

Report to: Audit, Governance and Improvement Review Committee

Date: 31st January 2008

Subject: Finance & IT Department, 2007/8 Service Plan Update, Quarter 3

Report of: Director of Finance & IT

Contact officer: David Smith 01942 827232
Martyn Kenyon 01942 827550

Purpose / summary: To provide Members with an update on the Department's performance for 2007/8 (3rd Quarter)

Alternative options considered and reason for selecting the one recommended: No alternatives, for information only

Recommendation / decision: Members note the report

Key Decision: This report does not involve a key decision. The decision made as a result of this report will be published within **48 hours** and cannot be actioned until **seven working days** have elapsed, i.e. before 12th February 2008

Risks / Implications:

Financial:	High performance contributes to effective service delivery, good value for money, effective governance and the "Use of Resources" CPA rating
Staffing:	None
Policy:	None
Equal Opportunities - Has a Diversity Impact Assessment been conducted?	No impact
Wards affected:	None

Property Implications– Does the proposal involve a reduction, addition or change to the Council’s asset base or its occupation?

No

If yes have the property implications been agreed with the Corporate Property officer?

N/A

Does this proposal have significant implications for the Council and the local population?

A diversity impact assessment is not necessary at this stage, however, equality and diversity implications have been considered when producing this report.

Does this proposal involve a new policy or procedure or significant changes to an existing policy or procedure?

Has the Director of Legal and Property Services confirmed that the recommendations within this report are lawful and comply with the Council’s Constitution?

Yes / *

Has the Director of Finance and IT confirmed that any expenditure referred to within this report is consistent with the Council’s budget?

N/A *

Are any of the recommendations within this report contrary to the Policy Framework of the Council?

No *

* delete which applicable

For Cabinet reports only :

Categorisation of the report:	X		X
Discussion leading to a decision		Discussion	
Monitoring		Decision	
Sharing for corporate understanding		Information	

Tracking/Process:

	Consultation	Ward Members	Partners
Panel	Overview & Scrutiny	Cabinet	Council

There are no Background Papers to this Report within the meaning of Section 100D of the Local Government Act 1972.

Proper Officer

David Smith, Director
of Business Support
Services

Date

14th January 2008



Wigan Council

Finance & IT Department

Departmental Plan

2007/08

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A message from the Leader and Chief Executive

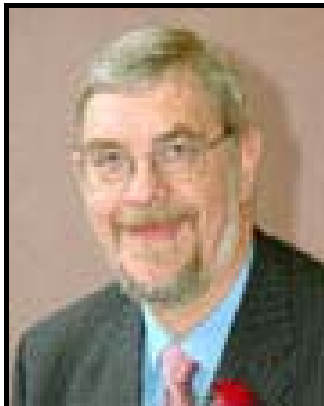
Welcome to the Finance and Information Technology (IT) Service Plan.

It shows how the Finance & IT Department contributes to the overall Council Vision, how they focus on customers, the resources used, key performance measures and tasks and risks managed.

Wigan Council has set four overall council priorities for 2007-08. These apply across all our services and this plan also shows how the Finance and IT department is acting on them. The priorities are:

- Focusing on borough wide priorities shared with our partners
- Renewing our focus on customers, including equality and diversity
- Joining up service better to meet customer needs
- Pursuing value for money in delivering services

We hope you find this plan useful.



*Cllr Peter Smith
Leader of the Council*



*Joyce Redfearn
Chief Executive*

Wigan Council's Vision, Purpose and Values

The Council's **Vision** describes where we want to be in the future.

Building the future together – a place where people matter and you can afford to live the kind of life you want.

- **Helping people reach their full potential**
- **Building strong communities**
- **Places people want to live**

These are supported by a range of objectives, as shown on the next page. This also shows three key internal drivers for delivering the Vision – effective community leadership, high standards of corporate governance and excellent service performance.

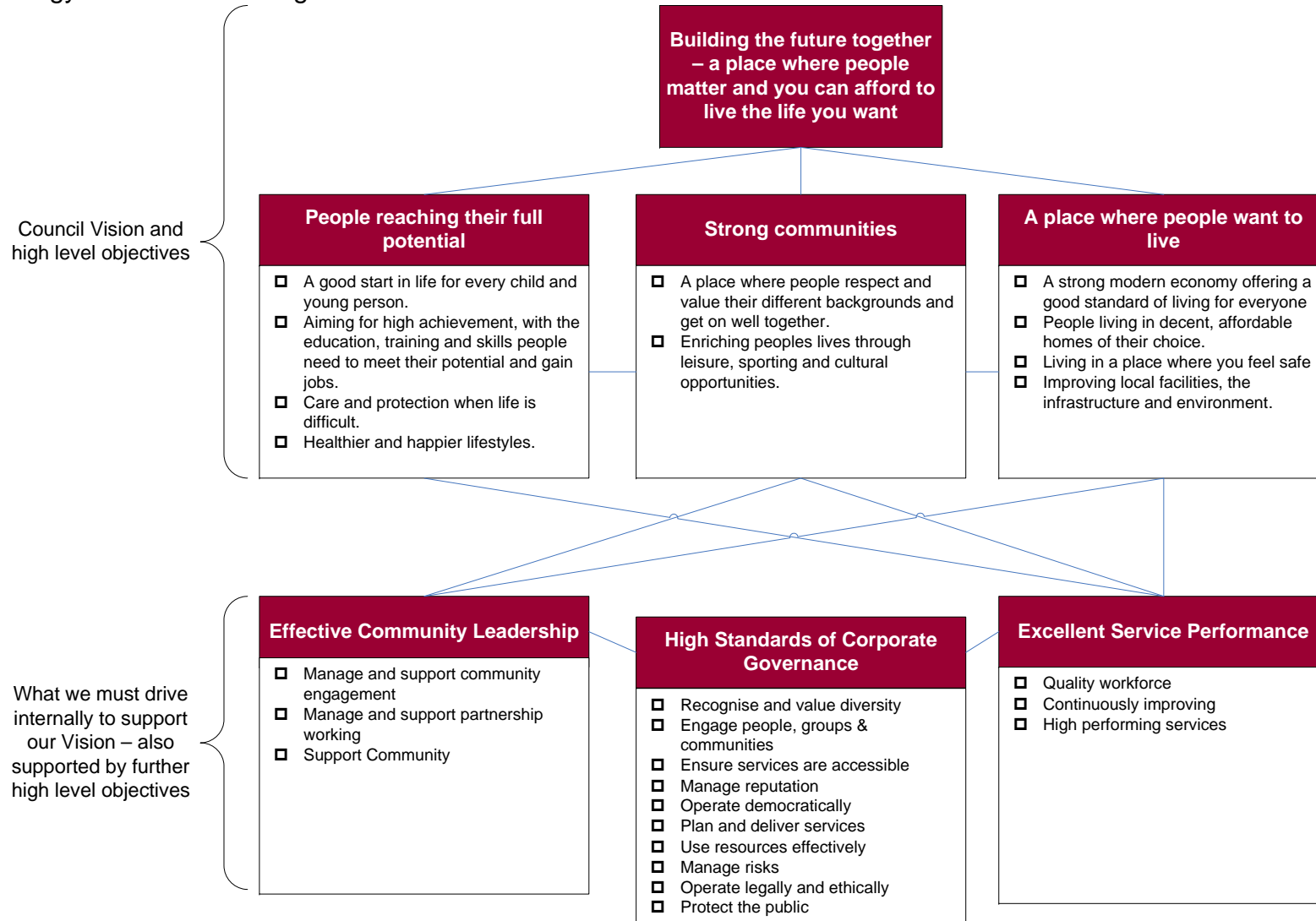
Our **Purpose** describes our role in making that Vision happen. **We think our Purpose is to listen, lead and perform:**

- **listen** to local people, understand what affects the borough and use that information to prioritise what we do.
- **lead** the community by helping people and organisations to work in partnership for the good of the whole borough.
- **perform** to the high standards people expect of us and make sure that excellent services are available to meet local needs.

Our **Values** describe the expectations of how we will behave:

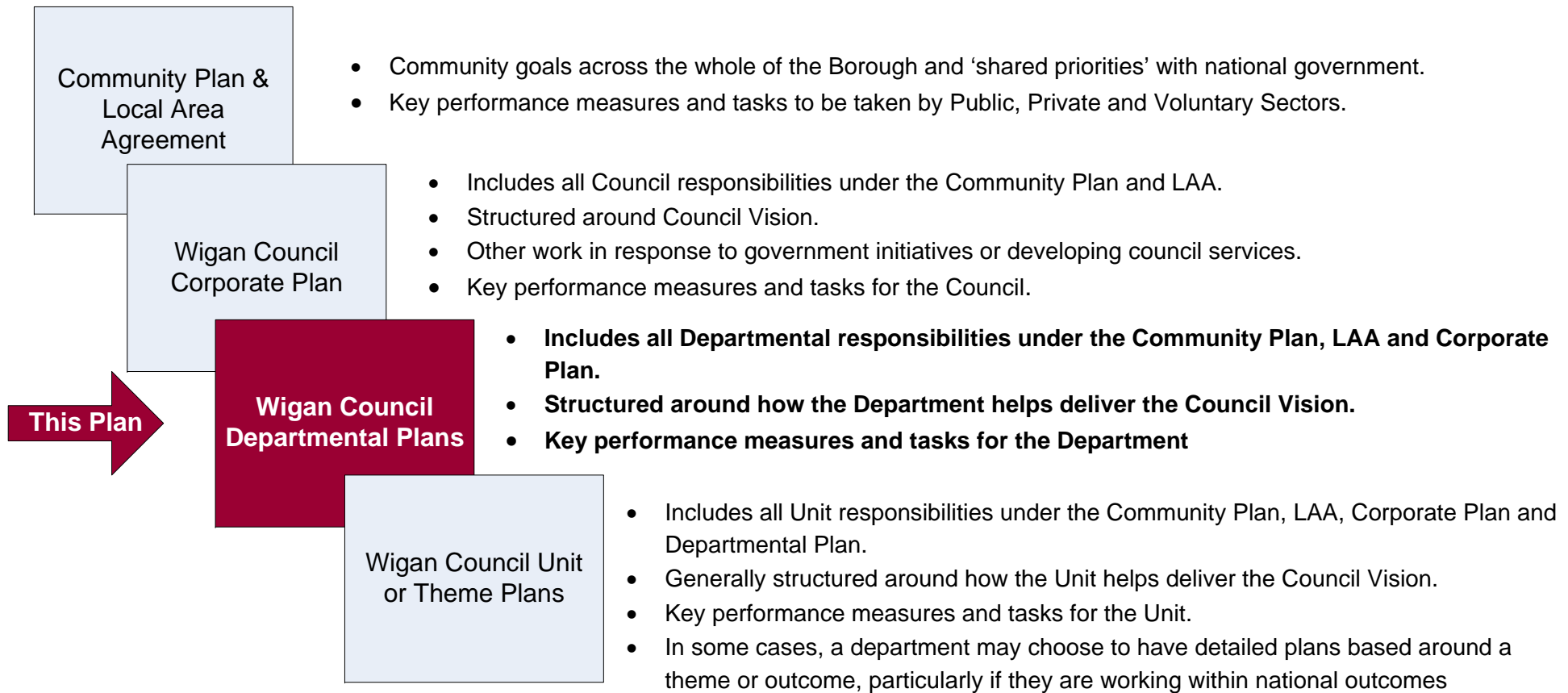
Leading by example	Setting high standards	Open and honest	Focusing on performance
We encourage people to be actively involved in society and take responsibility for themselves.	We are responsible to, and answer to, the Government, those who use our services and the whole community.	We are honest about what we can and cannot do	We design our services around customers' needs and improve them whenever we can.
We promote a society where people from different backgrounds are all involved, respected and get on well.	Everything we do is legal and ethical.	We listen to, and regularly and honestly communicate with, local people and our employees.	Our decisions are based on evidence of what does and does not work.
	We value, develop and protect our employees so they can deliver the best possible services.	We are open to the views of local people and our employees	We constantly learn from our performance.
	We recognise the contributions made by our employees and partners	We are willing to learn from our experiences and from others outside the Council.	We use our resources effectively to provide good value for money

All Wigan Council services and plans link to this Vision through a 'golden thread'. This, in turn, links through to Wigan Borough's Community Strategy and Local Area Agreement.



Wigan Council's planning framework

It is important that we plan effectively to communicate priorities to our employees and local people. Plans are also the basis for managing our performance. Our Plans operate at four levels, working together to form a Golden Thread linking everyday actions to our long term Council Vision that, in turn, links to the Community Plan and Local Area Agreement. These plans are also a major influence on employee development. Wigan Council is accredited to the Investor in People Standard and our employees are developed within the context of what they will be expected to achieve as set out in these plans.



Introduction from the Director of Finance & Information Technology

Last year's (2006/7) Service Plan and Key Task planning underwent a further transformation as the Plans for each Department were reformatted in line with a corporate style to provide clear links between each Department's aims and objectives with those of the Council as a whole. In addition there is a greater emphasis on performance management along with a more detailed analysis of the factors which can affect our performance, including a comprehensive register of the risks we face.

The aim of the Service Plan is to help everybody in Finance and IT to put their work in context and give a greater awareness of the links that exist with the work of other Departments and how the work we undertake impacts on the community. Staff and customers can clearly link the Council's vision through the Community Plan to our Departmental Service Plan, and the services that we provide. This linking has been termed "*the Golden Thread*" and the process has been adopted across the Council. During the year we will continue to work with all our employees to improve the plan. Each Assistant Director will work with their teams to communicate and share the messages and take on board comments to help the document to become a more inclusive product.

The work of our Department is very "task driven" as can be seen from the Key Tasks in Part B. Many of us work to an annual cycle of deadlines and performance measures. Whilst these may seem "routine" at first sight, it is clear that all of our activities include substantial elements of continuous improvement work, project development and implementation to achieve high quality service delivery in the most efficient and economic ways.

The Support Services Review is intended to integrate the work of finance and IT teams from across the Council, which will have a significant impact on the way we work. It will contribute to the achievement of joining up services and pursuing value for money. As such, many of the issues within this plan are simply a continuance of the ongoing functions within the Department to ensure Statutory obligations continue to be met, and the high standards established throughout the Department are maintained. This will apply until the revised structures and working methods are established.

In the meantime, the Department continues to make a key contribution to the Council's excellent status. We are all proud of this. This plan is about how we will maintain excellence and continue to strive for an outstanding service.

David J. Smith

Director of Finance & IT
May 2007

How Finance and IT Department contributes to achieving the Council's Vision

The Council's Vision



The Council's High Level Objectives



Finance and IT Objectives



Focusing on customers

The Department's customers fall into any number of categories. Sometimes the same person or business may be in two or more categories. The Department has the largest public customer base in the Council. It deals with all Council Taxpayers – around 135,000 + all local business rate payers – 8,600. It pays all the Council's employees – 13,000 and some Partner Organisations such as Wigan & Leigh Housing and the Leisure Trust, deals with 36,000 benefit claimants and 6,000 suppliers. It accounts for over 2,000,000 bill payments every year. It raises bills on individuals and businesses for a range of Council services such as Adult Services care charges, rents, hire of facilities, and recharge of work carried out. Annually 27,000 bills are raised with a value of £45m.

The Department also provides financial and IT services for all the other departments of the Council. It assists them in providing their services to their customers and in managing their budgets. The section supports over 4,000 PCs together with related printers, server networks and software applications.

The Department has other organisational and business customers: -

- Elected Members – professional review of the financial implications of all areas of Council business (as reported to Members), payment of allowances, provision of IT facilities and general advice and support on enquiries, complaints and surgery enquiries.
- Greater Manchester Fire Authority – the Director of Finance is also the Treasurer of the Fire Authority and discharges the statutory duties of the finance officer
- Government Departments who want financial returns and grant claims,
- the Audit Commission who audit our Statement of Accounts, Grant Claims and internal control mechanisms.
- the organisations who lend to us or borrow money from us on short term basis,
- the Council partners and external organisations for whom we provide services such as payroll and allied accounting, insurance and audit services, from large such as the Leisure Trust and Wigan & Leigh Housing to small After School Clubs.
- Voluntary Organisations such as Citizen's Advice Bureau and Wigan Independent Advice Centre
- Association of Greater Manchester Authorities – the Director of Finance and IT is also the Treasurer of AGMA.

We engage with our customers in many ways -: -

- Formal reports and correspondence
- Information leaflets re council finances (with Council tax bills)
- Website information – the Department has a number of documents on its web site relating to its activities. This plan will be placed there in due course.

- Meetings and minutes
- Questionnaires (Citizens Charter Mark) – all Council tax bills include a “Customer Contract & Survey Form” which sets out service standards on replying to letters, answering the telephone. Additionally surveys are conducted in the cashiers’ hall on services provided. A Benefit Service customer survey was carried out in 2006/7 and the results will be incorporated into our working practices. An annual Revenues satisfaction survey is carried out across Greater Manchester.
- Internal working groups
- External agencies – Citizens Advice Bureau, Department for Work and Pensions, Valuation Office Agency
- For the Revenues and Benefits sections dealing with the public, road shows explaining our work are held in supermarkets, colleges and health centres. Staff also attend a Revenues & Benefits surgeries at the Department of Work & Pensions Offices and at Leigh Town Hall and some Housing offices.
- The Final Accounts and Budget Booklets now contain a questionnaire seeking the views of stakeholders on the content, language and format as we seek to make improvements in future year publications.
- The Statement of Accounts is now also published in summary form and focus groups of employees and the public have met, and feedback from them has resulted in a number of improvements being made.
- We participate in a Society of IT Managers’ user satisfaction survey every two years

Specifically our Revenues and Benefits sections carry out regular and formal consultation with their customers. In part this is a requirement of the Benefits Performance Standards Framework that we must work to, but also reflects the importance the Department has placed on customer awareness. The Sections have been awarded the Government’s Charter Mark award on three occasions to recognise their customer care procedures. This award was renewed in August 2006.

Each year since 2003, the Benefits Section has featured in the Council’s “Team of the Year” awards, being recognised under various categories such as Achievement, Innovation and Value for Money. The debtors team also achieved recognition in the 2007 awards for their work on demonstrating value for money in service delivery

Equality and Diversity issues

The department is committed to the Council's goal of reaching Level 3 of the Equality Standard for Local Government and it’s obligations under the Race Equality Scheme and Disability Discrimination Act. Specific resources have been allocated to meet these commitments.

All staff at the Council Tax Offices have attended the equal opportunities and diversity course. Staff training will continue this year with the Wigan Middle Manager programme. Also training in hate crime awareness, enhanced customer services and other equality and diversity issues. This is monitored on an annual basis through the staff development process (EDR).

- A member of the Departmental Management Team has responsibility for equality and diversity issues. The Council has in place a

diversity officer who is also responsible for raising and maintaining awareness in relation to hate crime. The management team and department diversity group monitor our progress against the Equality Standard.

- Staff attend several diverse group meetings such as BME, Asylum Seekers, Disabled and young people's groups. This helps build links with the community and give staff an understanding of the difficulties these groups face.
- The Benefits Section has been awarded the Royal National Institute for Deaf People (RNID) *Louder than Words* Charter which is a quality standard award for services amongst the deaf community.
- The public areas at the Civic Centre and Council Tax Offices have been adapted wherever possible to improve accessibility through the use of ramps, sliding doors, lowered counters, hearing loops, visual fire alarms, amplified freephones and toilet facilities. Some of these facilities have been designed as a direct result of customer comments.
- The Council's web site is designed to national accessibility standards including speech enabled technology
- The Revenues and Benefits section assess their input and impact on the local community annually and produce a report of their supportive community activities.

Customer feedback

The feedback from customer surveys, questionnaires, exit interviews etc. is largely positive. Replies are recorded so that external assessors can check the reality of customer perceptions and views. The Revenues' and Benefits' Sections keep a "Thank You" file which is available for such inspection.

Resources

Staffing (April 2007)

	Finance & IT	% of Wigan Council	
Total employees	377	2.9%	Figures from 2007/8 "manpower statement"
fte	337		
	Finance & IT	Wigan Council	Comments
Sickness absence (total for 2006/7)	3.5%	5.72%	Lower sickness levels than for the Council as a whole
Long term sickness	1.9%	3.4%	
Short term sickness	1.6%	2.3%	
Full Time	76%	50%	A lower proportion of part time workers than the council as a whole
Part Time	24%	50%	
Permanent	98%	86%	A lower proportion of temporary contracts than the council as a whole
Temporary	2%	14%	
Female	65%	72%	A higher proportion of male employees than the council as a whole.
Male	35%	28%	
Disabled	2%	1%	A higher proportion of employees with a disability than the council as a whole
Ethnic minority	4%	1%	A higher proportion of employees from ethnic minorities than the council as a whole

Finances

- Money

The department's budget for 2007/08 is summarised here.

	Employee costs	Other Costs	Estimate 2007/08
Expenditure	£'m	£'m	£'m
Finance Dept. Units	3.962	1.691	5.653
Computer Section	2.077	1.132	3.209
Telecommunication Section	0.081	0.641	0.722
Central services – Local Tax Collection	1.642	3.015	4.657
Central Services - Benefits	2.628	22.182	24.810
Gross expenditure	<u>10.390</u>	<u>28.661</u>	<u>39.051</u>

	Estimate 2007/08
	£'m
Income (excluding recharges to other services)	
Finance Dept. Units	0.532
Computer Section	0.282
Telecommunication Section	0.087
Central services – Local Tax Collection	2.982
Central Services – Benefits	<u>24.046</u>
Gross Income	<u>27.929</u>
Net cost before recharges to other services	<u>11.122</u>
Net cost as % of Council's net budget (£218.2m)	<u>5.1%</u>

The Department's operating budget of itself does not do justice to the totality of the expenditure and income, which ultimately we account for and control.

Property

The Department is based in two buildings – Civic Centre in Wigan and the Council Tax Offices at Whelley.

Civic Centre – There is general pressure on accommodation within the building that we share with the Social Services Department. As a result of staff moving to form the Corporate Support Team in the Chief Executive's Office we have released office space to Social Services colleagues to alleviate the pressure on their accommodation.

The Department has contributed from its own funds to upgrade the accommodation. More recently the toilets have all been completely refurbished and secondary glazing installed at the Civic Centre to reduce heat loss and the noise of the now largely completed Grand Arcade Construction Scheme. In addition there has been some internal decoration and new lighting fitted as a result of staff suggestions.

Council Tax Offices – these offices located in a predominantly residential area have proved vulnerable to malicious damage and anti-social behaviour. A security presence is employed to protect the premises outside business hours.

The Department has had a stated long term objective of a single site accommodation. The Council has plans to rationalise accommodation in the Town Centre through the Joint Service Centre project, and this may assist. Plans will also be influenced by the Support Services Review.

Risks;

The main risks to the buildings which could affect business continuity are summarised as ;

- Catastrophic damage ensuing from extreme weather conditions, terrorist attack or other malicious or accidental damage
- Loss of energy or water supplies due to construction works by external or internal contractors.
- Denial of access to buildings by accidental or malicious damage or industrial dispute or other organised protest or blockade.

Whilst these may be considered to be Low risk in terms of the likelihood of such an incident, the impact would potentially be High so business continuity plans are being developed to help ensure minimal disruption of those areas identified as high priority.

Information

The Department's delivery of services to the public and other services is absolutely dependent on receiving, storing and retrieving accurate, up-to-date and complete information whether this be financial or otherwise.

The public facing services (Council Tax, Benefits, Business Rates, Income collection and recovery, Payments to suppliers) rely on quality information to be provided by their customers by means of standardised forms, invoices, and increasingly data provided via internet, file imports and other electronic media. The Department puts great effort into validating and quality assuring information received from all these sources by cross checking with other sources wherever possible. It must also make safe and efficient arrangements to store information, much of which is personal and confidential. Much of this data is held in application systems which require structured back up and secure storage arrangements. Within Revenues and Benefits, the Department employs electronic document management systems to provide secure and efficient storage and retrieval facilities. Elsewhere traditional filing systems are still in evidence with document retention policies assisted by off site storage to reduce demands on accommodation.

The Department publishes a great deal of financial information much of which is required by law. Major documents such as the Statement of Final Accounts and budgets are available on the Council's web site. Internal communications, policies and procedures in accounting manuals etc. are also available to all staff via the intranet. Annual reviews are designed to ensure that information is kept up to date and responds to changing circumstances such as revisions of Accounting Practices, statutory requirements and organisational policy developments.

Technology

The Department is an intensive user of IT and Communication technology. The Council's financial systems are all computer based and virtually all staff in the Department use desk top PC's to access corporate applications. In addition most staff use personal computing software (Microsoft Office) to create spreadsheets and other documents. The reliability of machines and networks is therefore critical to the Department's efficiency & effectiveness in delivering its Core and Key tasks.

The IT & Communications section has the wider remit of ensuring that appropriate IT facilities are available for all the Council Departments who need them to deliver their services, and increasingly of providing IT facilities to the public and partner organisations.

The high risks associated with the provision of technology are outlined in Part B but can be summarised as ;

- Recruiting & retaining suitably skilled staff
- Protecting the physical environment from major disruption such as power failures, fire, water damage and normal deterioration.
- Protecting the software applications and operating systems from damage by virus or hackers or other malevolent or negligent interference.
- Obsolescence of older software – not supported by suppliers.
- Performance of suppliers to ensure both high performance and availability of systems as per contracted standards.

Work is constantly being carried out to ensure that IT facilities are robust. This has included a new Stand by Generator, a rationalisation of the Server racking, power supply and physical layout and a study by consultants to review the Disaster Recovery arrangements for all the Council's corporate and Departmental key systems. One outcome of this is the current work to develop and maintain the backup site in Lowton to provide dual-site resilience which supports the Corporate Business Continuity Management process. Work has also been carried out to replace the air conditioning units in the IT suite to maintain optimum working conditions for the IT equipment.

Suppliers

The Department relies on a number of key suppliers in order to deliver its services. The major suppliers are :

- Application software suppliers – Agresso (corporate financials), Spectrum (Cash receipting) Cedar (payroll), Comino (Electronic Document Management), Bottomline (cheque printing & BACS payment software), Anite (Business Rates), Debitwise (Direct Debit management & File submission)
- Hardware suppliers – Bull (mainframe and servers), HP (printers) BT & Telewest
- Hardware engineering services – ServiceTec
- Web Performance Monitoring – Axzona
- Printing and distribution of bulk documents - Halcyon (Council Tax & Business Rate bills & annual Benefit notifications)
- Payment facilities – Alliance & Leicester/Post Office (bill payments & payment cards), Paypoint (bill payments), WorldPay (internet payments), Servebase (digital telephone payments)
- Banking facilities – Co-op Bank & HSBC, Securitas (cash collection & deposit)
- Treasury management advisors and Insurance providers and advisors – Sector, Zurich Municipal, Marsh,
- Scanning and Image hosting – Graphic Data Online
- Firewall management - NVIRON

These partnerships are managed in a number of ways, principally by regular scheduled meetings with customer care or account managers. The frequency of meetings depends very much on the criticality of the business relationship to day to day operations or to strategic improvement plans.

Performance and Value for Money

- **Excellent Service Performance**







The assessment of the Department's performance contributes to the Council's overall CPA assessment

In 2005 the Department's work was assessed against the following areas under the "Harder Test" Comprehensive Performance Assessment and was awarded an aggregate score of 3 ("performing well") for its performance. The improvement areas identified were acted upon and this was reflected in the 2006 Assessment where a top score of 4 was awarded. The requirements of the assessment are further updated each year to present "an even harder test" which provides additional areas for improvement each year. These are pursued where practicable, with support from the External Auditors and elected Members. Despite the enhanced requirements, the changes each year in the scores for the various elements in the Assessment provide a clear demonstration of continuous improvement within the Council's financial management and governance arrangements

Use of Resources Assessment					
Review Areas	Individual Review Area Elements		2005 score	2006 score	2007 score
1. Financial Reporting	1.1	The Council produces annual accounts in accordance with relevant standards and timetables, supported by comprehensive working papers	3	3	4
	1.2	The council promotes external accountability	2	3	4
		score	3	3	4
2. Financial Management	2.1	The Council's medium-term financial strategy, budgets and capital programme are soundly based and designed to deliver its strategic priorities	3	4	4
	2.2	The Council manages performance against budgets	3	4	4
	2.3	The Council manages its asset base	3	3	3
		score	3	4	4
3. Financial Standing	3.1	The Council Manages its spending within the available resources	3	3	3
4. Internal Control	4.1	The Council Manages its significant business risks	3	4	4
	4.2	The Council has in place arrangements to maintain a sound system of internal control	3	3	4
	4.3	The Council has arrangements in place that are designed to promote probity and propriety in the conduct of its business	3	4	3
		score	3	4	4
5. Value for Money	5.1	The Council currently achieves good value for money	3	3	3
	5.2	The Council manages and improves value for money	2	3	3
		score	3	3	3
		Overall Score	3	4	4

Summary of 2007/8 performance- quarter 3, with commentary

- Preparation of the Final Accounts and supporting statements has been achieved within the statutory timescales, with no qualifications from the External Auditors. All have been reported to Members as scheduled.
- Major highlights of the year, are the **Use of Resources** and **Benefits Administration** CPA scores which provide, within a national framework, an independent verification of the high quality overall work of the Department. Both scores involve a higher scoring within the individual elements of the overall assessment and demonstrate a commitment towards continual improvement.

Key Performance Measures	CPA	(2005-06)		2006-07		2007-08		
		Target	Actual	Target	Actual	Target	Actual	
Use of Resources score	•	3	3 	-	3	 4	4	 4
Benefits Administration	•	3	3 	-	3	 3	3	 3

The definitions of these scores (per the Audit Commission) are:

Score 3	Consistently above minimum requirements – performing well
Score 4 (maximum)	Well above minimum requirements – performing strongly

Table 1 below provides a summary of our performance against our departmental Performance Indicators (PI's) for quarter 3 of this current year. For those indicators where the information is now available, it shows the proportion of our PIs that are better than target, on target or worse than target.

Table 1: Summary of Departmental Performance at quarter 3– 2007/8

Number of PI's where data is available for measuring	% better than target	% on target	% worse than target
			
12	33	50	17

- Targets have again been achieved in relation to the preparation of the Final Accounts and supporting Statement on Internal Control, within the statutory timescales. All have been reported to Members as scheduled.
- The majority of measurable PI's are currently on target for delivery.

Specific objectives




Key Performance Measures	Responsible Officer					comments			
		2006-07 target	2006-07 actual	Variance (symbol)	2003 results		2007/8 target	2007/8 Q3	On Target?
BV080a Benefit Svc satisfaction Contact	J Feeney	90%	80%	▲	83%	targets slightly optimistic but shows some improvements from previous survey and provides a benchmark for the resulting improvement work	No target as survey only done 3 yearly		
BV080e Benefit Svc Satisfaction Forms	J Feeney	90%	81%	▲	84%				
BV080b Benefit Svc Satisfaction Office	J Feeney	80%	81%	★	78%				
BV080c Benefit Svc Satisfaction Tel Svc	J Feeney	90%	84%	▲	82%				
BV080d Benefit Svc Satisfaction Staff	J Feeney	75%	66%	▲	66%				
BV080f Benefit Svc Satisfaction Speed	J Feeney	85%	72%	▲	72%				
BV080g Benefit Svc Satisfaction Overall	J Feeney	85%	81%	▲	77%				
BV078a Average time for new claims	J Feeney	30	34	▲	Slightly below target but performance has improved throughout the year	25	28	▲	
BV078b Average time for changes	J Feeney	9	11	▲		9	9	●	
BV079a % Benefit calculations correct	J Feeney	99	97	▲		99	99.2	★	

Key Performance Measures 2006/7 contd	Responsible Officer	2006/7 target	2006/7 actual	2006/7 On target ?	comments	2007/8 target	2007/8 Q3	2007/8 On Target?
BV076c Number of fraud investigations (per 1,000 caseload)	J Feeney	27	29.87	▲		37	20.73	●
BV076d Number of prosecutions & other sanctions (per 1,000 caseload)	J Feeney	3	4.94	★	Target for year already exceeded	4	4.99	★
	S. Clegg	100	89.9		Some improvements achieved. Further work ongoing via SSR and process re-engineering.	100	94	▲
BV008 Percentage of Invoices Paid on Time				▲				
BV009 Percentage of Council tax collected	A. Cartwright	97.3	96.9	●	Within 0.5% of target	97.3	84.8	●
	A. Cartwright	98	97.6	●	Within 0.5% of target	98	86.7	●
BV010 Percentage of Non-domestic Rates Collected								
Prepare Annual Statement of Accounts	S. Clegg	30/06/06	27/06/06	★	Targets achieved despite tighter timescales	30/06/07	28/06/07	★
& Statement of Internal Control	M. Kenyon	30/06/06	27/06/06	★		30/06/07	14/06/07	★
Publication of Audited Accounts	S. Clegg	30/09/06	30/09/06	★		30/09/07	Oct 07	●
Setting budget & Council Tax	D. Smith	28/02/07	28/2/07	●		28/02/08	-	-
Web Site Availability	P. Livesey	98	99.9	★		99	99.26	●

Key Tasks

Table 1 gives a summary of our progress against our key tasks for 2006/7 and also the current position as at quarter 1 -2007/8. These include the actions we need to take to help us manage the risks which may affect our success. They also include the equality and diversity related tasks.

Table 1: Summary of progress against tasks (including equality and diversity related tasks) at 2006/7 quarter 4 (full year) and quarter 3 -2007/8




Number of tasks	% ahead of schedule 		% on schedule 		% behind schedule 	
	2006/7 Full Year	2007/8 Qtr 3	2006/7 Full Year	2007/8 Qtr 3	2006/7 Full Year	2007/8 Qtr 3
52	0	0	95	98	5	2

Commentary on performance:

Most of the actions relate to the ongoing functions within the Department which are subject to continuous monitoring throughout the year through the weekly Departmental Management Team meetings, as a failure of any of these areas can cause disruption to services and have an adverse impact upon the CPA scoring.







Key Tasks for 2007/8

Quarter 2 performance has been steady with most tasks on target for completion within the given timescales. Most of the delays are linked to the wider work that is taking place in re-engineering of business processes

Task	Responsible Officer	Resources	Target end	Status Q3	Comments
<ul style="list-style-type: none"> Implement revised arrangements from the Support Services Review, ensuring maintenance of high standards of financial management and governance. 	All members of DMT	Within existing budget	31/03/08		FITD represented on SSR PM Board. Report to Cabinet on 14 th June 2007
<ul style="list-style-type: none"> Payment of all salaries & wages 	A.Taylor	Within existing budget	31/03/08		
<ul style="list-style-type: none"> Compliance with H.M. Revenue & Customs & DWP requirements 	A.Taylor	Within existing budget	31/03/08		

• Account for all deductions & ensure payment to agencies	A.Taylor	Within existing budget	31/03/08	●	
• Maintain and improve performance across the range of the new DWP performance standards and measures covering: Claims Administration, Security, User Focus and Resource Management	J Feeney	Within existing budget	31/03/08	●	
• Achieve DWP targets for intervention work	J Feeney	Within existing budget	31/03/08	●	
• Achieve DWP targets for fraud work	J Feeney	Within existing budget	31/03/08	●	
• Achieve DWP targets for claims processing	J Feeney	Within existing budget	31/03/08	●	
• Procurement and installation of a fully interactive electronic benefits claim form	J Feeney	Within existing budget	31/03/08	●	Development being enhanced from original specification
• Implement Local Housing Allowances for private tenants (new scheme, effective April 2008)	J.Feeney	Within existing budget	31/03/08	●	
• Roll out of the piloted mobile working for visiting officers	J Feeney	Within existing budget	30/09/07	●	Links to enhanced "hotspots" IT project
• Pilot and roll out of homeworking (Now forms part of corporate pilot scheme)	J Feeney	Within existing budget	31/03/07	●	Pilot started in Sept. 2006

Task	Responsible Officer	Resources	Target end	Status	Comments
<ul style="list-style-type: none"> Completion of Government returns, Grant Claims & VAT claims 	S. Clegg	Within existing budget	Various – compliance with statutory deadlines	●	Underpins stewardship and corporate governance
<ul style="list-style-type: none"> Maintaining financial stewardship, integrity of accounting transactions and reconciliations 	S. Clegg	Within existing budget	March 08	●	Essential to CPA assessments
<ul style="list-style-type: none"> Treasury Management – maximise rate of return on cash invested 	A. Taylor	Within existing budget	March 08	●	Measured against market rates
<ul style="list-style-type: none"> Cash Flow & Treasury Management- minimise balances held at the Bank. 	A. Taylor	Within existing budget	March 08	●	Maximises use of spare cash.
<ul style="list-style-type: none"> Continuous review of all major corporate systems to satisfaction of Audit Commission 	M. Kenyon	Within existing budget	March 08	●	Supports external audit assessments, reviews levels of fraud risk
<ul style="list-style-type: none"> Improving and supporting the risk management framework 	M. Kenyon	Within existing budget	March 08	●	
<ul style="list-style-type: none"> National fraud Initiatives (2 yearly process) 	J Feeney & M. Kenyon	Within existing budget	March 08	●	
<ul style="list-style-type: none"> Maintain & deliver corporate IT systems 	P. Livesey	Within existing budget	March 08	●	
<ul style="list-style-type: none"> Improvements in the Administration and Collection of Sundry Debt including Recovery of debt to agreed targets of age and value. 	S. Clegg	Within existing budget	March 08	●	Forms part of performance reporting
<ul style="list-style-type: none"> Complete roll out of purchasing module in the financial system for Wigan Council 	S. Clegg	Within existing budget	Now April 08	●	Links to progress of Support Services Review

Task	Responsible Officer	Resources	Target end	Status	Comments
<ul style="list-style-type: none"> Complete Implementation of PCB costing module in the financial system for Wigan Council 	S. Clegg	Within existing budget	March 08		PCB partially implemented and roll out to other areas underway
<ul style="list-style-type: none"> Agresso Improvement Agenda - continuous process – chart of accounts – asset register - fleet management – statement based debtors – development of systems administration 	S. Clegg	Within existing budget	March 2008 and annual review7		Chart of accounts circulated Nov 06. Other issues included in Support Services Review
<ul style="list-style-type: none"> Agresso major upgrade 5.5. undertake review of business benefits and best timing 	S. Clegg	Within existing budget	Review viability in Sept 08	Deferred to 2008/9	Using fire as pilot – but date slipped back due to project difficulties
<ul style="list-style-type: none"> Realign budgets and chart of accounts with organisational restructuring for Environmental Services and Support Services Review 	S. Clegg	Within existing budget	March 08		Details of restructure now finalised and will be reflected in 2008/9 budgets
<ul style="list-style-type: none"> Job Evaluation/Equal Pay Audit – support process of modelling and financial evaluation of options and results 	S. Clegg	Within existing budget	March 08		Project is ongoing, working with other LA's who are in similar position.
<ul style="list-style-type: none"> Reengineer back office processes to support efficient workflow arrangements for suppliers invoices 	S., Clegg	Within existing budget	March 08		To align with SSR and purchasing module roll out.
<ul style="list-style-type: none"> Production of an Annual Report 	S. Clegg	Within existing budget	Sept 07		Posted on website


Task	Responsible Officer	Resources	Target end	Status	Comments
• Develop use of Voice over Internet phones (VoIP) for Homeworkers	P. Livesey	Within existing budget	March 08	●	Included with homeworking pilot
• Install Wi-Fi (wireless) hotspots for Mobile Workers	P. Livesey	Within existing budget	Dec 07	●	Trial sites tested, piloting newer technology
• Disaster Recovery - fully install, document and test plan	P. Livesey	Within existing budget	Now march 2008	●	Working with Sunguard to define optimum recovery solutions
• Evaluate Products and Commission CRM Technologies and	P. Livesey	Within existing budget	March 08	●	Analysing business objectives and interviewing suppliers
• develop Sharepoint for collaborative working	P..Livesey	Within existing budget	March 08	●	Technology tested and now in use.
• Develop GIS web facilities to include wider range of datasets	P. Livesey	Within existing budget	March 08	●	Continuous project – now in internet
• Further Develop Mobile and Home working facilities	P. Livesey	Within existing budget	March 08	●	Continuous project
• Installation of Instant Messaging facilities	P. Livesey	Within existing budget	March 08	●	Test sites now being monitored
• Review corporate data back-up and recovery facilities	P.Livesey	Within existing budget	March 08	●	Major upgrade in 2006. Further enhancements also installed.
• Roll out of Automated Update Direct Debit Instruction Service (AUDDIS)	A. Cartwright	Within existing budget	Now March 08	●	Implementation schedule being prepared
• Implement Paperless Direct Debit (PDD)	A. Cartwright	Within existing budget	now march 08	●	
• Implement Bank Credit refund facility	A. Cartwright	Within existing budget	Now march 08	●	
• Tender for Cash in Transit Service	A. Cartwright	Within existing budget	Now march 08	Contract expired	
				▲	
Task	Responsible Officer	Resources	Target end	Status	Comments

• (new task) Updating of NNDR records to enable billing for empty properties	A.Cartwright	Within existing budget	March 08	Just commenced ●	Response to change in regulations
• Management of Departmental Budget	Departmental Management Team	Within existing budget	March 08	Continuing ●	Monthly monitoring reports considered and minuted.
• Support the process and develop a financial strategy for dealing with financial impacts of equal pay and job evaluation	Departmental Management Team	Within existing budget	March 08	Continuing ●	High risk
• Develop a departmental strategy for dealing with the anticipated effects of job evaluation	Departmental Management Team	Within existing budget	March 08	Continuing ●	High risk

Risk management and business continuity

This section identifies the major risks to delivering our plans, including ‘business continuity’ risks, and the tasks that control them.

General risks

Risk	Task	Responsible Officer	Resources	Target end	Status	Comments
Continuity of services and operations	Development of business continuity plans for those areas identified as “high risk”		Within existing budget		Links to Corporate Business Continuity Project	Some procedures documented but needs completion
	• Treasury Management	A.Taylor		31 st March 2008		
	• Payroll	A.Taylor				
	• Private Tenants	J. Feeney				
	• Network Infrastructure - components and support	P.Livesey				
	• IT Communications	P. Livesey P.Livesey				
	• IT Operations					

Equality and Diversity Action Plan 2007/08

Equality and diversity issue	Priority	Action planned	Responsible Officer	Resources	Target start	Target end	Comments / progress
Work towards attainment of the Equality Standard level 3	Medium	Carry out actions from level 2 assessment. Maintain effective monitoring of plan	Joe Feeney & Tom Hughes	DMT & assigned officers. Dept Diversity group.	August 2006	March 2008	The work carried out at level 2 will form the basis of the requirements of level 3. ●
Race Equality Scheme	High	Update scheme & ensure the department meets required standards	Tom Hughes	Staff	April 2006	March 2008	Work ongoing to ensure the profile of the E&D work is maintained ●
Training	Medium	Complete training of all front line staff in hate crime reporting. Implement Wigan "Middle Manager" and Team Leader programmes	Tom Hughes	Staff. AD's	April 2006	March 2008	The training has started and should be complete by the deadline. The "Wigan manager" was rolled out as part of the EDR process in 2006/7. ●
Complete Job Evaluation & Support Equal Pay review	High	Work with JE team, staff and managers to arrange interviews and ensure information is correct.	DMT	Within existing resources	April 2006	March 2008	The initial evaluation made reasonable progress but the Equal pay review and Support Services review have delayed the JE project. ●
Populate CPS with required information in line with Legislative changes.	Medium	Work with Corporate Personnel and sections to ensure we meet Equality compliance targets	Tom Hughes	HR, AD's	April 2006	March 2008	Work is ongoing to meet several different Legislative targets from Diversity to Health & Safety & DDA. This work is on target ●
Work towards meeting Equality BV targets In employment	Medium	Implement and support corporate procedures.	Tom Hughes	DMT & HR	April 2006	March 2008	Continuous process in conjunction with Corporate Personnel Services. ●

Finance & IT Department - Risk Register 2007/08

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Corporate	Catastrophic Damage to buildings, infrastructure or staff	Natural phenomenon Accidental Malicious attack	Complete loss of service delivery and functions Financial Loss Staff trauma	H	L	Security Policies Evacuation Procedures Risk assessments Business continuity plans Emergency plans	Event
Deptmntal	Key staff loss	Sickness Absence Retirement Other job	Service delivery/project completion Cost of cover Pressure on remaining staff + loss of expertise/experience	M/H	M	Sickness absence planning EDR Succession planning, Training, Recruitment & retention policies, Monitoring reports, Trainee recruitment	Event - sickness absence/notice etc.
Corporate	IT etc. system failures	Hardware or software failure. Supplier failure	loss of key data. Service & performance impact.	M/H	M	Supplier - contract conditions Compliance with standards. Continuity plans Disaster recovery policy, IT security policy.	Event
Corporate	Damage to IT communication networks	Malicious damage by Virus or hacker	loss of key data & e-mail service. Cost of restitution. Service delivery and public access facilities.	H	H	Firewalls & Anti virus software Protocols and policies Monitoring Tools Controls on access.	

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Dept & Corporate	Access to buildings restricted or denied	Damage (accidental or malicious) Industrial Dispute	Service delivery loss of key data. Meet legislative & performance standards	H	L	Custodian alerts Smoke detectors/alarms Risk assessments Out of hours security cover. Lightning conductors.	Event
Dept & Corporate	Loss of vital services - power & water	Work by Contractors (Grand Arcade)	Disruption to delivery of time critical services (e.g. payroll) demotivation of staff. Loss of key data. Health & safety issues.	H	M (last event in April 2005 no power for 12 hours)	UPS for central computing and other key operations. Use of other building facilities and disaster recovery plans.	Event
Dept & Corporate	Unscheduled or unplanned additional work impacting upon Departmental capacity.	Generated by other Department or Partners - Legislative changes System changes	Service delivery Inability to meet legislative & performance requirements reduced/lost accreditation inability to respond to partner organisation/dept	H	L	Planning Communication with other Departments and professional bodies, Project management Risk assessment SLA's marketing services	Event

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Dept & Corporate	Fraud	Internal or external fraud & corruption	Financial loss damage to integrity CPA assessment downgrade	M	M/H	Internal control systems Anti-fraud and corruption policy statement. Codes of conduct. Employee protocol. Whistleblowing policy. Prosecution policy. Internal Audit. External Audit. Verification Framework.	Event
Dept & Corporate	Loss of key suppliers	Suppliers go out of business, sell business, lose key staff, suffer damage etc.	service delivery loss of key systems & data. Meeting legislative & performance standards. Accreditation, & financial losses	M/H	H (NNDR system replaced in 2004/05)	Financial vetting of suppliers. Suppliers' disaster recovery/contingency plans. Alternative suppliers/facilities. Regular supplier meetings. Use of own staff if expertise etc. available.	Event or market intelligence
Dept & Corporate	Professional misjudgement of critical business issue	Incorrect business decision leading to financial loss	Financial Loss. Loss of accreditation and CPA ranking. failure to meet legal requirements or performance standards. Loss of reputation and integrity	H	M	Training and qualification of key staff Supported decision making (checklists, independent proofing & documentation) Reporting of critical business decisions Filling/Covering key vacancies	

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Dept & Corporate	Government legislative & policy changes	Local authority structures or functions. Balance of Funding effect on CT & Benefits	Reduce costs, or build capacity. Amend or replace systems to ensure compatibility and new outputs	H/M	L	Planning & Intelligence gathering on Government policy statements CIPFA Euro Forum & Treasury Euro changeover publications LGA bulletins	Policy announcements
Dept & Corporate	Failure to achieve prescribed standards and targets, timetables, performance Indicators	Final Accounts deadlines, Benefits Performance standards, E-govt targets External Audit Standards	Qualification of Accounts impact on CPA assessments Repayment of IEG grant Loss of Benefit initiative funding/levy of penalties Adverse external Audit /Inspectorate criticism potential additional audit fees	H	M	Detailed actions plans Regular monitoring of progress Taking necessary corrective action Quality assurance work GM Benchmarking & sharing best practice	

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Corporate	Equal Pay claims	Financial impact on Council and partners	Service cuts, reduction in balances, loss of staff, industrial action, loss of reputation	M/H	H	Input from FITD staff into equal pay settlements. development of financial strategy to deal with the situation	Likelihood is high so remedial action commenced
Dept & Corporate	job evaluation	Financial impact and major staff relations problems	Corp: Service cuts, reduction in balances, loss of reputation, industrial action. Dept: loss of staff, reduction in staff morale	H	H	Input from FITD staff into financial modelling. Develop strategy to deal with anticipated impact within the dept	Likelihood is high so remedial action commenced
Dept & Corporate	Major capital schemes	Project overspends, problems with project funding	Poor VFM with capital resources, delays to other capital schemes	H	H	Involvement of senior FITD staff in project monitoring and management	Variations in: project schedule, spending against budget, funding availability
Corporate	Impact of Support services review	Disruption of Internal control arrangements,	Reduced effectiveness of financial management arrangements, adverse impact on CPA	H	H	Involvement of senior FITD staff in Support Services Review	Deterioration in financial management standards, external auditors comments
Dept & Corporate	External economic & political factors	Effect of national /global economic performance Changes in Government	Financial loss (treasury management functions). Threat to budget stability and forecasts. Damage to reputation	H	L/M	Intelligence gathering. Prudent forecasting, balances & reserves.	Event

		. Loss of key partners for business or economic reasons					
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Report to: Audit, Governance and Improvement Review Committee

Date: 31st January 2008

Subject: Finance & IT Department, 2007/8 Service Plan Update, Quarter 3

Report of: Director of Finance & IT

Contact officer: David Smith 01942 827232
Martyn Kenyon 01942 827550

Purpose / summary: To provide Members with an update on the Department's performance for 2007/8 (3rd Quarter)

Alternative options considered and reason for selecting the one recommended: No alternatives, for information only

Recommendation / decision: Members note the report

Key Decision: This report does not involve a key decision. The decision made as a result of this report will be published within **48 hours** and cannot be actioned until **seven working days** have elapsed, i.e. before 12th February 2008

Risks / Implications:

Financial:	High performance contributes to effective service delivery, good value for money, effective governance and the "Use of Resources" CPA rating
Staffing:	None
Policy:	None
Equal Opportunities - Has a Diversity Impact Assessment been conducted?	No impact
Wards affected:	None

Property Implications– Does the proposal involve a reduction, addition or change to the Council’s asset base or its occupation?

No

If yes have the property implications been agreed with the Corporate Property officer?

N/A

Does this proposal have significant implications for the Council and the local population?

A diversity impact assessment is not necessary at this stage, however, equality and diversity implications have been considered when producing this report.

Does this proposal involve a new policy or procedure or significant changes to an existing policy or procedure?

Has the Director of Legal and Property Services confirmed that the recommendations within this report are lawful and comply with the Council's Constitution?

Yes / *

Has the Director of Finance and IT confirmed that any expenditure referred to within this report is consistent with the Council’s budget?

N/A *

Are any of the recommendations within this report contrary to the Policy Framework of the Council?

No *

* delete which applicable

For Cabinet reports only :

Categorisation of the report:	X		X
Discussion leading to a decision		Discussion	
Monitoring		Decision	
Sharing for corporate understanding		Information	

Tracking/Process:

	Consultation	Ward Members	Partners
Panel	Overview & Scrutiny	Cabinet	Council

There are no Background Papers to this Report within the meaning of Section 100D of the Local Government Act 1972.

Proper Officer David Smith, Director
of Business Support
Services

Date 14th January 2008



Wigan Council

Finance & IT Department

Departmental Plan

2007/08

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A message from the Leader and Chief Executive

Welcome to the Finance and Information Technology (IT) Service Plan.

It shows how the Finance & IT Department contributes to the overall Council Vision, how they focus on customers, the resources used, key performance measures and tasks and risks managed.

Wigan Council has set four overall council priorities for 2007-08. These apply across all our services and this plan also shows how the Finance and IT department is acting on them. The priorities are:

- Focusing on borough wide priorities shared with our partners
- Renewing our focus on customers, including equality and diversity
- Joining up service better to meet customer needs
- Pursuing value for money in delivering services

We hope you find this plan useful.



*Cllr Peter Smith
Leader of the Council*



*Joyce Redfearn
Chief Executive*

Wigan Council’s Vision, Purpose and Values

The Council’s **Vision** describes where we want to be in the future.

Building the future together – a place where people matter and you can afford to live the kind of life you want.

- **Helping people reach their full potential**
- **Building strong communities**
- **Places people want to live**

These are supported by a range of objectives, as shown on the next page. This also shows three key internal drivers for delivering the Vision – effective community leadership, high standards of corporate governance and excellent service performance.

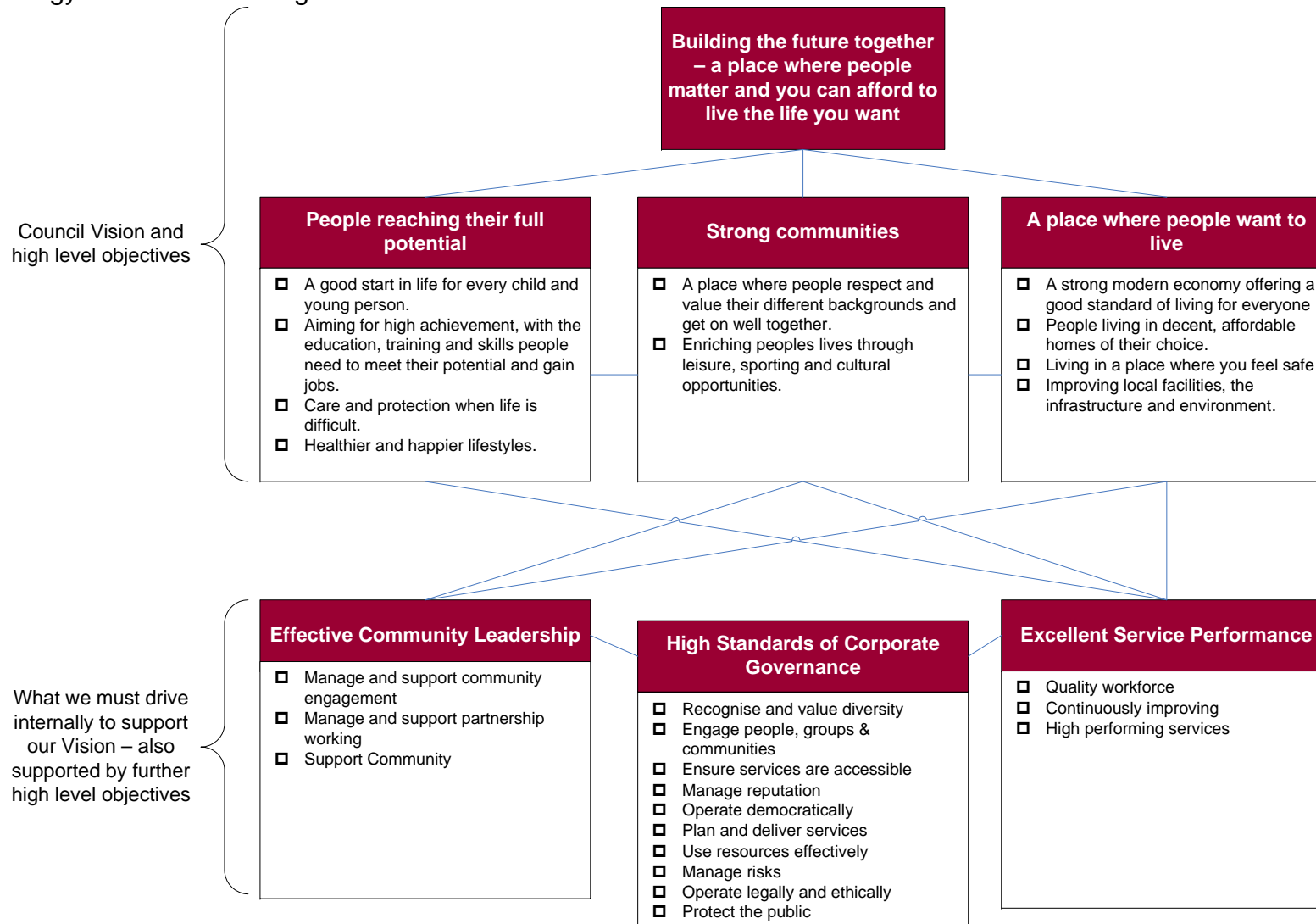
Our **Purpose** describes our role in making that Vision happen. **We think our Purpose is to listen, lead and perform:**

- **listen** to local people, understand what affects the borough and use that information to prioritise what we do.
- **lead** the community by helping people and organisations to work in partnership for the good of the whole borough.
- **perform** to the high standards people expect of us and make sure that excellent services are available to meet local needs.

Our **Values** describe the expectations of how we will behave:

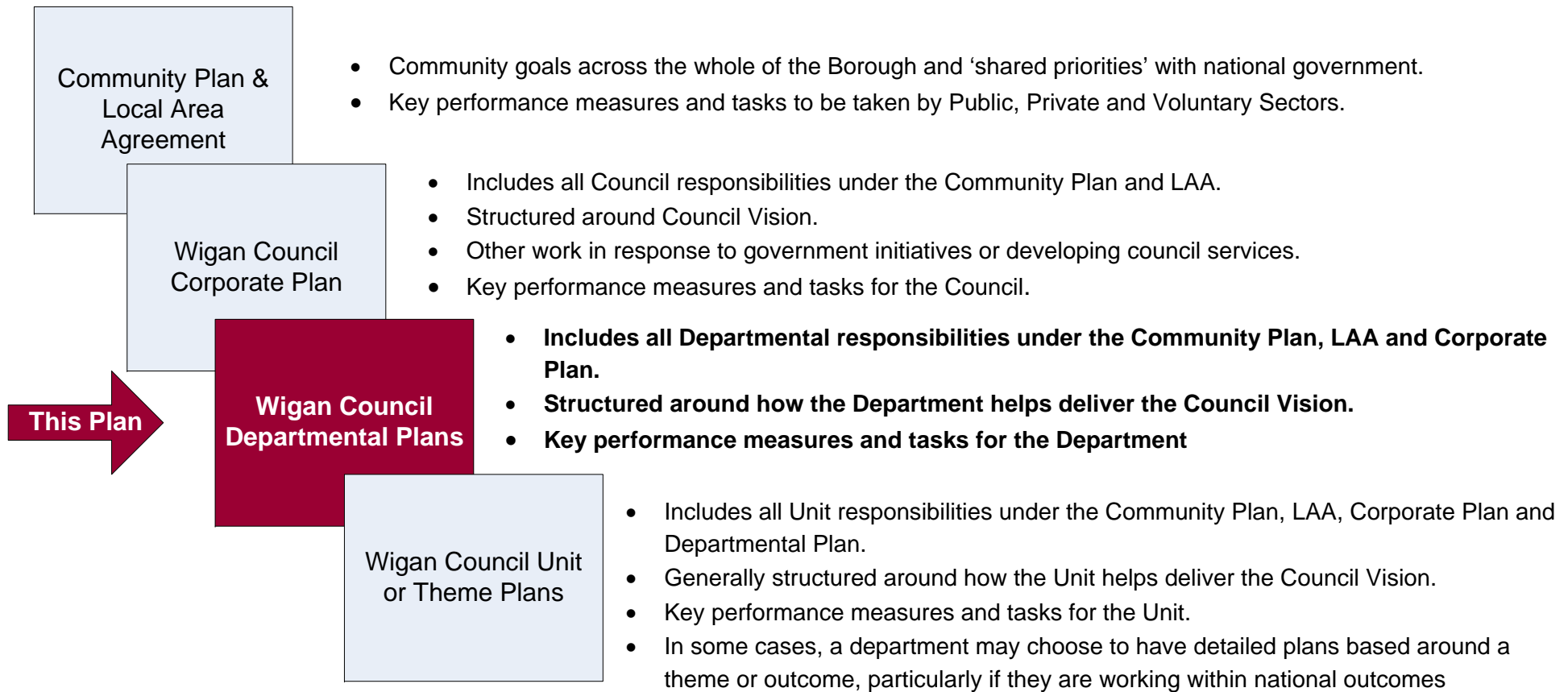
Leading by example	Setting high standards	Open and honest	Focusing on performance
We encourage people to be actively involved in society and take responsibility for themselves.	We are responsible to, and answer to, the Government, those who use our services and the whole community.	We are honest about what we can and cannot do	We design our services around customers’ needs and improve them whenever we can.
We promote a society where people from different backgrounds are all involved, respected and get on well.	Everything we do is legal and ethical.	We listen to, and regularly and honestly communicate with, local people and our employees.	Our decisions are based on evidence of what does and does not work.
	We value, develop and protect our employees so they can deliver the best possible services.	We are open to the views of local people and our employees	We constantly learn from our performance.
	We recognise the contributions made by our employees and partners	We are willing to learn from our experiences and from others outside the Council.	We use our resources effectively to provide good value for money

All Wigan Council services and plans link to this Vision through a 'golden thread'. This, in turn, links through to Wigan Borough's Community Strategy and Local Area Agreement.



Wigan Council's planning framework

It is important that we plan effectively to communicate priorities to our employees and local people. Plans are also the basis for managing our performance. Our Plans operate at four levels, working together to form a Golden Thread linking everyday actions to our long term Council Vision that, in turn, links to the Community Plan and Local Area Agreement. These plans are also a major influence on employee development. Wigan Council is accredited to the Investor in People Standard and our employees are developed within the context of what they will be expected to achieve as set out in these plans.



Introduction from the Director of Finance & Information Technology

Last year's (2006/7) Service Plan and Key Task planning underwent a further transformation as the Plans for each Department were reformatted in line with a corporate style to provide clear links between each Department's aims and objectives with those of the Council as a whole. In addition there is a greater emphasis on performance management along with a more detailed analysis of the factors which can affect our performance, including a comprehensive register of the risks we face.

The aim of the Service Plan is to help everybody in Finance and IT to put their work in context and give a greater awareness of the links that exist with the work of other Departments and how the work we undertake impacts on the community. Staff and customers can clearly link the Council's vision through the Community Plan to our Departmental Service Plan, and the services that we provide. This linking has been termed "*the Golden Thread*" and the process has been adopted across the Council. During the year we will continue to work with all our employees to improve the plan. Each Assistant Director will work with their teams to communicate and share the messages and take on board comments to help the document to become a more inclusive product.

The work of our Department is very "task driven" as can be seen from the Key Tasks in Part B. Many of us work to an annual cycle of deadlines and performance measures. Whilst these may seem "routine" at first sight, it is clear that all of our activities include substantial elements of continuous improvement work, project development and implementation to achieve high quality service delivery in the most efficient and economic ways.

The Support Services Review is intended to integrate the work of finance and IT teams from across the Council, which will have a significant impact on the way we work. It will contribute to the achievement of joining up services and pursuing value for money. As such, many of the issues within this plan are simply a continuance of the ongoing functions within the Department to ensure Statutory obligations continue to be met, and the high standards established throughout the Department are maintained. This will apply until the revised structures and working methods are established.

In the meantime, the Department continues to make a key contribution to the Council's excellent status. We are all proud of this. This plan is about how we will maintain excellence and continue to strive for an outstanding service.

David J. Smith

Director of Finance & IT
May 2007

How Finance and IT Department contributes to achieving the Council's Vision

The Council's Vision



The Council's High Level Objectives



Finance and IT Objectives



Focusing on customers

The Department's customers fall into any number of categories. Sometimes the same person or business may be in two or more categories. The Department has the largest public customer base in the Council. It deals with all Council Taxpayers – around 135,000 + all local business rate payers – 8,600. It pays all the Council's employees – 13,000 and some Partner Organisations such as Wigan & Leigh Housing and the Leisure Trust, deals with 36,000 benefit claimants and 6,000 suppliers. It accounts for over 2,000,000 bill payments every year. It raises bills on individuals and businesses for a range of Council services such as Adult Services care charges, rents, hire of facilities, and recharge of work carried out. Annually 27,000 bills are raised with a value of £45m.

The Department also provides financial and IT services for all the other departments of the Council. It assists them in providing their services to their customers and in managing their budgets. The section supports over 4,000 PCs together with related printers, server networks and software applications.

The Department has other organisational and business customers: -

- Elected Members – professional review of the financial implications of all areas of Council business (as reported to Members), payment of allowances, provision of IT facilities and general advice and support on enquiries, complaints and surgery enquiries.
- Greater Manchester Fire Authority – the Director of Finance is also the Treasurer of the Fire Authority and discharges the statutory duties of the finance officer
- Government Departments who want financial returns and grant claims,
- the Audit Commission who audit our Statement of Accounts, Grant Claims and internal control mechanisms.
- the organisations who lend to us or borrow money from us on short term basis,
- the Council partners and external organisations for whom we provide services such as payroll and allied accounting, insurance and audit services, from large such as the Leisure Trust and Wigan & Leigh Housing to small After School Clubs.
- Voluntary Organisations such as Citizen's Advice Bureau and Wigan Independent Advice Centre
- Association of Greater Manchester Authorities – the Director of Finance and IT is also the Treasurer of AGMA.

We engage with our customers in many ways -: -

- Formal reports and correspondence
- Information leaflets re council finances (with Council tax bills)

- Website information – the Department has a number of documents on its web site relating to its activities. This plan will be placed there in due course.
- Meetings and minutes
- Questionnaires (Citizens Charter Mark) – all Council tax bills include a “Customer Contract & Survey Form” which sets out service standards on replying to letters, answering the telephone. Additionally surveys are conducted in the cashiers’ hall on services provided. A Benefit Service customer survey was carried out in 2006/7 and the results will be incorporated into our working practices. An annual Revenues satisfaction survey is carried out across Greater Manchester.
- Internal working groups
- External agencies – Citizens Advice Bureau, Department for Work and Pensions, Valuation Office Agency
- For the Revenues and Benefits sections dealing with the public, road shows explaining our work are held in supermarkets, colleges and health centres. Staff also attend a Revenues & Benefits surgeries at the Department of Work & Pensions Offices and at Leigh Town Hall and some Housing offices.
- The Final Accounts and Budget Booklets now contain a questionnaire seeking the views of stakeholders on the content, language and format as we seek to make improvements in future year publications.
- The Statement of Accounts is now also published in summary form and focus groups of employees and the public have met, and feedback from them has resulted in a number of improvements being made.
- We participate in a Society of IT Managers’ user satisfaction survey every two years

Specifically our Revenues and Benefits sections carry out regular and formal consultation with their customers. In part this is a requirement of the Benefits Performance Standards Framework that we must work to, but also reflects the importance the Department has placed on customer awareness. The Sections have been awarded the Government’s Charter Mark award on three occasions to recognise their customer care procedures. This award was renewed in August 2006.

Each year since 2003, the Benefits Section has featured in the Council’s “Team of the Year” awards, being recognised under various categories such as Achievement, Innovation and Value for Money. The debtors team also achieved recognition in the 2007 awards for their work on demonstrating value for money in service delivery

Equality and Diversity issues

The department is committed to the Council's goal of reaching Level 3 of the Equality Standard for Local Government and it’s obligations under the Race Equality Scheme and Disability Discrimination Act. Specific resources have been allocated to meet these commitments.

All staff at the Council Tax Offices have attended the equal opportunities and diversity course. Staff training will continue this year with the Wigan Middle Manager programme. Also training in hate crime awareness, enhanced customer services and other equality and diversity issues. This is monitored on an annual basis through the staff development process (EDR).

- A member of the Departmental Management Team has responsibility for equality and diversity issues. The Council has in place a diversity officer who is also responsible for raising and maintaining awareness in relation to hate crime. The management team and department diversity group monitor our progress against the Equality Standard.
- Staff attend several diverse group meetings such as BME, Asylum Seekers, Disabled and young people's groups. This helps build links with the community and give staff an understanding of the difficulties these groups face.
- The Benefits Section has been awarded the Royal National Institute for Deaf People (RNID) *Louder than Words* Charter which is a quality standard award for services amongst the deaf community.
- The public areas at the Civic Centre and Council Tax Offices have been adapted wherever possible to improve accessibility through the use of ramps, sliding doors, lowered counters, hearing loops, visual fire alarms, amplified freephones and toilet facilities. Some of these facilities have been designed as a direct result of customer comments.
- The Council's web site is designed to national accessibility standards including speech enabled technology
- The Revenues and Benefits section assess their input and impact on the local community annually and produce a report of their supportive community activities.

Customer feedback

The feedback from customer surveys, questionnaires, exit interviews etc. is largely positive. Replies are recorded so that external assessors can check the reality of customer perceptions and views. The Revenues' and Benefits' Sections keep a "Thank You" file which is available for such inspection.

Resources

Staffing (April 2007)

	Finance & IT	% of Wigan Council	
Total employees fte	377 337	2.9%	Figures from 2007/8 "manpower statement"
	Finance & IT	Wigan Council	Comments
Sickness absence (total for 2006/7)	3.5%	5.72%	Lower sickness levels than for the Council as a whole
Long term sickness	1.9%	3.4%	
Short term sickness	1.6%	2.3%	
Full Time	76%	50%	A lower proportion of part time workers than the council as a whole
Part Time	24%	50%	
Permanent	98%	86%	A lower proportion of temporary contracts than the council as a whole
Temporary	2%	14%	
Female	65%	72%	A higher proportion of male employees than the council as a whole.
Male	35%	28%	
Disabled	2%	1%	A higher proportion of employees with a disability than the council as a whole
Ethnic minority	4%	1%	A higher proportion of employees from ethnic minorities than the council as a whole

Finances

- Money

The department's budget for 2007/08 is summarised here.

	Employee costs	Other Costs	Estimate 2007/08
Expenditure	£'m	£'m	£'m
Finance Dept. Units	3.962	1.691	5.653
Computer Section	2.077	1.132	3.209
Telecommunication Section	0.081	0.641	0.722
Central services – Local Tax Collection	1.642	3.015	4.657
Central Services - Benefits	2.628	22.182	24.810
Gross expenditure	<u>10.390</u>	<u>28.661</u>	<u>39.051</u>

	Estimate 2007/08
	£'m
Income (excluding recharges to other services)	
Finance Dept. Units	0.532
Computer Section	0.282
Telecommunication Section	0.087
Central services – Local Tax Collection	2.982
Central Services – Benefits	<u>24.046</u>
Gross Income	<u>27.929</u>
Net cost before recharges to other services	<u>11.122</u>
Net cost as % of Council's net budget (£218.2m)	<u>5.1%</u>

The Department's operating budget of itself does not do justice to the totality of the expenditure and income, which ultimately we account for and control.

Property

The Department is based in two buildings – Civic Centre in Wigan and the Council Tax Offices at Whelley.

Civic Centre – There is general pressure on accommodation within the building that we share with the Social Services Department. As a result of staff moving to form the Corporate Support Team in the Chief Executive’s Office we have released office space to Social Services colleagues to alleviate the pressure on their accommodation.

The Department has contributed from its own funds to upgrade the accommodation. More recently the toilets have all been completely refurbished and secondary glazing installed at the Civic Centre to reduce heat loss and the noise of the now largely completed Grand Arcade Construction Scheme. In addition there has been some internal decoration and new lighting fitted as a result of staff suggestions.

Council Tax Offices – these offices located in a predominantly residential area have proved vulnerable to malicious damage and anti-social behaviour. A security presence is employed to protect the premises outside business hours.

The Department has had a stated long term objective of a single site accommodation. The Council has plans to rationalise accommodation in the Town Centre through the Joint Service Centre project, and this may assist. Plans will also be influenced by the Support Services Review.

Risks;

The main risks to the buildings which could affect business continuity are summarised as ;

- Catastrophic damage ensuing from extreme weather conditions, terrorist attack or other malicious or accidental damage
- Loss of energy or water supplies due to construction works by external or internal contractors.
- Denial of access to buildings by accidental or malicious damage or industrial dispute or other organised protest or blockade.

Whilst these may be considered to be Low risk in terms of the likelihood of such an incident, the impact would potentially be High so business continuity plans are being developed to help ensure minimal disruption of those areas identified as high priority.

Information

The Department’s delivery of services to the public and other services is absolutely dependent on receiving, storing and retrieving accurate, up-to-date and complete information whether this be financial or otherwise.

The public facing services (Council Tax, Benefits, Business Rates, Income collection and recovery, Payments to suppliers) rely on quality information to be provided by their customers by means of standardised forms, invoices, and increasingly data provided via internet, file imports and other electronic media. The Department puts great effort into validating and quality assuring information received from all these sources by cross checking with other sources wherever possible. It must also make safe and efficient arrangements to store information, much of which is personal and confidential. Much of this data is held in application systems which require structured back up and secure storage arrangements. Within Revenues and Benefits, the Department employs electronic document management systems to provide secure and efficient storage and retrieval facilities. Elsewhere traditional filing systems are still in evidence with document retention policies assisted by off site storage to reduce demands on accommodation.

The Department publishes a great deal of financial information much of which is required by law. Major documents such as the Statement of Final Accounts and budgets are available on the Council's web site. Internal communications, policies and procedures in accounting manuals etc. are also available to all staff via the intranet. Annual reviews are designed to ensure that information is kept up to date and responds to changing circumstances such as revisions of Accounting Practices, statutory requirements and organisational policy developments.

Technology

The Department is an intensive user of IT and Communication technology. The Council's financial systems are all computer based and virtually all staff in the Department use desk top PC's to access corporate applications. In addition most staff use personal computing software (Microsoft Office) to create spreadsheets and other documents. The reliability of machines and networks is therefore critical to the Department's efficiency & effectiveness in delivering its Core and Key tasks.

The IT & Communications section has the wider remit of ensuring that appropriate IT facilities are available for all the Council Departments who need them to deliver their services, and increasingly of providing IT facilities to the public and partner organisations.

The high risks associated with the provision of technology are outlined in Part B but can be summarised as ;

- Recruiting & retaining suitably skilled staff
- Protecting the physical environment from major disruption such as power failures, fire, water damage and normal deterioration.
- Protecting the software applications and operating systems from damage by virus or hackers or other malevolent or negligent interference.
- Obsolescence of older software – not supported by suppliers.
- Performance of suppliers to ensure both high performance and availability of systems as per contracted standards.

Work is constantly being carried out to ensure that IT facilities are robust. This has included a new Stand by Generator, a rationalisation of the Server racking, power supply and physical layout and a study by consultants to review the Disaster Recovery arrangements for all the Council's corporate and Departmental key systems. One outcome of this is the current work to develop and maintain the backup site in Lowton to provide dual-site resilience which supports the Corporate Business Continuity Management process. Work has also been carried out to replace the air conditioning units in the IT suite to maintain optimum working conditions for the IT equipment.

Suppliers

The Department relies on a number of key suppliers in order to deliver its services. The major suppliers are :

- Application software suppliers – Agresso (corporate financials), Spectrum (Cash receipting) Cedar (payroll), Comino (Electronic Document Management), Bottomline (cheque printing & BACS payment software), Anite (Business Rates), Debitwise (Direct Debit management & File submission)
- Hardware suppliers – Bull (mainframe and servers), HP (printers) BT & Telewest
- Hardware engineering services – ServiceTec
- Web Performance Monitoring – Axzona
- Printing and distribution of bulk documents - Halcyon (Council Tax & Business Rate bills & annual Benefit notifications)
- Payment facilities – Alliance & Leicester/Post Office (bill payments & payment cards), Paypoint (bill payments), WorldPay (internet payments), Servebase (digital telephone payments)
- Banking facilities – Co-op Bank & HSBC, Securitas (cash collection & deposit)
- Treasury management advisors and Insurance providers and advisors – Sector, Zurich Municipal, Marsh,
- Scanning and Image hosting – Graphic Data Online
- Firewall management - NVIRON

These partnerships are managed in a number of ways, principally by regular scheduled meetings with customer care or account managers. The frequency of meetings depends very much on the criticality of the business relationship to day to day operations or to strategic improvement plans.

Performance and Value for Money

- **Excellent Service Performance**







The assessment of the Department's performance contributes to the Council's overall CPA assessment

In 2005 the Department's work was assessed against the following areas under the "Harder Test" Comprehensive Performance Assessment and was awarded an aggregate score of 3 ("performing well") for its performance. The improvement areas identified were acted upon and this was reflected in the 2006 Assessment where a top score of 4 was awarded. The requirements of the assessment are further updated each year to present "an even harder test" which provides additional areas for improvement each year. These are pursued where practicable, with support from the External Auditors and elected Members. Despite the enhanced requirements, the changes each year in the scores for the various elements in the Assessment provide a clear demonstration of continuous improvement within the Council's financial management and governance arrangements

Use of Resources Assessment					
Review Areas	Individual Review Area Elements		2005 score	2006 score	2007 score
1. Financial Reporting	1.1	The Council produces annual accounts in accordance with relevant standards and timetables, supported by comprehensive working papers	3	3	4
	1.2	The council promotes external accountability	2	3	4
		score	3	3	4
2. Financial Management	2.1	The Council's medium-term financial strategy, budgets and capital programme are soundly based and designed to deliver its strategic priorities	3	4	4
	2.2	The Council manages performance against budgets	3	4	4
	2.3	The Council manages its asset base	3	3	3
		score	3	4	4
3. Financial Standing	3.1	The Council Manages its spending within the available resources	3	3	3
4. Internal Control	4.1	The Council Manages its significant business risks	3	4	4
	4.2	The Council has in place arrangements to maintain a sound system of internal control	3	3	4
	4.3	The Council has arrangements in place that are designed to promote probity and propriety in the conduct of its business	3	4	3
		score	3	4	4
5. Value for Money	5.1	The Council currently achieves good value for money	3	3	3
	5.2	The Council manages and improves value for money	2	3	3
		score	3	3	3
		Overall Score	3	4	4

Summary of 2007/8 performance- quarter 3, with commentary

- Preparation of the Final Accounts and supporting statements has been achieved within the statutory timescales, with no qualifications from the External Auditors. All have been reported to Members as scheduled.
- Major highlights of the year, are the **Use of Resources** and **Benefits Administration** CPA scores which provide, within a national framework, an independent verification of the high quality overall work of the Department. Both scores involve a higher scoring within the individual elements of the overall assessment and demonstrate a commitment towards continual improvement.

Key Performance Measures	CPA	(2005-06)		2006-07		2007-08		
		Target	Actual	Target	Actual	Target	Actual	
Use of Resources score	•	3	3 	-	3	 4	4	 4
Benefits Administration	•	3	3 	-	3	 3	3	 3

The definitions of these scores (per the Audit Commission) are:

Score 3	Consistently above minimum requirements – performing well
Score 4 (maximum)	Well above minimum requirements – performing strongly

Table 1 below provides a summary of our performance against our departmental Performance Indicators (PI's) for quarter 3 of this current year. For those indicators where the information is now available, it shows the proportion of our PIs that are better than target, on target or worse than target.

Table 1: Summary of Departmental Performance at quarter 3– 2007/8

Number of PI's where data is available for measuring	% better than target	% on target	% worse than target
			
12	33	50	17

- Targets have again been achieved in relation to the preparation of the Final Accounts and supporting Statement on Internal Control, within the statutory timescales. All have been reported to Members as scheduled.
- The majority of measurable PI's are currently on target for delivery.

Specific objectives




Key Performance Measures	Responsible Officer								
		2006-07 target	2006-07 actual	Variance (symbol)	2003 results	comments	2007/8 target	2007/8 Q3	On Target?
BV080a Benefit Svc satisfaction Contact	J Feeney	90%	80%	▲	83%	targets slightly optimistic but shows some improvements from previous survey and provides a benchmark for the resulting improvement work	No target as survey only done 3 yearly		
BV080e Benefit Svc Satisfaction Forms	J Feeney	90%	81%	▲	84%				
BV080b Benefit Svc Satisfaction Office	J Feeney	80%	81%	★	78%				
BV080c Benefit Svc Satisfaction Tel Svc	J Feeney	90%	84%	▲	82%				
BV080d Benefit Svc Satisfaction Staff	J Feeney	75%	66%	▲	66%				
BV080f Benefit Svc Satisfaction Speed	J Feeney	85%	72%	▲	72%				
BV080g Benefit Svc Satisfaction Overall	J Feeney	85%	81%	▲	77%				
BV078a Average time for new claims	J Feeney	30	34	▲	Slightly below target but performance has improved throughout the year	25	28	▲	
BV078b Average time for changes	J Feeney	9	11	▲		9	9	●	
BV079a % Benefit calculations correct	J Feeney	99	97	▲		99	99.2	★	

Key Performance Measures 2006/7 contd	Responsible Officer	2006/7 target	2006/7 actual	2006/7 On target ?	comments	2007/8 target	2007/8 Q3	2007/8 On Target?
BV076c Number of fraud investigations (per 1,000 caseload)	J Feeney	27	29.87	▲		37	20.73	●
BV076d Number of prosecutions & other sanctions (per 1,000 caseload)	J Feeney	3	4.94	★	Target for year already exceeded	4	4.99	★
	S. Clegg	100	89.9		Some improvements achieved. Further work ongoing via SSR and process re-engineering.	100	94	▲
BV008 Percentage of Invoices Paid on Time				▲				
BV009 Percentage of Council tax collected	A. Cartwright	97.3	96.9	●	Within 0.5% of target	97.3	84.8	●
	A. Cartwright	98	97.6	●	Within 0.5% of target	98	86.7	●
BV010 Percentage of Non-domestic Rates Collected								
Prepare Annual Statement of Accounts	S. Clegg	30/06/06	27/06/06	★	Targets achieved despite tighter timescales	30/06/07	28/06/07	★
& Statement of Internal Control	M. Kenyon	30/06/06	27/06/06	★		30/06/07	14/06/07	★
Publication of Audited Accounts	S. Clegg	30/09/06	30/09/06	★		30/09/07	Oct 07	●
Setting budget & Council Tax	D. Smith	28/02/07	28/2/07	●		28/02/08	-	-
Web Site Availability	P. Livesey	98	99.9	★		99	99.26	●

Key Tasks

Table 1 gives a summary of our progress against our key tasks for 2006/7 and also the current position as at quarter 1 -2007/8. These include the actions we need to take to help us manage the risks which may affect our success. They also include the equality and diversity related tasks.

Table 1: Summary of progress against tasks (including equality and diversity related tasks) at 2006/7 quarter 4 (full year) and quarter 3 -2007/8




Number of tasks	% ahead of schedule 		% on schedule 		% behind schedule 	
	2006/7 Full Year	2007/8 Qtr 3	2006/7 Full Year	2007/8 Qtr 3	2006/7 Full Year	2007/8 Qtr 3
52	0	0	95	98	5	2

Commentary on performance:

Most of the actions relate to the ongoing functions within the Department which are subject to continuous monitoring throughout the year through the weekly Departmental Management Team meetings, as a failure of any of these areas can cause disruption to services and have an adverse impact upon the CPA scoring.







Key Tasks for 2007/8

Quarter 2 performance has been steady with most tasks on target for completion within the given timescales. Most of the delays are linked to the wider work that is taking place in re-engineering of business processes





Task	Responsible Officer	Resources	Target end	Status Q3	Comments
<ul style="list-style-type: none"> Implement revised arrangements from the Support Services Review, ensuring maintenance of high standards of financial management and governance. 	All members of DMT	Within existing budget	31/03/08		FITD represented on SSR PM Board. Report to Cabinet on 14 th June 2007
<ul style="list-style-type: none"> Payment of all salaries & wages 	A.Taylor	Within existing budget	31/03/08		
<ul style="list-style-type: none"> Compliance with H.M. Revenue & Customs & DWP requirements 	A.Taylor	Within existing budget	31/03/08		

• Account for all deductions & ensure payment to agencies	A.Taylor	Within existing budget	31/03/08	●	
• Maintain and improve performance across the range of the new DWP performance standards and measures covering: Claims Administration, Security, User Focus and Resource Management	J Feeney	Within existing budget	31/03/08	●	
• Achieve DWP targets for intervention work	J Feeney	Within existing budget	31/03/08	●	
• Achieve DWP targets for fraud work	J Feeney	Within existing budget	31/03/08	●	
• Achieve DWP targets for claims processing	J Feeney	Within existing budget	31/03/08	●	
• Procurement and installation of a fully interactive electronic benefits claim form	J Feeney	Within existing budget	31/03/08	●	Development being enhanced from original specification
• Implement Local Housing Allowances for private tenants (new scheme, effective April 2008)	J.Feeney	Within existing budget	31/03/08	●	
• Roll out of the piloted mobile working for visiting officers	J Feeney	Within existing budget	30/09/07	●	Links to enhanced "hotspots" IT project
• Pilot and roll out of homeworking (Now forms part of corporate pilot scheme)	J Feeney	Within existing budget	31/03/07	●	Pilot started in Sept. 2006

Task	Responsible Officer	Resources	Target end	Status	Comments
<ul style="list-style-type: none"> Completion of Government returns, Grant Claims & VAT claims 	S. Clegg	Within existing budget	Various – compliance with statutory deadlines	●	Underpins stewardship and corporate governance
<ul style="list-style-type: none"> Maintaining financial stewardship, integrity of accounting transactions and reconciliations 	S. Clegg	Within existing budget	March 08	●	Essential to CPA assessments
<ul style="list-style-type: none"> Treasury Management – maximise rate of return on cash invested 	A. Taylor	Within existing budget	March 08	●	Measured against market rates
<ul style="list-style-type: none"> Cash Flow & Treasury Management- minimise balances held at the Bank. 	A. Taylor	Within existing budget	March 08	●	Maximises use of spare cash.
<ul style="list-style-type: none"> Continuous review of all major corporate systems to satisfaction of Audit Commission 	M. Kenyon	Within existing budget	March 08	●	Supports external audit assessments, reviews levels of fraud risk
<ul style="list-style-type: none"> Improving and supporting the risk management framework 	M.Kenyon	Within existing budget	March 08	●	
<ul style="list-style-type: none"> National fraud Initiatives (2 yearly process) 	J Feeney & M. Kenyon	Within existing budget	March 08	●	
<ul style="list-style-type: none"> Maintain & deliver corporate IT systems 	P. Livesey	Within existing budget	March 08	●	
<ul style="list-style-type: none"> Improvements in the Administration and Collection of Sundry Debt including Recovery of debt to agreed targets of age and value. 	S. Clegg	Within existing budget	March 08	●	Forms part of performance reporting
<ul style="list-style-type: none"> Complete roll out of purchasing module in the financial system for Wigan Council 	S. Clegg	Within existing budget	Now April 08	●	Links to progress of Support Services Review

Task	Responsible Officer	Resources	Target end	Status	Comments
<ul style="list-style-type: none"> Complete Implementation of PCB costing module in the financial system for Wigan Council 	S. Clegg	Within existing budget	March 08		PCB partially implemented and roll out to other areas underway
<ul style="list-style-type: none"> Agresso Improvement Agenda - continuous process – chart of accounts – asset register - fleet management – statement based debtors – development of systems administration 	S. Clegg	Within existing budget	March 2008 and annual review7		Chart of accounts circulated Nov 06. Other issues included in Support Services Review
<ul style="list-style-type: none"> Agresso major upgrade 5.5. undertake review of business benefits and best timing 	S. Clegg	Within existing budget	Review viability in Sept 08	Deferred to 2008/9	Using fire as pilot – but date slipped back due to project difficulties
<ul style="list-style-type: none"> Realign budgets and chart of accounts with organisational restructuring for Environmental Services and Support Services Review 	S. Clegg	Within existing budget	March 08		Details of restructure now finalised and will be reflected in 2008/9 budgets
<ul style="list-style-type: none"> Job Evaluation/Equal Pay Audit – support process of modelling and financial evaluation of options and results 	S. Clegg	Within existing budget	March 08		Project is ongoing, working with other LA's who are in similar position.
<ul style="list-style-type: none"> Reengineer back office processes to support efficient workflow arrangements for suppliers invoices 	S., Clegg	Within existing budget	March 08		To align with SSR and purchasing module roll out.
<ul style="list-style-type: none"> Production of an Annual Report 	S. Clegg	Within existing budget	Sept 07		Posted on website


Task	Responsible Officer	Resources	Target end	Status	Comments
• Develop use of Voice over Internet phones (VoIP) for Homeworkers	P. Livesey	Within existing budget	March 08	●	Included with homeworking pilot
• Install Wi-Fi (wireless) hotspots for Mobile Workers	P. Livesey	Within existing budget	Dec 07	●	Trial sites tested, piloting newer technology
• Disaster Recovery - fully install, document and test plan	P. Livesey	Within existing budget	Now march 2008	●	Working with Sunguard to define optimum recovery solutions
• Evaluate Products and Commission CRM Technologies and	P. Livesey	Within existing budget	March 08	●	Analysing business objectives and interviewing suppliers
• develop Sharepoint for collaborative working	P..Livesey	Within existing budget	March 08	●	Technology tested and now in use.
• Develop GIS web facilities to include wider range of datasets	P. Livesey	Within existing budget	March 08	●	Continuous project – now in internet
• Further Develop Mobile and Home working facilities	P. Livesey	Within existing budget	March 08	●	Continuous project
• Installation of Instant Messaging facilities	P. Livesey	Within existing budget	March 08	●	Test sites now being monitored
• Review corporate data back-up and recovery facilities	P.Livesey	Within existing budget	March 08	●	Major upgrade in 2006. Further enhancements also installed.
• Roll out of Automated Update Direct Debit Instruction Service (AUDDIS)	A. Cartwright	Within existing budget	Now March 08	●	Implementation schedule being prepared
• Implement Paperless Direct Debit (PDD)	A. Cartwright	Within existing budget	now march 08	●	
• Implement Bank Credit refund facility	A. Cartwright	Within existing budget	Now march 08	●	
• Tender for Cash in Transit Service	A. Cartwright	Within existing budget	Now march 08	Contract expired	

Task	Responsible Officer	Resources	Target end	Status	Comments
<ul style="list-style-type: none"> (new task) Updating of NNDR records to enable billing for empty properties 	A.Cartwright	Within existing budget	March 08	Just commenced 	Response to change in regulations
<ul style="list-style-type: none"> Management of Departmental Budget 	Departmental Management Team	Within existing budget	March 08	Continuing 	Monthly monitoring reports considered and minuted.
<ul style="list-style-type: none"> Support the process and develop a financial strategy for dealing with financial impacts of equal pay and job evaluation 	Departmental Management Team	Within existing budget	March 08	Continuing 	High risk
<ul style="list-style-type: none"> Develop a departmental strategy for dealing with the anticipated effects of job evaluation 	Departmental Management Team	Within existing budget	March 08	Continuing 	High risk

Risk management and business continuity

This section identifies the major risks to delivering our plans, including ‘business continuity’ risks, and the tasks that control them.

General risks

Risk	Task	Responsible Officer	Resources	Target end	Status	Comments
Continuity of services and operations	Development of business continuity plans for those areas identified as “high risk”		Within existing budget		Links to Corporate Business Continuity Project	Some procedures documented but needs completion
	• Treasury Management	A.Taylor		31 st March 2008		
	• Payroll	A.Taylor				
	• Private Tenants	J. Feeney				
	• Network Infrastructure - components and support	P.Livesey				
	• IT Communications	P. Livesey P.Livesey				
	• IT Operations					

Equality and Diversity Action Plan 2007/08

Equality and diversity issue	Priority	Action planned	Responsible Officer	Resources	Target start	Target end	Comments / progress
Work towards attainment of the Equality Standard level 3	Medium	Carry out actions from level 2 assessment. Maintain effective monitoring of plan	Joe Feeney & Tom Hughes	DMT & assigned officers. Dept Diversity group.	August 2006	March 2008	The work carried out at level 2 will form the basis of the requirements of level 3. ●
Race Equality Scheme	High	Update scheme & ensure the department meets required standards	Tom Hughes	Staff	April 2006	March 2008	Work ongoing to ensure the profile of the E&D work is maintained ●
Training	Medium	Complete training of all front line staff in hate crime reporting. Implement Wigan "Middle Manager" and Team Leader programmes	Tom Hughes	Staff. AD's	April 2006	March 2008	The training has started and should be complete by the deadline. The "Wigan manager" was rolled out as part of the EDR process in 2006/7. ●
Complete Job Evaluation & Support Equal Pay review	High	Work with JE team, staff and managers to arrange interviews and ensure information is correct.	DMT	Within existing resources	April 2006	March 2008	The initial evaluation made reasonable progress but the Equal pay review and Support Services review have delayed the JE project. ●
Populate CPS with required information in line with Legislative changes.	Medium	Work with Corporate Personnel and sections to ensure we meet Equality compliance targets	Tom Hughes	HR, AD's	April 2006	March 2008	Work is ongoing to meet several different Legislative targets from Diversity to Health & Safety & DDA. This work is on target ●
Work towards meeting Equality BV targets In employment	Medium	Implement and support corporate procedures.	Tom Hughes	DMT & HR	April 2006	March 2008	Continuous process in conjunction with Corporate Personnel Services. ●

Finance & IT Department - Risk Register 2007/08

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Corporate	Catastrophic Damage to buildings, infrastructure or staff	Natural phenomenon Accidental Malicious attack	Complete loss of service delivery and functions Financial Loss Staff trauma	H	L	Security Policies Evacuation Procedures Risk assessments Business continuity plans Emergency plans	Event
Deptmntal	Key staff loss	Sickness Absence Retirement Other job	Service delivery/project completion Cost of cover Pressure on remaining staff + loss of expertise/experience	M/H	M	Sickness absence planning EDR Succession planning, Training, Recruitment & retention policies, Monitoring reports, Trainee recruitment	Event - sickness absence/notice etc.
Corporate	IT etc. system failures	Hardware or software failure. Supplier failure	loss of key data. Service & performance impact.	M/H	M	Supplier - contract conditions Compliance with standards. Continuity plans Disaster recovery policy, IT security policy.	Event
Corporate	Damage to IT communication networks	Malicious damage by Virus or hacker	loss of key data & e-mail service. Cost of restitution. Service delivery and public access facilities.	H	H	Firewalls & Anti virus software Protocols and policies Monitoring Tools Controls on access.	

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Dept & Corporate	Access to buildings restricted or denied	Damage (accidental or malicious) Industrial Dispute	Service delivery loss of key data. Meet legislative & performance standards	H	L	Custodian alerts Smoke detectors/alarms Risk assessments Out of hours security cover. Lightning conductors.	Event
Dept & Corporate	Loss of vital services - power & water	Work by Contractor s (Grand Arcade)	Disruption to delivery of time critical services (e.g. payroll) demotivation of staff. Loss of key data. Health & safety issues.	H	M (last event in April 2005 no power for 12 hours)	UPS for central computing and other key operations. Use of other building facilities and disaster recovery plans.	Event
Dept & Corporate	Unscheduled or unplanned additional work impacting upon Departmental capacity.	Generated by other Department or Partners - Legislative changes System changes	Service delivery Inability to meet legislative & performance requirements reduced/lost accreditation inability to respond to partner organisation/dept	H	L	Planning Communication with other Departments and professional bodies, Project management Risk assessment SLA's marketing services	Event

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Dept & Corporate	Fraud	Internal or external fraud & corruption	Financial loss damage to integrity CPA assessment downgrade	M	M/H	Internal control systems Anti-fraud and corruption policy statement. Codes of conduct. Employee protocol. Whistleblowing policy. Prosecution policy. Internal Audit. External Audit. Verification Framework.	Event
Dept & Corporate	Loss of key suppliers	Suppliers go out of business, sell business, lose key staff, suffer damage etc.	service delivery loss of key systems & data. Meeting legislative & performance standards. Accreditation, & financial losses	M/H	H (NNDR system replaced in 2004/05)	Financial vetting of suppliers. Suppliers' disaster recovery/contingency plans. Alternative suppliers/facilities. Regular supplier meetings. Use of own staff if expertise etc. available.	Event or market intelligence
Dept & Corporate	Professional misjudgement of critical business issue	Incorrect business decision leading to financial loss	Financial Loss. Loss of accreditation and CPA ranking. failure to meet legal requirements or performance standards. Loss of reputation and integrity	H	M	Training and qualification of key staff Supported decision making (checklists, independent proofing & documentation) Reporting of critical business decisions Filling/Covering key vacancies	

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Dept & Corporate	Government legislative & policy changes	Local authority structures or functions. Balance of Funding effect on CT & Benefits	Reduce costs, or build capacity. Amend or replace systems to ensure compatibility and new outputs	H/M	L	Planning & Intelligence gathering on Government policy statements CIPFA Euro Forum & Treasury Euro changeover publications LGA bulletins	Policy announcements
Dept & Corporate	Failure to achieve prescribed standards and targets, timetables, performance Indicators	Final Accounts deadlines, Benefits Performance standards, E-govt targets External Audit Standards	Qualification of Accounts impact on CPA assessments Repayment of IEG grant Loss of Benefit initiative funding/levy of penalties Adverse external Audit /Inspectorate criticism potential additional audit fees	H	M	Detailed actions plans Regular monitoring of progress Taking necessary corrective action Quality assurance work GM Benchmarking & sharing best practice	

Risk Category	Risk	Risk Details	Risk Impact	Inherent Risk Severity of Impact	Inherent Risk Likely Frequency	Mitigating Actions/ Controls	Remedial Action Prompted By
Corporate	Equal Pay claims	Financial impact on Council and partners	Service cuts, reduction in balances, loss of staff, industrial action, loss of reputation	M/H	H	Input from FITD staff into equal pay settlements. development of financial strategy to deal with the situation	Likelihood is high so remedial action commenced
Dept & Corporate	job evaluation	Financial impact and major staff relations problems	Corp: Service cuts, reduction in balances, loss of reputation, industrial action. Dept: loss of staff, reduction in staff morale	H	H	Input from FITD staff into financial modelling. Develop strategy to deal with anticipated impact within the dept	Likelihood is high so remedial action commenced
Dept & Corporate	Major capital schemes	Project overspends, problems with project funding	Poor VFM with capital resources, delays to other capital schemes	H	H	Involvement of senior FITD staff in project monitoring and management	Variations in: project schedule, spending against budget, funding availability
Corporate	Impact of Support services review	Disruption of Internal control arrangements,	Reduced effectiveness of financial management arrangements, adverse impact on CPA	H	H	Involvement of senior FITD staff in Support Services Review	Deterioration in financial management standards, external auditors comments
Dept & Corporate	External economic & political factors	Effect of national /global economic performance Changes in	Financial loss (treasury management functions). Threat to budget stability and forecasts. Damage to reputation	H	L/M	Intelligence gathering. Prudent forecasting, balances & reserves.	Event

		Government . Loss of key partners for business or economic reasons					
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