

## ANNUAL ASSESSMENT AND REVIEW 2020

| <b>1. Core principle: Behaving with integrity, demonstrating strong commitment to ethical values, respecting the rule of the law</b>   |   |   |  |
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| Supporting Principles:   | To Achieve this MWDA will:  | This is evidenced by:   | What we will do to improve:  |
| <ul style="list-style-type: none"> <li>Behaving with Integrity</li> <li>Demonstrating a Strong Commitment to Ethical Values</li> <li>Respecting the Rule of the Law</li> </ul> | <ul style="list-style-type: none"> <li>Ensure that the Authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.</li> <li>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.</li> <li>Maintain and develop policies that ensure that Members and employees of the Authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders.</li> <li>Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectation and communicate these with Members, staff, the community and partners.</li> </ul> | <ul style="list-style-type: none"> <li>Annual Governance Statement</li> <li>Annual Governance Assessment and Action Plan</li> <li>Code of Corporate Governance</li> <li>Corporate Plan</li> <li>Authority Reports and minutes</li> <li>Anti-Fraud and Corruption Strategy</li> <li>Whistleblowing Policy</li> <li>Corporate Training Plan</li> <li>Competency Framework</li> <li>Internal Audit Reports</li> <li>Register of Interests</li> <li>Register of Gifts and Hospitality</li> <li>Comments and Complaints Procedure</li> <li>Constitution</li> <li>Authority Procedural Rules</li> </ul> | <p>CG1: Delivery of an annual Service Delivery Plan and publication of an Annual Report</p> <p>CG3: Contribution to the implementation of outcomes in relation to the Strategic Review undertaken by Merseyside and Halton Councils Leaders and Chief Executive Group</p> <p>CG4: Following the consultations of the New National Waste Strategy, develop a new Zero Waste 2040 Strategy for the LCR</p> <p>CG14: Develop the Authority's approach to the planning of future waste management services, in preparation for the procurement of the replacement services currently delivered under the existing Waste Management &amp; Recycling Contract.</p> |

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|  | <ul style="list-style-type: none"> <li>• Work with Members’ constituent authorities to promote and maintain high standards of conduct.</li> <li>• Ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.</li> <li>• Maintain whistle-blowing arrangements to which staff and all those contracting with the Authority have access.</li> <li>• Actively recognise the limits of lawful activity placed on the Authority by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of the communities it serves 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.</li> <li>• Observe all specific legislative requirements placed upon the Authority, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into its procedures and decision-making processes.</li> <li>• Ensure that those making decisions, whether for the authority or the partnership are provided with</li> </ul> | <ul style="list-style-type: none"> <li>• Information Procedural Rules</li> <li>• Contract Procedural Rules</li> <li>• Financial Procedural Rules</li> <li>• Scheme of Delegation</li> <li>• Code of Conduct for Members</li> <li>• Code of Conduct for Officers</li> <li>• Declarations of Interest by Members</li> <li>• Declarations of Interest by Senior Officers</li> <li>• Equality and Diversity Policy</li> <li>• Legal/QC advice sought where appropriate and collated centrally</li> <li>• Legislative Monitoring through subscription service and officer research role</li> <li>• Procurement of legal services through the NW Legal Consortium</li> </ul> | <p>CG17: To implement and embed the new Competency Framework as part of the revised Performance Management System</p> |
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|  | <p>information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications.</p> <ul style="list-style-type: none"> <li>• Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.</li> </ul> |  |  |
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**2. Core Principle: Ensuring openness and comprehensive stakeholder engagement:**

| Supporting Principles:  | To Achieve this MWDA will:  | This is evidenced by:  | What we will do to improve:   |
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| <ul style="list-style-type: none"> <li>• Openness</li> <li>• Engaging Comprehensively with institutional stakeholders</li> <li>• Engaging stakeholders effectively, including citizens and service users</li> </ul> | <ul style="list-style-type: none"> <li>• 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.</li> <li>• In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners’ behaviour both individually and collectively.</li> <li>• Continue to develop the Joint Recycling and Waste Management</li> </ul> | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Performance Management Framework</li> <li>• JRWMSM in place</li> <li>• Statutory Performance Targets</li> <li>• Senior Officer Working Group</li> <li>• Stakeholder Liaison Panel Mechanism</li> <li>• Member Forward Planning Panel</li> </ul> | <p>CG1: Delivery of an annual Service Delivery Plan and publication of an Annual Report</p> <p>CG2: To continue to develop and implement the actions of the Authority’s Climate Action Plan</p> <p>CG3: Contribution to the Implementation of the Strategic Review undertaken by Merseyside and Halton Council Leaders and Chief Executives Group</p> |

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|  | <p>Strategy for Merseyside to ensure that partnerships work to a common goal.</p> <ul style="list-style-type: none"> <li>• Produce and publish seasonal updates and an Annual Report to monitor the Authority's performance and the quality of its services.</li> <li>• 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.</li> <li>• When working in partnership:</li> <li>• Ensure that there is clarity about the legal status of the partnership through formal agreements such as an Inter Authority Agreement.</li> <li>• Ensure that protocols are in place to make clear the extent of a representative's authority to bind their organisation to partner decisions.</li> <li>• Continue to develop effective arrangement to identify and deal with failure in service delivery.</li> </ul> | <ul style="list-style-type: none"> <li>• Involvement in Constituent Districts Scrutiny processes</li> <li>• Inter Authority RRC Agreement with Halton</li> <li>• Representation on Joint Boards</li> <li>• Project Plans, Statement of Funding and representation on Project Boards (E.g. Procurement)</li> <li>• Memorandum of Understanding with constituent councils re: Waste Development Fund</li> <li>• Shareholders Agreement</li> <li>• Senior Officer Working Group Terms of Reference</li> <li>• Citizens Juries Mechanism</li> </ul> | <p>CG4: Following the consultations of the New National Waste Strategy, develop a new Zero Waste 2040 Strategy for the LCR</p> <p>CG5: Performance Reports to be collated and reported to the Authority as per the Waste Development Fund/Memorandum of Understanding with each of the Constituent Councils</p> <p>CG8: Invitation to attend Scrutiny Committees at Constituent Councils including Halton</p> <p>CG10: To complete the signing of the revised IAA with Halton Borough Council</p> <p>CG14: Develop the Authority's approach to the planning of future waste management services, in preparation for the procurement of the replacement services currently delivered under the existing Waste Management &amp; Recycling Contract.</p> |
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**3. Core Principle: Defining Outcomes in terms of sustainable, economic, social and environmental benefits**

| Supporting Principles:   | To Achieve this MWDA will:  | This is evidenced by:  | What we will do to improve:  |
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| <ul style="list-style-type: none"> <li>• Defining Outcomes</li> <li>• Sustainable economic, social and environmental benefits</li> </ul> | <ul style="list-style-type: none"> <li>• Develop and promote the Authority's purpose and vision through its Corporate Plan.</li> <li>• Ensuring fair access to services</li> <li>• Delivering defined outcomes on a sustainable basis within the resources that will be available</li> <li>• Managing service users' expectations effectively with regard to determining priorities and making best uses of the resources available.</li> <li>• Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision</li> <li>• Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible.</li> <li>• Ensure value for money which takes account of sustainable delivery of services and improved environmental performance</li> </ul> | <ul style="list-style-type: none"> <li>• Performance Management Framework</li> <li>• Annual Plan</li> <li>• Service Delivery Plan</li> <li>• Team meeting/briefings</li> <li>• Service Delivery Plans for Waste Contracts</li> <li>• Treasurer reviews and reports future financial strategies and levy option to Members and Treasurers Group</li> <li>• Capital Strategy reviewed annually</li> <li>• Forward Planning Panel</li> <li>• Forward Plan and Annual Timetable of Meeting</li> <li>• Statement of Accounts</li> <li>• Budget Reports</li> <li>• Social Responsibility Strategy &amp; Policy</li> <li>• Climate Action Plan</li> </ul> | <p>CG1: Delivery of an annual Service Delivery Plan and publication of an Annual Report</p> <p>CG2: To continue to develop and implement the actions of the Authority's Climate Action Plan</p> <p>CG4: Following the consultations of the New National Waste Strategy, develop a new Zero Waste 2040 Strategy for the LCR</p> |

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|  |  | <ul style="list-style-type: none"> <li>• Sustainable Procurement Strategy &amp; Policy</li> <li>• Sustainable Development Strategy &amp; Policy</li> <li>• Environment Strategy &amp; Policy</li> <li>• EMS System</li> <li>• Environmental Monitoring Systems</li> <li>• Community Fund</li> </ul> |  |
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#### 4. Core Principle: Determining the interventions necessary to optimise the achievement of the intended outcomes

| Supporting Principles:   | To Achieve this MWDA will:   | This is evidenced by:   | What we will do to improve:   |
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| <ul style="list-style-type: none"> <li>• Determining interventions</li> <li>• Planning interventions</li> <li>• Optimising achievement of intended outcomes</li> </ul> | <ul style="list-style-type: none"> <li>• On an annual basis, publish an Annual Report 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.</li> <li>• Make clear to Members, all staff and the community, to whom they are accountable and for what.</li> <li>• Ensure that clear channels of communication are in place with all</li> </ul> | <ul style="list-style-type: none"> <li>• Performance Management Framework</li> <li>• Corporate Plan</li> <li>• Service Delivery Plan</li> <li>• Member Forward Planning Panel</li> <li>• Scrutiny items considered by full Authority</li> <li>• Scrutiny items reported on website</li> </ul> | <p>CG1: Delivery of an annual Service Delivery Plan and publication of an Annual Report</p> <p>CG3: Contribution to the implementation of outcomes in relation to the Strategic Review undertaken by Merseyside and Halton Councils Leaders and Chief Executive Group</p> |

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|  | <p>sections of the community and other stakeholders including monitoring arrangements to ensure that they operate effectively.</p> <ul style="list-style-type: none"> <li>• Ensure that the Authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.</li> <li>• Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making</li> <li>• Consider stakeholders to whom the Authority is accountable and assess the effectiveness of the relationships and any changes required.</li> <li>• Ensure that the communications strategies and contractual arrangements establish the types of issues the Authority 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</li> </ul> | <ul style="list-style-type: none"> <li>• Business Continuity Plan</li> <li>• Staff Development Scheme</li> <li>• HR Strategy</li> <li>• Staff Development Scheme</li> <li>• Competency Framework</li> <li>• Quarterly Budget Monitoring Reports</li> <li>• Financial Strategy (reviewed annually)</li> <li>• Service Level agreements (St Helens, Merseytravel)</li> <li>• WMRC Service Delivery Plans identified annually</li> <li>• Communications Strategy</li> <li>• Communications Policy</li> <li>• Social Media Policy</li> </ul> | <p>CG4: Following the consultations of the New National Waste Strategy, develop a new Zero Waste 2040 Strategy for the LCR</p> <p>CG8: Invitation to attend Scrutiny Committees at Constituent Councils including Halton</p> <p>CG11: To review the Service Level Agreement with the LCRCA for ITC support and resilience.</p> <p>CG12: To undertake a programme of annual reviews for the contractual service delivery plans (SDP's)</p> <p>CG13: To ensure the Authority is compliant with ISO14000/2015</p> <p>CG14: Develop the Authority's approach to the planning of future waste management services, in preparation for the procurement of the replacement services currently delivered under the existing Waste Management &amp; Recycling Contract.</p> |
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|  | <ul style="list-style-type: none"> <li>• Produce an annual report on scrutiny function activity within the Authority's Annual Report.</li> <li>• Hold meetings in public unless there are good reasons for confidentiality.</li> <li>• Ensure arrangements are in place to enable the Authority to engage with all sections of the community effectively. These arrangements will recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.</li> </ul> |  | <p>CG16: To develop a programme of review for Authority Policies and Procedures for Member approval</p> <p>CG17: To implement and embed the new Competency Framework as part of the revised Performance Management System</p> <p>CG18: To continue to develop and maintain services and systems in response to the Covid 19 Pandemic</p> |
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**5. Core Principle: Developing the entity's capacity, including the capability of its leadership and the individuals within it**

| Supporting Principles:   | To Achieve this MWDA will:   | This is evidenced by:  | What we will do to improve:   |
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| <ul style="list-style-type: none"> <li>• Developing the entity's capacity</li> <li>• Developing the capability of the entity's leadership and other individuals</li> </ul> | <ul style="list-style-type: none"> <li>• Develop skills on a continuing basis through staff and Member training and development programmes to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.</li> </ul> | <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Staff Development Scheme</li> <li>• Competency Framework</li> <li>• Corporate Training Plan</li> <li>• Officer Training and <u>D</u>evelopment Plans</li> </ul> | <p>CG7: Employee Corporate Training</p> <p>CG17: To implement and embed the new Competency Framework as part of the revised Performance Management System</p> |



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|  | <ul style="list-style-type: none"> <li>• Ensure that effective arrangements are in place for reviewing the performance of the Authority as a whole and of individual Members and agreeing an action plan which might for example aim to address any training or development needs.</li> <li>• Develop the Authority’s strategies and policies to 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</li> <li>• Ensure that career structures are in place for Members and officers to encourage participation and development</li> <li>• Provide induction programmes tailored to individual needs and opportunities for Members and officers to update their knowledge on a regular basis.</li> <li>• 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 organisation.</li> <li>• Assess the skills required by Members and officers to support their role with the Authority and make a commitment</li> </ul> | <ul style="list-style-type: none"> <li>• Member Training and Development Plans</li> <li>• Code of Conduct for Members</li> <li>• Chief Executive role defined in Authority Procedural Rules</li> <li>• Job Descriptions and Person Specifications</li> <li>• Service Plans</li> <li>• Statutory Officer Roles</li> <li>• HR Strategy</li> <li>• Recruitment and Retention Policy</li> <li>• Organisational Structure</li> <li>• Management Training Programme</li> <li>• Skills Audits</li> <li>• Induction Policy</li> <li>• Staff Development Scheme includes Statutory Officers</li> <li>• Scheme of Delegation</li> </ul> |  |
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|  | to develop those skills to enable roles to be carried out effectively |  |  |
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## 6. Core Principle: Managing risks and performance through robust internal control and strong public financial management

| Supporting Principles:  | To Achieve this MWDA will:  | This is evidenced by:   | What we will do to improve:   |
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| <ul style="list-style-type: none"> <li>Managing Risk</li> <li>Managing performance</li> <li>Robust internal control</li> <li>Managing Data</li> <li>Strong public financial management</li> </ul> | <ul style="list-style-type: none"> <li>Continue to embed risk management into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs.</li> <li>Maintain an effective Scheme of Delegation, ensuring that the Chief Executive is responsible and accountable to the Authority for all aspects of operational management.</li> <li>Publish the Authority's Service Delivery Plan on a timely basis each year to communicate the Authority's activities and achievements, its financial position and performance.</li> <li>Set out clearly the respective roles and responsibilities of the Authority's Members and senior officers.</li> <li>Ensure that the Authority's Corporate Plan and key strategies are developed</li> </ul> | <ul style="list-style-type: none"> <li>Risk Management Strategy</li> <li>Templates for Key and Executive Decisions includes risk assessment</li> <li>Corporate Risk Register</li> <li>Performance Management Framework</li> <li>Code of Corporate Governance</li> <li>Annual Corporate Governance Assessment</li> <li>Health &amp; Safety System</li> <li>Primary Assurance Group (PAG)</li> <li>Annual Governance Statement</li> </ul> | <p>CG1: Delivery of an annual Service Delivery Plan and publication of an Annual Report</p> <p>CG6: Identify strategic direction of the Authority's budget with Members early in the year</p> <p>CG8: Employee Corporate Training Programme</p> <p>CG9: Budget Profiles to continue to be developed to ensure patterns of expenditure can be monitored more effectively</p> <p>CG11: To review the Service Level Agreement with the LCRCA for ITC support and resilience.</p> |

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|  | <p>through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated</p> <ul style="list-style-type: none"> <li>• Maintain the Member/Officer Protocol to ensure that a shared understanding of roles and objectives is maintained.</li> <li>• Ensure that the Clerk to the Authority and the Monitoring Officer are responsible for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.</li> <li>• Maintain effective mechanisms to monitor service delivery.</li> <li>• Ensure that the Treasurer to the Authority (the S151 officer) is responsible for providing appropriate advice on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system for internal financial control.</li> <li>• Consider the terms and conditions for remuneration of Members and officers and an effective structure for managing the process</li> </ul> | <ul style="list-style-type: none"> <li>• Annual Plan</li> <li>• Service Delivery Plan</li> <li>• Quarterly Performance Reports</li> <li>• Data Management Strategy</li> <li>• Internet and Email Policy</li> <li>• Anti-Fraud and Corruption Strategy</li> <li>• Whistleblowing Policy</li> <li>• Comments and Complaints Procedure</li> <li>• Financial Strategy</li> <li>• Annual Outturn and Financial Statements</li> <li>• Quarterly Report including performance outturn</li> <li>• Statement of Accounts</li> <li>• Treasurer included in Chief Finance Officer Meetings</li> <li>• Statutory Officer Roles</li> <li>• Procedural Rules</li> <li>• Scheme of Delegation</li> <li>• Record of Sub-Delegations</li> <li>• Committee Structure</li> <li>• Statutory Instruments</li> <li>• Job Descriptions</li> </ul> | <p>CG12: To undertake a programme of annual reviews for the contractual service delivery plans (SDP's)</p> <p>CG15: Prepare, review and monitor the Authority's Capital Strategy</p> <p>CG16: To develop a programme of review for Authority Policies and Procedures for Member approval</p> <p>CG17: To implement and embed the new Competency Framework as part of the revised Performance Management System</p> <p>CG18: To continue to develop and maintain services and systems in response to the Covid 19 Pandemic</p> |
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|  |  | <ul style="list-style-type: none"> <li>• Business Continuity Plan</li> </ul> |  |
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**7. Core Principle: Implementing good practices in transparency, reporting and audit to deliver effective accountability**

| Supporting Principles:  | To Achieve this MWDA will:   | This is evidenced by:   | What we will do to improve:   |
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| <ul style="list-style-type: none"> <li>• Implementing good practice in transparency</li> <li>• Implementing good practice in reporting</li> <li>• Assurance and effective accountability</li> </ul> | <ul style="list-style-type: none"> <li>• Have regard to relevant Scrutiny Committee Reports of partner Authority's where written notice requires the Authority's consideration.</li> <li>• Develop and maintain effective, transparent and accessible arrangements for dealing with complaints</li> <li>• Maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and consideration on which decisions are based.</li> <li>• Deliver an effective scrutiny function through the Authority's Procedural Rules and Scheme of Delegation, which encourages constructive challenge and enhances the Authority's performance overall and that of any organisation for which it is responsible.</li> </ul> | <ul style="list-style-type: none"> <li>• Transparency Reporting of Expenditure</li> <li>• Website</li> <li>• Transparency Senior/Officer Salary/Contracts</li> <li>• Comments and Complaints Procedure</li> <li>• Whistleblowing Procedure</li> <li>• Constitution</li> <li>• Report Writing Guide for Officers</li> <li>• Authority Reporting using standard template for key paragraphs</li> <li>• Forward Plan and Annual Timetable of Meetings</li> <li>• Procedural Rules</li> </ul> | <p>CG8: Invitation to attend Scrutiny Committees at Constituent Councils including Halton</p> |

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|  | <ul style="list-style-type: none"> <li>• Develop and maintain arrangements to safeguard Members and employees against conflicts of interest.</li> <li>• Develop and maintain an effective audit function through the Authority’s board and where appropriate, the Audit and Governance Committee.</li> <li>• Review the Corporate Plan and its impact on the Authority’s governance arrangements on a regular basis</li> </ul> | <ul style="list-style-type: none"> <li>• Scheme of Delegation</li> <li>• Declaration of Interest</li> <li>• Scrutiny items considered by full Authority</li> <li>• Scrutiny items reported on website</li> <li>• Audit and Governance Committee</li> <li>• Regular Audits (internal &amp; external)</li> <li>• Audit outcomes reported to the Authority</li> <li>• Code of Corporate Governance</li> <li>• Annual Corporate Governance Assessment</li> <li>• Primary Assurance Group (PAG)</li> <li>• Annual Governance Statement</li> <li>• Treasurer reviews and reports future financial strategies and levy options to Members and Treasurers Group</li> <li>• Capital Strategy reviewed annual</li> <li>• CIPFA Membership</li> </ul> |  |
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|  |  | <ul style="list-style-type: none"><li>• Quarterly Budget Monitor</li><li>• Statement of Accounts</li></ul> |  |
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