2011.

11.0   CARBON REDUCTION IMPLICATIONS

11.1   None.

12.0   PLANNING AND COMMUNITY SAFETY IMPLICATIONS

12.1   None.

FNCE/2/1

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Appendices: 1   AKA Milestones for Communications and Cultural
Change Programme
2   KLOE Sponsors, managers and elected Members
3   KLOE progress report

SUBJECT HISTORY (last three years)

Council Meeting	Date
Cabinet	22 September 2011
Cabinet	13 October 2011
Cabinet Committee	26 October 2011
Cabinet Committee	16 November 2011
Cabinet Committee	7 December 2011

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Appendix 1 - AKA Milestones for Cultural Change and Communications

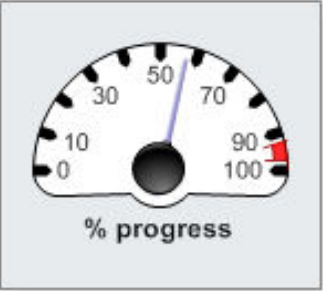| Milestone	Start	Completion	Status
Development of protocol to support Cabinet drop in sessions and corporate governance amnesty	Mid Nov 2011	7 Dec 2011	Completed
Development of cultural audit programme (questionnaires and events)	Mid Nov 2011	December	Completed
Corporate Governance Committee approves AKA proposals contained in this report, protocol and next steps	7 Dec 2011		Completed
Launch of Corporate Plan by Leader and Deputy Leader (post Council)	13 Dec 2011		Completed
Launch of Corporate Governance Amnesty by Leader and Deputy Leader	13 Dec 2011		Completed
Launch of cultural audit programme by Leader and Deputy Leader {to coincide with Corporate Plan launch}	13 Dec 2011		Completed
MTSG meets with DCEO/his representative to discuss the proposals contained within this report and any other processes they wish to follow to design a Member development programme	7 Dec 2011	31 Dec 2011	On going
Cabinet member open door drop in sessions with employees and partners	Post 12 Dec 2011	End Jan 2012	Scheduled to start 16/01/12
Communications publicise the "secure" email address for issues and concerns	Post 12 Dec 2011		Scheduled in Jan 2012
Issues and concerns submitted during corporate governance amnesty	Post 12 Dec 2011	End January 2012	
Corporate Governance Team deal with issues and concerns raised as a result of corporate amnesty	Post 12 Dec 2011	Ongoing	
Send out cultural audit questionnaires	Mid Dec 2011		To follow 'Meet the Leader' events in Jan
Commencement of monthly departmental meetings to discuss corporate governance improvements and issues	Mid Dec 2011	Mid Dec 2012	
Commencement of Cabinet and Chief Officer discussion/debate/challenge forum on corporate governance	Mid Dec 2011	Mid Dec 2012	
Commission external support to undertake the assessment, collection and collation of Member views regarding development programme	Early Jan 2011		
Employee focus groups with external facilitator	Beginning Jan 2012	3rd week Jan 2012	
External support undertakes activities on site	Mid-end Jan 2012	Mid-end Feb 2012	
Analysis of cultural audit findings preparation of report and proposed action plan to support cultural change	4th week Jan 2012	End of 2nd week Feb 2012	
Corporate Governance Committee receives report and approves next steps in relation to cultural change and officer development programme	29 Feb 2012		
Corporate Governance Committee receives report and approves next steps in relation to member development programme	29 Feb 2012		
External support commissioned to deliver cultural change and officer development programme as necessary	March 2012	End March 2012	
External support commissioned to deliver member development programme	March 2012	End March 2012	
Cultural change and officer development programme launched	April 2012		
Member development programme launched	April 2012		

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Appendix 2 – KLOE Sponsors, Managers and Elected Members

KLOE	Project Sponsor	Project Manager	Elected Member
1. Alignment of Corporate Planning & Budget Making Process.	Director of Finance and Deputy Chief Executive	Tom Sault support by: Jane Morgan Lucy Beed Michele Duerden (Link to 7)	Steve Foulkes, Leader Jeff Green, Leader of Conservative Party
2. Review & refresh Code of Corporate Governance.	Deputy Director of Finance	Rob Beresford	Steve Foulkes, Leader
3. Relationship between devolved and central functions	Director of Law, HR and Asset Management	Rob Beresford	Adrian Jones, Cabinet Member for Corporate Resources
4. Review of Internal Audit.	Director of Finance and Deputy Chief Executive	David Taylor-Smith	Audit & Risk Management Committee
5. Review of Policy.	Chief Executive	Fiona Johnstone	Phil Davies, Deputy Leader & Cabinet member for Regeneration and Planning Strategy
6. Review of Committee Services.	Director of Law, HR and Asset Management	Surjit Tour	Ann McLachlan, Cabinet member for Children's Services and Life Long Learning
7. Review of Performance.	Director of Finance and Deputy Chief Executive	(Obj. 1) Chris Hyams (Obj. 2) Michele Duerden	Anne McArdle, Cabinet Member for Social Care & Inclusion
8. Equalities.	Chief Executive	Emma Degg	Adrian Jones, Cabinet Member for Corporate Resources
9. Fees & Charges.	Director of Finance and Deputy Chief Executive	Tom Sault	Officer led in the first instance
10. Member Capacity.	Chief Executive	External Commission	Tom Harney, Leader of the Liberal Democrats with assistance from member training group
Communications	Director of Finance and Deputy Chief Executive	Emma Degg	Phil Davies, Deputy Leader & Cabinet member for Regeneration and Planning Strategy
Culture	Deputy Director of Finance	Chris Hyams	Phil Davies, Deputy Leader & Cabinet member for Regeneration and Planning Strategy

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Appendix 3: Dashboards on KLOE Progress

KLOE: 1 Alignment of Corporate Planning & Budget Process	STATUS: GREEN
Update: The project is on target to achieve its milestones. A review of best practice is underway, with initial findings to be drafted by mid January. The project is phased to deliver a corporate plan underpinned by 6 departmental plans aligned to the budget. Further development of the framework will take place to recommend options for future planning cycles from 2013/14. This will be presented for approval in Early April.	 % progress
Key products to be delivered: ■ Corporate plan (2012/13) – 02/02/2012 ■ 6 Departmental Plans (2012/13) – 16/03/2012 ■ Budget agreed – 10/03/2012 ■ Recommendations to Governance Committee – March 2012 ■ Framework and plan for phase 2 (2013/14 onwards) – Early April 2012	**Key Risk & Issues:** **Current issues**: None **Risks:** Risk register is under development.

KLOE: 2 Review Code of Corporate Governance	STATUS: GREEN
Update: The project is on target to achieve its milestones. A critical review comparing Wirral's approach with other authorities and considering additional CIPFA/SOLACE guidance has been conducted. A revised Code of Corporate Governance has been drafted and will be reported to Committee on 18th January. The report also seeks approval for the scope of the next phase of review and implementation.	% progress
Key products to be delivered: ▪ Revised Code of Corporate Governance – 18/01/2012 ▪ An underpinning system to ensure review and compliance of the Code of Corporate Governance and the supporting policies.	**Key Risk & Issues:** **Current issues**: None **Risks:** Risk register is under development.

KLOE: 3 Review of relationship between devolved and centralised functions	STATUS: AMBER
Update: This project has a very large scope. As such the review of the finance function has been prioritised and a report will be brought to Committee in February. The review of the remaining devolved and centralised functions will follow and further resources may need to be identified to undertake this wider piece of work.	
Key products to be delivered: ▪ Review of finance function with recommendations will be reported to Cabinet Committee in February. ▪ A framework for review of remaining functions and timescales to be presented to February Committee.	**Key Risk & Issues:** **Current issues**: Not all functions will be reviewed and implemented by April 2012 as per the KLOE. **Risks:** Risk register is under development.

KLOE: 4 Review of Internal Audit	STATUS: AMBER
Update: A procurement process was undertaken but not successful because the commission could not be completed within the required timescales. A second exercise is underway.	
Key products to be delivered: ▪ A review of Internal Audit and recommendations for the future function will be presented to Audit & Risk Management Committee on 13th March 2012.	**Key Risk & Issues:** **Current issues**: Initial procurement exercise unsuccessful. **Risks:** A full risk register is under development but key risks include: 1. Failure to engage an appropriate partner to undertake the review within the required timescales.

KLOE: 5 Review of Policy	STATUS: GREEN
Update: The project is on target to achieve its milestones. A review of best practice has taken place, and an internal survey of staff working on policy issues. These will form the basis for defining the functions and working practice for the Policy Unit. A stakeholder event is being held on 16 January to finalise the options which will be taken to Corporate Governance Committee in February as scheduled.	
Key products to be delivered: ▪ Options paper to Corporate Governance Committee in February. ▪ Unit established in line with Committee recommendations.	**Key Risk & Issues:** **Current issues**: None **Risks:** Risk register developed. Outstanding risks include: 1. Managing delivery within a short timescale 2. Lack of engagement with project across the organisation 3. Failure to agree model for policy unit 4. Inability to redeploy/ employ staff into post in a timely fashion

KLOE: 6 Review of Committee Services	STATUS: GREEN
Update: The project is on target to achieve its milestones. An internal and external information gathering exercise has been completed. This information pack will provide the basis for Members to determine the short term priorities and longer term goals for revising committee services' processes to best meet the requirement for good, clear decision-making. A cross-party member working group has been established and meets to consider these findings on 9th January.	% progress
Key products to be delivered: Still to be confirmed and will depend on the outcome of the cross party Member working group scheduled for 9 January.	**Key Risk & Issues:** **Current issues**: None **Risks:** Risk register is under development.

KLOE: 7 Review of Performance	STATUS: GREEN
Update: The project is on target to achieve its milestones. A review of best practice is underway. The project will be phased to deliver improved systems and processes within the constraints for 2012/13 and a revised framework for 2013 onwards.	
Key products to be delivered: **Objective 1:** ▪ Position statement - Critique of PERFORM (09/01/2012) ▪ Review of Leadership & Management expectations grid (09/01/2012) ▪ Revised performance appraisal process ▪ Revised performance appraisal guidance ▪ Personal Development Plan – template developed **Objective 2:** Framework for monitoring and reporting the Corporate Plan 2012/13 – Early April ▪ Produce Performance Management toolkit ▪ Devise format, timing & content of quarterly challenge sessions ▪ Framework for monitoring and reporting the Corporate Plan and wider PMF 2013/14 & onwards ▪ Performance Unit – roles, responsibilities & resources.	**Key Risk & Issues:** **Current issues**: None **Risks:** A full risk register is under development but key risks include: 1. There is a risk that the current plan (2011/12) is not subject to robust scrutiny as resources are targeted at the review. 2. There is a risk that the current processes for managing staff performance are not adhered to during the transition. 3. There is a risk that members are not sufficiently engaged in the review process and therefore outcomes will not fully reflect the needs of the organisation.

KLOE: 8 Review of Equalities	STATUS: GREEN
Update: The project is on target to achieve its milestones. A thorough review of the implications of the new Equality Duty effective from April 2011 has been completed. A Corporate Equality Programme has now been established with departments feeding into a quarterly Corporate Equality Group chaired by the Chief Executive. A report is being taken to January Cabinet proposing the formal adoption of Equality Impact Assessments, with associated training provided to all Heads of Service and Chief Officers.	
Key products to be delivered: ▪ Corporate Equality Programme – Established ▪ Adoption of Equality Impact Assessments – 12/01/12 ▪ EIA training for all Chief Officers and Heads of Service – January 2012 ▪ Corporate Equality Scheme 2012/13 – by April 2012	**Key Risk & Issues:** **Current issues**: None **Risks:** Risk register is under development.

KLOE: 9 Fees & Charges	STATUS: GREEN
Update: A report has been submitted to Cabinet which details a draft directory of fees & charges. The report further recommends that services are reviewed by Chief Officer during 2012/13.	

Key products to be delivered:
 	
Report to Cabinet, 12th January detailing:
 	
▪ A comprehensive set of fees and charges for all council services
▪ Framework for refresh during 2012/13, to ensure
  - current charges are set and uplifted correctly.
  - collection of fees & Charges operates in an effective and efficient manner.
  - an active approach in identifying and implementing new charging opportunities.
  - the approach to charging helps to achieve the Council Strategic goals
	-Key Risk & Issues:
	
	Current issues: None
	
	Risks: Risk register is under development.

KLOE: 10 Member development and capacity	STATUS: GREEN
Update: The project is on target to achieve its milestones. A survey of Members' corporate governance and more generic training needs has been successfully completed. The results of this are currently being analysed and will be used to inform a series of special corporate governance training sessions in February and March. The results will also be used to design a revised Members Training Programme from 1st June.	 % progress
Key products to be delivered: - A series of corporate governance Member training sessions– February/March 2012 - A revised Members Training Programme – from 01/06/12.	**Key Risk & Issues:** **Current issues**: There is a need to develop the external support for this KLOE. **Risks:** Risk register is under development.

WIRRAL COUNCIL

CORPORATE GOVERNANCE COMMITTEE

18 JANUARY 2012

SUBJECT:	CODE OF CORPORATE GOVERNANCE
WARD/S AFFECTED:	ALL
REPORT OF:	CHIEF EXECUTIVE
RESPONSIBLE PORTFOLIO HOLDER:	COUNCILLOR STEVE FOULKES
KEY DECISION?	YES

1.0   EXECUTIVE SUMMARY

1.1   This report presents the conclusions of a review of the Code of Corporate Governance for Wirral. The review has been undertaken as part of the work programme agreed by Cabinet of 16 November 2011. As the result of the review, a draft amended Code is proposed in Appendix A, for the consideration of the Committee.

2.0   RECOMMENDATIONS

2.1   That the amended Code of Corporate Governance attached in Appendix A to this report be agreed and its adoption recommended to Council.

2.2   That the recommendations contained in 9.3 – 9.5 are agreed.

3.0   REASONS FOR RECOMMENDATIONS

3.1   A review of the current Code of Corporate Governance was agreed by Cabinet of 16 November 2011 as part of a programme of action to address failures of corporate governance highlighted in a supplementary report to Cabinet undertaken by AKA Ltd, (Klonowski, 2011). The review has been undertaken and changes to the Code of Governance are recommended.

4.0   BACKGROUND AND KEY ISSUES

4.1   The supplementary report provided to Council by AKA Ltd, (Klonowski, 2011), highlighted failures in Wirral council's corporate governance in respect of "hard" organisational basics and "soft" cultural issues (Klonowski, 2011, page 2). The Klonowski Report was considered by the Corporate Governance Committee of the Council on 26 October 2011, and it was agreed to undertake a programme to achieve

improvements in corporate governance. Subsequently, Cabinet of 16 November 2011, approved ten work streams, one of which is to review and refresh the Code of Corporate Governance. The resolution added an additional objective to the original project initiation document as follows:

"Ensure issues raised in the Annual Governance Statement are addressed within this process, and that this includes issues raised within previous Annual Governance Statements and action taken to address them."

4.2 This report is the review of Wirral's current code (Appendix B) and does not include consideration of any alterations of council policy or practice to make operational the principles of good governance referred to below. The latter consideration is recommended to take place as part of the production of the report referred to in 9.3 and in the Annual Governance Statement for March 2012. The additional objective above will be considered as part of the Statement.

4.3 The objectives set for the KLOE were identified in the project initiation document and are as follows:

    a. To develop and implement a code of Corporate Governance which is fit for purpose – enforceable, enforced, communicated, understood and underpin the workings of a modern organisation – by April 2012.
    b. Ensure issues raised in the Annual Governance Statement are addressed within this process.
    c. From April 2012 develop and implement a review process.

5.0 THE REVIEW

5.1 The following work has been undertaken as part of the review:

    i. A literature search to identify key documents in relation to public service governance. Some of the documents found are referenced below.
    ii. A web search for example codes of corporate governance from other local authorities
    iii. Comparison of the practice in other local authorities and in particular those considered models of best practice.
    iv. Consideration of the extent to which the Wirral code and its implementation serves to demonstrate compliance with the principles of good governance.
    v. Formulation of a refreshed code of corporate governance taking into account conclusions from the above for consideration for adoption by Cabinet.

6.0 DEFINING CORPORATE GOVERNANCE

6.1 In 2001, CIPFA (The Chartered Institute of Public Finance and Accountancy), and SOLACE (Society of Authority Chief Executives), responded to the need to bring together governance principles identified by Cadbury (Cadbury Report,1992) and Nolan (Lord Nolan, 1995) and the then Department of Environment, Transport and the Regions, (DETR) and formed a single framework of good governance for local government: "*Corporate Governance in Local Government- A Keystone for Community Governance: Framework*". Corporate Governance is described as being:

"…about how local government bodies ensure that they are doing the right things, in the right way for the right people, in a timely, inclusive, open honest and accountable manner".

It comprises the systems and processes, and cultures and values by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities."

6.2 The CIPFA/SOLACE, framework is intended to be followed as best practice for developing and maintaining a local code of governance and making adopted practices open and explicit. It identifies six core principles of corporate governance as follows:

i.   Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area;
ii. Members and officers working together to achieve a common purpose with clearly defined functions and roles;
iii. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
iv. Taking informed and transparent decisions which are subject to effective scrutiny and managing risks;
v.   Developing the capacity and capability of members and officers to be effective; and
vi. Engaging with local people and other stakeholders to ensure robust public accountability.

With each of the principles are a number of supporting principles.

6.3   The CIPFA/SOLACE, Guidance to the application of the Framework (CIPFA/SOLACE, 2007), provides advice to local authorities in England in respect of its use to underpin a local code of corporate governance and to assist in the process of review. It is adopted as the basis for all of the codes of corporate governance for the local authority examples considered during the review. (See Appendix C). It is also the basis of the current Wirral code.

6.4   In June 2009, CIPFA produced its, Statement on the role of the Chief Financial Officer (CFO) in Public Service Organisations, (CIPFA, 2009). Its purpose was to strengthen governance and financial management across the public services by setting out five principles that define the core activities and behaviours that belong to the role of the CFO. It also considers the governance arrangements that should be demonstrated to show compliance.

6.5   In March 2010, CIPFA/SOLACE issued; the "Application Note to Delivering Good Governance in Local Government: a Framework". The note gives in respect of the application of the Statement referred to above (in 6.4) to the CIPFA/SOLACE framework described in 6.3. The Application describes how the governance arrangements required to support the principles in the CFO statement and build on the governance requirements that need top be reflected in an authority's local code as set out in the CIPFA/SOLACE Framework and guidance note.   The amendments in the application note have not until now been incorporated into the Wirral code although the Head of Legal and Democratic Services has given some consideration as to how it will affect the requirements for governance.

7.0   THE LOCAL CODE OF GOVERNANCE

7.1   The code of corporate governance is a key document used by local authorities (and the rest of the pubic sector) to codify the arrangements for achieving good corporate governance. That is, for local authorities in England, the basis to demonstrate that the principles of the CIPFA/SOLACE Framework are being maintained. Whilst the code of corporate governance sets the commitment to the framework, compliance is reliant upon suitable policies and effective systems to embed and monitor the principals and a culture that promotes adherence to the requirements imposed.

7.2   The "Application Note" described in 6.5, which, as an amendment to the original CIPFA/SOLACE framework and guidance note, has been taken into account as part of the updated Wirral Code of Corporate Governance (Appendix A).

8.0 LOCAL AUTHORITY APPROACHES TO THE CODE OF CORPORATE GOVERNANCE

8.1   As part of this KLOE examples of the codes used by other local authorities were examined. A range of authorities were selected, some on the basis that they had been referred to in the CIPFA/SOLACE guidance, others are Merseyside authorities. (Appendix C has list of those examined).

8.2   The review of these documents found the following:

   i.   All of the authorities (including Wirral) used the CIPFA/Solace Framework as the basis of their code. All gave some level of commitment to its principles.
   ii. The more minimal approach is adopted by Birmingham where a commitment to the core principles of the Framework is followed by a list of supporting documents.
   iii. Other authorities (E.g. St Helens, Wakefield) in addition to stating commitment to the CIPFA/SOLACE Framework also make reference to Section 5 of the Guidance document which describes the requirements that need to be reflected in a local code of governance.
   iv. The current Wirral code is different to most of the others examined in that it attempts to provide explanations of how Wirral complies with the principles of the CIPFA/SOLACE Framework. Other local authorities simply point to council documents suggested in Section 5 of the CIPFA/SOLACE Guidance as sources of evidence of compliance.
   v.   Other local authorities use the "Annual Governance Statement" (mandatory) to show how they have reviewed compliance with the Framework.
   vi. The current commentary on compliance in the Wirral Code contains some references to documents that are no longer valid (e.g. Local Area Agreement).

9.0   CONCLUSIONS AND RECOMMENDATIONS

9.1   The Wirral code is based upon on the "core principles" and "supporting principles" of the CIPFA/SOLACE Framework (CIPFA/SOLACE, 2007). This Framework is the basis of best practice for local authorities in England and was used as the basis for all of the codes examined under this review. The current Wirral code does not take account of the application note (CIPFA/SOLACE, 2010) and should be amended to account for the amendments to the original framework that it contains.

9.2   The Wirral Code differs from most of the other authorities (except e.g. Bristol, see Appendix C) reviewed in providing a commentary to describe how the Council complies with the CIPFA/ SOLACE principles. The effectiveness of the Council's compliance with these principles is evaluated on an annual basis by the Council's Internal Audit service, in accordance with the CIPFA/ SOLACE Framework, and the results of this review of effectiveness are the basis for the Annual Governance Statement. However, whilst the annual review has identified weaknesses in the Council's compliance with the principles, the Code and the evidence contained within it has not been subject to continuous review and revised to reflect these weaknesses and the action necessary to correct them. These weaknesses are also clear from the Klonowski Report. Therefore, there is a risk that the Code seeks to demonstrate compliance with the principles by utilising evidence for which there are identified weaknesses. It is therefore suggested that the practice of including the commentary is discontinued until such time as robust processes have been established for the ongoing review of effectiveness as part of management practice, and for addressing as a matter of routine the weaknesses identified as part of the formal annual review.

9.3   A system of thorough audit and review of governance is essential to meet the requirements of the era of self regulation and peer review that local authorities are entering. It is recommended that the Internal Audit Service provide a report to the Corporate Governance Committee on arrangements for securing good corporate governance and the role of the Annual Governance Statement.

9.4   The documents in the current code appear not to be subject to a controlled version that is linked to a published copy. It is therefore recommended that consideration be given to a project to apply the "Documentum" system (The Council's existing document management system.) to create a single source for corporate governance documentation. This will enable document control and facilitate monitoring of review requirements

9.5   The recommended draft Code of Corporate Governance is attached in Appendix A (a copy of the current code is attached as Appendix B). It removes the commentary on compliance, adds the requirements of the CIPFA/SOLACE application note and includes the information applicable to each framework principle from Section 5 of the Guidance. The code commits the Council to the specific requirements of the Framework.   As previously stated the commentary that the current document contains to indicate how Wirral complies with good governance principles has been removed on the basis that it relies on evidence that has clear weaknesses (see 9.2 above)

10.0 RELEVANT RISKS

10.1 The Code of Corporate Governance is a key document as it sets out the Council's commitment to the principles on which good corporate governance can be achieved. It should drive the Council's governance arrangements and is the basis upon which those arrangements are reviewed for the Annual Governance Statement. A failure to make operational the principles in the Code leaves the Council potentially open to significant financial, reputational and service delivery risks.

11.0 OTHER OPTIONS CONSIDERED

11.1 The recommendation of this report is based upon the conclusions of the review. The current Code was found to require amendment because it did not account for a recent amendment of the CIPFA/SOLACE Framework.

12.0 CONSULTATION

12.1 This report has been subject to consultation with Director of Finance, Director of Law, Human Resources and Asset Management

13.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

13.1 The Code of Corporate Governance includes commitments to engage effectively with local people and all institutional stakeholders

14.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

14.1 The operational implementation of the Code of Corporate Governance is resourced through existing budget allocations.

15.0 LEGAL IMPLICATIONS

15.1 The Code of Corporate Governance contains a commitment to a principle and supporting principle concerning the use of the Council's legal powers.

16.0 EQUALITIES IMPLICATIONS

16.1 The Code of Corporate Governance is a commitment to nationally recognised principles. The policies and processes that make up the arrangements for compliance will be subject to equality impact assessments.

16.3 Equality Impact Assessment (EIA)

(a) Is an EIA required?   No

(b) If 'yes', has one been completed?

17.0 CARBON REDUCTION IMPLICATIONS

17.1 There are none arising directly out of this report.

18.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

18.1 There are none arising directly out of this report.

FNCE/8/12

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APPENDICES

Appendix A: Recommended Draft Code
Appendix B: Existing Code of Corporate Governance
Appendix C: List of other local authority codes

REFERENCES

1. Anna Klonowski, (2011), *Wirral Metropolitan Borough Council's Corporate Governance Arrangements: Refresh and Renew,* AKA Ltd
2. CIPFA/SOLACE, (2007), *Delivering good Governance in Local Government: Guidance note for English Authorities*, London.
3. Wirral Metropolitan Borough Council, (DATE), Code of Corporate Governance
4. Cadbury Committee, *Report of the Committee on the Financial Aspects of Corporate Governance* (the Cadbury Report), December 1992.
5. Lord Nolan and his Committee, *First Report of the Committee on Standards in Public Life*, HMSO, 1995.
6. CIFA/SOLACE, *Corporate Governance in Local Government- A Keystone for Community Governance: Framework*, (2001).

Wirral CODE OF CORPORATE GOVERNANCE

1. **INTRODUCTION**

1.1   This document sets out Wirral Council's Code of Corporate Governance. It has been produced in line with the guidance outlined in the framework document published jointly by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives/Senior Managers (SOLACE) *Framework for Delivering Good Governance in Local Government* and *Application Note to Delivering Good Governance in Local Government: a Framework (2010).*

1.2   Wirral Council ("the Council") is committed to the principles of good corporate governance and demonstrates this commitment through the development, adoption and implementation of this Code. This Code sets out the Corporate Governance arrangements which are currently in place, how the Council will continue to review these arrangements and identify improvements to ensure its effective application in all aspects of the Council's work.

1.3   This Council recognises that in order to fulfil its purpose and deliver the intended outcomes for its citizens and service users it needs to have in place comprehensive arrangements for corporate governance and accountability designed to ensure that it operates in an effective, efficient and ethical manner.

2. **WHAT IS CORPORATE GOVERNANCE?**

2.1   It is defined within the CIPFA/SOLACE framework document as being:

…about how local government bodies ensure that they are doing the right things, in the right way for the right people, in a timely, inclusive, open honest and accountable manner.

It comprises the systems and processes, and cultures and values by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.

This means the way in which organisations manage their business, determine strategy and objectives and go about achieving those objectives. This reminds local authorities of their key role in governing and leading communities and that effective local government relies on public confidence in Councillors and officers. Where good corporate governance is in place it underpins credibility and confidence in public services.

2.2   The 6 core principles At the heart of the CIPFA/SOLACE governance framework are:

1. focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area;

2. members and officers working together to achieve a common purpose with clearly defined functions and roles;

3. promoting the values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;

4. taking informed and transparent decisions which are subject to effective scrutiny and managing risk;

5. developing the capacity and capability of members and officers to be effective;

and

6. engaging with local people and other stakeholders to ensure robust public accountability.

2.3 CIPFA's *Statement on the Role of the Chief Financial Officer in Public Service Organisations* seeks to strengthen governance and financial management across the public services. CIPFA's Statement sets out five principles (set out at paragraph 2.4 below) that define the core activities and behaviours that belong to the role of the Chief Finance Officer ('CFO') and the governance requirements needed to support them.

2.4 The CFO in a public services organisation:

1. is a key member of the leadership team, helping it to develop and implement strategy and to resource and deliver the organisation's strategic objectives sustainably and in the public interest;

2. must be actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer term implications, opportunities and risk are fully considered, and alignment with the organisation's financial strategy; and

3. must lead the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.

To deliver these responsibilities the CFO:

4. must lead and direct a finance function that is resourced to be fit for purpose; and

5. must be professionally qualified and suitably experienced.

3.0 **THE PRINCIPLES OF GOOD CORPORATE GOVERNANCE – IN PRACTICE**

3.1 These core principles (set out at paragraph 2.2 above) and the additional governance requirements from the CFO (set out at paragraph 2.4 above) _underpin the Council's Code of Corporate Governance.

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3.2   Appendix 1 sets out the requirements of the CIPFA/SOLACE Framework to which the Council is committed and will use to review its governance arrangements and inform the Annual Governance Statement.

4.0   **ANNUAL REVIEW AND REPORTING**

4.1   Elected Members are collectively responsible for the governance of the Council. The Council by adopting this local code commits itself to continuously improving corporate governance in all of its activities. To ensure it keeps to this on-going commitment, the Corporate Governance Group oversees the Council's systems and processes for their effectiveness in practice, keeps them under review to ensure that they are up-to-date and ensures appropriate reporting. Performance monitoring will take the form of:

i.   an Annual Report;
ii.   production of an Annual Governance Statement as part of the financial reports which will summarise:

•   compliance with the Local Code;
•   how compliance has been monitored;
•   if changes are required; and
•   how changes are to be implemented.

4.2   The Corporate Governance Group consists of:

- Chief Executive (Head of Paid Service)
- Deputy Chief Executive/Director of Finance (Section 151Officer)
- Director of Law, HR and Asset Management (Monitoring Officer)
- Deputy Director of Finance
- Chief Internal Auditor; and
- District Auditor.

4.3   A copy of this Code of Corporate Governance will be included as part of the Council's Constitution and made available to the public on the Council's website and the results of the annual review to be published each year.

5.0   **REGULAR REVIEW OF POLICIES AND PROCEDURES**

5.1   The Council recognises that Corporate Governance needs to be embedded in all the services it delivers. Therefore, it has identified all those strategies, policies and procedures which staff and Members need to be aware of and comply with to meet the required standards of corporate governance. A copy of these is attached as Appendix 2. All of these strategies, policies and procedures will be reviewed at least annually as part of the review of this Code.

5.2   The Annual Governance Statement will consider compliance of the Council with the principles of good governance as set out by CIPFA/SOLACE and direct improvements to governance arrangements as necessary.

6.   **CONCLUSION**

6.1   The Council is fully committed to the principles of corporate governance, and through the measures outlined within this Code, will ensure that adequate arrangements are made with regard to its continued implementation, monitoring and review.

CODE OF CORPORATE GOVERNANCE: APPENDIX 1

CORPORATE GOVERNANCE SCHEDULE

PRINCIPLES OF GOOD CORPORATE GOVERNANCE – IN PRACTICE

CORE PRINCIPLE 1:	Focusing on the purpose of the authority and on outcomes for the local community and creating and implementing a vision for the local area.

	Supporting Principles	Wirral MBC commits to	CIPFA/Solace Application Note 2010
1	*Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.*	a. Develop and promote the Council's purpose and vision.	
		b. Review on a regular basis the Council's vision for the local area and its implications for the Council's governance arrangements.	
		c. Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.	
		d. Publish an annual report (or similar documents) on a timely basis to communicate the Council's activities and achievements, its financial position and	

		performance.	
2	*Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning*	a. Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.	
		b. Put in place effective arrangements to identify and deal with failure in service delivery.	
3	*Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.*	a. Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.	Ensure that timely, accurate and impartial financial advice and information is provided to assist in decision making and to ensure that the Council meets it policy and service objectives and provides effective stewardship of public money and value for money in its use.

Ensure that the Council maintains a prudent financial framework; keeps its commitments in balance with available resources; monitors income and expenditure levels to ensure that this balance is maintained and takes corrective action when necessary.

Ensure compliance with CIPFA's Code on a Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury management Code. |

CORE PRINCIPLE 2:	Members and officers working together to achieve a common purpose with clearly defined functions and roles

	Supporting Principles	Wirral MBC commits to:	CIPFA/Solace Application Note 2010
1	*Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard.*	a. Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's member's individually and the Council's approach towards putting this into practice.	Ensure that the CFO reports directly to the chief executive and a member of the leadership team with a status at least equivalent to other members. If different organisational arrangements are adopted, explain the reasons publicly, together with how these deliver the same impact.
		b. Set out a clear statement of the respective roles and responsibilities of other Council Members, members generally, senior officers and of the leadership team and its members individually.	
2	*Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function.*	a. Determine a scheme of delegation and reserve powers within the Constitution, including a formal schedule of those matters specifically reserved for collective decision of the Council, taking account of relevant legislation, and ensure that it is monitored and updated when required.	

		b. Make a Chief Executive or equivalent responsible and accountable to the Council for all aspects of operational management.	Ensure that the Council's governance arrangements allow the CFO direct access to the CEO and to other leadership team members.
		c. Develop protocols to ensure that the Leader and Chief Executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	
		d. Make a senior officer (the S151 Officer/CFO) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.	Appoint a professionally qualified CFO whose core responsibilities include those set out in the Statement on the Role of the CFO in Local Government and ensure that they are properly understood throughout the authority. Ensure that the CFO: ○ Leads the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively. ○ Has a line of professional accountability for finance staff through out the organisation

			Ensure that budget calculations are robust and reserves adequate, in line with CIPFA's guidance. Ensure that appropriate management accounting systems, functions and controls should apply consistently to all activities including partnership arrangements, outsourcing or where the authority is acting in an enabling role.
		e. Make a Senior Officer (usually the monitoring officer) responsible to the Council for ensuring that agreed procedures are followed and that all applicable Statutes and Regulations are complied with.	
3	*Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other*	a. Develop protocols to ensure effective communication between Members and Officers in their respective roles.	
		b. Set out the terms and conditions for remuneration of Members and Officers and an effective structure for managing the process, including an effective remuneration panel.	
		c. Ensure that effective mechanisms exist to monitor service delivery.	

				d. Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	Establish a medium term business and financial planning process to deliver strategic objectives including:
					
					   o A medium term financial strategy to ensure sustainable finances
					   o A robust annual budget process that ensures financial balance
					   o A monitoring process that enables this to be delivered
					
					Ensure that these are subject to regular review to confirm the continuing relevance of assumptions used.

				e. When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and the authority.	
				f. When working in partnership: • Ensure that there is clarity about the legal status of the partnership • Ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisations to binding decisions.	

CORE PRINCIPLE 3:	Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

		Supporting Principles	Wirral MBC commits to:	CIPFA/Solace Application Note 2010
1		*Ensuring authority Members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.*	a. Ensure that the Council's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	
			b. Ensure that standards of conduct and personal behaviour expected of members and staff and between the Council, its partners and the community are defined and communicated through codes of conduct and protocols.	
			c. Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.	
2		*Ensuring that organisational values are put into practice and are effective.*	a. Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these wit members, staff, the community and partners.	
			b. Put in place arrangements to ensure that	Ensure that systems and processes for

			systems and processes are designed in conformity with appropriate ethical standards; monitor their continuing effectiveness in practice.	financial administration, financial control and protection of the authority's resources and assets are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice.
			c. Develop and maintain an effective standards committee.	
			d. Use the organisation's shared values to act as a guide to decision making and as a basis for developing positive and trusting relationships within the Council	
			e. In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partner's behaviour both individually and collectively.	

CORE PRINCIPLE 4:	Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

	Supporting Principles	Wirral MBC commits to:	CIPFA/SOLACE Application Note 2010
1	*Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny*	a. Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances he Council's performance overall	Ensure an effective internal audit function is resourced and maintained.
		b. Develop ad maintain open and effective mechanisms for decisions and recording the criteria, rationale and considerations on which decisions are based.	
		c. Put in place arrangements to safeguard members and officers against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.	
		d. Develop and maintain an effective audit committee (or equivalent), which is independent of the executive and scrutiny functions, or make other appropriate arrangements for the discharge of the functions of such a committee.	Ensure that the authority's governance arrangements allow the CFO direct access to the audit committee and external audit.
		e. Put in place effective, transparent and accessible arrangements are in place for dealing with complaints.	

2	*Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs*	a. Ensure that those making decisions whether for the Council or the partnership are provided with information that is fit for the purpose – relevant timely and give clear explanations of technical issues and their implications.	Ensure the provision of clear, well presented, timely, complete and accurate information and reports to budget managers and senior officers on the budgetary and financial performance of the authority.
		b. Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.	
3	*Ensuring that an effective risk management system is in place*	a. Ensure that risk management is embedded into the culture of the Council, with members and managers at all levels recognising that risk management is part of their jobs.	Ensure the authority's arrangements for financial and internal control and for managing risk are addressed in annual governance reports.

Ensure the authority puts in place effective internal financial controls covering codified guidance, budgetary systems, supervision, management review and monitoring, physical safeguards, segregation of duties, accounting procedures, information systems and authorisation and approval process. |
		b. Ensure that effective arrangements for whistle-blowing are in place to which staff and all those contracting with the authority have access.	
4	*Using their legal powers to the full benefit of the citizens and communities in their area*	a. Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine, but also strive to utilise their powers to the full benefit of their communities.	
		b. Recognise the limits of lawful action and	

| | | observe both the specific requirements of legislation and the general responsibilities placed on councils by public law. | |
| | | c. Observe all specific legislative requirements placed upon it, as well as the requirements of general law and in particular to integrate the key principles of good administrative justice – rationality, legality and natural justice – into their procedures and decision making processes. | |

	CORE PRINCIPLE 5:	Developing the capacity and capability of members and officers to be effective

	Supporting Principles	Wirral MBC commits to:	CIPFA/SOLACE Application Note 2010
1	*Making sure that Members and officers have the skills, knowledge, experience and resources they need to perform well in their roles*	a. Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	
		b. Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the Council.	Ensure the CFO has the skills, knowledge, experience and resources to perform effectively in both the financial and non financial areas of their role. Review the scope of the CFO's other management responsibilities to ensure financial matters are not compromised. Provide the finance function with the resources, expertise and systems necessary to perform its role effectively.
2	*Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group*	a. Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	Embed financial competencies in person specifications and appraisals Ensure that councillors' roles and responsibilities for monitoring financial performance/budget management are clear, that they have adequate access to financial training on an ongoing basis to help them discharge their responsibilities.
		b. Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.	

		c. Ensure that effective arrangements are in place for reviewing the performance of the Executive as a whole and of individual members and agreeing an action plan, which might, for example, aim to address any training or development needs.	
3	*Encouraging new talent for membership of the authority so that best use can be made in individuals' skills and resources in balancing continuity and renewal*	a. Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the Council.	
		b. Ensure that career structures are in place for members and officers to encourage participation and development.	

CORE PRINCIPLE 6:	Engaging with local people and other stakeholders to ensure robust public accountability

	Supporting Principles	Wirral MBC commits to:	CIPFA/SOLACE Application Note 2010
1	*Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive and accountability relationships*	a. Make clear to the Council, all staff and the community to whom they are accountable and for what. b. Consider those institutional stakeholders to whom the Council is accountable and assess the effectiveness of the relationships and any changes required. c. Produce an annual report on the activity of the scrutiny function.	
2	*Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.*	a. Ensure clear channels of communication are in place with all sections of the community and other stakeholders including monitoring arrangements and ensure that they operate effectively. b. Ensure that arrangements are in place to enable the Council to engage with all sections of the community effectively. These arrangements should recognise that different sections o the community have different priorities and establish explicit processes for dealing with these competing demands.	

		c. Establish a clear policy on the types of issues it will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consul tees to demonstrate what has changed as a result.	
		d. On an annual basis publish a performance plan giving information on the Council's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.	
		e. Ensure that the Council as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.	
3	*Making best use of human resources by taking an active and planned approach to meet responsibility to staff.*	a. Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	

CODE OF CORPORATE GOVERNANCE:
Appendix 2

Core Policies

Corporate Plan
Departmental Plans
Annual Governance Scheme
Freedom of Information Publication Scheme
Budget Variation Reporting Protocol
Scheme of Delegation
ICT Security Policy
Code of Practice for Internet and Email use
Conflict of Interest
Gifts and Hospitality
Corporate Hospitality
Officer/Member Protocol
Corporate Risk Register
Contract Procedure Rules
Risk Management Strategy
Member/Officer Code of Conduct
Anti Fraud and Corruption Policy
Fraud Investigation Plan
Equality and Diversity
Financial Procedure Rules
Whistleblowing Policy
Money Laundering Policy
Business Continuity/Contingency Plan
Health and Safety Policies
Media Protocol

CODE OF CORPORATE GOVERNANCE

1. **INTRODUCTION**

1.1 This document sets out Wirral Council's Code of Corporate Governance. It has been produced in line with the guidance outlined in the framework document published jointly by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives/Senior Managers (SOLACE) *Framework for Delivering Good Governance in Local Government.*

1.2 Wirral Council ("the Council") is committed to the principles of good corporate governance and demonstrates this commitment through the development, adoption and implementation of this Code. This Code sets out the Corporate Governance arrangements which are currently in place, how the Council will continue to review these arrangements and identify improvements to ensure its effective application in all aspects of the Council's work.

1.3 This Council recognises that in order to fulfil its purpose and deliver the intended outcomes for its citizens and service users it needs to have in place comprehensive arrangements for corporate governance and accountability designed to ensure that it operates in an effective, efficient and ethical manner.

2. **WHAT IS CORPORATE GOVERNANCE?**

2.2 It is defined within the CIPFA/SOLACE framework document as being:

…about how local government bodies ensure that they are doing the right things, in the right way for the right people, in a timely, inclusive, open honest and accountable manner.

It comprises the systems and processes, and cultures and values by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.

This means the way in which organisations manage their business, determine strategy and objectives and go about achieving those objectives. This reminds local authorities of their key role in governing and leading communities and that effective local government relies on public confidence in Councillors and officers. Where good corporate governance is in place it underpins credibility and confidence in public services.

2.3 There are 6 core principles which underpin a strong governance framework. These are:

- Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area;
- Members and officers working together to a clearly defined purpose with clearly defined functions and roles;

- Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- Taking informed transparent decisions which are subject to effective scrutiny and managing risk;
- Developing the capacity and capability of members and officers to be effective; and
- Engaging with local people and other stakeholders to ensure robust public accountability.

4.0 **THE PRINCIPLES OF GOOD CORPORATE GOVERNANCE**

3.1 These core principles underpin the Council's Code of Corporate Governance.

CODE OF CORPORATE GOVERNANCE PRINCIPLES	SUPPORTING EVIDENCE
1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.	
1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.	1.1 There is a clear statement of the organisation's purpose in: • Wirral's Sustainable Community Strategy; • The Council's Corporate Plan; and • Wirral's Story of Place (in the Local Area Agreement, "LAA"). The Council's vision is of, "a more prosperous and equal Wirral enabling all communities to thrive and achieve their full potential". This is also consistent with the partnership vision of the Local Strategic Partnership. Clear delivery arrangements are in place through the corporate plan / departmental plans The Council reviews its plan, priorities and objectives on an annual basis. A partnership register is in place and is subject to review. A partnership toolkit is being developed. The Council has also developed a Community Engagement toolkit with partners.

1.2 Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning	1.2 There is a clear focus on outcomes for citizens and users as highlighted in our: • Annual Performance Plan; and • Quarterly Performance Update Report to Chief Officers' Management Team and Cabinet. We engage with customers through the customer engagement toolkit. We have revised our customer care standards and improved our complaints procedure.
1.3 Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.	1.3 The council works towards improving value for money and submits evidence of success in this area through our: • Annual efficiency statement; • Publication of annual budget and accounts; • Internal audit reports; • Medium Term Financial Plan; • Use of Resources Action Plan; and • Regular reports to the Council's Cabinet on value for money of services.
2 Members and officers working together to achieve a common purpose with clearly defined functions and roles.	
2.1 Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard.	2.1 The council has a protocol for relations between Members and Officers and the council's Constitution sets out clearly the decision making powers of: • The Council, • The Cabinet, • Regulatory Committees; and • Officers.
2.2 Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function.	2.2 The council's Constitution also sets out clearly the process for holding the executive to account through the Overview and Scrutiny Committees. These have recently been strengthened by the addition of a scrutiny toolkit and call in guidelines which have received positive comment from the centre for public scrutiny.
2.3 Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other	2.3 The public ultimately controls the council through the electoral process, but the council consults with the public through the citizen's panel and in accordance with the community engagement toolkit.

| | The council also consults with the public through the residents' survey, area forums and other engagement mechanisms in accordance with the community engagement toolkit.

The Council is the Accountable Body for the LAA. There are terms of reference in place. The Council is currently reviewing the governance arrangements for the LAA.

The Council's constitution sets out the statutory roles of the Section 151 Officer and the Monitoring Officer.

The Council has a partnership register which is reviewed regularly. This records the terms of reference for the partnership which set out the respective roles and responsibilities. A partnership toolkit is being developed. |
|--|--|

3 **Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.**	
3.1 Ensuring authority Members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.	3.1 The council has a code of conduct for members and conduct is monitored by the Standards Committee. In addition the council has: • An Equalities Policy; • A Code of Conduct for staff; • Declarations of interest of members and for staff; • Register of Gifts and Hospitality for members and for staff; • Financial Regulations; • A whistleblowing policy; • Members' Training Programme; • Contract Procedure Rules and Financial Regulations; and • Freedom of Information Procedures
3.2 Ensuring that organisational values are put into practice and are effective.	3.2 The Council's Corporate Plan and vision has been communicated to staff and stakeholders. The Council's vision and objectives are linked in to the service planning process, other plans and policies and decision making. They are also contained within the Sustainable Community Strategy and the LAA. There are clear links to the priorities and objectives of partners. These are communicated to staff and partners through a variety of delivery arrangements. The Council's Standards Committee operates effectively. It has developed a Protocol for local assessment.

4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	
4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	4.1 The council's Constitution sets out the clearly the decision-making powers of: • The Council; • The Cabinet; • Regulatory Committees; and • Officers Scrutiny feedback is taken into account in decision-making.
4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.	4.2 The council's Data Quality Policy sets the rules and standards for ensuring that high quality information is consistently achieved. Our performance management framework underpins this policy in ensuring that high standards are also achieved in the provision of advice and support. The council's Financial Regulations support the provision of high quality financial advice.
4.3 Ensuring that an effective risk management system is in place.	4.3 The council effectively controls risk through its: • Risk Management Strategy; • Corporate and Departmental Risk Registers; • Consideration of risk in all Cabinet reports; • The Audit and Risk Management Committee; and • Annual Governance Statement
4.4 Using their legal powers to the full benefit of the citizens and communities in their area	4.4 Legal issues are considered in respect of all reports to the Cabinet, Council and other Committees. There is a protocol in place that ensures the Head of Legal and Member Services is consulted on all reports.

5 **Developing the capacity and capability of members and officers to be effective**	
5.1 Making sure that Members and officers have the skills, knowledge, experience and resources they need to perform well in their roles	5.1 The council has an annual training programme for members approved by the Members' Training Steering Group and holds regular training sessions for members on a variety of topics, including: • Service specific training; • Induction training for all new members; and • Finance and Audit and Risk Management Committee training. Members have also received performance management and Equalities and Diversity training. The council has an extensive training programme for council officers including a leadership development course delivered in partnership with Chester University.
5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group	5.2 The council examines the capability of its people with governance responsibilities through Key Issues Exchange and the performance management framework and identifies any training gaps. The relevant training programmes are updated accordingly. Attached to this Code of Corporate Governance is a list of those policies and procedures which form the core documents with which officers must familiarise themselves upon induction. They will be regularly reviewed and updated and all officers will be required to be aware of all changes on at least an annual basis.
5.3 Encouraging new talent for membership of the authority so that best use can be made in individuals' skills and resources in balancing continuity and renewal.	5.3 The Council engages with all parts of the community, through its community engagement toolkit, work with the voluntary sector, the Older People's Parliament and the Youth Parliament

6 **Engaging with local people and other stakeholders to ensure robust public accountability**	

6.1 Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive and accountability relationships	6.1 The council is clear that ultimately it is accountable to the citizens of Wirral. The Council's community engagement toolkit outlines the means by which local stakeholders will be engaged and how constructive, challenging relationships will be built. The Council is engaging widely with the public in consultation on the Sustainable Community Strategy and the Strategic Asset Review.
6.2 Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.	6.2 Building on our community engagement toolkit the council seeks to engage with citizens in a number of ways including: • The Citizen's Panel, • Area Forums, • Older People's Parliament; • The Youth Parliament; and • The Council's website. The council engages with other key stakeholders through, amongst other methods: • The Wirral Local Strategic Partnership • The LAA Programme Board; • The Crime and Disorder Reduction Partnership; • The Children and Young People Strategic Partnership Board; • The Strategic Housing Partnership The council welcomes complaints, whether through the internal complaints system or via the Ombudsman, and seeks to learn from them.
6.3 Making best use of human resources by taking an active and planned approach to meet responsibility to staff.	6.3 The council has Investors' in People accreditation for the whole council and actively engages with its staff through: • Chief Executive's Roadshows; • One Council; • Team briefings; • The Joint Staff Consultative Committee The Council produces an annual report on scrutiny. The Council reports regularly on its performance including an annual performance report.

		The Council is committed to openness and transparency in its decision making.

4.0 ANNUAL REVIEW AND REPORTING

4.1 The Council by adopting this local code, commits itself to continuously improving corporate governance in all of its activities. To ensure it keeps to this on-going commitment, the Corporate Governance Group will monitor the Council's systems and processes for their effectiveness in practice, and keep them under review to ensure that they are up-to-date. Performance monitoring will take the form of:

i. an Annual Report;
iii. production of an Annual Governance Statement as part of the financial reports which will summarise:

- compliance with the Local Code;
- how compliance has been monitored;
- if changes are required; and
- how changes are to be implemented.

4.2 A copy of the Annual Governance Statement is attached at Appendix 1.

4.3 The Corporate Governance Group has been assigned responsibility for Corporate Governance, reporting, as appropriate to the Cabinet and the Audit and Risk Management Committee. The Corporate Governance Group consists of:

- the Chief Executive, as Head of Paid Service;
- the Deputy Chief Executive/Director of Corporate Services;
- the Director of Finance, as section 151 officer;
- the Director of Law, HR and Asset Management, as the Monitoring Officer;
- the Chief Internal Auditor; and
- the Audit Commission, Audit Manager.

4.4 A copy of this Code of Corporate Governance will be included as part of the Council's constitution and made available to the public on the Authority's website and the results of the annual review to be published each year.

5.0 REGULAR REVIEW OF POLICIES AND PROCEDURES

5.1 The Council recognises that Corporate Governance needs to be embedded in all the services it delivers. Therefore, it has identified all those policies and procedures which staff and members need to be aware of and comply with to meet the required standards of corporate governance. A copy of these is attached as Appendix 2. All of these policies will be reviewed at least annually as part of the review of this Code.

6. CONCLUSION

6.2 The Council is fully committed to the principles of corporate governance, and through the measures outlined within this Code, will ensure that adequate arrangements are made with regard to its continued implementation, monitoring and review.

CODE OF CORPORATE GOVERNANCE

CORE STRATEGIES, POLICIES AND PROCEDURES

Access to Information Procedure Rules
Annual Governance Scheme
Bribery Policy
Budget and Policy Framework
Budget Variation Reporting Protocol
Business Continuity/Contingency Plan
Corporate Plan
Corporate Risk Register
Corporate Procurement Strategy
Contract Procedure Rules
Consultation and Negotiation Policy
Conflict of Interests
Corporate Hospitality
Code of Practice for Internet and Email use
Departmental Plans
Disciplinary Policy
Executive Procedure Rules
Equality and Cohesion Policy
Financial Procedure Rules
Fraud Investigation Plan
Freedom of Information Publication Scheme
Gifts and Hospitality
Grievance and Harassment and Bullying Policy
Health and Safety Policies
ICT Security Policy
Media Protocol
Member/Officer Code of Conduct
Member Allowances Scheme
Money Laundering Policy
Officer/Member Protocol
Overview and Scrutiny Procedure Rules
Protocol on Member/Officer relations
Risk Management Strategy
Scheme of Delegation to Members
Scheme of Delegation to Officers
Sustainable Community Strategy
Whistleblowing Policy

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KLOE 2 CCG Other LA Approaches

Council	Copy of Code	Reference to: Core 6	Supporting Principles	Guide sec 5	Evidence doc /documentation
Tameside	PDF Q:\Corporate Governance\Example	Y	Y	Y	No supporting documents
Birmingham	W Q:\Corporate Governance\Example	Y	N	N	List of documents (hyperlinked)
Cambridge	PDF Q:\Corporate Governance\Example	Y	Y	N	List of supporting documents
Bristol	PDF Q:\Corporate Governance\Example	Y	Y		Lists comments as evidence of compliance under each supporting principle. Assigns the role of Audit and the
Oxford	PDF Q:\Corporate Governance\Example	Y	Y		Short Comments and references on how Council looks to achieve compliance
Haringey	W Q:\Corporate Governance\Example	Y	Y	Y	Hyperlinks to other information
Oldham	PDF Q:\Corporate Governance\Example	Y	N	N	Comments on aspects f practice that supports compliance

St Helens	PDF Q:\Corporate Governance\Example	Y	Y	Y	Table of document and statements of how LA complies
Wirral	PDF Q:\Corporate Governance\Example	Y	Y	N	Sections state how LA meets supporting principles and points to documentary evidence
Knowsley	PDF Q:\Corporate Governance\Example	Y	Y	Y	States commitment to section 5 clauses
Wakefield	PDF Q:\Corporate Governance\Example	Y	Y	Y	No reference to documents. Presents supporting principles alongside section 5 commitments.
Sunderland	PDF Q:\Corporate Governance\Example	Y	Y	Y	Presents suppoting principles alongside Section5 commitments. Exra column presents documentary evidence.

WIRRAL COUNCIL

CORPORATE GOVERNANCE COMMITTEE

18 JANUARY 2012

SUBJECT:	AKA SUPPLEMENTAL REPORT AND KEY LINE OF ENQUIRY MATRIX
WARD/S AFFECTED:	ALL
REPORT OF:	CHIEF EXECUTIVE
RESPONSIBLE PORTFOLIO HOLDER:	STEVE FOULKES
KEY DECISION?	NO

1.0 EXECUTIVE SUMMARY

1.1 Members are asked to note the Matrix attached in Appendix A which demonstrates the links between the 5 'Work Streams' identified within the AKA Supplemental Report entitled 'Wirral Metropolitan Borough Council's Corporate Governance Arrangements: Refresh and Renew' and the Key Line of Enquiry (KLOE) 1 to 10 put forward to address the recommendations made.

2.0 RECOMMENDATION

2.1 That Committee note the links drawn between the AKA Supplemental Report and the 10 Key Lines of Enquiry as set out in the Matrix provided in Appendix A.

3.0 REASON FOR RECOMMENDATION

3.1 The Corporate Governance Committee requested a report that identified the links between the 5 'Work Streams' identified in the AKA Supplemental Report entitled 'Wirral Metropolitan Borough Council's Corporate Governance Arrangements: Refresh and Renew' and the Key Lines of Enquiry (1 to 10) created in order to address the weaknesses in Corporate Governance. This was to ensure that all items identified within the AKA Supplimental Report were being addressed.

4.0 BACKGROUND AND KEY ISSUES

4.1 AKA was engaged by the former Leader of the Council to undertake an independent review of the Council's response to claims made by Mr Martin Morton. AKA produced a Supplemental Report entitled 'Wirral Metropolitan Borough Council's Corporate Governance Arrangements: Refresh and Renew' which summarises organizational weaknesses which the Council has failed to address. The 5 'Work Streams' identified in this report may be summarized as follows:-

1. "A Councilor Working Group supported by Officers".
2. "Set up a 'Taking the Lead' Delivery Team".

3. "Review and improve Corporate Governance Development and training across the Council".
4. "Undertake a series of 'System Stress Tests' across the Council".
5. "A Corporate Governance amnesty".

4.2 The Cabinet had considered the report at its meeting on 22 September 2011 and resolved to accept the criticisms unreservedly and the recommendations designed to help the Council move forward. Consequently, the Council created a Corporate Governance: Comprehensive Work Plan, reported to the Corporate Governance Committee on the 26 October 2011 to address all of the Corporate Governance weaknesses that had been identified in the report.

4.3 In addition the Chief Executive sought and received approval from the Corporate Governance Committee on the 26 October 2011 for the creation of a 'Turn Around' Team (Corporate Governance Improvement Team CIGT), from existing resources, with a clear work programme in order to undertake this whole systems approach to Corporate Governance. In addition a key theme running throughout this process was the importance of cultural change and communication.

4.4 Project Initiation Documents (PID's) for 10 of the KLOE's were the subject of a report to the Corporate Governance Committee on the 16 November 2011 and set out the areas that each KLOE would address, which are summarized as:-

KLOE 1 – Alignment of corporate planning and budget making process.
KLOE 2 – Review and refresh the 'Code of Corporate Governance'.
KLOE 3 – Relationship between devolved and central functions.
KLOE 4 – Review of Internal Audit.
KLOE 5 – Review of Policy.
KLOE 6 – Review of Committee Services.
KLOE 7 – Review of Performance (Corporate).
KLOE 8 – Equalities.
KLOE 9 – Fees and Charges.
KLOE 10 – Member Capacity

4.5 There were four additional areas identified in the Comprehensive Work Programme and these are to be the subject of further work from April 2012. These are provided below with a brief explanation as to why specific projects have not been created, at this point, in order to support their delivery.

KLOE 11 – Review of committee reports over the last 3 months. This is dependent upon work being undertaken around KLOE 6 (Review of Committee Services) and KLOE 2 (Review and refresh the 'Code of Corporate Governance') in order that the review may use the information and frameworks developed.

KLOE 12 – Review of Performance (Departmental). This is dependant on the development of KLOE 7 (Review of Performance - Corporate) and agreement of the new Corporate Plan.

KLOE 13 – Change Team / Programme. This is dependent upon work currently being undertaken in KLOE 1 (Alignment of corporate planning and budget making process), KLOE 7 (Review of Performance - Corporate) and the development of the Corporate Plan.

KLOE 14 – How does the Council learn from past experience? This KLOE is dependent upon developing a better understanding of the new requirement for Self Regulation encompasses Self Assessment, Peer Challenge and Peer Review and links with KLOE 7 (Review of Performance).

4.6 The Matrix produced, provided in Appendix A, seeks to set out the relationship between the 5 'Work Streams' identified in the AKA Supplemental Report and KLOE's 1 to 10 created in order to address the weaknesses identified and indicates where the work of the CIGT and the cross cutting cultural change theme and dependent communications fit within the overall programme of work.

4.7 The Matrix provides this by showing the 5 'Work Streams' and their sub tasks as set out in the AKA Supplemental Report on the left hand side of the Matrix. The CIGT work plan together with cultural change are identified at the top of the Matrix as cross cutting areas of work that will impact upon and support the KLOE's that have started. KLOE's 1 to 10 are identified under their separate headings and are placed under the two cross cutting areas at the top of the Matrix, indicating that the KLOE are influenced and informed by the two cross cutting themes or work plan.

4.8 The links between the 'Work Streams', cross cutting themes or work plan and the KLOE's areas are identified by an 'X' were appropriate. It is important to note that while some KLOE's may have relatively few links to the 'Work Streams' this does not indicate that they are of lesser importance than others, equally those with greater links should not be assumed to be of more importance than others. The 'X' simply indicates the link between the two and not the significance of the task or tasks being undertaken.

4.9 In addition it should be noted that as the work of the KLOE's progress other additional activities are being identified and addressed as may be seen from the report on the Review of Corporate Governance elsewhere on this committee's agenda.

4.10 The Matrix indicates that all areas identified within the AKA Supplemental Report are being addressed and indicates which tasks are being undertaken by the Corporate Governance KLOE's 1 to 10 and the two cross cutting themes or work plans.

5.0 RELEVANT RISKS

5.1 Failure to improve the Council's Corporate Governance by addressing the weaknesses identified in the AKA Supplemental Report could mean that the Council may be further criticised and suffer further reputational harm.

6.0 OTHER OPTIONS CONSIDERED

6.1 There are no other options to consider at this time. The Improvement Programme set out addresses the issues raised in the AKA Supplemental Corporate Governance Report.

7.0 CONSULTATION

7.1 This report is to inform Members of the links between the AKA Supplemental Report and the work plans or themes and the Key Lines of Enquiry that have been initiated. This provides members with the opportunity to review the programme against the AKA Supplemental Report.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1 There are no implications arising from this report.

9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

9.1 There are no resource implications arising from this report.

10.0 LEGAL IMPLICATIONS

10.1 Until the existing legislation is repealed, the Council could be subject to an external corporate governance inspection under Section 10 of the Local Government Act 1999.

11.0 EQUALITIES IMPLICATIONS

11.1 Equalities is an area of corporate governance weakness identified by AKA in the Corporate Governance Report.

11.2 Equality Impact Assessment (EIA)
    (a) Is an EIA required?   No
    (b) If 'yes', has one been completed?

12.0 CARBON REDUCTION IMPLICATIONS

12.1 None

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 None

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APPENDICES

APPENDIX A: Corporate Governance AKA Supplemental Report and Key Lines of Enquiry Matrix

REFERENCE MATERIAL

AKA Supplemental Report 'Wirral Metropolitan Borough Council's Corporate Governance Arrangements: Refresh and Renew'

SUBJECT HISTORY (last 3 years)

Council Meeting	Date
Corporate Governance Committee	**16 November 2011**
Corporate Governance Committee	**26 October 2011**
Cabinet	**22 September 2011**

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				CIGT Work Plan									
Corporate Governance - AKA Supplemental Report and Key Lines of Enquiry Matrix				**Cultural Change & Communication**									
				Corporate Governance - Key Lines of Enquiry									
Corporate Governance Arrangements: Refresh and Renew (Supplemental Report) Work streams.				1 - Alignment of Corporate Planning and Budget Making Process	2 - Review and refresh 'Code of Corporate Governance'	3 - Relationships between devolved and central functions	4 - Review of Internal Audit	5 - Review of Policy	6 - Review of Committee Services	7 - Review of Performance	8 - Equalities	9 - Fees and Changes	10 - Member Capacity
1	**"A Councillor Working Group supported by Officers".**												
1.1	Establish a Cabinet Committee to drive the required change.	X											
1.2	Membership to focus upon individuals best placed to oversee the assessment, design and delivery of improvements to Corporate Governance supported by Officers and the Chief Executive, Monitoring Officer, Director of Finance and consideration be given to external advisors.	X											
1.3	Initiate a 'Taking the Lead' programme to run from October 2011 to April 2012 ensuring the Council is fit for purpose against the requirements of the self regulation regime to be introduced in April 2012.	X											
1.4	The Cabinet Committee may establish one or more working groups to take account of existing guidance and recommendations by the LGG and other guidance which may be relevant to the local "Taking the Lead" programme. These groups will be time limited task and finished groups whose membership will be determined by the Cabinet as having the appropriate, skills, experience, focus and determination to address corporate governance issues without distraction.	X											
1.5	The Cabinet Committee will include co-opted external representation/perspectives from local partners and appropriate and regular input and challenge from peer councillors and officers from other authorities, together with external advisors as required.	X											
2	**"Set up a 'Taking the Lead' delivery team".**												
2.1	Recruit a suitably qualified cross council and/or externally resourced team to support the Cabinet Committee and any working groups established to support the programme as a whole and the various work streams.	X											
2.2	Cabinet Committee and other co-opted Members/external resources to lead on coordinating internal communications and a consultation strategy with support from Officers including undertaking a series of councillor, staff, citizen/user assessments about Wirral performance. *"How well is the Council working, what needs improvement and why?"*	X	X											

	Corporate Governance Arrangements: Refresh and Renew (Supplemental Report) Work streams.		Cultural Change & Communication	1 - Alignment of Corporate Planning and Budget Making Process	2 - Review and refresh 'Code of Corporate Governance'	3 - Relationships between devolved and central functions	4 - Review of Internal Audit	5 - Review of Policy	6 - Review of Committee Services	7 - Review of Performance	8 - Equalities	9 - Fees and Changes	10 - Member Capacity
3	**"Review and improve Corporate Governance Development and training across the Council".** Consult, design and commission appropriate development programmes for councillors, officers and partners.												
3.1	Councillor Development Training *"What is required of councils' by self regulation, what does this mean for Wirral Council and what changes are required in the way Councillors govern the Council and work with officers?"*		X										X
3.1.1	For Groups: looking at Good Corporate Governance, the requirements of Self Regulation, iterating against what this means for the way Wirral Council works, testing and agreeing what Councillors need to do to fulfil their role in the new environment, identifying other changes that will improve Wirral Councils Corporate Governance arrangements.												X
3.1.2	As required: leader, cabinet members and scrutiny members development sessions, covering any support necessary to make specific changes required to update and improve Wirral Councils governance arrangements												X
3.1.3	As required: follow up briefings and/or training for those Councillors where there are specific "Taking the Lead" implications that affected their areas of responsibility.												X
3.2	Officer Development Training *"What is required of councils by self regulation, what does this mean for Wirral Council, what changes are required in the way officers manage the Council and work with Councillors?"*		X							X			
3.2.1	Looking at Good Corporate Governance, the requirements of Self Regulation, iterating against what this means for the way Wirral Council works, testing and agreeing what Officers and Councillors need to do to fulfil their role in the new environment, identifying other changes that will improve Wirral Councils Corporate Governance arrangements.									X			
3.3	Councillors - Officers "Open Door" Sessions		X										
3.3.1	A series of regular, facilitated, "open door" sessions that report back on "Taking the Lead" and introduce, test and interrogate specific issues identified by the wider work programme and work streams.		X										
3.1.2	Data to inform and shape the wider work programme.		X										

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	Corporate Governance Arrangements: Refresh and Renew (Supplemental Report) Work streams.		Cultural Change & Communication	Corporate Governance - Key Lines of Enquiry									
				1 - Alignment of Corporate Planning and Budget Making Process	2 - Review and refresh 'Code of Corporate Governance'	3 - Relationships between devolved and central functions	4 - Review of Internal Audit	5 - Review of Policy	6 - Review of Committee Services	7 - Review of Performance	8 - Equalities	9 - Fees and Changes	10 - Member Capacity
4	**"Undertake a series of 'System Stress Tests' across the Council".** *"How effective is this Council in agreeing policy and converting it into effective practice supported by proper systems?"*												
4.1	Commission a series of council wide "stress tests" to assess the integrity of the different systems (governance, financial and performance management) that support delivery of Wirral Councils services and outcomes.			X	X				X				
4.1.1	To include specific audit and assurance on the effectiveness of Council's fees and charging systems, an assessment of how well different Departments work together to lawfully set fees and charges and recovers monies											X	
4.1.2	Test information and document management systems and performance across different departments against the requirements of Freedom of Information legislation and guidance.								X				
4.1.3	Identify capture, codify and disseminate "best in class" based on good practice in Wirral Council and recognised excellence elsewhere.		X	X	X	X	X	X	X	X	X	X	X
4.1.4	Review and report on the improvements required to improve the Council's capability and capacity in respect of governance arrangements with a specific focus on Legal and Committee Service Team, the council's Policy and Performance functions, Internal Audit and, by the conclusion of the "Taking the Lead" programme, make recommendations on options for a designated Corporate Governance Team/Capability, as well that capability's form and function.		X	X		X	X	X	X	X			
5	**"A Corporate Governance amnesty"**												
5.1	A confidential and secure way for Councillors, Staff, Contractors and Partners to put governance and service issues they are concerned about "on the record".		X						X				
5.2	Ensure that the resource and capability required to prioritise, investigate and resolve these issues are in place or made available.		X						X				
5.3	Ensure that the learning flowing from any such work is reported back to the Councillor / Officer working group for any further action / recommendations.		X						X				

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WIRRAL COUNCIL

CORPORATE GOVERNANCE COMMITTEE

18 JANUARY 2012

SUBJECT:	ELECTED MEMBERS SURVEY
WARD/S AFFECTED:	All
REPORT OF:	CHIEF EXECUTIVE
RESPONSIBLE PORTFOLIO HOLDER:	STEVE FOULKES
KEY DECISION?	NO

1.0 EXECUTIVE SUMMARY

1.1 Members are asked to note the summary of survey responses attached in Appendix A which details responses to the recent Elected Members Survey carried out on the topic of Corporate Governance. Key Themes that have emerged from the survey are highlighted in the report indicating areas for further consideration by the Member Training Steering Group. Members are also asked to consider the proposed Action Plan regarding the Corporate Governance Member Development Programme.

2.0 RECOMMENDATION

2.1 That Committee agree the proposed Action Plan based upon the findings of the Elected Member Survey results.

3.0 REASONS FOR RECOMMENDATION

3.1 The Corporate Governance Committee agreed on the 7 December that a survey be carried out to better understand Members' corporate governance training and development needs under KLOE 10 – Member Capacity. This training and development was a priority and a commitment was made to provide the training required between January and March 2012. The survey also provided an opportunity for Members to identify their other training needs as well as the skills and knowledge that they could share around the wider Corporate Governance improvement projects.

4.0 BACKGROUND

4.1 AKA was engaged by the former Leader of the Council to undertake an independent review of the Council's response to claims made by Mr Martin Morton. AKA produced a Supplemental Report entitled 'Wirral Metropolitan Borough Council's Corporate Governance Arrangements Refresh and Renew' which includes the workstream "Review and improve Corporate Governance Development and Training across the Council".

4.2 The workstream appertaining to Elected Member Capacity – KLOE 10 is being steered and directed by the Member Training Steering Group (MTSG) comprising an Elected Member from each of the three political groups.

4.3 The Cabinet approved a Survey for circulation to all Elected Members on the 7 December and MTSG oversaw the delivery of the survey to all Elected Members with a closing date of the 19 December. The survey could be completed on line, by telephone or on paper with anonymity and confidentiality built into the process for each method. Follow up phone calls were carried out by Officers to maximise returns. A total of 47 Elected Members completed the survey equating to 71%. General themes emerging from the survey included-:

- Members felt they had a wealth of experience to offer to the work being done by the Council on the topic of Corporate Governance arising from many years of service as Councillors, varied professional careers and other community roles.
- Open and honest communication skills were considered to be the most valuable in terms of what would help the work of the Council in this area
- An excellent and broad knowledge base about all aspects of the Council's work was listed as the most popular requirement to practice in a way that shows good corporate governance.
- Honesty, patience and listening skills were the most important skills listed to enable Councillors to practice in a way that shows good corporate governance.
- Finance, general update briefings and IT skills were the most commonly listed development needs.
- More training was also requested on the topics of Decision Making, Analytical Skills and Audit & Risk Management.
- The majority of respondents listed workshops and face to face session as their preferred method of learning.

4.4 It is proposed that the full and detailed responses from the survey be considered by the MTSG with a view to progressing to the next stage of developing a Corporate Governance Member Development Programme ready to commence in February 2012. The development needs identified in the survey responses will also further inform the Member Development Programme for 2012 – 2013 which will commence in June 2012.

4.5 It is also proposed that any pertinent feedback from the "Destination Excellence" Employee Events be taken into consideration by MTSG at the design stage of the Corporate Governance Member Development Programme.

4.6 As the Member Capacity – KLOE 10 underpins other elements of the Corporate Governance Improvement Plan it is proposed that the Draft Corporate Governance Member Development Programme be shared with the Member Leads for all relevant KLOEs to ensure a joined up approach and to maximise effectiveness namely KLOE 2 – The review and refresh of the Code of Corporate Governance, KLOE 8 – Equalities, KLOE 6 Committee Services

5.0 RELEVANT RISKS

5.1 Failure to improve Corporate Governance Development and Training for Elected Members could mean that the Council may be further criticised and suffer further reputational harm.

6.0 OTHER OPTIONS CONSIDERED

6.1 There are no other options to consider at this time. The suggested approach to improving Elected Member capacity is included in the AKA Supplemental Corporate Governance Report.

7.0 CONSULTATION

7.1 This report is to inform and consult Members of the results of the Elected Member Survey and the proposed Action Plan to continue the development of a Elected Member Development Programme.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1 There are no implications arising from this report.

9.0 RESOURCE IMPLICATIONS: FINANCIAL, IT, STAFFING AND ASSETS

9.1 There are no resource implications arising from this report.

10.0 LEGAL IMPLICATIONS

10.1 Until the existing legislation is repealed, the Council could be subject to an external corporate governance inspection under Section 10 of the Local Governance Act 1999.

11.0 EQUALITIES IMPLICATIONS

11.1 An EIA is not required at this stage. An impact assessment will be carried out upon any subsequent training and development activities resulting from this report.

12.0 CARBON REDUCTION IMPLICATIONS

12.1 None

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 None

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APPENCICES

APPENDIX A : Summary Responses of Elected Member Survey

REFERENCE MATERIAL

AKA Supplemental Report 'Wirral Metropolitan Borough Council's Corporate Governance Arrangements :Refresh and Renew

SUBJECT HISTORY

Council Meeting	Date
Corporate Governance Committee	7 December 2011
Corporate Governance Committee	16 November 2011
Corporate Governance Committee	26 October 2011
Corporate Governance Committee	22 September 2011

Corporate Governance - Elected Members Summary Survey Results 2011

1. Some reports were due for a Scrutiny Committee. There is a briefing before the meeting and the papers are not available. This is the 3rd time this sort of event has happened. What action would you take?

	Most Appropriate	Next Most Appropriate	Least Appropriate
a) Talk to the Chairman in advance of the meeting asking that the report be deferred on the basis that it is not available for the briefing. In addition, agree with the Chairman that he/she will write to the Chief Executive cc the Cabinet Member asking for an explanation for the recent failures and remedial action that will be taken?	15	**19**	8
b) Talk to the Chairman in advance of the meeting asking that the report be deferred on the basis that it is not available for the briefing. Agree with the Chairman that he will raise the issue with the Chief Officer in the briefing seeking an explanation of the continued failures. If this explanation is unacceptable, agree with the Chairman that he/she will write to the Chief Executive cc the Cabinet Member asking for an explanation for the recent failures and remedial action that will be taken?	**24**	16	2
c) Write to the Chief Executive cc the Cabinet Portfolio holder asking for an explanation and seeking details of the action he/she proposes?	7	6	**29**

2. The Key Performance Indicators reported for a particular Department show that in the 3rd quarter they have under performed but, states that they will have recovered the situation by the 4th quarter. It's now the end of February. (half way through the 4th quarter). What action would you take?

	Most Appropriate	Next Most Appropriate	Least Appropriate
a) Accept the report	2	0	**35**
b) Ask the Chief Officer attending the Committee to explain whether performance as of today's date proves that they will achieve the outturn performance as per the report to the previous committee	14	**28**	1
c) On receipt of the report agree with the Chairman that he will write to the Chief Officer asking for updated performance information to be submitted in writing to the Committee if necessary on the night to prove that the performance promised in the 3rd quarter will be achieved by the end of the 4th quarter	**29**	12	2

3. A Chief Officer has submitted an improvement programme. Monthly reports appear to suggest everything is on track but from some feedback at local surgeries, members of the public do not appear to recognise the improvements and are still raising concerns.   How would you react?

	Most Appropriate	Next Most Appropriate	Least Appropriate
a) Write to the Chief Officer detailing the concerns of the members of the public and asking for their response	8	10	**22**
b) Write to the Chief Officer cc the relevant Cabinet detailing the concerns of the members of the public and asking for their response)	13	**27**	0
c) As for (b) but ask to meet the Portfolio Holder seeking proposals as to external verification of the delivery of the inputs, outputs and outcomes from the improvement programme.	**25**	4	16

4. You are conducting a surgery when you are approached by a member of the public who happens to be an employee at Wirral Council. They ask if what they tell you can be kept confidential but then continue to relate a story regarding fraudulent behaviour within the team in which they work. How would you respond?

	Most Appropriate	Next Most Appropriate	Least Appropriate
a) Listen but tell the individual that this is outside of your remit and that they should report it to Internal Audit	3	11	**26**
b) Tell the individual you intend to discuss the allegation with the Monitoring Officer maintaining their confidentiality as far as possible.	**35**	7	3
c) Take the issue up personally with the Director of Finance	9	**22**	11

5. In a Committee meeting a fellow Elected Member becomes frustrated by the Officer's answers to their questions. The Elected Member begins to shout and make unreasonable requests for further information.   How would you deal with this situation?

	Most Appropriate	Next Most Appropriate	Least Appropriate
a) Leave the situation to the Chair as it is their role to manage this kind of thing	23	21	1
b) Propose to the Chair a 5 min cooling off period explaining the Officer's role	24	18	1
c) Nothing – the situation is indeed very frustrating and venting a little emotion is acceptable	0	2	38

6. At a Committee meeting an unexpected report is handed out by an Officer. What would you do?

	Most Appropriate	Next Most Appropriate	Least Appropriate
a) Look to the Chair to approve the report as urgent and accept the report on the Officer's recommendation that it is a "good news story"	0	9	29
b) Request an adjournment to understand the detailed and controversial information the report	34	10	0
c) Recommend that the Chair refuses to accept the report and articulate this strongly because you feel due process has not been followed	11	19	8

7. What skills or knowledge could you bring to the work being done by the Council on the topic of Corporate Governance?

Question 7

Category	Value
Experience in Cabinet & Communications	13
Work Experience	13
Honest, straight talking. Ask Questions, think strategically.	9
Peer Member with LGA	3
Academic Qualifications	2
Improvement to PDPs, training, IT.	3
Don't know	1
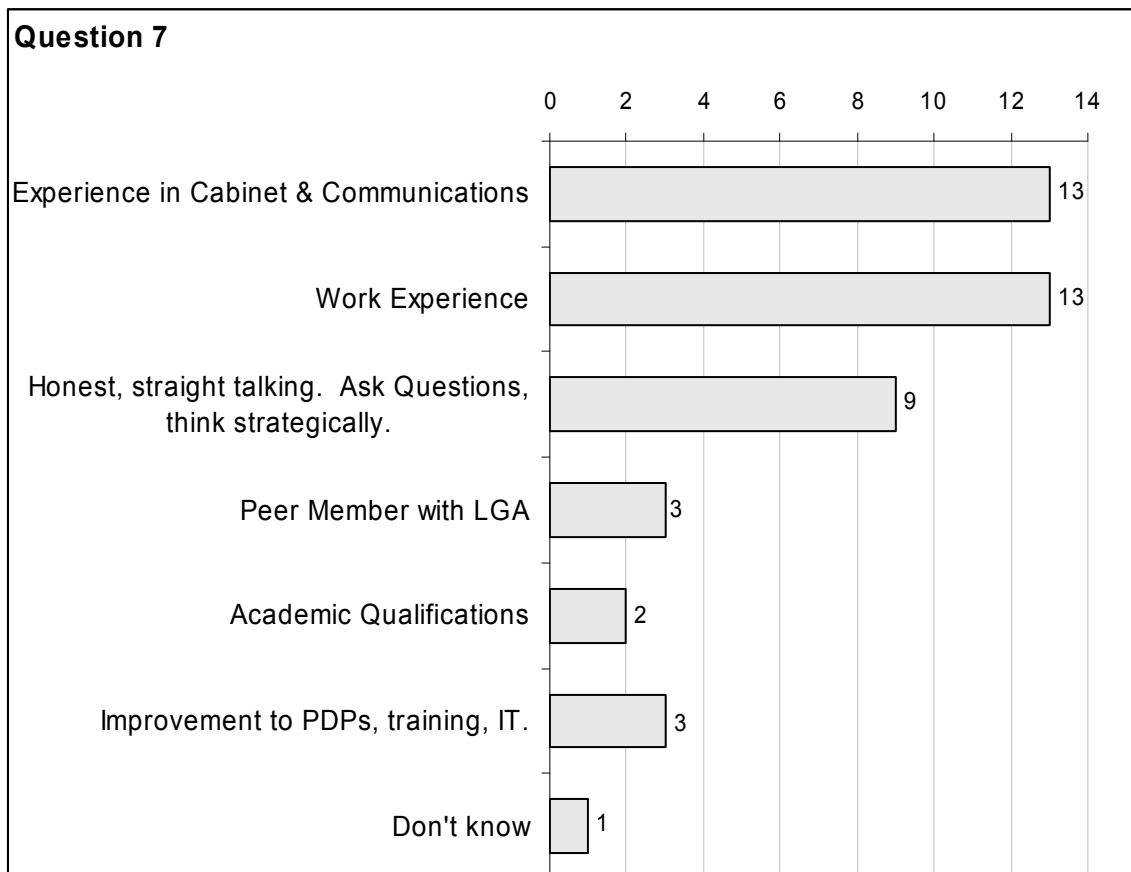
8. What are the key skills and areas of knowledge you think you need as a Councillor to practice in a way that shows good corporate governance?

Question 8

Category	Value
Broad knowledge of Council procedures	12
Political Consensus	2
Scrutiny & positive challenge	8
Members and officers together	2
Performance management	4
Strategic thinking / planning	2
Reports - reading and understanding	7
More training	11
Experience	4
Take responsibility	2
Comms/honesty/patience/listening	12
What good governance looks like	4
Behaviours/how to deal with bullying	1
No Comment	2

9. Are there any other training or development needs that you have at present?

Question 9

Category	Value
Improved comms and culture change	2
Legislation	2
General update training (various)	10
Council structure/finance	7
IT	5
Analytical skills	2
No other development needs	6
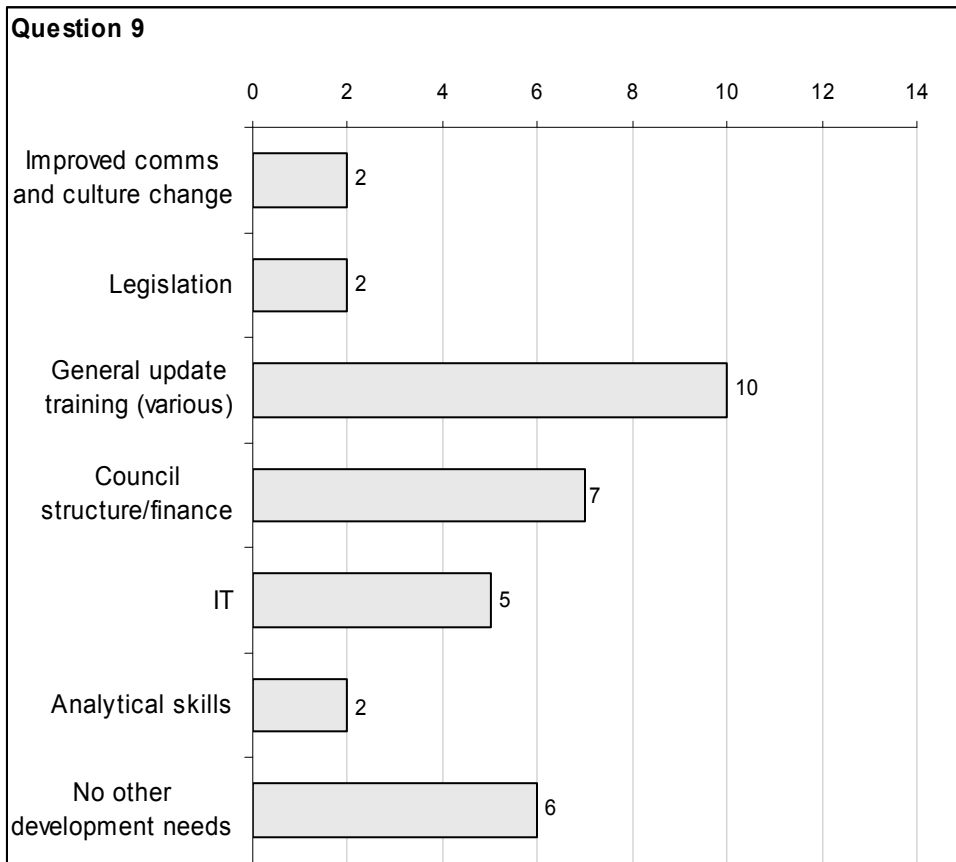
10. How do you like to learn?

Category	Value
One to one coaching/ mentoring	18
Reading materials	19
Workshops/ face to face sessions	41
e-Learning	19
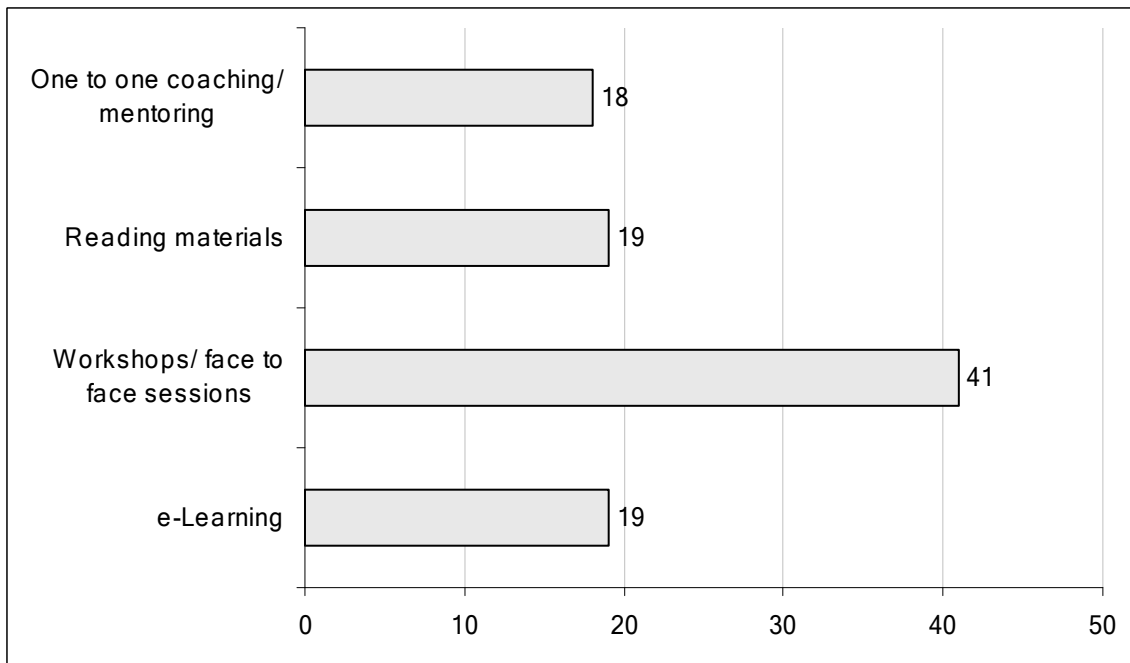
11. Do you have any further observations or comments?

Question 11

Category	Value
Culture change & mainstream improvements	3
Measure performance, service and improvements	2
Quality training	3
Improved officer & member relations	1
IT Support & equipment	1
Don't accept criticisms	1
Better enforcement of Code of Conduct	1
Collaborative working amongst political groups	3
No further comments	5