WIRRAL

FINANCE DEPARTMENT

DEPARTMENTAL PLAN

2010-2011

CONTENTS

1.   Departmental Overview

1.1 Introduction
The Department employs over 800 staff at its principal sites at Cleveland Street, Birkenhead, Castle Chambers, Liverpool and Cheshire Lines Building, Birkenhead. Staff are also located at One Stop Shops around the Borough and in other Departments supporting Information Services. The department is led by the Director, Ian Coleman, supported by the Deputy Director, David Taylor-Smith, and six Heads of Service each of whom leads a Division. The six Divisions within the Finance Department and the key services each delivers are listed in the following table:

Finance Department - Divisions	Key services
Financial Services (Tom Sault)	Financial planning; Financial monitoring Financial reporting; Risk and Insurance Treasury Management system
Information Technology Services (John Carruthers)	Information Technology Services - corporate and schools IT systems; network and communications infrastructure; Print Services
Merseyside Pension Fund (Peter Wallach)	Pension Fund Administration Pension Fund Investments
Revenues, Benefits and Customer Services (Malcolm Flanagan)	Call Centre; One Stop Shops; Council Tax Housing and Council Tax Benefits Miscellaneous Income, Student Support, Customer Service Development Cashiers
Support Services (Stephen Rowley)	Administration; Secretarial team HR support and training Performance and Planning Compliance; Pensions Liaison Payments; Procurement; Information Management; Health and Safety
Change Team (Jacqui Roberts)	Support for Strategic Change Programme

The Finance Department also manages the Council's Internal Audit function.

The core functions of the Finance Department are described in Section 2.1.

1.2 Objectives for the Year
The Finance Department exists to deliver efficient and effective services which support the Council in delivering its priorities for the people of Wirral. We will achieve this with our suitably qualified, trained and informed workforce.

The Director of Finance is statutorily responsible for the proper administration of the Council's financial affairs.

1.2.1 Context for our Delivery Programme
The Medium Term Financial Plan for the Council indicates that we will face a financial shortfall of approximately £65m for the period 2011-2014. This is the result of increasing service and financial demands at a time when Central Government support in the form of grant funding is anticipated to fall. To bridge this shortfall work is being and will continue to be carried out to identify further efficiencies through the delivery of the strategic change programme, the extension of that programme and specific service efficiencies.

Part of the framework for this is the Government's Operational Efficiency Programme (OEP), the aim of which is to achieve greater efficiency savings across public spending, focusing on the key areas of:

- back office operations and IT – better governance, greater standardisation
- collaborative procurement – increased collective buying power
- asset management and sales – increased transparency
- local incentives and empowerment – accelerated joint working in local areas

In order to fulfil our objectives, we have to achieve the following.

- <u>Strategic</u> – a programme of reviews, led by the department's management team, to ensure the department delivers effective and efficient services.
- <u>Customers and Workforce</u> – ensuring that our staff are supported and developed, and that the services we deliver meet the needs of our customers.
- <u>Operational</u> - ensuring that our services are delivered appropriately and in accordance with statutory and regulatory demands.

1.2.2 Strategic

In order to ensure that we deliver value for money we will undertake the following management reviews.

- Strategic Change Programme (SCP) – the department is leading on many of the areas of the SCP. We will contribute to and lead the continuous review of the programme, and provide assurance and support to other projects
- Commissioning and Procurement – ensuring that strategic commissioning and procurement contributes effectively to the Council's targets for improvement and efficiency
- Information Technology – assessment of current strategies (infrastructure, software, work control), and the most appropriate way of supporting them (measured against cost, stability and security)
- Revenues and Benefits – review of processes to further improve efficiency for service users
- Financial Services – to strengthen S151 links in a time of financial constraint, and eliminate duplication of financial support

1.2.3 Customers and Workforce

The department supports and develops its staff, and promotes equality and diversity, in accordance with the Council's workforce policies. We are committed to the following values and principles.

- Ensuring that we to employ a diverse staff and developing the career potential of individuals.
- We do what we say we will do.
- We will encourage innovation and deliver the best services for users.
- We are driven by quality of outcome (within available resources).
- Working Together
  – We will work with integrity and respect.
  – We will create an environment of trust.
  – We will work together and with others to make a difference.
- Improvement
  – We will be efficient and effective.
  – We will be ambitious and get better, year on year.
- Customers
  – We listen to and involve our services users.
  – We value diversity.
  – We care about what we do.

– We resolve enquiries with accuracy and speed

Building on the issues and developments arising from the programme of summer roadshows and the recent review of our Investors in People status, we will deliver these values and principles through a set of 8 projects described in Section 3 of this plan.

1.2.4 Operational
Our major challenges are:
- managing a reduction in the budget
- delivering efficiency
- facilitating efficiency across the Council
- maintaining service delivery
- Pension Fund revaluation and cost sharing
- International Financial Reporting standards
- customer access – working with partners / engaging with customers

2. Contribution to the Council's Corporate Plan

2.1 Strategic objectives and aims for 2010-13

The Finance Department contributes to the Council's strategic objective of 'Create an Excellent Council' though its core functions which include administering Council Tax and Business Rates, paying Housing and Council Tax Benefits, delivering Customer Access for the authority's services through the One Stop Shops, Call Centre and Web, and managing the Merseyside Pension Fund.

The Director of Finance is statutorily responsible for the proper administration of the Authority's financial affairs. This includes setting and monitoring compliance with appropriate financial management standards, advising on the corporate financial position and on the key financial controls necessary to secure sound financial management; providing financial information; preparing the revenue budget and capital programme, treasury management, and ensuring that an adequate and effective system of internal audit is in place.

Collaborative working through and by the One Stop Shops, joint working with partners from Health and those supporting people back into work all help to contribute towards the strategic objectives. In addition, the Department is leading a significant number of Change Programme Initiatives and it also supports other Departments in delivering the major projects identified to generate efficiency savings.

2.2 Improvement priorities for 2010-11

The council has a number of improvement priorities for 2010-11, as agreed by Cabinet on the 24th September 2009. The department leads on the following areas within the Strategic Objective of 'Create an Excellent Council':
- **Maintain a sustainable and stable budget providing value for money**
- **Ensure effective prioritisation of spending decisions during difficult financial circumstances brought about by government spending restraint**

In 2010-11, the department will deliver the following projects and outcomes in relation to these priorities:
- Value For Money
- Financial Strategy

It will also make a contribution to the following:

- **Reduce Wirral's carbon footprint by working with our partners and the community to reduce the carbon footprint across the Local Authority area:**
  - Environmental Management System
- **Improve the use of the Council's land and assets:**
  - Change Programme 2009/2012
  - Capital Strategy
  - Corporate Risk Strategy
  - Internal Audit Plan

2.3   <u>Summary of contribution to LAA improvement priorities</u>

The council has signed up to deliver Wirral's Local Area Agreement as a member of the Local Strategic Partnership.

In 2010-11, the Finance department does not lead on the delivery of any of the LAA improvement priorities and targets. The department contributes to the delivery of the LAA through financial management and customer services support.

3.   **What are we going to deliver?**

3.1   Priorities for Improvement 2010 -11

Priority for Improvement 2010-11	We will measure our success by: Performance Indicators	We will deliver: Projects / Activity	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
Maintain a stable and sustainable budget, providing value for money	Local 2068	**Financial Strategy** (included as a control for corporate risks 11 & 12)	existing	Finance and Best Value	Financial Services	Budget process enables available resources to be allocated to meeting the Council aims	All departments
Maintain a stable and sustainable budget, providing value for money	**NI 179** – Value for Money	**Value For Money and efficiency (**included as a control for corporate risks 11 & 12)	existing	Finance and Best Value	Financial Services	Delivering efficiencies enables resources to be made available to allocate towards our priorities	All departments
Ensure effective prioritisation of spending decisions during difficult financial circumstances brought about by government spending restraint	**LOCAL 2067** - efficiencies gained through procurement **LOCAL 2080** - invoices paid within 30 days	**Procurement Strategy** (included as a control for corporate risk 12)	existing	Finance and Best Value	Support Services	Delivering efficiencies enables resources to be made available to allocate towards our priorities	All departments
Improve the use of the Council's land and assets	**NI 14 -** reducing avoidable contact **LOCAL 2004 -** complaints **LOCAL 2063 -** calls handled through the Call	**Customer Access Strategy**	existing	Finance and Best Value	Revenues, Benefits and Customer Services	Yes – by ensuring equality of access to and quality of our services	All departments

Priority for Improvement 2010-11	We will measure our success by: Performance Indicators	We will deliver: Projects / Activity	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
	Centre **LOCAL 2069** – website visits						
Improve the use of the Council's land and assets	**NI 180 -** changes of circumstance **NI 181 -** time taken to process new claims **LOCAL 2073 -** Council Tax collected	**Benefits Service Delivery**	existing	Finance and Best Value	Revenues, Benefits and Customer Services	Yes – by ensuring equality of access to and quality of our services	
Improve the use of the Council's land and assets	Programme agreed by March each year. Quarterly monitoring and reporting and annual report	**Capital Strategy** (included as a control for corporate risk 11)	existing	Finance and Best Value	Financial Services	Budget process enables available resources to be allocated to meeting the Council aims	All departments
Improve the use of the Council's land and assets	Review by July each year. Quarterly monitoring and reporting and annual report	**Corporate Risk Strategy** (included as a control for corporate risk 8)	existing	Finance and Best Value	Financial Services	Yes – by ensuring that all our policies and procedures are equitable	All departments
Improve the use of the Council's land and assets	**LOCAL 2060 -** completion of all high risk systems identified in the Audit Plan	**Governance: Internal Audit Plan (**included as a control for corporate risk 8)	existing	Finance and Best Value	Internal Audit	Yes – by ensuring that all our policies and procedures are equitable	
Improve the use of the Council's land	Quarterly review	**Strategic**	existing	Finance and	Change Team	Delivering efficiencies	All departments

Priority for Improvement 2010-11	We will measure our success by: Performance Indicators	We will deliver: Projects / Activity	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
and assets	and progress report against key project milestones	**Change Programme** (included as a control for corporate risk 12)		Best Value		enables resources to be made available to allocate towards our priorities	

3.2   Aims for 2010-13

Aims 2009-2013 BOLD = priorities for improvement	We will measure our success by: Related Performance Indicators	We will deliver: Projects and/or Activities (BOLD = Corporate Plan)	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
Strategic Objective 1 - **To create more jobs, achieve a prosperous economy and regenerate Wirral**							
Reduce worklessness through targeted activity	National project – no PIs yet determined	Reducing Worklessness Customer Services and Benefits Service joint working /co-location with Department for Work and Pensions (DWP)	existing	Finance and Best Value	RBCS	Yes – by ensuring equality of access to and quality of services	Department for Work and Pensions (DWP)
Reduce the council's carbon footprint by working with our partners and the community to reduce the carbon footprint across the Local Authority area	EMS audit Maintain Environmental Management System (ISO 14001) status	Environmental Management System (EMS) plan Finance Department components	existing	Finance and Best Value	SS	No	
Strategic Objective 5 – Create an excellent Council							
	CUSTOMERS:						
Improve the use of the Council's land and assets	**NI 14 -** reducing avoidable contact **LOCAL 2004 -** no. of complaints	**Customer Access Strategy** • customer care standards	existing	Finance and Best Value	RBCS	Yes – by ensuring equality of access to and quality of	All departments

Aims 2009-2013 BOLD = priorities for improvement	We will measure our success by: Related Performance Indicators	We will deliver: Projects and/or Activities (BOLD = Corporate Plan)	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
	LOCAL 2063 - calls handled through the Call Centre **LOCAL 2069** - visits to the Council's website LOCAL 2071 - satisfaction with overall service provided by the Council LOCAL 2072 - satisfaction with handling of complaints LOCAL 2070 - registrations onto E-Citizen Revenues and Benefits system	• customer insight • community engagement • partnership working (included as a planned control for risk 9) • Tax and benefits review – e-enablement, front line delivery, and integrating working practices • An improved and enhanced website.				services	
Improve the use of the Council's land and assets	**NI 180 -** changes of circumstance **NI 181 -** time taken to process new claims **LOCAL 2073 -** Council Tax collected	**Benefits Service Delivery** Projects include: • maximising delivery of Housing Benefits service including Local Housing Allowance • maximising revenue collection	existing	Finance and Best Value	RBCS	Yes – by ensuring equality of access to and quality of services	
	WORKFORCE:						
Improve the use of the Council's land and assets	Delivery of action plan; Quarterly report and monitoring	Workforce Development Plan	existing	Finance and Best Value	SS	Yes – by ensuring equality of access to information, support and development	
Improve the use of the	Delivery of action plan;	Equality and Diversity Plan	existing	Finance	SS	Yes – by	

Aims 2009-2013 BOLD = priorities for improvement	We will measure our success by: Related Performance Indicators	We will deliver: Projects and/or Activities (BOLD = Corporate Plan)	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
Council's land and assets	Quarterly report and monitoring			and Best Value		ensuring equality of access to information, support and development	
Improve the use of the Council's land and assets	Delivery of Roadshow action plan; Quarterly report and monitoring	Roadshow action plan - Leadership • demonstrate visible management	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	
		Management • pro-active, not reactive management	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	
		Communication • provide clear and consistent messages • review means and frequency of communications	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	
		Environment • Make staff feel safer	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	
		Peformance and Planning • Identify processes that pose problems / need fixing • Ensure staff are aware of key targets and actual performance	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	

Aims 2009-2013 **BOLD** = priorities for improvement	We will measure our success by: **Related Performance Indicators**	We will deliver: **Projects and/or Activities** **(BOLD = Corporate Plan)**	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
		• Engage staff with the planning processes					
		People issues • Encourage and motivate staff to be effective • Encourage ownership / accountability	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	
		Organisational • Identify processes needing fixing • Develop understanding of the work of the Department	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	
		Learning and Development • Develop competent and suitably skilled staff • Clarify training and development criteria	existing	Finance and Best Value		Yes – by ensuring equality of access to information, support and development	
	FINANCIALS						
Improve the use of the Council's land and assets	Programme agreed by March each year. Quarterly monitoring and reporting and annual report	**Capital Strategy** (included as a control for corporate risks 11 & 12) • Capital Programme • assessment of Capital Programme bids against updated and appropriate priorities	existing	Finance and Best Value	*FS*	Budget process enables available resources to be allocated to meeting the Council aims	All departments
Maintain a stable and sustainable budget, providing value for money	Review by July each year. Quarterly monitoring and reporting	**Financial Strategy** (included as a control for corporate risks 11 & 12)	existing	Finance and Best Value	*FS*	Budget process enables available resources to be	All departments

Aims 2009-2013 BOLD = priorities for improvement	We will measure our success by: Related Performance Indicators	We will deliver: Projects and/or Activities (BOLD = Corporate Plan)	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
	LOCAL 2068 - Section 25 report balanced budget efficiency report unqualified accounts	• medium term financial plan • achieve identified savings • Create a sustainable budget agreed by March each year • Treasury Management Policy				allocated to meeting the Council aims	
	SUPPORTING BUSINESS						
Maintain a stable and sustainable budget, providing value for money	**NI 179 -** value of cash-releasing value for money gains Efficiency statement on Council tax bill	**Value For Money and efficiency** (included as a control for corporate risks 11 & 12) Operational Efficiency Programme – improvements in back office operations: • Procurement • ICT • Human Resources	existing	Finance and Best Value	*FS*	Delivering efficiencies enables resources to be made available to allocate towards our priorities	All departments
Ensure effective prioritisation of spending decisions during difficult financial circumstances brought about by government spending restraint	Implementation of review programme	Management review programme - configuration of the department in order to deliver services in the most efficient and effective way: • Strategic Change Programme • Commissioning and Procurement • Financial Services	existing	Finance and Best Value		Delivering efficiencies enables resources to be made available to allocate towards our priorities	

Aims 2009-2013 BOLD = priorities for improvement	We will measure our success by: Related Performance Indicators	We will deliver: Projects and/or Activities (BOLD = Corporate Plan)	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
		• Information Technology • Revenues and Benefits					
Improve the use of the Council's land and assets	Quarterly review and progress report against key project milestones	Strategic Asset Review – Finance Department component	existing	Finance and Best Value		Delivering efficiencies enables resources to be made available to allocate towards our priorities	
Improve the use of the Council's land and assets	Review by July each year. Quarterly monitoring and reporting and annual report	**Corporate Risk Strategy** (included as a control for corporate risk 8) • Regularly refresh risk register in light of corporate priorities	existing	Finance and Best Value	*FS*	Yes – by ensuring that all our policies and procedures are equitable	All departments
Improve the use of the Council's land and assets	**LOCAL 2060 -** completion of all high risk systems identified in the Audit Plan	**Governance:** **Internal Audit Plan** • Develop and deliver programme based on risk	existing	Finance and Best Value		Yes – by ensuring that all our policies and procedures are equitable	
Ensure effective prioritisation of spending decisions during difficult financial circumstances brought about by government spending restraint	**LOCAL 2067** - efficiencies gained through procurement **LOCAL 2080** - the percentage of invoices paid within 30 days	**Procurement Strategy** (included as a control for corporate risk 12)	existing	Finance and Best Value	*SS*	Delivering efficiencies enables resources to be made available to allocate towards our priorities	All departments
Improve the use of the Council's land and assets	Quarterly review and progress report against key project milestones	**Strategic Change Programme** (included as a control for corporate risk 12)	existing	Finance and Best Value		Delivering efficiencies enables resources to be made available to allocate towards	All departments

Aims 2009-2013 BOLD = priorities for improvement	We will measure our success by: Related Performance Indicators	We will deliver: Projects and/or Activities (BOLD = Corporate Plan)	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
		support for and delivery of change				our priorities	
Improve the use of the Council's land and assets	Quarterly review and progress report against key project milestones	Strategic Change Programme: • Customer Access Strategy	existing	Finance and Best Value	*RBCS*	Delivering efficiencies enables resources to be made available to allocate towards our priorities	All departments
Improve the use of the Council's land and assets	Quarterly review and progress report against key project milestones	Strategic Change Programme: • Common Administrative Processes	existing	Finance and Best Value	*CT*	Delivering efficiencies enables resources to be made available to allocate towards our priorities	All departments
Improve the use of the Council's land and assets	Quarterly review and progress report against key project milestones	Strategic Change Programme: • ICT Technological Developments	existing	Finance and Best Value	*ITS*	Delivering efficiencies enables resources to be made available to allocate towards our priorities	
Improve the use of the Council's land and assets	Programme agreed by March each year. Quarterly monitoring and reporting Complete projects to specification within agreed timescales and budget; Customer satisfaction (new PI) Stability, security and	ICT Strategy and Development Plan (in addition to Strategic Change Programme) (included as a control for corporate risk 11) • Support for change programme projects • Infrastructure development to support Strategic Asset Review Continuous review of	existing	Finance and Best Value	*ITS*	Yes – by ensuring that all our policies and procedures are equitable	

Aims 2009-2013 **BOLD** = priorities for improvement	We will measure our success by: **Related Performance Indicators**	We will deliver: **Projects and/or Activities (BOLD = Corporate Plan)**	Funding / Resources	Lead Portfolio	Lead Service Area	Will this activity contribute to narrowing the gap in Wirral? If so, how will this be measured?	Who else is required?
	cost of systems	operation and services • Help Desk remote support project • Application monitoring to improve performance					
Improve the use of the Council's land and assets	LOCAL 2056 - requests processed within 40 calendar days LOCAL 2057 - requests processed within 20 working days	Access to Information • Data Protection • Freedom of Information	existing	Finance and Best Value	*SS*	Delivering efficiencies enables resources to be made available to allocate towards our priorities	All departments
Improve the use of the Council's land and assets	LOCAL 2041 - investment performance	Merseyside Pension Fund Activities include: • Pension Fund investment performance • Pensions administration • Improving Pensions Scheme take-up levels • Electronic data exchanges	existing	Finance and Best Value	*MPF*	Yes – by ensuring that all our policies and procedures are equitable	

4. What are the financial and other implications of our plans?

The service plan is based on resources allocated to the department for the 2010/11 financial year. The budget has been developed to reflect revenue and capital allocations made through the budget setting process.

> **Base Budget for the department in 2010/11: £26.096m**

The most significant influences on the department's budget over the next year are detailed in the tables below:

SERVICE CHANGES AND GROWTH

Details	£
Efficiency Investment Budget – to continue to deliver efficiencies in the future this growth is to deliver efficiencies in the future.	2,600,000
Housing Benefits – The effect of the increase in claimants due to the recession and changes announced by the Department for Work and Pensions.	1,470,000
One Stop Shops Maintenance	300,000
Capital Financing Costs – Cabinet in December 2009 agreed the Capital Programme 2010-12. This will lead to additional capital financing costs.	2,900,000

POLICY OPTIONS

Details	£
Pensioner Discount Scheme – Maintaining the Council Tax discount for pensioner households over 75 and meeting the increased cost of a growing number of eligible households claiming the discount.	465,000
Supporting Community Groups – Finance and Governance - Creating a peripatetic accountant post to support the development of community groups and to support the establishment of good governance and sound financial practice.	40,000

SAVINGS

Details	£
EVR Savings – EVR's and subsequent staffing re-organisations across the Council.	560,000

VOLATILE BUDGET AREAS

Area	Details
Housing & Council Tax Benefit	The size and nature of the budget make this a key area and performance is closely monitored. There has been an increase in applicants due to the recession.
Investment Income	The target for income has been adjusted to reflect the economic downturn and lower interest rates.
Long Term Borrowing – Capital Financing	The budget has been adjusted to reflect new borrowing required to fund the 2010/11 capital programme. This area may be affected by the capital financing regulations.

4.2 CAPITAL PROGRAMME

The Capital programme is a 3 year rolled forward programme. The money will be used to implement the Information Technology requirements of the Strategic Asset Review.

Approved Capital Programme

	2010/11 £000	2011/12 £000	2012/13 £000
Expenditure	1,500	1,500	1,500

4.3 Value for Money

The Council remains committed to providing value for money services. The department will undertake analysis to help itself and service departments to deliver VFM. This analysis will utilise a number of sources including:

- Audit commission Value For Money Profiles
- PWC benchmarking club
- OSS National Benchmarking club
- CIPFA/KPMG Benchmarking club
- Other comparative information sources

From this analysis the department will undertake a number of management service reviews as identified in Section 1.2.2.

4.4 HR / Workforce Plans

4.4.1 Current Workforce Issues

A summary of the key 5 workforce issues are detailed below:

Themes	Workforce Issue	Planned Actions	Financial Implications
Profile	Age profile of workforce means potential shortage of skills in key areas will impact on service delivery	• Identify key areas and relevant staff for development to ensure capacity covered in relevant areas • Explore graduate recruitment, modern apprenticeships and school placements	Identification and implementation of joint initiatives will promote efficiencies.
	Unequal diversity profile of senior posts means there could	• Identify key areas and relevant staff for development; succession planning; management development	Succession planning offer career opportunities for

Themes	Workforce Issue	Planned Actions	Financial Implications
	potentially be a failure to fully reflect profile of people who use services.	through MBA and ILM	existing staff that will reduce recruitment and retention costs
Cost	Achieve a balanced budget in the context of the efficiency agenda.	• Actions in all areas will support this agenda to be realised.	Identification and implementation of joint initiatives will promote efficiencies and reduce duplication
Capacity	An overall reliance on key personnel which leads to services, projects and activities not being delivered to specification	• Identify key areas and relevant staff for development • Review staffing structure; succession planning; management development through MBA and ILM; increase in generic working and decrease in the number of separate systems used for service delivery	Duplication will be reduced assisting to realise efficiencies in order to support effective budget management
	Changing needs of the organisation including service delivery impacts on the skill sets required. Fluctuations in volumes of work across service areas means staff are required to deliver more functions	• Service plans to identify resource and workload issues from legislation changes • Identify skills gaps • Staff development strategy and programme reviewed to ensure staff can gain appropriate knowledge and experience • KIE process matches need to provision of training • Keep technical skills up to date • Encourage staff to undertake formal qualifications further embed project management approach • Remodelling of staffing structure • Increased flexibility of staff through learning and development interventions • Review and enhance communication and support • Maximise use of technology	Duplication will be reduced assisting to realise efficiencies in order to support effective budget management Identification and implementation of joint initiatives will promote efficiencies. Capital programme – strategic asset review - ICT
Performance	Management skills to maintain morale and motivation to deliver services in the most effective and efficient way need to be enhanced	• Co-ordinated application of improved processes for managing: • absence • service review • redeployment / redundancy	Robust management processes will support the efficiency drive

Themes	Workforce Issue	Planned Actions	Financial Implications
		• staff development • Succession planning • Review staffing structure (in line with management reviews) • Identify key areas and relevant staff for development • Management development through MBA and ILM	
	Redesign of services to meet customer needs means staff are required to undertake varied work tasks, patterns and practices including generic working	• Review and enhance communication • Ensure appropriate support and development • Optimise use of non-financial benefits such as flexible working, work/life balance etc.	Capital programme – strategic asset review - ICT
Change	In economic climate there is a need to deliver effective and efficient services which will lead to reduction in staffing levels	• Review and enhance communication and support • Maximise use of technology; • Automation of clerical and repetitive tasks • Remodelling of staffing structure • Manage redeployment process effectively software and training	Change programme
	Maintain effective communication and morale through times of organisational change	• Implement Roadshow Action Plan (including monitoring and completion of KIE) • Review roadshow feedback and staff survey outcomes	Change programme

4.5 Asset Management

The Finance Department occupies the following buildings:

Cleveland Street (Treasury building and Municipal Building), Birkenhead; Castle Chambers, Liverpool; and Cheshire Lines Building, Birkenhead. Staff are also located at One Stop Shops around the Borough and in other Departments supporting Information Services.

The department manages the Conway Building.

All these premises are included in the Strategic Asset Review.

4.6 Impact Assessments

Wirral Council is committed to ensuring equality of opportunity and promoting diversity are at the core of everything it does as an employer, service provider, commissioner and in its community leadership role. The Council has an equality and diversity framework as set out by its Corporate Equality Policy, Strategy and Single Equality Scheme. Each department has an equality

action plan in place as part of this framework, which takes into account any actions identified through the Equality Impact Assessment process.

4.6.1   Equality Impact Assessments undertaken to date:

• Internal Audit • Financial Services • Information Technology Service • Merseyside Pension Fund • Change Team	• Housing Benefits • Council Tax • Business Rates • Customer Services • Procurement and payments	• Records Management • Compliance • Capital Strategy • Customer Access Strategy • Corporate Risk Strategy

Planned actions emerging from Equality Impact Assessments are shown in the Finance Department's Equality Action Plan in Appendix A.

4.6.2   2010-11 Programme of Equality Impact Assessments:

- Review all service and policy related Equality Impact Assessments
- Complete full Equality Impact Assessment of Customer Services
- Equality Impact Assess all new projects, policies, strategies and contracts which are lead or co-ordinated by the Finance Department.

The department's Equality Group, which includes representation from each Division, manages and monitors this area of work.

4.6.2   <u>Significant impact on other departments</u>

The work of the Finance Department extends across all Council departments. Those areas of work which will have a significant impact on all departments include the following.

- Change Programme
- Customer Access Strategy
- Procurement Strategy
- Capital Strategy
- Corporate Risk Strategy
- Value for Money and efficiency
- Financial Strategies

5. What significant risks do we face in delivering our plans?

5.5.1 Finance Department Risk Register - Key / Overarching Risks

Themes (column 1):	Categories (column 5):
1. People and Management	People (P)
2. Investment	Regulatory (R)
3. Continuity and Resilience	Operational (O)
4. Systems and Processes	Info/tech (I)
	Financial (F)

Theme	Description of Risk	Responsible	Consequences	Category	Existing Control Measures	Net Likelihood Score	Net Impact Score	Net Total risk score	Risk Review Frequency	Additional Control Measures Planned	Target Date
1.1	Potential shortage of skills in key areas due to age profile and staff turnover	SR	Poor standards of service; cost and negative publicity from errors made; major activities / projects not completed to specification	P	Discipline of workforce planning process Equality and Diversity Action Plan	3	4	12	every quarter	Revision of Workforce Development Plan; revision of Equality and Diversity Action Plan	
1.2	Over reliance on key personnel	SR	Major activities / projects not completed to specification; health impact on staff involved	P	Workforce planning and training	2	5	10	every quarter	Revision of Workforce Development Plan	
1.3	Failure to identify and respond effectively to changing priorities and legislation	SR	Central Government targets not met; fines / penalties imposed; poor publicity; negative impact on CAA score; IFR standards not met	R	Awareness of changes maintained through relevant professional bodies and information sharing; key members of staff are trained to deal with changes; EIA programme	2	4	8	every quarter	Revision of Workforce Development Plan; **policy scanning function;** revision of Equality and Diversity Action Plan	
1.4	Failure to manage fluctuations in volumes of work	SR	Backlog and inability to access service at a key time	O	Regular communication with service providers	3	4	12	every quarter	Revision of Workforce Development Plan	
1.5	Project and service delivery limited by IT capacity	JC	Failure to deliver projects and services in department and corporately; negative impact on reputation	I	ICT Development Strategy; Information Strategy Group	4	4	16	every quarter	Management review of IT services	

The me	Description of Risk	Res pon sibl e	Consequences	Ca te go ry	Existing Control Measures	Net Likeli hood Score	Net Imp act Sco re	Net Total risk score	Risk Revie w Frequ ency	Additional Control Measures Planned	Tar get Dat e
1.6	Failure to respond to issues raised by staff and to engage effectively	IEC	Low morale, leading to reduction in productivity, service delivery errors	P	Roadshow programme and action plan; team briefing and Key Issues Exchange; workforce development plan	2	4	8	every quarte r	Revision of Workforce Development Plan	
1.7	Death or serious injury to a member of staff	SR	Injury to life or limb; potential compensation claims; breach of legislation	P	Departmental Health and Safety Policy; Health and Safety awareness training; risk assessment process	2	4	8	every quarte r	Roadshow Action Plan	
2.1	Insufficient / incomplete market information for treasury and pension funds	PW TS	Negative impact on investment returns	I	MPF Investment Strategy; use of external fund managers; continuous review of all information sources; standing item on monthly investment team meeting agenda	2	5	10	every quarte r		
2.2	Financial failure of an institution in which funds have been invested	TS PW	Financial loss; impact on reputation through negative publicity	O	Counterparty list; Treasury Management Policy; MPF Investment Strategy	3	5	15	every quarte r	Regular review of counterparty list	
2.3	Investment returns behind benchmark	TS PW	Budget impact with higher contributions	F	Treasury Management Policy; MPF Investment Strategy - use of external advisers, regular monitoring by Pensions Committee; standing item on monthly FOG agenda	3	5	15	every quarte r		
3.1	Failure of key suppliers to deliver.	IEC	Potential disruption to service provision; poor bargaining position	O	Development of robust contracts and collaborative arrangements; defined project management approach	2	5	10	every quarte r	Reciprocal agreements for service provision; further embed project management approach	

The me	Description of Risk	Res pon sibl e	Consequences	Ca te go ry	Existing Control Measures	Net Likeli hood Score	Net Imp act Sco re	Net Total risk score	Risk Revie w Frequ ency	Additional Control Measures Planned	Tar get Dat e
3.2	Failure of management to prepare for major interruptions to service provision.	IEC	Greater / longer disruption to service; increased costs to restore service	P	Contingency plans in some sections / services. Succession planning. Specific arrangements for IT resilience.	4	5	20	every quarte r	Management review of IT services; revision of Workforce Development Plan	
4.1	Inability to deliver change management programme	DS	Failure to maximise opportunities / improve service provision; increased costs	P	Defined project management approach; key staff trained in project management techniques; enhanced governance and assurance processes	4	5	20	every quarte r	Further embed project management approach	
4.2	Poor contract management e.g. pension fund mandates, partnership arrangements	IEC	Maximum value not derived from contractors; negative publicity (mistakes, poor service levels)	O	Defined project management approach; specific performance management arrangements for some contracts.	3	4	12	every quarte r	Further embed project management approach; further develop role of Corporate Procurement Unit	
4.3	Failure by Chief Officers to effectively control expenditure	IEC	Service and financial impact; reputation of the Council	F	Financial Strategy; regular review; scrutiny by Cabinet; responsibilities in Constitution; monthly member statement	3	4	12	every quarte r		
4.4	Major failure in data security	SR	Reputational risk; potential legal action	O	ICT security policy; communications policy; dedicated press/PR officer	2	5	10	every quarte r	Wider use of encryption	
4.5	Failure to communicate with and manage the involvement of stakeholders (inc other departments)	IEC	Failure to complete projects and activities to specification	O	Use of key corporate groups to drive through	3	4	12	every quarte r		

5.5.2 Wirral Council - Corporate Risk Register – November 2009

Corporate risks where the Finance Department already has responsibility for managing the risk or makes a significant contribution.

Description	Lead Officer	Inherent Risk Score	Existing Key Controls	Residual Risk Score	Further Control Actions Required	Officer Responsible	Target Date
5. Inadequate continuity and recovery arrangements adversely affect service delivery in the event of an emergency situation	Stephen Maddox	**High** 5x5 = 25	• Dedicated team provides support and guidance. • IT disaster recovery planning audit • Identified external suppliers and compiled position statement as to their arrangements • Awareness sessions delivered	**Medium** 2x4 = 8	• Finalise the Wirral Business Continuity Plan • Ensure external agencies have cohesive continuity arrangements • Conduct exercise to test the efficiency of plans • **Multi-Agency meetings on IT and anti-viral collection points**	• Mark Camborne • Mark Camborne • Mark Camborne • **Debra Curtis**	• Linked to swine flu review Dec 09 • March 2010 • See swine flu review • **Ongoing**
8. The Council does not maintain arrangements for good corporate governance.	Stephen Maddox	**High** 5x5 = 25	• Constitution regularly reviewed, reported to Members and officers. • Risk-based internal audit programme. • Annual Governance Statement. • Corporate Governance Monitoring Group. • Code of Corporate Governance. • CIPFA/SOLACE 'Delivering Good Governance' Framework • Training Members • Standards and Audit & Risk Management Committees • ICT Security policy and role of FoI officer • Individual strategies reviewed	**Medium** 2x5 = 10	• Strengthening annual governance process • Further integration of key strategies and plans • Additional Member training • **Review Corporate Risk Management Strategy**	• Head of Legal Services • CIG • **Mike Lane**	 • **July 2010**
9. Partners do not work together effectively to optimise outcomes for local people.	Jim Wilkie	**High** 5x5 = 25	• Needs analyses and evidence bases inform the partnership's priority	**Medium** 2x5 = 10	• Periodic checks to ensure partnerships comply with Wirral's	• Head of Legal Services	• Ongoing

Description	Lead Officer	Inherent Risk Score	Existing Key Controls	Residual Risk Score	Further Control Actions Required	Officer Responsible	Target Date
			setting and key plans and strategies • Action-led delivery plans for partnership priorities. • Strong strategic leadership for the partnership (Executive Board) • Council is the accountable body for Wirral's LSP. Supported by senior management inc. joint posts such as the Joint Director of Public Health. • Partnership toolkit and register developed to support governance. • Identified Council role and responsibilities for all major partnerships		governance arrangements; • Annual review of key partnership register • Drive forward further improvement in understanding and responding to community needs • **Enhanced guidance and training regarding grants** • Develop a performance management framework for the Sustainable Community Strategy. • **Customer Access Strategy**	• Head of Legal Services • Jim Wilkie • **Pete Molyneux** • Jim Wilkie • **Malcolm Flanagan**	• t.b.c. • Ongoing • **Ongoing** • March 2010 • **Ongoing**
10. The Change Programme is not delivered	Ian Coleman	**High** **4x5 = 20**	• Reports to Corporate Improvement Group and Members • Change Programme Board • Clear focus on 6 themes • Assurance process in place	**High** **4x4 = 16**	• Enhance Board role	• Jim Wilkie	• Ongoing
11. Available resources are not allocated to meet service demands in line with corporate priorities	Stephen Maddox	**High** **5x5 = 25**	• Medium Term Financial Capital HR and IT strategies linked and reflect priorities in Corporate Plan. • Strong links between service & financial plans. • Investment based on business cases for projects.	**Medium** **2x5 = 10**	• Review People Strategy • **Strengthen arrangements for Use of Resources**	• Head of HR • **Tom Sault**	• July 2009 • **Ongoing**

Description	Lead Officer	Inherent Risk Score	Existing Key Controls	Residual Risk Score	Further Control Actions Required	Officer Responsible	Target Date
			• Effective financial management by planning monitoring and reporting • Programme of financial management training. • Impacts of the economic downturn identified and appropriate responses developed				
12. The reduction in available financial resources available from 2011/12 restricts our ability to deliver the Corporate Objectives	Ian Coleman	**High** **5x5 = 25**	• Medium Term Financial Strategy linked to Corporate Plan • Strong links between service & financial plans. • Investment based on business cases for projects • Use of LGA / SIGOMA to lobby central government	**High** **3x4 = 12**	• Regular review of financial projections • Consolidation of efficiencies (e.g. Strategic Change Programme) • **Implement Procurement Strategy**	• Ian Coleman • Ian Coleman • **Ray Williams**	• Ongoing • Ongoing • **Ongoing**

APPENDIX A
FINANCE DEPARTMENT – EQUALITY AND DIVERSITY ACTION PLAN 2010/11 (DRAFT)
This plan will be revised to reflect those activities / projects identified to progress achievement of 'Excellent 'status within the Equality Framework.

Equality Framework Objective	Departmental Project and/or Activity	Actions / Milestones	Deadlines	Lead Division	Resource Implications	identified as part of an EIA?
1. Knowing our communities and equality mapping	**Knowing our community** – community profile	Further develop and implement corporate Customer Profiling Policy	Apr 10	RBCS	Existing	Customer Services EIA
		Present as item to ISG	Apr 10	RBCS	Existing	
		Agree rationale for gathering data (which must drive improvements) and at what level Use CRM (populated by Council tax, electoral register and Housing Benefits). Capture information at source – use only once, have to have base profile, capture whatever we can	Apr 10	RBCS and ITS	Staff time deciding on requirements(analysis) and writing analysis routines	
		Identify data sources and link in with information collected by partners eg. Joint Strategic Needs Assessment, CDRP information on Wirral's "most vulnerable localities"	Apr 10	RBCS	Existing	
		Explore GIS to display/store information. (Long term milestone)	Dec 10	Change Team		
2. Place shaping, leadership, partnership and organisational commitment	**Procurement Strategy** implementation	Review and monitor processes from E&D perspective and measure equality outcomes – ie. follow up what actually happens on the ground	Apr 10	SS	Existing	
	Financial Strategy	Review medium term Financial Strategy – increase emphasis on the equality agenda and 'narrowing the gap'	July 10	FS	Existing	Financial Services EIAs
	'One Place'	Map resources against areas; further explore potential of shared services. Look at the	July 10	FS	Existing	

Equality Framework Objective	Departmental Project and/or Activity	Actions / Milestones	Deadlines	Lead Division	Resource Implications	identified as part of an EIA?
		outcomes of Total Place and Deep dive to inform this action.				
	Partnerships	Partnership toolkit implementation, with Legal Services	Apr 10	RBCS	Existing	
		Continued partnership working to deliver Customer Access Strategy	Rolling programme	RBCS	Existing	
		Merseyside Pension Fund (MPF) to continue to develop partnership work with DWP, Age Concern and CABs etc., including annual conference and financial planning courses with representations from multiple agencies	Rolling programme	MPF	Existing	
	Equality Impact Assessment Programme	All new projects and contracts Review all service areas	Sept 10	All Divisions	Existing	
	Merseyside Pension Fund Strategies and Policies	Review of policies and implementation of new Pension Administration Strategy	Rolling Programme	MPF	Existing	
		Review of compliance and transparency of policies, in line with United Nations Principles of Responsible Investment	Rolling Programme	MPF	Existing	
3.Community engagement and satisfaction	**Knowing our community** – information about access to and quality of our services, further needs and aspirations	Regular borough wide customer surveys – questionnaires and focus groups with Voluntary and Community Action in Wirral (VCAW)	Apr 10 then every 2 years	RBCS	additional cost of implementing and analysing	Customer Services EIA
	MPF consultation with stakeholders	Review Coverage	Ongoing	MPF	Existing	
4. Responsive services and customer care	**Using customer information** to support the review and	Record appropriate information sets in PIMS Include in quarterly monitoring and reporting of	Apr 10 onwards	SS and RBCS	Existing	Customer Service

Equality Framework Objective	Departmental Project and/or Activity	Actions / Milestones	Deadlines	Lead Division	Resource Implications	identified as part of an EIA?
	development of services	performance and demonstrably use to inform service planning	Apr 10 onwards	SS and RBCS	Existing	s EIA
	Feedback to customers	Feed back (via VCAW etc.) to customers how issues have been addressed	Mar 10 and every year?	RBCS	Additional cost of publicity	Customer Services EIA
	Hate crime awareness – raise awareness; create a 'safe' environment for reporting	Raise awareness (in Team Brief etc.) of how to respond either as a recipient of information or as a 'victim'	Jun 10	RBCS		
	MPF – increasing take up of scheme membership.	New literature to be produced to increase scheme membership with logistics being explored of how to target gaps in membership from different groups. Further expansion of road shows and pension surgeries	Mar 11	MPF	Existing	
	MPF - assess service delivery and whether meets the diverse needs of all members	Expand Customer Service Satisfaction Reviews	Mar 11	MPF	Existing	
5. A modern and diverse workforce	**Staff awareness and training** Equality and Diversity Training Strategy in place Training programme delivered Increased awareness of policies	Training strategy disseminated via Team Brief All staff to complete up to Level 2 in Elumos; managers to complete all 3 levels Highlight one E & D topic/policy every two months through the Team Brief – DEG to identify schedule	Apr 2010 Apr 2010 Apr 10	SS All Divisions SS	Existing Existing Existing	Training and staff development identified in several EIAs
	Staff support All staff feel supported and have access to specific support if they	Publicise widely information about staff forums and other support groups (internal and external), through:	Apr 2010	All Divisions	Existing	

Equality Framework Objective	Departmental Project and/or Activity	Actions / Milestones	Deadlines	Lead Division	Resource Implications	identified as part of an EIA?
	need it	• posters on noticeboards • induction for new staff • Team Brief • Email				
	Harrassment and bullying at work are dealt with effectively	Publish statistics (no. of cases etc.) in team brief regularly - so that staff can see that things are followed up	Apr 2010	SS	Existing	
		Relaunch through Dignity at Work policy (currently in consultation stage)	Apr 10	SS	Existing	
	Workforce profile (links with Workforce Development Plan)	Analyse data in order to identify which areas we need to address; DEG to advise DMT on appropriate targets and actions	Apr 10	SS (DEG)	Existing	
		Develop and deliver action plan; monitor every quarter	Apr 10 onwards	SS	Existing	
	Further develop the capacity of the Departmental Equality Group Improve knowledge base of DEG in relation to specific issues and policies	DEG to identify areas to focus on	Apr onwards	SS (DEG)	training budget	Training and staff development identified as issue in several EIAs
		Invite 'experts' (internal and external) to DEG meetings	Apr onwards	SS	Existing	
		Participate in and share learning from training opportunities	Apr onwards	All Divisions	Existing	