

**SCHEDULE OF INTERNAL AUDIT and AUDIT COMMISSION RECOMMENDATIONS
(DEPARTMENT OF LAW, HR, ASSET MANAGEMENT)**

No.	IA Report Date	Audit Subject	Recommendation	Risk Level	Current Status	Responsible Officer	Action Taken/ Planned	Completion Date
1.	5 Mar 2009	Members Travel & Subsistence (L&MS and HR)	5.3.1 Members should be reminded of the requirement to itemise in sufficient detail, expenditure incurred on official business.	Medium	GREEN	Surjit Tour	Relevant Members have been reminded accordingly. Many Members provide sufficient details – a blanket reminder is unnecessary.	Completed
			5.3.2 Receipts should be provided to support all claims for expenditure in accordance with the Travel and Subsistence Policy.	High	GREEN		Members provide receipts and they are checked before a claim is sent to Payroll for payment. This will continue.	Completed
			5.3.3 VAT should be recovered in all instances where the item is subject to VAT and the receipt specifies a VAT registration number.	High	GREEN		VAT is separately identified on claim forms and will be recovered by Finance.	Completed
			5.3.4 All claims for travel and subsistence should be submitted and processed promptly.	Medium	GREEN		Relevant Members have been asked to submit their claims promptly and once received they are processed promptly	Completed

			5.3.5 All claims for travel and subsistence should be made in accordance with the Travel and Subsistence Policy.	Medium	GREEN		All claims are checked before being referred to Payroll for payment to ensure they comply with the Council's Travel and Subsistence Policy.	Completed
2.	18 May 2010	Severance Payments (HR)	5.3.2 The process of faxing/scanning form M37 should be reviewed by the improvement group and a new system implemented to ensure the error identified is eradicated for all future exercises.	Medium	GREEN	Chris Hyams	The process has been amended to ensure that all final documents are scanned and faxed documents are not used at the point payment is made.	Completed
3.	8 June 2010 and 4 Nov 2010	Members' Allowances (L&MS) Follow Up –Members' Allowances (L&MS)	6.1.3 Where Members request to be paid their allowances at a lower rate than the 2008/2009 rate, then this agreement should be documented and signed by Members. 6.2.3 Allowances related to the roles of the Mayor and Deputy Mayor should be agreed and clearly documented.	High High	GREEN AMBER	Surjit Tour	All relevant Members have either signed a document or confirmed their consent by email (Summer/ Autumn 2010). An Independent Remuneration Panel has been convened for 27 September 2011 and will review the Members' Allowances Scheme. As part of that process allowances relating to the Mayor and Deputy Mayor will be addressed.	Completed Completion by end Dec 2011.

			6.3.3 Receipts should be produced for all expenses incurred and claimed for by Members. Receipts should be retained and attached to the relevant claim form.	Medium	GREEN		<p>The reviewed/revised Members' Allowances Scheme requires Council approval. Approval will be sought at the meeting of Council on 12 Dec 2011.</p> <p>Members provide receipts for expenses and all receipts are retained for a period of 6 years. Receipts are attached to the claim forms sent to Payroll for payment.</p>	Completed
4.	4 Oct 2010	Analysis of BT Online Bills dated March and June 2010 (L&MS, HR, AM)	5.2.7 (i) Consideration should be given to the examination of the attached call reports (see appendix 1-12) with a view to identifying those calls which have not been made for legitimate Council business purposes. In addition the nominated contacts in the Department of Law, Human Resources & Asset Management, who already receive summary payment reports on a quarterly basis, should utilise the reports to identify any potential misuse or waste and report	High	GREEN	<p>Surjit Tour</p> <p>Chris Hyams</p> <p>Ian Brand</p> <p>Rob Beresford</p>	<p>All HOS and Mangers have been sent the report and date files to investigate the calls made.</p> <p>Any sums payable by staff will be confirmed and recovered.</p> <p>Drew Rai is the nominated contact for L,HR&AM and has circulated the summary payment report to all HOS and will undertake a review of future reports and make comments to relevant HOS on discrepancies identified in phone usage.</p>	Completed

			<p>any such instances to management for consideration for further investigation and action.</p> <p>5.2.7 (ii) The Council does not currently have a Telephone Usage Policy. In the absence of such a policy, the Department of Law, Human Resources & Asset Management's employees should be reminded of the Employee's Code of Conduct which states that 'An employee must not make personal use of property or facilities of the Authority unless properly authorized to do so'.</p> <p>5.2.8 In the interest of economy and efficiency managers should satisfy themselves that all lines for which rental is being paid are required for their services.</p>	High	GREEN		<p>Reminders have been sent to all HOS requiring them to remind their staff of the relevant provision of the Employee Code of Conduct.</p> <p>A review of telephone need has been undertaken by ICT Services and unnecessary phones terminated.</p>	<p>Completed</p> <p>Completed</p>
5.	28 Oct 2010	Sources of Income (L&MS and	7.1.1 <u>Asset Management</u> Current charging for Legal and Surveyor fees needs to be reviewed and	High	GREEN	Surjit Tour Ian Brand		

		AM)	<p>approved by Committee.</p> <p>7.2.1 <u>Legal</u> Current charging for Highways Agreements, completion of rent review memorandums, requests for copy documents (deeds etc), redemption of Council Mortgages, legal work for name changes to Council property, legal charges to secure and redeem Social Services accommodation and deferred payments should be reviewed, documented and appropriately approved.</p> <p>7.3.1 <u>Legal</u> Current charging for Section 106 (Planning Development) legal fees and Section 278 (Highways Development) legal fees should be reviewed, documented and appropriately approved.</p>	High	GREEN		<p>GENERIC RESPONSE</p> <p>A Fees and Charges Schedule has been prepared for L,HR&AM.</p> <p>The Schedule will detail all fees and charges levied by the Dept.</p> <p>The Schedule will be sent to the Director of Finance who is compiling a comprehensive schedule of all Council fees and charges.</p>	Completed
6.	12 Jan 2011	Tendering Procedure s – Football Pitch	5.3.1 A copy of the Schedule of Tenders document should be sent to the Corporate Procurement Unit by Legal	High	GREEN	Surjit Tour		

		Drainage, Birkenhead Park (L&MS)	and Member Services as per Contract Procedure Rule 11.4. 5.3.2 A copy of the Schedule of Tenders document should be sent to the Corporate Procurement Unit by Legal and Member Services as per Contract Procedure Rule 11.4. 5.3.3 OSS staff should be advised of tender deadlines in good time to enable paperwork to be prepared.	High High	GREEN GREEN		GENERIC RESPONSE The Contract Procedures Rules have been revised to clarify these recommendations. A copy of the Schedule of Tenders is nonetheless being sent to the Corporate Procurement Unit as Internal Audit recommends. Cabinet recommendation to Council to approve the revised Contract Procedure Rules is being sought on 22 September and Council approval will be sought on 17 Oct 2011.	Completed
7.	22 Mar 2011	Creditor Payments – Wallasey Complex (L&MS)	5.3.1 Once payment has been made in the 1Business system, invoices, payment requisition forms, payment certificates, or other equivalent documents	Low	GREEN	Surjit Tour	A stamp is used to confirm payment of invoices.	Completed

		<p>should be marked in an appropriate way to indicate that it has been paid.</p> <p>5.3.2 Management should ensure that there is a clear method of approval for the Department when using specialist suppliers and quotes are not obtained, and also for evidencing appropriate division of duties.</p>	Medium	GREEN		<p>A reminder has been sent to departments to ensure quotes are obtained and disclosed via the 1Business system when requesting payment of associated invoices. Staff within Central Services have been advised not to process invoices where the relevant quotations have not also been disclosed unless authorised by management; they should instead always request the relevant quotations.</p>	Completed
		<p>Consideration should also be given to reminding all sections within the Department that i-Procurement should be utilised wherever possible, including the non-catalogue for items or suppliers not in the catalogue.</p>		GREEN		<p>Staff have been reminded that the i-procurement system should be utilised whenever possible.</p>	Completed

8.	22 Mar 2011	Annual Governance Statement (AGS) Review 2010/11 (HR)	5.3 The existence and contents of the Confidential Reporting (Whistleblowing) Policy should gain a higher profile. This should be achieved by regular reminders to all staff of its existence, significance and location.	High	AMBER	Chris Hyams	The Council's Whistleblowing Policy has been revised and is scheduled to be considered by the Council's Employment and Appointments Committee on 29 September 2011.	29 September 2011
			5.4 The Employment and Appointments Committee should undertake monitoring of the effectiveness of the Confidential Reporting (Whistleblowing) Policy.	Medium	AMBER		Once the revised is approved a training and awareness campaign will be undertaken	Dec - Jan 2011
			5.5 Training and/or guidance should be provided to all those officers listed in the Confidential Reporting (Whistleblowing) Policy on how to advise on the investigation of any confidential reports received, so as to ensure a level of consistent treatment across all	High	AMBER		The revised Whistleblowing Policy requires a report to be presented to the E&A Committee twice a year on issues arising in relation to whistleblowing issues.	22 March 2012 (first report to the E&A Committee)
							The guidance and training to be provided in relation to the revised Whistleblowing Policy will address all necessary training needs.	Dec – Jan 2012

		<p>departments.</p> <p>5.6 A decision should be made as to whether Staff Surveys are considered appropriate and if so, the frequency with which a Staff Survey should be undertaken. The strategy put in place should then be adhered to.</p> <p>5.7 The job descriptions of Chief Officers and senior managers should be reviewed and details of responsibilities and tasks in respect of risk management included where necessary.</p> <p>5.8 A decision should be made (and put into practice) as to the most efficient and effective method to be adopted to ensure all staff are made aware, and continue to be made aware, of the policy/procedure relating to</p>	<p>High</p> <p>High</p> <p>Medium</p>	<p>AMBER</p> <p>GREEN</p> <p>AMBER</p>		<p>Once the time frames have been agreed this will be communicated via the "One Brief" cascade.</p> <p>The Council is implementing a new performance appraisal commencing with the CEX and Chief Officers.</p> <p>This will outline expectations and performance outcomes and would be a more appropriate mechanism to deal with this recommendation.</p> <p>HR is in process of revising all policies and procedures on the HR Handbook and how they are accessed and communicated to employees. HR is looking at the process of how all key policies are</p>	<p>By March 2012</p> <p>Ongoing</p> <p>March 2012</p>
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			conflicts of interest.				communicated to the workforce. This will include conflict of interest.	
9.	29 Mar 2011	Annual Governance Statement (AGS) Review 2010/11 (L&MS)	<p>5.3 The Code of Corporate Governance should be amended and regularly reviewed to ensure it complies with the CIPFA/SOLACE Framework for Delivering Good Governance in Local Government.</p> <p>The following areas require updating/including:</p> <ul style="list-style-type: none"> • The terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel need to be included. • Section 2.3 needs updating to reflect the fact that the Partnership Framework and Toolkit has been compiled. • Details in regards to items exempt from publication and discussion 	High	AMBER	Surjit Tour	<p>The Code of Governance will be amended to comply with the CIPFA/SOLACE framework.</p> <p>Consultation with Group Leaders and Officers and amendments agreed if any)</p> <p>The revised Code of Corporate Governance will first go to Cabinet.</p> <p>Council approval will be required.</p>	<p>By end Sept 2011.</p> <p>Oct-Nov</p> <p>24 Nov 2011</p> <p>12 Dec 2011.</p>

		<p>at public meetings need to be included.</p> <ul style="list-style-type: none"> • The principles of the role of the Chief Financial Officer, as detailed in the CIPFA document entitled 'The role of the Chief Financial Officer' and the 'Application Note to Delivering Good Governance in Local Government: A Framework' (2010) need to be included. • Appropriate supporting evidence items will need updating/including to correspond to the relevant Corporate Governance Principle as detailed in the CIPFA/Solace "Delivering Good Governance in Local Government" document. • Details of the Consultation and Negotiation Policy need to be included. <p>5.4 In addition to updating the Council's Code of Corporate Governance, it must also be decided and ensured:</p>	High	AMBER		Steve Maddox wanted all staff to read and acknowledge they have read the Code and all associated documents.
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			<p>(i) The Code and new webpage are launched as a matter of urgency. Employees have access to, and are made aware of the webpage and its requirements (e.g. through notifying staff via email or the Intranet and/or disseminating information through the Executive Team).</p> <p>(ii) How the Code will be linked to the new webpage.</p> <p>(iii) That a mechanism is in place to ensure documents are up to date and added where necessary.</p> <p>(This may require a note through Executive Team and/or a note via email/intranet to remind the 'owners' of documents to ensure the latest version is made available through the webpage. Perhaps staff should be reminded that if they have been responsible for the</p>			<p>The new Code once approved by Council, will be published on the Website/Intranet and awareness raised via One Brief and emails to all staff requesting them to read it. HOS/Managers will be required to also brief teams and those without email/internet access at team meetings.</p> <p>The website page that has been prepared will be revised to make it more user friendly. Discussions have been had with ITC to consider what improvements can be made. Arrangements being made to revise website.</p>	<p>Dec 2011/Jan 2012.</p> <p>Nov-Dec 2011</p>
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		<p>production of a new document/policy that it should be subsequently be put forward for inclusion on the webpage. It may also be possible to utilise a 'Date Issued' section against documents as a way of identifying where a document is not up to date).</p> <p>5.5 The Constitution should be reviewed and all necessary amendments should be considered and included as appropriate.</p> <p>5.6 A full review of the Partnership Register must be undertaken to ensure that details of all partnerships have been recorded. The Register should then be monitored and maintained on an ongoing basis.</p> <p>5.7 The effectiveness of the Partnership Framework and Toolkit needs to be</p>	<p>High</p> <p>High</p> <p>High</p>	<p>AMBER</p> <p>GREEN</p> <p>GREEN</p>	<p>The Constitution will be amended to reflect the changes required.</p> <p>The revised Constitution will first go to Cabinet.</p> <p>Council approval will be required.</p> <p>The Partnership Register has been reviewed. Chief Officers have been asked to confirm what partnerships they are involved in. The Register required updating and that task is being undertaken.</p> <p>The effectiveness of the Partnership Framework and Toolkit has been reviewed. It is recognised</p>	<p>24 Nov 2011.</p> <p>12 Dec 2011.</p> <p>Completed</p> <p>Completed</p>
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		<p>reviewed to ensure it is being adopted Authority wide. A strategy should be developed for implementing and communicating the Partnership Framework and Toolkit.</p>				<p>that the Framework and Toolkit needs to be revised and updated to ensure it remains relevant and is more user friendly.</p> <p>A programme is in place to update and make the necessary amendments.</p> <p>An awareness and implementation plan will be drawn up and implemented once the amendments are complete</p>	<p>By end Dec 2011</p> <p>Jan 2012</p>
		<p>5.8 It should be ensured that a report on the activity of the scrutiny function is produced and reported on an annual basis.</p>	High	GREEN		<p>At the first meeting of the Scrutiny Programme Board in each Municipal Year, a report is provided which details the purpose, role and importance of the scrutiny function. Details are also provided of what scrutiny projects have been undertaken in the previous year.</p>	Completed
		<p>5.9 Those Members not having responded to the proposed increase in their Basic and Special Responsibility Allowance rates should be reminded</p>	Medium	GREEN		<p>All relevant Members have either signed a document or sent an email confirming their respective positions.</p>	Completed

		<p>again of the need to clarify the action they wish to take with regard to their allowance for the financial year 2011/2012 as a matter of urgency.</p> <p>5.10 The 'Guidance for Report Authors' document should be reviewed and updated and circulated to all relevant officers.</p>	High	AMBER		<p>A new report template has been devised and Member approval is being sought. Guidance for Report Authors will be prepared and circulated once the new report template has been approved.</p>	<p>Within 3 weeks of the report template being approved.</p>
		<p>5.11 The Council's Constitution should be adhered to in all cases. The Constitution's Budget and Policy Framework Procedure Rules should be reviewed and amended as necessary so as to ensure that clear guidance on the treatment of budget items is provided.</p>	High			<p>The basis and rationale behind this recommendation refers to the suspension of Standing Orders relating to budgetary matters by Council.</p> <p>Council has the power to suspend Standing Orders and the necessary guidance is provided by the Monitoring Officer.</p> <p>The Council is acting lawfully.</p>	<p>No action required.</p>
		<p>5.12 A review of the use</p>	High	GREEN		<p>A review of the Mod.Gov System has been done.</p>	<p>Completed</p>

			and benefits of the Modern Councillor system should be undertaken and appropriate action taken on the results.				Greater functionality is now being used.	
10.	31 Mar 2011	Members' ICT Governance	<p>5.2.1 A paper should be presented to Cabinet for approval that:</p> <ul style="list-style-type: none"> The Head of Legal and Democratic Services is owner of the Code of Practice, and has responsibility for ensuring it is up to date, remains relevant and continues to provide best practice guidance in the use of ICT by Members. The Head of IT Services should provide technical advice and guidance to the Head of Legal and Democratic Services in the production and review of the Code of Practice, to ensure it is in line with the Council's 	Medium	GREEN	Surjit Tour Geoff Patterson	<p>Members Code of Practice on the Use of IT Facilities has been revised.</p> <p>The political Groups will be consulted.</p> <p>Cabinet approval sought in relation to the final report in Nov 2011.</p>	<p>Completed</p> <p>Oct/Nov 2011</p> <p>By 24 Nov 2011.</p>

			<p>ICT Security Policy.</p> <ul style="list-style-type: none"> The Code of Practice for use of ICT by Members should be reviewed on at least an annual basis, in line with the review of the ICT Security Policy, and updated where necessary by Officers. 						
			<p>5.2.2 An INET01 and Code of Practice should be signed by Members on election, or re-election in line with the Council's election policy; unless a significant, critical or fundamental update is necessary, where all Members should be required to sign the updated version when it is issued.</p>	Medium	GREEN			<p>David Waddington ensures all relevant documents are signed.</p>	Completed
			<p>5.2.3 Regular information security reminders should be issued to Members. This could be sent with the employee reminder but not necessarily.</p>	Medium	AMBER			<p>At the start of each Municipal Year (starting 2012), members will be sent a reminder of relevant Council Policies and Codes of Practice.</p>	Amber

		<p>5.2.4 The CoP should be amended to state that, in the event of a Member resigning, access to systems should cease immediately, and equipment should be returned as soon as practicable.</p>	Medium	GREEN		<p>The Code of Practice has been revised.</p> <p>Awaiting Cabinet approval.</p>	<p>Completed</p> <p>By 24 Nov 2011</p>
		<p>5.2.5 The INET01 and INET03 forms should be retained in line with the Corporate Records Retention policy.</p>	Medium	GREEN		<p>The records are retained for 6 years by Legal & Member Services.</p>	<p>Completed</p>
		<p>5.2.6 The INET01 completed by Members following the May 2011 election should contain a reference to the Code of Practice for Members' Use of Council Computer Facilities.</p>	Low	GREEN		<p>Form INET01 has been amended in accordance with the recommendation.</p>	<p>Completed</p>
		<p>5.2.7 To ensure uniform access to the Internet for Members, all Members should be in the Bloxx group for Councillors.</p>	Low	GREEN		<p>The Bloxx Group has been reviewed and updated.</p>	<p>Completed</p>

AUDIT COMMISSION REPORTS

Democratic Arrangements

No.	IA Report Date	Recommendation	Current Status	Action Taken/ Planned	Completion Date
1.	2006/07	R1 - Assess and review the amount of senior officer time spent on serving the current democratic arrangements and whether that currently provides value for money.	GREEN	Review undertaken resulting in the number. of Scrutiny Committees reducing from 10 to 6 (inc. SPB)	Completed
2.		R2 - Continue to support and develop the training for the scrutiny function. Including the ongoing provision of training for new scrutiny members and the development of more tailored training such as performance management.	GREEN	<p>Scrutiny is supported.</p> <p>The Scrutiny Programme Board was given training on the role of scrutiny committee/scrutiny function last year.</p> <p>The Members Training Steering Group has developed a Member Training Programme which also identifies scrutiny training as an area of development. Group Leaders have been asked (last year) by the MSTG to confirm their agreement to the Development Programme being shared with all members. Responses are still awaited.</p>	Completed
3.		R3 - Review the current scrutiny committee structure	GREEN	The constitution clearly details the role and remit of each scrutiny committee.	Completed

		<p>and clearly identify the remit of each committee in order to reduce duplication of activity and review. Including:</p> <ul style="list-style-type: none"> • ensure that performance information is reported to the most relevant committee; and • that all committees have put in place work programmes for the coming municipal year 		<p>Performance information is reported to the Audit and Risk Management Committee.</p> <p>Work programmes are developed by all Scrutiny Committees.</p>	
4.		<p>R4 - Continue to review the arrangements for cabinet in order to further reduce the number of items considered. Including:</p> <ul style="list-style-type: none"> • review the effectiveness of the virtual committee in reducing items taken to cabinet; and • monitor the 	<p>GREEN</p> <p>GREEN</p>	<p>More powers have been delegated to Members and Officers to assist with reducing the number of matters dealt with by Cabinet.</p> <p>A review of the number of items appearing on Cabinet Agendas has been undertaken. This included the “library” used on Mod.Gov to collate all relevant background and supporting papers. This data was analysed to ascertain any trends and consideration given to how items could be reduced.</p> <p>A further statistical review has been undertaken to consider the number of reports contained with Cabinet</p>	<p>Completed - Considered by COMT</p>

		<p>impact of the new scheme of delegation in reducing the cabinets work load and explore the opportunity to extend the scheme further.</p>		<p>Agendas since 2009/10.</p>	
5.		<p>R5 - Review current performance indicators to ensure they enable members to understand the impact and value for money of the Council activities.</p>	<p>GREEN</p>	<p>Performance Indicators have been revised and updated.</p> <p>Indicators are reported to the Audit and Risk Management Committee.</p>	<p>Completed</p>

Ethical Governance

No.	IA Report Date	Recommendation	Current Status	Action Taken/ Planned	Completion Date
1.	June 2009	R1 - Emphasis to members and officers that they can: <ul style="list-style-type: none"> • make allegations of misconduct by a member or an officer without fear of reprisal; and • be confident in the actions they should take as individuals if they become aware of such misconduct 	GREEN	The Council's Members' Code of Conduct and Officers Code of Conduct has been widely circulated amongst Members and Officers. All queries and advice sought on bringing a complaint is addressed by the Monitoring Officer or Senior Staff within L&MS and Members and Officers are advised that they can raise issues without fear of reprisal etc.	Completed
2.		R2 - Raise the profile of the Standards Committee by: <ul style="list-style-type: none"> • developing a work programme and action plan; • undertaking an annual assessment of standards of conduct of members and 	GREEN	Standards Committee profile has been raised through use of the Council's website. The Constitution specifically deals with the Standards Committee and sets out the standards framework and process. The Standards Committee undertakes an annual assessment of standards with an overview being provided by the Independent Chair. The Standards Committee agendas and minutes are generally public documents which are published via	Completed

		<p>officers and taking action as appropriate;</p> <ul style="list-style-type: none"> learning from and using the findings of the allegations it receives, reviews, determinations and reports form the Local Government Ombudsman, internal and external audit, complaints and whistleblowing to plan and evaluate its work; and communicating its work to a wider public 		Mod.Gov.	
3.		<p>R3 - Review the level of training for members and officers on the ethical agenda and:</p> <ul style="list-style-type: none"> use information obtained through feedback and monitoring processes of individuals/groups 	GREEN	<p>Training is provided on the ethical framework which is available to officers and Members.</p> <p>The Independent Chairs attend the Standards for England Annual Conference.</p> <p>A further review of the current ethical governance arrangements and requisite training needs will be assessed once Council determines what alternative arrangements (if any) it wishes to have in place following the abolition of Standards for England.</p>	Completed

		<p>/panels/ committees and from other sources to plan training, development and support for individual members, groups of members and members of the Standards Committee and for officers; and</p> <ul style="list-style-type: none">• introduce for independent members an induction programme that includes training on the members' and officers' codes of conduct and the function of the Standards Committee and attendance at meetings of, for example, Cabinet, overview and Scrutiny, planning and licensing committees and			
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		the full Council.			
4.		R4 - Ensure that information on the Council's ethical governance arrangements and its expectations about high ethical standards by all is widely disseminated, both internally and externally.	GREEN	<p>Information relating to the Council's Ethical Governance arrangements is clearly stated in the Constitution.</p> <p>Ethical governance arrangements are available on the Council's website and Intranet.</p> <p>All new members and officers receive a copy of the Code of Conduct and training provided/available to new (and existing) members and officers.</p>	Completed
5.		R5 - Clarify the circumstances in which the use of Council resources would constitute improper use for political purposes within the Members' Code of Conduct.	GREEN	A Guidance note has been prepared and circulated to all Members.	Completed
6.		R6 - Consider the implications of the survey results relating to communication between officers and members, challenging member recommendations and council decisions and tacking inappropriate	GREEN	<p>Implications of the survey have been considered.</p> <p>It is acknowledged that further awareness and building confidence needs to be built upon particularly in light of the PIDA inquiry and Martin Smith report.</p>	Completed

		behaviour to create a culture of openness and transparency.			
7.		R7 - Increase awareness of the Whistleblowing Policy and re-enforce assurances that reporting through this mechanism can be done without fear of reprisal.	GREEN	<p>The Council's current Whistleblowing Policy has been widely circulated amongst members and Officers and confirms issues can be raised without fear of reprisal etc.</p> <p>The Policy has been revised and once approved, an awareness campaign will be rolled out.</p>	Completed

Probity in Partnerships

No.	IA Report Date	Recommendation	Current Status	Action Taken/ Planned	Completion Date
1.	2003/04	R1 - Complete a comprehensive review of the Council's relationship with all external partners. Establish a register of partnerships, documenting the nature of the Council's relationship.	GREEN	Register of Partnerships has been compiled. It is however acknowledged that a review of the Partnership Register would now be appropriate.	Completed
2.		R2 - Assign responsibility for corporate co-ordination of partnership issues to one officer. (Implementation of corporate guidance to remain responsibility of relevant chief officers.	GREEN	Corporate co-ordination of partnership issues has been assigned to the Director of Law, HR and Asset Management.	Completed
3.		R3 - Draw up corporation guidelines for entering into a	GREEN	A Partnership Toolkit has been prepared which provides guidance on entering into a partnership and includes a risk assessment to help determine and consider the relevant risks associated with partnership	Completed

		partnership. this should include a risk analysis of partnership working.		working in a particular context. It is however acknowledged that the Partnership Toolkit should be reviewed and revised.	
4.		R4 - Complete memorandum of agreements for SureStart partnerships as a matter of urgency.	AMBER	The previous Head of Legal & Member Services has confirmed that governance documents have been despatched and the Council is responsible for Children Centres. Enquiries are being made into this issue.	End Oct 2011
5.		R5 - Ensure memorandum of agreements are prepared for future partnerships before they begin operating.	GREEN	As with other projects, the use of memorandums of agreement are commonly used.	Completed
6.		R6 - Periodically clarify to partnership board members and partnership staff, the roles and responsibilities of partnership board members.	GREEN	The remit, scope, arrangements, roles of officers involved are defined. A review will however will be undertaken as part of the wider review of partnerships to assess whether any further clarity can be provided.	Completed End Nov 2011
7.		R7 - Periodically check partnerships comply with Wirral's governance requirements, for example, standing orders, ethical	GREEN	Internal Audit undertake periodical checks.	Completed

		framework, declaration of interests etc			
8.		R8 - Ensure legal representation is available, as appropriate, to partnership board meetings.	GREEN	Legal advice is available at board meetings if required.	Completed
9.		<p>R9 - Partnerships to ensure training requirements for all staff/board members are appropriately assessed and adequate resources are available to deliver those identified training needs.</p> <p>Assessment to include consideration of governance issues and support with the timeliness and quality of supporting records for grant claims.</p>	GREEN	<p>Audit Commission Qualification letters on grant claims and letters to the Director of Finance on governance and control issues are dealt with on an ongoing basis and summarised in the Audit Commission Annual Grant Claim Report which is monitored by the Audit and Risk Management Committee.</p> <p>Furthermore, the issue of training needs will be raised at the next most practicable Partnership Board meetings and an assessment of training needs will be considered/undertaken.</p>	<p>Completed</p> <p>Dec 2011 (subject to scheduled Board meetings)</p>

Governance in Partnerships

No.	IA Report Date	Recommendation	Current Status	Action Taken/ Planned	Completion Date
1.	June 2009	<p>R1 - Establish a Corporate Framework for governing partnerships, including the following:</p> <ul style="list-style-type: none"> • Roles and responsibilities of corporate and service based officers and councilors. • Establishing effective links between Council departments particularly the Legal Department (governance), Finance Department (risk and financial accounting) and Corporate Services (corporate policy). 	AMBER	<p>A Partnership Toolkit has been prepared however needs to be revised.</p> <p>Following a meeting with the Audit Commission on 11 August 2011, it was recognised that the changing nature of partnerships and the role of the Council as a commissioner of services should be evaluated. It would be more appropriate for the Council to consider the development of a broader Corporate Framework to govern commercial arrangements which included partnerships, commissioning and commercial agreements.</p> <p>The Audit Commission considered the above approach had merit and was a sensible and effective way forward.</p>	End Dec 2011

		<ul style="list-style-type: none">• Establishing effective links between the Partnership Toolkit and the Partnership Risk Management Toolkit as well as the Council's overall governance and risk management arrangements, such as the risk register and standing orders.• Policy and guidance for relevant officers, including those in service departments.• Developing clear criteria against which partnerships can be evaluated to determine that they help to achieve the Council's and partners' corporate objectives cost		
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		<p>effectively.</p> <ul style="list-style-type: none"> • Review and challenge of partnerships to ensure value for money is achieved and risks are manageable. • Developing appropriate reporting processes, including reporting to members, partners, service users and the wider public. • Ensuring the current Internal Audit work is completed on a timely basis and includes mapping the proposed implementation of a partnership toolkit against good practice. 			
2.		R2 - Launch the Corporate Framework with	GREEN	The Corporate Framework for governing partnerships was developed and launched.	Completed

		relevant training and support for officers and members and ensure all stakeholders are aware of where responsibility and accountability lie.			
3.		<p>R3 - Create a partnership database to ensure the following are satisfied:</p> <ul style="list-style-type: none"> • Completeness of details of existing partnerships. • Accurate and up to date records including review of protocols and governing documents with partners. • All relevant information captured in compliance with good practice. • Facility to enable drill down to supporting records, including risk assessment 	AMBER	The Partnership Register has been prepared however it is acknowledged that key details and issues relating to each partnership need to be updated.	By End of Nov 2011

		and accounting treatment.			
4.		R4 - Review the adequacy of the capacity to establish and take forward robust corporate arrangements and provide subsequent maintenance and support once established.	GREEN	A review of resources required to move forward corporate arrangements has been undertaken and consideration given to how the Council's needs can be met more effectively.	Completed
5.		R5 - Review whether the roles and responsibilities assigned by the previous Executive Board remain fit for purpose and establish clear corporate leadership.	GREEN	A review has been undertaken of the previous roles and responsibilities assigned by the LSP Exec Board. It was agreed that the Director of Law, HR and Asset Management would take the corporate lead in dealing with partnership issues.	Completed
6.		R6 - Ensure the reviews of the governance arrangements for the LAA is completed in line with the requirements of the LAA Programme Board in June 2008.	N/A	The LAA has been abolished.	N/A
7.		R7 - Ensure lead officers are clear	GREEN	The Partnership Toolkit was launched. Officers were made aware of the Toolkit which dealt with risk assessment issues and obligations.	Completed

		about their responsibility for the risk assessment of partnerships for which they are accountable, taking advice from colleagues where appropriate.		However the Toolkit will be reviewed and improved.	By end Dec 2011
8.		R8 - Establish a tracking system to monitor the implementation of audit and other review agency recommendations and ensure all actions plans are routinely monitored at corporate level and by members.	GREEN	Discussions have been held with Internal Audit to agree working arrangements, including undertaking and monitoring of agreed recommendations for L,HR and AM. This document will serve as a mechanism to capture all recommendations and will be updated and actions monitored and reviewed periodically by the Director of Law, HR and Asset Management with his Heads of Service.	Completed

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