



REVENUES & BENEFITS SERVICE PLAN

2012- 2015

Version 0.2 - Shared Services Joint Committee – 21 November 2011

Shared Services Programme

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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 (and its successor, Localised Scheme);
- 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 reductions under S13A Local Government Finance Act 1992
- 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
- Design and Approval of Localised Council Tax Rebate Scheme wef 2013 (Subject to legislation)

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

The immediate year (2011-12) has continued to see difficulty in reducing the processing times for new claims and changes although has seen improved collection rates for both Council Tax and Business Rates supported by a robust collection regime

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 in anticipation of proposed changes to the retention of Business Rates with effect from 2013. • Quality and training officers will predominantly be working on benefits but will have exposure to revenues work also. • Reconciliations on council tax refunds, direct debits etc. are now performed by a number of staff within the shared service reducing the reliance on a sole individual. • 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.
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1.3 Contribution to the Councils' Strategic Objectives	
Three Rivers District Council	
Economic Opportunities	<p>3.2.1 Improve access to Benefits</p> <ul style="list-style-type: none"> – Extend the number of Benefit Surgeries to include Watford Town Hall – Implement Self Service System for Benefit Claimants <p>4.1.1 We will strive to improve and maintain service standards for all services</p> <ul style="list-style-type: none"> - RB03 – Speed of processing new claims - RB04 – Speed of processing changes of circumstances
Customer Service	
Watford Borough Council	
Supporting Individuals and the Community	<p>By providing a service that supports those residents who are more vulnerable in terms of low income. The aim of the service is to ensure those with a genuine need are able to access the support they need quickly and effectively.</p> <p>CP23: Completion of Shared Service Implementation</p> <p>By harmonising operating systems and associated procedures.</p>
Securing an efficient, effective, value for money Council	

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 – CONTINUING TO BE DELIVERED THROUGH 2012/13
- 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. PROPOSED CHANGES IN BUSINESS RATE RETENTION (WEF 2013) HAS CHANGED THE EMPHASIS ON THIS AREA MAKING IT MORE IMPORTANT TO RETAIN SKILLS IN THIS DISCIPLINE
- 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. UNDER REVIEW
- Implementing the system and changed business processes including greater use of mobile technologies to take benefits out to customers - ONGOING
- Greater use of CSC – NOW UNDERWAY

Third year 2012/13

- Increased performance
- Cash-less, cheque-less, electronically enabled service
- Increased levels of home-working
- Fuller implementation of self-service modules enabling more queries to be moved away from "back office" staff

Fourth Year 2013/14

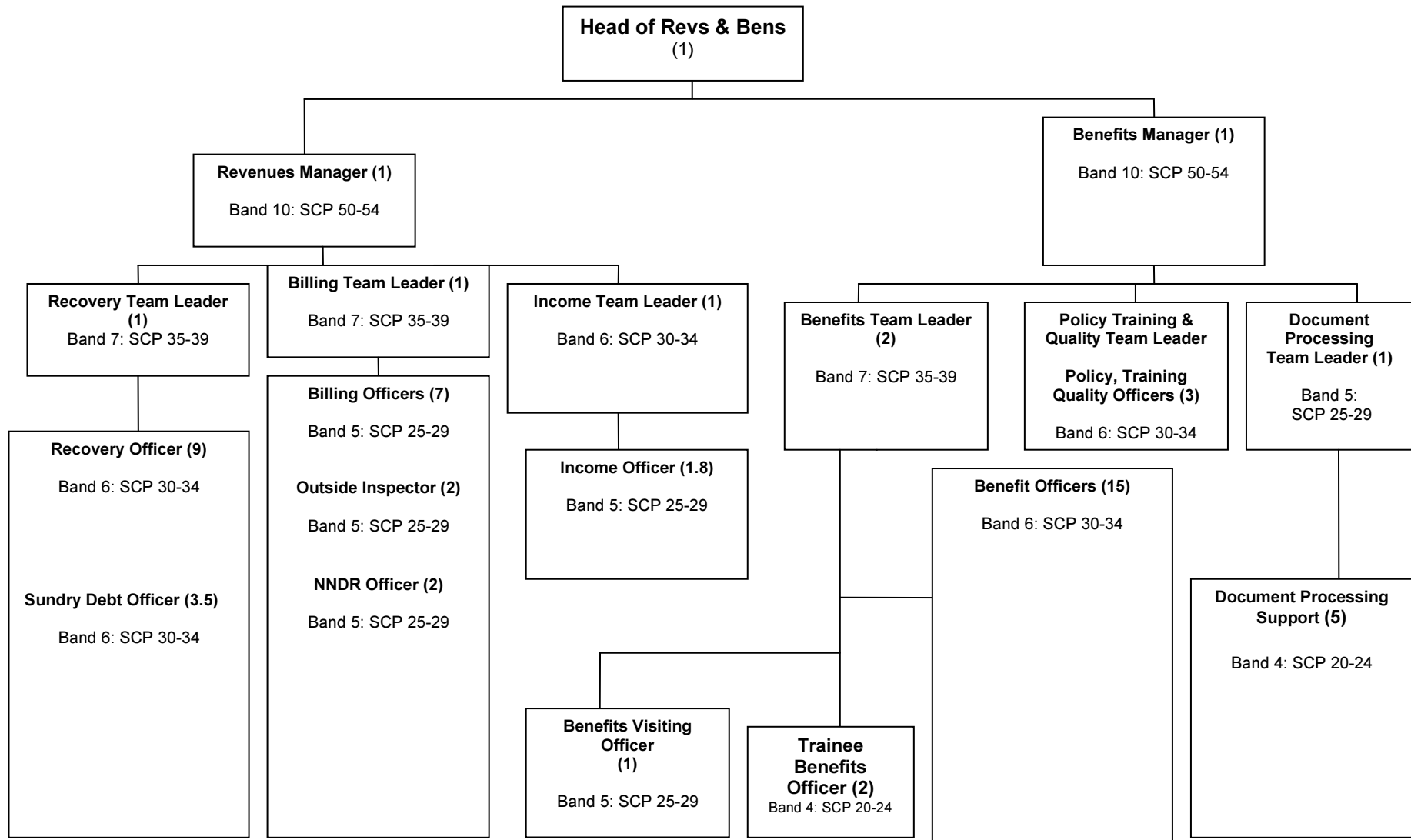
- The introduction of Universal Credit in October 2013 will see the start of a reduction in caseload for the Benefits Department.
- The proposed introduction of Social Fund Payments being managed by Local Authorities will counter this.
- A local Council Tax Benefit scheme with inbuilt reductions will create challenges in maintaining Council Tax collection rates

Longer term

Possibility of providing a revenues and benefits service for other districts

SECTION 2: INPUTS

2.1 People – Organisation Chart October 2011



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	1
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
Developing the staff in order to deal with external influences such as changes in legislation and increases in workload	<p>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.</p> <p>The current economic climate in general and volume of work seen by the service has limited opportunities in this field.</p> <p>Future changes to the Benefit System (Universal Credit and Council Tax Benefit) will have an impact on service delivery and will require a further review of the service</p>	<p>Preferred solution is to have staff sign-up to shared services and are retained.</p> <p>Reductions achieved through natural wastage.</p> <p>We need to ensure that the teams are fully staffed to meet the demands and that the appropriate systems are in place to deal with this.</p> <p>Future changes to Council Tax Benefit and Universal Credit may change the dynamic of the team and options should start to be considered in 2012/13</p>	<p>Potential outcome could be a greater emphasis on Council Tax collection if the proposed changes result in there being a greater challenge in collection.</p> <p>Much will depend on the outcome of the local Council Tax Benefit scheme that is scheduled to be introduced in April 2013.</p> <p>Corporately there will be a pressure on budgets from 2013 with a reduction in grant to support Council Tax Benefit and an anticipated reduction in Benefit Admin Grant from 2013 onwards due to an anticipated reduced caseload.</p>
CSC Implications	The original assumption was that some elements of Revs & Bens will transfer	A trained benefits officer from the Shared Service will need to be	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

	<p>to CSC in Three Rivers and Watford – 80% revenues, 60% benefits.</p> <p>This will call for additional training to be given to each CSC in the areas identified</p>	<p>permanently based in the One Stop Shops at both councils.</p> <p>CSC staff will deal with council tax enquiries and non-complex benefits queries</p>	<p>council tax and benefits officers to concentrate on the more difficult work.</p> <p>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.</p> <p>This has commenced in 2011 with Council Tax enquiries being dealt with by both CSC and a “triage” of benefits queries at One Stop Shops being operated. The early indicators are that this is achieving the required results and that the time take to reach a benefit decision is reducing</p> <p>There is the anticipation that this can be extended to other forms of customer contact, i.e. phone and post / scanning.</p>
Home working	<p>May be an attractive option to some members of staff for whom travel to Watford would cause difficulties.</p>	<p>Need to identify the number of staff that as an optimum could work from home.</p> <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 and fit in with corporate aims</p>	<p>Less office space, different ways of monitoring output, may need specific home working policy.</p> <p>Fewer interruptions would lead to increased productivity.</p>

<p>Mobile benefit officer working</p>	<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>		<p>This has been operated successfully on a basic level with home visits being made to vulnerable claimants. An enhanced service will be implemented during 2012 using Mobile Technology provided by our software providers, Capita, (Academy)</p>
<p>Succession planning</p>	<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> <p>To support this staff have commenced external study for IRRV Qualifications to enhance the knowledge base</p>
<p>Cultural changes for the staff in Revenues & Benefits</p>	<p>There will be changes for staff in the way that they receive HR and Finance services which will be on a self-service basis.</p>	<p>Training programme.</p>	<p>Smarter ways of working achieving greater outputs with the same or reduced inputs.</p>
<p>More use of technology to improve performance and realise savings</p>	<p>By offering more self-service options, staff will be able to concentrate on processing work with interruptions.</p> <p>Technology will also enable more complete applications reducing the time involved in chasing information. (BECS)</p> <p>Technology will also be</p>	<p>Solution will be delivered during 2012.</p> <p>Tracing defaulting taxpayers has already commenced.</p> <p>A review of Single Person Discounts has begun and will continue throughout 2012.</p>	<p>The level of savings will be determined by the take-up of these solutions.</p> <p>There will be an increase in Council Tax and NNDR collection rates with fewer write offs.</p> <p>There will be a more accurate representation of the bad debt as more efforts are being taken to chase debtors meaning that the ones left are genuinely untraceable.</p> <p>A 4% reduction in Single Person Discounts will generate an increase of approx £47,000 in additional Council Tax for both districts.</p>

	used to track defaulting taxpayers to enable more effective recovery and to ensure greater accuracy of the Council Tax database		
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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 / External Auditors Housing Associations Landlords Rent Officer External bailiffs/collection and tracing companies Internal/External solicitors Welfare agencies Valuation tribunal Valuation Office Citizens Advice Bureaux DWP DCLG Magistrates and County court	They deliver to the service standards and agreements in place

2.4

Assets & Technology

Office space for 67. 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 Revenue Budgets

	2011/11	2011/12	2011/12	2011/12	2011/12	2011/12	2012/13	2013/14	2014/15
Operating Budget - Revenues	Actual	Original	Latest	Profile to	Spend to	Forecast	Forecast	Forecast	Forecast
			Approved	Period 7	to Date				
	£	£	£	£	£	£	£	£	£
Employees	1,128,350	1,136,710	1,136,710	663,081	646,635	1,136,705	1,184,900	1,238,250	1,284,730
Premises	0	0	0	0	0	0	0	0	0
Transport	12,157	8,761	6,000	3,500	7205	6,000	8,760	8,760	8,760
Supplies and Services	239,394	188,020	200,520	116,970	179305	200,520	165,520	165,520	165,520
Contracted and Agency Services	0	0	0	0	0	0	0	0	0
Recharges	-44,994	-42,759	-42,759	-24,943	0	-40,445	-41,270	-42,520	-44,150
Income	0	0	0	0	0	0	0	0	0
Sub-Total	1,334,907	1,290,732	1,300,471	758,608	833,145	1,302,780	1,317,910	1,370,010	1,414,860
Recharges to Councils									
Three Rivers District Council	-520,614	-503,385	-507,183	-295,857	-324,927	-508,084	-513,985	-534,304	-551,795
Watford Borough Council	-814,293	-787,347	-793,288	-462,751	-508,218	-794,696	-803,925	-835,706	-863,065
Sub-Total	-1,334,907	-1,290,732	-1,300,471	-758,608	-833,145	-1,302,780	-1,317,910	-1,370,010	-1,414,860
Total	0	0	0	0	0	0	0	0	0

	2011/11	2011/12	2011/12	2011/12	2011/12	2011/12	2012/13	2013/14	2014/15
Operating Budget - Benefits	Actual	Original	Latest	Profile to	Spend to	Forecast	Forecast	Forecast	Forecast
			Approved	Period 7	to Date				
	£	£	£	£	£	£	£	£	£
Employees	1,586,125	1,120,365	1,120,365	653,546	785,862	1,120,365	1,176,280	1,228,760	1,278,290
Premises	0	0	0	0	0	0	0	0	
Transport	12,149	11,000	9,000	5,250	4,887	9,000	11,000	11,000	11,000
Supplies and Services	182,736	142,260	154,760	90,277	64,693	154,760	119,760	119,760	119,760
Contracted and Agency Services	0	0	0	0	0	0	0	0	0
Recharges	44,994	42,759	42,759	24,943	0	40,445	41,270	42,520	44,150
Income	0	0	0	0	0	0	0	0	0
Sub-Total	1,826,004	1,316,384	1,326,884	774,016	855,442	1,324,570	1,348,310	1,402,040	1,453,200
Recharges to Councils									
Three Rivers District Council	-739,380	-566,045	-570,560	-332,827	-367,840	-569,565	-579,773	-602,877	-624,876
Watford Borough Council	-1,086,624	-750,339	-756,324	-441,189	-487,602	-755,005	-768,537	-799,163	-828,324
Sub-Total	-1,826,004	-1,316,384	-1,326,884	-774,016	-855,442	-1,324,570	-1,348,310	-1,402,040	-1,453,200
Total	0	0	0	0	0	0	0	0	0

	2011/11	2011/12	2011/12	2011/12	2011/12	2011/12	2012/13	2013/14	2014/15
Operating Budget - Revenues & Benefits	Actual	Original	Latest	Profile to	Spend to	Forecast	Forecast	Forecast	Forecast
			Approved	Period 7	to Date				
	£	£	£	£	£	£	£	£	£
Employees	2,714,475	2,257,075	2,257,075	1,316,627	1,432,497	2,257,070	2,361,180	2,467,010	2,563,020
Premises	0	0	0	0	0	0	0	0	0
Transport	24,306	19,761	15,000	8,750	12,092	15,000	19,760	19,760	19,760
Supplies and Services	422,130	330,280	355,280	207,247	243,998	355,280	285,280	285,280	285,280
Contracted and Agency Services	0	0	0	0	0	0	0	0	0
Recharges	0	0	0	0	0	0	0	0	0
Income	0	0	0	0	0	0	0	0	0
Sub-Total	3,160,911	2,607,116	2,627,355	1,532,624	1,688,587	2,627,350	2,666,220	2,772,050	2,868,060
Recharges to Councils									
Three Rivers District Council	-1,259,994	-1,069,430	-1,077,743	-628,683	-692,767	-1,077,649	-1,093,758	-1,137,181	-1,176,671
Watford Borough Council	-1,900,917	-1,537,686	-1,549,612	-903,940	-995,820	-1,549,701	-1,572,462	-1,634,869	-1,691,389
Sub-Total	-3,160,911	-2,607,116	-2,627,355	-1,532,624	-1,688,587	-2,627,350	-2,666,220	-2,772,050	-2,868,060
Total	0	0	0	0	0	0	0	0	0

Note:

The Joint Committee, last year recommend that the following cost reductions, being efficiency gains not affecting service levels, be accepted:-

Item	2011/12 £	2012/13 £	2013/14 £
Appointment of Subsidy / Control Officer (net)	5,000	5,000	5,000
Council Tax – Combined Annual Billing	21,800	31,800	31,800
Academy E-Solutions	21,900	21,900	21,900
Reduce Software Budget	0	45,000	45,000
Total	48,700	103,700	103,700

The Committee recommend that the document imaging service be reviewed with a view to taking on work from other parts of the two councils and that if savings of around £60,000 p.a. are not achieved then the activity be outsourced:-

Item	2011/12 £	2012/13 £	2013/14 £
Document Imaging Service	0	60,000	60,000
Total	0	60,000	60,000

The above savings are included in the operating budgets shown above. Potential redundancy costs of approximately £40,000 are excluded from these figures.

The implementation of Academy E-Solutions still requires the completion of a Project Initiation Document (awaiting information from Academy), and the saving will not be achieved in 2011/12. Employee costs are forecast to be overspent in 2011/12.

In respect of the document imaging service, the following options are put forward for consideration:-

Option 1:

Out-source document imaging service as included last year.

Option 2:

Retain document imaging service 'in-house' and delete vacant Document Processing Support post. Document imaging is up to date. This would achieve a saving of £27,000 towards the £60,000 included in the budget.

Option 3:

Re-engineer document imaging service to carry out 'triage' of benefit claims and changes in circumstances (as now carried out by CSC staff). Delete vacant Document Processing Support post and replace with a Benefits Officer in the short term to assist with the introduction of triage. This arrangement to last until 31 March 2013 thus postponing the achievement of the £60,000 saving for one year. This option is preferred by the councils' management teams.

Under all options:

Revenues staffing levels would remain unchanged.

The capacity of benefits staff to assess claims and implement changes in circumstances will need to be enhanced by:

- The introduction of e-forms and self-service
- A re-engineered telephone service using customer services centre staff to answer more basic calls (e.g. on the progress of a claim)
- Better performance management data enabling productivity to be monitored and improved where necessary.

2.6		Revenue Growth, Service Reductions and Cashable Efficiency Gains		
	Description	Savings		
		2011/12 £	2012/13 £	2013/14 £
1	Potential Growth			
	None	0	0	0
	Total	0	0	0
2	Service Reductions			
	None	0	0	0
	Total	0	0	0
3	Cashable Efficiency Gains			
	None	0	0	0
	Total	0	0	0

2.7		Capital Investment		
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Scheme Name	Capital				Revenue Implications				Savings	Resilience	Improvement
	2012/13 £	2013/14 £	2014/15 £	Future Years £	2012/13 £	2013/14 £	2014/15 £	Future Years £			
None Proposed											

Note: An under-spend in 2010/11 will be carried forward into 2011/12 for the capital implementation costs of the income management system.

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 business rates	Businesses	Names Addresses Rateable values Discounts/exemptions awarded Payment profile (regular/bad payer etc.)

Sundry Debt Collection	Internal service departments	
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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	2012/13	2013/14	2014/15
	91%	91%	92%
Measure 2			
Description	Customer satisfaction		
Purpose	To ensure that the service we deliver meets our customers' needs.		
Go Live	2012/13	2013/14	2014/15
	85%	90%	92%

Review Date	1 st October 2012
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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	2012/13	2013/14	2014/15
TRDC %	98.9	98.5	98.5
WBC %	97.5	97.4	97.4
Measure 2			
Description	Collection of NNDR collected in year		
Purpose	Measure efficiency of collection		
Go Live	2012/13	2013/14	2014/15
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	2012/13	2013/14	2014/15
TRDC %	70	70	70
WBC %	60	60	60
Measure 4			
Description	NNDR collected by direct debit		
Purpose	Measure efficiency of collection		
Go Live	2012/13	2013/14	2014/15
TRDC %	60	62	64
WBC %	50	50	52
Review Date	1 st October 2012		

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"> • 21,500/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	2012/13	2013/14	2014/15
TRDC days	25	22	22
WBC days	27	25	22
Measure 2			
Description	Speed of processing changes of circumstance		
Purpose	Measure efficiency and effectiveness		
Go Live	2012/13	2013/14	2014/15
TRDC days	15	10	10
WBC days	20	15	10
Review Date	1 st October 2012		

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 2012
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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	8.93	40.71											
Watford	30.68	30.96	35.72	21.35	40.59	41.93										
Comments on Performance Figures shown are for the final month in each quarter. Figures are gathered on a monthly basis. In quarter 4 there are a high volume of changes such as rent increases that are completed in a day thereby reducing the average.																

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	31.31	36.39											
Watford	32.6	32.04	33.7	33.18	43.70	41.78										
Comments on Performance – Figures shown are for the final month in that quarter. Figures are gathered on a monthly basis.																

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	7.32	46.43											
Watford	30.02	31.53	31.11	17.56	39.68	41.36										
Comments on Performance - Figures shown are for the final month in each quarter. Figures are gathered on a monthly basis. In quarter 4 there are a high volume of changes such as rent increases that are completed in a day thereby reducing the average.																

	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 in 2011 – set as June 2012 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	24.9	57.1	87.7	99.0	29.8	58.0	87.0	99.0	29.8	58.0	87.0	99.25
Watford	27.7	54.7	82.4	97.3	24.9	55.0	82.0	96.0	27.7	54.7	82.4	97.8	28.0	55.3	83.2	98.3
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	97.5	31.8	59.5										
Watford	27.2	54.1	80.4	95.1	28.5	55.0										
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	60.9	87.3	99.2	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	60	89.5	98.0	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	98.5	34.3	61.2										
Watford	27.2	57.9	87.1	96.7	33.4	60.2										
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	70	70	70	70	70	70	70	70	70	70	70	70
Watford	58	58	58	58	60	60	60	60	60	60	60	60	60	60	60	60
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	67.51	64.1	63.44										
Watford	57.4	56.11	63.7	64.05	61.1	61.05										
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	50	50	50	50	50	50	50	50
Watford	60	60	60	60	62	62	62	62	50	50	50	50	50	50	50	50
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	n/a	44.47	44.14										
Watford	n/a	42.5	43.1	43.57	43.32	43.12										
Comments on Performance Measure has been revised to take into account resistance to DD by businesses in current economic climate																

3.4 Benchmarking Information

We have joined the BenX Benefits Review Group in 2011. Benchmarking data will be available in 2012.

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

The one major project will be the migration of TRDC Academy from its UNIX platform to Windows platform.

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 – completed August 2011															Complete
Implementation of Academy Self-Service Modules – Phase 1															
Implementation of BECS On-line claim form															

Equalities

3.7

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 came 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.

Revenues & Benefits Shared Services will integrate the general equality duty into service planning and will ensure that Equality Impact Assessments are conducted wherever appropriate.

Risk Management

3.8

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 hours Sundry Debtors - 5 days	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 3	Loss of accommodation	Service Disruption	II	E	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:- Benefits - 48 hours Overpayments - 48 hours Billing & Collection of Council Tax & NNDR - 48 hours Sundry Debtors - 5 days The ability of staff to work from locations away from the office now that we have	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

					an electronic data management system has considerably reduced this risk.		
--	--	--	--	--	--	--	--

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
RB4	Losses incurred due to internal fraudulent activity	Service Disruption	III	e	Potential impact of any loss could be great both financially and reputationally. However, controls are in place to limit the opportunity for such action	Requires Treatment	Yes
		Financial Loss	III			Last Review Date	New
		Reputation	III			Next Milestone Date	
		Legal Implications	III			Next Review Date	01/04/12
		People	III			Date Closed	
RB 5	Recession leads to greater take-up of benefits and added pressure on service	Service Disruption	II	E	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	Yo
		Financial Loss	II			Last Review Date	26/11/09
		Reputation	II			Next Milestone Date	Ongoing
		Legal Implications	II			Next Review Date	01/04/11
		People	II			Date Closed	dd/mm/yy
RB 6	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 7	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

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
RB 8	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
RB 9	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 10	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 11	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 12	Harmonisation of operational policies to deliver business improvement is either not achieved to a sufficient	Service Disruption	II	E	- 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	

	level or takes longer than anticipated.						
RB 13	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	31/10/11
RB 14	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	31/10/11
RB 15	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		11			
	C					
	D	6,	2, 6,			
	E	1,3, 15	5,10, 12,	4		
	F		7	8,9,		
		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:	4	Risk Title:	Losses incurred due to internal fraudulent activity.		
Responsibility	<i>Who is managing the risk?</i>		Phil Adlard		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Financial (and integrity) loss to the Councils and the public purse. A breach of controls either by an individual alone or in collaboration. To date there have been no incidents of this activity.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Identified by Audit Inspection as a potential weakness at a corporate level that needs addressing		
Existing Control	<i>What controls exist now to minimise the risk?</i>		<p>Auditors Internal controls Effective Fraud Section Regular reconciliations Education Prevention "Whistle blowing " policy</p> <p>Disciplinary / Legal action against staff</p> <p>Regular monitoring and updating of policies and procedures and ensure staff are aware of these</p>		
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 have been no reported incidents to date	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>		The controls listed above should be sufficient		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		No.		
Current Status	<i>What is the current position on introducing additional controls? What is the current</i>	The current rating is as identified. The potential impact could be significant if there was a determined and deliberate fraud.	Impact	Likelihood	
			See Impact	See Likelihood	

	<i>Risk Rating</i>		Table	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>	There continue to be no incidents of fraudulent activity	Impact See Impact Table	Likelihood See Likelihood Table

Risk Ref:	11	Risk Title:	Operational performance drops during the transition period and early phase of implementation.		
Responsibility	<i>Who is managing the risk?</i>		Phil Adlard		
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 See Impact Table	Likelihood 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 See Impact Table	Likelihood 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	02/11/11	Draft for discussion of contents	PA
0.2	11/11/11	Draft to Joint Committee on 21 November 2011	PA/DAG