

WIRRAL COUNCIL

AUDIT AND RISK MANAGEMENT COMMITTEE

30 JUNE 2011

SUBJECT:	FINANCE DEPARTMENT PLAN
WARD/S AFFECTED:	ALL
REPORT OF:	DIRECTOR OF FINANCE
RESPONSIBLE PORTFOLIO HOLDER:	COUNCILLOR STEVE FOULKES
KEY DECISION?	NO

1 EXECUTIVE SUMMARY

- 1.1 This report presents the draft Finance Department Plan for 2011-12. It outlines the key services, aims and objectives that contribute to the delivery of the Corporate Plan.

2 RECOMMENDATION

- 2.1 That the Committee note the contents of the Plan.

3 REASONS FOR RECOMMENDATION

- 3.1 The Audit and Risk Management Committee requested to review the Finance Department Plan for 2011-12.

4 BACKGROUND AND KEY ISSUES

- 4.1 Departmental Plans were drawn up following the approval of the Corporate Plan by Council on 18 April 2011. It was also agreed that the Plans would be agreed by portfolio holders and placed in the virtual library.
- 4.2 Performance against the Plan is monitored by the Departmental Management Team on a monthly basis in accordance with the performance management arrangements approved by Cabinet on 14 April 2011. The Leader of the Council, who is the portfolio holder for Finance and Best Value, receives a monthly statement showing progress against the key milestones and objectives that underpin the delivery of the Corporate Plan.
- 4.3. The services delivered by the Finance Department form part of the responsibilities of the following:-

Executive Member for Finance and Best Value
Executive Member for Corporate Resources
Executive Member for Community and Customer Engagement
Executive Member for Culture, Tourism and Leisure
Pensions Committee
Audit and Risk Management Committee

4.4 Issues are reported to the Executive Team and Cabinet as they relate to the overall progress of the Corporate Plan themes.

5 **RELEVANT RISKS**

5.1 The Plan incorporates a Departmental Risk Register which contributes to the Corporate Risk Register. At the time of publication there are a number of risks that have a 'likelihood' score of 3 (indicating a high probability the risk will have an impact on the Council). This is reflective of the change the Council and the Department is currently undergoing. However the mitigating controls that are being put in place aim to reduce these scores and the Risk Register will be refreshed accordingly.

6 **OTHER OPTIONS CONSIDERED**

6.1 None

7 **CONSULTATION**

7.1 Consultation has taken place with staff in the Department via staff briefing sessions and Team Brief.

8 **IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

8.1 There are none arising directly from this report.

9 **RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

9.1 The Plan provides details of the Department budget for 2011-12. This shows a gross budget of £258,224,450 and net budget after Government Grants, recharges and other income of £26,637,700.

9.2 Policy options were agreed in the Finance Department budget totalling £250,000, The following feature as key objectives within the Plan.

(a) £120,000 to fund Wi-fi, information screens and e-books in libraries

(b) £100,000 to fund the 'Get into Reading' project

9.3 A number of new efficiency savings were also agreed for the Department totalling £7,812,100. These are detailed in Section 3 of the Plan.

9.4 Section 4 of the Plan highlights the workforce planning issues. The key issue arising from these is the need to embed the new structures as quickly and safely as possible following the departure of a large number of people on the Early Voluntary Retirement and Voluntary Severance Scheme from December 2010 to June 2011.

9.5 The Department has agreed a target for sickness absence of 9 days per employee. This is reflected in all Team Plans and monitored on a monthly basis at the Departmental and Divisional Management Teams.

10 LEGAL IMPLICATIONS

10.1 The Plan underpins the role of the Director of Finance who is responsible under Section 151 of the Local Government Act 1972 for the proper administration of the Council's financial affairs.

11 EQUALITIES IMPLICATIONS

11.1 The Finance Department has an active Equality and Diversity Group chaired by one of the Heads of Service to ensure the Equality Duty under the 2010 Act is reflected across all Departmental activities.

12 CARBON REDUCTION IMPLICATIONS

12.1 The Plan contains a target to reduce the carbon footprint by 5% in 2011-12. This will be delivered and monitored by a group of Energy Champions set up within the Department who will work alongside colleagues in Asset Management.

13 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1. There are none arising directly from this report.

FNCE/145/11

REPORT AUTHORS: **Mike Fowler**

Head of Support Services

telephone: (0151 666 3525)

email: mikefowler@wirral.gov.uk

APPENDICES

Appendix 1 – Finance Department Plan 2011-12

REFERENCE MATERIAL

Corporate Plan 2011-14

SUBJECT HISTORY

Council Meeting	Dates
Cabinet	14 April 2011



FINANCE DEPARTMENT

DEPARTMENTAL PLAN

2011-2012

CONTENTS

- 1. Departmental Overview**
- 2. What are we going to deliver in 2011-12?**
- 3. Financial Planning**
- 4. Workforce Planning**
- 5. Equality and Diversity**
- 6. Departmental Risk Register**
- 7. Central Government Reporting Requirements**

1. **Departmental Overview**

The Finance Department is organised into the following Service areas:-

- ~ **Revenues, Benefits and Customer Services, including libraries**
- ~ **Support Services**
- ~ **Information Technology Services**
- ~ **Financial Services**
- ~ **Merseyside Pension Fund**
- ~ **Internal Audit**

It employs 1,139 people (850 Full Time Equivalents) who operate across Wirral in 37 locations plus 1 in Liverpool. It provides a wide range of services and has agreed 40 key objectives to contribute to the goals set out in the Corporate Plan for 2011-12.

Statutory Duty

The Director of Finance is responsible under Section 151 of the Local Government Act 1972 for the proper administration of the Council's financial affairs and has identified the following key roles critical to fulfilling statutory and public interest responsibilities:-

- Maintaining strong financial management underpinned by effective financial control
- Contributing to corporate management and leadership
- Supporting and advising democratically elected representatives
- Supporting and advising officers in their operational roles
- Leading and managing an effective and responsive financial service

Workforce Development

We will review our structure and develop our workforce to ensure we are as lean as we can be whilst continuing to deliver highest possible quality services. To achieve this we will ensure our staff are supported and have relevant opportunities for personal and professional development. We will promote equality, fairness and diversity and we will be driven by outcomes for our customers. To this end we will foster a culture whereby:-

- People are motivated and supported to achieve their full career potential
- We will do what we said we will do, when we said we would do it
- We will be open, fair and honest
- We will be ambitious and deliver continuous improvement
- We will create an environment of trust and respect for others
- We will be customer focussed

Continuous Improvement

We will set ambitious but realistic targets in our Departmental Plan and monitor our performance through a rigorous performance management framework. This will include actively seeking feedback from our customers both within the organisation and

beyond. We recognise that in a time of financial constraint we have to be as efficient and effective as possible and be challenging of others to be the same.

We will ensure that the Council maximises the benefit of its Information Technology systems and fully complies with financial standing orders and good procurement practice in our drive for better value.

Leadership

The Department is led by the Departmental Management Team consisting of the Director Ian Coleman, supported by the Deputy Director, David Taylor-Smith and five Heads of Services who take responsibility for the following services and objectives:-

DIRECTOR

Ian formally holds the Statutory Responsibility (s151 of 1972 Local Government Act) as the Council's Chief Finance Officer to ensure the proper administration of the Council's financial affairs: representing the Department corporately, and the Council nationally. His role is to support the elected Members, Chief Executive and other Chief Officers to achieve the Council's objectives (laid down in the Corporate Plan), and is ultimately responsible for the Department's performance.

DEPUTY

David formally holds the post as Ian's deputy (s114 of 1988 Local Government Finance Act). He is responsible for the effective running of the Department, supporting and deputising for Ian and supporting the rest of the DMT. Additionally, the Chief Internal Auditor reports directly to the Deputy Director, together with some assurance functions which will include a corporate client role for Information Technology. David is responsible for ensuring that Heads of Service run their services in an efficient and effective way to deliver the corporate and departmental objectives.

FINANCIAL SERVICES - Tom Sault

• SERVICES

- ~ Accounting, financial planning, monitoring and reporting
- ~ Insurance Services and Risk Management
- ~ Treasury Management including cash-flow and bank reconciliations
- ~ Maintaining Financial Systems element of the Oracle system

• OBJECTIVES FOR 2011-12

- ~ Financial reporting - completion of the 2010-11 year-end accounts
 - ~ Financial planning - annual budget and longer term projections
 - ~ Financial monitoring - reporting on the financial position through the year
 - ~ Risk - develop a strategy to comply with British Standard (BS31100)
 - ~ Comply with accounting changes, producing the Statement of Accounts
 - ~ Successful delivery of the agreed 2011-12 Budget, working with Departments
-

INFORMATION TECHNOLOGY - Geoff Paterson

- **SERVICES**

- ~ Computer applications - systems development, applications implementation, support and maintenance, Database support
- ~ ICT Infrastructure - data and telephony networks, mobile communications, corporate server and office systems implementation & support, ICT Security
- ~ Supporting Services - ICT helpdesk, scheduling
- ~ Printing Services

- **OBJECTIVES FOR 2011-12**

- ~ Implementation of ICT governance process
 - ~ Implementation of SOCITM report
 - ~ Revise Departmental Service Level Agreements
 - ~ Establish requirements for out of hours support
 - ~ Migration to Oracle 12
 - ~ Roll out Electronic Data Records Management to all Departments
 - ~ Implementation of upgraded telecoms network
 - ~ Roll out virtualised desktops and mobile devices to support agile working
 - ~ Encryption of mobile devices
-

MERSEYSIDE PENSION FUND - Peter Wallach

- **SERVICES**

- ~ Pension Fund Administration
- ~ Pension Fund Investments

- **OBJECTIVES FOR 2011-12**

- ~ Implement approved recommendations of Hutton Report (review of pensions)
 - ~ Development of joint working
 - ~ Her Majesty's Revenue and Customs (HMRC) pension tax changes
 - ~ Knowledge and skills framework for Members and staff
 - ~ Implement employer bond reviews
 - ~ Implement Altair (pensions admin and payroll system)
 - ~ Tenders for Actuary, Investment Consultant, and passive mandate
 - ~ Improve scheme take-up
-

REVENUES, BENEFITS AND CUSTOMER SERVICES - Malcolm Flanagan

- **SERVICES**

- ~ Benefits
- ~ Council Tax
- ~ Income

- ~ Call Centre
- ~ Libraries
- ~ One Stop Shops
- ~ Web

- **OBJECTIVES FOR 2011-12**

- ~ Housing Benefit legislative change and change project with DWP
- ~ Welfare Reform Bill - Prepare for Universal Credit, local Council Tax Benefit and Benefits Fraud Team changes (2013-17)
- ~ Integration of the Department of Adult Social Services (DASS) Personal Finance Team into Division
- ~ Merging of Miscellaneous Income and Council Tax to Revenues Section
- ~ Co-location of Libraries and One Stop Shops - changes in staffing roles
- ~ Introduction of new library facilities at sites
- ~ Development of Customer Access Strategy and Library Strategy
- ~ Channel Migration - focus on cheaper access channels such as self-service via the web and maximised use of Call Centre

SUPPORT SERVICES - Mike Fowler

- **SERVICES**

- ~ Administrative Services to the Finance Department
- ~ Planning and Performance Management
- ~ HR and Workforce Development
- ~ Procurement
- ~ Payments
- ~ Taxation, Pensions Support Team
- ~ Archives, Records and Knowledge Management
- ~ Freedom of Information
- ~ Geographical Information System and Property Gazetteer

- **OBJECTIVES FOR 2011-12**

- ~ Review administrative support across the Department
 - ~ Review of Human Resources (HR) support and links with corporate HR
 - ~ Develop our workforce
 - ~ Leadership of Procurement Projects within Corporate Change Programme
 - ~ Develop Council's approach to commissioning
 - ~ Develop support functions for staff
 - ~ Develop an enhanced Performance Management Framework
 - ~ Improve our performance regarding payments to creditors, particularly SMEs
 - ~ Improve Council-wide compliance with Corporate Procurement Governance
-

2 What are we going to deliver in 2011-12?

Corporate Goal: Reduce the running costs of the Council by Improving the efficiency and value for money of Council services whilst reducing bureaucracy

Your COUNCIL		
Our goals for the next three years are to ...	This year, we will focus on ...	Our targets are to ...
Reduce the running costs of the Council by improving the efficiency and value for money of Council services whilst reducing bureaucracy	Ensuring every pound spent by the Council adds value to services or is returned to residents through its Council Tax requirement	Deliver 2011-2012 budget & ensure 2012 -2013 budget is sustainable, matched to agreed need and aligned to residents' priorities.

The key projects / activity for delivering this goal are...	2011-12 Milestones	Relevant performance measures / indicators	Financial and Staffing	Is the project / activity borough-wide or delivered in particular area?	Is it being delivered in partnership, e.g. with the VCF sector?	How will we engage local people?	Portfolio Lead	Dept Lead
Procure services more efficiently and deliver better value for money	All Council Contracts will be reviewed by March 2012	To review 100% of Procurement Contracts by March 2012 To achieve £0.5m savings through contract reviews by March 2012	£0.5m savings reflected in Base Budgets. Within existing resources plus £150k PWC	Borough-wide	VCF contracts will be subject to the review	People affected by changes to contracted services will be consulted	Finance and Best Value	Mike Fowler
↓	Compliance with Corporate Procurement Governance	To achieve £2m cashable efficiencies from better procurement	£2m annual procurement efficiency Within existing resources	Borough-wide	As above	People affected will be consulted	Finance and Best Value	Mike Fowler

The key projects / activity for delivering this goal are...	2011-12 Milestones	Relevant performance measures / indicators	Financial and Staffing	Is the project / activity borough-wide or delivered in particular area?	Is it being delivered in partnership, e.g. with the VCF sector?	How will we engage local people?	Portfolio Lead	Dept Lead
Procure services more efficiently and deliver better value for money	Payments will be made via BACS	To make 90% of payments via BACS by March 2012 To pay 100% of invoices within 30 days To pay 50% of SME invoices within 10 days	Within existing resources	Borough-wide	Consultation with creditors	People and local companies will be affected will be consulted	Finance and Best Value	Mike Fowler
Improve income assessment, maximisation & collection	A centralised unit for assessing, processing and recovery of charges by Sept. 2011	To complete 90% of financial assessments in under 30 days	Adult Social Services, Personal Finance Team to transfer to Revenues	Borough-wide	liaison with advocacy groups including IDPF, CAB and WIRED	People affected by charges will be consulted	Finance and Best Value	Malcolm Flanagan
Review the processing of benefits to be more efficient and, cost effective	PDT outcomes, April 2011 legislative changes, and 2013 changes	To achieve £2.4m efficiency savings by March 2012	£2.4m savings Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan
↓	Timely processing of HB/CTB claims	To process 100% of HB/CTB claims within 15 days	Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan
Council Tax Collection	Determination of Council Tax impact of changes to discounts	To recover 97% of Council Tax income by March 2012	Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan

The key projects / activity for delivering this goal are...	2011-12 Milestones	Relevant performance measures / indicators	Financial and Staffing	Is the project / activity borough-wide or delivered in particular area?	Is it being delivered in partnership, e.g. with the VCF sector?	How will we engage local people?	Portfolio Lead	Dept Lead
Improved Customer Access	Co-location of Libraries and OSS	To co-locate 20% of libraries with OSS by March-12	Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan
Effectively Manage the Merseyside Pension Fund	Pension Fund Investment reported quarterly	To deliver Pension Fund Benchmark Investment Performance	Within existing resources	Borough-wide	No	Press office and website	Finance and Best Value	Peter Wallach
↓	Tenders for (a)Actuary (b)Investment (c)Passive mandate by September	To complete 100% of Tenders and report them to Pensions Committee by March 2012	Within existing resources	Borough-wide	No	n/a	Finance and Best Value	Peter Wallach
↓	Implement Altair pension & payroll system	Complete 100% migration to Altair by March 2012	Within existing resources	Borough-wide	No	Communication with staff and employers	Finance and Best Value	Peter Wallach
Effective Financial Management (Planning)	Review and update the Financial and Capital Strategies	Council to agree the Budget by March 2012	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Tom Sault
Effective Financial Management (Monitoring)	Monthly monitoring of Budgets	To produce monthly Budget & Capital monitoring reports	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Tom Sault
Effective Financial Management (Reporting)	Produce the Statement of Accounts and Annual Reports	To produce Accounts by June 2011, and Audited Accounts by September 2011	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Tom Sault

The key projects / activity for delivering this goal are...	2011-12 Milestones	Relevant performance measures / indicators	Financial and Staffing	Is the project / activity borough-wide or delivered in particular area?	Is it being delivered in partnership, e.g. with the VCF sector?	How will we engage local people?	Portfolio Lead	Dept Lead
Audit and assurance	Completion of all Assurance Audits	To complete 100% of planned audits by March 2012	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	David Garry
Audit and assurance	Develop a BS31100 compliant risk management framework	Risk Management framework agreed by Cabinet by March 2012	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Tom Sault
Develop IT Services	Implement SOCITM report	SOCITM Report recommendations implemented by March 2012	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Geoff Paterson
↓	Improve Data Security in line with Government Guidelines	Maintain Government Connect connection and achieve compliance with Public Sector Network Code of Connection	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Geoff Paterson
↓	Migration to Oracle 12	Migration to Oracle 12 achieved by March 2012	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Geoff Paterson
↓	Implement upgraded telecoms Network	To complete by November 2011	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Geoff Paterson
↓	Implement Infrastructure to support office	To complete within agreed project timescales	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Geoff Paterson

The key projects / activity for delivering this goal are...	2011-12 Milestones	Relevant performance measures / indicators	Financial and Staffing	Is the project / activity borough-wide or delivered in particular area?	Is it being delivered in partnership, e.g. with the VCF sector?	How will we engage local people?	Portfolio Lead	Dept Lead
	rationalisation and agile working							
↓	Rationalise and reduce the number of file servers	Unix System completed in May 2011 Reduced number of physical servers Reduced power consumption	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Geoff Paterson
Workforce Management	Reduce sickness absence	To achieve less than 9 days sickness absence per person	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Mike Fowler
↓	Ensure safety of individuals	To complete 100% of Health & Safety Management Audits by March 2012	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Mike Fowler

Your NEIGHBOURHOOD - Provide high quality, value for money leisure and cultural facilities for Wirral residents.

The key projects / activity for delivering this goal are...	2011-12 Milestones	Relevant performance measures / indicators	Financial and Staffing	Is the project / activity borough-wide or delivered in particular area?	Is it being delivered in partnership, e.g. with the VCF sector?	How will we engage local people?	Portfolio Lead	Dept Lead
Provide high quality, value for money	To integrate the Council's information	Complete 1 st phased integration through the co-	Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan

leisure and cultural facilities for Wirral residents through Improved Customer Access	services to provide one seamless service for our residents through the Co-location of Libraries and OSS	location of two libraries within OSS by July 2011.						
↓	↓	To roll out WiFi in libraries by November 2011	Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan
↓	↓	To install Information screens in libraries by November 2011	Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan
↓	↓	To install E-Books in libraries by September 2011	Within existing resources	Borough-wide	No	People affected will be consulted	Finance and Best Value	Malcolm Flanagan
Reduce Carbon Footprint	Delivery of the Department's Carbon budget	To reduce the Department's carbon footprint by 5% in 2011-12	Within existing resources	Borough-wide	No	Council website	Finance and Best Value	Mike Fowler

3 Performance Measures / Indicators

	Performance Measure / Indicators	Latest Baseline	2011-12 Target (if appropriate)
1	% Procurement Contracts reviewed by March 2012	New	100%
2	% achievement of £0.5m Top-50 Contract Review saving	New	100%
3	% achievement of £2m annual Procurement Efficiency Gain	New	100%
4	% Council payments that are made via BACS	85%	90%
5	% of Council invoices from all suppliers paid within 30 days	89%	95%
6	% of Council invoices from SMEs paid within 10 days	53%	60%
7	% of financial assessments completed within 30 days	75%	85%
8	% achievement of £2.4m Benefits efficiency	50% in 10/11	100%
9	% recovery of Council Tax	96.8%	97%
10	% of libraries that are co-located with One Stop Shops	New	20%
11	To complete 100% of planned audits in 2011-12	New	100%
12	To achieve less than 9 days sickness absence per person	9.81	9.00
13	To roll out WiFi in libraries by November 2011	New	100%
14	To Install Information screens in libraries by July-11	New	100%
15	To install E-Books in libraries by September 2011	New	100%
16	% Housing Benefit/Council Tax claims processed 15 days	12 days	100%

	Milestone Indicators	Latest Baseline	2011-12 Target (if appropriate)
1	Completion of migration to Altair by March 2012	---	Achieved
2	Pensions Tenders undertaken & reported to Committee	---	"
3	Achievement of Pension Fund Benchmark Performance	+0.6	In Line
4	Production of Budget and Capital monitoring reports	---	Achieved
5	Statement of Accounts produced by June 2011	---	"
6	Risk Management Framework agreed by Cabinet	---	"
7	SOCITM report implemented by March 2012	---	"
8	Migration to Oracle 12 achieved by March 2012	---	"
9	Set Council Budget by March 2012	---	"
10	Compliance with Public Sector Network Code of Connection	---	"
11	Upgraded telecoms network completed by November 2011	---	"

3 Financial Planning

REVENUE BUDGET 2011/12		Gross Budget	Net Budget
Division	Services	£	£
Revenues Services	Benefits - Payments	163,900,000	4,797,000
Revenues Services	Benefits, Council Tax & Income	14,534,850	9,404,050
Libraries, Customer Services	Libraries, OSS & Call Centre	12,872,800	7,386,300
Financial Services	Accountancy, Insurance & Treasury	2,479,100	-
Internal Audit	Audit & Fraud	895,700	-
IT Services	Systems, Telephones & Printing	13,178,700	750,000
Other Operations	Efficiency Fund, Pensions & SCP	5,969,000	5,969,000
Pension Fund	Investments & Administration	14,155,600	-
Support Services	Management and Support	3,870,600	579,800
Treasury Management	Capital and debt mgt costs	26,368,100	(2,248,450)
Finance Department		258,224,450	26,637,700

POLICY OPTIONS 2011/12	One Off funding for	£
Library Equipment	W-fi, info screens and e-books	120,000
Get into Reading	Continuing funding for the project	100,000
Library Engagement	Campaign to promote library use	20,000
Fair Trade - Procurement	Campaign to raise awareness	10,000

SAVINGS 2011/12	To be achieved by	£
SCP - Procurement	Effective procurement process	2,000,000
SCP - Procurement	Review of Top-50 Contracts	500,000
SCP - Printing Review	Rationalise number/use of printers	250,000
SCP - Electronic Payments	Implementation of system	200,000
Employees (EVR/VS)	Staff released under EVR/VS	3,511,000
Discretionary Rate Relief	Re-allocation of costs with Schools	337,000
Insurances	Initiatives in claims management	526,000
Capital Financing	Through treasury management	370,000
Consultants	Reduced use of consultants	48,300
Overtime, consumables and Car allowances	Reduced spend in these areas	69,800

CAPITAL PROGRAMME		For 2011/12	For 2012/13
Scheme	Details	£	£
Information Technology	Major investment in IT infrastructure	1,000,000	1,000,000

4 Workforce Planning

Workforce Issue	Planned Actions	Financial Implications
Finance Department restructure to assure Business Continuity	Review structure of Pensions Services Review structure of Revenues Service Review Admin function across the Department Review IT Structure	Potential savings of £80k Potential growth of £50k Potential savings of £60k
Address changes resulting from transfer of services between Departments	Finalise DASS Finance staff transferring to Finance Centralisation of HR support services Library and One Stop Shops co-location	Within existing resources
Develop competency framework for staff in IT Services	Implement SFIA for staff in IT Services	Within existing resources
Development of customer care initiatives	Deliver Customer Care training	Within existing resources
Workforce development	Commitment to workforce development (CIPFA, AAT, IT, MBA, Apprenticeships etc)	Within existing resources
A large number of staff have joined the Department in 2011-12	Undertake a skills audit to identify a benchmark of competency and qualification per service area	Within existing resources
Changes to the structure and services provided by the Department	Identify individual and Team learning plans aligned to Departmental and Corporate objectives	Within existing resources
There is increasing need to involve staff in service developments and innovation	Create staff focus groups to consider the changing 'offer' being made by the Department	Within existing resources
Communication with all staff is vital during this period change	Produce Team Brief every month. Deliver Directors Briefing Roadshow to all staff in April 2011 and October 2011	Within existing resources

5 Equality and Diversity

Wirral Council is committed to ensuring equality and fairness of opportunity and promoting diversity are at the core of everything it does. The Council is committed to achieving 'excellent' status of the Equality Framework for Local Government and has statutory duties relating to equalities. The Department has an active Equality and Diversity Group chaired by one of the Heads of Service to ensure Equality Duty under the 2010 Act is reflected across all Departmental activities.

6 Central Government Reporting Requirements

Central government requires the department to complete a number of returns and to provide various types of information during the year. The most significant are detailed below together with who is responsible for their completion and their frequency.

Title	By Whom	Frequency
Budget Requirement returns	Fin Services	Annual
Revenue Account budget	Fin Services	Annual
Revenue Outturn and forecasts	Fin Services	Quarterly
Revenue Account Specific and Special Grants	Fin Services	Annual
Revenue Grants	Fin Services	Annual
Trading Services	Fin Services	Annual
Subjective Analysis	Fin Services	Annual
Revenue Summary	Fin Services	Annual
Whole of Government Accounts	Fin Services	Annual
Borrowing and Lending Inquiry	Fin Services	Quarterly
Capital Estimates	Fin Services	Annual
Capital Forecast	Fin Services	Annual
Capital Payments and Receipts	Fin Services	Quarterly
Capital Outturn	Fin Services	Annual
Wages and Salaries	Fin Services	Quarterly
Local Authority Spending over £500	Procurement	Monthly
Council Tax Base	Revs and Bens	Annual
Return of Council Taxes and	Revs and Bens	Quarterly
National Non-Domestic Rates	Revs and Bens	Twice a year
Single Housing Benefit (HB) Extract	Revs and Bens	Annual
Housing Benefits Recoveries and Fraud	Revs and Bens	Quarterly
DWP data-matching referrals on HB/CTB claims	Revs and Bens	As required
National Fraud Initiative	Revs and Bens/ Internal Audit	Bi-Annual
Individual HB & Council Tax Benefit related prosecutions and sanctions	Revs and Bens	As required
Housing & Council Tax Benefit subsidy estimates	Revs and Bens	Annual
Housing & Council Tax Benefit subsidy claims	Revs and Bens	Annual
Discretionary Housing Payment estimates	Revs and Bens	Annual
Discretionary Housing Payment claims	Revs and Bens	Annual
Teacher Pension Contributions	Support Servs	Annual
Teacher Pension Service	Support Servs	Annual
Local Government Pension Scheme Funds Form	M P Fund	Annual
Investment Management System	M P Fund	Continuous

7 Departmental Risk Register

Project / Activity	Risk Owner	Risk Category	Description of Risk	Existing Controls	Net Likelihood Score	Net Impact Score	Net Total Risk Score	Additional Controls	Responsibility	Target Date
Procure services more efficiently and deliver better Value for Money	Mike Fowler	Financial	Team capacity or market forces could lead to failure to deliver all of the cashable savings	Workforce Plan, market research and adherence to corporate procurement governance.	2	4	8	Leadership and Monitoring of Projects at the Strategic Change Board	Mike Fowler	Ongoing
↓	Mike Fowler	Regulatory	Failure to comply with Standing Orders could lead to breach of EU Procurement Directives	Monitoring of compliance with corporate procurement arrangements	3	4	12	Closer scrutiny of Cabinet reports. Non-Compliance reports to Executive Team	Mike Fowler	Ongoing
Improve income assessment, maximisation & collection	Malcolm Flanagan	Financial	Team capacity and economic downturn could lead to failure to deliver efficiencies	Workforce Plan; Regular Service and Economy reviews.	3	3	9	Regular Risk monitoring report to Departmental Management Team	Malcolm Flanagan	July 2011
Council Tax collection	Malcolm Flanagan	Financial	Team capacity and economic downturn could lead to reduced	Workforce Plan; Regular Service and Economy reviews.	3	4	12	Regular Risk monitoring report to Departmental Management Team	Malcolm Flanagan	Feb 2012

Project / Activity	Risk Owner	Risk Category	Description of Risk	Existing Controls	Net Likelihood Score	Net Impact Score	Net Total Risk Score	Additional Controls	Responsibility	Target Date
			rates of Council Tax collection							
Improved Customer Access – co location of Libraries and OSS's	Malcolm Flanagan	People	Reliance on key officers and lack of staff engagement could lead to failure to deliver co-located services	Project issues covered by several officers; Workforce Plan	3	3	9	Business Continuity Plan Employee engagement	Malcolm Flanagan	Feb 2012
Effectively manage the Merseyside Pensions Fund	Peter Wallach	Financial	Poor investments; Adverse market conditions leads to lower returns than the Pension Fund Benchmark	MPF Investment Strategy. Use of external advisers. Monitoring by the Pension Committee	2	4	8	Reports to DMT and Pensions Fund Management Team	Peter Wallach	Ongoing
Improved Customer Access	Malcolm Flanagan	Reputation	Insufficient staffing resources could lead to failure to extend opening hours	Workforce Plan Employee engagement	1	3	3	Workforce monitoring	Malcolm Flanagan	Ongoing

Project / Activity	Risk Owner	Risk Category	Description of Risk	Existing Controls	Net Likelihood Score	Net Impact Score	Net Total Risk Score	Additional Controls	Responsibility	Target Date
Effective Financial Management	Tom Sault	Financial	Unexpected variances could lead to failure to manage within available resources	Reports to Cabinet. Departmental engagement	2	2	4	Planning and regular monitoring reports	Tom Sault	Ongoing
Audit and Assurance	Dave Garry	Regulatory	Staffing levels could lead to delays completing audits and follow-ups	Workforce Plan	2	2	4	Prioritising Audit Plan	David Garry	Ongoing
Develop IT Services	Geoff Paterson	Regulatory	Non-compliance with data security policy could lead to breach of Act	Monitoring of Data Security Policy and procedures Information Governance	1	4	4	Explore additional Encryption options	Geoff Paterson	Ongoing
↓	Geoff Paterson	Reputation	Staffing levels could lead to reduction in IT support or non-resilience of key systems	Workforce Plan Employee engagement	1	4	4	Workload prioritisation Business Continuity Plan	Geoff Paterson	Ongoing
Workforce Management	Mike Fowler	Financial	Insufficient resources to	Training & Development	2	3	6	Workforce Plan	Mike Fowler	Ongoing

Project / Activity	Risk Owner	Risk Category	Description of Risk	Existing Controls	Net Likelihood Score	Net Impact Score	Net Total Risk Score	Additional Controls	Responsibility	Target Date
			meet training commitment	Plan						
↓	Mike Fowler	People	Trained H&S, Fire marshals, and 1 st Aiders may have left under EVR/VS	Health and Safety Group	2	4	8	Monitoring of Health and Safety Management Audits	Mike Fowler	Ongoing
Reduce Carbon footprint	Mike Fowler		Failure of staff to engage	Identification of Energy Champions in each Division	1	4	4	Energy Champions Group chaired by Head of Service	Mike Fowler	June 2010