

DRAFT



**FINANCE DEPARTMENT
DEPARTMENTAL PLAN**

2009-2010

FINANCE DEPARTMENT – DEPARTMENTAL PLAN CONTENTS

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1. **OUR PLANS FOR 2009-2010**

- 1.1 **The Council's Corporate Plan**

Wirral's Local Strategic Partnership, which brings together community, private, public and voluntary agencies, has produced a Community Strategy 'Getting Better Together' which sets out a 10 year vision to '**make Wirral a better place in which to live, work and invest**'. It identifies 8 themes for action which reflect local priorities and provide a framework for improving the economic, environmental and social well-being of local people.

The Council's Corporate Plan, agreed in March 2008 and reaffirmed in September 2008, identifies a vision for Wirral of '**a more prosperous and equal Wirral, enabling all communities and people to thrive and achieve their full potential.**' The Corporate Plan identifies five strategic objectives, with aims for 2008-13 and immediate priorities for improvement.

Underpinning the Corporate Plan are a number of key strategies which are reviewed annually. These strategies include:

- Medium Term Financial Strategy
- People Strategy
- Customer Access Strategy
- ICT Strategy
- Risk Strategy
- Asset Management Strategy

The Corporate Plan is reviewed annually and the budget agreed each year. Departmental plans are linked to the budget.

The Departmental Plans, which are also reviewed annually, identify how each department delivers corporate and departmental objectives within the resources available (people, finance and assets) and within a risk managed environment.

1.2 Summary of contribution to LAA improvement priorities

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

In 2009-10, 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.

2. FINANCE DEPARTMENT OVERVIEW

The six service areas within the Finance Department are:

- Financial Services
- Information Technology Services
- Merseyside Pension Fund
- Revenues, Benefits and Customer Services
- Support Services
- Change Team

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 core functions of the Finance Department include administering Council Tax and Business Rates, paying Housing and Council Tax Benefits 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.

The Department is leading a significant number of Change Programme Initiatives. In addition it plays a role in supporting other Departments delivering the major projects identified to generate efficiency savings.

The Departmental Plan will be updated as necessary as the implementation of these initiatives evolves. Members will be kept closely informed of this through the regular reporting process.

2.1 Summary of key outcomes relating to improvement priorities for 2009-10

The council has a number of improvement priorities for 2009-10. 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
Improve the Council's budgeting process to fully reflect its priorities**

In 2009-10, the department will deliver the following activities and key outcomes in relation to these improvement priorities:

- Value For Money and cost comparisons
- Financial Strategy - medium term financial plan and budgeting process

The department also makes a contribution to the following:

Reducing the Council's carbon footprint:

- 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

3. DELIVERING OUR PLANS – OUTCOMES FRAMEWORK

Projects, activities and related Performance Indicators marked in **bold** and with an asterisk (*) are those which feature in the Corporate Plan.

Strategic Objective	Aims / 2009-10 Priorities in bold	We will deliver: Projects and/or Activities	Code	We will measure our success by - related Performance Indicators	Lead Portfolio	Lead Service Area	Who else is required?
To create more jobs, achieve a prosperous economy and regenerate Wirral	Reduce worklessness	Reducing Worklessness <ul style="list-style-type: none"> Customer Services and Benefits Service joint working with Department for Work and Pensions (DWP) 	FIN NC 1.1	National project – no PIs yet determined	Community and Customer Engagement		DWP
	Reduce the council's carbon footprint	Environmental Management System (EMS) plan <ul style="list-style-type: none"> Finance Department components 	FIN IMP 2.1	EMS audit Maintain Environmental Management System (ISO 14001) status	Finance and Best Value	SS	All service areas
Create an excellent council	Improve the use of the Council's land and assets	*Use of Resources (CAA) <ul style="list-style-type: none"> Delivery of action plan 	FIN IMP 2.2	*Achievement of action plan targets	Corporate Resources	FS	All departments
	Improve the use of the Council's land and assets	*Change Programme 2009/2012 (Cabinet 081210) – Customer Access Strategy <ul style="list-style-type: none"> Initially using Streetscene services 	FIN NC 1.2	Quarterly review and progress report *Achievement of action plan targets	Finance and Best Value	RBCS	All departments
	Improve the use of the Council's land and assets	*Change Programme 2009/2012 (Cabinet 081210) – Common Administrative Processes including the key projects of: <ul style="list-style-type: none"> Highways and Engineering Services contract arrangements (HESPE) Human Capital Management (HCM) and payment of expenses Integrated Financial Systems (IFS) 	FIN NC 1.3	Quarterly review and progress report against key project milestones *Achievement of action plan targets *LOCAL 2069 - visits to the Council's website	Finance and Best Value	FS	All departments
	Improve the use of the Council's	*Change Programme 2009/2012 Strategic Asset Review (Cabinet	FIN NC 1.4	*Achievement of action plan targets	Finance and Best	SS	

Strategic Objective	Aims / 2009-10 Priorities in bold	We will deliver: Projects and/or Activities	Code	We will measure our success by - related Performance Indicators	Lead Portfolio	Lead Service Area	Who else is required?
	land and assets	081127 – a catalyst for changing how people work and how services are accessed <ul style="list-style-type: none"> Finance department components 			Value		
	Improve the use of the Council's land and assets	*Change Programme (Cabinet 081210) 2009/2012 ICT Technological Developments the work necessary to keep computers and software functioning and up to date, including: <ul style="list-style-type: none"> Government Connect - secure exchange of data with public sector partners 	FIN NC 1.5	*Achievement of action plan targets Quarterly review and progress report against key project milestones System availability	Finance and Best Value	ITS	
	Improve the use of the Council's land and assets	ICT Strategy and Development Plan (in addition to Change Programme) <ul style="list-style-type: none"> Support for change programme projects including: <ul style="list-style-type: none"> common administrative processes Customer Access Strategy Infrastructure development to support asset review and enable resilient agile working Continuous review of operation and services Help Desk remote support project Application monitoring to improve performance 	FIN IMP 2.3	Programme agreed by March each year. Quarterly monitoring and reporting Complete projects to specification within agreed timescales and budget Customer satisfaction (new PI)	Finance and Best Value	ITS	
	Improve the use of the Council's land and assets	*Capital Strategy <ul style="list-style-type: none"> Improved decision making e.g. capital programme Continue to assess Capital Programme bids against updated and appropriate priorities 	FIN IMP 2.4	Programme agreed by March each year. Quarterly monitoring and reporting and annual report	Finance and Best Value	FS	All departments
	Improve the use	*Corporate Risk Strategy	FIN RI	Review by July each year.	Finance	FS	All

Strategic Objective	Aims / 2009-10 Priorities in bold	We will deliver: Projects and/or Activities	Code	We will measure our success by - related Performance Indicators	Lead Portfolio	Lead Service Area	Who else is required?
	of the Council's land and assets	<ul style="list-style-type: none"> Regularly refresh risk register in light of corporate priorities 	3.1	Quarterly monitoring and reporting and annual report	and Best Value		departments
	Improve the use of the Council's land and assets	*Internal Audit Plan <ul style="list-style-type: none"> Develop and deliver programme based on risk 	FIN RI 3.2	*LOCAL 2060 - completion of all high risk systems identified in the Audit Plan Monthly monitoring and reporting and annual report	Finance and Best Value	Internal audit	All departments
	Improve the use of the Council's land and assets	Equality and Diversity (see also Section 5.3) <ul style="list-style-type: none"> Departmental Equality Group work programme and Action Plan 	FIN IMP 2.5	Achievement of Action Plan targets	Community and Customer Engagement	SS	
	Improve the use of the Council's land and assets	Workforce Development <ul style="list-style-type: none"> Workforce Development Plan (WDP) Investors in People 	FIN IMP 2.6	Implementation of WDP Staff feedback Retention of IIP status	Finance and Best Value	SS	
	Maintain a sustainable and stable budget providing value for money	*Value For Money and cost comparisons <ul style="list-style-type: none"> Deliver value for money (VFM) through procurement, collaboration and change; increase the level of general balances 	FIN IMP 2.7	*NI 179 - value of cash-releasing value for money gains Efficiency statement on Council tax bill *LOCAL 2067 - efficiencies gained through procurement *LOCAL 2080 - the percentage of invoices for commercial goods and services which were paid by the authority within 30 days of such invoices being	Finance and Best Value	FS	All departments

Strategic Objective	Aims / 2009-10 Priorities in bold	We will deliver: Projects and/or Activities	Code	We will measure our success by - related Performance Indicators	Lead Portfolio	Lead Service Area	Who else is required?
				received by the authority.			
	Maintain a sustainable and stable budget providing value for money	Value for Money (Finance Department specific) <ul style="list-style-type: none"> review of payment options throughout Council services transfer of services to cheapest access channels Council tax collection and administration Administration of Housing and Council tax benefit Discretionary rate relief 	FIN IMP 2.8		Finance and Best Value	FS	All service areas
	Maintain a sustainable and stable budget providing value for money	*Benefits Service Delivery Projects include: <ul style="list-style-type: none"> *maximising delivery of Housing Benefits service including Local Housing Allowance *maximising revenue collection 	FIN NC 1.6	*NI 180 - changes of circumstance *NI 181 - time taken to process new claims *LOCAL 2073 - Council Tax collected	Finance and Best Value	RBCS	DWP
	Improve the council's budgeting process to fully reflect its priorities	Financial Strategy *Medium Term Financial Plan <ul style="list-style-type: none"> Continue to develop and regularly review the medium term (3 year) financial plan; achieve identified savings Create a sustainable budget Budget agreed by March each year Treasury Management Policy 	FIN RI 3.3	Review by July each year. Quarterly monitoring and reporting *LOCAL 2068 - Section 25 report	Finance and Best Value	FS	All departments
	Improve accountability, accessibility and openness and involve those who use our services in their design and delivery	Customer Access Strategy (in addition to change programme) Projects include: <ul style="list-style-type: none"> *Delivery of customer care standards across the Council 	FIN IMP 2.9	*NI 14 - reducing avoidable contact *LOCAL 2004 - no. of complaints *LOCAL 2063 - calls handled through the Call	Community and Customer Engagement	RBCS	ITS All Council departments

Strategic Objective	Aims / 2009-10 Priorities in bold	We will deliver: Projects and/or Activities	Code	We will measure our success by - related Performance Indicators	Lead Portfolio	Lead Service Area	Who else is required?
		<ul style="list-style-type: none"> Tax and benefits review – e-enablement, front line delivery, and integrating working practices 		Centre 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			
	Improve accountability, accessibility and openness and involve those who use our services in their design and delivery	*Access to Services inspection <ul style="list-style-type: none"> Delivery of action plan 	FIN IMP 2.10	*Achievement of action plan targets	Community and Customer Engagement	RBCS	All departments
	Improve accountability, accessibility and openness and involve those who use our services in their design and delivery	Merseyside Pension Fund Activities include: <ul style="list-style-type: none"> Pension Fund investment performance Pensions administration Improving Pensions Scheme take-up levels Electronic data exchanges 	FIN IMP 2.11	LOCAL 2041 - investment performance	Finance and Best Value	MPF	Pension scheme employers ITS
	Improve accountability, accessibility and openness and involve those who use our services in their design and delivery	Access to Information <ul style="list-style-type: none"> Data Protection Freedom of Information 	FIN RI 3.4	LOCAL 2056 - requests processed within 40 calendar days LOCAL 2057 - requests processed within 20 working days	Finance and Best Value	SS	All departments
	Improve partnership working with the public, private & voluntary sectors	Partnership development <ul style="list-style-type: none"> One Stop Shop surgeries and outreach 	FIN IMP 2.12	Number of surgeries and customer take-up	Community and Customer Engagement	RBCS	Other Public & Voluntary Sector bodies

3.1 Performance Indicators

The Finance Department is responsible for the following Performance Indicators. Corporate Plan indicators are shown in **bold**. The annual targets will be reviewed and revised as part of the budget planning process.

PI No.	Title	09/10 target	10/11 target	11/12 target	Service Area	Portfolio
NI 14	Reducing avoidable contact, minimising the proportion of customer contact that is of low or no value to the customer	100	100	100	RBCS	CCE
NI 179	Value for money – total net value of on-going cash-releasing value for money gains that have impacted since the start of the 2008-9 financial year	£10m	£10m	£10m	FS	FBV
NI 180	The number of changes of circumstances which affect customers' HB/CTB entitlement within the year	1.08	1.08	1.08	RBCS	FBV
NI 181	Time taken to process Housing Benefit/Council Tax Benefit new claims and change	15.9	15.4	14.9	RBCS	FBV
LOCAL 2004	Number of complaints registered on Council's procedure	908	883	858	RBCS	CCE
DEPT 2007	Percentage of transactions/enquiries resolved at first point of contact. This includes by telephone, letter, email or Internet	75	76	76	RBCS	CCE
DEPT 2010b	Percentage of people waited under 15 minutes to be seen by an adviser	90	91	92	RBCS	CCE
DEPT 2010c	Percentage of people who felt that they were dealt with in a positive and in a welcoming manner	99.6	99.6	99.7	RBCS	CCE
DEPT 2010d	Percentage of customer interview times within 20 mins at One Stop Shop	82	83	84	RBCS	CCE
DEPT 2015a	Improving Customer Services: Achievement of service standards in customer services strategy/pledge: The percentage of complaints responded to within 15 working days	88	90	92	RBCS	CCE
DEPT 2019	Percentage of District Valuer Alterations actioned within 15 days	96	96	98	RBCS	FBV
DEPT 2020	Percentage of sundry debt arrears outstanding by year end	20	20	20	RBCS	FBV

PI No.	Title	09/10 target	10/11 target	11/12 target	Service Area	Portfolio
LOCAL 2041	Investment performance as a movement from strategic benchmark	1.25	1.25	1.25	MPF	FBV
DEPT 2046	Payment of creditors by BACS	82	84	86	SS	FBV
DEPT 2055	Improving customer services: achievement of service standards in customer services strategy/pledge: The percentage of emails responded to within 15 days	78	80	82	RBCS	CCE
LOCAL 2056	Percentage of requests regarding Data Protection processed within 40 calendar days	95	95	95	SS	FBV
LOCAL 2057	Percentage of requests regarding Freedom of Information processed within 20 working days	95	95	95	SS	FBV
LOCAL 2060	Completion of all HIGH RISK systems identified in the Audit Plan	100	100	100	Internal audit	FBV
DEPT 2061	Number of active annual benefit statements issued v estimated target total of 51,163	51,163	51,163	51,163	MPF	FBV
DEPT 2062	Number of deferred annual benefit statements issued v estimated target total of 22,810	22,810	22,810	22,810	MPF	FBV
LOCAL 2063	Percentage of calls handled through the Call Centre	95	95	95	RBCS	CCE
LOCAL 2065	Days absence against numbers in post	tbc	tbc	tbc	SS	FBV
LOCAL 2067	Efficiencies gained through procurement	£1m	£1m	£1m	SS	FBV
LOCAL 2068	Section 25 report from Section 151 Officer	1	1	1	FS	FBV
LOCAL 2069	Number of visits to the Council's website	65,219	68,713	72,206	RBCS	CCE
LOCAL 2070	Number of registrations onto E-Citizen Revenues and Benefits system	5,000	7,500	10,000	RBCS	CCE
LOCAL 2071	The percentage of citizens satisfied with the overall service provided by the Council	66	67	67	RBCS	CCE
LOCAL	Percentage of those making complaints satisfied with the handling of those complaints	35	40	45	RBCS	CCE

PI No.	Title	09/10 target	10/11 target	11/12 target	Service Area	Portfolio
2072						
LOCAL 2073	Percentage of Council Tax collected	97.0	97.2	97.3	RBCS	FBV
DEPT 2074	The percentage of non-domestic rates due for the financial year which were received by the authority.	96.5	96.5	97.0	RBCS	FBV
DEPT 2075	Housing Benefit and Council Tax Security: The number of fraud investigations per 1000 caseload	25	25	25	RBCS	FBV
DEPT 2076	Housing Benefit and Council Tax Security: The number of prosecutions and sanctions per 1000 caseload	5	5	5	RBCS	FBV
LOCAL 2080	The percentage of invoices for commercial goods and services which were paid by the authority within 30 days of such invoices being received by the authority	90	90	90	SS	FBV

4. Delivering Our Plans – Financial Summary

Please note that detailed budgets will be considered by Cabinet and Council in February and March and this section of the business plan will be revised accordingly.

4.1 Revenue

4.1.1. FINANCE DEPARTMENT POSITION AS AT 31 OCTOBER 2008

	2009/10	2010/11	2011/12
	£000	£000	£000
Base budget	21,047.7	18,663.5	19,448.8
Increased Requirements			
Pay	533.5	533.5	533.5
Prices	277.0	277.0	277.0
Efficiency Investment Fund	2,900.0		
Deputy Print Manager	39.6		

Energy and Fuel	199.3		
Harmonisation of Pay	234.7		
Insurance	2.4		
Benefits Subsidy	700.0		
Admin Buildings Recharge	30.5		
Transfers from Departments	278.4		
Decreased Requirements			
Income Inflation	-25.2	-25.2	-25.2
Depreciation & Impairment	-13.4		
Inter Committee Recharges	-1,451.4		
Central Service Recharges	-886.0		
Efficiency Savings			
- Cabinet 16 Oct 2008	-810.0		
- Cabinet 06 Nov 2008	-3,340.0		
- Cabinet 27 Nov 2008	-140.0		
Transfer to other Departments	-913.6		
Base budget	18,663.5	19,448.8	20,234.1

The key budget issues for the Department are summarised as follows:

GROWTH

Description	£000	Details
Energy Investment Fund	2,900	Delivery of Efficiency Plan
Deputy Print Manager	40	Financed from surplus on printing trading account

Benefits Subsidy	700	DWP reduction in income 3% per year from 08/09
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SAVINGS

Description	£000	Details
Cash Handling	10	Reduced cashiers cash handling charges
DWP Grant	600	Housing Benefit and Council Tax improved use of technology
Student Awards	50	Student Awards no longer processed by one Stop Shops
Corporate ICT Staff Savings	100	Creation of Corporate ITU unit
ITS Hardware Review	50	Re-tendering IT hardware and storage capacity contract
WPH Cash Handling	140	Increased income from WPH after closure of their cash offices
Procurement Efficiencies	1,500	Corporate Procurement Efficiencies
Procurement and Creditors	1,022	Funding of Procurement and Creditors from Efficiency and Investment Fund in 2008/09
Change Team	635	Funding of Change Team from Efficiency and Investment Fund in 2008/09
Customer Services Development	183	Funding of Customer Services Development from Efficiency and Investment Fund in 2008/09

4.1.2 TREASURY MANAGEMENT - POSITION AS AT 31 OCTOBER 2008

SUMMARY

The Treasury Management budget is projected to produce an underspend this year largely as a consequence of increased income from investments and improved management of the cash flow. These areas of potential volatility / variation and continue to be closely monitored as they fluctuate based upon changes in the global economy. The investment with an Icelandic bank continues to be the subject of regular communication with the administrators appointed to resolve the bank's affairs.

	2009/10 £000	2010/11 £000	2011/12 £000
Base budget	11,754.8	7,756.5	10,741.2
Increased Requirements			
Pay	51.3	51.3	51.3
Prices	33.4	33.4	33.4
Capital Financing Growth			
- Cabinet 10 Dec 2008	3,200.0	2,900.0	2,300.0
Transfers from Departments	797.1		
Inter Committee Recharges	454.2		
Central Service Recharges	136.9		
Decreased Requirements			
Admin Buildings Recharge	-8.4		
Transfers to other Departments	-222.2		
Capital Recharges	-7,740.6		
Efficiency Savings			
- Cabinet 16 Oct 2008	-500.0		
Removal of previous years Policy Option	-200.0		
Base budget	7,756.5	10,741.2	13,125.9

The key budget issues for the Department are summarised as follows:

POLICY OPTIONS

The following policy options have been excluded from the base budget for 2009/10:

Description	£000	Details
Revenue Matched Funding	200	1 year policy option in 2008/09

GROWTH

Description	£000	Details
Capital Programme 2009-10	3,200	Increased interest and loan repayments

SAVINGS

Description	£000	Details
Temporary Borrowing	500	Reduction in Treasury Management temporary borrowing costs

4.2 Capital

The Finance department has no specific capital schemes.

4.3 Value for Money

The council is committed to providing value for money services. To this end, the department undertakes to review those service areas identified as being of relatively high spend (when compared with others). These areas are as follows:

- review of payment options throughout Council services
- transfer of services to cheapest access channels
- Council tax collection and administration
- Administration of Housing and Council tax benefit
- Discretionary rate relief

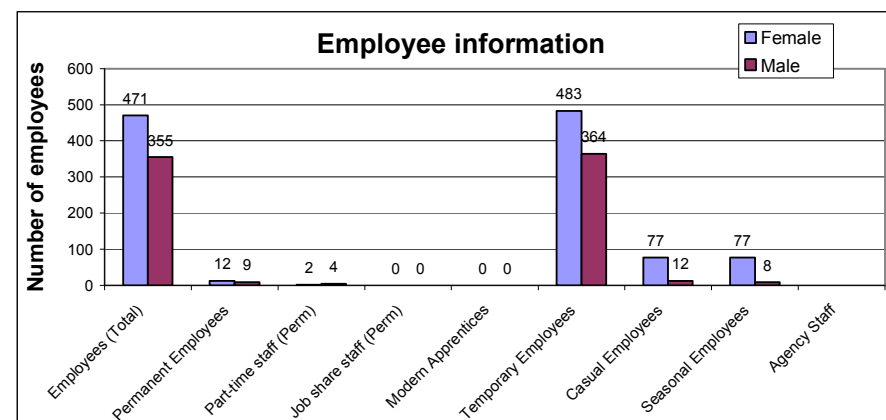
5. DELIVERING OUR PLANS - MANAGING STAFF, ASSETS AND RISKS

5.1 HR / Workforce Plans

Finance Department Workforce Profile:

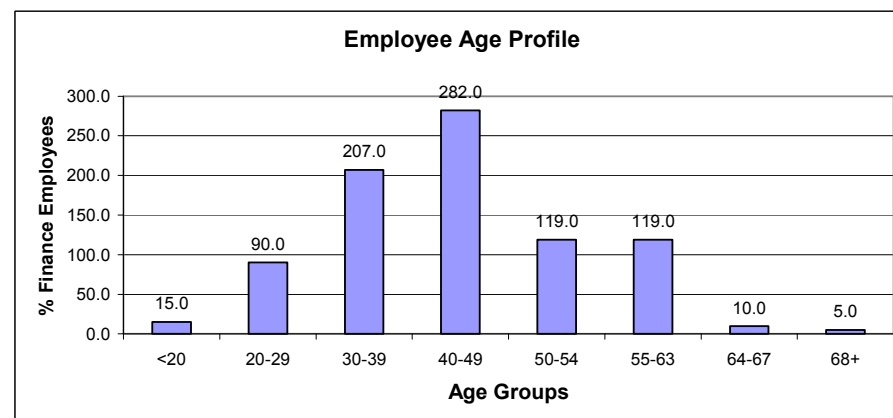
Employee Information as at 11-11	Female	FTE	%	Male	FTE	%
Employees (Total)	471	400.20	55.54%	355	346.80	41.86%
Permanent Employees	12	11.33	1.42%	9	7.29	1.06%
Part-time staff (Perm)	2	2.00	0.24%	4	4.00	0.47%
Job share staff (Perm)	0	0.00	0.00%	0	0.00	0.00%
Modern Apprentices	0	0.00	0.00%	0	0.00	0.00%
Temporary Employees	483	411.53	56.96%	364	354.11	42.92%
Casual Employees	77	45.07	9.08%	12	7.83	1.42%
Seasonal Employees	77	39.01	9.08%	8	4.00	0.94%
Agency Staff			N/A			N/A

Totals
826.00
21.00
6.00
0.00
0.00
847.00
89.00
85
0
853.00



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Employee Profiles - as at : 11-11-	Female	%	Male	%	total	%
<20	8.00	0.94%	7.00	0.83%	15.0	1.8
20-29	44.00	5.19%	46.00	5.42%	90.0	10.6
30-39	111.00	13.09%	96.00	11.32%	207.0	24.4
40-49	160.00	18.87%	122.00	14.39%	282.0	33.3
50-54	72.00	8.49%	47.00	5.54%	119.0	14.0
55-63	76.00	8.96%	43.00	5.07%	119.0	14.0
64-67	7.00	0.83%	3.00	0.35%	10.0	1.2
68+	5.00	0.59%	0.00	0.00%	5.0	0.6
	44.00		28.00		847.00	



5.1.2. Table highlighting the workforce implications of projects and activities identified in the departmental outcomes framework.

Projects and activities	Workforce Impact	Planned Actions	Financial Implications
Change	Changes to staffing levels Need for sustained motivation and smarter working	Review and enhance communication and support Maximise use of technology	Change programme
Changes to legislation and regulation	New knowledge and skills required, potential increase in workload in some areas	Service plans to identify resource and workload issues from legislation changes Ensure staff have opportunities to gain appropriate knowledge and experience	Existing resources
Fluctuations in volumes of work across service areas	Increase in range of functions required – adaptable staff	Remodelling of staffing structure (MPF and ITS)	Existing resources
Automation of clerical and repetitive tasks	Reduction in staffing levels	Remodelling of staffing structure Software and training	Change programme
Requirement for a more highly skilled workforce; increased requirement for skills such as project management	New skills required	Training opportunities Keep technical skills up to date Encourage staff to undertake formal qualifications Further embed project management approach	Existing resources
Introduction of new ways of working	New technology and ways of working	Review and enhance communication and support Maximise use of technology	Capital programme – strategic asset review - ICT
Front of house - increased self access, extended hours	More varied work patterns	Review and enhance communication and support	Capital programme – strategic asset review - ICT
Increased working with delivery partners	New skills required	Training and development programme	Existing resources

5.1.3. Table showing other key workforce issues which may have an impact on delivering departmental outcomes

Workforce Issue	Planned Actions	Financial Implications	Related Risks
Age profile of workforce	Identify key areas and relevant staff for development to ensure capacity covered in relevant areas Explore graduate recruitment, modern apprenticeships and school placements	Existing resources	Potential shortage of skills in key areas; impact on service delivery
Over-reliance on key personnel	Identify key areas and relevant staff for development Review staffing structure	Existing resources	Services, projects and activities not delivered to specification; impact on health of staff
Turnover of staff	Review turnover to identify specific areas Optimise use of non-financial benefits such as flexible working, work/life balance etc.	Existing resources	Potential shortage of skills in key areas; impact on service delivery
Diversity profile of senior posts	Identify key areas and relevant staff for development	Existing resources	Failure to fully reflect profile of service users, potentially reducing access to services
Staff survey outcomes	Review and enhance communication and support Further develop recognition of staff achievements	Existing resources	Impact on staff morale and service delivery

5.2 **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.

5.3 Equality and Diversity

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 Action Plan (the latter will be replaced by the Equality Watch Scheme from April 2009).

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. Key projects or activities from this action plan may also appear in the departmental plan outcomes framework which can be found in section 3.

5.3.1 Equality Impact Assessments (EIAs) completed by the Finance Department to date

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<p>Revenues, Benefits and Customer Services:</p> <ul style="list-style-type: none"> • Housing Benefits • Council Tax • Business Rates • Call Centre • One Stop Shops 	<p>Internal Audit Financial Services Information Technology Service Merseyside Pension Fund Change Team</p>	<p>Support Services:</p> <ul style="list-style-type: none"> • Procurement and payments • Payroll • Records Management • Compliance • Support Services (other)
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5.3.2 Equality Impact Assessments planned for 2009-10

- Capital Strategy
- Customer Access Strategy
- Corporate Risk Strategy
- Strategic Asset Review (Finance department component)
- All new projects

5.3.3 Departmental Equality Group Work Programme and Action Plan – summary

In anticipation of achieving level 3 of the Equality Standard for Local Government in March 2009, the department will look to consolidate this in 2009/10 through the following activities. All projects and activities feature in section 3 (outcomes) of this

departmental plan. Those projects and activities which were identified as a result of the Equality Impact Assessment process are marked with an asterisk *.

Corporate Equality and Diversity Aim	Departmental Project and/or Activity
1. Workforce	<p>*Awareness and training: all staff - Elumos e-learning – implementation, monitoring and review</p> <p>*Develop and implement Equalities and Diversity training strategy for Finance department</p> <p>Develop the capacity of the Departmental Equalities Group (DEG)</p>
2. Corporate Governance	<p>*Joint working with voluntary and community sectors – further development through customer services</p> <p>Corporate strategies and guidance - Continue to strengthen Equalities and Diversity components of corporate policies (Finance dept lead)</p>
3. Access	<p>Access to Services inspection: Identify and respond to Equalities and Diversity issues arising from Access to Services inspection report</p> <p>*Review and refresh Equality Impact Assessment programme including corporate policies and strategies (Finance Dept lead).</p> <p>*One Stop Shops – development of outreach and mobile working</p>
4. Communication	<p>*Review and strengthen reporting and communication routes</p>
5. Customers	<p>*Customer satisfaction and feedback used to inform service delivery and development</p> <p>*Merseyside Pension Fund: improving Pension Scheme take-up levels and maximising provision</p> <p>*Customer insight – improve quality and develop use of information</p>

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5.4 Significant impact on other departments

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.

- **Use of Resources action plan**

- **Change Programme (including Customer Access Strategy, ICT Technological Developments, and Common Administrative Processes)**
- **Access to Services action plan**
- **Capital Strategy**
- **Corporate Risk Strategy**
- **Value for Money**
- **Financial Strategy**

5.5 Risk Management

5.5.1 Finance Department Risk Register - Key / Overarching Risks

Themes (column 1):
 1. People and Management
 2. Investment
 3. Continuity and Resilience
 4. Systems and Processes

Categories (column 5):
 People (P)
 Regulatory (R)
 Operational (O)
 Info/tech (I)
 Financial (F)

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The me	Description of Risk	Res pon sible	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 (including code reference to outcomes framework)	Tar get Dat e
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	3	4	12	every month	Implement Workforce Development Plan; implement Equality and Diversity Action Plan FIN IMP 2.6; FIN IMP 2.5	
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 month	Implement Workforce Development Plan FIN IMP 2.6	
1.3	Failure to identify and respond effectively to changing legislation	SR	Central Govt. targets not met.; fines / penalties imposed; poor publicity; negative impact on CAA score	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 month	Implement Workforce Development Plan; policy scanning function; implement Equality and Diversity Action Plan FIN IMP 2.6; FIN IMP 2.5	
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 month	Implement Workforce Development Plan FIN IMP 2.6	
2.1	Insufficient / incomplete market information for the pension fund	PW	Negative impact on investment returns	I	MPF Investment Strategy; use of external fund managers; continuous review of all information sources;	2	5	10	every month	FIN IMP 2.11	

The me	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 (including code reference to outcomes framework)	Target Date
					standing item on monthly investment team meeting agenda						
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 month	FIN RI 3.3 FIN IMP 2.11	
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 month	FIN RI 3.3 FIN IMP 2.11	
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 month	Reciprocal agreements for service provision; further embed project management approach FIN IMP 2.7	
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 month	IT Services – review future Data Centre requirements with external assistance; implement Workforce Development Plan FIN NC 1.5; FIN IMP 2.6	
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	3	4	12	every month	Further embed project management approach; defined approach to authorisation and governance of projects	
4.2	Poor contract management e.g. pension fund	IEC	Maximum value not derived from contractors; n negative publicity (mistakes, poor	O	Defined project management approach; specific performance	3	4	12	every month	Further embed project management approach; further develop role of	

The me	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 (including code reference to outcomes framework)	Target Date
	mandates, partnership arrangements		service levels)		management arrangements for some contracts.					Corporate Procurement Unit FIN IMP 2.6	
4.3	Failure by Chief Officers to effectively control expenditure	IEC	Service and financial impact	F	Financial Strategy; regular review; scrutiny by Cabinet; responsibilities in Constitution; monthly member statement	3	4	12	every month	FIN RI 3.3	
4.4	Major failure in data security	SR	Reputational risk	O	Communications policy; dedicated press/PR officer	2	5	10	every month	FIN RI 3.4; FIN NC 1.5 (personal data aspect)	
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	Defined project management approach	3	4	12	every month	FIN IMP 2.6	

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5.5.2 Wirral Council - Corporate Risk Register – November 2008

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

No.	Description	Officer Responsible	Gross Score	Risk	Net Risk Score	Additional Control Action Planned in 2008/09 (including code reference to outcomes framework)
3.	Key Council services are not resilient to disruption and business continuity arrangements are inadequate.	Chief Officers' Management Team (COMT)	5 x 5 = 25		2 x 4 = 8	<ul style="list-style-type: none"> ICT Strategy and Development Plan - FIN IMP 2.3
5.	The Council does not maintain arrangements for good corporate governance.	Stephen Maddox	5 x 5 = 25		2 x 5 = 10	<ul style="list-style-type: none"> Implement enhanced risk-based audit programme – FIN RI 3.2 Produce annual governance statement Deliver risk management training for Members Review corporate risk management strategy – FIN RI 3.1

No.	Description	Officer Responsible	Gross Risk Score	Net Risk Score	Additional Control Action Planned in 2008/09 (including code reference to outcomes framework)
7.	Failure to achieve sustainable budgets, in line with priorities and take difficult decisions.	Chief Officers Management Team (COMT)	5 x 5 = 25	2 x 5 = 10	<ul style="list-style-type: none"> Identify specific projects for investment Refine / review financial management report content Review Medium Term Financial Plan – FIN RI 3.3 Review Capital Strategy - FIN IMP 2.4
8.	The strategies supporting our key priorities are not executed effectively.	Chief Officers Management Team (COMT)	5 x 5 = 25	2 x 5 = 10	<ul style="list-style-type: none"> Undertake review of individual strategies
9.	Partnerships are not well planned and we do not work effectively with others.	Jim Wilkie	5 x 5 = 25	2 x 5 = 10	<ul style="list-style-type: none"> Deliver enhanced guidance and training regarding grants
12.	We do not fully exploit all available resources, including technology.	Chief Officers (COMT)	4 x 5 = 20	2 x 4 = 8	<ul style="list-style-type: none"> Undertake review of individual strategies Further integration of key strategies and plans
14.	Failure to plan and manage performance (CPA) and finances in accordance with plans and budgets.	Individual Chief Officers	5 x 5 = 25	3 x 4 = 12	<ul style="list-style-type: none"> Implement Use of Resources Action Plan – FIN IMP 2.2
16.	Major error in investments and administration of Merseyside Pension Fund.	Ian Coleman	4 x 5 = 20	2 x 5 = 10	<ul style="list-style-type: none"> Update Statement of Investment Principles Implement Investment Accounting software Governance representation FIN IMP 2.11
24.	Economic volatility and a downturn in the economy impacts on the Council's financial management and investment priorities	Ian Coleman	5 x 5 = 25	3 x 5 = 15	<ul style="list-style-type: none"> Review treasury management policies Enhance monitoring of key budget areas Invest in lower risk / lower return areas FIN RI 3.3
29.	Serious failure in information governance				<ul style="list-style-type: none"> Government Connect in place – FIN NC 1.5