

## WIRRAL CODE OF CORPORATE GOVERNANCE

### INTRODUCTION

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 (2016)*.

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.

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.

### WHAT IS CORPORATE GOVERNANCE?

The International Framework defines governance as follows:

***Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.***

The International Framework also states that:

***To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times.***

***Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.***

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.

The 7 core principles at the heart of the CIPFA/SOLACE governance framework are:

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

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 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.

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.

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

These core principles and the additional governance requirements from the CFO underpin the Council's Code of Corporate Governance.

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.

## **ANNUAL REVIEW AND REPORTING**

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:

- an Annual Report;
- 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.

A copy of this Code of Corporate Governance will be made available to the public on the Council's website. A copy of the Annual Governance Statement will also be made available.

## **REGULAR REVIEW OF POLICIES AND PROCEDURES**

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. All of these strategies, policies and procedures will be reviewed at least annually as part of the review of this Code.

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.

## **CONCLUSION**

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.

**Core principle A: behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law.**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
<ul style="list-style-type: none"> <li>Behaving with integrity</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation</li> </ul>	<ul style="list-style-type: none"> <li>Codes of conduct</li> <li>Individual sign off with regard to compliance with code</li> <li>Induction for new members and staff on standard of behaviour expected</li> <li>Performance appraisals</li> </ul>	<ul style="list-style-type: none"> <li>Member's code of conduct</li> <li>Officer's code of conduct</li> <li>Member/officer protocol</li> <li>Performance appraisal process</li> <li>Complaints procedure</li> <li>Declarations of interest</li> <li>Politically restricted posts.</li> <li>Public access to meetings and minutes</li> <li>Customer Access Strategy</li> <li>ICT Security Policy</li> <li>Harassment Policy</li> <li>EIA Toolkit</li> <li>ICT Acceptable Use Policy</li> <li>Freedom of Information</li> <li>Contract Procedure Rules</li> <li>Fraud investigation plan</li> <li>Dignity at work policy</li> <li>Accountability statements</li> </ul>	<ul style="list-style-type: none"> <li>Council Leader</li> </ul> <p><b>STRATEGIC LEADERSHP TEAM (SLT):</b></p> <ul style="list-style-type: none"> <li>Chief Executive</li> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> <li>Assistant Director: Finance (S151 Officer)</li> <li>Managing Director for Delivery</li> <li>Director for Business Services (Assistant Chief Executive)</li> <li>Executive Director for Strategy</li> <li>Head of Communications</li> <li>Strategic Commissioner for Growth</li> <li>Director for Children</li> <li>Director for Health and care</li> <li>Director for Health and wellbeing</li> <li>Strategic Commissioner for Environment</li> <li>Head of Intelligence</li> <li>Transformation Director</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)</li> </ul>	<ul style="list-style-type: none"> <li>Communicating shared values with members, staff, the community and partners</li> </ul>	<ul style="list-style-type: none"> <li>Media Guidelines</li> <li>Government guidelines for politically restricted posts</li> <li>Recommended code of practice for local authority publicity</li> </ul>	<ul style="list-style-type: none"> <li>Council Leader</li> <li>Head of communications</li> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Leading by example and</li> </ul>	<ul style="list-style-type: none"> <li>Decision making practices</li> </ul>	<ul style="list-style-type: none"> <li>Member's code of</li> </ul>	

**Core principle A: behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law.**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	<p>using the above standard operating principles or values as a framework for decision making and other actions</p>	<ul style="list-style-type: none"> <li>• Declarations of interests made at meetings</li> <li>• Conduct at meetings</li> <li>• Shared values guide decision making</li> <li>• Develop and maintain an effective standards committee</li> </ul>	<p>conduct</p> <ul style="list-style-type: none"> <li>• Officers code of conduct</li> <li>• Member/officer protocol</li> <li>• Accountability statements</li> </ul>	<ul style="list-style-type: none"> <li>• Council Leader</li> <li>• SLT</li> </ul>
	<ul style="list-style-type: none"> <li>• Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively</li> </ul>	<ul style="list-style-type: none"> <li>• Anti-fraud and corruption policies are working effectively</li> <li>• Up-to-date register of interests (members and staff)</li> <li>• Up-to-date register of gifts and hospitality</li> <li>• Whistleblowing policies are in place and protect individuals raising concerns</li> <li>• Whistleblowing policy has been made available to members of the public, employees, partners and contractors</li> <li>• Complaints policy and examples of responding to complaints about behaviour</li> <li>• Changes/improvements as a result of complaints received and acted upon</li> <li>• Members and officers code of conduct refers to a requirement to declare interests</li> <li>• Minutes show declarations of interest were sought and appropriate declarations made</li> </ul>	<ul style="list-style-type: none"> <li>• Anti-bribery policy</li> <li>• Anti-money laundering policy</li> <li>• Anti-fraud and corruption policy / mandatory e-learning</li> <li>• Whistleblowing policy / procedure</li> <li>• Conflict of interest process</li> <li>• Gifts / hospitality policy</li> <li>• Complaints policy</li> <li>• Grievance policy</li> </ul>	<ul style="list-style-type: none"> <li>• SLT</li> </ul>
<ul style="list-style-type: none"> <li>• Demonstrating strong</li> </ul>	<ul style="list-style-type: none"> <li>• Seeking to establish,</li> </ul>	<ul style="list-style-type: none"> <li>• Scrutiny of ethical decision</li> </ul>	<ul style="list-style-type: none"> <li>• Vision and values.</li> </ul>	<ul style="list-style-type: none"> <li>• Council Leader</li> </ul>

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commitment to ethical values	monitor and maintain the organisation's ethical standards and performance	making <ul style="list-style-type: none"> <li>Championing ethical compliance at governing body level</li> </ul>	<ul style="list-style-type: none"> <li>Monthly capital and revenue monitoring reports.</li> <li>Regular reports to council. Member / Officer Code of Conduct</li> <li>Standards and Constitutional Oversight Committee</li> <li>Constitution / Scheme of Delegation Partnership Register and Toolkit</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation</li> </ul>	<ul style="list-style-type: none"> <li>Provision of ethical awareness training</li> </ul>	<ul style="list-style-type: none"> <li>Dignity at work policy</li> <li>Member training framework</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</li> </ul>	<ul style="list-style-type: none"> <li>Appraisal processes take account of values and ethical behaviour</li> <li>Staff appointments policy</li> <li>Procurement policy</li> </ul>	<ul style="list-style-type: none"> <li>Dignity at work policy</li> <li>Appraisal policy</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation</li> </ul>	<ul style="list-style-type: none"> <li>Agreed values in partnership working: Statement of business ethics communicates commitment to ethical values to external suppliers</li> <li>Ethical values feature in contracts with external service providers</li> <li>Protocols for partnership working</li> </ul>	<ul style="list-style-type: none"> <li>Agreed values in partnership working: Statement of business ethics communicates commitment to ethical values to external suppliers</li> <li>Ethical values feature in contracts with external service providers</li> <li>Protocols for partnership working</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
<ul style="list-style-type: none"> <li>Respecting the rule of law</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring members and staff demonstrate a strong commitment to the rule of the law as</li> </ul>	<ul style="list-style-type: none"> <li>Statutory provisions</li> <li>Statutory guidance is followed</li> <li>Constitution</li> </ul>	<ul style="list-style-type: none"> <li>Constitution</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>

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Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	well as adhering to relevant laws and regulations			
	<ul style="list-style-type: none"> <li>Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements</li> </ul>	<ul style="list-style-type: none"> <li>Job description/specifications</li> <li>Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, 2015)</li> <li>Terms of reference</li> <li>Committee support</li> </ul>	<p>Recruitment / selection / job evaluation procedures</p> <p>New Operating Model</p>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Record of legal advice provided by officers</li> </ul>	<ul style="list-style-type: none"> <li>Record of legal advice provided by officers</li> <li>Constitution</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Dealing with breaches of legal and regulatory provisions effectively</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring officer provisions</li> <li>Record of legal advice provided by officers</li> <li>Statutory provisions</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring officer provisions</li> <li>Record of legal advice provided by officers</li> <li>Statutory provisions</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring corruption and misuse of power are dealt with effectively</li> </ul>	<ul style="list-style-type: none"> <li>Effective anti-fraud and corruption policies and procedures</li> <li>Local test of assurance (where appropriate)</li> </ul>	<ul style="list-style-type: none"> <li>Member's code of conduct</li> <li>Officer's code of conduct</li> <li>Member/officer protocol</li> <li>Accountability statements</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>



**Core principle B: Ensuring openness and comprehensive stakeholder engagement**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
<ul style="list-style-type: none"> <li>Openness</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness</li> </ul>	<ul style="list-style-type: none"> <li>Annual report</li> <li>Freedom of Information Act publication scheme</li> <li>Online council tax information</li> <li>Authority's goals and values</li> <li>Authority website</li> </ul>	<ul style="list-style-type: none"> <li>Health and Wellbeing Board</li> <li>Policy Council</li> <li>Updates reports on work programmes re. scrutiny</li> <li>Communications &amp; engagement strategy</li> <li>Corporate Equality and Cohesion; Strategy</li> <li>Budget consultation</li> <li>Wirral plan; 20 pledges and underpinning strategies</li> <li>Statement of Accounts</li> <li>Wirral Partnership Delivery Group and Partnership Framework</li> <li>Constituency Committees</li> <li>FOI Act</li> <li>EIAs as part of committee reports</li> <li>Growth Board</li> <li>Whistle Blowing policy / procedure</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> <li>Head of Communication</li> </ul>
	<ul style="list-style-type: none"> <li>Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided</li> </ul>	<ul style="list-style-type: none"> <li>Record of decision making and supporting materials</li> </ul>	<ul style="list-style-type: none"> <li>Records of decision making and supporting materials</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and</li> </ul>	<ul style="list-style-type: none"> <li>Decision making protocols</li> <li>Report pro-formas</li> <li>Record of professional advice in reaching decisions</li> <li>Meeting reports show details of advice given</li> </ul>	<ul style="list-style-type: none"> <li>Options appraisal reports</li> <li>Business case reports</li> </ul>	<ul style="list-style-type: none"> <li>Director for Business Services (Assistant Chief executive)</li> </ul>

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	<p>considerations used. In due course, ensuring that the impact and consequences of those decisions are clear</p>	<ul style="list-style-type: none"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Agreement on the information that will be provided and timescales</li> <li>• Calendar of dates for submitting, publishing and distributing timely reports is adhered to</li> </ul>		
	<ul style="list-style-type: none"> <li>• Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action</li> </ul>	<ul style="list-style-type: none"> <li>• Community strategy</li> <li>• Use of consultation feedback</li> <li>• Citizen survey</li> </ul>	<ul style="list-style-type: none"> <li>• Trade Union / consultation engagement documentation</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: Human Resources and Organisational Development</li> </ul>
<ul style="list-style-type: none"> <li>• Engaging comprehensively with institutional stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably</li> </ul>	<ul style="list-style-type: none"> <li>• Communication strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Joint Consultative Committee</li> <li>• Consultation and Negotiation Policy</li> <li>• Staff Surveys</li> <li>• Residents surveys</li> <li>• Client department surveys</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: Human Resources and Organisational Development</li> <li>• Head of communications</li> </ul>
	<ul style="list-style-type: none"> <li>• Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively</li> </ul>	<ul style="list-style-type: none"> <li>• Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes</li> <li>• The Wirral Partnership Delivery Group; Partnership Summit and partnership framework</li> </ul>	<ul style="list-style-type: none"> <li>• The Wirral Partnership Delivery Group; Partnership Summit and partnership framework</li> </ul>	<ul style="list-style-type: none"> <li>• Chief Executive</li> <li>• Executive Director for Strategy</li> </ul>
	<ul style="list-style-type: none"> <li>• Ensuring that partnerships are based on:                             <ul style="list-style-type: none"> <li>- trust</li> </ul> </li> <li>• -a shared commitment to change</li> </ul>	<ul style="list-style-type: none"> <li>• The Wirral partnership plan</li> <li>• Partnership framework and protocols</li> <li>• Wirral plan and strategies</li> </ul>	<ul style="list-style-type: none"> <li>• Wirral plan and performance update report</li> </ul>	<ul style="list-style-type: none"> <li>• Chief Executive</li> <li>• Executive Director for Strategy</li> </ul>

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	<ul style="list-style-type: none"> <li>-a culture that promotes and accepts challenge among partners</li> <li>and that the added value of partnership working is explicit</li> </ul>			
<ul style="list-style-type: none"> <li>Engaging with individual citizens and service users effectively</li> </ul>	<ul style="list-style-type: none"> <li>Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Record of public consultations</li> <li>Partnership framework</li> </ul>	<ul style="list-style-type: none"> <li>Health and Wellbeing Board</li> <li>Corporate and Directorate Plans Neighbourhood working</li> <li>Updates reports on work programmes re. scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive</li> <li>Executive Director for Strategy</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement</li> </ul>	<ul style="list-style-type: none"> <li>Communications strategy</li> </ul>	<ul style="list-style-type: none"> <li>Communication and engagement strategy</li> </ul>	<ul style="list-style-type: none"> <li>Head of communications</li> </ul>
	<ul style="list-style-type: none"> <li>Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs</li> </ul>	<ul style="list-style-type: none"> <li>Communications strategy</li> <li>Joint strategic needs assessment</li> </ul>	<ul style="list-style-type: none"> <li>Communication and engagement strategy</li> </ul>	<ul style="list-style-type: none"> <li>Head of communications</li> </ul>
	<ul style="list-style-type: none"> <li>Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account</li> </ul>	<ul style="list-style-type: none"> <li>Communications strategy</li> </ul>	<ul style="list-style-type: none"> <li>Communication and engagement strategy</li> </ul>	<ul style="list-style-type: none"> <li>Head of communications</li> </ul>
	<ul style="list-style-type: none"> <li>Balancing feedback from more active stakeholder groups with other</li> </ul>	<ul style="list-style-type: none"> <li>Processes for dealing with competing demands within the community, for</li> </ul>	<ul style="list-style-type: none"> <li>Residents surveys</li> <li>Client department surveys</li> </ul>	<ul style="list-style-type: none"> <li>Head of communications</li> <li>Executive Director for strategy</li> </ul>

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Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	stakeholder groups to ensure inclusivity	example a consultation		
	<ul style="list-style-type: none"> <li>• Taking account of the impact of decisions on future generations of tax payers and service users</li> </ul>	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Joint strategic needs assessment</li> </ul>	<ul style="list-style-type: none"> <li>• Equality impact assessments</li> </ul>	<ul style="list-style-type: none"> <li>• Council Leader</li> <li>• SLT</li> </ul>

**Core Principle C: Defining outcomes in terms of sustainable economic social and environmental benefits**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
<ul style="list-style-type: none"> <li>Defining outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions</li> </ul>	<ul style="list-style-type: none"> <li>Vision used as a basis for corporate and service planning</li> </ul>	<ul style="list-style-type: none"> <li>Wirral Plan, 20 pledges and related strategies</li> <li>The Wirral Partnership and Stakeholder engagement</li> <li>Performance Management Framework</li> </ul>	<ul style="list-style-type: none"> <li>Council Leader</li> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer</li> </ul>	<ul style="list-style-type: none"> <li>Community engagement and involvement</li> <li>Community strategy</li> </ul>	<ul style="list-style-type: none"> <li>Communication and engagement strategy</li> <li>Wirral Plan, 20 pledges and related strategies</li> </ul>	<ul style="list-style-type: none"> <li>Head of communications</li> </ul>
	<ul style="list-style-type: none"> <li>Delivering defined outcomes on a sustainable basis within the resources that will be available</li> </ul>	<ul style="list-style-type: none"> <li>Regular reports on progress</li> </ul>	<ul style="list-style-type: none"> <li>Wirral plan</li> <li>Performance management framework</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Identifying and managing risks to the achievement of outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Performance trends are established and reported upon</li> <li>Risk management protocols</li> </ul>	<ul style="list-style-type: none"> <li>Corporate risk management policy</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available</li> </ul>	<ul style="list-style-type: none"> <li>An agreed set of quality standard measures for each service element and included in service plans</li> <li>Processes for dealing with competing demands within the community</li> </ul>	<ul style="list-style-type: none"> <li>Wirral Plan, 20 pledges and related strategies</li> <li>The Wirral Partnership and Stakeholder engagement</li> <li>Performance Management Framework</li> </ul>	<ul style="list-style-type: none"> <li>Council Leader</li> <li>SLT</li> </ul>
<ul style="list-style-type: none"> <li>Sustainable economic,</li> </ul>	<ul style="list-style-type: none"> <li>Considering and</li> </ul>	<ul style="list-style-type: none"> <li>Capital investment is</li> </ul>	<ul style="list-style-type: none"> <li>Revenue Monitor</li> </ul>	

**Core Principle C: Defining outcomes in terms of sustainable economic social and environmental benefits**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
social and environmental benefits	balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision	structured to achieve appropriate life spans and adaptability for future use or that resources (e.g. land) are spent on optimising social, economic and environmental wellbeing: <ul style="list-style-type: none"> <li>• Capital programme</li> <li>• Capital investment strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Capital Monitor</li> <li>• Annual Governance Report</li> <li>• Health economic evaluation of Public Health Commissioning Investment (e.g. cost benefit/outcomes of Weight Management and Drug &amp; Alcohol services)</li> <li>• Public Health prioritisation process</li> </ul>	<ul style="list-style-type: none"> <li>• SLT</li> </ul>
	<ul style="list-style-type: none"> <li>• Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints</li> </ul>	<ul style="list-style-type: none"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Record of decision making and supporting materials</li> </ul>	<ul style="list-style-type: none"> <li>• Wirral Plan, 20 pledges and related strategies</li> </ul>	<ul style="list-style-type: none"> <li>• Council Leader</li> <li>• SLT</li> </ul>
	<ul style="list-style-type: none"> <li>• Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs</li> </ul>	<ul style="list-style-type: none"> <li>• Record of decision making and supporting materials</li> <li>• Protocols for consultation</li> </ul>	<ul style="list-style-type: none"> <li>• Communication and engagement strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Council Leader</li> <li>• SLT</li> <li>• Head of communications</li> </ul>
	<ul style="list-style-type: none"> <li>• Ensuring fair access to services</li> </ul>	<ul style="list-style-type: none"> <li>• Protocols ensure fair access and statutory guidance is followed</li> </ul>	<ul style="list-style-type: none"> <li>• Wirral Plan, 20 pledges and related strategies</li> </ul>	<ul style="list-style-type: none"> <li>• Director for Business Services (Assistant Chief executive)</li> </ul>

**Core Principle C: Defining outcomes in terms of sustainable economic social and environmental benefits**

<b>Sub principles</b>	<b>CIPFA - The code should reflect the requirement for local authorities to:</b>	<b>Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)</b>	<b>Wirral source documents, good practice &amp; evidence to demonstrate compliance</b>	<b>Responsible officers</b>

**Core Principle D: Determining the interventions necessary to optimize the achievement of the intended outcomes**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
<ul style="list-style-type: none"> <li>Determining interventions</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided</li> </ul>	<ul style="list-style-type: none"> <li>Discussion between members and officers on the information needs of members to support decision making</li> <li>Decision making protocols</li> <li>Option appraisals</li> <li>Agreement of information that will be provided and timescales</li> </ul>	<ul style="list-style-type: none"> <li>Options appraisals</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts</li> </ul>	<ul style="list-style-type: none"> <li>Financial strategy</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Strategy</li> <li>Communication and engagement strategy</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> <li>Head of communications</li> </ul>
<ul style="list-style-type: none"> <li>Planning interventions</li> </ul>	<ul style="list-style-type: none"> <li>Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</li> </ul>	<ul style="list-style-type: none"> <li>Calendar of dates for developing and submitting plans and reports that are adhered to</li> <li>Annual review of processes embedded in the operating protocol</li> </ul>	<ul style="list-style-type: none"> <li>Wirral Plan, 20 pledges and strategies; Partnership Framework</li> <li>Forward Plan</li> </ul>	<ul style="list-style-type: none"> <li>Council Leader</li> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</li> </ul>	<ul style="list-style-type: none"> <li>Communication strategy</li> </ul>	<ul style="list-style-type: none"> <li>Communication Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Head of communications</li> </ul>



**Core Principle D: Determining the interventions necessary to optimize the achievement of the intended outcomes**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	<ul style="list-style-type: none"> <li>Considering and monitoring risks facing each partner when working collaboratively, including shared risks</li> </ul>	<ul style="list-style-type: none"> <li>Wirral plan and Partnership framework</li> <li>Risk management protocol</li> </ul>	<ul style="list-style-type: none"> <li>Wirral plan and partnership framework</li> <li>Risk Management Strategy</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances</li> </ul>	<ul style="list-style-type: none"> <li>Planning protocols</li> </ul>	<ul style="list-style-type: none"> <li>Wirral plan and partnership framework</li> <li>Corporate Operational Health Report</li> </ul>	<ul style="list-style-type: none"> <li>Executive Director for Strategy</li> </ul>
	<ul style="list-style-type: none"> <li>Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured</li> </ul>	<ul style="list-style-type: none"> <li>KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly</li> </ul>	<ul style="list-style-type: none"> <li>Wirral Plan</li> <li>Corporate Operational Health Report</li> <li>Performance appraisals</li> <li>Performance management framework</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring capacity exists to generate the information required to review service quality regularly</li> </ul>	<ul style="list-style-type: none"> <li>Reports include detailed performance results and highlight areas where corrective action is necessary</li> </ul>	<ul style="list-style-type: none"> <li>Wirral Plan</li> <li>Corporate Operational Health Report</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Preparing budgets in accordance with objectives, strategies and the medium term financial plan</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that budgets, plans and objectives are aligned</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable</li> </ul>	<ul style="list-style-type: none"> <li>Budget guidance and protocols</li> <li>Medium term financial plan</li> <li>Corporate plans</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Strategy</li> <li>Wirral Plan</li> <li>Budget and Policy Framework Procedure Rules (Constitution)</li> <li>Financial Regulations</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>

**Core Principle D: Determining the interventions necessary to optimize the achievement of the intended outcomes**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	funding strategy		(Constitution)	
<ul style="list-style-type: none"> <li>Optimizing achievement of intended outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints</li> </ul>	<ul style="list-style-type: none"> <li>Feedback surveys and exit/ decommissioning strategies</li> <li>Changes as a result</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Strategy</li> <li>Wirral Plan</li> <li>Decommissioning policy</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term</li> </ul>	<ul style="list-style-type: none"> <li>Budgeting guidance and protocols</li> </ul>	<ul style="list-style-type: none"> <li>Budget and Policy Framework Procedure Rules (Constitution)</li> <li>Financial Regulations (Constitution)</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage</li> </ul>	<ul style="list-style-type: none"> <li>Financial strategy</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring the achievement of 'social value' through service planning and commissioning</li> </ul>	<ul style="list-style-type: none"> <li>Service plans demonstrate consideration of 'social value'</li> <li>Achievement of 'social value' is monitored and reported upon</li> </ul>	<ul style="list-style-type: none"> <li>Wirral Plan</li> <li>Corporate Operational Health Report</li> </ul>	<ul style="list-style-type: none"> <li>Council Leader</li> <li>SLT</li> </ul>

**Core Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it.**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
<ul style="list-style-type: none"> <li>Developing the entity's capacity</li> </ul>	<ul style="list-style-type: none"> <li>Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Regular reviews of activities, outputs and planned outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Elected Member / Officer induction programmes.</li> <li>Elected Member Training &amp; Development Programme</li> <li>Skills for Wirral training programme</li> <li>Performance appraisal</li> <li>Skills for Wirral Managers</li> <li>Elected Member Training &amp; Development Programme</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently</li> </ul>	<ul style="list-style-type: none"> <li>Utilisation of research and benchmarking exercise</li> </ul>	<ul style="list-style-type: none"> <li>Performance management framework</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Recognising the benefits of partnerships and collaborative working where added value can be achieved</li> </ul>	<ul style="list-style-type: none"> <li>Effective operation of partnerships which deliver agreed outcomes</li> </ul>	<ul style="list-style-type: none"> <li>The Wirral plan and strategies; Wirral partnership framework</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources</li> </ul>	<ul style="list-style-type: none"> <li>Workforce plan</li> <li>Organisational development plan</li> </ul>	<ul style="list-style-type: none"> <li>Organisational development plan</li> <li>Culture plan</li> <li>Training plan</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
<ul style="list-style-type: none"> <li>Developing the capability of the entity's leadership and other individuals</li> </ul>	<ul style="list-style-type: none"> <li>Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on</li> </ul>	<ul style="list-style-type: none"> <li>Job descriptions</li> <li>Chief executive and leader pairings have considered how best to establish and maintain effective communication</li> </ul>	<ul style="list-style-type: none"> <li>Skills for Wirral Managers</li> <li>Elected Member Training &amp; Development Programme</li> <li>Workforce planning</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Human Resources and Organisational Development</li> </ul>

**Core Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it.**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	<p>in the relationship and that a shared understanding of roles and objectives is maintained</p>		<p>strategy</p> <ul style="list-style-type: none"> <li>• The Wirral Partnership and Framework</li> <li>• Health and Wellbeing Board</li> <li>• Accountability statements</li> <li>• New Operating Model</li> <li>• Public Consultation</li> <li>• Residents survey</li> <li>• Wirral plan</li> <li>• Old people's parliament</li> <li>• Teen Wirral</li> </ul>	
	<ul style="list-style-type: none"> <li>• Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body</li> </ul>	<ul style="list-style-type: none"> <li>• Scheme of delegation reviewed at least annually in the light of legal and organisational changes</li> <li>• Standing orders and financial regulations which are reviewed on a regular basis</li> </ul>	<ul style="list-style-type: none"> <li>• Standards and Constitutional Oversight Committee</li> <li>• Constitution / Schemes of Delegation</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>• Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority</li> </ul>	<ul style="list-style-type: none"> <li>• Clear statement of respective roles and responsibilities and how they will be put into practice</li> </ul>	<ul style="list-style-type: none"> <li>• Standards and Constitutional Oversight Committee</li> <li>• Constitution / Scheme of Delegation</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: Human Resources and Organisational Development</li> <li>• Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>• Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to</li> </ul>	<ul style="list-style-type: none"> <li>• Access to update courses/ information briefings on new legislation</li> </ul>	<ul style="list-style-type: none"> <li>• Induction programme</li> <li>• Skills for managers programme</li> <li>• Performance appraisal procedure</li> <li>• Mandatory training</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: Human Resources and Organisational Development</li> <li>• Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>

**Core Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it.**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	<p>respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged</p>		<ul style="list-style-type: none"> <li>Workforce development plans</li> </ul>	
	<ul style="list-style-type: none"> <li>Ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis</li> </ul>	<ul style="list-style-type: none"> <li>Induction programme</li> <li>Personal development plans for members and officers</li> </ul>	<ul style="list-style-type: none"> <li>Performance appraisals</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Human Resources and Organisational Development</li> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external</li> </ul>	<ul style="list-style-type: none"> <li>For example, for members this may include the ability to: scrutinise and challenge</li> <li>recognise when outside expert advice is required</li> <li>promote trust</li> <li>work in partnership</li> <li>lead the organisation</li> <li>act as a community leader</li> <li>Efficient systems and technology used for effective support</li> <li>Arrangements for succession planning</li> </ul>	<ul style="list-style-type: none"> <li>The Wirral plan and strategies; Wirral partnership framework</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Human Resources and Organisational Development</li> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>

**Core Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it.**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	<ul style="list-style-type: none"> <li>Ensuring that there are structures in place to encourage public participation</li> </ul>	<ul style="list-style-type: none"> <li>Residents' panels</li> <li>Stakeholder forum terms of reference</li> <li>Wirral Plan and Strategic Partnership frameworks and Stakeholder engagement</li> </ul>	<ul style="list-style-type: none"> <li>Communication Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Head of communications</li> </ul>
	<ul style="list-style-type: none"> <li>Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspection.</li> </ul>	<ul style="list-style-type: none"> <li>Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs</li> <li>Peer reviews</li> </ul>	<ul style="list-style-type: none"> <li>External audit reports</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Human Resources and Organisational Development</li> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Holding staff to account through regular performance reviews which take account of training or development needs</li> </ul>	<ul style="list-style-type: none"> <li>Training and development plan</li> <li>Staff development plans linked to appraisals</li> <li>Implementing appropriate human resource policies and ensuring that they are working effectively</li> </ul>	<ul style="list-style-type: none"> <li>Performance appraisal procedure</li> <li>Accountability statements</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Human Resources and Organisational Development</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.</li> </ul>	<ul style="list-style-type: none"> <li>Human resource policies</li> </ul>	<ul style="list-style-type: none"> <li>Employee assistance programme</li> <li>Work Life Balance policy</li> <li>Occupational Health policy / procedure</li> <li>Staff training</li> <li>Attendance management policy / procedure</li> <li>Employee benefits programme</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Human Resources and Organisational Development</li> </ul>

**Core Principle F: Managing risk and performance through robust internal control and strong public financial management**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
<ul style="list-style-type: none"> <li>Managing risk</li> </ul>	<ul style="list-style-type: none"> <li>Recognising that risk management is an integral part of all activities and must be</li> <li>considered in all aspects of decision making</li> </ul>	<ul style="list-style-type: none"> <li>Risk management protocol</li> </ul>	<ul style="list-style-type: none"> <li>Modgov system</li> <li>Delegated portfolio holder decision template</li> <li>Members' code of conduct Officers' code of conduct</li> <li>Conflict of interest annual declaration.</li> <li>Audit &amp; Risk Management Committee Terms of Reference.</li> <li>Corporate risk management policy</li> <li>Risk management pages on Wirral Intranet</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Implementing robust and integrated risk management arrangements and ensuring that they are working effectively</li> </ul>	<ul style="list-style-type: none"> <li>Risk management strategy/ policy formally approved and adopted and reviewed and updated on a regular basis</li> </ul>	<ul style="list-style-type: none"> <li>Corporate risk management policy refreshed annually</li> <li>E-Learning modules for management and staff</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Human Resources and Organisational Development</li> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring that responsibilities for managing individual risks are clearly allocated</li> </ul>	<ul style="list-style-type: none"> <li>Risk management protocol</li> </ul>	<ul style="list-style-type: none"> <li>Corporate risk management policy</li> <li>E-Learning modules for management and staff</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
<ul style="list-style-type: none"> <li>Managing performance</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring service delivery effectively including planning, specification, execution and independent post implementation review</li> </ul>	<ul style="list-style-type: none"> <li>Performance map showing all key activities have performance measures</li> <li>Benchmarking information</li> <li>Cost performance (using inputs and outputs)</li> <li>Calendar of dates for submitting, publishing and distributing time reports that are adhered to</li> </ul>	<ul style="list-style-type: none"> <li>Complaints Procedure.</li> <li>Policy and Performance Committees – scrutiny</li> <li>Public access to meetings and minutes ARMC Annual Self-Assessment against “A</li> <li>toolkit for Local Authority Audit Committees”</li> <li>Monthly Capital and Revenue Monitoring</li> <li>Reports</li> <li>Wirral Plan Directorate Plans</li> <li>Performance</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>

**Core Principle F: Managing risk and performance through robust internal control and strong public financial management**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
			Management Framework <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Corporate Risk Management Policy</li> <li>• Corporate, Directorate and Programme / Project Risk Registers</li> <li>• Whistle-blowing Policy</li> <li>• Risk Assessments</li> <li>• Health and Safety</li> </ul>	
	<ul style="list-style-type: none"> <li>• Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook</li> </ul>	<ul style="list-style-type: none"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Publication of agendas and minutes of meetings</li> <li>• Agreement on the information that will be needed and timescales</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant risk sections in committee reports</li> </ul>	<ul style="list-style-type: none"> <li>• SLT</li> </ul>
	<ul style="list-style-type: none"> <li>• Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible</li> <li>• (Or, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making</li> </ul>	<ul style="list-style-type: none"> <li>• The role and responsibility for scrutiny has been established and is clear</li> <li>• Agenda and minutes of scrutiny meetings</li> <li>• Evidence of improvements as a result of scrutiny</li> <li>• Terms of reference</li> <li>• Training for members</li> <li>• Membership</li> </ul>	<ul style="list-style-type: none"> <li>• Scrutiny reports</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>• Providing members and senior management with</li> </ul>	<ul style="list-style-type: none"> <li>• Calendar of dates for submitting, publishing</li> </ul>	<ul style="list-style-type: none"> <li>• Calendar of dates for submitting, publishing</li> </ul>	<ul style="list-style-type: none"> <li>• Managing Director for Delivery</li> </ul>



**Core Principle F: Managing risk and performance through robust internal control and strong public financial management**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	regular reports on service delivery plans and on progress towards outcome achievement	and distributing timely reports that are adhered to	and distributing timely reports that are adhered to	
	<ul style="list-style-type: none"> <li>Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements)</li> </ul>	<ul style="list-style-type: none"> <li>Financial standards, guidance</li> <li>Financial regulations and standing orders</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Strategy</li> <li>Budget and Policy Framework Procedure Rules (Constitution)</li> <li>Financial Regulations (Constitution)</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>
<ul style="list-style-type: none"> <li>Robust internal control</li> </ul>	<ul style="list-style-type: none"> <li>Aligning the risk management strategy and policies on internal control with achieving objectives</li> </ul>	<ul style="list-style-type: none"> <li>Risk management strategy</li> <li>Audit plan</li> <li>Audit reports</li> </ul>	<ul style="list-style-type: none"> <li>Corporate risk management policy</li> <li>Annual internal audit review of the risk management framework</li> <li>Internal Audit Reports</li> <li>Internal Audit Plan</li> <li>Internal Audit Progress Reports to Audit and Risk Management Committee</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Evaluating and monitoring risk management and internal control on a regular basis</li> </ul>	<ul style="list-style-type: none"> <li>Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis</li> </ul>	<ul style="list-style-type: none"> <li>Corporate risk management policy</li> <li>Internal Audit Reports</li> <li>Internal Audit Plan</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring effective counter fraud and anti-corruption arrangements are in place</li> </ul>	<ul style="list-style-type: none"> <li>Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)</li> </ul>	<ul style="list-style-type: none"> <li>Anti-Fraud and Anti-Corruption policy</li> <li>Fraud awareness campaigns and proactive work</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal</li> </ul>	<ul style="list-style-type: none"> <li>Annual governance statement</li> <li>Effective internal audit service is resourced and maintained</li> </ul>	<ul style="list-style-type: none"> <li>Annual governance statement</li> <li>Chief internal auditor's annual report / annual audit opinion</li> <li>Internal audit reports</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>

**Core Principle F: Managing risk and performance through robust internal control and strong public financial management**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	auditor		<ul style="list-style-type: none"> <li>Internal audit plan</li> </ul>	
	<ul style="list-style-type: none"> <li>Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body:                             <ul style="list-style-type: none"> <li>provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment</li> <li>-that its recommendations are listened to and acted upon</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Audit committee complies with best practice. See Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)</li> <li>Terms of reference</li> <li>Membership</li> <li>Training</li> </ul>	<ul style="list-style-type: none"> <li>Audit and Risk Management Committee’s annual self-assessment against the “Internal Audit Toolkit for Local Authority Audit Committees”</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
<ul style="list-style-type: none"> <li>Managing data</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</li> </ul>	<ul style="list-style-type: none"> <li>Data management framework and procedures</li> <li>Designated data protection officer</li> <li>Data protection policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>Information Governance policy</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies</li> </ul>	<ul style="list-style-type: none"> <li>Data sharing agreement</li> <li>Data sharing register</li> <li>Data processing agreements and protocols</li> </ul>	<ul style="list-style-type: none"> <li>Information Governance policy</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Data quality procedures and reports</li> <li>Data validation procedures</li> </ul>	<ul style="list-style-type: none"> <li>Information Governance policy</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
<ul style="list-style-type: none"> <li>Strong public financial management</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance</li> </ul>	<ul style="list-style-type: none"> <li>Financial management supports the delivery of services and transformational change as well as securing good stewardship</li> </ul>	<ul style="list-style-type: none"> <li>Medium Term Financial Strategy</li> <li>Budget and Policy Framework Procedure Rules (Constitution)</li> <li>Financial Regulations (Constitution)</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>

**Core Principle F: Managing risk and performance through robust internal control and strong public financial management**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	<ul style="list-style-type: none"> <li>Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls</li> </ul>	<ul style="list-style-type: none"> <li>Budget monitoring reports</li> </ul>	<ul style="list-style-type: none"> <li>Risk assessment within the medium term financial strategy</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Finance (S151 Officer)</li> </ul>

**Core principle G : Implementing good practices in transparency, reporting and audit to deliver effective accountability**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
<ul style="list-style-type: none"> <li>Implementing good practice in transparency</li> </ul>	<ul style="list-style-type: none"> <li>Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate</li> <li>Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand</li> </ul>	<ul style="list-style-type: none"> <li>Website</li> <li>Annual report</li> </ul>	<ul style="list-style-type: none"> <li>Members' code of conduct Officers' code of conduct</li> <li>Conflict of interest annual declaration.</li> <li>Audit &amp; Risk Management Committee Terms of Reference.</li> <li>Complaints Procedure.</li> <li>Policy and Performance Committees – scrutiny</li> <li>Public access to meetings and minutes</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
<ul style="list-style-type: none"> <li>Implementing good practices in reporting</li> </ul>	<ul style="list-style-type: none"> <li>Reporting at least annually on performance, value for money and the stewardship of resources to stakeholders in a timely and understandable way</li> </ul>	<ul style="list-style-type: none"> <li>Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery</li> <li>Annual financial statements</li> </ul>	<ul style="list-style-type: none"> <li>Wirral Plan</li> <li>Statement of Accounts</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring members and senior management own the results reported</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate approvals</li> </ul>	<ul style="list-style-type: none"> <li>Modgov system</li> <li>Delegated portfolio holder decision template</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing</li> </ul>	<ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>	<ul style="list-style-type: none"> <li>Annual Governance Statement</li> </ul>	<ul style="list-style-type: none"> <li>Assistant Director: Law &amp; Governance (Monitoring Officer)</li> </ul>

**Core principle G : Implementing good practices in transparency, reporting and audit to deliver effective accountability**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)			
	<ul style="list-style-type: none"> <li>Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>	<ul style="list-style-type: none"> <li>Annual Governance Statement</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations</li> </ul>	<ul style="list-style-type: none"> <li>Format follows best practice</li> </ul>	<ul style="list-style-type: none"> <li>Statement of Accounts</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
<ul style="list-style-type: none"> <li>Assurance and effective accountability</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring that recommendations for corrective action made by external audit are acted upon</li> <li>Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon</li> </ul>	<ul style="list-style-type: none"> <li>Recommendations have informed positive improvement</li> <li>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)</li> <li>Compliance with Public Sector Internal Audit Standards</li> </ul>	<ul style="list-style-type: none"> <li>Annual Internal Audit Plan</li> <li>Chief Internal Auditor's Internal Audit Annual Report (and update reports)</li> <li>Internal Audit Reports</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Welcoming peer challenge, reviews and</li> </ul>	<ul style="list-style-type: none"> <li>Recommendations have informed positive</li> </ul>	<ul style="list-style-type: none"> <li>External audit reports</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>

**Core principle G : Implementing good practices in transparency, reporting and audit to deliver effective accountability**

Sub principles	CIPFA - The code should reflect the requirement for local authorities to:	Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)	Wirral source documents, good practice & evidence to demonstrate compliance	Responsible officers
	inspections from regulatory bodies and implementing recommendations	improvement		
	<ul style="list-style-type: none"> <li>Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement</li> </ul>	<ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>	<ul style="list-style-type: none"> <li>Annual Governance Statement</li> </ul>	<ul style="list-style-type: none"> <li>SLT</li> </ul>
	<ul style="list-style-type: none"> <li>Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met</li> </ul>	<ul style="list-style-type: none"> <li>Community strategy</li> </ul>	<ul style="list-style-type: none"> <li>Communications &amp; engagement strategy</li> <li>Wirral Plan</li> </ul>	<ul style="list-style-type: none"> <li>Council Leader</li> <li>SLT</li> </ul>