

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				
Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Source documents/good practice from CIPFA/SOLACE guidance.	Wirral source documents, good practice & evidence	Responsible officers
1. Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users	<p>Develop and promote the authority's purpose and vision</p> <p>Review on a regular basis the authority's vision for the local area and its impact on the Authority's governance arrangements</p> <p>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties.</p> <p>Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and Performance.</p>	<p>Used as a basis for:</p> <ul style="list-style-type: none"> • Corporate and service planning • Shaping the community strategy • Local area or performance agreements • Governance code <p>Partnership protocol Governance code Annual financial statements Annual business plan</p>	<p>Corporate Plan & Directorate Plans</p> <p>Wirral 2030 Strategy</p> <p>Local Public Service Board and Terms of Reference</p> <p>Health and Wellbeing Board</p> <p>Public consultations</p> <p>Improvement Board and Plan</p> <p>Performance Management Framework</p>	Chief Executive / Council Leader
2. Ensuring that users receive a high quality of service whether directly, or in partnership or by commissioning.	<p>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.</p> <p>Put in place effective arrangements to identify and deal with failure in service delivery</p>	<p>This information is reflected in the authority's:</p> <ul style="list-style-type: none"> • corporate plan • annual business plan • medium-term financial strategy • resourcing plan <p>In order to ensure improvement.</p> <p>Complaints procedure</p>	<p>Performance management Framework</p> <p>Performance Dashboard</p> <p>Corporate Plan</p> <p>Medium Term Financial Strategy</p> <p>Complaints Procedure</p> <p>Customer Access Strategy</p>	<p>Head of Policy & Performance / Director of Public Health</p> <p>Director of Resources</p> <p>Head of Legal Services</p>
3. Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.	<p>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. Measure the environmental impact of policies, plans and decisions.</p>	<p>Ensure that timely, accurate and impartial financial advice and information is provided to assist in decision making and to ensure that the Council meets its policy and service objectives and provides effective stewardship of public money and value for money in its use.</p> <p>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</p>	<p>Revenue Monitor</p> <p>Capital Monitor</p> <p>Annual Governance Report (to be Audit Findings Report from September 2013)</p> <p>Health economic evaluation of Public Health Commissioning Investment (e.g. cost benefit/outcomes of Weight Management and Drug & Alcohol services)</p> <p>Public Health prioritisation process</p>	Director of Resources

		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				
Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Source documents/good practice from CIPFA/SOLACE guidance.	Wirral source documents, good practice & evidence	Responsible officers
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.	Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.	Ensure that the CFO reports directly to the chief executive and is 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. Constitution Record of decisions and supporting materials	<ul style="list-style-type: none"> • Council Constitution • Scheme of Delegation / Member officer protocol • Record of decisions and supporting materials Role of the ward councillor	Head of Legal Services
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.	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 authority, taking account of relevant legislation, and ensure that it is monitored and updated when required Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management. 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 Make a senior officer (the S151 officer) 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	Constitution Ensure that the Council's governance arrangements allow the CFO direct access to the CEO and to other leadership team members. New Chief Executive and leader pairing consider how best to establish and maintain effective communication 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: <ul style="list-style-type: none"> • Leads the promotion and delivery by the whole organisation of good financial management so that public 	<ul style="list-style-type: none"> • Revised Scheme of Delegation • Protocol for delegated decisions. Revised Member Decision-Making process (agreed between Chief Executive and Leader). Job Descriptions / specification for Section 151 Officer and Monitoring Officer Performance management and appraisal framework Publication of annual budget and accounts Internal audit reports Contract Procedure Rules and Financial	Head of Legal Services Head of HR Head of HR Director of Resources Chief Internal Auditor Director of resources

	<p>system of internal financial control.</p> <p>Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with</p>	<p>money is safeguarded at all times and used appropriately, economically, efficiently and effectively.</p> <ul style="list-style-type: none"> Has a line of professional accountability for finance staff through out the organisation <p>Ensure that budget calculations are robust and reserves adequate, in line with CIPFA's guidance.</p> <p>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.</p> <p>Monitoring officer provisions Statutory provision Job description/specification</p>	<p>Regulations</p> <p>Senior Management Structure</p>	<p>Chief Executive</p>
<p>3. Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other</p>	<p>Develop protocols to ensure effective communication between members and officers in their respective roles</p> <p>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 (if applicable)</p> <p>Ensure that effective mechanisms exist to monitor service delivery.</p> <p>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.</p> <p>When working in partnership ensure that members are clear about their roles and responsibilities both individually and</p>	<p>Member/officer protocol</p> <p>Pay and conditions policies and practices</p> <p>Establish a medium term business and financial planning process to deliver strategic objectives including:</p> <ul style="list-style-type: none"> A medium term financial strategy to ensure sustainable finances A robust annual budget process that ensures financial balance A monitoring process that enables this to be delivered <p>Ensure that these are subject to regular review to confirm the continuing relevance of assumptions used.</p> <p>Protocols for partnership working. For</p>	<p>Member Officer Protocol Revised Member Decision-Making process (agreed between Chief Executive and Leader).</p> <p>Terms & Conditions</p> <p>Performance Management Framework Annual corporate planning process</p> <p>Medium Term Financial Strategy Annual Budget setting process Budget monitors</p> <p>Annual public consultation process</p>	<p>Head of Legal Services Chief Executive</p> <p>Head of HR</p> <p>Head Of Policy & Performance / Director of Public Health</p> <p>Director of Resources</p> <p>Head of Neighbourhoods & Engagement</p>

	<p>collectively in relation to the partnership and to the authority</p> <p>When working in partnership: Ensure that there is clarity about the legal status of the partnership Ensure that representatives or organizations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.</p>	<p>each partnership there is:</p> <ul style="list-style-type: none"> • a clear statement of the partnership principles and objectives • clarity of each partner's role within the partnership • definition of roles of partnership board members • line management responsibilities for staff who support the partnership • a statement of funding sources for joint projects and clear accountability for proper financial administration • a protocol for dispute resolution within the partnership 	<p>Annual JSNA consultation process (identification of key issues)</p> <p>Partnership Register Partnership Protocol Partnership Toolkit</p> <p>Terms of Reference – Local Public Service Board and Health and Wellbeing Board</p> <p>Independent Remuneration Panel</p>	<p>Head of Policy & Performance / Director of Public Health</p> <p>Head of Legal Services</p> <p>Head of Policy & Performance / Director of Public Health</p>
Core Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour				
Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Source documents/good practice from CIPFA/SOLACE guidance.	Wirral source documents, good practice & evidence	Responsible officers
1. Ensuring authority Members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.	<p>Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.</p> <p>Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols</p> <p>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.</p>	<p>Members'/officers' code of conduct Performance management system Performance appraisal Complaints procedures Anti-fraud and -corruption policy Member/officer protocol</p> <p>Standing orders Codes of conduct Financial regulations</p>	<ul style="list-style-type: none"> • Members code of conduct • Officers code of conduct • Member/officer protocol <ul style="list-style-type: none"> • Performance appraisal process • Anti-bribery policy • Anti-money laundering policy • Anti fraud and corruption Strategy/ mandatory e-learning <ul style="list-style-type: none"> • Complaints procedure <ul style="list-style-type: none"> • Declarations of interest • Politically restricted posts. <p>Public access to meetings and minutes</p> <p>Customer Access Strategy</p> <p>ICT Security Policy</p> <p>Harassment Policy</p>	<p>Chief Executive / Leader Head of Legal Services</p> <p>Head of Policy & Performance / Director of Public Health Head of HR Director of Resources</p> <p>Head of Legal Services</p> <p>Head of HR</p>

			EIA Toolkit Freedom of Information Contract Procedure Rules Fraud Investigation Plan	
2. Ensuring that organisational values are put into practice and are effective	<p>Develop and maintain shared values including leadership values for both the organization and staff reflecting public expectations and communicate these with members, staff, the community and partners.</p> <p>Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.</p> <p>Develop and maintain an effective standards Committee.</p> <p>Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority</p> <p>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 partners' behaviour both individually and collectively.</p>	<p>Codes of conduct</p> <p>Ensure that systems and processes for 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.</p> <p>Terms of reference Regular reporting to the council</p> <p>Decision-making practice</p> <p>Protocols for partnership working</p>	<p>Vision and values.</p> <p>Monthly capital and revenue monitoring reports.</p> <p>Regular reports to council.</p> <p>Member / Officer Code of Conduct</p> <p>Standards and Constitutional Oversight Committee</p> <p>Constitution / Scheme of Delegation</p> <p>Partnership protocol and Register</p>	<p>Chief Executive / Council Leader</p> <p>Director of Resources</p> <p>Chief Executive / Council Leader</p>
Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk				
Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Source documents/good practice from CIPFA/SOLACE guidance.	Wirral source documents, good practice & evidence	Responsible officers
1. Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	<p>Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible</p> <p>Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are</p>	<p>Ensure an effective internal audit function is resourced and maintained.</p> <p>Decision-making protocols record of decisions and supporting materials</p> <p>Members' code of conduct</p>	<p>Modgov system</p> <p>Delegated portfolio holder decision template</p> <p>Members' code of conduct</p> <p>Officers' code of conduct</p>	<p>Head of Legal Services</p>

	<p>based</p> <p>Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice</p> <p>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</p> <p>Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints</p>	<p>Terms of Reference Membership</p> <p>Training for committee members</p> <p>Complaints procedure</p>	<p>Conflict of interest annual declaration.</p> <p>Audit & Risk Management Committee Terms of Reference.</p> <p>Complaints Procedure.</p> <p>Policy and Performance Committees – scrutiny</p> <p>Public access to meetings and minutes</p> <p>ARMC Annual Self Assessment against “A toolkit for Local Authority Audit Committees”</p>	<p>Head of Legal and Member Services</p>
<p>2. Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</p>	<p>Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications</p> <p>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.</p>	<p>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.</p> <p>Record of decision making and supporting materials.</p>	<p>Monthly Capital and Revenue Monitoring Reports</p> <p>Web based JSNA (continuously updated in partnership with key stakeholders)</p> <p>Corporate Plan</p> <p>Directorate Plans</p> <p>Performance Management Framework</p> <p>Constitution</p>	<p>Head of Legal Services</p>
<p>3. Ensuring that an effective risk management system is in place</p>	<p>Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs</p> <p>Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access</p>	<p>Ensure the authority’s arrangements for financial and internal control and for managing risk are addressed in annual governance reports.</p> <p>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.</p>	<p>Risk Management Policy and Strategy</p> <p>Corporate, Directorate and Programme / Project Risk Registers</p>	<p>Director of Resources</p> <p>Strategic Directors, Directors, Heads of Services and Project Managers</p>

		Whistle-blowing policy	Whistle-blowing Policy Risk Assessments Health and Safety Business Continuity Plans Responses to internal and external reviews	Head of HR
4. Using their legal powers to the full benefit of the citizens and communities in their area	<p>Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities</p> <p>Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law</p> <p>Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes.</p>	<p>Constitution Monitoring officer provisions Statutory provision</p> <p>Monitoring officer provisions Job description/specification Statutory provision</p>	<p>Constitution Scheme of Delegation</p> <p>Monitoring officer provisions Job description/specification Statutory provision</p>	<p>Head of Legal Services</p> <p>Head of HR</p>
Core Principle 5: Developing the capacity and capability of members and officers to be effective				
Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Source documents/good practice from CIPFA/SOLACE guidance.	Wirral source documents, good practice & evidence	Responsible officers
1. Making sure that Members and officers have the skills, knowledge, experience and resources they need to perform well in their roles	<p>Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis</p> <p>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 authority</p>	<p>Training and development plan Induction programme Update courses/information</p> <p>Ensure the CFO has the skills, knowledge, experience and resources to perform effectively in both the financial and non financial areas of their role.</p> <p>Review the scope of the CFO's other management responsibilities to ensure financial matters are not compromised.</p>	<ul style="list-style-type: none"> Elected Member / Officer induction programmes. Elected Member Training & Development Programme <p>Skills for Wirral training programme</p> <p>Performance appraisal</p>	Head of HR

		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	<p>Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.</p> <p>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.</p> <p>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</p>	<p>Embed financial competencies in person specifications and appraisals</p> <p>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.</p>	<p>Skills for Wirral Managers</p> <p>Elected Member Training & Development Programme</p> <p>Skills for Wirral Managers</p> <p>Performance management and appraisal system</p>	
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	<p>Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority</p> <p>Ensure that career structures are in place for members and officers to encourage participation and development</p>	<p>Strategic partnership framework</p> <p>Stakeholders' forums' terms of reference</p> <p>Area forums' roles and responsibilities</p> <p>Residents' panel structure</p> <p>Succession planning</p>	<p>Local Public Service Board Terms of Reference.</p> <p>Workforce Planning strategy</p> <p>Health and Wellbeing Board</p> <p>Public consultations</p> <p>What Really Matters consultation</p> <p>Corporate Plan</p> <p>Older People's Parliament</p> <p>Youth forums</p>	
Core Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability				
Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Source documents/good practice from CIPFA/SOLACE guidance.	Wirral source documents, good practice & evidence	Responsible officers
1. Exercising leadership through a robust scrutiny function which effectively engages local people and	<p>Make clear to themselves, all staff and the community to whom they are accountable and for what</p>	<p>Community Strategy</p>	<p>Health and Wellbeing Board</p> <p>Corporate and Directorate Plans</p>	<p>Chief Executive</p>

<p>all local institutional stakeholders, including partnerships, and develops constructive and accountability relationships</p>	<p>Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required</p> <p>Produce an annual report on the activity of the scrutiny function</p>	<p>Annual report</p>	<p>Neighbourhood working</p> <p>Policy Council</p> <p>Updates reports on work programmes re. scrutiny</p>	<p>Head of Policy & Performance / Director of Public Health</p>
<p>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.</p>	<p>Ensure that clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively.</p> <p>Hold meetings in public unless there are good reasons for confidentiality.</p> <p>Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</p> <p>Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result</p> <p>On an annual basis, publish a performance plan giving information on the authority'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</p> <p>Ensure that the authority 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</p>	<p>Community strategy Processes for dealing with competing demands within the community</p> <p>Community strategy Processes for dealing with competing demands within the community</p> <p>Community strategy Processes for dealing with competing demands within the community</p> <p>Partnership Framework</p> <p>Communication Strategy</p> <p>Annual report Annual financial statements Corporate plan Annual business plan</p> <p>Constitution</p>	<p>Communications & engagement strategy</p> <p>Corporate Equality and Cohesion; Strategy</p> <p>What Really Matters consultation</p> <p>Corporate plan Statement of Accounts</p> <p>LSPB</p> <p>Constituency Committees</p> <p>FOI Act</p> <p>EIA's as part of committee reports</p> <p>Investment Strategy Board</p>	<p>Head of Neighbourhoods & Engagement –</p> <p>Head of Policy & Performance / Director of Public Health</p> <p>Head of Neighbourhoods & Engagement</p>

			<p>Older People's Parliament</p> <p>Youth forums</p> <p>Customer Access Strategy</p> <p>Whistleblowing</p> <p>Corporate complaints</p>	
<p>3. Making best use of human resources by taking an active and planned approach to meet responsibility to staff.</p>	<p>Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.</p>	<p>Constitution</p>	<p>Constitution</p> <p>Joint Consultative Committee</p> <p>Consultation and Negotiation Policy</p> <p>Staff Surveys</p>	<p>Head of HR</p>