

**ANNUAL ASSESSMENT AND REVIEW 2013****1. Core principle: Focusing on the purpose of the authority and on the outcomes for the community and creating and implementing a vision for the local area.**

<b>Supporting Principle</b>	<b>Requirement</b>	<b>Examples of Evidence</b>	<b>What MWDA does:</b>	<b>What it will do to improve:</b>
1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users	1.1.1 Develop and promote the authority's purpose and vision	Vision used as a basis for corporate and service planning  Community engagement and involvement  Communication strategy in respect of corporate objectives has been developed, approved and implemented	<ul style="list-style-type: none"> <li>• Corporate Plan</li> <li>• Corporate Training Plan</li> <li>• Community Fund</li> <li>• Social Media Engagement</li> <li>• Joint Recycling and Waste Management Strategy for Merseyside</li> </ul>	CG2: Communications Strategy Review
	1.1.2 Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements.	Record of the review of: <ul style="list-style-type: none"> <li>• the authority's vision</li> <li>• the governance code</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Plan Annual Review</li> <li>• Corporate Governance Code and Assessment reported annually.</li> <li>• Annual Workshop with Members on Corporate Plan development.</li> </ul>	CG7: Strengthen link between Corporate Governance Assessment and Corporate Plan review.  CG17: Senior Management Team meeting to ensure implementation of CG improvement plan
	1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is	Partnership protocol including an agreement on the role and scope of each partner's contribution	<ul style="list-style-type: none"> <li>• Joint Recycling and Waste Management Recycling Strategy</li> <li>• Memorandum of</li> </ul>	CG8: Review Memorandum of Understanding CG3: Inter Authority Agreement (IAA) with

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	understood and agreed by all partners	Strategic partnership Priorities  Partnership arrangements	Understanding <ul style="list-style-type: none"> <li>• Inter Authority Agreements</li> <li>• Representation on boards (MWHL, BML)</li> <li>• Merseyside &amp; Halton Waste Partnership</li> <li>• Senior Officer Working Group (SOWG)</li> <li>• Annual Report by Partnership (via SOWG)</li> <li>•</li> </ul>	constituent councils. CG4: IAA with Halton
	1.1.4 Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery  Annual financial statements	<ul style="list-style-type: none"> <li>• Annual Report Summary</li> <li>• Annual Outturn and Financial Statements</li> <li>• Quarter 4 Report including performance outturn</li> </ul>	CG9: Performance Report Review
1.2 Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning	1.2.1 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	An agreed set of quality standard measures for each service element and included in service plans  Evidence that views of service users and non-users have been received  Evidence that views have been taken into account in service planning and delivery	<ul style="list-style-type: none"> <li>• WMRC service measures including user surveys.</li> <li>• Stakeholder &amp; Community Liaison Plan (WMRC)</li> <li>• Complaints Reporting and Satisfaction Surveys.</li> <li>• Waste Operations Group</li> </ul>	CG5: User Survey Analysis  Query AM – stakeholder and community liaison plan – pick up non-users

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery	<p>Regular reports on the progress of service delivery</p> <p>Performance trends are established and reported upon</p> <p>Formal complaints policy and procedures exist and are operating effectively</p> <p>Evidence that complaints have informed positive service improvement</p>	<ul style="list-style-type: none"> <li>• Quarterly Reports</li> <li>• Complaints Procedure</li> <li>• Performance standards within current and future contracts</li> <li>• Environmental Management System (ISO 14001)</li> </ul>	Query AM – follow through with complaints and identify / respond to trends?
1.3 Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money	1.3.1 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	<p>Clear corporate requirement and instruction on how to measure VFM</p> <p>Corporate procurement policy and strategy</p> <p>Comparison of information on the authority’s economy, efficiency and effectiveness of services with that provided by similar organisations</p> <p>Evidence that the results are reflected in the authority’s</p>	<ul style="list-style-type: none"> <li>• Performance Management Framework</li> <li>• Sustainable Procurement Policy</li> <li>• Data Quality Strategy</li> <li>• Environmental Monitoring System</li> <li>• VFM Audit by Districts</li> <li>• WMRC Service Delivery Plans identified annually.</li> <li>• Treasurer included in Chief Finance Officer Meetings</li> <li>• Interim Contract Procurement</li> <li>• RRC Procurement</li> </ul>	<p>CG19: Financial Instructions</p> <p>CG12: VFM re operational and strategic reviews</p>

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	1.3.2 Measure the environmental impact of policies, plans and decisions	performance plans and in reviewing the work of the authority	<ul style="list-style-type: none"> <li>• Environmental Management System</li> <li>• Environmental Impact included in reports to Members.</li> </ul>	

**2. Core Principle: Members and officers working together to achieve a common purpose with clearly defined functions and roles**

<b>Supporting Principle</b>	<b>Requirement</b>	<b>Examples of Evidence</b>	<b>What MWDA does:</b>	<b>What it will do to improve:</b>
2.1 Ensuring effective leadership throughout the Authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function	2.1.1 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.	Published job descriptions for the leader of the Authority and Chief Executive.  Member/officer protocol  Constitution	<ul style="list-style-type: none"> <li>• Procedural Rules and Scheme of Delegation.</li> <li>• Member / Officer Protocol</li> <li>• Members Appointments and Representations at AGM</li> <li>• Member Training and Development Plan</li> </ul>	CG14: Member Code of Conduct / Member Guide  CG22: Constitution – review of procedural rules.
	2.1.2 Set out a clear statement of the respective roles and responsibilities of other Authority members, members generally and senior officers.		<ul style="list-style-type: none"> <li>• Procedural Rules and Scheme of Delegation.</li> <li>• Job Descriptions.</li> </ul>	
2.2 Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard	2.2.1 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	Scheme of delegation reviewed at least annually in the light of legal and organisational changes  Standing orders and financial regulations which are reviewed on a regular basis	<ul style="list-style-type: none"> <li>• Procedural Rules and Scheme of Delegation.</li> <li>• Record of Sub-Delegations</li> <li>• Committee Structure</li> <li>• Statutory Instruments and Regulations.</li> </ul>	CG22: Constitution – review of procedural rules.  CG26: Review implications of Local Audit and Accountability Bill

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	2.2.2 Make a Chief Executive or equivalent responsible and accountable to the Authority for all aspects of operational management	Statutory provisions  Conditions of employment  Up-to-date job description / specification  Appraisal arrangements  Robust performance management system	<ul style="list-style-type: none"> <li>• Chief Executive role defined in Financial Procedural Rules</li> <li>• Job Descriptions and Service Plans.</li> <li>• Chief Executive’s Annual Appraisal</li> </ul>	CG22: Constitution – review of Procedural Rules
	2.2.3 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	Job descriptions  New Chief Executive and Leader pairing consider how best to establish and maintain effective communication	<ul style="list-style-type: none"> <li>• Member and Staff Induction.</li> <li>• Member / Officer Protocol.</li> <li>• Chairman’s Briefings.</li> <li>• Chief Executive’s Annual Appraisal</li> </ul>	
	2.2.4 Make a senior officer (the section 151 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 system of internal financial control	Section 151 responsibilities  Statutory provision  Up-to-date job description / specification  The authority has complied with the <i>CIPFA Statement on the Role of the Chief Financial Officer in Local</i>	<ul style="list-style-type: none"> <li>• Appointment of Treasurer to the Authority.</li> <li>• Financial Procedural Rules.</li> <li>• Director of Finance - Job Description – includes reference to Statutory Role of Treasurer – which means the role under the Accounts and Audit</li> </ul>	

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
		<p><i>Government</i> and has reported on it accordingly in its annual governance statement</p> <p>The authority has complied with the <i>CIPFA Statement on the Role of the Head of Internal Audit in Public Service Organisations</i> and has reported on it accordingly in its annual governance statement</p>	<p>Regulations is applied in full</p> <ul style="list-style-type: none"> <li>• Committee papers include a standard section re Financial implications</li> <li>• Director of Finance – CIPFA Membership and accountancy qualifications specified in the post’s person specification as essential.</li> <li>• Scheme of Delegation establishes powers.</li> </ul>	
	2.2.5 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>Monitoring officer provisions</p> <p>Statutory provision</p> <p>Up-to-date job description / specification</p>	<ul style="list-style-type: none"> <li>• Appointment of Clerk to the Authority and Monitoring Officer – respective roles defined within Procedural Rules and Job Descriptions.</li> <li>• Contract for Professional Legal Advice.</li> </ul>	CG1: Review of legal services.
2.3 Ensuring relationships between the authority, its partners and the public are clear so that each know that to expect of the other	2.3.1 Develop protocols to ensure effective communication between members and officers in their respective roles	Member / officer protocol	<ul style="list-style-type: none"> <li>• Member/Officer protocol (reviewed September 2010).</li> </ul>	
	2.3.2 Set out the terms and conditions for remuneration	Scheme for member remuneration and	<ul style="list-style-type: none"> <li>• Member Allowance Scheme.</li> </ul>	

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	of members and officers and an effective structure for managing the process including an effective remuneration panel	<p>allowances</p> <p>Robust pay and conditions policies and practices for employees</p> <p>Structured pay scales reflecting competence</p> <p>Established process for grading and appeals procedures</p>	<ul style="list-style-type: none"> <li>• Officer Conditions of Service</li> <li>• Establishment structure and benchmarking conducted (20xx)</li> </ul>	
	2.3.3 Ensure that effective mechanisms exist to monitor service delivery	<p>Key performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly</p> <p>Reports include detailed performance results and highlight areas where corrective action is necessary</p>	<ul style="list-style-type: none"> <li>• Performance Management Framework.</li> <li>• ISO 14001 – Environmental Management.</li> <li>• Waste Contracts Performance Arrangements including work of Compliance Officers.</li> <li>• Data Quality Strategy</li> </ul>	CG24: ISO9001 to be scoped and considered by Members
	2.3.4 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	<p>Business and financial planning processes established to deliver strategic objectives</p> <p>Protocols for consultation</p>	<ul style="list-style-type: none"> <li>• JRWMSM in place</li> <li>• Statutory Performance Targets</li> <li>• Senior Officer Working Group</li> <li>• Stakeholder Liaison Panel</li> <li>• Chief Executive’s Annual</li> </ul>	



Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	key stakeholders, and that they are clearly articulated and disseminated.	Statutory guidance is followed	Appraisal	
	2.3.5 When working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority	Protocols for partnership working mean that for each partnership there is: <ul style="list-style-type: none"> <li>• a clear statement of the partnership principles and objectives</li> <li>• clarity of each partner’s role within the partnership</li> <li>• definition of roles of partnership board members</li> </ul>	<ul style="list-style-type: none"> <li>• Joint Recycling and Municipal Waste Management Strategy.</li> <li>• Inter Authority Agreements.</li> <li>• Representation on Joint Boards.</li> <li>• Project Plans, Statement of Funding and representation on Project Boards (Eg. Procurement).</li> </ul>	
	2.3.6 Ensure that there is clarity about the legal status of the partnership	<ul style="list-style-type: none"> <li>• line management responsibilities for staff who support the partnership</li> <li>• a statement of funding sources for joint projects and clear accountability for proper financial administration</li> </ul>	<ul style="list-style-type: none"> <li>• Inter Authority Agreements (IAA).</li> <li>• Shareholders Agreement.</li> <li>• Senior Officer Working Group Terms of Reference.</li> <li>• Statutory Officer Roles.</li> </ul>	CG3: IAA with constituent councils CG4: IAA with Halton
	2.3.7 Ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions	<ul style="list-style-type: none"> <li>• a protocol for dispute resolution within the partnership</li> </ul>	<ul style="list-style-type: none"> <li>• Memorandum of Understanding</li> <li>• Inter Authority Agreements</li> <li>• Financial Procedural Rules</li> </ul>	

**3. Core Principle: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.**

<b>Supporting Principle</b>	<b>Requirement</b>	<b>Examples of Evidence</b>	<b>What MWDA does:</b>	<b>What it will do to improve:</b>
3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	3.1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	Codes of conduct, annual governance statement  Conduct at meetings	Code of Conduct. Performance Management Framework. Staff Development Scheme. HR Strategy including training in relevant HR policies. Strategic Review process. Recognition of Staff Committee Management Team Meeting	
	3.1.2 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	Members'/officers' code of conduct which acknowledges professional bodies' codes of conduct  Performance appraisal  Complaints procedures  Anti-fraud and anti-corruption policies are up to date and working effectively.  Induction for new members and staff on standard of behaviour expected	Member/Officer Protocol.  Officer Code of Conduct.  Anti Fraud and Corruption Strategy (reviewed 2011)  Communications Protocol for RRC Participants.  Members Code of Conduct (at host Authorities).  Declarations of Interest by Members (registered at host Authorities).	CG14: Code of Conduct for Members

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
			Declarations of Interest by senior officers.	
	3.1.3 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>Standing orders, financial regulations and codes of conduct, all reviewed and updated on a regular basis</p> <p>Register of interests (members and staff)</p> <p>Provision of ethical awareness training</p> <p>Procedures for dealing with conflicts of interest</p> <p>Up-to-date register of gifts and hospitality</p>	<p>Procedural Rules.</p> <p>Codes of Conduct and Declarations of Interest.</p> <p>Equality and Diversity Policy (Updated following Equality Act 2010).</p> <p>Declaration of Interests</p> <p>Gifts and Hospitality Procedure</p> <p>Diversity Training</p>	<p>CG13: Gifts and Hospitality</p> <p>CG14: Code of Conduct for Members</p> <p>CG11: Approval of Tender Clarification and Post Tender Negotiation Procedure</p>
3.2 Ensuring that organisational values are put into practice and are effective	3.2.1 Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners	<p>Codes of Conduct</p> <p>Evidence of communicating shared values with members, staff, the community and partners</p> <p>Whistleblowing arrangements are in place and protect individuals raising concerns</p>	<p>Officer Code of Conduct (Reviewed in 2008).</p> <p>Waste Management Recycling Contract Service Delivery Plans.</p>	CG14: Code of Conduct for Members

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	3.2.2 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	Codes of Conduct	Codes of Conduct.  HR Strategy.	
	3.2.3 Develop and maintain an effective standards committee	Terms of reference  Regular reporting to full Council  Examples of responding to complaints about behaviour		
	3.2.4 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	Decision-making practices  Evidence that shared values have guided the decision making	Performance Management Framework.  Team Meetings / Briefings  Intranet establishes effective communications.  Annual Corporate Training Programme.  HR Policies.	
	3.2.5 In pursuing the vision of a partnership, agree a set of values against which	Protocols for partnership working	Waste Management Recycling Contract Service Delivery Plans	CG3: IAA with constituent districts CG4: IAA with Halton

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively	Evidence of agreed values	Memorandum of Understanding  JRWMSM and monitoring arrangements through SOWG  Treasurers' Group	

**4. Core Principle: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.**

<b>Supporting Principle</b>	<b>Requirement</b>	<b>Examples of Evidence</b>	<b>What MWDA does:</b>	<b>What it will do to improve:</b>
4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	4.1.1 Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisations for which it is responsible	<p>The role of and responsibility for scrutiny have been established</p> <p>Agenda and minutes of scrutiny meetings</p> <p>Evidence of improvements to proposals as a result of scrutiny</p> <p>An effective internal audit function is resourced and maintained</p>	<p>Scrutiny function delivered through Scheme of Delegation.</p> <p>Annual statement to district councils regarding scrutiny</p> <p>Authority meetings deliver the scrutiny function</p> <p>Service Level agreement with St Helens for Internal Audit</p> <p>Internal Audit Plans</p>	
	4.1.2 Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	<p>Decision-making protocols</p> <p>Record of decisions and supporting materials</p> <p>Record of professional advice in reaching decisions</p>	<p>Scheme of Delegation and documented sub-delegations.</p> <p>Key Decisions recorded in Authority minutes.</p> <p>Agenda and minutes published on website.</p> <p>Standardised template for Key Decision reports.</p> <p>Forward Plan published</p>	

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
			<p>monthly on website.</p> <p>Standard format for Executive Decisions.</p> <p>Executive Decisions published on website.</p> <p>Admin Decisions recorded.</p> <p>Access to Information Procedural Rules.</p>	
	<p>4.1.3 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>Members' and officers' code of conduct which refers to a requirement to declare interests</p> <p>Minutes showing declarations of interest were sought and appropriate declarations made</p>	<p>Copies of Members' registered interests collated.</p> <p>Related Party Transaction Declarations by Senior Officers annually.</p> <p>Anti Fraud and Corruption Strategy.</p> <p>Code of Conduct for Officers.</p>	<p>CG14: Code of Conduct for Members</p>
	<p>4.1.4 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</p>	<p>Terms of reference</p> <p>Membership</p> <p>Training for committee members</p>	<p>Audit and Governance Committee Terms of Reference.</p>	<p>CG26: Local Audit and Accountability Bill</p>

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	functions of such a committee			
	4.1.5 Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	Complaints procedure  Evidence of changes/ improvements as a result of complaints received and acted upon	Comments and Complaints Procedure.  Quarterly Reports	
4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/ needs	4.2.1 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 and financial issues and their implications	Discussion between members and officers on the information needs of members to support decision making  Agreement on the information that will be provided and timescales  Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	Member Training and Development including Induction process.  Report Writing Guide for Officers.  Scrutiny Panel for RRC Procurement  Authority reporting uses standard template for key paragraphs  Forward Plan and Annual Timetable of Meetings  Treasurer reviews and reports future financial strategies and levy options to Members and Treasurers Group	CG23: Member Training and Development  CG10: Member Guide  CG20: Budget Profiling  CG21: Financial Management



Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
			Capital Strategy reviewed annually.	
	4.2.2 Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	<p>The authority complies with the <i>CIPFA Statement on the Role of the Chief Financial Officer in Local Government</i> and reports accordingly in its annual governance statement</p> <p>Record of decision making and supporting materials</p> <p>Meeting reports show details of advice given</p>	Financial and legal advice considered at Chairman's Briefings and relevant advice recorded within Authority reports.	<p>CG1: Legal advice</p> <p>CG22: Constitution – review of procedural rules.</p>
4.3 Ensuring that an effective risk management system is in place	4.3.1 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>Risk management protocol</p> <p>Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis</p> <p>Financial standards and Regulations</p> <p>Counter-fraud arrangements are in place and operating effectively</p>	<p>Risk Management Strategy (Last Reviewed 2011)</p> <p>Templates for Key and Executive Decisions includes risk assessment.</p> <p>Executive Management Team review of Corporate Risk Register.</p>	

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	4.3.2 Ensure that effective arrangements for whistleblowing are in place to which officers, staff and all those contracting with or appointed by the authority have access	<p>A whistleblowing policy exists and is reviewed on a regular basis</p> <p>The policy has been made available to members of the public, employees, partners and contractors</p>	Whistleblowing Policy – included in Corporate Training	CG25: Officer Training Programme
4.4 Using their legal powers to the full benefit of the citizens and communities in their area	4.4.1 Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine, but also strive to utilise their powers to the full benefit of their communities	<p>Constitution</p> <p>Monitoring officer provisions</p> <p>Statutory provision</p>	<p>Constitution.</p> <p>Monitoring officer provisions.</p> <p>Statutory provision.</p>	CG6: Strategic and Operational Reviews
	4.4.2 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	Record of legal advice provided by officers	<p>Legal / QC advice sought where appropriate and collated centrally.</p> <p>Legislative monitoring through subscription service and officer research role.</p>	
	4.4.3 Observe all specific legislative requirements placed upon them, as well as the requirements of general	<p>Monitoring officer provisions</p> <p>Job description/specification</p>	<p>Statutory Officer provisions</p> <p>Job Description / Person Specifications</p>	

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	<p>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>Statutory provisions</p>	<p>Suitably qualified HR professional</p> <p>Statutory provision.</p> <p>Corporate Social Responsibility Policy.</p> <p>Equality Act 2010 implications included in Report Writing Guide for Officers</p>	

**5. Core Principle: Developing the capacity and capability of members and officers to be effective.**

<b>Supporting Principle</b>	<b>Requirement</b>	<b>Examples of Evidence</b>	<b>What MWDA does:</b>	<b>What it will do to improve:</b>
5.1 Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles	5.1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	<p>Training and development plan</p> <p>Induction programme</p> <p>Access to update courses/ information/briefings on new legislation</p>	<p>Staff Development Scheme including Training Plan. Member Training and Development Plan including Induction Process.</p> <p>HR Strategy.</p> <p>Recruitment and Retention Strategy.</p>	CG23: Member Training and Development
	5.1.2 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>Job description/personal specifications</p> <p>Membership of the top management team</p>	<p>Job Descriptions / Person Specifications.</p> <p>Performance Management Framework.</p> <p>Staff Development Interviews</p> <p>Organisational Structures</p>	
5.2 Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group	5.2.1 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>Training and development plan</p> <p>Performance reviews of officers and members</p>	<p>Staff Development includes Statutory Officers</p> <p>Training and Development Plans for Officers and Members.</p>	<p>CG1: Legal services</p> <p>CG25: Officer Training Programme</p> <p>CG23: Member Training and Development</p> <p>CG15: Skills Audit</p>

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
			Corporate Training Programme.  Management Training Programme.  Skills Auditing.	
	5.2.2 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	Training and development plan reflects requirements of a modern councillor including: <ul style="list-style-type: none"> <li>• the ability to scrutinise and challenge</li> <li>• the ability to recognise when outside advice is required</li> <li>• advice on how to act as an ambassador for the community</li> <li>• leadership and influencing skills</li> </ul>	Member Training and Development supports MWDA role.  Wider Member training delivered by host authorities.  Performance Management Framework linked to Corporate Plan and ultimately the Staff Development Scheme to identify training needs.	CG14: Code of Conduct for Members
	5.2.3 Ensure that 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	Performance management System  Staff development plans linked to staff appraisals	Not Applicable MWDA does not have Executive Arrangements	

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	development needs			
5.3 Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal	5.3.1 Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	Strategic partnership Frameworks  Stakeholders' forums' terms of reference  Area forums' roles and Responsibilities  Residents' panel structure	Not Applicable Constituent council's responsibility for encouraging new talent	
	5.3.2 Ensure that career structures are in place for members and officers to encourage participation and development	Succession planning	Staff Development Scheme.  HR Strategy.  Annual review of Member Training and Development. Recruitment and Retention Strategy.	

**6. Core Principle: Engaging with local people and other stakeholders to ensure robust public accountability**

<b>Supporting Principle</b>	<b>Requirement</b>	<b>Examples of Evidence</b>	<b>What MWDA does:</b>	<b>What it will do to improve:</b>
6.1 Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	6.1.1 Make clear to themselves, all staff and the community to whom they are accountable and for what	Community strategy	Consultation processes.  Corporate Plan and Annual Performance Plan.	CG2: Review of Communications Strategy
	6.1.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	Establish a 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	Inter Authority Agreements and Joint Municipal Waste Management Strategy.  Joint and Project Boards.  Senior Officer Working Group and sub-groups.  Engagement with regional boards.  Treasurers' Group	CG16: Identify all interfaces with stakeholders.
	6.1.3 Produce an annual report on the activity of the scrutiny function	Annual report	Scrutiny items considered by full Authority.  Scrutiny items reported on website.	
6.2 Taking an active and planned approach to dialogue with and accountability to the public	6.2.1 Ensure clear channels of communication are in place with all sections of the	Community strategy  Citizen survey	Communications Strategy. Complaints Procedure. Performance Management Framework.	CG5: Reporting user survey outcomes

<b>Supporting Principle</b>	<b>Requirement</b>	<b>Examples of Evidence</b>	<b>What MWDA does:</b>	<b>What it will do to improve:</b>
to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning	community and other stakeholders, including monitoring arrangements, and ensure that they operate effectively		Stakeholder and Community Liaison Plan (WMRC Contract). Transparency Expenditure / Senior Officer Salary / Contracts Reporting. MWDA and Partner Websites.	
	6.2.2 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	Record of public consultations  Processes for dealing with competing demands within the community	Equality and Diversity Policy.  Contract Specifications / Service Delivery Plans.  MWDA Website including electronic interfaces.	
	6.2.3 Establish a clear policy on the types of issue on which they will meaningfully consult on or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result	Partnership framework  Communication strategy	Communications Strategy.  Authority and Contractual User Surveys.  Joint Recycling and Waste Management Strategy Merseyside.	CG2: Review of Communications Strategy



Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
			<p>Comments and Complaints Procedure.</p> <p>Management Report includes comments and complaints monitoring.</p> <p>WMRC User Surveys and Stakeholder Liaison Panel</p>	
	6.2.4 Publish an annual 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>Annual report</p> <p>Annual financial statements</p> <p>Corporate plan</p> <p>Annual business plan</p>	<p>Annual Performance Plan.</p> <p>Statement of Accounts.</p> <p>Budget Reports</p> <p>MWDA inclusion in Council Tax Leaflets</p>	
	6.2.5 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	<p>Constitution</p> <p>Freedom of Information Act publication scheme</p> <p>Council tax leaflet</p> <p>Authority website</p>	<p>Procedural Rules including Access to Information Procedural Rules.</p> <p>Website provides access to information.</p> <p>Social Media</p> <p>Freedom of Information</p>	

Supporting Principle	Requirement	Examples of Evidence	What MWDA does:	What it will do to improve:
	to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so		Publication Scheme (last reviewed 2012)  Procurement Project Confidentiality Agreement.  Transparency Reporting of Expenditure.	
6.3 Making best use of human resources by taking an active and planned approach to meet responsibilities to staff	6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	Constitution  Adherence to best practice standards in recruitment and staff terms and conditions	Performance Management Framework and Decision Making Process.  Management representation on Staff Committee.  Health and Safety Committee.  Section and Staff Meetings.  Strategic Review development process.	

**ADDITIONAL KEY LINES OF ENQUIRY CONSIDERED BY THE PRIMARY ASSURANCE GROUP:**

<b>Additional KLOE in relation to Core Principle 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles</b>		
<b>Examples of assurance:</b>	<b>Evidenced by:</b>	<b>Areas of Improvement:</b>
7.2.1 Ensure that the Chief Finance Officer 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 organisation arrangements are adopted, explain the reasons publicly, together with how these deliver the same impact.	Treasurer is a member of the Executive Management Team.  Organisational structure establishes direct accountability of Treasurer to Members.	
7.2.2 Ensure that the Authority's governance arrangements allow the Chief Finance Officer direct access to the Chief Executive Officer and to other leadership team members.	Organisational structure establishes direct accountability of Treasurer to Members. Treasurer is a Member of the Executive Management Team with access to other EMT members and the Chief Executive	
7.2.3 Appoint a professionally qualified Chief Finance Officer (CFO) whose core responsibilities include those set out in the Statement on the Role of the Chief Finance Officer in Local Government and ensure that they are properly understood throughout the Authority.	Director of Finance – CIPFA Membership and accountancy qualifications specified in the post's person specification as essential.  Scheme of Delegation establishes powers.  Role of CFO underpins Treasurer's role and duties	

<p>7.2.4 Ensure that the Chief Finance Officer:</p> <ul style="list-style-type: none"> <li>Leads the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively;</li> <li>Has a line of professional accountability for finance staff throughout the organisation</li> </ul>	<p>Financial Strategy reviewed at least annually.</p> <p>Organisational structure and Service Level Agreements.</p> <p>Treasurer promotes prudent use of the Authority's finances.</p> <p>Treasurer is responsible for the accountant and financial services, and for annual SLA with service provider</p>	<p>CG21: Financial Management</p>
<p>7.2.5 Ensure that budget calculation are robust and reserves adequate, in line with CIPFA's guidance.</p>	<p>The budget follows prudent guidelines and is not done in isolation but with service managers to ensure it is robust.</p> <p>Reserves are established both to deal with foreseen events and unplanned – the reserve level is agreed as part of the budget and the risks attached to reserve levels form part of the decision making process in line with CIPFA's guidelines.</p>	
<p>7.2.6 Ensure that appropriate management accounting systems, functions and controls are in place so that finances are kept under review on a regular basis. These systems, functions and controls should apply consistently to all activities including partnership arrangements,</p>	<p>Service Level Agreements in place with St Helens MBC</p> <p>Corporate Services provide in house financial systems which are kept under review by the Corporate Services Manager</p> <p>Internal Audit review systems on risk-based</p>	

<p>outsourcing or where the Authority is acting in an enabling role.</p>	<p>programme</p>	
<p>7.2.7 Establish a medium term business and financial planning process to deliver strategic objectives including:</p> <ul style="list-style-type: none"> <li>• a medium term financial strategy to ensure sustainable finances;</li> <li>• a robust annual budget process that ensures financial balance;</li> <li>• a monitoring process that enables this to be delivered;</li> <li>• ensure that these are subject to regular review to confirm the continuing relevance of assumptions used.</li> </ul>	<p>Corporate Plan</p> <p>Budget Planning</p> <p>Financial Strategy reviewed annually – particularly in light of proposed new contracts and the Levy strategy.</p> <p>A sinking fund has been established to offset future large scale increases in the levy.</p> <p>The revised estimate and outturn processes ensure financial plans are reviewed robustly.</p> <p>Chief Executive’s Annual Appraisal</p>	

**Additional KLOE in relation to Core Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour**

7.3.1 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.

Internal and External Auditing  
Procedural Rules and Financial Procedures  
Corporate Services provide in house financial systems and an SLA is in place to ensure external systems are adequate and effective in practice

<b>Additional KLOE in relation to Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</b>		
7.4.1 Ensure that the Authority's governance arrangements allow the Chief Finance Officer direct access to the Audit Committee and external audit.	Organisational structure establishes direct accountability of treasurer to Members.	
7.4.2 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>Quarterly Budget Monitoring Reports</p> <p>Finance reported in Quarterly Performance Report</p> <p>Budgets are loaded onto the financial information system and budget managers access reports regularly</p> <p>Business Support Manager provides support and challenge to budget holders to enable them to manage their budget areas effectively</p>	<p>CG20: Budget Profiling</p> <p>CG21: Financial Management</p>
7.4.3 Ensure the Authority's governance arrangements allow the Chief Finance Officer to bring influence to bear on all material decisions.	<p>Organisational structure establishes direct accountability of treasurer to Members</p> <p>Director of Finance attends all Authority Meetings</p> <p>All Authority reports with a financial impact are reviewed by the Treasurer</p>	
7.4.4 Ensure that advice is provided on the levels of reserves and balances in line with good practice guidance.	<p>The budget report process ensures members are advised of the levels of reserves and the reasons for them.</p> <p>The outturn report to Members comments on the</p>	

	levels of balances and quarterly updates in Quarterly Performance Report	
7.4.5 Ensure the Authority's arrangements for financial and internal control and for managing risk are addressed in annual governance reports.	<p>The Annual Governance Statement confirms arrangements.</p> <p>Confirmation from chairperson regarding arrangements to prevent fraud and corruption annually.</p> <p>Primary Assurance Group reviews all processes and identifies areas for improvement</p>	
7.4.6 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 processes.	<p>Financial Procedural Rules</p> <p>Contract Procedural Rules</p> <p>Financial Instructions and procedures</p> <p>Scheme of Delegation</p> <p>Internal Audit Reviews</p> <p>Officer Job Descriptions</p>	



<b>Additional KLOE in relation to Core Principle 5: Developing the capacity and capability of members and officers to be effective</b>		
7.5.1 Ensure the Chief Financial Officer has the skills, knowledge experience and resources to perform effectively in both the financial and non-financial areas of their role.	<p>Recruitment Process</p> <p>Person Specifications</p> <p>Staff Development Scheme</p> <p>CIPFA Financial Accounting Network membership including training resource</p>	
7.5.2 Review the scope of the Chief Finance Officer's other management responsibilities to ensure financial matters are not compromised.	The Chief Finance Officer contributes to the management of the Authority through EMT – but this does not impact on the overall ability to continue to the financial management of the Authority	
7.5.3 Provide the finance function with the resources, expertise and systems necessary to perform its role effectively.	<p>Service Level Agreements in place with St Helens MBC</p> <p>Corporate Services provide the internal resources and functions that enable the finance function to be effective.</p> <p>Audit undertaken annually</p>	
7.5.4 Embed financial competencies in person specifications and appraisals.	<p>Director of Finance Person Specification</p> <p>Business Support Manager's Person Specification</p> <p>Budget managers' Person Specifications</p>	CG25: Officer Training Programme
7.5.5 Ensure that Councillors' roles and responsibilities for monitoring financial performance/budget management are	Determination of Portfolios	CG23: Member Training and Development

<p>clear, that they have adequate access to financial skills and are provided with appropriate financial training on an ongoing basis to help them discharge their responsibilities.</p>	<p>Member Training and Development Plan</p>	
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