

Public Document Pack

THREE RIVERS & WATFORD
SHARED SERVICES
JOINT COMMITTEE



AGENDA

Date: 7 March 2011

Time: 7.30 pm

Place: Three Rivers District Council

Members of the Committee:-

Councillors:-	B White (Chair)	R Sangster
	M Bedford	S Johnson
	G Derbyshire	A Wylie

The Joint Committee welcomes contributions from members of the public to its discussion on Part A agenda items. Contributions will be limited to one person speaking for and one against each item for not more than three minutes. Details of the procedure and the list for registering the wish to speak will be available for a short period before the meeting

Item

Page

Part A - Open to the Public

1 APOLOGIES FOR ABSENCE / SUBSTITUTE MEMBERS

2 DISCLOSURES OF INTEREST

To receive any disclosures of interest.

3 MINUTES

To confirm as a correct record the minutes of the Joint Shared Services Committee held on 10 January 2011.

4 NOTICE OF OTHER BUSINESS

To announce items of other business notified to the Secretary of the Joint Committee, together with the special circumstances which justify their consideration as a matter of urgency. The Chairman to rule on the admission of such items. (Note: If other confidential business is approved under this item, it will also be necessary to specify the class of exempt or confidential information in the additional item(s)).

Item		Page
5	PERFORMANCE MANAGEMENT	1 - 4
	This report provides an update on the performance of the shared service in the current year.	
6	SERVICE PLANS	5 - 228
	This report seeks agreement to service plans for the medium term.	
7	EXCLUSION OF PRESS AND PUBLIC	
	The Chairman to move:- “that, under Section 100A (4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following item(s) of business as it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if the press or public were present during consideration of the item(s) there would be disclosure to them of exempt information as defined under the respective paragraphs of Part 1 of Schedule 12A to the Act.” If approved the Chairman will ask the press and public to leave the meeting at this point.	

Part B - Closed to the Public

- 8 OTHER BUSINESS**
If approved under Item 4.

Members are reminded that meetings of the Joint Committee shall end no later than 10.30pm unless otherwise agreed by the Joint Committee.
For more information concerning this agenda please contact the Secretary to the Joint Committee, Elwyn Wilson, Democratic Services Manager, Three Rivers District Council, Northway, Rickmansworth, Herts, WD3 1RL. Telephone: 01923 727248.
E-mail: elwyn.wilson@threerivers.gov.uk

Agenda Item 5

THREE RIVERS & WATFORD SHARED SERVICES JOINT COMMITTEE

Date of meeting: 7 March 2011

PART A

AGENDA ITEM

5

Title: Performance Management 2010/11

Report of: Director of Corporate Resources & Governance – Three Rivers D C

1. **SUMMARY**

1.1 This report provides an update on the performance of the shared services in the current year.

2. **RECOMMENDATIONS**

2.1 That the Committee notes this report.

Contact Officer:

For further information on this report please contact:

David Gardner – Director of Corporate Resources & Governance – Three Rivers D.C.

telephone number: 01923 727200

email: david.gardner@threerivers.gov.uk

Report approved by:

Tricia Taylor – Executive Director – Watford B.C.

3. DETAILED PROPOSAL

3.1 As requested at the last Joint Committee meeting, the Head of ICT e-mailed members with a link to the Performance Management section of the Shared Services Intranet:-

<http://www.trw-sharedservices.org.uk/ccm/navigation/category.jsp?categoryID=16759008>

This will be populated with the latest performance indicators for each shared service by the close of business on Wednesday 2 March 2011.

This information will also be available at the meeting when heads of service will answer members' questions and detail any remedial action that is being taken to improve any performance which is falling short of target. Emphasis will be placed on exceptions.

3.2 Specifically:-

- a) The Head of Revenues and Benefits will update members on the comparisons made between the cost of permanent and agency staff and provide details of renegotiated agency rates.
- b) The Head of Finance will report that bank reconciliations are up to date and that the guidance and processes for closing the 2010/11 accounts have been published.
- c) The Head of ICT will report on progress concerning the infrastructure review, the harmonisation of systems, and the review of staffing arrangements.
- d) The Head of Human Resources will report on any issues arising from the consultation with staff on harmonising terms and conditions of employment.

4. IMPLICATIONS

4.1 Policy

4.1.1 The recommendations in this report are consistent with the policies of Three Rivers District Council, Watford Borough Council and the Joint Committee.

4.2 Financial

4.2.1 The two councils have agreed the funding requested by the Joint Committee at its last meeting.

4.3 Legal Issues (Monitoring Officer)

4.3.1 None specific to this report.

4.4 Risk Management and Health & Safety

4.4.1 There are no risks associated with the decision members are being asked to take.

4.5 Equalities

4.5.1 *Relevance Test*

Has a relevance test been completed for Equality Impact?

No

There is no proposed change to the shared services.

4.6 **Staffing, Accommodation, Community Safety, Sustainability & Environment, Communications & Website and Customer Services**

4.6.1 None Specific

Appendices

None

Background Papers

No background papers were used in the preparation of this report.

This page is intentionally left blank

Agenda Item 6

THREE RIVERS & WATFORD SHARED SERVICES JOINT COMMITTEE

Date of meeting: 7 March 2011

PART A

AGENDA ITEM

6

Title: SERVICE PLANNING

Report of: David Gardner – Director of Corporate Resources & Governance –
Three Rivers D.C.
Terry Baldwin – Head of Human Resources
Avni Patel – Head of ICT
Alan Power – Head of Finance
Phil Adlard – Head of Revenues and Benefits

1. **SUMMARY**

1.1 This report seeks agreement to service plans for the medium term.

2. **RECOMMENDATIONS**

2.1 That the Committee reviews, make such amendments as it thinks fit and approves the service plans.

Contact Officer:

For further information on this report please contact:

David Gardner – Director of Corporate Resources & Governance – Three Rivers D.C.
telephone number: 01923 727200 email: david.gardner@threerivers.gov.uk

Alan Power – Head of Finance
Telephone number: 01923 727196 email: alan.power@threerivers.gov.uk

Avni Patel – Head of ICT
Telephone number: 01923 727441 email: Avni.Patel@watford.gov.uk

Terry Baldwin – Head of HR
Telephone number: 01923 278133 email: Terry.Baldwin@watford.gov.uk

Phil Adlard – Head of Revenues and Benefits
Telephone number: 01923 278023 email: Phil.Adlard@watford.gov.uk

Report approved by:

Tricia Taylor – Executive Director – Watford Borough Council

3. DETAILED PROPOSAL

3.1 The Delegation and Joint Committee Agreement states that:-

- The Head of each Shared Service shall prepare and submit to the Joint Committee no later than November each year an annual written service plan for the Shared Service for which he or she is responsible for the next three financial years. This shall take into account any constraints and set out inter alia the outputs to be achieved by and the resources required for the relevant Shared Service.
- On receipt of a service plan for a Shared Service, the Joint Committee shall by the end of the calendar year, review, make such amendments as it thinks fit and approve the service plan together with the relevant Service Level Agreement.

In view of the service prioritisation / cost reduction exercise that was required to set the budgets this year, it was agreed that service plans should only be produced once the resources to deliver them was known, rather than speculate which outputs and outcomes could be achieved without knowing the funding available.

3.2 Attached as appendices to this report are the draft service plans for the four shared services.

4. IMPLICATIONS

4.1 Policy

4.1.1 The recommendations in this report are within the policies of the Joint Committee, Three Rivers District Council and Watford Borough Council.

4.2 Financial

The funding requested by the Joint Committee has been agreed by the councils. Budgets are included in the service plans.

4.3 Legal Issues (Monitoring Officer)

4.3.1 There are no legal implications specific to this report.

4.4 Risk Management and Health & Safety

4.4.1 Any risks resulting from this report will be included in the risk register and, if necessary, managed within the appropriate service plan.

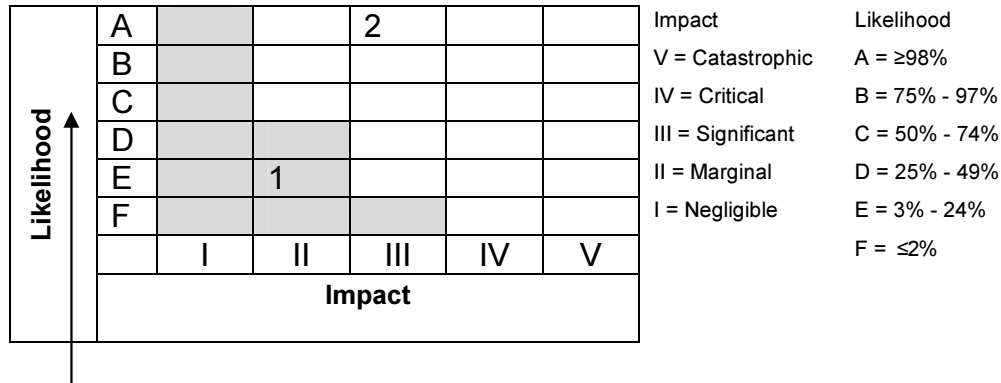
4.4.2 The following table gives the risk if the recommendations are agreed, together with a scored assessment of their impact and likelihood.

Description of Risk		Impact	Likelihood
1	That the resilience, improved performance and savings identified within each service plan are not achieved	II	E

4.4.3 The following table gives the risk that would exist if the recommendations are rejected, together with a scored assessment of their impact and likelihood:

Description of Risk		Impact	Likelihood
2	That the shared services have no service plans to work to	III	A

4.4.4 The above risks are plotted on the matrix below depending on the scored assessments of impact and likelihood. Risks are tolerated where the combination of impact and likelihood are plotted in the shaded area of the matrix. The remaining risks require either monitoring or managing, in which case a treatment plan is prepared.



4.6 **Staffing, Equalities, Accommodation, Community Safety, Sustainability & Environment, Communications & Website and Customer Services**

4.6.1 Included in service plans where appropriate.

Appendices

- 1 Service Plan 2011-2014 – Finance
- 2 Service Plan 2011-2014 – Human Resources
- 3 Service Plan 2011-2014 – ICT
- 4 Service Plan 2011-2014 – Revenues & Benefits

Background Papers

No papers were used in the preparation of this report.

This page is intentionally left blank



DRAFT
FINANCE SERVICE PLAN
2011 - 2014

Version 0.1 – Shared Services Joint Committee – 7 March 2011

CONTENTS

Section	Item	Page
1	Key Purpose of the Service	
1.1	Scope of the Service	1
1.2	Contribution to Shared Services Objectives	5
1.3	Contribution to the Councils' Strategic Objectives	7
1.4	The Future of the Service	9
2	Inputs	
2.1	People	10
2.2	Workforce Planning	12
2.3	Partnerships & Contracts	13
2.4	Assets and Technology	14
2.5	Current Budgets	15
2.6	Revenue Growth, Service Reductions and Cashable Efficiency Gains	16
2.7	Capital Investment	16
3	Outputs and Outcomes	
3.1	Customer Insight and Consultation	17
3.2	Service Level Agreements	21
3.3	Performance Indicators	46
3.4	Benchmarking information	58
3.5	Outstanding Recommendations of External Inspections	60
3.6	Projects	61
3.7	Equalities	62
3.8	Risk Management	63
	Version Control	

SECTION 1: KEY PURPOSE OF THE SERVICE

1.1 Scope of the Service

The overall objective is to provide high quality, efficient, robust and resilient services for audit, finance and fraud to the chief financial officers (s151 officers), members, budget holders, the public and employees of the two councils.

The services include the range of activities required to meet the s151 officers' responsibilities for a local authority. It consists of most of the services associated with the running of the finances of a local authority, including those aimed at servicing the corporate entity as well as those aimed at serving individual budget holders and service managers. Finance will be located in Rickmansworth although Internal Audit and Fraud will also have bases in both town halls to ensure their effectiveness and to achieve efficiencies.

Some services are excluded due to their having been included in other shared service work streams.

The functions are grouped into 4 main areas:

Accountancy

- Budget setting and reporting
- Month end and annual closing of ledgers
- Reconciliations of financial management and subsidiary source systems
- Budget monitoring reports
- Draft annual budgets
- Service planning including service level changes, revenue growth & savings and capital investment
- Forecasting (in conjunction with budget holders)
- Preparation and publication of Financial Statements
- Whole of Government Accounts
- Preparation and completion of Government Returns for capital and revenue budgets, outturn and monitoring
- External audit liaison
- Provision of financial advice to budget holders and Members
- Financial policies and procedures
- Bank reconciliations
- Value Added Tax
- Review of the Financial Management System

- Treasury Management Policies & Investment Strategy
- Payroll Accounting including statutory deductions

Financial services

- Accounts payable
- Insurances and risk advice
- Investments

Internal Audit

- Risk based system audits
- Contract and IT audits
- Value for Money
- Advice
- Provision of assurance for effectiveness of controls and probity

Anti Fraud

- Benefit Fraud
- Corporate Fraud
- Anti-Fraud and Corruption Strategies

The Joint Committee Agreement specifies the following functions for Finance

- Making payments on behalf of the Councils;
- Maintaining the accounts of the Councils;
- Maintaining the system of purchase orders;
- The provision of an internal audit service
- Managing the operation of the Councils' insurances;
- Issuing guidance and providing advice to members and officers of the Councils on the financial procedure rules of the Councils;
- Providing training to officers working on financial matters;
- Monitoring the Councils' prudent financial management and compliance with approved accounting practices and reporting to members on these matters;
- Preparation of the Councils' annual statement of accounts;
- Maintenance of the Councils record of assets;

- Monitoring the financial administration of external partnerships and other organisations in which the Councils are involved;
- Undertaking Housing Benefit and Council Tax Benefit fraud investigations and prosecutions;
- Virement within Joint Committee Budgets

Changes to Scope Since the Start of Shared Services

During 2010/11, there have been changes to the responsibilities of Finance. Functions have been (or will be) transferred from Human Resources, Revenues and Benefits and ICT or other support services. Organisation charts and job descriptions remain unaltered. This need to be addressed for affected functions and posts. A number of these tasks require substantial staffing input and have an impact on service delivery. The tasks transferred to or backstopped by Finance are –

- Administration of car loans and car leases
- Liaison with Serco (Hertfordshire County Council) on employee superannuation
- Checking Employee Benefits for HMRC (P11D)
- Reconciling Housing Benefit payments account
- Assistance in various Revenues and Benefits Reconciliations
- Income reconciliations
- Assistance with Procurement
- Collection Fund
- Accounts Payable BACs transmission
- Commercial Rent Accounting (Watford)
- Commercial Service Charges (Watford)
- Transparency Reporting

No functions have been transferred from Finance to other shared services or clients of either council but the following functions have been terminated.

- Summary Financial Statements and Annual Reporting
- Annual Efficiency statements and returns

The Audit, Fraud and Accountancy services operate within a number of statutory provisions including secondary legislation and statutory codes of practice. These are outlined below:

Accountancy and Audit

- Local Government Act 1972 – arrangements for the proper administration of financial affairs
- Local Government Act 1988 – reports in the public interest
- Local Government Act 2000 – full Council on the recommendation of the Executive to set approve a budget. Scrutiny of the financial processes.
- Local Government Act 2003 – medium term financial planning, budgeting and prudent balances, Prudential Code for borrowing arrangements, opinion on robustness of budgets and adequacy of reserves, budget monitoring throughout the year with Member involvement.
- CIPFA Code of Practice for Internal Audit
- Accounts and Audit Regulations 2003 (as amended) – financial statements, publishing, internal audit
- Statutory Codes for financial accounting and best value accounting

Fraud

- Police and Criminal Evidence Act 1984
- Human Rights Act 1998
- Data Protection Act 1998
- Regulation of Investigatory Powers Act 2000
- Proceeds of Crime Act 2002
- Fraud Act 2006

1.2 Contribution to Shared Services Objectives

Savings

For Finance Shared Services, savings on implementation were achieved and reported to the Joint Committee for Shared Services.

Since Implementation further saving over the Business Case have been achieved as follows –

	2009/10 £	2010/11 £	2011/12 £
Original Budget (Shared Services Joint Committee Sep '09)	1,727,777	1,711,354	1,754,965
Outturn	1,697,872		
Latest Budget		1,628,982	1,624,839
Additional Savings (vs Business Case)	29,905	82,372	130,146

The recent *Cost Reduction* exercise requires further savings in 2012/13.

The 2012/13 budget has been set at £1,534,552. This provides an additional annual saving of £270,000 over the Business Case. To achieve these savings there will be a series of measures taken during 2011/12 that may involve reductions in staffing.

Efficiency and cash saving may arise from joint procurement of financial services, for example -

- Treasury management advice (2011)
- Banking services (2013)
- A new delivery model for Internal Audit
- Shared management arrangements for Benefit Fraud
- Shared Accountancy services or shared systems

Service Level Agreements agreed more than two years ago now require review and consultation with service users and this will be undertaken during 2011/12.

<p>Resilience</p>	<p>Staff rotation at Finance Manager and Senior Accountant level will continue and it is planned to make some changes when the accounts have been closed in June 2011. This practice mitigates the effects of lean staffing and provides flexibility for wider team working and provides cover during times of absence.</p> <p>The Finance organisation has been structured with generic job descriptions and staff will work across the various finance work streams. In specialist skill areas shadowing will occur to widen and strengthen the knowledge base.</p> <p>Internal Audit and Fraud teams have been designed with the emphasis on resilience and operate with a flat structure (two tiers).</p>
<p>Improved Services</p>	<p>All Finance processes continue to be scrutinised to align where possible together, taking account of both councils requirements.</p> <p>The Shared Service will continue membership of appropriate Benchmarking Clubs and seek other measures providing comparative information and statistics.</p>

Three Rivers District Council

Customer Service.

- Develop, publish and monitor service standards for all services,
- Respond to complaints by learning and improving our services,
- Improve customer satisfaction,
- Regularly involve and consult with the local community on key issues,
- Meet statutory equality targets and standards,
- Ensure our services provide value for money,
- Align budgets to priorities,
- Manage and reduce risk,
- Ensure internal processes produce timely outputs,
- Ensure internal processes produce accurate outputs,
- Continue to improve the Council's performance,
- Ensure employees are properly trained, developed and motivated,
- Ensure Members are properly trained and developed,
- Engage with community groups to deliver effective partnership working.

Watford Borough Council

Improve the health of the town and enhance its heritage

Enhance the town's 'clean & green' environment

Enhance the town's sustainability

Enhance the town's economic prosperity and potential

Supporting individuals and the community

Securing and efficient, effective, value for money council

Influence and partnership delivery

We will support/enable the Council and its services to meet these objectives.

In 2011/12, detailed planning is required to achieve savings balanced with workloads and service level agreements.

Every effort will be made to secure greater efficiencies with smarter working and empowering clients with knowledge and skills to increase financial abilities. Success levels will have dependencies on the partnerships with both councils and the agreement of common procedures for example, accounting policies, financial procedures, risk management framework, budgeting and financial planning arrangements, reporting formats and the expected financial competencies of managers and budget holders.

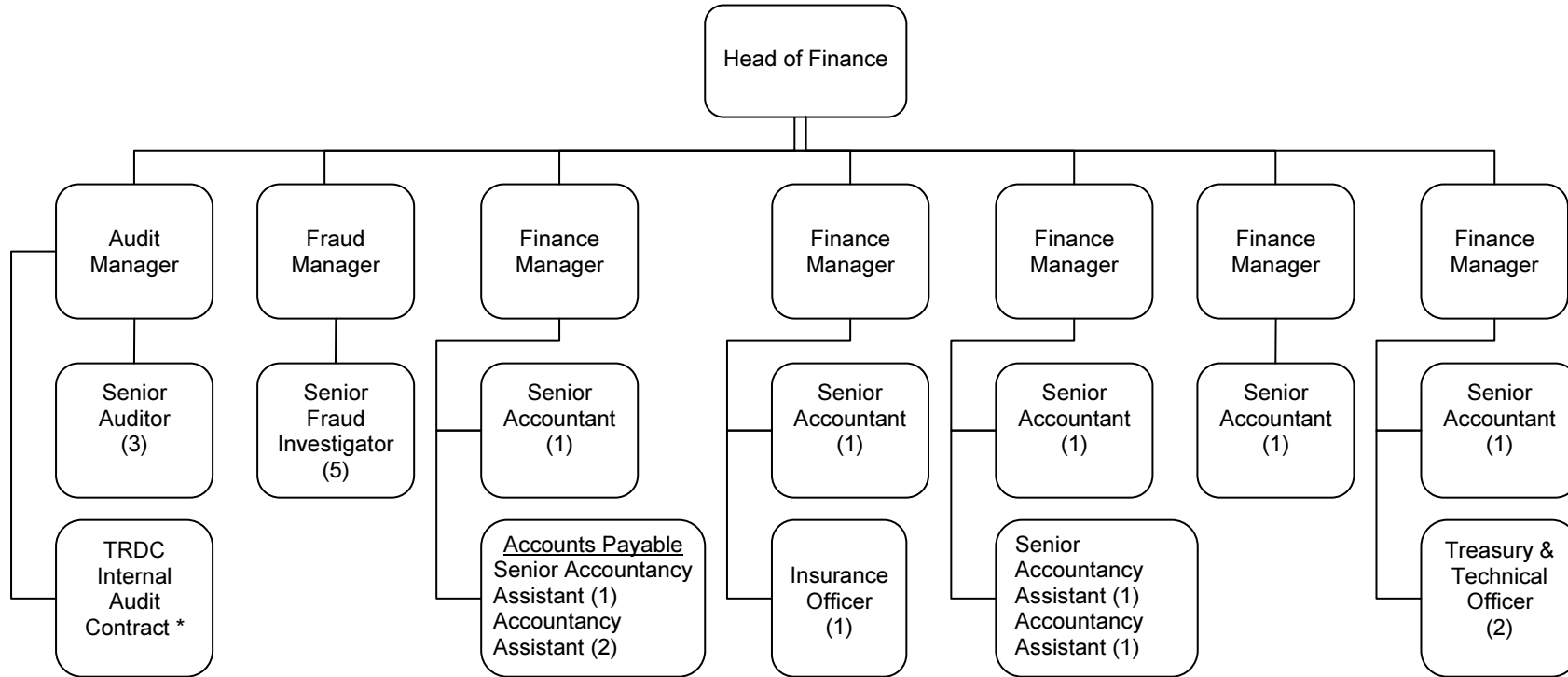
Significant changes are the move to International Financial Reporting Standards (IFRS) and changes in governance with the Treasury taking responsibility for accounting standards (from the Accounting Standards Board). There continue to be changes to accounting and reporting with revised Codes of Practice and significant additional requirements. The Best Value Accounting Code and alignment with SORP is expected. CIPFA and the Audit Commission are currently consulting on financial reporting and significant changes are anticipated.

With Whole of Government Accounts in place earlier financial statements may be required.

SECTION 2: INPUTS

2.1 People

Organisation Chart



FINANCE SHARED SERVICES ESTABLISHMENT	Grade	No.	FTEs	Currently Vacant
Job Title				
Audit Manager	10	1	1	0
Senior Auditor	8	3	3	0
Fraud Manager	10	1	1	0
Senior Fraud Investigator	7	5	5	0
Head of Finance	MG4	1	1	0
Insurance Officer	6	2	1	0
Finance Manager	10	5	5	0
Senior Accountant	8	5	5	0
Senior Accountancy Assistant	6	1	1	0
Accountancy Assistant	5	4	4	0
Treasury And Technical Officer	6	2	2	0

INDICATIVE REDUCTIONS TO BE AGREED AUTUMN 2011 (wef 2012/13)	Grade		FTEs	Expected Vacant
Job Title				
Audit Manager	10		0.5	0
Fraud Manager	10		0.5	0
Finance Manager	10		1	0.5
Senior Accountant	8		1	1
Accountancy Assistant	5		1	0

2.2 Workforce Planning			
Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
Age Profile	The majority of both key and senior positions are occupied by long-serving and highly experienced professionals eligible to retire in the medium term.	Senior staff must be retained to ensure achievement of business objectives. Loss of several key staff may necessitate an overall FTE increase	Incentives available to retain key staff are unlikely. See Succession Planning
Market Pay	Market rates of pay will need to be regularly reviewed. The economic climate is not expected to impact on the jobs market in the first year of this Service Plan. Achievement of Best in Class required investment in the best systems, procedures and staff. Procurement rules have bias to lowest system and implementation costs. Not possible to agree fundamental harmonisation requirements. Market pay is based on 62 nd percentile for non-shared service organisations	Review of basis and methodology for application of market factors within a shared service environment.	For the lean structure (and getting leaner whilst taking on additional functions) it is essential that finance shared services staff are well above average for knowledge, skills, commitment and engagement. This will require market rates for remuneration together with a premium. Market factors (reviewed annually) have been applied to Senior Auditors and Finance Managers.
Succession Planning	The significant recruitment to vacant posts (completed June 2010) has been successful in engaging younger officers with good potential.	Continued recognition of skills and age balance (within equalities requirements) for future recruitments.	Action taken has supported a sustainable workforce.

2.3 Partnerships & Contracts	
Partner / Partnership	Expected Outcomes
Deloitte Touché	TRDC contract expired March 2010. DT was used to provide additional audit days to meet the Plan for 2010/11 but there will be a significant reduction for this support from 2011/12.
LA VAT	Currently use LAVAT for provision of specialist VAT advice.
Treasury Advisers – Butlers/Sector	WBC currently uses Sector for Treasury Management Advice to 31/08/11. TRDC use Sector (was Butlers at the outset) with a contract to 01/11/2011.
Insurances	Currently use Zurich for all insurance. New contracts required from April 2013.
Banking Services	Banking contracts were agreed for both councils in 2010. New contracts required from April 2013

2.4 Assets & Technology
<p>Equipment</p> <p>29 workstations each with Personal Computer. 3 desktop HP printers and access to all central printers. Two of these workstations connected to specialist laser cheque printer. Scanning and document management facilities. One workstation with BACS security transmission facilities. Remote access to network. Cheque Printer Phones, Fax, Copying, Scanning, Mobile Working, Home Working</p>
<p>Land and Property</p> <p>Suitable office environment for all sections Hot desk facilities at Watford for Finance (this is expected to be delivered within a corporate solution) Internal Audit – office accommodation/filing/IT facilities on both sites. Fraud – office accommodation/filing/IT facilities on both sites Accommodation at Watford and Three Rivers for external audit</p>
<p>Vehicles</p> <p>Vehicles required to attend meetings or off-site locations including outside normal hours and outside districts. Vehicles are also required by fraud for surveillance, house visits, statement taking, risk assessments and visiting external agencies.</p>
<p>IT systems</p> <p>Internal Audit – IDEA (data extraction/matching) Advanced Computer Software (COA eFinancials) Aptos (archive facilities) Radius PowerSolve (archive facilities) On-Line Banking & Treasury Management Microsoft Office Applications Financial Management System (new) Fraud Module (within Benefits system)</p>

2.5 Current Budgets

Code	Operating Costs	2010/11 Original £	2010/11 Revised £	2011/12 Original £	2012/13 Forecast £	2013/14 Forecast £
	Expenditure					
	Employees	1,420,550	1,431,052	1,452,959	1,362,672	1,431,433
	Transport	23,170	23,230	22,730	22,730	22,730
	Supplies & Services	174,700	174,700	149,150	149,150	143,190
	Contracted & Agency Services	40,000	0	0	0	0
	Income	0	0	0	0	0
	Sub-Total	1,685,420	1,628,982	1,624,839	1,534,552	1,597,353
	Recharge to Councils					
	Three Rivers District Council	663,368	651,593	649,936	613,821	638,941
	Watford Borough Council	995,052	977,389	974,903	920,731	958,412
	Sub-Total	1,658,420	1,628,982	1,624,839	1,534,552	1,597,353
	Total	0	0	0	0	0

2.6 Revenue Growth, Service Reductions and Cashable Efficiency Gains				
Description		2011/12 £	2012/13 £	2013/14 £
1	Potential Growth Total	0	0	0
2	Service Reductions Nil Total	0 0	0 0	0 0
3	Cashable Efficiency Gains Nil Total	0 0	0 0	0 0

2.7 Capital Investment	
-------------------------------	--

Scheme Name	New Scheme	Capital				Revenue Implications			
		2011/12 £	2012/13 £	2013/14 £	Future Years £	2011/12 £	2012/13 £	2013/14 £	Future Years £
Nil		0	0	0	0	0	0	0	0

SECTION 3: OUTPUTS AND OUTCOMES

3.1 Customer insight and consultation

I Customer access channels

Service Area	Information Access	Service Access

II Customer identification and segmentation data

Service provided	Customer group	Segmentation data held
Internal Audit	Statutory function. External auditors Internal – Staff, occasionally public	Individuals at all levels – job title, name, department, email address etc. Mostly systems and procedures interrogation
Anti-fraud and corruption	Benefit fraud – tip-offs and information from public (via hotlines, letters) Systems information about individuals, e.g. MOSAIC information	Tip offs – mostly anonymous As below, NI numbers, bank account details, personnel records Details of partnership agencies, e.g. DWP
Creditors payment	External – suppliers of goods and services	Address, creditors name, VAT number, Head office/business addresses. Income Tax status for some.
Treasury	Banks, building societies, investment advice agencies	Business addresses
Insurances	External Claimants – public, internal	Claim form details, name, DOB, claimant details, incident details
Accountancy	Service level service planning, budget monitoring, financial advice	Service heads/managers – name, department, position, email address

III Communication and consultation methods

Service provided	Inform	Consult	Engage
Internal Audit	Audit plan – public document Reports – disseminated to Services	Timeframes for consultation implementation. Audit plan is assessed by Heads of Services and this is open to review	Committees, Audit, Resources Policy Panel
Anti-fraud and corruption	Tip-off publicity – website, advertisements on TV, radio etc. (National campaigns) National fraud hotline?	Respond to National initiatives – report on satisfaction	Successful prosecutions – National press. Also serves as a deterrent.
Creditors payment	Internal, demand-led service	Internal. This is the end of a process – CP authorise payments. Contact only foreseen if customers enter into complaints process in the case of late payment.	Shared Services Join Committee
Treasury	Contact with banks is through brokers. TRDC is the customer – no direct contact with banks/building societies	Market conditions	Executive Committee – Annual, and 6 monthly review-back looking report Risk management and overall strategy
Insurances	Insurance companies have involvement and conduct investigations etc. TRDC's remit is to check policies are OK.		No formal reporting strategy but linked to budget monitoring
Accountancy	Annual report, published on website, letters	Statutory obligation to consult with commercial representatives and internally-Heads of Services, Members, etc.	Annual report published internally and made available publically

IV Customer satisfaction measures

Service provided	Measure	Collection method	Timescale for consultation - start date and regularity	Baseline result	Target
Internal Audit	Satisfaction with service provided Quality of service	Contractor-led satisfaction survey (rolling questionnaire) Internal audit/inspection	Administered after each audit		
Anti-fraud and corruption	Satisfaction Quality of service	Service provision questionnaire Internal audit/inspection	Annual – Aug 2007		
Creditors payment	Satisfaction with service Quality of service	Questionnaire planned Internal audit/inspection			
Treasury	Satisfaction with service Quality of service	Questionnaire planned Internal audit/inspection			
Insurances	Satisfaction Quality of service	Survey of internal and external customers Financial Management Model – collecting comments from users Internal audit/inspection	One-off survey 2006/7	CIPFA collate results and produce compliance scores on aspects of service standards	
Accountancy	Satisfaction with service Quality of service	Benchmarking across other authorities/organisations Internal audit/inspection			

V Learning from customer consultation

Question	Answer
What key findings has customer consultation work identified in the last year for each service area? Have the needs of a specific customer group been identified?	Customer Insight and consultation new element in service plan
What has been done as a result of customer consultation?	Customer Insight and consultation new element in service plan
How have you feed back to customers that have been consulted?	Customer Insight and consultation new element in service plan
How effective were the consultation methods used? What changes are proposed?	Anti-fraud and corruption service provision questionnaire led to the creation of 12 SLAs

3.2 Service Level Agreements

Shared Service	Finance
Service Name	Budget Setting Service Planning and Forecasting
Description	Forward looking delivery of Council plans in line with budgetary availability of finances. Financial statements that reflect the ability to deliver together with ongoing forecasting of future requirements (capital and revenue)
Service Reference	FN01
Service Owner	Head Of Service

Inputs/Outputs

Inputs	MTFP- Interest, Inflation Assumption, Capital, Reserves/Balances, Fees & Charges. Customer Service Plans Establishment Lists/Organisation Chart Payroll Output Recharge information for Support services Capital charges AMP (Asset Management Plan) Capital strategy Growth and/or Savings Grant settlement.
Input Quality Measures	Timetable for budget setting Timely / Accurate / Reliable input. Star chamber- Member approval Member approved Service Plans Budget Panel/Budget Monitoring
Customer Responsibility	Ownership of Budget To ensure members agree Service Plans S151 officer to produce the MTFP To keep to agreed timetable Availability of key staff To know their service area & how they meet corporate objectives and their own service goals Understanding of their customer base requirements

Processes	<p>For Revenue and Capital</p> <p>Cost up the individual Service Plans</p> <p>Establish base budget for future year(s)</p> <p>Calculate internal recharges/capital charges</p> <p><u>Produce reports to enable members to –</u></p> <p>Agree Unavoidable growth/savings</p> <p>Agree fees & charges</p> <p>Agree the Budget & set the Council Tax</p> <p>Communication of timetable, deadlines and user requirements</p>
Outputs	<p>Capital Programme</p> <p>Budget Report</p> <p>MTFP</p> <p>Online Budget / Book</p>
Output Responsibility	Head of Finance

Supporting Data

Timescales	<p>In line with the agreed Timetables for</p> <p>Draft Service Plan/ budgets and</p> <p>Final Service Plan/Budget setting</p>
Outcomes	<p>Set the Council Tax</p> <p>Affordable Service Plans are set</p>
Inter- dependencies	<p>Service Plans</p> <p>Government policy</p> <p>External Advisors</p>
Quality	<p>Within 3% of Original Budget</p> <p>Annual Efficiency Savings Achieved</p> <p>Produced on time, accurately and reliably</p>
Performance Indicator	<p>User Satisfaction – with the budget process</p> <p>Timetable targets met</p>
Volumes	1,000 individual budget categories

Shared Service	Finance
Service Name	Month end account closure & processing
Description	Period end closure ensuring financial statements reflect a full and true view of costs incurred and control processes including reconciliations are completed
Service Reference	FN02
Service Owner	Head Of Service

Inputs/Outputs

Inputs	<p>Chart of Accounts amendments Coding control amendments (Objective / Subjective / Links) <u>Feeder systems :</u> Debtors Payments Housing Benefit Council Tax and Business Rates Payroll Cash / Bank Rents Journals Period posting controls <u>Purchase Order Commitments, including :</u> Goods received notes Clearance of old items</p>
Input Quality Measures	Completed task list that balances in accordance with the budget monitoring timetable
Customer Responsibility	<p>Service feeder area's Bank Housing Trust</p>
Processes	<p>Communication to users across the organisation of key activities and deadlines Loading Reconciliation Virement Period end closure New period opening</p>

	Year end control when required
Outputs	Reconciliations : Ledger balance Bank and Cash Payroll Tax, NI, VAT, CIT Feeder systems Investments Personal accounts Holding accounts FN03 Monthly Budget Monitoring Reports
Output Responsibility	Head of Finance in conjunction with S151

Supporting Data

Timescales	In accordance with the Budget monitor timetable
Outcomes	Accurate, Timely and Reliable accounts Timetable satisfied All reconciliations balanced External / Internal Audit requirements met
Inter- dependencies	Budget monitoring timetable Service feeder area's Bank Housing Trust
Quality	Timetable satisfied All reconciliations balanced External / Internal Audit requirements met
Volumes	2 sets of complete data each accounting period

Shared Service	Finance
Service Name	Monthly Budget Monitoring Reports
Description	Review and reporting of actuals against plan with value add narrative where applicable
Service Reference	FN03
Service Owner	Head Of Service

Inputs/Outputs

Inputs	FN02 Month end account closure & processing Discussions with budget holders and Review Key budget risks Budgets & Virements & Supplementary adjustments for both Revenue and Capital Capital , Revenue and Balances Invoice payment information
Input Quality Measures	Accurate, timely and reliable. Agreed with key identified officers
Customer Responsibility	Take ownership of costs/commitments i.e. Accountability Provide returns, on latest budget, on time Provide comment on actual versus budget Supply information for virements All relevant information has been disseminated
Processes	Spreadsheet information out to Budget Holders Feedback Review with Budget Holders Budget report to Excel Virement Load onto FMS
Outputs	Finance digest Budget Monitoring Report Updated on-line Budget
Output Responsibility	Head of Finance

Supporting Data

Timescales	Monthly
Outcomes	The enabling of timely accurate and reliable budget monitoring
Inter- dependencies	ICT – system functionality Heads of Services S151 Member decision updates CMB decision updates Legislative changes Debt collection rates Spreadsheet with 3 yrs budget information
Quality	External and/or Internal Audit Review End of Year Member review Star chamber review
Volumes	1,000 individual budget categories

Shared Service	Finance
Service Name	Closure of annual accounts & production of statements
Description	Year end closure of accounts together with all relevant and necessary financial statements and returns including sign off by committee
Service Reference	FN04
Service Owner	Head Of Service

Inputs/Outputs

Inputs	<ul style="list-style-type: none"> Accrual Information from departments Stock information / petty cash balances Cash balances Month end inputs/reconciliations etc Statutory guidance –SORP, IFRS, ISA 260 Timetable Calculating recharges – internal and external Capital charges FRS 17 Asset Valuations Audit checklist
Input Quality Measures	Accurate, reliable, timely information
Customer Responsibility	<ul style="list-style-type: none"> SI51 Statutory responsibility for Statement Of Accounts Provide info on their services accurately, reliably and in timely fashion. Take ownership i.e. Accountability Provide returns Provide comment on actual versus budget Supply information for virements All relevant information has been disseminated Provide audit checklist
Processes	<ul style="list-style-type: none"> Written guidance for Cost Centre Managers (CCM's) Offer training for CCMs Meet auditors – setting rules Advertise public inspection date Prepare dated timetable Closedown accounts

	Produce working papers Draft account to audit committee Obtain governance statement Produce accounts Manage the audit Sign accounts Adopt accounts through audit committee Advertise closure Print, publish, website Produce summary accounts for public.
Outputs	Draft accounts Signed accounts Governance statement Closed accounts on system Reports to audit committee
Output Responsibility	S 151 in conjunction with Head of Finance

Supporting Data:

Timescales	Annual by 30 th June Signed off by Audit 30 th September Public inspection September
Outcomes	A statement of Accounts adopted and complete with Audit comment.
Inter- dependencies	S 151 – Governance statement SORP changes IFRS Members External / Internal Audit CIPFA BIS – system functionality
Quality	No significant or material errors Use of Resources score Meet timetable targets
Volumes	Two sets of accounts Two digests

Shared Service	Finance
Service Name	Compilation of government returns
Description	All financial and non financial returns where financial input is required on behalf of the customers of the Shared Service
Service Reference	FN05
Service Owner	Head Of Service

Inputs/Outputs

Inputs	Schedule of returns Forms issued Return documentation and guidance
Input Quality Measures	Accurate, timely and reliable Audited data
Customer Responsibility	Accessibility Statistical information
Processes	Schedule of requirements/responsibilities communicated Data and statistical compilation Authorisation Retention copy
Outputs	Returned on time, complete and authorised
Output Responsibility	Head of Finance

Supporting Data

Timescales	Timetable of annual, quarterly and monthly events
Outcomes	All returns completed as required, including : Revenue Outturn Revenue Actual Pooling Corporate Performance Review Capital Outturn Capital Payments Return

	<p>Annual Efficiency Statement Quarterly Borrowing return VAT , TAX , NI, CIT, Superannuation Deferred Facilities Grant Housing Subsidy Homelessness “Son of” “Housing Investment Programme” Specific Grant returns – individually set requirements County Digest Freedom of Information Act Ratepayers leaflet Whole Government Accounts</p>
Inter- dependencies	<p>Final Accounts Budgets Monthly / Quarterly Actual reports Budget / Service Managers Central Government HMRC Pension Administrators – County Council DWP Members Pressure Groups External Audit S151</p>
Quality	<p>No financial penalties No Auditor qualifications</p>
Volumes	200 returns per annum

Shared Service	Finance
Service Name	Provision of financial advice to budget holders and Members
Description	Adhoc and standard monthly reporting delivering a value add service to support decision making across the authorities
Service Reference	FN06
Service Owner	Head Of Service

Inputs/Outputs

Inputs	<ul style="list-style-type: none"> Changes to Government Grants Other Councils Taxpayers Tenants Members Managers Treasury – Prudential Indicators Legislative changes Accounting policy – IFRS,SORP,BVACOP Insurance Risk Budget Management Financial regulation
Input Quality Measures	<ul style="list-style-type: none"> External Audit Hindsight and experience
Customer Responsibility	<ul style="list-style-type: none"> Information is accurate, timely and reliable Requests are clear and timeline indicated
Processes	<ul style="list-style-type: none"> Experience Analysis Modelling Legislative interpretation Policy costing Comparison, Challenge, Consult - Best Value/Value For Money Options Appraisal
Outputs	<ul style="list-style-type: none"> Technical advice to customers Recommendations to change policy where appropriate Recommendations for procedural change when necessary Options Appraised and communicated

Output Responsibility	Head of Finance
-----------------------	-----------------

Supporting Data

Timescales	Adhoc by request
Outcomes	Satisfied Customers
Inter- dependencies	<ul style="list-style-type: none"> Advisors Customers Budget Managers Members Other Councils Central Government CIPFA External / Internal Audit Central Government Professional bodies Financial regulations Legislation Media Head of Shared Services
Quality	Enabling Customers to make informed decisions
Volumes	150 cost centre managers and members

Shared Service	Finance
Service Name	Insurance
Description	Ensuring the Authority has the relevant level of insurance cover and claims handling
Service Reference	FN07
Service Owner	Head Of Service

Inputs/Outputs

Inputs	<p>Insurance Policies with excesses</p> <p>Incident details form</p> <p>Processing Insurance claims</p> <p>Correspondence from claimants and insurance company</p> <p>Photos of incident site – Where Possible</p> <p>Site inspection records</p> <p>Info from officers on insurable risks, update on building values, vehicle purchases etc</p> <p>Info on incidents that could give rise to claim</p> <p>Risk Management and policy cover statements</p>
Input Quality Measures	<p>Accurate description of insurance claim, who, what when, where</p> <p>Photographs of site</p> <p>Inspection records</p>
Customer Responsibility	<p>Front end/internal staff e.g.; depot to complete the incident claim form</p> <p>External claimants to write in with claim details</p> <p>To provide information on insurable risks</p>
Processes	<p>Receive incident report form, claim form, or letter from third party</p> <p>Despatch correspondence to insurance company</p> <p>Correspond with insurance company and claimant or internal staff</p> <p>Insurance company to settle claim and make payment where appropriate</p> <p>Negotiation of 5 year contracts</p> <p>Management of value for money via risk profiles and contract management</p> <p>Renewal of insurance policies annually</p>
Outputs	<p>Claim form for insurance company</p> <p>Correspondence re claim</p> <p>Sound advice provided to customers</p>
Output Responsibility	Insurance officer

Supporting Data

Timescales	Acknowledge claims or correspondence within 10 working days of receipt Update insurance policies for new insured risks as they occur To review all insurable risks annually Renegotiate annual renewal with insurance company
Outcomes	Claim dealt with in an efficient manner Claim successfully defended Adequate insurance for insurable risks
Inter- dependencies	Insurance company Claimant Loss adjuster External solicitors All internal staff for information on claims
Quality	Efficiency of claims handling Reduced premiums resulting from reduced successful claims
Volumes	140 claims per annum

Shared Service	Finance
Service Name	Treasury , Investments and Banking Services
Description	Management of short and long term cash flow and ensuring investments are made that maximise returns in line with a secure policy
Service Reference	FN08
Service Owner	Head Of Service

Inputs/Outputs

Inputs	Cash flow spreadsheet Bank Statements Credit ratings from Treasury Advisors Backward looking investment statements Forward looking strategy paper.
Input Quality Measures	Accurate, timely No adverse ratings on counterparties
Customer Responsibility	Agree Treasury Management Strategy each year
Processes	Obtain cash forecast for next 1 – 3years Short term cash forecasting Call back any maturities Deposit and Investment via eligible parties Process payment on on-line banking system
Outputs	Bank reconciliation Investment register CIPFA Returns Secure investment returns in line with local and government regulations/policies Un-presented cheque listing
Output Responsibility	Head of Finance/ Treasury and Technical Accountant

Supporting Data

Timescales	Treasury Management daily Bank reconciliation monthly within 10 working days of month end Interest and principal balanced back to ledgers within 10 working days of month end
Outcomes	Security first then Interest maximised Balanced bank reconciliation to ledgers

Inter- dependencies	Treasury Management policy Prudential Indicators Electronic banking statements ICT Approved Treasury Management Strategy
Quality	Investment income- budget versus actual Timely reconciliation Complimentary audit reports , internal and external
Volumes	£100million investments between two councils 200 investments per annum

Shared Service	Finance
Service Name	Accounts Payable
Description	Purchase and payment of suppliers for goods and services received by the Councils in line with a controlled process
Service Reference	FN09
Service Owner	Head Of Service

Inputs/Outputs

Inputs	<p>Authorised Purchase Orders Goods Receipts New Supplier Forms Amendments to Supplier master data Supplier Invoices/Pro-forma's/ Statements New User request form (instigate training and access)</p>
Input Quality Measures	<p>Correct and complete supplier details Invoices quoting purchase order numbers CIS requirements complete VAT liability correctly coded Authorised request for training</p>
Customer Responsibility	<p>Creation of PO's and Goods receipt as required in a timely manner Block/unblock payment request Passing of all relevant documentation e.g.; invoices to finance Correct ledger coding Requesting credit notes for faulty goods/ under delivery from suppliers. Ensuring dept had enough trained users in place to deliver service</p>
Processes	<p>Matching Payment Approval BACS/CHQ payment runs Issue of Remittance Advice Supplier master data maintenance Supplier liaison and management Reconciliation and management of P Cards Statement Reconciliations Scanning and Storage of invoices to meet legal requirements CIS/VAT reconciliations and management Training manual Control</p>

	End user training (1-1 and group)
Outputs	Supplier Payments Sundry payments/refunds Remittance Advice CIS Tax Returns VAT Reconciliation statements Customer Liaison for invoice matching, authorisation and advice Competent user with knowledge of how to follow correct procedures
Output Responsibility	Accounts Payable Supervisor

Supporting Data

Timescales	Various Payment Runs per week as required - Includes 2 Housing Benefit payment runs (TRDC)
Outcomes	Suppliers Paid to terms Customer Corporate Goals supported by delivering quality payment service Compliance with collection and payment of tax (VAT & CIS)
Inter- dependencies	Taxation Treasury ICT Systems All other Council Departments
Quality	Payment to terms, (BVPI8) Reduced supplier contact due to no late payments
Volumes	2,000 payments per week (excluding 3Rivers Housing Benefit) 10-20 new suppliers per week Training requests 12-14 per annum

Shared Service	Finance
Service Name	Internal Audit (IA)
Description	Planning and delivery of audit plan to include control and process improvement recommendations and chasing action plans to completion
Service Reference	FN10
Service Owner	Audit Manager

Inputs/Outputs

Inputs	<p>Suggestions for items to be included in the annual audit plan</p> <p>Legislation/Regulations/Council decisions.</p> <p>External bodies' e.g. external auditor.</p> <p>Approve audit strategy and annual audit plan.</p> <p>Approve IA Terms of Reference.</p> <p>Approve requests for specific pieces of work from individual Services.</p> <p>Corporate Centre to act as arbiter in case of disagreement between IA and individual Heads of Services.</p>
Input Quality Measures	Annual Audit plan agreed to timescales
Customer Responsibility	<p>Input to the annual audit plan.</p> <p>Maintain adequate risk management arrangements.</p> <p>Agreeing draft report and action plan</p> <p>Respond to audit reports and implementation of findings</p>
Processes	<p>Provide an independent Internal Audit service in accordance with its approved Terms of Reference and audit plan. The service to consist of:</p> <p>Risk based systems audits</p> <p>Contract audit</p> <p>IT audit</p> <p>Value for Money work</p> <p>Fraud work</p> <p>Advice</p> <p>Liaison with external auditors.</p>
Outputs	<p>Audit process outputs</p> <p>Issue of an Audit Brief. Test evidence. Draft report, Final report. Follow up of implementation.</p> <p>Committee reports.</p> <p>Advice.</p>

	Provision of a formal annual opinion re the effectiveness of the authority's control environment. Update reports to S 151 Officer.
Output Responsibility	Audit Manager

Supporting Data

Timescales	Annual, in accordance with the annual plan, with quarterly progress reports to Audit Committee and monthly reports to S 151 Officer. More frequent reporting if necessary.
Outcomes	Council receives assurance, or otherwise, of the effectiveness of its system of internal control. Its response to IA work should lead to the strengthening of the control environment and, therefore, contribute to the achievement of its objectives by the proper, efficient, effective and economic use of resources. Council complies with Accounts and Audit Regulations 2003 (as amended 2006).
Inter- dependencies	IA should have unrestricted access to Council records, assets, premises and staff and the authority to obtain such information and explanations as necessary to fulfil its responsibilities. Ability to carry out audits without affecting the delivery of the customers end service A positive response to IA recommendations. Training - continuing staff development. Independence from non-audit duties. Auditors to use due professional care. Provision of sufficient resources to enable the service to be effective.
Quality	IA complies with the Chartered Institute of Finance's Code of Practice for Internal Audit and its work can be relied upon by the external auditor.
Volumes	In accordance with the approved annual plan.

Shared Service	Finance
Service Name	Benefit Fraud
Description	Review and investigation of all identified issues in relation to benefit fraud leading to recovery
Service Reference	FN11
Service Owner	Head of Service

Inputs/Outputs

Inputs	Referrals Housing Benefit Matching Service (HBMS) National Fraud Initiative (NFI) Performance Standards Other joint working partners including Police, Department for works and Pensions (DWP).
Input Quality Measures	Access to above systems Claims for benefit processed with no errors Policies and procedures up to date
Customer Responsibility	Revenue and Benefits staff to action the outcome of the investigation by Fraud with 7 days. External organisations provide intelligence requested within timescales agreed.
Processes	Receive referral and risk assess Identify appropriate lines of enquiry Identify potential sources of information and witnesses Consider other agencies and liaise with accordingly. Apply appropriate investigative techniques to secure evidence (for example surveillance) Interview witnesses and customer Obtain necessary evidence to allow benefit to be re-determined Review facts and consider a sanction Maintain accurate records
Outputs	Correct amount of benefit paid Any overpayment of benefit identified Sanction issued and or case closed Levels of Fraud reduced.
Output Responsibility	Fraud Manager

Supporting Data

Timescales	N/A
Outcomes	Performance standards met and KLOE's
Inter- dependencies	National Anti Fraud Network (Nafn) Intelligence organisation Court Witnesses and 3 rd party information suppliers Access to IT systems
Quality	Local PI's Sanctions achieved
Volumes	Approximately 250 cases per year investigated

Shared Service	Finance
Service Name	Corporate Anti Fraud
Description	Review and investigation of issues in relation to the control and risks in relation to the councils assets and governance
Service Reference	FN12
Service Owner	Head of Service

Inputs/Outputs

Inputs	Referrals for investigation Other joint working partners including Police, Department for works and Pensions (DWP). Access to fraud module for corporate fraud cases
Input Quality Measures	Access to above systems Policies and procedures up to date
Customer Responsibility	Accurate records and procedures
Processes	Receive referral and risk assess Identify appropriate lines of enquiry Delivery of investigation to include (external partners, internal resource, surveillance, interviews) Review facts and report outcomes Consider legal and or disciplinary action Maintain accurate records
Outputs	Report of Recommended actions relevant to case Adherence to Anti Fraud and Corruption Policy Confidence in policies and procedures
Output Responsibility	Fraud Manager

Supporting Data

Timescales	Dependant on issue
Outcomes	Council assets are protected
Inter- dependencies	Other agencies Council departments Employment tribunals Disciplinary hearings Court Access to IT systems
Quality	Losses are limited and procedures in place to prevent/stop fraudulent activities
Volumes	Not known
Review Date	Initial 6 month review then annually.

Summary Policies Utilised across the Services

Appendix B

Policy	Service ref	Service Name	Common	WBC	TRDC
Council Constitution – Finance Procedure Rules Contract Regulations		All	✓		
Financial management – monitoring etc?					
Money Laundering		All	✓		
Capital Strategy	FN08	Treasury, Investments and banking services	✓		
Whistle blowing		All	✓		
Corporate Anti-Fraud and Corruption Strategy	FN10 FN11 FN12	Internal Audit Benefit Fraud Corporate Fraud	✓		
Treasury Management	FN08	Treasury, Investments and banking services	✓		
Investment Strategy	FN08	Treasury, Investments and banking services		✓	✓
Value Added Tax	FN05 FN09	Return's VAT, TAX Govt, AES Accounts Payable	✓		
CIS	FN05 FN09	Return's VAT, TAX Govt, AES Accounts Payable	✓		

3.3 Performance Indicators

Shared Service	Finance
Service Name	Budget setting Service Planning and Forecasting
Service Reference	FN01
Service Owner	Head Of Service

Service Level Performance Indicators

Measure 1			
Description	Budget monitoring and budget setting timetable agreed prior to commencement of the financial year		
Purpose	To measure compliance on reporting deadlines		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Review Date	Initial 6 month review then annually		

Shared Service	Finance
Service Name	Month end account closure & processing
Description	Period end closure ensuring financial statements reflect a full and true view of costs incurred and control processes including reconciliations are completed
Service Reference	FN02
Service Owner	Head Of Service

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Bank and system reconciliations		
Purpose	Monthly reconciliations are performed and signed off within 10 days of period end		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Measure 2			
Description	Approved changes to budgets		
Purpose	Budget changes are uploaded to the financial management system within 2 days of approval		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Measure 3			
Description	Third Party payments (e.g. payroll deductions)		
Purpose	Payments generated by Finance are made to statutory deadlines and for other parties, within 10 days of month end		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Review Date	Initial 6 month review then annually		

Shared Service	Finance
Service Name	Monthly Budget Monitoring Reports
Description	Review and reporting of actuals against plan with value add narrative where applicable
Service Reference	FN03
Service Owner	Head Of Service
Volumes	1,000 individual budget categories

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Overall Revenue Budget Performance		
Purpose	To ensure Revenue budgets are not overspent, and that an under-spend is contained within 3% of original budget.		
Go Live	Year 1	Year 2	Year 3 (end goal)
	-3% to 0%	-3% to 0%	-3% to 0%
Measure 2			
Description	Overall Capital Budget Performance		
Purpose	To ensure Capital budgets are not overspent, and that an under-spend is contained within 3% of original budget, and that individual schemes are completed on time.		
Go Live	Year 1	Year 2	Year 3 (end goal)
	-3% to 0%	-3% to 0%	-3% to 0%
Measure 3			
Description	Agree budget monitoring and budget setting timetables are met.		
Purpose	Ensure robust control and good practice are in place		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Review Date	Initial 6 month review then annually		

Shared Service	Finance		
Service Name	Closure of annual accounts & production of statements		
Description	Year end closure of accounts together with all relevant and necessary financial statements and returns including sign off by committee		
Service Reference	FN04		
Service Owner	Head Of Service		
Service Level Performance Indicators (how will it be measured)			
Measure 1			
Description	Cumulative ongoing cashable efficiency gains NI179		
Purpose	To ensure the councils are achieving required targets.		
Go Live	Year 1	Year 2	Year 3 (end goal)
Watford	£1.688m	£2.573m	TBA
Three Rivers	£1.004m	£1.530M	TBA
Measure 2			
Description	Statement of accounts approval		
Purpose	Final Accounts – The statement of accounts will be produced and approved by a respective Audit committee by June 30 th . The statements will be presented with no material errors and published with an unqualified audit opinion by 30 th September		
Go Live	Year 1	Year 2	Year 3 (end goal)
Watford	Confirmed	Confirmed	Confirmed
Three Rivers	Confirmed	Confirmed	Confirmed
Measure 3			
Description	Use of Resources-level 3 for Managing Finances		
Purpose	To ensure quality of financial delivery is meeting expectations.		
Go Live	Year 1	Year 2	Year 3 (end goal)
Watford	3	3	3
Three Rivers	3	3	3
Review Date	Initial 6 month review then annually		

Shared Service	Finance
Service Name	Compilation of government returns
Description	All financial and non financial returns where financial input is required on behalf of the customers of the Shared Service
Service Reference	FN05
Service Owner	Head Of Service

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Revenue Account (RA)		
Purpose	Completed form returned by government specified date		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Measure 2			
Description	Revenue Summary (RS)		
Purpose	Completed form returned by government specified date		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Measure 3			
Description	Capital Outturn (CO)		
Purpose	Completed form returned by government specified date		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Review Date	Initial 6 month review then annually		

Shared Service	Finance
Service Name	Provision of financial advice to budget holders and Members
Description	Adhoc and standard monthly reporting delivering a value add service to support decision making across the authorities
Service Reference	FN06
Service Owner	Head Of Service

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Percentage user satisfaction with Financial services.		
Purpose	To achieve improvements in and measure outputs.		
Go Live	Year 1	Year 2	Year 3 (end goal)
	85%	90%	95%
Review Date	Initial 6 month review then annually		

Shared Service	Finance
Service Name	Insurance
Description	Ensuring the Authority has the relevant level of insurance cover and claims handling
Service Reference	FN07
Service Owner	Head Of Service

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Customer satisfaction		
Purpose	To determine level of customer satisfaction with the service		
Go Live	Year 1	Year 2	Year 3 (end goal)
	80%	80%	85%
Measure 2			
Description	Successful defence of claims		
Purpose	To mitigate loss and reduce insurance premiums		
Go Live	Year 1	Year 2	Year 3 (end goal)
	80%	80%	80%
Measure 3			
Description	Ensure correspondence is answered within 10 working days of receipt		
Purpose	Supports Customer satisfaction with service		
Go Live	Year 1	Year 2	Year 3 (end goal)
	95%	95%	95%
Review Date	Initial 6 month review then annually		

Shared Service	Finance
Service Name	Treasury , Investments and Banking Services
Description	Management of short and long term cash flow and ensuring investments are made that maximise returns in line with a secure policy
Service Reference	FN08
Service Owner	Head Of Service

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Average investment interest rate to be no less 0.12% different from average base rate		
Purpose	To make best use of the Authorities financial reserves using a secure and risk managed approach		
Go Live	Year 1	Year 2	Year 3 (end goal)
	0.12%	0.12%	0.12%
Review Date	Initial 6 month review then annually		

Shared Service	Finance
Service Name	Accounts Payable
Description	Purchase and payment of suppliers for goods and services received by the Councils in line with a controlled process
Service Reference	FN09
Service Owner	Head Of Service

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Percentage of undisputed invoices paid within 30 days (formerly BV8)		
Purpose	Clarity of pre approved procurement using appropriate methods <i>{Note - during current economic climate, both councils are endeavouring to pay SMEs within 10 days}</i>		
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Measure 2			
Description	Percentage of invoices paid by BACS (currently reported by Watford only)		
Purpose	Drive best practice in procurement and remove one off or off piste purchasing		
Go Live	Year 1	Year 2	Year 3 (end goal)
	75%	90%	90%
Measure 3			
Description	Percentage of all purchasing conducted electronically measured by emailed orders		
Purpose	Drive best practice in procurement and reduction in transaction costs/effectiveness		
Go Live	Year 1	Year 2	Year 3 (end goal)
	40%	70%	100%
Review Date	Initial 6 month review then annually.		

Shared Service	Finance
Service Name	Internal Audit (IA)
Description	Planning and delivery of audit plan to include control and process improvement recommendations and chasing action plans to completion
Service Reference	FN10
Service Owner	Audit Manager

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Achievement of annual plan, subject to approved alterations.		
Purpose	Ensures agreed plans are delivered in an effective manner. To enable provision of annual opinion of controls		
Go Live	Year 1	Year 2	Year 3 (end goal)
Combined	92%	92%	92%
Review Date	Initial 6 month review then annually.		

Shared Service	Finance
Service Name	Benefit Fraud
Description	Investigation of all benefit fraud cases including the issue of sanctions which include prosecution, financial penalties and official cautions
Service Reference	FN11
Service Owner	Head of Service
Volumes	Approximately 330 cases per year investigated

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Anti Fraud – Number of Investigations		
Purpose	To record the number of fraud investigations		
Go Live	Year 1	Year 2	Year 3 (end goal)
	310	320	330
Measure 2			
Description	Anti Fraud - Number of Investigators		
Purpose	Number of fraud investigators		
Go Live	Year 1	Year 2	Year 3 (end goal)
	5	5	5
Measure 3			
Description	Anti Fraud - Number of Sanctions		
Purpose	Number of sanctions administered		
Go Live	Year 1	Year 2	Year 3 (end goal)
	58	60	62
Review Date	Initial 6 month review then annually.		

Shared Service	Finance		
Service Name	Corporate Anti Fraud		
Description	Investigation of allegations of corporate fraud		
Service Reference	FN12		
Service Owner	Head of Service		
Measure 1			
Description	All referrals for investigation will be commenced within 5 days of receipt		
Purpose			
Go Live	Year 1	Year 2	Year 3 (end goal)
	100%	100%	100%
Review Date	Initial 6 month review then annually.		

3.4 Benchmarking Information

Measure: Cost					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
Cost Measures (56 measures)	Shire Districts	Three Rivers – of the 56 cost comparators, 41 were better than average and 15 were lower. Watford – will use this benchmarking group in 2009	See Result	02/10/2008	CIPFA-IPF Accountancy Benchmarking Club
Staffing Measures (21 measures)	Shire Districts	Three Rivers – of the 21 staff comparators, 11 were better than average and 10 were lower. Watford – will use this benchmarking group in 2009	See Result	02/10/2008	CIPFA-IPF Accountancy Benchmarking Club
Measure: Quality					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
Quality Measures (24 measures)	Shire Districts	Three Rivers – of the 24 quality comparators, 13 were better than average and 11 were lower. Watford – will use	See Result	22/10/2009	CIPFA-IPF Accountancy Benchmarking Club

		this benchmarking group in 2010.			
Internal Audit will meet CIPFA's Code of Practice criteria		Compliant		June 2008	Self-assessment but IA also subject to annual review by external auditor(s).
Measure: Other					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
Time series Analysis (8 measures)	Shire Districts	Three Rivers – of the 8 comparators, 7 were better than average and 1 was lower. Watford – will use this benchmarking group in 2010.	See Result	22/10/2009	CIPFA-IPF Accountancy Benchmarking Club

3.5 Outstanding Recommendations of External Inspections

Insert here the name of the Inspectorate – the title of their report from which the recommended action has come – and the date of the report

<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
Enter here the recommended action of the inspectorate	High Medium Or Low	Enter here who is responsible for the action	Enter here what action has been taken	✓ or x	Enter history of Implementation
Insert here the name of the Inspectorate – the title of their report from which the recommended action has come – and the date of the report					

3.6 Projects

Project	Apr 2009	May 2009	Jun 2009	Jul 2009	Aug 2009	Sep 2009	Oct 2009	Nov 2009	Dec 2009	Jan 2010	Feb 2010	Mar 2010	2010- 2011	2011- 2012	Progress / Comments
None															

3.7 Equalities

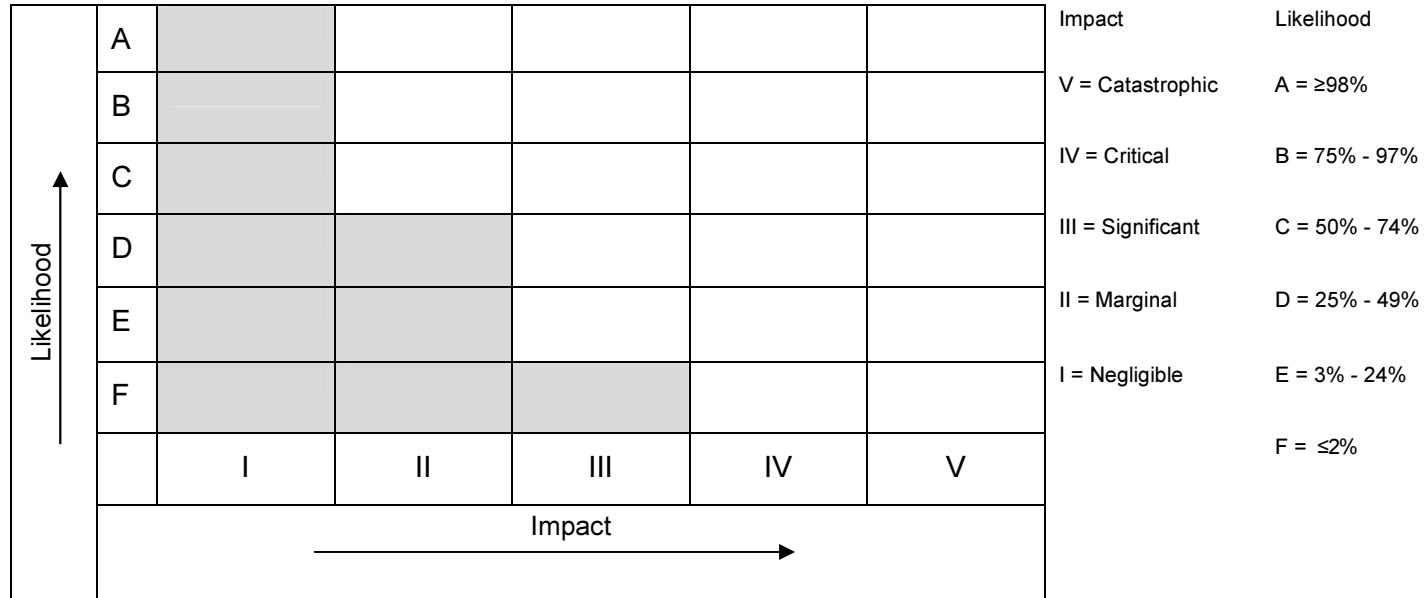
Work will be undertaken by both council's equality officers to produce a common equalities reporting template for all services in line with the new national equalities framework. This element of the service plan will be reported to members for approval on 11th January 2010".

FINANCE RISK REGISTER

All Services Operational Risks							
Risk	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
1	Insufficient staff	Service Disruption	I	D	Upated from Risk Classification IIF following comments form Watford SHoF and adverse publicity. Staffing in AP now <i>critical</i> function. Need to ensure full establishment and recruitment actions maintain quality to deliver.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	14/05/10
		Reputation	IV			Next Milestone Date	01/12/10
		Legal Implications	I			Next Review Date	01/12/10
		People	I			Date Closed	dd/mm/yy
2	Failure of ICT Systems	Service Disruption	I	D	Upated from Risk Classification IIIF following comments form Watford SHoF and adverse publicity. IT for AP now <i>critical</i> function.	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	14/05/10
		Reputation	IV			Next Milestone Date	01/12/10
		Legal Implications	I			Next Review Date	01/12/10
		People	I			Date Closed	dd/mm/yy
3	Loss of Accommodation	Service Disruption	II	F	Upated from Risk Classification IIE following comments form Watford SHoF and adverse publicity. AP now <i>critical</i> function.	Requires Treatment	Yes
		Financial Loss	I			Last Review Date	14/05/10
		Reputation	IV			Next Milestone Date	01/12/10
		Legal Implications	I			Next Review Date	01/12/10
		People	I			Date Closed	dd/mm/yy

Finance Service Operational Risks

Risk	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
4	Mortgagors default	Service Disruption	I	F	Loss of capital receipt and need to invoke legal procedures for restoration	Requires Treatment	No
		Financial Loss	I			Last Review Date	14/05/10
		Reputation	I			Next Milestone Date	01/12/10
		Legal Implications	I			Next Review Date	01/12/10
		People	I			Date Closed	dd/mm/yy
5	Progress against audit recommendations is not monitored, they are not implemented and internal controls are therefore weakened	Service Disruption	I	F	If internal audit recommendations are not implemented essential controls will be inadequate and the Council's governance arrangements will be weakened.	Requires Treatment	No
		Financial Loss	I			Last Review Date	14/05/10
		Reputation	I			Next Milestone Date	01/12/10
		Legal Implications	I			Next Review Date	01/12/10
		People	I			Date Closed	dd/mm/yy
6	Failure to renew banking services contract. [Banking Contract successfully renewed in 2010]	Service Disruption			Failure to ensure banking arrangements in place will have serious impacts on council cash flows and inability to meet needs of customers and suppliers with major impact on the vulnerable.	Requires Treatment	No
		Financial Loss				Last Review Date	14/05/10
		Reputation				Next Milestone Date	
		Legal Implications				Next Review Date	
		People				Date Closed	
7	Fail to close Accounts on time	Service Disruption			2009/10 Accounts for Watford, Three Rivers and Shared Services closed and reported on time..	Requires Treatment	No
		Financial Loss				Last Review Date	01/02/11
		Reputation				Next Milestone Date	
		Legal Implications				Next Review Date	
		People				Date Closed	



FINANCE RISK ASSESSMENT AND TREATMENT PLANS

Risk Ref:	1	Risk Title:	Insufficient Staff		
Responsibility		<i>Who is managing the risk?</i>	Head of Finance		
Consequence		<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>	A prolonged absence of staff could result in some services being reduced or suspended.		
Cause / Trigger		<i>What happens to bring the risk into being?</i>	Staff resignations, inability to recruit to vacancies, long term sickness, illness to significant number of staff in same incidence e.g. pandemic flu, strike action, severe weather.		
Existing Control		<i>What controls exist now to minimise the risk?</i>	<ul style="list-style-type: none"> • In the current economic climate pay and terms & conditions are adequate to attract and retain skills required. Market force payments are available. The organisational structure is new and not yet tested. The organisation has been supported for many years with bought in expertise and this support will end in July 2010. • The Finance SCP lists the priority services of the department. • Some staff work additional time at weekends and evenings to meet peak workloads and this has been managed by overtime or time in lieu. Budgets do now exist for overtime and costs have to be managed within existing resources. • Staff turnover is historically low. • Motivation and satisfaction levels captured during appraisals is high. 		
Adequacy of Control		<i>What evidence is there that the existing Controls are working?</i>	<ul style="list-style-type: none"> • At commencement of the shared service, accountancy service was 30% down on employees, internal audit and fraud teams were fully staffed. One recruitment drive proved sufficient to attract required staffing. • The corporate BCP and the SCPs are tested annually at a tabletop exercise. 	Impact	Likelihood
		<i>What would the Risk Rating be without the existing controls?</i>		V	D

Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>	<ul style="list-style-type: none"> Market force payments need to be regularly reviewed and flexibility is necessary to set parameters within service along with the need to increase, reduce, withdraw and add. Need additional budgets if vacancies or absences are long term – bought in expertise costs more than retained staff. Monitor outcomes from appraisals and staff feedback in groups and individuals. Continued cross-training of staff allows for more resilience 		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>	Yes – a bought in accountant costs £3k per week + expenses	£ variable	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	Budgets in shared services are cash limited and cannot be increased without consent of all partner councils. Ability to finance vacancies from existing budgets is extremely limited. Revised May 2010	Impact	Likelihood
			IV	D
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	Reduced risk is possible if additional budget facility was always immediately available.	Impact	Likelihood
			II	F

Risk Ref:	2	Risk Title:	Total failure of ICT systems		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT with Head of Finance		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		ICT system(s) fail and data and documentation required is not available electronically		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		System(s) down, failure of software supplier		
Existing Control	<i>What controls exist now to minimise the risk?</i>		<ul style="list-style-type: none"> • Corporate Business Continuity Plan • Service Continuity Plan • Disaster Recovery contract 		
Adequacy of Control	<i>What evidence is there that the existing controls are working?</i>		<ul style="list-style-type: none"> • BCP, SCP and DR Plan are tested annually 	Impact	Likelihood
	<i>What would the Risk Rating be without the existing controls?</i>			V	D
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Loss of ICT systems controlled by ICT service. Controls and actions incorporated in ICT Risk Register		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		See ICT Risk Register	£	
Current Status	<i>What is the current position on introducing additional controls?</i>		N/A	Impact	Likelihood
	<i>What is the current Risk Rating</i>		Revised May 2010	IV	D
Critical Success Factor	<i>How will you know that the action taken has worked?</i>		System(s) will be restored within required timescales	Impact	Likelihood
	<i>What will be the Risk Rating outcome with the new controls?</i>		See ICT Risk Register		
Risk Ref:	3	Risk Title:	Loss of accommodation		

Responsibility	<i>Who is managing the risk?</i>	Emergency Planning and Risk Manager with Head of Finance		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>	Office accommodation becomes unavailable and staff have nowhere to work. Records could be destroyed.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>	Three Rivers House is not available due to fire, flood or other disaster		
Existing Control	<i>What controls exist now to minimise the risk?</i>	<ul style="list-style-type: none"> Corporate Business Continuity Plan and Service Continuity Plan 		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>	<ul style="list-style-type: none"> BCP and SCP are tested annually Disaster Recovery contract includes alternative accommodation 	Impact	Likelihood
			III	D
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>	None		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>	None	£	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	N/A	Impact	Likelihood
			IV	F
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	Accommodation will be provided within required timescales	Impact	Likelihood
			III	D

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
0.1	11/02/20	Draft for discussion of contents by Shared Services Management Team	AP



DRAFT HUMAN RESOURCES SERVICE PLAN

2011 - 2014

Version 0.2 – Shared Services Joint Committee – 7 March 2011

CONTENTS

Section	Item	Page
1	Key Purpose of the Service	
1.1	Scope of the Service	1
1.2	Contribution to Shared Services Objectives	2
1.3	Contribution to the Councils' Strategic Objectives	4
1.4	The Future of the Service	7
2	Inputs	
2.1	People	8
2.2	Workforce Planning	10
2.3	Partnerships & Contracts	11
2.4	Assets and Technology	12
2.5	Current Budgets	14
2.6	Revenue Growth, Service Reductions and Cashable Efficiency Gains	15
2.7	Capital Investment	16
3	Outputs and Outcomes	
3.1	Customer Insight and Consultation	17
3.2	Service Level Agreements	23
3.3	Performance Indicators	24
3.4	Benchmarking information	26
3.5	Outstanding Recommendations of External Inspections	27
3.6	Projects	29
3.7	Equalities	32
3.8	Risk Management	33
	Version Control	40

SECTION 1: KEY PURPOSE OF THE SERVICE

1.1 Scope of the Service

a) Introduction

The role of the Shared Human Resource (HR) Service is to provide a proactive and responsive advisory and support service in relation to corporate health and safety, learning and development, employment and payroll. As set out in section 1.3 of this service plan, the Shared HR service will contribute to the corporate governance and assist in the achievement of the aims and objectives of both Watford Borough and Three Rivers District Council. The shared HR service will be based in Watford Council offices.

Our internal customers include Management Board (Three Rivers), Leadership team (Watford), Service Heads, Line Managers and Staff in both authorities and Elected Members. External customers include users of the Criminal Records Bureau umbrella body service, job applicants, work placements and the organisations we work in partnership with to deliver our service. Services are provided to West Herts Crematorium on a client basis and occasionally to Parish Councils (Three Rivers DC).

Services are currently delivered face to face, over the phone, by email or via the intranet. Manager and employee self service are available via Resource Link, the HR and Payroll information system (HRIS)

Although many of the services provided by the Shared HR service are discretionary, Health and Safety has a strong compliance element and the service will need to develop policies and procedures and advise on compliance with employment law. There will also be a requirement to return employment data to the Office for National Statistics and the Department for Work and Pensions and to produce annual workforce profile reports for both Councils.

1.1 Scope of the Service (continued)

b) What services are provided?

- ✚ Advise and support to managers on a range of HR related issues including employee relations
- ✚ Advise and support with organisational change, restructuring, redundancy and redeployment
- ✚ Corporate health and safety advice and training
- ✚ Workforce development planning – workforce profiling, skills gap analysis
- ✚ Achieve and retain where applicable corporate accreditations (IIP, Customer Service Excellence, Two Ticks)
- ✚ Training and development – analysis of corporate needs from performance appraisal
- ✚ Recruitment – policy, procedural advice and support
- ✚ Services and responsibilities as a Registered and Umbrella Body for Criminal Records Bureau (CRB) checks
- ✚ Pre-employment checks – references, medical, work permits, CRB checks
- ✚ Employment contracts – casual, temporary and permanent
- ✚ Induction – Corporate induction, monitoring and review of departmental induction activities
- ✚ Job evaluation

- # Pay and reward strategy
- # Development and review of HR and learning and development policies and processes
- # Consulting and negotiating with trade union / staff representatives
- # Provision of management information including organisational health performance indicators, statistical surveys, absence reports
- # Welfare services – outplacement services, counselling, mediation
- # Payroll (via managed service contract)

1.2 Contribution to Shared Services Objectives

Savings	<p>The Shared HR service will be part of a wider shared service initiative between Watford Borough and Three Rivers District Council. The overall savings of this venture were £1.6 million for 2009/10 (£400,000 for Three Rivers and £1,200,000 for Watford).</p> <p>Due to a reduction in time and effort spent, savings will be made in the following areas :</p> <p>When creating or revising employment policies or procedures in response to legislative changes, best practice or harmonisation When implementing employee benefits (i.e. childcare vouchers, home computing initiative) When bench marking, preparing for corporate service assessments (Customer Service Excellence, liP, Two Ticks), service planning, performance monitoring. Policy harmonisation (annual leave, recruitment, grievance and disciplinary as priority areas)</p> <p>It is also intended to align the performance appraisal cycles in both authorities from October 2011 so that a joint approach can be taken to training needs analysis, workforce development planning and the design and delivery of training and development activities.</p> <p>In the case of occupational health and welfare services (i.e. outplacement, counselling, mediation), greater value of money should be realised through increased bargaining power and the consolidation of our joint needs. For example, only one subscription to an on-line employment advice website will be required, job advertisements could be consolidated and customers in both authorities would benefit from the return on investment in learning and development events and materials.</p> <p>Investment in one sophisticated HR and payroll information system (with one annual licence fee and one set of training requirements) will enable a reduction in time spent collecting and producing data and management reports. The new system will enable more paperless HR and payroll processes which will result in further savings.</p> <p>Health and Safety advice for Watford and Three Rivers will be sourced via Hertfordshire County Council, representing a saving of approximately £24,000 per annum. The annual cost of this advice will be shared between both Councils and the HCC adviser will continue to provide advice and support to both councils.</p>
---------	--

Resilience	<p>Combining the strengths, experience and knowledge of the officers in both HR teams will be of benefit to customers in both councils. There should be less disruption to service during periods of annual leave or sickness, particularly to Three Rivers customers who are used to a team of between 3 and 5 FTEs.</p> <p>The shared HR service has developed a multi-skilled first line enquiry service which will provide cover throughout operating hours and the self-service aspects of the HR and payroll information system which will provide an additional means of access to some HR and payroll services.</p>
Improved Services	<p>In addition to the improvements by virtue of greater resilience as described above, the shared HR service will deliver the following service improvements :</p> <p>The Charter Mark standard was replaced by Customer Service Excellence in 2009 and this standard was achieved by the shared HR service. This demonstrates that high standards of service are set, a customer-orientated ethos is developed and HR staff are motivated with high levels of job satisfaction resulting in excellent services to customers.</p> <p>Investment in one sophisticated HR and payroll information system will make a greater degree of information available to customers through its self service features. It will also make routine payroll and HR transactions more streamlined, customer orientated and paperless and enable a responsive and quality service in respect of producing HR statistics and management reports. Storing payroll and HR data held in one place will improve data quality as it is more likely to be accurate and up to date. Enabling paperless processes and improving access to up to date, accurate and meaningful HR and pay data should empower and make life easier for our customers.</p> <p>The shared HR service will include five HR business partners who work with dedicated service areas in the two councils to enable HR to gain a greater depth of understanding of their needs, to enable relevant and responsive HR services.</p> <p>Customers in both authorities should benefit from a greater choice of shared relevant, accessible learning and development resources and activities.</p> <p>The Shared HR Service will be developed to enable voluntary organisations within the Watford district to access the CRB countersignature service already in place for the Three Rivers district.</p>

1.3 Contribution to the Councils' Strategic Objectives

Three Rivers District Council

The shared HR service will help service managers to ensure that the right people are in the right place at the right time in order to achieve individual, service and strategic objectives. The shared HR service will also directly contribute to Three Rivers strategic objectives as follows:

Safer Communities	<p>Voluntary organisations in the community will continue to be able to access a free of charge Criminal Record Bureau (CRB) quality checking and countersigning service under the Three Rivers umbrella body arrangement. This helps to ensure the safety of children, vulnerable adults and other users of voluntary services and activities in the district.</p>
Sustainable Communities	<p>Customers - A full staff survey took place during the Autumn of 2008 the results of which helped to establish the extent to which we meet the needs and expectations of our internal customers. A customer satisfaction survey took place in September 2009. Once again this has helped to establish whether HR customer satisfaction levels increase or reduce under a shared service arrangement and help to identify areas for improvement. HR subscribe to CIPFA benchmarking data on an annual basis and this provides a good source for comparison against other Districts within Hertfordshire.</p>
Towards Excellence	<p>To ensure that our recruitment and development activities and employment processes promote opportunity for job applicants and existing staff with disabilities the service will maintain the standard required to achieve and maintain the Two Ticks disability symbol. The service will ensure that recruitment and selection processes continue to be fair, transparent, free of bias or discrimination of any kind and continue to spot check recruitment and selection practices.</p> <p>Finance - We will consider adopting the arrangement in Watford whereby agency workers are supplied through Comensura (vendor neutral supplier) where appropriate; this should result in some savings through increased bargaining power and therefore lower hourly rates also through reduced administration and reduced risk of claims of accrued employment rights. We will seek to bench mark our service against other similar shared HR services wherever possible.</p> <p>Operations – Employment procedures that exist to eliminate performance problems such as disciplinary, capability and absence management procedures have statutory or locally agreed timescales and response times. These will be adhered to and where possible, amended to ensure they continue to be thorough, fair and do not use up more time than is necessary. The performance appraisal forms and process will be improved to enable timely completion of appraisals and therefore timely design and delivery of the necessary learning and development activity. We will continue to strive to have the lowest sickness absence rates in the County to</p>

	<p>minimise any impact on service delivery arising from illness. We will continue to develop ways to motivate and provide job satisfaction for all our employees so that outputs are high, turnover is low and recruitment costs are kept to a minimum. Performance statistics for the HR service (other than corporate health) will be established to monitor the time taken to turnaround HR activities, cost per activity and then targets for improvement will be set. See also Section 1.2 'Improved Services'.</p> <p>Capacity - The service will use the Investors In People framework to ensure that our staff are properly trained, developed and motivated to deliver service and corporate objectives and provide high quality services to the public. The service will also provide training and development opportunities for Elected Members.</p> <p>Data Quality - Performance Indicators for the HR service will be reviewed to ensure that they are valid, relevant, accurate, reliable and can be produced within necessary time scales</p>
Watford Borough Council	
Improve the health of the town and enhance its heritage	<p>HR's contribution is to CP1 – an efficient, effective, value for money Council.</p> <p>Sickness Management – the implementation of the Nurse Contact Centre service with on-line real time sickness data for managers and quarterly review meetings with Heads of Service on analysis of trends, sickness statistics and performance of managers on conducting return to work interviews has cut sickness absence to an average of 8.5 days per employee for the year 2009/10, which is the lowest in Watford's recent history. This service will continue in 2011/12.</p> <p>The physiotherapy service for employees on sickness absence for musculo-skeletal conditions has cut the duration of such absences. The combined effects of these initiatives should enable greater inroads into sickness absence in the next calendar year.</p> <p>Finance for Non-financial Managers training should enhance the skills and financial awareness of managers.</p> <p>Review of Management Development Programme and Talent Management initiatives – should make more effective use of talent in the organisation and enhance succession planning. A pilot of sourcing of short course providers and devolvement of short course budgets to departments should enable the L&D aspects of the Shared Service to be more achievable by reducing administrative work.</p> <p>Supporting organisational change – HR will continue to support organisational change and value for money initiatives</p>
Enhance the town's 'clean and green' environment	
Enhance the town's sustainability	
Enhance the town's economic prosperity and potential	
Supporting individuals and the community	
Securing an efficient, effective, value for money council	
Influence and partnership delivery	

	<p>Equal Pay Audit Action Plan – This plan will continue to be implemented to reduce the risk of equal pay challenges.</p> <p>Health and Safety – the conclusions of the review of Health and Safety approaches will be implemented and training take place on corporate manslaughter to minimise organisational risks</p>
--	--

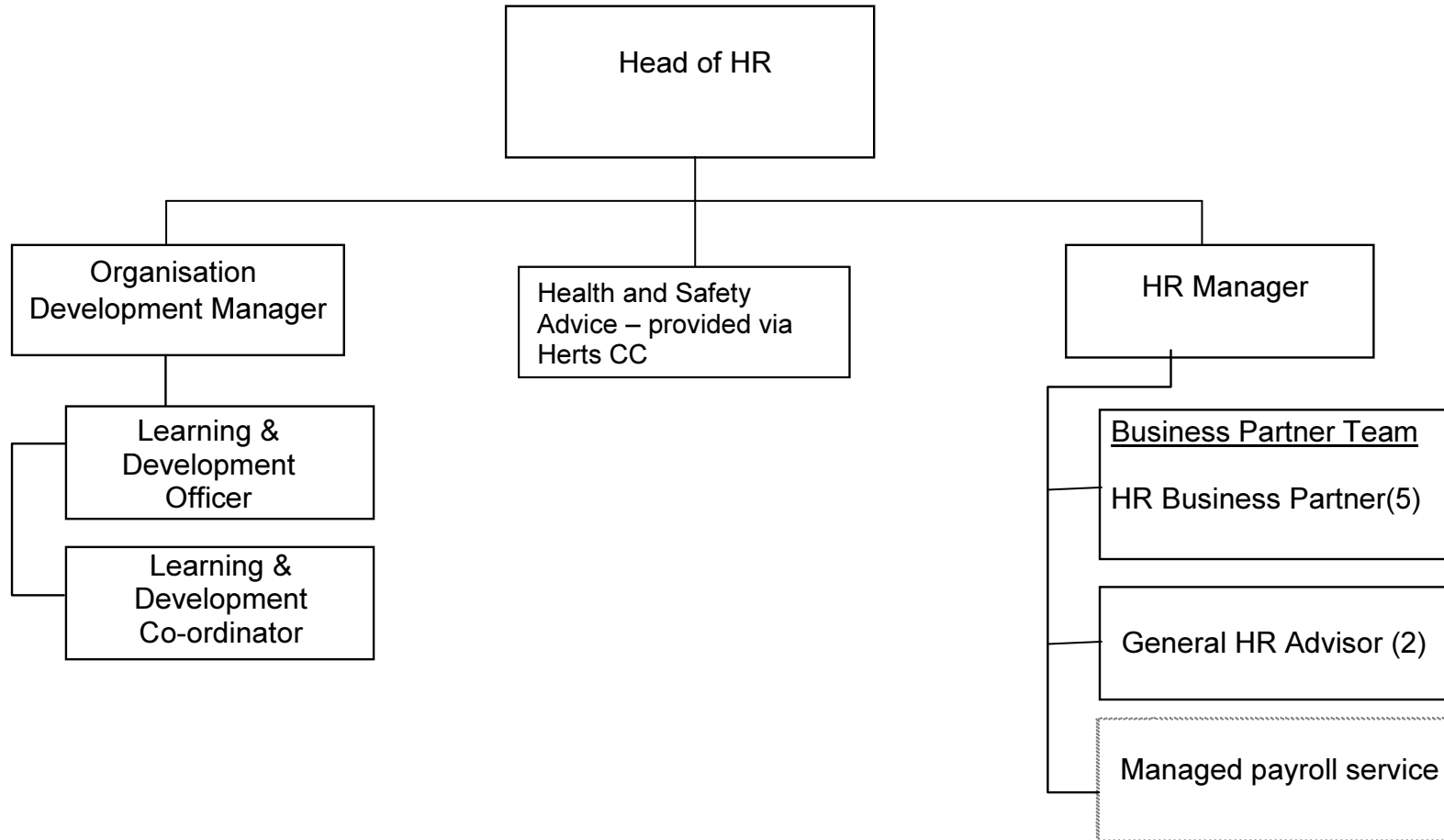
Priority areas for improvement and development for the next three years (2010 – 2013)

- ✚ Consider opportunities to increase payroll service provision beyond Three Rivers and Watford.
- ✚ Create one workforce development plan for both Watford and Three Rivers
- ✚ Extend learning and development opportunities to other councils or sectors i.e. voluntary organisations
- ✚ Develop a joint approach to recruitment advertising beyond Watford and Three Rivers
- ✚ Review job evaluation scheme and process at Three Rivers with a view to implementing National Joint Council Job Evaluation Scheme
- ✚ Align occupational health arrangements for Watford and Three Rivers and look into extending those services to other organisations and investigate use of physiotherapy service (COPE) to reduce the cost of absence caused by employees off sick with musculoskeletal conditions.
- ✚ Contribute to the achievement of the Customer Service Excellence quality standard for Watford and Three Rivers
- ✚ Extend HR Shared Service approach to other Districts and Parish Council in Hertfordshire
- ✚ Extend CRB umbrella body services to Watford to contribute to 'safer town' strategic objective
- ✚ Joint on line appraisal scheme and workforce development planning for both Councils
- ✚ Harmonisation of policies and procedures where applicable and practical.

SECTION 2: INPUTS

2.1 People

Organisation Chart



HR Shared Services: Establishment List post restructure (approved by Joint Committee)

Job Title	Grade	No.	FTEs
Head of Human Resources	Head of Service	1	1
Organisational Development Manager	9	1	1
HR Manager	10	1	1
Learning and Development Officer	7	1	1
Learning and Development Coordinator	4	1	1
Health and Safety Advisor – now provided via SLA with Herts CC	8	1	1
HR Advisor	5	2	2
HR Business Partner	8	7	5

2.2 Workforce Planning			
Overview			
Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
Working as Business Partners The shared HR service will be taking a ‘business partner’ approach to service delivery	HR staff may benefit from an understanding of the concept of a Business Partner approach to HR	A session to share this with colleagues and discuss the implications for both authorities	A CIPD toolkit has already been purchased by WBC. Improving understanding of the business partner concept will contribute towards the success of its application in practice.
GLEA Job Evaluation Scheme (Three Rivers) If a decision is taken to adopt the NJC job evaluation scheme at TRDC in the near future then training for other HR business partners will not be required. However, if this change is delayed or does not happen at all for any reason then it would be essential to have more than one GLEA trained HR Business Partner.	If there were insufficient HR business partners trained to carry out job evaluations for TRDC it will have a negative impact on the service to TRDC customers particularly at times of annual leave etc.	Ensure there are at least two HR business partners trained in the GLEA JE scheme.	A budget may be required to cover the possible need for GLEA JE training for at least one other HR Business Partner within the shared HR service. HR staff will need the necessary knowledge and skills otherwise resilience benefits will not be realised.
Employment Law Changes in employment law happen all the time	HR staff must keep up to date with developments and implications for customers in order to give sound, up to date advice.	HR manager and HR business partners attend employment law updates annually	A good spread of sound knowledge will ensure quality services to customers. A budget will be required to cover the cost of attendance of HR manager and HR business partners at annual employment law update.
HR Networking HR must be represented at Hertfordshire and regional groups (HPOG, PPMA)	Time spent attending and being involved with various groups	HR staff will need to ensure the service is represented and contributes at meetings	Profile is raised and reputation of the service is established with a view to expansion and development of the shared HR service

2.3 Partnerships & Contracts	
Partner / Partnership	Expected Outcomes
West Herts Crematorium	Continue to operate an income generating contract for payroll, HR and occupational health services (i.e. recruitment, disciplinary, capability, grievance, occupational health and reorganisation) to help the Crematorium to continue to provide excellent services to the public
HR system / payroll service provider	Develop effective working relationships to ensure good communication and to remedy service or system problems efficiently at all times to the benefit of our customers
Various occupational health partners (Nurse contact centre (First Care), BUPA / Corporate Health Care / Dr Zane and Partners, Counselling Contact Centre)	In the short term, continue to work with existing occupational health and welfare service providers to obtain medical advice, testing and services on behalf of our customers with a view to harmonisation.
Criminal Records Bureau (CRB), Rickmansworth Waterways Trust, Citizens Advice Bureau, Rickmansworth Churches Housing Association and Council for Voluntary Services	The umbrella body arrangement in place at Three Rivers could be extended to Watford to widen our CRB checking services to voluntary organisations in Watford.
Riley – advertising contract (2008-11)	Work with Rileys to ensure that job advertisements are effective, media costs are kept to a minimum and a quality service is provided to our customers
Employment service (Job Centre)	Advertise all job vacancies arising within Watford or Three Rivers Councils with the employment service to increase opportunities and contribute to a reduction in unemployment figures.
Working Transitions/East of England Improvement Authority	Continue to provide outplacement support and careers advice to minimise the impact on staff displaced by organisational restructuring from time to time
Childcare voucher providers (Busy Bees and Accor)	Continue to provide staff with the opportunity to purchase childcare vouchers under HMRC regulations to reduce the financial burden of paying for approved childcare arrangements. The preferred supplier arrangements can be streamlined from two to one under shared services.
Comensura	Continue to use Comensura for the supply of agency workers at Watford and extend this arrangement to Three Rivers on a phased basis.
Health and Safety Executive (HSE) Local Government Body	Working with the HSE on issues which impact on health and safety regulatory functions. The body also reviews the effectiveness and performance of the partnership between the enforcing

	authorities – Health and Safety Executive and local authorities
COPE	Provision of a prompt and accurate clinical physiotherapy diagnosis and treatment for work related musculoskeletal disorders and those disorders affecting working efficiency using approved local physiotherapy clinics. Providing management reports and guidance as agreed.
Management development	To consider the services available via Herts CC following their tender for a Management Development partner to design and deliver management development programmes and design training products to meet the needs of the council.

2.4 Assets & Technology
<p>At Watford Town Hall</p> <p>Assets (requirements for accommodation and equipment)</p> <p>1 x laptop and 1 x projector for corporate training courses, 2 x laptop for offsite meetings and homeworking Minimum of one private meeting space with tables and 6 chairs Minimum of 5 remote staff able to work remotely (or alternate means of accessing all areas when off site or at alternate sites) Tables, desks and PC chairs(13) PC's (13) Telephones (13) Photocopier (1) Printer (1) Scanner (1) Secure cupboards for personal files (approx 10) Access to flip chart stands (1 is held in the Dept) Access to nearby confidential shredding facilities</p> <p>Technology requirements</p> <p>Some means of remote access and data transfer (currently we have 2 Kingson mass storage devices at Three Rivers) HR / payroll system Intranet and web access MS office suite including MS outlook</p>

At Three Rivers House

2 desks, chairs and PC's will be required at Three Rivers House for to provide a service to internal customers and external visitors to Three Rivers House.

Facilities will also be required for the Health and Safety Advisor to maintain a presence at Three Rivers House one day per week. This can be via the HR arrangements identified above.

2.5 Current Budgets

Code	Operating Costs	2010/11 Original £	2010/11 Revised £	2011/12 Original £	2012/13 Forecast £	2013/14 Forecast £
	Expenditure					
	Employees	632,532	632,450	586,276	554,805	585,390
	Transport	5,000	4,000	3,000	3,000	3,000
	Supplies & Services	22,620	37,620	44,440	44,440	44,440
	Contracted & Agency Services	96,000	96,000	96,000	96,000	96,000
	Income	-5,200	-5,200	-5,200	-5,200	-5,200
	Sub-Total	750,952	764,870	724,516	693,045	723,630
	Recharge to Councils					
	Three Rivers District Council	-240,305	-244,758	-231,845	-221,774	-231,562
	Watford Borough Council	-510,647	-520,112	-492,671	-471,271	-492,068
	Sub-Total	-750,952	-764,870	-724,516	-693,045	-723,630
	Total	0	0	0	0	0

Code	Implementation Costs	2010/2011 Original £	2010/11 Revised £	2011/12 Original £	2012/13 Forecast £	2013/14 Forecast £
	Revenue Implementation Costs					
	Programme Management	0	0	0	0	0
	Change Management	0	26,400	0	0	0
	Transitional Employee Costs	48,000	48,000	43,000	27,000	0
	Redundancy	0	75,000	0	0	0
	Pension Strain	452,366	410,050	0	0	0
	Total	500,366	559,450	43,000	27,000	0
	Capital Implementation Costs					
	Systems Implementation	0	6,000	0	0	0
	Total	0	6,000	0	0	0

2.6		Revenue Growth, Service Reductions and Cashable Efficiency Gains		
	Description	Savings		
		2010/11 £	2011/12 £	2012/13 £
1	Potential Growth			
	List here items of potential growth	0	0	0
	Total	0	0	0
2	Service Reductions			
	List here proposed service reductions that would result in savings	0	0	0
	Total	0	0	0
3	Cashable Efficiency Gains			
	List here the cashable efficiency gains you have identified	0	0	0
	Total	0	0	0

2.7 Capital Investment

Use this section to identify any future capital expenditure requirements. Don't forget to include expenditure identified through any asset management plan.

Scheme Name	New Scheme	Capital				Revenue Implications				Savings	Resilience	Improvement
		2010/11	2011/12	2012/13	Future Years	2010/11	2011/12	2012/13	Future Years			
		£	£	£	£	£	£	£	£			

SECTION 3: OUTPUTS AND OUTCOMES

3.1 Customer insight and consultation

Customer identification and segmentation data

Service provided	Customer group	Segmentation data held
Recruitment	Internal and external self-selecting customers. Staff, public, recruitment agencies	Age, ethnicity, gender, sexual orientation, religion, disability, address, qualifications, work history. (unsuccessful applicants' data is kept for a short time and then destroyed. Successful applicants' data, and additional data, such as appraisal information are kept as Staff data).
Employee relations	Internal - Staff, Unison.	Staff data as above
Consultation	Internal - Staff, Internal Services Joint Committee	Staff data as above, and policies, proposals, changes to structure, key contacts
Advice on Terms and Conditions	Internal and External - Staff, Unions, employee groups, other Local Authority groups, e.g. Herts County Council.	Staff data as above, key contacts
Outsourced services	Payroll, Bupa, counselling service, voluntary sector	Business/organisation name, key contacts, roles, software systems used, contractual agreements, tender documents, SLA agreements etc.
Organisational Development (including Learning and Development)	Internal and external – Staff, Members, associated bodies (e.g. Watersmeet)	Staff data as above, Members - name, Political Party, ward, contact details, address, e-mail address. Associated bodies – business/organisation name, address, key contact.
Health and Safety (Advisory Service)	Internal and external – Managers, Management Board, Health and Safety representatives. External – businesses/organisations (e.g. stall holders, Watersmeet), companies used for outsourcing work and for training.	Staff data as above, business/organisation name, address, key contact.

Service provided	Inform	Consult	Engage
Recruitment	Media – local and National newspapers, trade magazines, recruitment agencies, job centres, internet, intranet, e-mail.	Consultations are carried out on proposed changes, both statutory and non-statutory.	Face-to-face, ad-hoc meetings as required (e.g. with services that are recruiting)
Employee relations	Briefing sessions, e-mail, notes to all staff, intranet, All Aboard	Feedback forms, Local Liaison Committee, Management Board, Unison, legal team, Shared Services Joint Committee	Feedback forms, Local Liaison Committee, Management Board, ad-hoc meetings with legal team
Consultation	Intranet, minutes of meetings; e mail;	Regular Local liaison meetings; ad hoc meetings with non Union staff representatives; Shared Services Joint Committee; Legal team	Feedback from staff briefings; feedback from Union/non Union staff representatives; questions raised via intranet; feedback to managers on questions staff have asked them. Can be face to face; e mail or intranet
Advice on Terms and Conditions	Intranet; staff briefings; FAQ's email; notes to staff; All Aboard	Regular meetings with: Union/Non Union staff representatives; Shared Services Joint Committee; Executive Committee; Management Board; senior management; employees where individual consultation is required	Feedback from staff briefings; feedback from Union/non Union staff representatives; questions raised via intranet; feedback to managers on questions staff have asked them. Can be face to face; e mail or intranet
Outsourced services	E mail; face to face; telephone conferences;	Meetings; e mails; letters	Face to face; ad hoc meetings, feedback forms;
Organisational Development (including Learning and Development)	Intranet; email; managers cascade; Management board;	Feedback from Management Board; feedback from management; staff appraisals; workforce development plan; external bodies (Investors in People; Charter Mark; Two Ticks; Equalities)	Staff briefings; ad hoc attendance at management team meetings or Management Board to discuss specific issues; email; face to face; telephone calls; training events.

Communication and consultation methods

Service provided	Measure	Collection method	Timescale for consultation - start date and regularity	Baseline result	Target
Recruitment	% Successful recruitment to post	Recruitment statistics; feedback from managers regarding difficult to fill roles;	To start when the new HRIS is in place – likely to be from April 2011		
Employee relations	% Satisfaction; statistics on disputes; employment tribunals; strikes	Staff survey HR data; management feedback Appraisals	Annual – next survey Summer 2011		
Consultation	% Satisfaction with service statistics on disputes; employment tribunals; strikes	Staff survey HR data; management feedback Union/non Union staff reps feedback at meetings	Annual – next survey summer 2011		
Advice on Terms and Conditions	% Satisfaction with service	Staff survey HR Data on number of grievances raised regarding terms and conditions Appraisals	Annual – next survey summer 2011		

Outsourced services	% Satisfaction with service Cost	Staff survey CIPFA HR survey	Annual – next survey Autumn 2011		
Organisational Development (including Learning and Development)	% Satisfaction with service Cost against budget	Staff survey Appraisals Training Needs survey Corporate Induction feedback forms	Annual – next survey summer 2011 Quarterly – in January, May, September each year.		
Health and Safety (Advisory Service)	% Satisfaction with service	Staff survey	Annual – next survey summer 2011		

Customer satisfaction measures

Service provided	Measure	Collection method	Timescale for consultation - start date and regularity	Baseline result	Target
Recruitment	% Successful recruitment to post	Recruitment statistics; feedback from managers regarding difficult to fill roles;	To start when the new HRIS is in place – likely to be from April 2011		80%
Employee relations	% Satisfaction; statistics on disputes; employment tribunals; strikes	Staff survey HR data; management feedback Appraisals	Annual – next survey summer 2011		70%

Consultation	% Satisfaction with service statistics on disputes; employment tribunals; strikes	Staff survey HR data; management feedback Union/non Union staff reps feedback at meetings	Annual – next survey summer 2011		70%
Advice on Terms and Conditions	% Satisfaction with service	Staff survey HR Data on number of grievances raised regarding terms and conditions Appraisals Feedback from managers	Annual – next survey summer 2011		70%
Outsourced services	% Satisfaction with service Cost	Staff survey CIPFA HR survey	Annual – next survey summer 2011		80%
Organisational Development (including Learning and Development)	% Satisfaction with service Cost against budget	Staff survey Appraisals Training Needs survey Corporate Induction feedback forms	Annual – next survey summer 2011 Cascade from April to March To be conducted following completion of Service plans Quarterly – in January, May, September each year.		80%
Health and Safety (Advisory Service)	% Satisfaction with service	Staff survey	Annual – next survey summer 2011		80%

3.1.5 Learning from customer consultation

Questions	Answers
What key findings has customer consultation work identified in the last year for each service area?	Concern over losing Three Rivers HR staff following shared services; concern at reduction of face to face contact; overwork of HR staff from pay and grading and shared services introduction; policies require overhaul and updating; good HR experience within the team enables good advice to be provided on terms and conditions; employee relations; recruitment and general HR advice
Have the needs of a specific customer group been identified?	Via face to face discussions and customer survey
What has been done as a result of customer consultation?	Hot desk set up in Three Rivers following relocation of HR staff to watford; introduction of HR Business Partner model and communication to customers of who new contacts are; cross skilling HR team; team meetings instigated to improve communications amongst team members
How have you fed back to customers that have been consulted?	Results published on the intranet and feedback to customers direct from Head of HR
How effective were the consultation methods used? What changes are proposed?	Effective for the areas surveyed however, not all customer groups were covered. Changes will include expanding the survey to other areas such as third parties (West Herts. Crematorium as an example)

3.2 Service Level Agreements

SLAs between shared services and the councils

As part of the development of the operating model for the HR service, internal customers were consulted and formal Service Level Agreements (SLAs) have been agreed between the HR service and its customers at both councils as well as the Joint Committee. There is a separate document covering SLA's. As part of the Service Level Agreements, performance standards have been identified as well as performance indicators that will be used internally by the shared service; these have been included in this service plan.

SLAs between shared service and other organisations

There are service level agreements between the HR service and its third party suppliers. These will be monitored at relevant service review meetings and updated as necessary.

3.3 Performance Indicators

Reference	HR 1 Sickness Absence
Indicator Definition	Working days lost due to sickness per member of staff
Target	7.6 days

Reference	HR 2 Percentage of top earners that are women
Indicator Definition	The percentage of top 10% of earners that are women
Target	50%

Reference	HR 3 Percentage of top earners from black and ethnic minority communities
Indicator Definition	The percentage of top 10% of earners that are from black and ethnic minority communities
Target	13.6%

Reference	HR 4 Percentage of top earners with a disability
Indicator Definition	The percentage of top 10% of earners with a disability
Target	Three Rivers = 9.2% Watford = 5%

Reference	HR 5 Disability Discrimination Act
Indicator Definition	The percentage of Local authority employees declaring that they meet the Disability Discrimination Act 1995 disability definition
Target	9.2%

Reference	HR 6 Minority Ethnic Communities
Indicator Definition	The percentage of local authority employees minority ethnic communities
Target	13.6%

Reference	HR 7 Sickness Absence – trigger points
Indicator Definition	The number of staff who hit a trigger point of either 8 days or more continuous absence or 4 spells of absence, in a 12 month period
Target	

Reference	HR 8 Turnover
Indicator Definition	The percentage of employee turnover
Target	Difficult to state a target for turnover in times of very low movement of staff

Reference	HR 9 Human Resources Staffing
Indicator Definition	The ratio of HR (FTE) per employee
Target	1:95 (based on average in Hertfordshire)

Reference	HR 10 Appraisals
Indicator Definition	The percentage of staff receiving an annual appraisal (of those eligible to do so) within target timescale
Target	100%

3.4 Benchmarking Information

Measure: Cost					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
HR Cost per employee	Shire Districts	HR cost per employee £359 vs average of £336	12 out of 40	October 2010	Watford was previously the most expensive District and Three Rivers was ranked 16 th . Shared Services HR has a HR Business Partner structure which focuses on high end advice and guidance. Lower end, less costly administration is provided via self service.
Measure: Quality					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
Modern Practice	Shire Districts	76% vs average of 64%	2 out of 31	October 2010	More use of systems and self service have improved the ranking for 'modern practice' to 2 nd in Hertfordshire.
Measure: Other					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
Number of Employees per HR Staff	Shire Districts	1:91 vs average of 1:95	20 out of 40	October 2010	Watford previously had the highest ratio of HR staff to employees at 1:50. Three Rivers was much lower ratio but had issues regarding resilience

3.5 Outstanding Recommendations of External Inspections					
Customer Service Excellence					
<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
CIPFA customer satisfaction survey is only completed every other year. Consider increasing frequency during commencement of Shared Services.	High	Head of HR	Survey response to be shared with larger HR team and HR Business Partner to be allocated to progressing outstanding actions regarding the customer satisfaction surveys.	✓	June 2010
TRDC staff survey only conducted every 5 years	High	Head of HR	Next survey due to be sent out in June 2011 for TRDC. Consider how to incorporate WBC into the same timeframe. Utilise OD Manager to support with this task	×	June 2010
20% of customers are not covered by CIPFA survey including external customers such as West Herts. Crem and job applicants	Medium	Head of HR	Consider extending the survey to West Herts. Crem. Identify ways of improving feedback from job applicants	✓	Sept 2010
Service has not been easily contactable during the set up of shared services.	High	Head of HR	Ensure feedback is obtained regarding the hot desk arrangement in Three Rivers and consult with managers/employees after an initial period of 6 months on how effective the service has been under the new Shared Service arrangement.	✓	May 2010
Review access to intranet and monitor effectiveness	Medium	Head of HR	Discuss with IT how to monitor the number of contacts made to the intranet and review trend	×	September 2010
Undertake a review of areas rated as "adequate" in the customer satisfaction feedback survey	Medium	Head of HR	Review areas outlined and determine action plans to rectify shortfalls.	✓	March 2010

Analyse customer complaints; Publicise action taken following complaint and where appropriate identify applicable learning points	Medium	Head of HR	Ensure a system is in place to track complaints and publicise action taken	✓	ongoing
Set targets for customer satisfaction levels.	High	Head of HR	To be included in update to Service Plan	✓	December 2009
Include Local Liaison in the section of Service plan dealing with Stakeholder consultation	High	Head of HR	To be included in update to Service Plan	✓	December 2009

3.6 Projects

Project	Apr 2011	May 2011	Jun 2011	Jul 2011	Aug 2011	Sep 2011	Oct 2011	Nov 2011	Dec 2011	Jan 2012	Feb 2012	Mar 2012	2012-2013	2013-2014	Progress / Comments
Harmonisation of annual leave	→													Proposals to be agreed and implemented in April 2012 leave year	
Harmonisation of policies and procedures (starting with grievance Procedure; Job evaluation process and Recruitment)	→													This is an on – going project and polices/procedures will be prioritised for review during the each year.	
Review NJC Job evaluation across TRDC	→													Undertake review during 2010/11 and present to Management board/LLC. Implementation date to be agreed (if applicable) and in place by April 2012	
TUPE transfers in Community	→													To fit with Community Services timeframe	
Extend CRB umbrella body services to WBC	→													Lower priority, non urgent issue	

Consider how to market Shared HR service to other Districts within Herts.															Ongoing project
Consider extending fee paying clients arrangements beyond West Herts. Crem.															On going project

The Equalities Act 2010 includes a new public sector equality duty (both a general duty and specific duties), replacing the separate duties relating to race, disability and gender equality. The duty comes into force on 6 April 2011. The duty places a range of steps that are legally required by local authorities covering issues such as: assessing relevance, using and publishing equality information, engagement, equality analysis, equality objectives, commissioning and procurement and business planning and reporting.

It is good practice to integrate the general equality duty into service planning processes and work will be undertaken by both council's to produce a common equalities reporting template for all services in line with the new equality duties. This element of the service plan will be incorporated by April 2011.

For HR there is a legal duty to publish information on the effect of council policies and practices on the workforce by 31 July 2011. This will involve collecting workforce information and carrying out analysis of workforce-related policies and practice. It will also mean publishing the analysis and the information used in the analysis.

RISK REGISTER

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
	<i>Brief Description – Title of Risk</i>	<i>See Impact Table</i>	<i>See Impact Table</i>	<i>See Likelihood Table</i>	<i>Use this box to describe how the score has been derived</i>		
HR01	Change Mgt Three Rivers pay not aligned resulting in equal pay claims at TRDC	Service Disruption	iv	D	Increased cost of litigation increased operational costs of alignment potential impact on timescales, mgt time	Requires Treatment	Yes
		Financial Loss	iii			Last Review Date	27/08/09
		Reputation	iv			Next Milestone Date	01/04/2011
		Legal Implications	iii			Next Review Date	09/03/2011
		People	iv			Date Closed	
HR02	HRIS failure or similar civil disaster resulting in inability to utilise HRIS system	Service Disruption	iii	E	Emergency disaster recovery plan agreed with Northgate Arinso, the external payroll provider	Requires Treatment	Yes
		Financial Loss	ii			Last Review Date	09/11/09
		Reputation	iii			Next Milestone Date	n/a
		Legal Implications	iii			Next Review Date	31/03/12
		People	iii			Date Closed	
HR03	Difficulty in recruiting key staff with necessary skills/experience	Service Disruption	iii	E	Vacancies to be filled by interim HR professional staff	Requires Treatment	Yes
		Financial Loss	ii			Last Review Date	09/11/09
		Reputation	iii			Next Milestone Date	n/a
		Legal Implications	iii			Next Review Date	31/03/12
		People	iii			Date Closed	
HR04	Legislation: Failure to deliver on existing or future employment legislation	Service Disruption	iii	F	Systems and procedures in place; trained professional HR staff; Checking regimes; service plan to deal with emerging legislation.	Requires Treatment	No
		Financial Loss	iii			Last Review Date	09/11/09
		Reputation	iii			Next Milestone Date	n/a
		Legal Implications	iii			Next Review Date	31/03/12
		People	iii			Date Closed	

HR05	Employment: Assault or injury to member of staff in the office, on-site or during a home visit, home working or 1:1 meetings with customers.	Service Disruption	ii	F	Regular assessments carried out in service. Ensure adequate staff training on health and safety at work, including lone working. Emphasise employees' responsibilities in H&S matters. Violence at work policy.	Requires Treatment	No
		Financial Loss	iii			Last Review Date	09/11/09
		Reputation	iii			Next Milestone Date	n/a
		Legal Implications	iii			Next Review Date	31/03/12
		People	iii			Date Closed	
HR06	Physical Loss of paper files on a large scale due to flood/fire or other catastrophic event in the Town Hall office accommodation	Service Disruption	iii	F	Fire/flood management procedures. Most cabinets are flame and flood resistant. Live records are on 3 rd floor. Back up via Resourcelink database so many records are duplicated electronically	Requires Treatment	No
		Financial Loss	ii			Last Review Date	09/11/09
		Reputation	ii			Next Milestone Date	n/a
		Legal Implications	iii			Next Review Date	31/03/12
		People	iii			Date Closed	
HR07	Employment Strike/Dispute nationally	Service Disruption	v	E	Employee Relations protocols. National negotiation frameworks. Local Liaison Committee and Unison/management meetings	Requires Treatment	Yes
		Financial Loss	iv			Last Review Date	09/11/09
		Reputation	iv			Next Milestone Date	n/a
		Legal Implications	v			Next Review Date	31/03/12
		People	v			Date Closed	

Likelihood	A					
	B					
	C					
	D				HR01	
	E			HR03; HR02		HR07
	F			HR04; HR 05 HR06		
		I	II	III	IV	V

Impact
 V = Catastrophic
 IV = Critical
 III = Significant
 II = Marginal
 I = Negligible

Likelihood
 A = ≥98%
 B = 710% - 97%
 C = 50% - 74%
 D = 210% - 49%
 E = 3% - 24%
 F = ≤2%

RISK TREATMENT PLAN

Risk Ref:	HR01	Risk Title:	Three Rivers pay not aligned resulting in equal pay claims at TRDC		
Responsibility	<i>Who is managing the risk?</i>		Head of HR		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Equal pay claims from TRDC employees. Read across from non shared service staff on GLEA scheme to shared service staff on NJC scheme; or vice versa. No risk before set up of Shared Services		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Employees reviewing pay bands across different roles and identifying comparators on a different pay band		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Partial review of pay across GLEA against NJC scheme undertaken prior to set up of Shared Services which largely identified the pay to be the same		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>	No claims have been received	Impact	Likelihood	
			iv	D	
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Full review to be undertaken of roles on GLEA scheme and how they compare to NJC scheme. Likely result is recommendation of NJC scheme across TRDC.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Potential cost implications if a significant number of roles are evaluated upwards as a result of the review		£ unknown until review is complete
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	The risk has emerged since new pay scales were announced for Shared Service staff in July 2009. The HR Service plan covers the requirement for a review of job evaluation across TRDC	Impact	Likelihood	
			iv	D	
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	Introduction of new consistent scheme across TRDC reduces potential claims	Impact	Likelihood	
			iv	E	

Risk Ref:	HR02	Risk Title:	HRIS failure or similar civil disaster resulting in inability to utilise HRIS system		
Responsibility	<i>Who is managing the risk?</i>		Head of HR		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		System failure Localised or more widespread power failure preventing HRIS equipment from operating A variety of reasons can cause power failure, all would have the same affect on the service		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		A failure of the electricity supply. This could result from a number of different causes		
Existing Control	<i>What controls exist now to minimise the risk?</i>		WBC has UPS systems in place to safely shut down hardware and a switchable power supply to manage some causes of power loss; Paper files available; back up via Northgate Arinso		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>	Duplicate data for pay purposes available; hard copy files in fire proof cabinets	Impact	Likelihood	
			iv	E	
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		No further controls required		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Not applicable		£
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	Not applicable	Impact	Likelihood	
			iii	E	
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	Ability to run payroll via Northgate Arinso; employment data available via hard copy files.	Impact	Likelihood	
			iv	E	

Risk Ref:	HR03	Risk Title:	Difficulty in recruiting key staff with necessary skills/experience		
Responsibility	<i>Who is managing the risk?</i>		Head of HR		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		The HR service that will be provided will be limited and as a result there will longer waiting times for answers to enquiries or questions. It can go wrong whereby there is not enough capacity to deal with customer requests.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Long term staff absence or resignation of staff at critical times		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Links with external agencies/bodies who could supply interim HR staff		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>	HR have used agency/temporary staff to cover absence	Impact	Likelihood	
			iv	E	
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		No further action required		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Not applicable		£
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	Not applicable	Impact	Likelihood	
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	Trained HR staff available to cover additional workload on an interim basis	Impact	Likelihood	
			iii	E	

Risk Ref:	HR07	Risk Title:	Strike/Dispute nationally		
Responsibility	<i>Who is managing the risk?</i>		Head of HR		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Disagreement with staff/Unison regarding terms and conditions of employment. Negotiations fail. Has not happened before.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Disagreement between staff and Unions regarding terms and conditions that cannot be resolved through consultation and/or negotiation		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Part of national framework regarding terms and conditions; Employee Relations protocols; consultation forum with Unison; discussion groups with employees; non Union staff representatives in TRDC		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>	Management/Union meetings are conducted in an open, consultative manner. Two way dialogue and exchange of points of view	Impact	Likelihood	
			v	D	
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Ensure regular meetings with Union/non Union staff representatives are continued		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Potential cost implications of a strike could be high as well as the loss of reputation	£ unknown	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	Regular meetings with Union/non Union staff representatives are scheduled in advance	Impact	Likelihood	
			v	E	
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	Continued good employee relations with Union and staff	Impact	Likelihood	
			v	E	

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
0.1	21/01/2011	Draft for discussion of contents	TB
0.2	25/02/2011	Update following shared services management team	TB



DRAFT

ICT SERVICE PLAN

2011 - 2014

Version 0.1 – Shared Services Joint Committee – 7 March 2011

CONTENTS

Section	Item	Page
1	Key Purpose of the Service	
1.1	Scope of the Service	1
1.2	Contribution to Shared Services Objectives	2
1.3	Contribution to the Councils' Strategic Objectives	4
1.4	The Future of the Service	5
2	Inputs	
2.1	People	6
2.2	Workforce Planning	7
2.3	Partnerships & Contracts	9
2.4	Assets and Technology	10
2.5	Current Budgets	12
2.6	Revenue Growth, Service Reductions and Cashable Efficiency Gains	14
2.7	Capital Investment	15
3	Outputs and Outcomes	
3.1	Customer Insight and Consultation	16
3.2	Service Level Agreements	20
3.3	Performance Indicators	21
3.4	Benchmarking information	24
3.5	Outstanding Recommendations of External Inspections	26
3.6	Projects	27
3.7	Equalities	34
3.8	Risk Management	35
	Version Control	50

SECTION 1: KEY PURPOSE OF THE SERVICE**1.1 Scope of the Service**

2010/11 has been the first year that the ICT service has been fully shared across both Councils. This was achieved by merging 2 departments into a single Shared ICT Service and bringing the ICT service fully in-house with TUPE transfer of staff from the ITFM provider at TRDC into the Council.

All staff working for the ICT Shared Service are now based at Three Rivers House, although an on-site presence remains at Watford to deal with local support for second and third line fault resolution.

The ICT Team has faced many challenges over the last year, primarily relating to infrastructure issues at both councils. As a result of this, an independent review was commissioned in order to provide the Councils with an overall view of the risks and areas of concern relating to the current ICT infrastructure. The recommendations from this review will form an action plan for improvement and assist the service to plan improvements for the coming year as well as input into the overall Shared Service ICT strategy.

The team has achieved a number of successes over the year, these include:

- Supporting the implementation of new ICT systems for the Shared HR, Revenues & Benefits and Finance Services
- Performing a joint procurement exercise for a new e-Petitions system for both councils and successfully implementing at both councils by the December 2010 deadline.
- Implementation of an Electronic Licence Management System for both councils.
- Implementation of new Fuel Management system for Watford.
- Exchange and Active Directory migration at Watford.
- Implementation of Resource link HR system for both Councils.

1.2 Contribution to Shared Services Objectives	
Savings	<p>The end of the Steria contract brought £395806 of savings. This was slightly higher than the savings identified in the business case due to the uplift applied to the Steria contract for 09\10.</p> <p>In addition to this, several streams of savings for future years have been identified as a result of the service prioritisation and budget reduction work done in conjunction with both councils, this is detailed in section 2.6 below.</p>
Resilience	<p>The restructure of the department led to the introduction of a new Service Desk team comprising of a Manager and 3 support staff will enable resilience of the frontline service delivery. This will be backed up by an Infrastructure team comprising of a Manager and 4 technical staff and a Business team of web developers, application specialists and project manager\business analysts led by a strategically focussed manager.</p> <p>Work will be progressed towards a roadmap of development and improvements to infrastructure systems such as thin client and spam filtering and will be published on the intranet in advance. We are also progressing towards a roadmap of development and harmonisation of the application systems that both councils currently utilise with a view to achieving savings and improving resilience of these systems.</p> <p>Work will continue on cross training the Application Analysts to ensure that the councils application systems are supported by a robust and resilient team who are multi skilled across the full complement of systems we support. This approach will also be taken with the Web Developers.</p>
Improved Services	<p>Improved accessibility to the ICT Service via a single point of contact, the Service Desk. This will be led by a dedicated Service Desk Manager who will oversee the support calls raised by the customer from logging through to resolution.</p> <p>Increased rate of fixes at first point of contact with the introduction of permanent, skilled staff within this function who will provide first and second line technical support, with the ability to connect to the customer's desktop remotely.</p> <p>Improved logging, tracking and communication of customer requests, incidents and problems. Improved and more meaningful management information for decision-making relating to ICT provision will be enabled by the planned development of our call management software.</p> <p>There will be a programme of upgrades and improvement to the IT infrastructure at both councils which will be informed by the harmonisation plan for systems and applications, the recommendations from the independent ICT review and</p>

	<p>ongoing project requirements. This will be primarily delivered by the infrastructure team who now have a clear focus on technical, second and third line support issues.</p> <p>Annual benchmarking will be conducted to compare the ICT Shared Service with other councils. In addition to this, in-house staff surveys will be conducted to assess service delivery and customer satisfaction.</p>
--	---

1.3 Contribution to the Councils' Strategic Objectives	
Three Rivers District Council	
Safer Communities	We will support/enable the Council and its services to meet these objectives
Sustainable Communities	
Towards Excellence	
Watford Borough Council	
Improve the health of the town and enhance its heritage	We will support/enable the Council and its services to meet these objectives
Enhance the town's 'clean & green' environment	
Enhance the town's sustainability	
Enhance the town's economic prosperity and potential	
Supporting individuals and the community	
Securing and efficient, effective, value for money council	
Influence and partnership delivery	

1.4 The Future of the Service

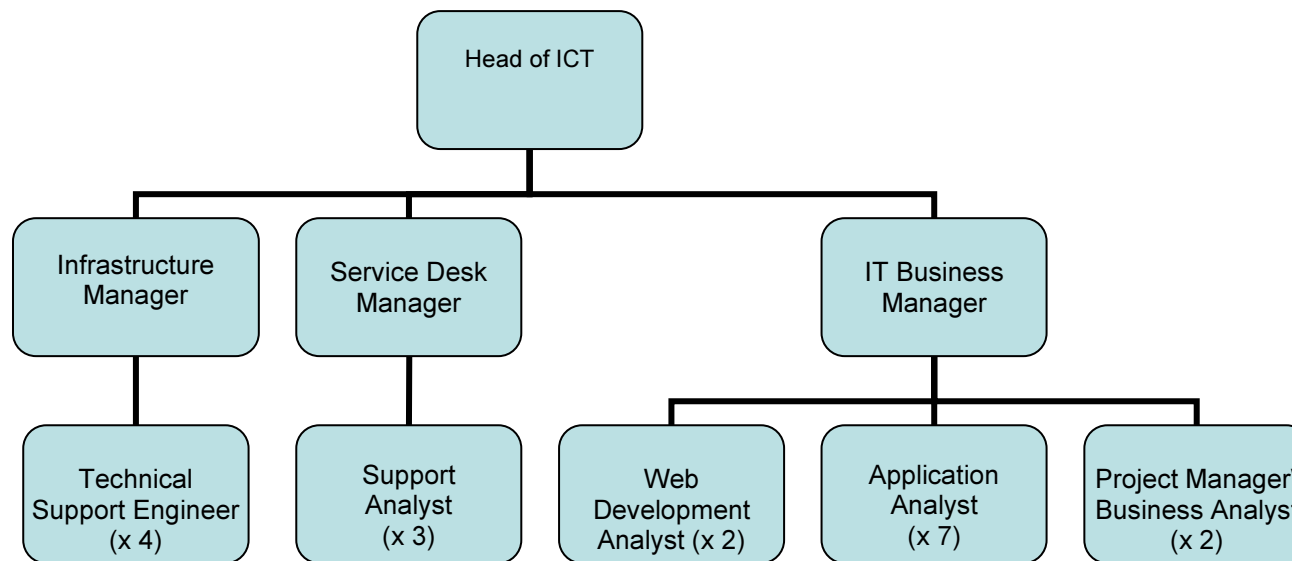
There are a number of potential opportunities facing the shared ICT service over the coming years. These will be considered as part of the overall strategy for ICT Services for both councils:

- Consider the business case and where necessary implement new technologies such as, further server virtualisation and IP based telephony, electronic faxes, mobile working – smarter use of handheld devices
- Market and subsequently expand the ICT shared service to other Authorities through further joint services, as a provider or host of systems or as a potential disaster recovery partner.
- Look at other areas within both councils that ICT could add value and/or introduce efficiency, for example home working, cloud computing and private sector partnership.

SECTION 2: INPUTS

2.1 People

Shared Services Organisation Chart



Job Title	Grade	FTEs
Head of ICT	CO3	1
Infrastructure Manager	9	1
Technical Support Engineer	7	4
Service Desk Manager	8	1
Support Analyst	6	3
ICT Business Manager	10	1
Application Analyst	7	7
Web Development Analyst	7	2
Project Manager\Business Analyst	8	2

2.2 Workforce Planning			
<p>Overview</p> <p>The ICT Shared Service will providing service in order to allow the councils to perform their core business in an efficient, effective and resilient way. The current establishment was designed to meet the day to day demands of departments and will continue to strive to maintain and improve upon existing service levels.</p> <p>It is recognised however that service departments are under increasing pressure to streamline their processes and make efficiencies; this will have a significant demand on the ICT team, particularly when the work is unplanned and scheduled at short notice.</p> <p>In order to alleviate this problem, there is a requirement for both councils to look at the projects that have come out of their departments service planning processes and assign a priority and order to these requirements. This is critical for the ICT team to be able to fully understand the requirements of the services and to be able to plan the required resources. Despite having added resilience form the larger team, resources are still likely to be stretched. This will be more of a concern when the ICT budget reductions are realised.</p>			
Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service

<p>Projects within the councils are likely to draw upon the staff resources within ICT. The requirements could be based upon technical application\infrastructure input, project management or business analysis expertise.</p>	<p>External assistance could potentially be required if resourcing if several projects are required at the same time.</p>	<p>1) Careful planning of the projects is required to ensure that necessary resources from ICT are available to assist.</p> <p>2) An alternative option would be to rely more heavily on external expertise being brought in on a project by project basis, although this would mean skills would be not be retained following the completion of the project and the Councils could therefore be in a more vulnerable position.</p>	<p>It will prove difficult to maintain service standards in the event of there being a particularly high demand on the skills of the ICT team during major implementations.</p>
<p>Interface development is being conducted in house by the Finance Service. Once they are complete, they will be handed over to ICT to support along with documentation and a structured handover.</p>	<p>There is currently no resource identified within the ICT structure to conduct in-house development of software. This was in order to move away from bespoke systems and therefore increase the resilience of the teams.</p>	<p>1) Do nothing – keep documentation and acquire external resources on an ad-hoc basis to cater for any future requirements.</p> <p>2) Restructure or add a growth to the establishment to include this resource, however there would still be a resilience issue due to there only being 1 resource to do this work.</p> <p>3) An alternative could be to bundle these up and approach an external supplier to provide maintenance and updates of all in-house interfaces on a yearly basis.</p>	<p>1) There would be no cost implications but a major risk to the councils resilience for these key system interfaces,</p> <p>2) This would result in a revenue growth, however resilience would be maintained and risk would be minimised.</p> <p>3) There would be a growth to the budget but resilience would be increased.</p>

<p>Training of Infrastructure staff will be critical in successfully bringing the ICT service in-house.</p>	<p>This will require planned training of all Infrastructure staff and appropriate management of the application of skills acquired.</p>	<p>Structured handover from the supplier with documented change control information and system setup information.</p> <p>Staggered training courses so that each member of staff can come back to the office and apply the skills they have acquired immediately in order to fully embed the learning.</p>	<p>This will provide resilience and reduce the need reliance on external suppliers. The cost of training would be balanced by the saving of the contract and subsequent savings would be made as year on year contract renewal would not be performed.</p>
---	---	--	--

2.3 Partnerships & Contracts	
Partner / Partnership	Expected Outcomes
Various software supply and maintenance contracts	Both IT services at the two Councils have contracts with software suppliers to provide software applications to the service departments. Over time, it is expected that contracts of this type will be harmonised wherever possible.
Hardware maintenance contracts	Maintenance contracts exist within both ICT teams to cover the breakdown of essential computer hardware which is no longer under manufacturer warranty. It is expected that these contracts could also be harmonised to bring potential savings.

2.4 Assets & Technology

The ICT service will own all ICT assets used within the two Councils. They include:

- Networking equipment and servers
- Desktop PCs / terminals
- Handheld PDAs
- Notebook computers
- Data Projectors
- Desktop telephones
- Departmental printers
- Application and software licences
- ICT related Data

The service is responsible for managing the corporate ICT infrastructure comprising of application servers and networking hardware.

Systems used within the Councils are as follows:

ICT Service

- Touchpaper (helpdesk system)
- Adobe Acrobat Pro, Dreamweaver, Fireworks & Flash
- MS Visual Studio, Visio
- Ebase Technology (e-forms)
- Hyena (network management)
- Acronis & Ghost (Imaging software)

Corporate Services

- Telephony: Avaya Definity telephone switches
- Network & Servers
 - T-Scale
 - MS Terminal Servers
 - Solarwinds
 - PC Duo & VNC (Remote Control)
 - Veritas Backup Exec & ArcServ (Backup Software)

- Treesize Professional (File Monitoring) (WBC)
- Security
 - Appgate & Netilla (VPN)
 - Websense and Webtrends (website management software)
 - Trend Neatsuite, NOD32 and Kaspersky (virus control)
 - Surf Control and mail marshal (e-mail content filter)
- Website
 - Aplaws (WBC)
 - E-shopworks SiteBuilder (TRDC)
- Microsoft products e.g. Office Professional
- DM Information@work - Revs & Bens (WBC & TRDC)
- DM Information@work - Building Control (TRDC)
- DM IDOX for Planning (WBC & TRDC)

Applications / Projects

- Uniform - Planning, DC, BC, LLPG, Land Charges (TRDC & WBC)
- Uniform - EH, ES, Trees, Street Cleansing – (WBC)
- Northgate M3 – EH – (TRDC)
- Northgate Systemware - ES, Street Cleansing, Complaints, Proactive
- Confirm – Trees (TRDC)
- ESRI Geographical Information System [GIS] (TRDC & WBC)
- Finance System – COA
- Finance Systems[ICON Cash Receipting & ACR Cash Receipting and REMIT Income Distribution] [ALBACS IP Payments System & IPConnect] – All to be replaced by Capita Income Management Implementation Project going Live in Autumn 2011
- Lagan – CRM & Complaints (WBC)
- Pro Active – CRM (TRDC)
- Halarose - Electoral Services (WBC)
- XPress - Electoral Services (TRDC) and EROS (WBC)
- Capita - Revenues & Benefits (TRDC & WBC)
- Capita Academy - Housing (TRDC)
- SOLCASE - Legal (TRDC)
- OMS – Legal (WBC)
- Northgate Resourcelink - Human Resources (TRDC & WBC)

2.5 Current Budgets

The latest 'full establishment' budget for 2010/11 includes £180,000 for agency staff who have been covering vacancies and £14,000 for possible redundancy costs. New staffing arrangements are assumed to take effect from 1 April 2011. Where exact spinal column points have yet to be determined, the mid-point of the range has been assumed w.e.f. 1 April 2011.

Transport costs reduced to £5,000 per annum in accordance with the outcome of the cost reduction exercise. (Reduction in car user mileage of £2,000).

Supplies and services budget increased in 2010/11 by payment to Actica Ltd for their infrastructure report (£41,025).

£31,000 has been added for 2011/12 onwards for on-going licence fees and maintenance in respect of Government Connect submissions to GCSx, these are revenue implications of proposed capital expenditure.

The original estimates included pay awards of 2% for 2010/11 and 2011/12. The latest budgets assume no pay award in either year but increases of 2% and 3% in 2012/13 and 2013/14 respectively.

There are variances to the original estimates for the next three years resulting in a £13,608 reduction in recharge to the councils for 11/12; £69,794 reduction in recharge to the councils for 12/13 and £150,200 reduction in recharge to the councils for 13/14.

Current figures are as follows:

Operating Costs	2009/10 Actual £	2010/11 Original £	2010/11 Forecast £	2011/12 Forecast £	2012/13 Forecast £	2013/14 Forecast £
Employees	954,613	1,069,447	1,016,814	1,020,940	1,012,590	1,016,880
Premises	1,418	0	0	0	0	0
Transport	1,003	7,000	5,000	5,000	5,000	5,000
Supplies & Services Contracted & Agency Services	367,170	419,900	460,925	432,900	392,110	392,110
Recharges	471,755	0	0	0	0	0
Income	0	0	0	0	0	0
Sub-Total	1,795,959	1,496,347	1,482,739	1,458,840	1,409,700	1,413,990
Recharge to Councils Three Rivers District Council	-718,384	-598,539	-593,096	-583,536	-563,880	-565,596
Watford Borough Council	-1,077,575	-897,808	-889,643	-875,304	-845,820	-848,394
Sub-Total	-1,795,959	-1,496,347	-1,482,739	-1,458,840	-1,409,700	-1,413,990
Total	0	0	0	0	0	0

Code	Implementation Costs	2010/11 Original £	2010/11 Revised £	2011/12 Original £	2012/13 Forecast £	2013/14 Forecast £
	Revenue Implementation Costs					
	Programme Management	15,000	60,000	0	0	0
	Change Management	0	0	0	0	0
	Transitional Employee Costs	0	0	0	0	0
	Redundancy	0	0	0	0	0
	Pension Strain	0	0	0	0	0
	Total	15,000	60,000	0	0	0
	Capital Implementation Costs					
	Systems Implementation	0	0	0	0	0
	Total	0	0	0	0	0

2.6	Revenue Growth, Service Reductions and Cashable Efficiency Gains
------------	---

	Description	2010/11 £	2011/12 £	2012/13 £
1	Potential Growth			
	Licence fees and maintenance in respect of Government Connect requirements	31,000	31,000	31,000
	Total	31,000	31,000	31,000
2	Service Reductions			
	Furniture & Equipment Maintenance	-13,000	-13,000	-13,000
	Maintenance of Telephone Equipment	-4,000	-4,000	-4,000
	Subsistence	-1,000	-1,000	-1,000
	Total	-18,000	-18,000	-18,000
3	Cashable Efficiency Gains			
	Disaster Recovery Contract	0	-14,310	-14,310
	Thin Client Maintenance Contract	0	-26,480	-26,480
	Total	0	-40,790	-40,790

2.7 Capital Investment

Scheme Name	New Scheme	Capital				Revenue Implications				Savings	Resilience	Improvement
		2011/12	2012/13	2013/14	Future Years	2011/12	2012/13	2013/14	Future Years			
		£	£	£	£	£	£	£	£			
Infrastructure Review – Server Upgrades	✓	200,000	0	0	0	Tbc	Tbc	Tbc	Tbc		✓	✓
Hardware and Software to conform to the requirements of the GCSX auditors for the latest code of connection to the Government Connect Secure Extranet (GCSX)	✓	80,000	0	0	0	31,000	31,000	31,000	31,000			✓

SECTION 3: OUTPUTS AND OUTCOMES

3.1 Customer insight and consultation
--

Who / types	Approximate numbers	Location	Consultation
All office based and remote workers	830	Office locations within the boundaries of the two authorities	User group meetings, staff satisfaction surveys, all staff e-mail, intranet, post call survey, Telematics steering group. Remote Workers include those from Charter Place, Depots and Radius House
Public	All residents and businesses within the two authority areas plus other members of the public living outside of the area	Customers living / working within the area covered by the two Authorities. Less commonly, residents elsewhere in the country who may be future users of the Authorities' services	No direct consultation unless specific input is required on public facing IT developments (i.e. redesign of website)
Councillors	84	Predominantly at home or work, within close proximity of the Councils' offices	Communication via democratic services and party secretaries, regular meetings with portfolio holders the quarterly meeting plus and update reports to joint committee and other committee where called in.
Suppliers / profit centre	100		Quarterly meetings with account managers, split into ICT meeting to discuss financials and ICT specific issues and a session involving representatives of the user community to inform about future product improvements. Monthly Account Managers meeting with Steria.
Trade Union / staff representation	5+	Council Offices	Ad hoc consultation re staffing issues and organisational change issues

3.1.1 Customer access channels

Service Area	Information Access	Service Access
Service Desk	Face to face or telephone, email and internet	Face to face or telephone, email and internet
Infrastructure Support		
Applications/ Systems admin		
Web Development		
Project Management/ Business analysis		

3.1.2 Customer identification and segmentation data

Service provided	Customer group	Segmentation data held
Helpdesk services	All Services, all staff, Members, suppliers, public	Name, Department, E-mail address, Access channel, Business address (if applicable), Technical information, Staff - place of work (TR/Watford), Home Address\ Telephone number (remote worker)
Infrastructure support		
Applications/systems admin		
Web development		
Project Management/ Business analysis		

3.1.3 Communication and consultation methods

Service provided	Inform	Consult	Engage
Helpdesk services	All-staff e-mails, intranet, 'phone, 1:1s, All Aboard, Wat's Up	Rolling feedback survey (at call close, with quarterly reports) Annual satisfaction survey	Managers and business team 1:1s, user group meetings, Ad-hoc 1:1s
Infrastructure support			
Applications/systems admin			
Web development			
Project Management/			

Business analysis			
-------------------	--	--	--

3.1.4 Customer satisfaction measures

Service provided	Measure	Collection method	Timescale for consultation - start date and regularity	Baseline result	Target
Helpdesk services	% satisfied with overall service % of SLAs met % of successful projects within parameters	Rolling feedback survey (at call close, with quarterly reports)	Rolling feedback survey – at every call close. Reports quarterly.		
Infrastructure support		Annual satisfaction survey	Annual satisfaction survey		
Applications/ systems admin					
Web development	Carried out by Communications – Performance and Scrutiny	N/A	N/A		
Project Management \ Business analysis	% satisfied with overall service % of SLAs met % of successful projects within parameters	Rolling feedback survey (at call close, with quarterly reports) Annual satisfaction survey	Rolling feedback survey – at every call close. Reports quarterly. Annual satisfaction survey		

3.1.5 Learning from customer consultation

Questions	Answers
What key findings has customer consultation work identified in the last year for each service area? Have the needs of a specific customer group been identified?	The ICT department has been restructured following feedback of low satisfaction with the old organisation. This was primarily the group of customers who were used to a high quality fix at first point of contact service the we are now striving to regain.
What has been done as a result of customer consultation?	Restructure of the ICT organisation
How have you feed back to customers that have been consulted?	Messages to staff via both intranet sites, staff magazine articles and feedback to both Management teams and Joint Committee.
How effective were the consultation methods used? What changes are proposed?	<p>The new structure went live on 1 February 2011.</p> <p>Customer surveys sent when each call is resolved are not proving to be very effective despite active promotion. These are still being tracked but not reported due to low response rate.</p> <p>Annual survey will be conducted in March 2011 for the Shared ICT Service for the coming year.</p>

3.2 Service Level Agreements

SLAs between shared services and the councils

As part of the development of the operating model for the ICT service, internal customers were consulted and formal Service Level Agreements (SLAs) have been agreed between the ICT service and its customers at both councils as well as the Joint Committee.

As part of the Service Level Agreements, performance standards have been identified as well as performance indicators that will be used internally by the shared service; these have been included in this service plan.

SLAs between shared service and other organisations

There are service level agreements between the ICT service and its third party suppliers. These will be monitored at relevant service review meetings and updated as necessary.

Looking forwards

Following the benchmarking exercise, we will review initial SLAs with a view to agree and adjust them in order to ensure that they are fit for purpose, realistic and meaningful to both the Service as well as its customers.

3.3	Performance Indicators
------------	-------------------------------

Reference KPI 1	Resolution of reported incidents															
Indicator Definition	To ensure the service delivers its promises of responding to pre agreed timescales to incidents that are presented															
Target																
	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%
Outcome	2010/11				2011/12				2012/13				2013/14			
	n/a	n/a	n/a	n/a												
Comments on Performance: *Incidents and Service Requests are currently grouped together in a single call queue but have different SLAs. Specific reporting of Incident resolution will be available following the Phase 2 implementation of the call management software planned in Q4.																

Reference KPI 2	Annual Customer Satisfaction															
Indicator Definition	What is the perception of the service from the end users view point?															
Target	2010/11				2011/12				2012/13				2013/14			
	TBC								99.5%				99.5%			
Outcome	2010/11				2011/12				2012/13				2013/14			
	TBC															
Comments on Performance: An Annual Satisfaction Survey will be conducted to give an insight into the performance of the Shared Services ICT team. This is due to be commissioned at the end of the Financial Year 2010/2011																

Reference KPI 3	Acquisition cost of workstation			
Indicator Definition	Measures the cost of purchasing the asset and if the ICT team are utilising purchasing processes effectively			
Target	2010/11	2011/12	2012/13	2013/14
	450	425	425	425
Outcome	2010/11	2011/12	2012/13	2013/14
TRDC	600			
Watford	450			
Comments on Performance: Projected End of FY10/11 figure. For TRDC, following the implementation of Thin Client, it is projected that the cost per workstation will decrease from 600 to 425 over the 2011-2013 period.				

Reference KPI 4	Service Availability															
Indicator Definition	To measure the availability of the ICT service to users during core working hours															
Target	2010/11				2011/12				2012/13				2012/13			
	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50	99.50
Outcome	2010/11				2011/12				2012/13				2012/13			
TRDC	99.93	99.97	99.98													
Watford	99.16	99.73	99.59													
Comments on Performance: Performance was affected by Thin Client and Network issues experienced at Watford. These have been assessed in an independent review of the current infrastructure, the key recommendations of which will be implemented to address this.																

Reference KPI 5	Successful recovery of key services as stated in Emergency Plan			
Indicator Definition	Did the service provided by the ICT resource support the customers goals and objectives			
Target	2010/11	2011/12	2012/13	2012/13
TRDC	TBC			
Watford	TBC			
Outcome	2010/11	2011/12	2012/13	2012/13
TRDC	TBC			
Watford	TBC			
Comments on Performance: Disaster Recovery Project for both councils will deliver a plan and a DR Test in the FY2011/12 based on the new harmonised DR contract for both councils.				

3.4 Benchmarking Information

Data from the Performance Indicators section has been shown on the table below against national benchmarking data provided by the Society of IT Management (SOCITM).

The first full year (2010/11) of the ICT Shared Service will be benchmarked in May 2011. Results will be published nationally by SOCITM in September 2011.

Measure: Cost					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
Cost per data connection					
Three Rivers	SOCITM Benchmarking Group	£188	18 out of 25	Jan 2007	
Watford	SOCITM Benchmarking Group	£172		Jan 2007	
Cost per voice connection					
Three Rivers	SOCITM Benchmarking Group	£94	3 out of 25	Jan 2007	
Watford	SOCITM Benchmarking Group	£196		Jan 2007	
Acquisition cost of a PC					
Three Rivers	SOCITM Benchmarking Group	£684	18 out of 26	Jan 2007	
Watford	SOCITM Benchmarking Group	£665		Jan 2007	
Support cost per workstation					
Three Rivers	SOCITM Benchmarking Group	£239	19 out of 26	Jan 2007	

Watford	SOCITM Benchmarking Group	£192		Jan 2007	
---------	------------------------------	------	--	----------	--

Measure: Quality					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
User Satisfaction					
Three Rivers	SOCITM Benchmarking Group	5.64 out of 7	2 out of 22	Jan 2007	Note: In all cases the lower the ranking score the better is the result.
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Operation Incidents resolved within agreed service level					
Three Rivers	SOCITM Benchmarking Group	99%	1 out of 14	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Operational incidents resolved within 4 hours					
Three Rivers	SOCITM Benchmarking Group	87%	1 out of 21	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Operational incidents resolved within 8 hours					
Three Rivers	SOCITM Benchmarking Group	93%	2 out of 21	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities
Employee perception of the adequacy of IT training					
Three Rivers	SOCITM Benchmarking Group	5.06 out of 7	1 out of 19	Jan 2007	
Watford	SOCITM Benchmarking Group				No benchmark testing done last year due to other service priorities

3.5 Outstanding Recommendations of External Inspections

There are no outstanding recommendations of external inspections directly for ICT.

The Annual Audit Report to those Charged with Governance dated 15 September 2010 made the following recommendation that is the responsibility of ICT.

<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
Employee Change of Circumstances We recommend that the security administration function is automatically notified by Human Resources when there are changes to the roles of employees or when they leave the Council. Moreover, we recommend that a formal user access administration policy and related procedures should be defined.	H	Head of ICT (Shared	In progress		

3.6 Projects

Corporate projects that have not yet been defined have not been included within the ICT service plan. The resource requirement for these will be estimated when the project requirements and definition are clear.

Watford

Priorities (in terms of delivery time) have been given to the service prioritisation projects that will generate savings, followed by corporate and service plan for both councils.

Three Rivers

Priorities have been based on the outcomes from departmental service plans.

3.6 Projects

Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	WBC Service prioritisation	Environmental Services	Bin and Box deliveries - Introduce charging for delivery of additional / replacement green bins and recycling boxes. Annual income of £10,000 is forecast, however £7,500 is already in base 2010/11 budget although political decision taken not to charge at present	£2,500	On target	March 2011	PM; 3 days BA: 5 days Scoping yet to be completed
	WBC Service prioritisation	Environmental Services	Pest Control - Increase fees & charges – balance public health implications etc. (i.e. charge for mice treatments, etc.)	£20,000	On target	March 2011	PM; 3 days BA: 5 days Scoping yet to be completed
	ICT SS Current project	HR	CHRIS 5 Data Migration Creation of a system to house the data currently held within CHRIS 5 - WBC historical HR system		tbc	2010/11	n/a read only licence to be purchased
	Shared Current project	Revenues & Benefits	Income Management and Cash-Receipting To recommend and implement best processes and system solution for harmonised income management and cash receipting at Watford and Three Rivers		On target	September 2011	PM: 6 month full time from April BA: 20 days
	WBC Current project	Asset Management Implementation	Implementation of Atrium asset management. This system will house all Watford corporate assets and their related information.		Ongoing	2011/12	PM: 28 days

Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	ICT SS Current project	ICT - Infrastructure	Gov - Connect – Implement hardware and software changes to conform to the requirements of the new code of connection to the Government Connect Secure Extranet		Tbc	2010/11	To be scoped
	WBC Current project	ICT - Infrastructure	Councillors ICT – review and refresh of the ICT provision for councillors with a more accessible and user friendly setup.		Delayed	June 2011	Infra: 55 days
	ICT SS Current project	ICT - Infrastructure	Server move to Apsley – remaining WBC servers to move once SAN implementation is complete in order to avoid costs of hiring additional space from HCC		Delayed	June 2011	Infra: 10 days
	ICT SS Current project	ICT - Infrastructure	Touchpaper Phase 2 – ongoing development of the call management software.		Ongoing	2011/12	Apps: 10 days PM: 8 days BA: 8 days
	ICT SS Current project	ICT - Infrastructure	Infrastructure review		On track	March 2011	Dependent on outcomes and recommendations
	ICT SS Current project	ICT - Infrastructure	Implement new SAN		tbc	May 2011	Infra: 60 days
	TRDC Current project	ICT - Infrastructure	To complete thin client rollout for non-shared services at Three Rivers		tbc	2011/12	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 1 FY11/12							
	Current project	Legal & Prop/ES	Wignhall Depot Refurbishment - and replacement of buildings on site to deliver service requirements and address decay as identified in the Stock Condition Survey of 2007		Year 1 - Q1	? Q2	To be scoped
	Current project	ICT - Infrastructure	Depot rebuild - management of data and telecomms - see 112		Year 1 - Q1	On target	To be scoped

Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	Current project	Revs and Bens	Complete Academy implementation		Year 1 - Q1(Q2?)	On target	To be scoped
	Current project	Revs and Bens	Harmonise CSC Rev and Benefits processes across Three Rivers and Watford, using ABC software, which has already been procured, in order to deliver improvements in service and other benefits identified in SS business case.		Year 1 - Q1 (Q2?)	tbc	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 2 FY11/12							
	Current project	Revs and Bens	Process improvement - review of processes identified through customer contact review		Year 1 - Q2	tbc	To be scoped
	Current project	Customer Services	Review Managed Print		Year 1 - Q2	On target	BA: 8 days Infra: 28 days
	New project identified	Communications	Improve website so it is more user-friendly and allows self-service		Year 1 - Q2	tbc	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 3 FY11/12							
	Service prioritisation	Relocate staff to Depot	Relocate staff to Wiggshall Depot – commercially let Town Hall Annexe	£75,000	Year 1 - Q3	? Q2 – movers required	To be scoped
	Service prioritisation	ICT - Infrastructure	Bring thin client maintenance contract in house	£26,480	Year 1 - Q3	On target	To be scoped
PROJECTS - TO BE COMPLETED BY QUARTER 4 FY11/12							
	Service prioritisation	Other Licensing	Reduce non-statutory licensing and night-time economy related functions. Specific proposals have yet to be identified	£40,000	Year 1 - Q4	On target	To be scoped
	New project identified	ICT - Infrastructure	Mobile working - handhelds, point & click - one point data entry		Year 1 - Q4	tbc	To be scoped

Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
	Service prioritisation	Development Management	Review arrangements for scanning planning applications		Year 1 - Q4	On target	To be scoped
	New project identified	Document management	Review document management in Planning		Year 1 - Q4	tbc	To be scoped
	New project identified	Document management	Introduce improved document management processes and tools across the council		Year 1 - Q4	tbc	To be scoped
PROJECTS - TO BE COMPLETED YEAR 2 12/13							
	Current project	Shared Services	Implementation of Uniform residential premises/housing module		Year 2	On target	To be scoped
	New project identified	Planning	Range of process improvement ideas generated during customer contact review		Year 2	tbc	To be scoped
	Service prioritisation	Community	Introduce moving penalty charges. Currently in discussion with HCC	£25,000	Year 2	On target	To be scoped
	Current project	Shared Services	Policy Harmonisation		Year 2	On target	To be scoped
PROJECTS - TO BE COMPLETED YEAR 3 13/14 AND ONWARDS							
	New project identified	Shared Services	Uniform / other systems development		Year 3 on	On target	To be scoped
	New project identified	Cross cutting	Including for ES previously identified		Year 3 on	On target	To be scoped
THREE RIVERS REQUIREMENTS FROM DEPARTMENTAL SERVICE PLANNING							
		General	Development of the TRDC website				To be scoped
		General	Back-up systems identified in Continuity plans				To be scoped

Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
		Corporate Projects (not confirmed):	Further shared services may require harmonisation of systems – scope to be decided				
		Corporate Projects (not confirmed):	Document Management System – scope to be decided				To be scoped
		Corporate Projects (not confirmed):	Automate / transfer to on-line elements of customer contact – scope to be decided				To be scoped
		Development Management	LDF policies, by encouraging the use of C-Plan by developers to assess and reduce the carbon footprint of developments				To be scoped
		Development Management	Full electronic storage of DC historic records				To be scoped
		Development Management	Website review				To be scoped
		Development Management	Introduction of DMS system Improvement of document scanning process				To be scoped
		Development Plans	Ongoing partnership arrangement to administer 'C Plan' carbon monitoring tool through planning process				To be scoped
		Development Plans	Service Cost Reduction Targets - Miscellaneous IT Costs				To be scoped
		Development Plans	Preparing the LDF - Via website				To be scoped

Project Number	Category of project	Service Area	Description of project / recommendation	Saving Identified by Service Area	Status	Implementation Date	Estimated Resource Requirement
		Env Health	To produce a report following a routine inspection and send it to the business within 14 days - New search to be installed on system to monitor this standard.				To be scoped
		Env Health	Reduce IT equipment budget				To be scoped
		Env Prot	Corporate MOSAIC & ESD project				To be scoped
		Housing	modify the Locata system to incorporate the current spreadsheet recording of receipt of medical application and the Council/medical adviser's decision				To be scoped
		Housing	Increase in web access by customers				To be scoped
		Housing	On-going management of ICT CBL system				To be scoped
		Sustainability	Remote Data Gathering System (The electronic transmission of energy consumption data, at remote sites, to Three Rivers House)				To be scoped
		Sustainability	Enhancement to Public Meeting Rooms' Presentation Systems				To be scoped

3.7 Equalities

The Equalities Act 2010 includes a new public sector equality duty (both a general duty and specific duties), replacing the separate duties relating to race, disability and gender equality. The duty comes into force on 6 April 2011. The duty places a range of steps that are legally required by local authorities covering issues such as: assessing relevance, using and publishing equality information, engagement, equality analysis, equality objectives, commissioning and procurement and business planning and reporting.

It is good practice to integrate the general equality duty into service planning processes and work will be undertaken by both council's to produce a common equalities reporting template for all services in line with the new equality duties. This element of the service plan will be incorporated by April 2011.

3.8 Risk Management

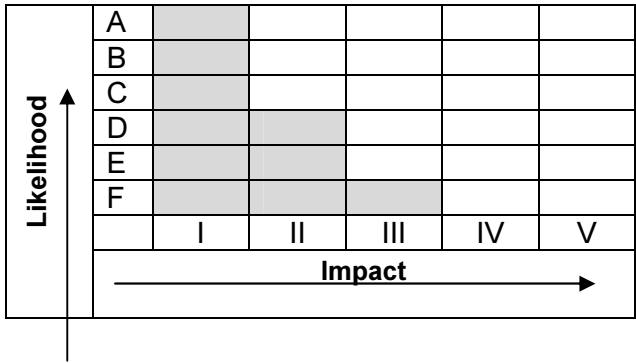
RISK REGISTER

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 1	Loss of Accommodation	Service Disruption	III	F	The loss of accommodation would result in all IT services being unavailable for a period of 36 hours. Following this time, the Disaster Recovery arrangements would be operational and IT services for critical systems would be available to key staff at separate accommodation	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	III			Next Review Date	Jun 11
		People	III			Date Closed	N/A
ICT 2	Insufficient staff and skills	Service Disruption	III	D	Staff being unavailable for support technical services would have the most direct impact. Arrangements would need to be made to bring in temporary cover for the period of absence. The impact of this risk is expected to be reduced as improved resilience is brought to the service through cross training and better documentation of standard services.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	III			Next Review Date	Jun 11
		People	I			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 3	Contractor or system failure – main ICT systems suppliers	Service Disruption	II	D	All major contractors used within the Shared Service are checked for financial standing and reputation prior to the contract being signed. In the event of contractor failure, other suppliers would be sought to provide similar services.	Requires Treatment	No
		Financial Loss	II			Last Review Date	Jan 11
		Reputation	II			Next Milestone Date	Apr 11
		Legal Implications	II			Next Review Date	Jun 11
		People	II			Date Closed	N/A
ICT 4	Failure to deliver the ICT Capital Programme	Service Disruption	III	C	If the ICT Capital programme is not delivered, then the most significant impact would be on the reputation of the service with the Councillors who would be less likely to approve capital funds in future years. There could also be a disruption to services if essential projects were not implemented on time or to quality standards.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	II			Next Review Date	Jun 11
		People	II			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 5	Loss of portable storage device containing sensitive data	Service Disruption	II	D	The loss of portable storage devices could potentially have legal implications through a breach of the Data Protection Act. It is also likely that the loss of data in this way would be reported in the press and therefore result in a damaged reputation for the Councils	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	III			Next Review Date	Jun 11
		People	II			Date Closed	N/A
ICT 6	Virus introduced to the network via storage device	Service Disruption	II	F	The shared ICT service will have comprehensive security processes in place to ensure that the best protection is given against the threat of software viruses. If a virus was introduced, it is expected that services would be interrupted while the virus was isolated and the network cleaned.	Requires Treatment	No
		Financial Loss	I			Last Review Date	Jan 11
		Reputation	II			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		People	I			Date Closed	N/A
ICT 8	Software being removed from the corporate network	Service Disruption	I	E	Software licensing could be compromised by staff illegally removing software owned by the Council. Both councils have processes in place to reduce this risk and a combined solution is being planned.	Requires Treatment	No
		Financial Loss	I			Last Review Date	Jan 11
		Reputation	I			Next Milestone Date	Apr 11
		Legal Implications	II			Next Review Date	Jun 11
		People	I			Date Closed	N/A

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
ICT 9	Disaster in Computer Centre	Service Disruption	V	E	The impact of this risk affects all services and the people affected would be customers and staff. E given because of past experiences which have been infrequent.	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	Jan 11
		Reputation	III			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		People	IV			Date Closed	N/A
ICT 10	Power Outage longer than 1 hour	Service Disruption	III	C	For this risk, all services disrupted, but for less time. The rating takes into account the current short term position at TRDC. The likelihood rating is based upon past experience.	Requires Treatment	Yes
		Financial Loss	I			Last Review Date	Jan 11
		Reputation	I			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		People	I			Date Closed	N/A
ICT 11	Slow / unreliable network communication between TRDC and WBC	Service Disruption	III	F	Services could be affected because of slow links. Network resilience will be established to avoid disruption, hence the low likelihood.	Requires Treatment	Yes
		Financial Loss	I			Last Review Date	Jan 11
		Reputation	I			Next Milestone Date	Apr 11
		Legal Implications	I			Next Review Date	Jun 11
		People	I			Date Closed	N/A



Impact
 V = Catastrophic
 IV = Critical
 III = Significant
 II = Marginal
 I = Negligible

Likelihood
 A = ≥98%
 B = 75% - 97%
 C = 50% - 74%
 D = 25% - 49%
 E = 3% - 24%
 F = ≤2%

RISK TREATMENT PLAN

Risk Ref:	ICT 1	Risk Title:	Loss of Accommodation		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		<p>Loss of access to building where ICT staff are located.</p> <p>The building may be affected by a disaster taking it out of action for long periods, or by power failure meaning health and safety requirements prevent access.</p> <p>Power failure has occurred at TRDC resulting in 1 day without access.</p> <p>Neither site has experienced long term disruption.</p>		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Major incidents such as fire, flood, bomb (real or threat) or loss of power to the building making it unsafe to enter.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Disaster recovery arrangements are in place at TRDC to allow key staff to relocate to the DR test centre (Uxbridge) in the event of a building not being available. This provision allows for 85 staff to relocate. WBC currently have no relocation site, however other sites are available such as Wiggshall Depot and Three Rivers House.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Key staff could relocate from TRDC to the recovery centre. WBC staff could relocate to TDC.	Impact III	Likelihood F
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Further discussion could take place with HCC to identify alternative accommodation if the existing arrangements were deemed inadequate or unsuitable. There might also be cheaper options than the existing DR arrangements. Availability in other buildings such as Basing House, Watersmeet.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		HCC to provide standby accommodation which would have links to their data centre in Apsley, which would also hold the WBC infrastructure. In time, TRDC may also be able to utilise this site. Cost for providing workstations at Apsley needs to be determined.	£ ??	
Current Status	<i>What is the current position on introducing</i>		TRDC staff could relocate to alternative	Impact	Likelihood

APPENDIX 3

	<i>additional controls? What is the current Risk Rating</i>	accommodation. Arrangements for WBC staff can be put in place when spare office space becomes available.	III	F
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	Risk action will have worked if disruption is minimised in the event of accommodation being unavailable i.e. staff are with within a pre-agreed time – 24 hours.	Impact	Likelihood
			III	F

Risk Ref:	ICT 2	Risk Title:	Insufficient Staff and Skills		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		<p>The IT service that will be provided will be limited and as a result there will longer waiting times for resolutions and fixes. It can go wrong whereby there is not enough capacity to deal with customer requests.</p> <p>This has happened in the past.</p> <p>Lack of key skills in areas will result in a drop in support and service. Impact on reputation as there will be a loss of confidence in BIS staff, frontline services may be affected which may therefore affect members of the public.</p>		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		<p>Long term staff absence or temporary staff absence.</p> <p>Possible skills gap not analysed and managed as the implementation of shared services begins. No cross training or knowledge sharing implemented which reduces the resilience within the team.</p>		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Currently looking at the cross training for Applications Analysts to improve resilience within the teams. Work and information documented where possible. Ensure that effective handovers are completed.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Evidence is required – not just a statement that the controls are working.	Impact III	Likelihood B
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		<p>At present the staff are not cross trained therefore certain requests have to wait before they are actioned.</p> <p>To reduce the impact the proposal would be to build more resilience and have more staff cross trained in the shared services.</p>		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Perhaps additional training costs?	£ Enter cost here	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		Enter here the 'status' of the risk, i.e. how it has changed over time, when the further controls are expected to take effect etc.	Impact III	Likelihood C
Critical Success Factor	<i>How will you know that the action taken has</i>		<i>By the means of cross training and building up</i>	Impact	Likelihood

	<i>worked? What will be the Risk Rating outcome with the new controls?</i>	resilience other team members will be able to help on a particular issue whether it is related to the applications team or the infrastructure team.	III	C
--	--	---	-----	---

Risk Ref:	ICT 4	Risk Title:	Failure to Deliver the ICT Capital Programme		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Councillors may not be willing to approve and sign off funds in the future and it may become more difficult for services to obtain buy-in from them. Also, service implementations can also be affected. Potential financial losses through company insolvency It can go if the work has not been planned in advance. It also means that political and corporate targets cannot be met.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Unable to deliver the capital project due to for example insolvency of supplier / implementation on time		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Apply Prince 2 principles, financial status checks on suppliers before agreeing contract. Capital budget monitoring meetings takes place monthly at both Councils.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>	Previous years capital programmes delivered successfully at both Councils.	Impact	Likelihood	
			III	C	
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		The gaps that have been identified is the impact that this has on large corporate projects. In order to reduce the likelihood of something going wrong it would be necessary to have a plan of action in place and for the project or implementation team to identify early on what whether or not the ICT capital programme work will be delivered to time and quality. If further resource is required this also needs to be identified.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Perhaps additional resource to help deliver the project or implementation where required.	£ 1000 per day	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	No additional controls required	Impact	Likelihood	
			III	C	
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	In order to know that the action taken has worked would be by recognising the fact that ICT capital board projects and implementations are achieved on time and to budget.	Impact	Likelihood	
			III	C	

Risk Ref:	ICT 5	Risk Title:	Loss of portable data storage device containing sensitive data		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Devices such as laptops, memory sticks, PDA's and CD's all have the ability to store data/information. Damage to reputation, loss of public confidence and trust. Sensitive data being used for unknown purposes. Breach of data protection act. Financial implications. It has gone wrong for other public sector bodies.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Staff being unaware of the following policies, information and security and Internet and email policy. Staff and external suppliers not adhering to rules regarding the use of memory sticks.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Within Internet & Email policy (WBC) there is an explicit rule of not using memory sticks. This same guidance has been issued within the Information Security policy (WBC)		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		No current known loss of data from WBC or Three Rivers.	Impact IV	Likelihood B
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Data can still be copied to laptop hard drives and CD's. Education of staff of new Information Security (WBC) policy. Look at preventing staff from saving data locally.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Staff time	£ Enter cost here	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		Implementation of WBC Information Security policy is imminent.	Impact III	Likelihood D
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		Risk can be tolerated.	Impact III	Likelihood E

Risk Ref:	ICT 9	Risk Title:	Disaster in Computer Centre		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Loss of Data Loss of Service until DR kicks in + possible interruptions during back to normal process i.e. during restore or replacing servers Air conditioning failure causing servers to “melt” If DR correctly applied short time to back to normal but long time to repair all damages and ensure cost recovery		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Could be water leakage, mal function of air conditioning, fire, etc Wrong concept for air-flow		
Existing Control	<i>What controls exist now to minimise the risk?</i>		DR with ADAM for trailer and generator		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Previous flood – Service back up and running after 4 days (cheque payment) and service to public after one more day	Impact	Likelihood
				V	E
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		Implement remote control for hardware Move server farm to an environment with proper air conditioning, UPS and generator		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Remote Control for hardware WBC & TRDC Move Server farm WBC & TRDC	£ 2 x 4K 2 x 60K	
Current Status	<i>What is the current position on introducing additional controls? What is the current</i>		Temporarily high risk that the air conditioning will fail but back up with portable units and the cols season will help us survive till we move	Impact	Likelihood
				IV	E

	<i>Risk Rating</i>			
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	The measures in place will almost completely minimise the current number of single points of failure	Impact	Likelihood
			IV	F

Risk Ref:	ICT 10	Risk Title:	Power outage longer than one hour		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Localised or more widespread power failure preventing ICT equipment from operating A variety of reasons can cause power failure, all would have the same affect on the service Power failure has occurred at TRDC resulting in 1 day without access. WBC has UPS systems in place, which allow the safe shutdown of servers. Neither site has experience long term disruption		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		A failure of the electricity supply. This could result from a number of different causes		
Existing Control	<i>What controls exist now to minimise the risk?</i>		WBC has UPS systems in place to safely shut down hardware and a switchable power supply to manage some causes of power loss		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		There are no controls at TRDC top manage power loss. The controls at WBC would manage the safe shutdown of services and allow for power supply to continue in some instances of power loss.	Impact III	Likelihood C
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		TRDC to improve UPS facilities in the server room. Assurances that the server environment at Apsley has adequate power management in place.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		A capital bid of £30k has been approved at TRDC for a new UPS system. The relocation of WBC servers to Apsley has been costed separately. The improved power management facilities will come about as a by product of this move.	£ 30,000	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		The current position is that the TRDC server environment is more vulnerable to power loss. WBC controls are adequate, but will be improved further still with the relocation to Apsley	Impact III	Likelihood C
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating</i>		The action will have worked if a power failure in the future has a minimum impact and services will	Impact II	Likelihood C

	<i>outcome with the new controls?</i>	be able to continue as normal.		
--	---------------------------------------	--------------------------------	--	--

Risk Ref:	ICT 11	Risk Title:	Slow / Unreliable network communication between TRDC and WBC		
Responsibility	<i>Who is managing the risk?</i>		Head of ICT		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Services to both authorities could be affected because of slow links. Disruption to the infrared connectivity. Yes the link has been disrupted due to bad weather conditions.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		External incidents such as road works etc cutting through lines. Disruption to wireless (line of sight) capability through bad weather conditions such as fog or building works etc.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		There is a backup solution in place if the line of sight for the wireless part of the network is disrupted, the network fails over to an alternative route.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>		Servers are required to move to Apsley data centre in order to ensure the entire network can take advantage of this resilience	Impact	Likelihood
				III	E
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		None identified		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Capital budget already established for server move	£ 0	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		No additional controls have been identified	Impact	Likelihood
				III	E
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>		Once the servers have moved to the Apsley site, failover between connectivity should be seamless. This could be built in to the annual DR tests.	Impact	Likelihood
				III	F

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
0.1	25/02/11	Draft for discussion of contents	APa



DRAFT REVENUES & BENEFITS SERVICE PLAN

2011 - 2014

Version 0.1 Shared Services Joint Committee – 7 March 2011

CONTENTS

Section	Item	Page
1	Key Purpose of the Service	1
1.1	Scope of the Service	1
1.2	Contribution to Shared Services Objectives	2
1.3	Contribution to the Councils' Strategic Objectives	4
1.4	The Future of the Service	6
2	Inputs	
2.1	People	7
2.2	Workforce Planning	10
2.3	Partnerships & Contracts	12
2.4	Assets and Technology	13
2.5	Current Budgets	14
2.6	Revenue Growth, Service Reductions and Cashable Efficiency Gains	16
2.7	Capital Investment	16
3	Outputs and Outcomes	
3.1	Customer Insight and Consultation	17
3.2	Service Level Agreements	19
3.3	Performance Indicators	30
3.4	Benchmarking information	36
3.5	Outstanding Recommendations of External Inspections	36
3.6	Projects	36
3.7	Equalities	36
3.8	Risk Management	37
	Version Control	44

SECTION 1: KEY PURPOSE OF THE SERVICE

1.1 Scope of the Service

The following activities will be the responsibility of the Revenues and Benefits Shared Service:

- Issuing of Council Tax and National Non-Domestic Rates Bills;
- Maintenance of database for billing purposes;
- Collection of payments of Council Tax and National Non-Domestic Rates Bills;
- Recovery of Council Tax and National Non-Domestic Rates Bills;
- Administration, assessment and payment of Housing Benefit and Council Tax Benefit;
- Issuing of bills for recovering of Housing Benefit and Council Tax Benefit Overpayment;
- Recovery of arrears of repayment of Housing Benefit and Council Tax Benefit Overpayment;
- Writing off of Housing Benefit and Council Tax Benefit overpayment in accordance with the policy of the relevant local authority;
- Compilations of returns to central Government relating to Revenues & Benefits;
- Provision of administrative and support services relating to Revenues & Benefits;
- Calculation of Council Tax Base;
- Collection fund accounting;
- Recommendation for approval of Discretionary Housing Payments
- Recommendation for approval of applications for discretionary National Non-Domestic Rate Relief and National Non-Domestic Rate Hardship Relief;
- Authorisation of officers to attend court for purposes relating to prosecutions for non payment of Council Tax and National Non Domestic Rates;
- Approval of write-offs of bad debts within the scope of the policies established by each Council for the write-off of bad debts.
- Preparation of benefit subsidy claims;
- To provide Management Functions to support both Revenues and Benefits

The following will be the responsibility of the relevant councils:

- Approving and Setting of Council Tax;
- Approval of benefit subsidy claims;
- Approval of discretionary Housing Payments;
- Approval of applications for discretionary National Non-Domestic Rate Relief;
- Approval of applications for discretionary National Non-Domestic Rate Hardship Relief;
- Determination of policy for second homes;
- Determination of policy for write off of bad debts

The service is currently provided from Watford Town Hall with a local outlet in South Oxhey and Three Rivers House. A visiting service is also provided across the two authority areas

The services provided are a statutory function.

Historically both councils have improved speed of processing new claims for benefit and changes in circumstances however, this has been affected by the move to the shared service operation

In addition, Watford have

- achieved the highest collection rate in Hertfordshire for business rates
- introduced the same electronic document processing system in place at Three Rivers, and
- moved to payment of benefit by BACS

and Three Rivers have

- introduced daily quality assurance working on benefit claims
- introduced mobile working with a benefit assessor visiting new claimants in their homes to help with completing the application form and to collect the evidence required to support the claim

1.2 Contribution to Shared Services Objectives	
Savings	
Resilience	<ul style="list-style-type: none"> • Across all the service teams in shared services, the larger overall size of each team will increase the resilience of the service. This will be further enhanced through the proposal to multi skill many 1st line support staff in all the shared services so that customer service is not compromised through any one person being out of the office. • The multi-skilling approach will also provide flexibility to reallocate workload and provide cover during holiday periods and sickness absence. • Being part of a larger team will also increase the pool of knowledge and expertise that councils can access as well as providing more opportunities to train and develop staff, which will improve retention. • Flexible and remote/mobile work practices are likely to be easier to introduce with a larger sized team. • Greater cover should enable leave and training to be scheduled more easily without detriment to the service. • There will be a greater resource to meet changes. • Specific examples include: <ul style="list-style-type: none"> • NNDR where both councils have one officer only dealing with this and in their absence no substantial cover. Skills and knowledge in NNDR will be transferring to billing officers. • Quality and training officers will predominantly be working on benefits but will have exposure to revenues work also.

	<ul style="list-style-type: none"> • Reconciliations on council tax refunds, direct debits etc. are currently done by one officer in TRDC, and have been delayed when that officer is absent or busy on other matters, leading to criticism by auditors. The shared service will be adopting the WBC approach where work is done by billing officers. The test that this has achieved greater resilience will be reconciliations always being performed on time. • Recovery staff will deal with a diversity of collection – council tax, NNDR and housing benefit overpayments.
Improved Services	<ul style="list-style-type: none"> • Promotion of the use of electronic access and telephone, minimise face-to-face contact especially for revenues. • Cash-less, cheque-less, electronically enabled service • Increased levels of home-working • Possibility of providing a revenues and benefits service for other districts • Mobile working – taking the service to the customer – particularly vulnerable groups • Taking benefit services to the customer through the use of mobile technology which will allow benefits assessors to capture benefits claims information in the correct format, verify it and process claims quicker improving accuracy and reducing time spent on correcting errors. • The use of intelligent e-forms to improve productivity of less experienced benefits staff and enabling front line CSC staff to handle more benefits queries • Enable as much high volume, low complexity queries as possible to be resolved at first point of contact i.e. the Customer Service Centres of each council. The aim is for 80% of revenues queries and 60% of the benefits queries to be handled by CSC staff and the remainder to be passed directly to the shared service back office. It is envisaged that there will be a benefits specialist presence from the shared service located at each CSC to allow any face-to-face queries also to be resolved at first point of contact. Expert staff will be left to focus on more complex queries • Potential to reduce office space with increased levels of mobile and home working and reduction of paper through document image processing. • More responsive service due to larger size of team and increased joint resources • The introduction of a common revenues and benefits system across both councils will allow • Aim to reduce the volume of sundry invoices, particularly at Watford Borough Council and time taken to recover debt • The consolidation of all benefits processes under one manager, including any policy training and quality monitoring to ensure full accountability within one team • A centralised document processing team providing economies of scale to scan paperwork, process direct debits and provide general administrative support to the service allowing expert officers to concentrate on the areas in which they have been trained.

1.3 Contribution to the Councils' Strategic Objectives	
Three Rivers District Council	
Safer Communities	<p>Sustainable Communities – by providing information and accurate benefits to residents quickly (2.1.2.1)</p> <p>As at the end of December it was taking 36.54 days on average to process a new benefit claim. Higher than acceptable and subject to much focus by officers.</p> <p>Since November 2007 we have introduced mobile working whereby we take the service out to our customers' homes when we receive a new claim for benefits.</p> <p>In order to improve the accuracy of claims processed we check a high proportion of daily work which we have found to be an excellent way of identifying training needs.</p> <p>Towards Excellence – we will maximise the rate of revenue collection (3.2.3.1)</p> <p>We have increased our targets for the collection of council tax and business rates and are continually reviewing better ways of recovering money owed to the Council. We make effective use of collection tools such as means enquiries and the placing of charging orders on home-owners with council tax debts.</p> <p>We have introduced more pro-active debt collection procedures and where it is appropriate will telephone our customers when we believe they may have overlooked payment. This has the added benefit to the customer of being able to avoid summons costs and gives us an ideal opportunity to promote payment by direct debit. The move towards shared service has enabled a more unified means of revenue collection</p>
Sustainable Communities	
Towards Excellence	
Watford Borough Council	
An Efficient, Effective, Value for Money Council	<p>CP1: An efficient, effective, value for money Council</p> <p>We are committed to the continued embedding of the Equalities Standard Level by</p>
A Town with a High Quality Environment	

A Safer Town	<p>improving access for customers from different backgrounds. Revenues and Benefits contribute to all of the corporate requirements of the standard and update the action plan quarterly.</p> <p>Revenues and Benefits are contributing to value for money with the shared services programme.</p> <p>As part of shared services we have replaced the existing revenues and benefits system and will explore mobile working for benefit assessments to contribute to drive a culture of service excellence.</p>
A Healthy Town	
A Good Town for Business, Skills & Learning	
A Well-informed Community where everyone can contribute	
A Town to be Proud of	

1.4 The Future of the Service

First year = 2010/11

- Getting joint team established - COMPLETED
- Implementing the system and changed business processes including greater use of mobile technologies to take benefits out to customers – CARRIED OVER TO 2011/12
- Greater use of CSC - ONGOING
- Harmonisation of back office/CSC split - ONGOING
- Establish a shared service performance monitoring regime against SLAs

Second year – 2011/12

- It is assumed that 2 NNDR officers' work could be absorbed by the Recovery and Billing teams after the first year of implementation. However, there is scope to retain these roles as separate NNDR roles if additional NNDR work from other councils were processed by this team. UNDER REVIEW
- It is assumed that the improved benefits processes would be sufficiently bedded in following implementation to reduce the benefits officers from 20 FTE to 18 FTE.
- Implementing the system and changed business processes including greater use of mobile technologies to take benefits out to customers
- Greater use of CSC

Third year

- Increased performance
- Cash-less, cheque-less, electronically enabled service
- Increased levels of home-working

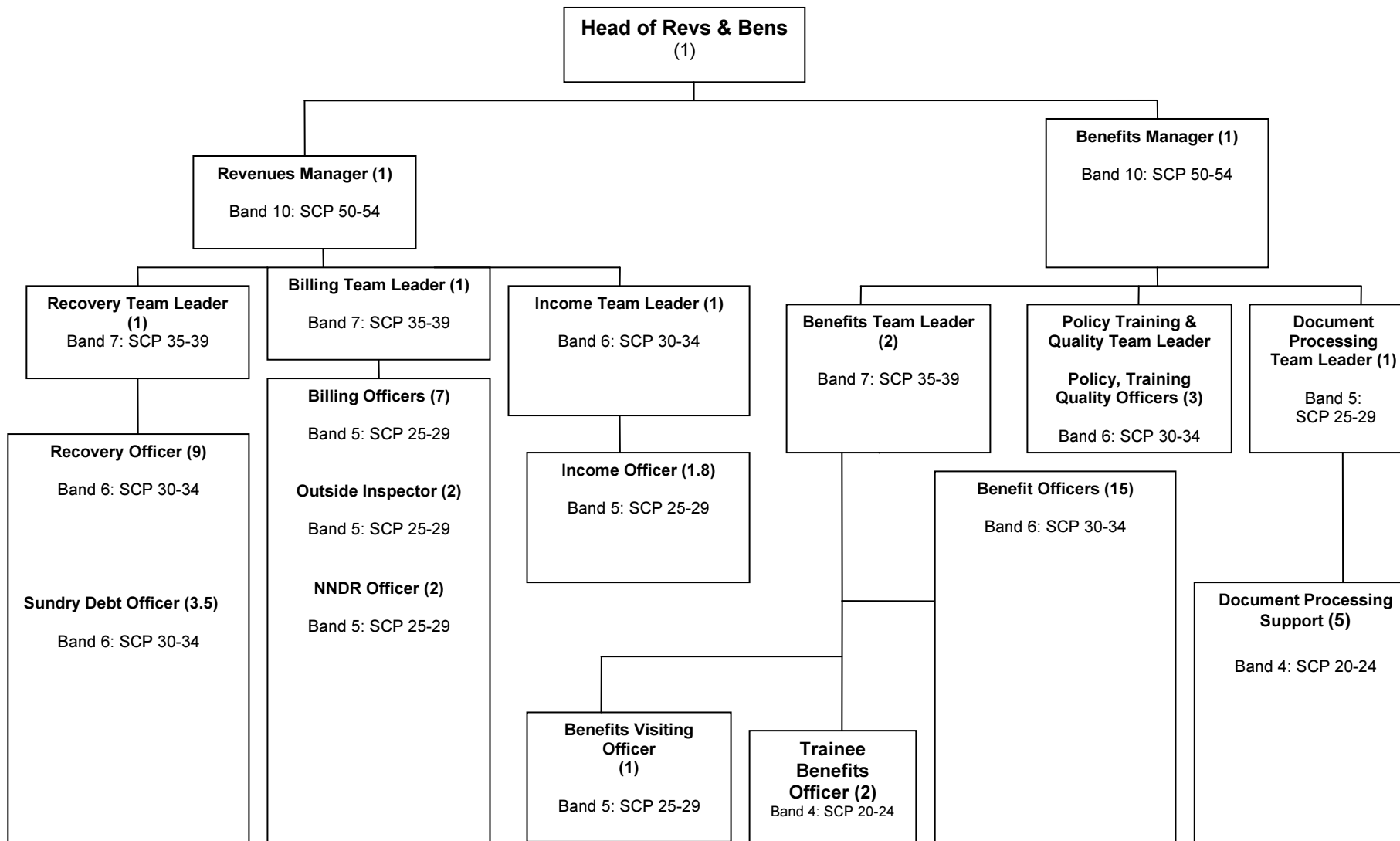
Longer term

- Possibility of providing a revenues and benefits service for other districts

SECTION 2: INPUTS

2.1 People – Organisation Chart March 2011

Revenues & Benefits



Job Title	Grade	No.	FTEs	'Vacant'
Head of Revenues & Benefits				
Revenues Manager	Band 10	1	1	
Recovery Team Leader	Band 7	1	1	
Recovery Officer	Band 6	10	9	
Sundry Debt Officer	Band 6	5	3	
Billing Team Leader	Band 7	1	1	
Billing Officer	Band 5	7	7	
NNDR Officer	Band 5	2	2	0.39
Outside Inspector	Band 5	2	2	
Income Team Leader	Band 6	1	0.8	
Income Officer	Band 5	2	2	
Benefits Manager	Band 10	1	1	
Benefits Team Leader	Band 7	2	2	
Policy Training & Quality Team Leader	Band 7	1	0	1
Appeals Officer	Band 6	1	0	2
Benefits Officer	Band 6	19	17	2
Benefits Visiting Officer	Band 5	1	1	
Trainee Benefits Officer	Band 4	2	2	1
Policy, Training & Quality Officer	Band 6	3	3	
Document Processing Team Leader	Band 5	1	1	
Document Processing Support officer	Band 4	5	5	

2.2 Workforce Planning			
Overview			
Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
Planned reduction in staff once service changes fully implemented	Uncertainty and worry for individuals in those areas. Possibility that some may seek alternative employment before this. The service will need to retain experienced staff if performance is not to suffer.	Preferred solution is to have staff sign-up to shared services and are retained. Reductions achieved through natural wastage.	This would be in the second phase but if we find more opportunities to provide services for others then this would be subject to revision
CSC Implications	Although not in scope there will be changes in the job roles for CSC staff. Some elements of Revs & Bens will transfer to CSC in Three Rivers and Watford – 80% revenues, 60% benefits.	A trained benefits officer from the Shared Service will need to be permanently based in the One Stop Shops at both councils. CSC staff will deal with council tax enquiries and non-complex benefits queries	Investment in intelligent e-forms will allow benefit enquiries and a high level of council tax queries to be dealt with by CSC staff. This will allow the trained council tax and benefits officers to concentrate on the more difficult work. There needs to be a substantial resource invested in development of the CSC during the implementation period both in terms of getting the cut-off points right and training the staff. This will provide the perfect opportunity to undertake some business process re-engineering.
Home working	May be an attractive option to some members of staff for whom travel to Watford would cause difficulties.	Need to identify the number of staff that as an optimum could work from home.	Less office space, different ways of monitoring output, may need specific home working policy. Fewer interruptions would lead to increased productivity.

		<p>Staff would have to be capable of working with little direct support (i.e. staff would have to be fully trained in their role or it could be used for specific tasks).</p> <p>Working from home would have to meet with the service needs.</p>	
Mobile benefit officer working	<p>May be an attractive option to some members of staff who prefer an out of office role with more direct contact with customers.</p> <p>Will allow the service to be taken out to our customers.</p>		Improved service to customers with opportunity to get things right first time.
Succession planning	<p>Staff are aware of a potential career path through the organisation.</p> <p>Impact on service is minimised because there are no gaps for key roles in the service (even if only on an interim basis).</p>	<p>'Growing your own' through the new structures e.g. team members learning to be team leaders and team leaders learning to be managers Leadership development training on-going. Identify skills/knowledge transfer programme.</p>	<p>Need to invest in training and staff development.</p> <p>If recruitment can be done from within the learning period is shorter and benefits reaped more quickly.</p>
Cultural changes for the staff in Revenues & Benefits	There will be changes for staff in the way that they receive HR and Finance services which will be on a self-service basis.	Training programme.	Smarter ways of working achieving greater outputs with the same or reduced inputs.

2.3 Partnerships & Contracts	
Partner / Partnership	Expected Outcomes
Contractual arrangement with banks.	Possibility of harmonisation of banking services for the two councils.
Agencies we work with The appeals service Audit Commission Housing Associations Landlords Rent Officer External bailiffs/collection and tracing companies Internal/External solicitors Welfare agencies Valuation tribunal Valuation Office Citizens Advice Bureaus DWP DCLG Magistrates and County court	They deliver to the service standards and agreements in place

2.4**Assets & Technology**

Office space for 67 people initially, moving down to 62 after year 1. Potential to reduce further depending on the success of home working.

Sufficient storage to meet statutory document retention.

67 PCs or laptops/tablet PCs

Mobile phones for 6 people

6 printers

4 scanners

1 fax machine

1 Photocopier

Facilities for communal recycling, shredding etc.

Integrated Revenues & Benefits System with interfaces to document processing systems, CSC system, main financial system, income distribution and cash receipting systems

Mobile technology software

Direct debit software

Sundry Debt System (module of Financial Management System)

Mobile technology

2.5 Current Budgets

Code	Revenues – Operating Costs	2010-11 Original £	2010/11 Revised £	2011/12 Original £	2012.13 Forecast £	2013/14 Forecast £
	Expenditure					
	Employees	1,155,132	1,023,099	1,136,710	1,182,408	1,248,508
	Transport	8,761	8,761	8,761	8,761	8,761
	Supplies & Services	267,224	214,870	188,020	165,520	165,520
	Contracted & Agency Services	0	0	0	0	0
	Recharges		(38,687)	(42,759)	(43,624)	(45,297)
	Income	0	0	0	0	0
	Sub-Total	1,431,117	1,208,043	1,290,732	1,313,065	1,377,492
	Recharge to Councils					
	Three Rivers District Council	(558,136)	(471,137)	(503,385)	(512,095)	(537,222)
	Watford Borough Council	(872,981)	(736,906)	(787,347)	(800,970)	(840,270)
	Sub-Total	(1,431,117)	(1,336,256)	(1,290,732)	(1,313,065)	(1,377,492)
	Total	0	0	0	0	0

Code	Benefits – Operating Costs	2010/11 Original £	2010/11 Revised £	2011/12 Original £	2012/13 Forecast £	2013/14 Forecast
	Expenditure					
	Employees	1,048,176	1,569,589	1,120,365	1,169,835	1,236,595
	Transport	14,330	11,000	11,000	11,000	11,000
	Supplies & Services	118,004	245,035	142,260	119,760	119,760
	Contracted & Agency Services		0	0	0	0
	Recharges		36,687	42,759	43,624	45,297
	Income	0	0	0	0	0
	Sub-Total	1,180,510	1,788,386	1,316,384	1,344,219	£1,412,652
	Recharge to Councils					
	Three Rivers District Council	(507,619)	(723,204)	(566,045)	(578,014)	(607,440)
	Watford Borough Council	(672,891)	(1,065,182)	(750,339)	(766,205)	(805,212)
	Sub-Total	(1,180,510)	(1,788,386)	(1,316,384)	(1,344,219)	£1,412,652
	Total	0	0	0	0	0

Code	Implementation Costs	2010/11 Original £	2010/11 Revised £	2010/11 Actual £
	Revenue Implementation Costs			
	Programme Management	0	34,551	(4,710)
	Change Management	0	0	0
	Transitional Employee Costs	0	0	0
	Redundancy	0	0	0
	Pension Strain	0	0	0
	Total	0	34,551	(4,710)
	TRDC (31%)		(10,711)	1,460
	WBC (69%)		(23,840)	3,250
			(34,551)	4,710
	Capital Implementation Costs			
	Systems Implementation	0	25,650	0
	TRDC (31%)		(7,952)	0
	WBC (69%)		(17,699)	

2.6		Revenue Growth, Service Reductions and Cashable Efficiency Gains		
	Description	Savings		
		2011/12 £	2012/13 £	2013/14 £
1	Potential Growth			
	NNDR Activity	0	0	0
	Total	0	0	0
2	Service Reductions			
	None	0	0	0
	Total	0	0	0
3	Cashable Efficiency Gains			
	None	8,700	105,000	153,700
	Total	8,700	105,000	153,700

2.7		Capital Investment		
-----	--	--------------------	--	--

Scheme Name	New Scheme	Capital				Revenue Implications				Savings	Resilience	Improvement
		2010/11 £	2011/12 £	2012/13 £	Future Years £	2010/11 £	2011/12 £	2012/13 £	Future Years £			
None												

SECTION 3: OUTPUTS AND OUTCOMES

3.1 Customer insight and consultation

3.1.1 Customer access channels

Service Area	Information Access	Service Access
Benefits	Face to face or telephone, internet, leaflets	Face to face or telephone, internet
Taxation	Face to face or telephone, internet, leaflets	Face to face or telephone, internet

3.1.2 Customer identification and segmentation data

Service provided	Customer group	Segmentation data held
Provision of benefits	Residents	Names Addresses Income National Insurance Numbers Working status Age Ethnicity (optional to provide)
	Landlords	Names Addresses Details of tenants on benefit
Billing and collection of council tax	Residents	Names Addresses Council tax property band Discounts/exemptions awarded Payment profile (regular/bad payer etc.)
Billing and collection of	Businesses	Names Addresses

business rates		Rateable values Discounts/exemptions awarded Payment profile (regular/bad payer etc.)
Sundry Debt Collection	Internal service departments	

3.1.3 Communication and consultation methods

Service provided	Inform	Consult	Engage
Provision of benefits	Leaflets, e-mails, internet, face to face, telephone	Satisfaction survey Landlord Forums	Face to face Landlord Forums
Billing and collection of council tax and business rates	Bills and leaflets, e-mails, internet, some face to face	Satisfaction survey	Electronically, telephone

3.1.4 Customer satisfaction measures

Service provided	Measure	Collection method	Timescale for consultation - start date and regularity	Baseline result	Target
Provision of benefits	Percentage of satisfied customers	Survey			
Revenues services	Percentage of satisfied customers	Survey			

3.1.5 Learning from customer consultation

Questions	Answers
What key findings has customer consultation work identified in the last year for each service area?	Work in progress

Have the needs of a specific customer group been identified?	Work in progress
What has been done as a result of customer consultation?	Work in progress
How have you fed back to customers that have been consulted?	Work in progress
How effective were the consultation methods used? What changes are proposed?	Work in progress

3.2 Service Level Agreements

1. Overview

1.1 Scope

The R&B services defined as being core to the Shared Service and that are covered by this SLA are:

1. Sundry Debt
2. Council tax/NNDR
3. Administration of housing and council tax benefits
4. Cash Accounting

The Shared Service Organisation will deliver common services to both councils although the systems, form and processes may differ.

1.2 Out of scope

Some functions that might be considered part of a the Shared Service are under the scope of another Shared Service and a different SLA or will be retained by the council (s) as shown

Function	Logic	Owned by
Printing Cheques		Print Office

1.3 Access Channels

Service will be based at	Watford Town Hall plus outreach facilities at Three Rivers House and the Oxhey Area Office
Opening hours:	08.30-17.00 Monday to Friday excluding Bank Holidays
Out of office support	By exception or prior negotiation only
Telephone contact:	See staff directory for more detail
Email Contact	See staff directory for detail
Intranet Site	WBC http://wow TRDC http://intranet.threerivers.gov.uk

Shared Service	Revenues & Benefits
Service Name	Sundry Debtors
Description	Invoicing and debt collection for Council Services and other miscellaneous charges
Service Reference	RB01
Service Owner	Recovery Team Leader

Inputs/Outputs

Inputs	<ul style="list-style-type: none"> • Appropriate accounting support from Finance. • Implement audit recommendations within agreed timescales. • Instruction from the budget holder that a charge needs to be raised - giving us enough information to raise that charge. • Payments coming in via the cash receipting/income distribution system. • Advice from legal / outside solicitors as necessary. • Write Offs will be authorisation by Head of Services and within CIPFA guidelines.
Input Quality Measures	<ul style="list-style-type: none"> • Policies and procedures up to date. • Debit requests/Credit notes will be checked for accuracy and authorisation and will be processed within agreed timescales. <p>The above will be monitored by Team Leader and Internal/external Audit.</p>
Customer Responsibility	<ul style="list-style-type: none"> • 'Debit requests' must be completed in full with appropriate authorisation. • A 'Debit request' should be completed within appropriate time scales. Generally this is as soon as the income is identified. • Services must be in a position to provide sufficient proof of the debt i.e. signed contracts. • Pricing policies and procedures up to date
Processes	<ul style="list-style-type: none"> • Raise and issue invoices • Debt chasing and recovery • Write off's

Outputs	<ul style="list-style-type: none"> • Invoicing & recovery of sundry income • In the event of 'non payment' the service will be notified in order that they can withdraw any service. • Write offs proposed and actioned.
Output Responsibility	Recovery Team Leader

Supporting Data

Timescales	<ul style="list-style-type: none"> • An invoice will be raised within an appropriate timescale from receiving the request.
Outcomes	<ul style="list-style-type: none"> • An efficient, effective, value for money Council. • Maximise the rate of revenue collection.
Inter- dependencies	<ul style="list-style-type: none"> • Sufficient Resource. • Appropriate systems support from BIS. • Appropriate support from Cashiering service. • Appropriate accounting support from Finance. • Appropriate support from Legal.
Quality	<ul style="list-style-type: none"> • Sundry Debtors complies with CIPFA guidelines. • Equality Impact assessments have been completed, showing no adverse impact. • Sundry debtors are subject to an annual internal and external audit.
Volumes	'One Off' Invoices are raised within an appropriate timescale. Periodic invoices are raised monthly, quarterly and annually.

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Collection rate.		
Purpose	To monitor effective recovery. This information is used for management control and performance reporting.		
Go Live	2011/12	2012/13	2013/14
	90%	91%	91%
Measure 2			
Description	Customer satisfaction		
Purpose	To ensure that the service we deliver meets our customers' needs.		
Go Live	Year 1	Year 2	Year 3 (end goal)
	80%	85%	90%

Review Date

1st October 2011

Shared Service	Revenues & Benefits
Service Name	Council Tax/NNDR
Description	Administration and collection of council tax and business rates
Service Reference	RB02
Service Owner	Billing team leader and recovery team leader

Inputs/Outputs

Inputs	<ul style="list-style-type: none"> • Input from Valuation Office
Input Quality Measures	<ul style="list-style-type: none"> • Policies and procedures up to date
Customer Responsibility	<ul style="list-style-type: none"> • Provide details of the level of council tax and NNDR rates • Set targets for collection • Approving write-offs
Processes	<ul style="list-style-type: none"> • Raise and issue bills to householders and inform that we need to be told of changes, debt recovery, write off
Outputs	<ul style="list-style-type: none"> • Accurate data base • Achieve collection levels
Output Responsibility	<ul style="list-style-type: none"> • Billing team leader and recovery team leader

Supporting Data

Timescales	<ul style="list-style-type: none"> • Annual bills raised and issued in time to meet first instalment
Outcomes	<ul style="list-style-type: none"> • An efficient effective value for money service that maximises the rate of revenue collection
Inter- dependencies	<ul style="list-style-type: none"> • Sufficient resource • Appropriate system support from ICT • Support from cashiering service • Support from finance • Support from legal
Quality	<ul style="list-style-type: none"> • Complies with statutory requirements
Volumes	<ul style="list-style-type: none"> • 70,000 council tax accounts • 4,600 business rate accounts

Service Level Performance Indicators (how will it be measured)

Measure 1			
Description	Collection of council tax collected in year		
Purpose	Measure efficiency of collection		
Go Live	2011/12	2012/13	2013/14
TRDC %	98.9	99	99.25
WBC %	97.3	97.8	98.3
Measure 2			
Description	Collection of NNDR collected in year		
Purpose	Measure efficiency of collection		
Go Live	2011/12	2012/13	2013/14
TRDC %	99.8	99.8	99.8
WBC %	99.8	99.8	99.8
Measure 3			
Description	Council tax collected by direct debit		
Purpose	Measure efficiency of collection		
Go Live	2011/12	2012/13	2013/14
TRDC %	70	70	70
WBC %	60	60	60

Measure 4			
Description	NNDR collected by direct debit		
Purpose	Measure efficiency of collection		
Go Live	Year 1	Year 2	Year 3 (end goal)
TRDC %	60	62	64
WBC %	60	62	64
Review Date	1 st October 2011		

Shared Service	Revenues & Benefits
Service Name	Benefit Payments
Description	Administration and payment of housing and council tax benefits
Service Reference	RB03
Service Owner	Benefits team leaders

Inputs/Outputs

Inputs	<ul style="list-style-type: none"> • Input from DWP
Input Quality Measures	<ul style="list-style-type: none"> • Policies and procedures up to date • Data base up to date and accurate • Low level of error in processing • No significant backlog
Customer Responsibility	<ul style="list-style-type: none"> • Provide details of resource available • Set targets for processing and accuracy
Processes	<ul style="list-style-type: none"> • Deal with changes in circumstance and new applications for benefit • Make payments to applicants and landlords as appropriate
Outputs	<ul style="list-style-type: none"> • Accurate data base • Achieve performance standards
Output Responsibility	<ul style="list-style-type: none"> • Benefits team leaders

Supporting Data

Timescales	<ul style="list-style-type: none"> • Claims processed and payments made to meet statutory deadlines and performance targets
Outcomes	<ul style="list-style-type: none"> • An efficient effective value for money service that provides timely benefits
Inter- dependencies	<ul style="list-style-type: none"> • Sufficient resource • Appropriate system support from ICT • Support from cashiering service • Support from finance • Support from legal
Quality	<ul style="list-style-type: none"> • Complies with statutory requirements
Volumes	<ul style="list-style-type: none"> • 13,000 housing and council tax live claims

Service Level Performance Indicators (how will it be measured)			
Measure 1			
Description	Speed of processing new claims		
Purpose	Measure efficiency and effectiveness		
Go Live	2011/12	2012/13	2013/14
TRDC days	25	22	16
WBC days	27	25	20
Measure 2			
Description	Speed of processing changes of circumstance		
Purpose	Measure efficiency and effectiveness		
Go Live	2011/12	2012/13	2013/14
TRDC days	15	10	8
WBC days	20	15	10
Review Date	1 st October 2011		

Shared Service	Revenues & Benefits
Description	Receipt and posting of payments into relevant systems and updating of relevant records
Service Name	Cash Management
Service Reference	RB04
Service Owner	Income Team Leader

Inputs/Outputs

Inputs	<ul style="list-style-type: none"> • Appropriate accounting support from Finance. • Distribution of cash files e.g. bank imports via the cash receipting/income distribution system. • Appropriate support from the Bank.
Input Quality Measures	<ul style="list-style-type: none"> • Policies and procedures up to date. • Remittances received will be checked for accuracy and authorisation and will be processed within agreed timescales. • Daily reconciliations will take place.
Customer Responsibility	<ul style="list-style-type: none"> • 'Remittance received/receipt books' must be completed in full including General Ledger, Vat codes and description of the income. • 'Petty Cash' forms must be completed in full with appropriate authorisation and receipts. • 'Cheque listings' should be completed by the 'Strategic Team'. Ideally post should be opened in the morning each day. • 'Bank import' and 'Cash' should be loaded daily by the Radius Administrator. • 'Debit/Credit card' payments received via phone from Council Tax should be passed to the Payments Office for processing the same day they are received. • Services must be in a position to provide reason for payments received. • Pricing policies and procedures up to date.
Processes	<ul style="list-style-type: none"> • Receipting and Banking of income for all Services. • Accounts receivable accounts updated to reflect payments received. • Departments advised of payments received in order that a service can be carried out for the customer. • Reimbursement of expenses paid back to staff via petty cash.
Outputs	<ul style="list-style-type: none"> • Processing cheque and cash payments received via post/counter, 'Accounting Officers' monies and internal remittances received. • Processing debit/credit card transactions.

	<ul style="list-style-type: none"> • Processing Transcash payments. • Processing petty cash transactions. • Processing refer to drawer cheques. • Dealing with post dated cheques. • Bank suspense/ identifying miscellaneous income/ journaling monies between accounts. • Send spreadsheet to each department advising of payments received. • The daily banking of income received using G4S. Payments Office deals with all G4S queries and arranges collections for other sites as well as paying for the collections. • Deal with banking queries. • Deal with Streamline and charge back queries
Output Responsibility	Income Team Leader

Supporting Data

Timescales	<ul style="list-style-type: none"> • Payments received will be posted to cash receipting system daily. • Banking will be completed daily. Collection of banking will be arranged twice a week using G4S. • Reconciliations will be carried out daily. • Audit recommendations implemented within agreed timescales.
Outcomes	<ul style="list-style-type: none"> • An efficient, effective, value for money Council.
Inter- dependencies	<ul style="list-style-type: none"> • CSC to deliver relevant duties an agreed in managing the receipt and recording of cheques received via post • Post Room to deliver relevant duties an agreed in managing the receipt and recording of cheques received via post • Appropriate systems support from BIS. • Appropriate accounting support from Finance.
Quality	<ul style="list-style-type: none"> • The 'Payments Office' is subject to an annual internal and external audit.
Volumes	<ul style="list-style-type: none"> • Volumes are dependant on the peaks and troughs of our service users. For example if Council Tax send reminders then we will be busy for a period after.

Service Level Performance Indicators (how will it be measured)

Measure 1	
Description	No performance indicators.

Review Date	1 October 2011
-------------	----------------

3.3 Performance Indicators

Reference NI 181	Right time, right benefit.															
Indicator Definition	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events.															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	20	20	20	20	30	28	27	25	25	24	23	22	21	21	21	21
Watford	40	40	40	40	30	28	27	25	25	24	23	22	21	21	21	21
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	34.94	37.52	36.54													
Watford	30.68	30.96	35.72													
Comments on Performance																

Reference RB3	Speed of processing new claims.															
Indicator Definition	Number of days taken to process new claims for Housing and Council Tax Benefit.															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	20	20	20	20	30	28	27	25	25	24	23	22	20	18	17	16
Watford	40	40	40	40	30	30	28	27	20	20	20	25	25	23	22	20
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	47.78	29.33	42.62													
Watford	32.6	32.04	33.7													
Comments on Performance																

Reference RB 4	Speed of processing changes of circumstance.															
Indicator Definition	Number of days taken to process changes of circumstance for Housing and Council Tax Benefit.															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	10	10	10	10	15	15	15	15	10	10	10	10	10	10	10	10
Watford	20	20	20	20	20	20	20	20	15	15	15	15	10	10	10	10
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	31.8	39.07	38.37													
Watford	30.02	31.53	31.11													
Comments on Performance																

	Benefits customer satisfaction															
Indicator Definition	Percentage of customers surveyed who are satisfied with the service provided by the Benefits teams															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	80	80	80	80	85	85	85	85	90	90	90	90	95	95	95	95
Watford	80	80	80	80	85	85	85	85	90	90	90	90	95	95	95	95
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC																
Watford																
Comments on Performance – No action taken – set as June 2011 activity																

Reference RB1	Percentage of current year council tax collected in year															
Indicator Definition	Enter definition of Indicator here															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	29.8	58.0	86.9	98.8	29.8	58.0	87.0	98.9	29.8	58.0	87.0	99.0	29.8	58.0	87.0	99.1
Watford	27.7	54.7	82.4	97.3	27.7	54.7	82.4	97.5	27.7	54.7	82.4	97.7	28.0	55.3	83.2	97.9
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	30.3	57.1	87.7													
Watford	27.2	54.1	80.4													
Comments on Performance																

Reference RB2	Percentage of current year NNDR collected in year															
Indicator Definition	Enter definition of Indicator here															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	30.5	61.5	89.5	99.8	30.5	61.5	89.5	99.8	30.5	61.5	89.5	99.8	30.5	61.5	89.5	99.8
Watford	30.5	61.5	89.5	99.8	30.5	61.5	89.5	99.8	30.5	61.5	89.5	99.8	30.5	61.5	89.5	99.8
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	35.2	60.9	87.3													
Watford	27.2	57.9	87.1													
Comments on Performance																

RB9	% of council tax collected by direct debit															
Indicator Definition	Enter definition of Indicator here															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	70	70	70	70	72	72	72	72	74	74	74	74	75	75	75	75
Watford	58	58	58	58	58	58	58	58	60	60	60	60	65	65	65	65
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	59.85	61.5	69.12													
Watford	57.4	56.11	63.7													
Comments on Performance																

	% of NNDR collected by direct debit															
Indicator Definition	Enter definition of Indicator here															
Target	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	60	60	60	60	62	62	62	62	64	64	64	64	66	66	66	66
Watford	60	60	60	60	62	62	62	62	64	64	64	64	66	66	66	66
Outcome	2010/11				2011/12				2012/13				2013/14			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
TRDC	n/a	n/a	n/a													
Watford	n/a	42.5	43.1													
Comments on Performance																

3.4 Benchmarking Information

Benchmarking will commence in 2010/11

3.5 Outstanding Recommendations of External Inspections

HB / CTB Subsidy Claim

Claim or return	Recommendation	Priority	Management response & implementation details
Housing & Council Tax Benefit Claim	Spot checks undertaken by independent officers to ensure correct information is used for the assessment of rent allowance benefits awards.	High	<This is accepted. To meet this we are appointing to a new post with specific responsibility for regular monitoring of subsidy.> <Benefit Manager> <April 2011>
Housing & Council Tax Benefit Claim	The administration and controls around un-cashed cheques should be formally documented, implemented and regularly monitored.	Medium	<This is accepted and will be met as above> <Benefit Manager> <April 2011>
Housing & Council Tax Benefit Claim	Subsidy training should be provided to designated staff to ensure that sufficient back-up arrangements are in place in the absence of the housing Benefit manager..	High	<Subsidy training was delivered to all staff in August 2010. The above post will offer added resilience> <Benefit Manager> <April 2011>

3.6 Projects

Specific small projects are still being formulated – our major tasks will be around consolidating the implementation.

Project	Apr 2011	May 2011	Jun 2011	Jul 2011	Aug 2011	Sep 2011	Oct 2011	Nov 2011	Dec 2011	Jan 2012	Feb 2012	Mar 2012	2012-2013	2013-2014	Progress / Comments
Project to migrate TRDC Academy system to same Windows Platform as WBC – to commence in April															

3.7 Equalities

3.7

To be completed following further discussion with Equality Officers at both authorities

RISK REGISTER


	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
Risk Ref	<i>Brief Description – Title of Risk</i>	<i>See Impact Table</i>	<i>See Impact Table</i>	<i>See Likelihood Table</i>	<i>Use this box to describe how the score has been derived</i>		
RB 1	Insufficient staff	Service Disruption	I	E	This impact has been assessed taking into account 'normal' circumstances. It does not assume the scenario of a flu pandemic where there would be a national shortage of staff. Under normal circumstances it is usually possible to engage agency staff easily, although this will be more expensive than budgeted payroll costs.	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/09
		Reputation	I			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	dd/mm/yy
RB 2	Failure of ICT systems	Service Disruption	II	D	Although the likelihood of losing ICT Systems is considered low, in the event of it happening, the Business Continuity Plan determines timescales within which the systems should be made available in order to avoid a significant impact. For this range of services those timescales are:- Benefits - 48 hours Overpayments - 48 hours Billing & Collection of Council Tax & NNDR - 48	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/09
		Reputation	I			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	dd/mm/yy

					hours Sundry Debtors - 5 days		
RB 3	Loss of accommodation	Service Disruption	II	D	<p>Although the likelihood of losing accommodation is considered low, in the event of it happening, the Business Continuity Plan determines timescales within which accommodation should be made available in order to avoid a significant impact. For this range of services those timescales are:-</p> <p>Benefits - 48 hours Overpayments - 48 hours Billing & Collection of Council Tax & NNDR - 48 hours Sundry Debtors - 5 days</p> <p>The ability of staff to work from locations away from the office now that we have an electronic data management system has considerably reduced this risk.</p>	Requires Treatment	No
		Financial Loss	II			Last Review Date	26/11/09
		Reputation	II			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	dd/mm/yy
		Financial Loss	I				
		Reputation	II				
		Legal Implications	I				
		People	II				

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
RB 4	Recession leads to greater take-up of benefits and added pressure on service	Service Disruption	I	D	Given that we are currently in a recession there is a high probability that more people will claim benefit. It is irrelevant whether those claims are processed successfully, the additional work will lie in checking and processing.	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/09
		Reputation	I			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	dd/mm/yy
RB 5	Recession leads to more non-payment of council tax and business rates	Service Disruption	I	D	We are already experiencing a fall in collection rates on NNDR. The financial effect will be on cash-flow and lost interest.	Requires Treatment	No
		Financial Loss	II			Last Review Date	26/11/09
		Reputation	I			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	dd/mm/yy
RB 6	Recession means it is more difficult to collect sundry debts and HB overpayments	Service Disruption	I	D	We are already experiencing difficulty in collecting rent from some small businesses. Again a cash flow effect though lower as the sums of money involved are much smaller.	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/09
		Reputation	I			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	dd/mm/yy
		Financial Loss	I				
		Reputation	I				
		Legal Implications	I				
RB 7	Breach of Data Protection etc Acts	Service Disruption	I	F	Staff are trained to know that they must not disclose personal data.	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/09
		Reputation	III			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	dd/mm/yy

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
RB 8	Injury to staff or customer	Service Disruption	I	F	Safety procedures in place for lone workers and those visiting customers at home. H&S policies and training in place.	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/09
		Reputation	I			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	III			Date Closed	dd/mm/yy
RB 9	Benefits are not realised once shared services is implemented or realised later than planned.	Service Disruption	II	E	<ul style="list-style-type: none"> - Councils do not achieve remaining £1.4m in savings - Service performance deteriorates/does not improve - Little or no return on investment 	Requires Treatment	No
		Financial Loss	II			Last Review Date	26/11/09
		Reputation	II			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	
RB 10	Operational performance drops during the transition period and early phase of implementation.	Service Disruption	II	B	<ul style="list-style-type: none"> - BVPIs drop resulting in member and customer dissatisfaction - Negative feedback from Audit Commission during annual audit - Cost of additional resources to improve performance - Credibility of programme drops 	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	26/11/09
		Reputation	II			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	
RB 11	Harmonisation of operational policies to deliver business improvement is either not achieved to a sufficient level or takes longer than anticipated.	Service Disruption	II	D	Benefits not achieved as per business case or at additional cost	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/09
		Reputation	I			Next Milestone Date	Ongoing
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	

RB 12	Key staff from services leave before skills transfer has taken place, or unexpectedly	Service Disruption	III	F	<ul style="list-style-type: none"> - Delay in programme - Additional resource costs e.g. consultants, or engaging temporary staff - Potential negative impact on service performance, PIs, customer service/satisfaction - Potential snowball effect on other staff if key individuals leave 	Requires Treatment	No
		Financial Loss	II			Last Review Date	26//11/09
		Reputation	I			Next Milestone Date	01/04/10
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	
RB 13	Staff not ready for new ways of working	Service Disruption	II	E	<ul style="list-style-type: none"> - Performance dips and/or improvements in service not realised - Culture change not achieved - Morale dips 	Requires Treatment	No
		Financial Loss	I			Last Review Date	27/11/09
		Reputation	I			Next Milestone Date	Jan10
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	
RB 14	Contracts with systems suppliers are not robust enough	Service Disruption	I	E	<ul style="list-style-type: none"> - Poor performance - Increased licence/maintenance or implementation costs - Delays to implementation 	Requires Treatment	No
		Financial Loss	I			Last Review Date	27/11/09
		Reputation	I			Next Milestone Date	Jan10
		Legal Implications	I			Next Review Date	01/04/11
		People	I			Date Closed	

Likelihood ↑	A					
	B		10			
	C					
	D	4, 6,	2, 3, 5, 11			
	E	1, 14	9, 13			
	F			7, 8, 12		
		I	II	III	IV	V
						

Impact
 V = Catastrophic
 IV = Critical
 III = Significant
 II = Marginal
 I = Negligible

Likelihood
 A = ≥98%
 B = 75% - 97%
 C = 50% - 74%
 D = 25% - 49%
 E = 3% - 24%
 F = ≤2%

RISK TREATMENT PLAN

Risk Ref:	10	Risk Title:	Operational performance drops during the transition period and early phase of implementation.		
Responsibility	<i>Who is managing the risk?</i>		Susan Townshend		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Performance drops as staff become used to new ways of working. There has been experience of this occurring in the past.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Change in system, changes in procedures and culture. Becoming used to working in different cultures.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Training is on-going with sufficient time for staff to practice prior to go live. Process change workshops have been held involving all staff.		
Adequacy of Control	<i>What evidence is there that the existing Controls are working? What would the Risk Rating be without the existing controls?</i>	Existing controls not yet tested as we have not got to the point where the risk will come into being.	Impact	Likelihood	
			See Impact Table	See Likelihood Table	
Further Action / Controls Required	<i>What gaps have been identified? What can be done to reduce the likelihood of something going wrong and/or reduce the Impact if something does go wrong?</i>		See above. In order to reduce the risk we have identified and resourced additional agency staff well experienced in the new system to reduce/prevent problems in benefit assessment which is very high profile.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Additional agency staff.		£ 50 – 75k
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>	Existing controls not yet tested as we have not got to the point where the risk will come into being.	Impact	Likelihood	
			See Impact Table	See Likelihood Table	
Critical Success Factor	<i>How will you know that the action taken has worked? What will be the Risk Rating outcome with the new controls?</i>	The backlog reduces and processing times improve.	Impact	Likelihood	
			See Impact Table	See Likelihood Table	

Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
0.1	25/02/11	Draft for discussion of contents	PA

This page is intentionally left blank