



# REVENUES AND BENEFITS SERVICE PLAN

## 2009 - 2012

Draft Version 1.1 – Joint Committee – 17 December 2008

Shared Services Programme

## CONTENTS

Section	Item	Page
1	Key Purpose of the Service	
1.1	Scope of the Service	1
1.2	Contribution to Shared Services Objectives	3
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	16
2.3	Partnerships & Contracts	20
2.4	Assets and Technology	21
2.5	Shared Services Operating Costs and Recharges	22
2.6	Implementation Costs	22
3	Outputs and Outcomes	
3.1	Stakeholder Consultation	23
3.2	Service Level Agreements	23
3.3	Performance Indicators	24
3.4	Benchmarking information	30
3.5	Outstanding Recommendations of External Inspections	31
3.6	Projects	35
3.7	Equalities	36
3.8	Risk Management	43
	Version Control	49

## 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 Three Rivers House and Watford Town Hall with local outlets in South Oxhey and Abbots Langley. A visiting service is also provided in Three Rivers.

Once the shared service is in place it will be based at Watford Town Hall with local outlets for benefits in South Oxhey and Abbots Langley. A visiting service will be available across the two councils' areas.

The services provided are a statutory function.

Over the past three years both councils have improved speed of processing new claims for benefit and changes in circumstances

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
- achieved Charter Mark in 2006 and since then clear year one and two health check assessments

1.2 Contribution to Shared Services Objectives	
Savings	To be extracted from Detailed Business Case
Resilience	<ul style="list-style-type: none"> <li>• 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.</li> <li>• The multi-skilling approach will also provide flexibility to reallocate workload and provide cover during holiday periods and sickness absence.</li> <li>• 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.</li> <li>• Flexible and remote/mobile work practices are likely to be easier to introduce with a larger sized team.</li> <li>• Greater cover should enable leave and training to be scheduled more easily without detriment to the service.</li> <li>• There will be a greater resource to meet changes.</li> <li>• Specific examples include: <ul style="list-style-type: none"> <li>• 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.</li> <li>• Quality and training officers will predominantly be working on benefits but will have exposure to revenues work also.</li> <li>• 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.</li> <li>• Recovery staff will deal with a diversity of collection – council tax, NNDR and housing benefit overpayments.</li> </ul> </li> </ul>
Improved Services	<ul style="list-style-type: none"> <li>• Promotion of the use of electronic access and telephone, minimise face-to-face contact especially for revenues.</li> <li>• Cash-less, cheque-less, electronically enabled service</li> <li>• Increased levels of home-working</li> <li>• Possibility of providing a revenues and benefits service for other districts</li> <li>• Mobile working – taking the service to the customer – particularly vulnerable groups</li> <li>• 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.</li> </ul>

- |  |   |
|--|---|
|  | <ul style="list-style-type: none"><li>• 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</li><li>• 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</li><li>• Potential to reduce office space with increased levels of mobile and home working and reduction of paper through document image processing.</li><li>• More responsive service due to larger size of team and increased joint resources</li><li>• The introduction of a common revenues and benefits system across both councils will allow</li><li>• Aim to reduce the volume of sundry invoices, particularly at Watford Borough Council and time taken to recover debt</li><li>• The consolidation of all benefits processes under one manager, including any policy training and quality monitoring to ensure full accountability within one team</li><li>• 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.</li></ul> |
|--|---|

1.3 Contribution to the Councils' Strategic Objectives	
Three Rivers District Council	
Safer Communities	
Sustainable Communities <i>2.1.2 Improve access to benefits</i>	<p>As at end November 2008 new claims were being processed in 14.7 days compared to the speed of 22.15 days for the whole of 2007/08.</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>
Towards Excellence <i>3.2.3 We will maximise the rate of revenue collection</i>	<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. Since 2005/06 we have made 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.</p>

Watford Borough Council

<p>An Efficient, Effective, Value for Money Council</p>	<p>We are committed to the continued embedding of the Equalities Standard Level by 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. Additionally the bank has now agreed sponsorship to allow us to move to paperless debits with a live date of 1 December 2008 for the interim phase.</p> <p>As part of shared services we will be replacing the existing revenues and benefits system and exploring mobile working for benefit assessments to contribute to drive a culture of service excellence. As part of the NNDR revaluation we shall be ensuring that the data base is accurate.</p>
<p>A Town with a High Quality Environment</p>	
<p>A Safer Town</p>	
<p>A Healthy Town</p>	
<p>A Good Town for Business, Skills &amp; Learning</p>	
<p>A Well-informed Community where everyone can contribute</p>	
<p>A Town to be Proud of</p>	



## 1.4

### The Future of the Service

#### First year

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

#### Second year

- 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.
- 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.

#### Third year

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

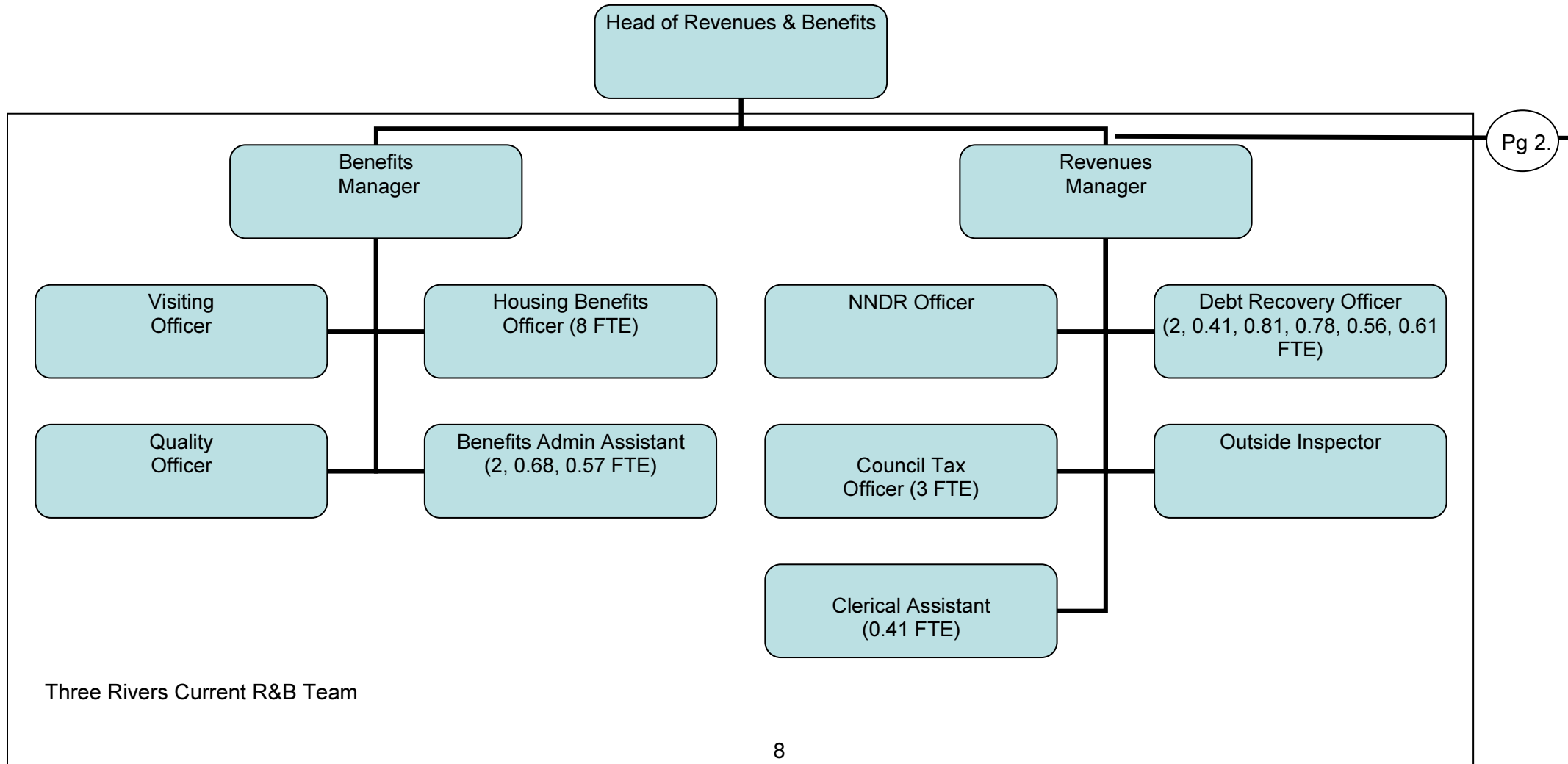
#### Longer term

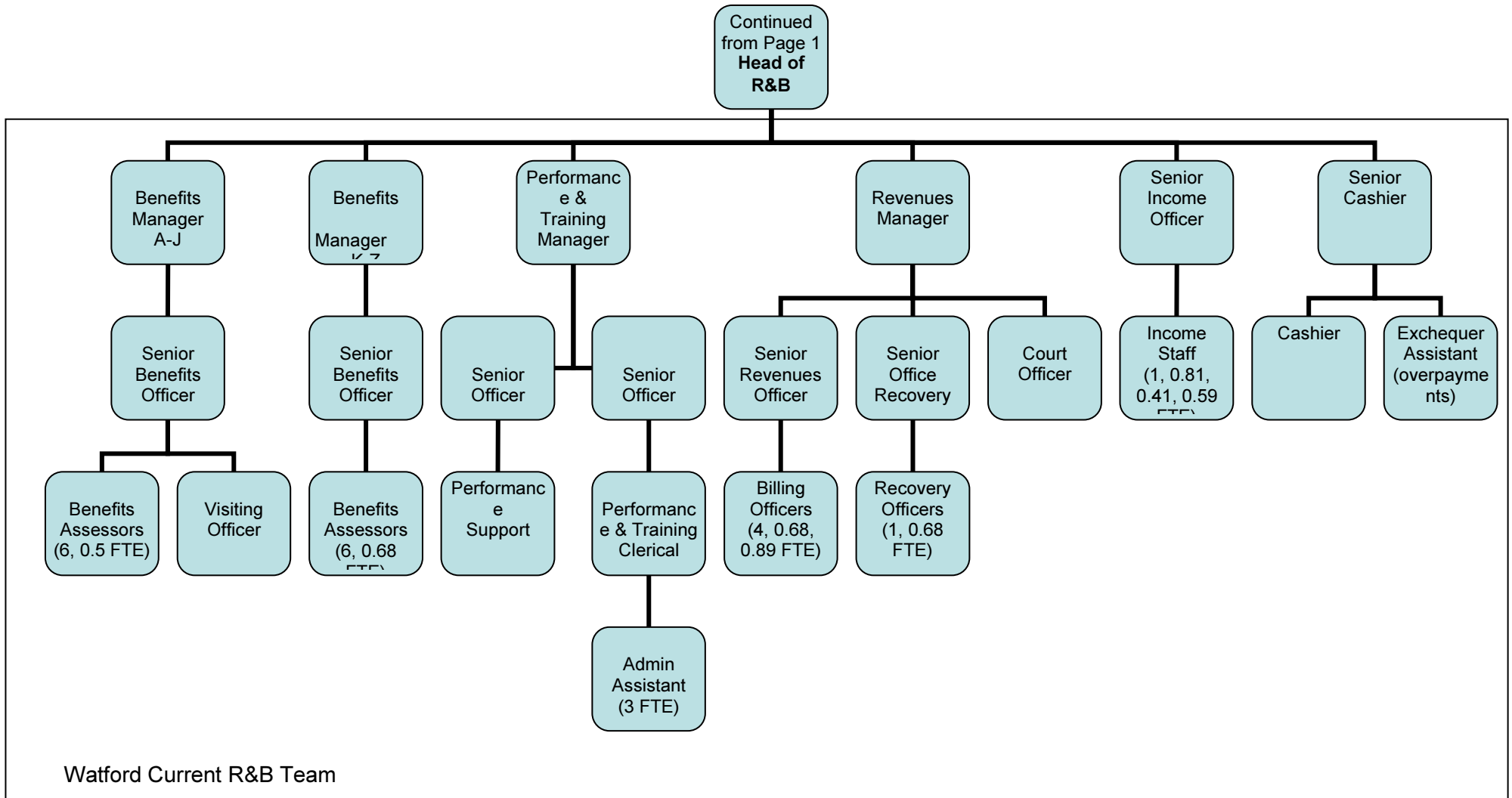
- Possibility of providing a revenues and benefits service for other districts

## SECTION 2: INPUTS

### 2.1 People

#### Revenues & Benefits Shared Services: Organisation Chart on appointment of Head of Service





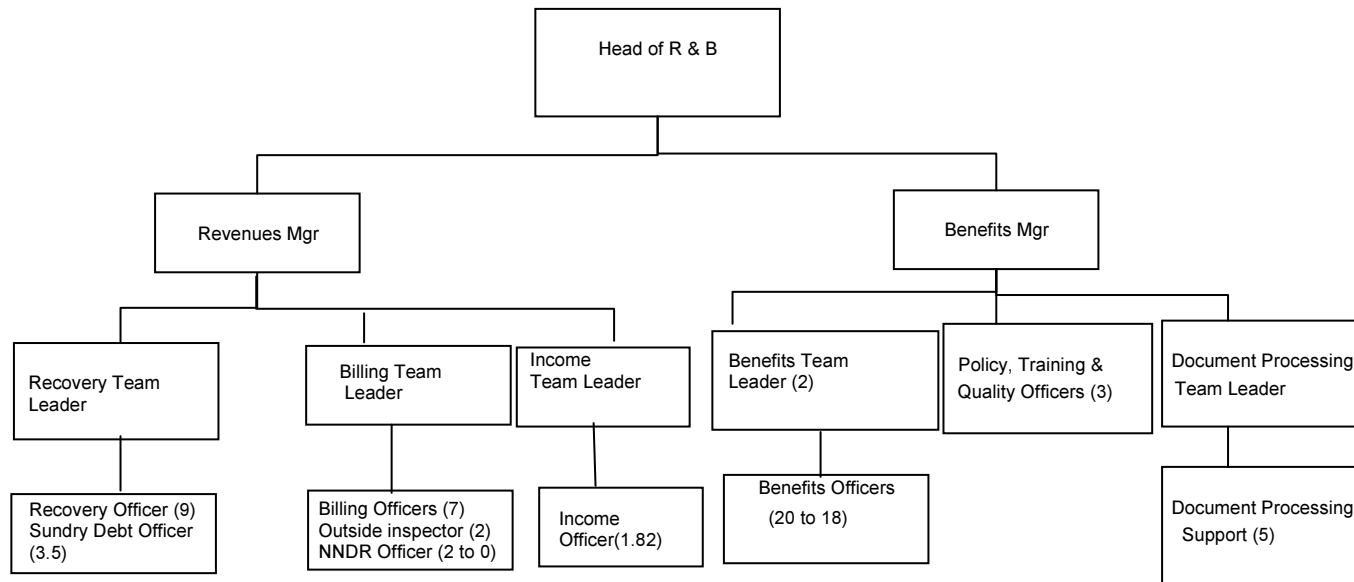
These diagrams represent the current R&B Staffing structure at both councils. As part of the implementation of Shared Services, the post holder will be responsible for implementing the proposed R&B structure, which is also attached, once approved by the Joint Committee.

Job Title	Grade	No.	FTEs	'Vacant'
<b>Three Rivers District Council</b>				
Exchequer Services Manager	MG4	1	1.00	
Benefits Manager	MG2	1	1.00	
Housing Benefits Officer	SO1	1	1.00	
Housing Benefits Officer	Sc3-6	7	7.00	
Quality Officer	Sc	1	1.00	
Benefits Admin Asst	Sc4	4	3.25	
Visiting Officer	Sc4	1	1.00	
Revenues Manager	MG2	1	1.00	
Debt Recovery Officer	Sc6/SO1	1	0.81	
Debt Recovery Officer	Sc5/6	3	1.75	
Debt Recovery Officer (Fixed Term Contract)	Sc5/6	2	2.00	
Debt Recovery Officer	Sc4/5	1	0.61	
Outside Inspector	Sc3-4	1	1.00	
Clerical Asst	Sc4	1	0.41	
Council Tax Officer	Sc2-6	3	3.00	
NNDR Officer	SO1	1	1.00	
<b>Watford Borough Council</b>				
Head of Revenues and Benefits			1.00	
Revenues Manager			1.00	
Senior Revenues Officer			1.00	
Billing Officer			1.00	
Billing Officer			0.68	
Billing Officer			1.00	
Billing Officer			1.00	
Billing Officer			0.89	
Billing Officer			1.00	
Court Officer			1.00	
Recovery Officer			1.00	
Recovery Officer			0.68	
Recovery Officer/Bailiff			1.00	
Recovery Officer			1.00	
Benefits Manager			1.00	
Benefits Manager			1.00	

Job Title	Grade	No.	FTEs	'Vacant'
Senior Benefits Officer			1.00	
Senior Benefits Officer			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			0.50	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			1.00	
Benefits Assessor			0.68	
Visiting Officer			1.00	
Senior Cashier			0.82	
Senior Income Officer			1.00	
Cashier			1.00	
Exchequer Asst (Overpayments)			1.00	
Income officer			1.00	
Income Officer			0.81	
Income Officer			0.41	
Income Officer			0.59	
R&B Train & Perform Manager			1.00	
Perform & Training Senior Officer (Benefits)			1.00	
Perform & Training Senior Officer (CTax/NNDR)			1.00	
Admin Asst			1.00	
Admin Asst			1.00	
Administrative Assistant			1.00	
Admin Support			1.00	
Performance & Training clerical			1.00	

# Shared Services Organisation Chart

## Revenues & Benefits Shared Services: Proposed Organisation Chart post restructure (to be approved by Joint Committee)



Job Title	Grade	No.	FTEs
Head of Revenues and Benefits			1
Revenues Manager			1
Recovery Team Leader			1
Recovery Officer			9
Baling Team Leader			1
Billing Officer			7
Outside Inspector			2
NNDR Officer			2
Sundry Debt Officer			2.5
Income Team Leader			1
Income Officer			1.8
Benefits Manager			1
Benefits Team Leader			2
Benefits Officer			20
Policy, Training and Quality Officer			3
Document Processing and Support Team Leader			1
Document Processing and Support Officer			5

## 2.2 Workforce Planning

Many of the workforce planning issues revolve around the changes involved in moving to a shared service.

Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
<p>Moving to Shared Services</p>	<p>There will be change in the scope of job roles and a re-engineering of current business.</p> <p>There will be a shortage of posts to people in some areas and vice versa in others. This would lead to a loss of knowledge and experience.</p> <p>Bringing together the staff from two councils means that some will move to a new location.</p> <p>Uncertainties over the future may cause people to leave the organisation at an early stage.</p>	<p>Effective change management programme / policy so people are matched to posts in a suitable way.</p> <p>The reduction in staff overall needs to be done in a timely manner, taking into full account operational needs, in order that the service does not suffer while in a period of transition.</p>	<p>Re-engineering should design processes that will lead to increased resilience and improvement.</p>



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	<p>Although not in scope there will be changes in the job roles for CSC staff.</p> <p>Some elements of Revs &amp; Bens will transfer to CSC in Three Rivers and Watford – 80% revenues, 60% benefits.</p>	<p>A trained benefits officer from the Shared Service will need to be 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>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.</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>

Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
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.</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>
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>		<p>Improved service to customers with opportunity to get things right first time.</p>

Workload – Trends & Changes	Staffing Implications – Impact on Service & Individuals	Options & Preferred Solutions	Outcome – Financial Implications, Resilience Implications & Implications for Improving the Service
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.

<b>2.3 Partnerships &amp; Contracts</b>	
<b>Partner / Partnership</b>	<b>Expected Outcomes</b>
Contractual arrangement with banks.	Possibility of harmonisation of banking services for the two councils.
Agencies we work with The appeals service BFI 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 (probably module of Financial System)

Mobile technology

2.5 Shared Services Operating Costs and Recharges					
Code	To be extracted from Detailed Business Case	2008/09 Revised £	2009/10 Original £	2010/11 Forecast £	2011/12 Forecast £
	Shared Services Operating Costs				
	Employees				
	Premises				
	Transport				
	Supplies & Services				
	Contracted & Agency Services				
	Income				
	Sub-Total				
	Recharge to Councils				
	Three Rivers District Council				
	Watford Borough Council				
	Sub-Total				
	<b>Total</b>	0	0	0	0

2.6 Implementation Costs					
		2009/10 £	2010/11 £	2011/12 £	
1	Revenue Implementation Costs				
	List here items of cost from Detailed Business Case	0	0	0	
	Total	0	0	0	
2	Capital Implementation Costs				
	List here items of cost from Detailed Business Case	0	0	0	
	Total	0	0	0	

## SECTION 3: OUTPUTS AND OUTCOMES

### 3.1 Stakeholder Consultation

Front line customers have not really been consulted but we have plans to consult about further benefit surgery in Maple Cross and consider the use of citizens' panels and equality and diversity forums at both councils.

We already share landlord forums where we can inform landlords about changes in benefit legislation (e.g. Local Housing Allowance) and receive feedback and answer general queries.

We have both done some outreach work with local presentations, including at events directed at people with disabilities and the elderly. We get feedback via complaints and compliments and in Three Rivers use customer survey forms to test satisfaction though feedback is sporadic.

We would like to use the approach of introducing changes in small measures and then testing reactions

### 3.2 Service Level Agreements

#### **SLAs between shared services and the councils**

As part of the development of the operating model for the xxx service, internal customers were consulted and draft output specifications produced. The shared services team will use this as a starting point to develop and establish formal Service Level Agreements (SLA) between the xxx service and its customers at both councils. As part of the Service Level Agreements, performance standards will be identified as well as performance indicators that will be used internally by the shared service, some of which have been included in this service plan. The process for monitoring performance against SLAs is being developed and will be agreed with the Joint Committee. It is expected that SLAs will be established by March/April 2009.

#### **SLAs between shared service and other organisations**

SLAs exist between each of the councils and the Job Centre Plus, Pensions Service, The Rent Service.

### 3.3 Performance Indicators

<b>Reference</b>	NI 180															
<b>Indicator Definition</b>	Changes in Housing Benefit/Council Tax Benefit new claims and change events															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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																
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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																
<b>Comments on Performance</b>																
These are new indicators for which we have not yet had any results and have not been able to set targets.																

<b>Reference</b>	NI 181															
<b>Indicator Definition</b>	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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																
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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																
<b>Comments on Performance</b>																
These are new indicators for which we have not yet had any results and have not been able to set targets.																



<b>Reference</b>	<b>RB 1</b>															
<b>Indicator Definition</b>	<b>The percentage of council tax collected</b>															
<b>Target</b>	<b>2008/09</b>				<b>2009/10</b>				<b>2010/11</b>				<b>2011/12</b>			
	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>
TRDC	29.87%	57.90%														
Watford	27.00%	54.75%	82.50%	97.00%				97.25%				97.70%				
<b>Outcome</b>	<b>2008/09</b>				<b>2009/10</b>				<b>2010/11</b>				<b>2011/12</b>			
	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>
TRDC	29.70%	58.08%														
Watford	27.63%															
<b>Comments on Performance</b>																

<b>Reference</b>	<b>RB 2</b>															
<b>Indicator Definition</b>	<b>The percentage of NNDR collected</b>															
<b>Target</b>	<b>2008/09</b>				<b>2009/10</b>				<b>2010/11</b>				<b>2011/12</b>			
	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>
TRDC	37.89%	63.48%														
Watford	31.50%	60.00%	88.00%	99.85%				99.85%				99.85%				
<b>Outcome</b>	<b>2008/09</b>				<b>2009/10</b>				<b>2010/11</b>				<b>2011/12</b>			
	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>
TRDC	34.90%	61.72%														
Watford	30.55%															
<b>Comments on Performance</b>																

<b>Reference</b>	RB 3															
<b>Indicator Definition</b>	<b>Speed of processing: average time for processing new benefit claims (days)- The average processing time taken for all new Housing Benefit and Council Tax Benefit (HB/CTB) claims submitted to the Local Authority, for which the date of decision is within the financial year being reported.</b>															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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				18								
Watford	30	30	27	27				28				26				
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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	13.93	15.75														
Watford	28.5															
<b>Comments on Performance</b>																

<b>Reference</b>	RB 4															
<b>Indicator Definition</b>	<b>Speed of processing: average time for processing notifications of changes in circumstances (days) : The average processing time taken for all written notifications to the Local Authority of changes to a claimant's circumstance that require a new decision on behalf of the Authority.</b>															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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	6.2	6.2	6.2	6.2	6.1	6.1	6.1	6.1								
Watford	11	7.25	7.0	7				8				7.75				
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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	8.13	7.95														
Watford	10.08															
<b>Comments on Performance</b>																

<b>Reference</b>	RB 5															
<b>Indicator Definition</b>	<b>Accuracy of processing: Percentage of cases for which the calculation of the amount of benefit due was correct on the basis of the information available for the decision for a sample of cases checked post-decision</b>															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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	99.2	99.2	99.2	99.2	99.2	99.2	99.2	99.2								
Watford																
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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	95.2	99.2														
Watford																
<b>Comments on Performance</b>																
It has already been agreed at Watford that this indicator has not been reported since 1 April 2008.																

<b>Reference</b>	RB 6															
<b>Indicator Definition</b>	<b>Amount of housing benefit overpayments (HB) recovered during the period being reported on as a percentage of HB deemed recoverable overpayments during that period</b>															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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	85.00%	85.00%	85.00%	85.00%												
Watford	30.00%	40.00%	55.00%	73.00%				74.00%				75.00%				
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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	39.56%	99.58%														
Watford	82.60%															
<b>Comments on Performance</b>																

<b>Reference</b>	RB 7															
<b>Indicator Definition</b>	HB overpayments recovered during the period as a percentage of the total amount of HB overpayment debt outstanding at the start of the period plus amount of HB overpayments identified during the period.															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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	46.00%	46.00%		85.0				90.0								
Watford																
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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	8.95%	12.16%														
Watford																
<b>Comments on Performance</b>																
It has already been agreed at Watford that this indicator has not been reported since 1 April 2008.																

<b>Reference</b>	RB 8															
<b>Indicator Definition</b>	Housing Benefit (HB) overpayments written off during the period as a percentage of the total amount of HB overpayment debt outstanding at the start of the period plus amount of HB overpayments identified during the period.															
<b>Target</b>	2008/09				2009/10				2010/11				2011/12			
	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	15.00	15.00	15.00	15.00												
Watford																
<b>Outcome</b>	2008/09				2009/10				2010/11				2011/12			
	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	0.02	0.00														
Watford																
<b>Comments on Performance</b>																
It has already been agreed at Watford that this indicator has not been reported since 1 April 2008.																

<b>Reference</b>	RB 9															
<b>Indicator Definition</b>	Percentage by numbers of customers (net of full benefit and exemptions) of council tax collected by direct debit															
<b>Target</b>	<b>2008/09</b>				<b>2009/10</b>				<b>2010/11</b>				<b>2011/12</b>			
	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>
TRDC																
Watford	65.00%	65.00%	65.00%	65.00%				66.00%				67.00%				
<b>Outcome</b>	<b>2008/09</b>				<b>2009/10</b>				<b>2010/11</b>				<b>2011/12</b>			
	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>	<b>Qtr 1</b>	<b>Qtr 2</b>	<b>Qtr 3</b>	<b>Qtr 4</b>
TRDC																
Watford	64.28%															
<b>Comments on Performance</b>																
This has been something that Watford councillors have been keen to see in past years but has not been reported at Three Rivers																

### 3.4 Benchmarking Information

We are currently investigating the merit of joining the CIPFA Benchmarking Club

<b>Measure: Cost</b>					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
<b>Measure: Quality</b>					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
NI					
Old BVPIs					
<b>Measure: Other</b>					
Benchmark Description	Comparator Group	Result	Rank within group (x out of y)	Date Valid	Comments
NI					
Old BVPIs					

## 3.5

## Outstanding Recommendations of External Inspections

## Three Rivers - Internal Audit report on Debtors - issued April 2008

<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
The Council's Sundry Debtor Procedures should be subject to timely review.	Medium	Revenues Manager	Current position (October 2008): we have started to look at the procedures with a view to updating them; however, we have lost 14 ½ weeks since June to staff sickness, which has hindered any progress. The review of the SD procedures has been included as an objective on individual officers' annual appraisals, with a view to completing the review as soon as possible.	*	(30 Jun 08) (30 Sep 08) 31 Dec 08

## Watford - Internal Audit report on Benefits Administration (Watford)

<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
The final reconciliation between the CIVICA Benefits system and the ORCHARD Housing Rents system should be located or re-performed to demonstrate that the two systems were in agreement prior to the transfer of the housing stock to the Watford Community Housing Trust.	High	Performance & Training Manager	This reconciliation will be re-performed by the Performance & Training Manager and filed accordingly.		April 2008
The issues relating to the reconciliation of the amounts on the subsidy claim and the amounts shown on APTOS should continue to be addressed as recommended in the Subsidy Claim 2006/2007 report.	High	Senior Management Accountant (Finance)	The Senior Management Accountant in Finance will be liaising with the Performance & Training Manager to implement the recommendations relating to reconciliations.		April 2008

<b>Watford - Internal Audit report on Benefits Subsidy Claim</b>					
<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
Following the departure of the Principle Accountant (Housing and Capital), the Head of Finance should formally nominate one of the remaining accountants to be responsible for reconciling the subsidy claim to APTOS. The nominated accountant must then liaise with the Performance & Training Manager (Revenues & Benefits) as soon as possible to develop the necessary processes, timetables and CIVICA reports required to produce the subsidy claim and undertake the reconciliations effectively.	High	Head of Finance  Senior Management Accountant	Agreed.  The Head of Finance will talk to the Senior Management Accountant who will be taking over full responsibility for Revenues & Benefits accounting work to ensure that the appropriate handover takes place.  The Senior Management Accountant has initiated discussions with the Performance & Training Manager within Revenues & Benefits to develop appropriate reconciliation processes.		January 2008
The format for producing the year end APTOS/ Subsidy reconciliations must be reviewed and agreed between Finance and Revenues & Benefits to provide clarity regarding the factors to be included and excluded. The agreed process must then be documented to ensure that there is consistency in the approach for future years. The documentation should include details of when the reconciliations should be produced, what information is required to produce them, who will supply the information and when it is required.	High	Senior Management Accountant	This will be worked on by the Senior Management Accountant, in liaison with the Performance & Training Manager.		March 2008
Variiances between the final subsidy claim figures and those shown on APTOS must be properly investigated and documented as part of the annual reconciliation process to a standard that meets external audit requirements.	High	Senior Management Accountant	This will be worked on by the Senior Management Accountant, in liaison with the Performance & Training Manager.		May 2008 (next subsidy claim)



<b>Watford - Internal Audit report on NNDR</b>					
<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
<p>The Court Officer should draw up procedure notes for:</p> <p>Recovery process followed by him which should be in accordance with the recovery timetable which may change on a year on year basis depending on the dates set by the court.</p> <p>The process followed for referrals to the bailiffs. The process should ensure that the cases are distributed evenly to both bailiffs, according to the nature of the case.</p> <p>Process followed by him when cheques are received from the bailiffs.</p> <p>All procedure notes should be reviewed on an annual basis and dated when the review has been carried out.</p>	High				

<b>Watford - Internal Audit report on Sundry Debtors</b>					
<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
<p>The Service should review the arrangements concerning the Senior Income Officer working in the cashiers' office. This will minimise the risk of financial impropriety (theft or falsification of records) and protect Officers from such accusations.</p>					

<b>Watford - Internal Audit report on Sundry Debtors</b>					
<i>Action</i>	<i>Priority</i>	<i>Responsibility</i>	<i>Action to Date</i>	<i>Resolved</i>	<i>(Original) Implementation Date</i>
*Additional recommendation following discussion with Head of Revenues and Benefits:  Additional support should be sought to provide the necessary cover from within the Revenues and Benefits Service.					

**3.6****Projects**

Shared Services Project – systems and process harmonisation including sundry debtor module

Benchmarking Project

Customer Consultation

Succession Planning (may be done across shared services)

Home working/flexible working (may be done across shared services)

Customer Services Excellence (new Charter mark). The Shared Services management team want to achieve the new Customer Service Excellence standard for all their services as soon as possible.

CSC work agreeing processes and cut-off points

Planning effective communications and consultation with customers

Archiving project

<b>3.7</b>	<b>Equalities</b>
------------	-------------------

Ref	What we will do (Project and areas for action)	Lead Officer	End date	Resources	How we will measure our success <sup>1</sup> (including relevant performance indicators)	Relevant Equality Groups	Outcome
	<b>POLICY &amp; CORPORATE INITIATIVES</b>						
	Promote the Shared Services commitment to the equality agenda with residents, staff, members, partners, community and voluntary groups and promote positive images		March 2010	Staff time	Articles in Council publications, Intranet, website Training session for staff Equality Impact Assessments and action plans published Images used in publication/website and promotional material reflect the Council's commitment to equality.	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation <input checked="" type="checkbox"/> Other: Low income Migrant workers	Increased awareness and uptake of benefits. Increased benefits distributed.

Ref	What we will do (Project and areas for action)	Lead Officer	End date	Resources	How we will measure our success <sup>2</sup> (including relevant performance indicators)	Relevant Equality Groups	Outcome
	<b>CUSTOMER ENGAGEMENT AND COMMUNICATION</b>						
	Increase access to information forums by all landlords.		March 2010	Staff time	Profile of landlords attending forum to be collated.	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability	Increase in Landlords with tenants in receipt of housing benefit.
	Increase diversity of businesses engaged in budget consultation		March 2010	Staff time	Profile of businesses responding to budget consultation.	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability	
	Monitor requests for translation and interpretation in benefits service.		March 2010	Staff time	Translation and interpretation services are being accessed	<input checked="" type="checkbox"/> Race <input type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input type="checkbox"/> Age <input type="checkbox"/> Religion <input type="checkbox"/> Sexual Orientation <input type="checkbox"/> Other	Improved service delivery to customers whose first language is not English.
	Ensure that best practice regarding consultation of and involvement with all community groups is followed throughout the Council		On- going	Staff time	Effective consultation undertaken with all community groups follows best practice guidelines outlined in the Council's Consultation Strategy Customer satisfaction levels	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation <input type="checkbox"/> Other	Increased customer insight and identification of required service improvements .

Ref	What we will do (Project and areas for action)	Lead Officer	End date	Resources	How we will measure our success <sup>2</sup> (including relevant performance indicators)	Relevant Equality Groups	Outcome
<b>SERVICE DELIVERY</b>							
	Deliver target take up campaign to areas of high income deprivation affecting children and young people and older people		March 2010	Staff time.	Number and profile of additional benefits applicants.	<input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Other – income deprivation	Increased distribution of benefits
	Monitor uptake of home visits service.		March 2010	Staff time	Profile of home visit customers.	<input type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input type="checkbox"/> Religion <input type="checkbox"/> Sexual Orientation <input type="checkbox"/> Other	Increased customer insight
	Review monitoring systems for benefits service with regards to race, gender, age and disability.		March 2010	Staff time	Data collection in place.	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input type="checkbox"/> Religion <input type="checkbox"/> Sexual Orientation <input type="checkbox"/> Other	Identification of under represented groups. Increased customer insight.

Ref	What we will do (Project and areas for action)	Lead Officer	End date	Resources	How we will measure our success <sup>3</sup> (including relevant performance indicators)	Relevant Equality Groups	Outcome
	Monitor uptake of Council tax exemptions.  Monitor requests for translation and interpretation of Council tax collection services.		March 2010	Staff time	Profile of service requests against community profile.	<input checked="" type="checkbox"/> Race <input type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input type="checkbox"/> Age <input type="checkbox"/> Religion <input type="checkbox"/> Sexual Orientation <input type="checkbox"/> Other	Identification of under represented groups.
	Monitor customer complaints for any adverse impact on community groups for benefits and council tax services		Annually	Staff time	Measureable improvement in reduction of number of complaints from all service users	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation Other:	Identification of any adverse impact
<b>EMPLOYMENT &amp; TRAINING</b>							
	Provide training to staff on monitoring systems  Provide training to staff on benefits entitlement  Provide training to staff on asylum and immigration issues.		March 2010	Staff time and training budget	Staff awareness of issues.  Training evaluations.	<input checked="" type="checkbox"/> Race <input type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input type="checkbox"/> Age <input type="checkbox"/> Religion <input type="checkbox"/> Sexual Orientation <input checked="" type="checkbox"/> Other Asylum seekers and refugees	Improved service delivery

Ref	What we will do (Project and areas for action)	Lead Officer	End date	Resources	How we will measure our success <sup>3</sup> (including relevant performance indicators)	Relevant Equality Groups	Outcome
	Equality and Diversity Training delivered to all new staff within 6 months of starting in employment.		On-going	Staff time and training budget	i) Record of training attendance established. ii) All new staff can demonstrate that they understand their responsibilities as employees in relation to equality and diversity iii) Training Evaluations assessed	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation Other:	Improved service delivery
	Ensure that training/meeting instructions, whether internal or externally sourced, ask for participants to identify special needs		On-going	Staff time	By ensuring that the special needs of applicants are met enabling their full inclusion and participation in the training experience	<input type="checkbox"/> Race <input type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input type="checkbox"/> Age <input type="checkbox"/> Religion <input type="checkbox"/> Sexual Orientation	Needs of disabled staff met.
	Provide training for all managers who are required to undertake Equality Impact Assessments		2009 - 10	Staff time and training budget	EIAs are of a high quality	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation Other:	Improved service delivery



Ref	What we will do (Project and areas for action)	Lead Officer	End date	Resources	How we will measure our success <sup>4</sup> (including relevant performance indicators)	Relevant Equality Groups	Outcome
<b>PROCUREMENT</b>							
	Monitor procurement activity to ensure that it addresses equality issues		On - going	Staff time	Ensure that external providers of Council services meet their statutory legislative requirements and adhere to the Councils equality and diversity polices and practices	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation Other:	Improved service delivery
<b>EQUALITY IMPACT ASSESSMENTS</b>							
	EIA of any new Revs and Bens systems implemented through shared services.		March 2010	Staff Time	Completion of EIA.  Actions plans in place to ensure that any adverse impact identifies will be removed	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation Other:	Improved service delivery
	<i>Ensure equality and diversity issues are considered in the day to day delivery of services</i>		March 2009		<i>Review the Shared Services programme of EIAs to ensure it covers areas that are identified as high priority in relation to the CES and that agreed targets are set within service equality action plans</i>	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation Other:	Improved service delivery

Ref	What we will do (Project and areas for action)	Lead Officer	End date	Resources	How we will measure our success <sup>4</sup> (including relevant performance indicators)	Relevant Equality Groups	Outcome
	EIA of TRDC Revenue Recovery		March 2012	Staff Time	EIAs completed	<input checked="" type="checkbox"/> Race <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Disability <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Sexual Orientation Other:	Service improvements identified

## RISK REGISTER

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
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	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		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	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
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 &amp; Collection of Council Tax &amp; 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	26/11/08
		Reputation	II			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy
RB 4	Problems with system implementation	Service Disruption	I	E	<p>Software suppliers have extensive experience of these projects. If delays were experienced then the service would continue to use the old systems. The risk would be to reputation with delays in the overall project.</p>	Requires Treatment	Yes
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	II			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/02/09
		People	II			Date Closed	dd/mm/yy

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
RB 5	Service performance drops during the transition period and early phase of implementation	Service Disruption	II	B	Staff will be using systems that are new to them and this will undoubtedly cause a drop in performance. While the likelihood of this is high the degree of impact can be minimised. Disruption to service would be marginal but there could be local complaints if, for example, the speed of dealing with benefit claims reduced.	Requires Treatment	Yes
		Financial Loss	II			Last Review Date	26/11/08
		Reputation	III			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy
RB 6	Key staff from services and/or project leave	Service Disruption	II	D	This assessment assumes that staff could be recruited. Failing that agency staff would need to be appointed to fill the interim gap.	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	II			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy
RB 7	Staff not ready for new ways of working	Service Disruption	II	D	This assessment assumes a successful implementation and management of change. While the size of the task should not be understated the implementation has been sufficiently resourced. It also assumes that during the implementation period there is sufficient opportunity to consult with staff and obtain their input to the business process changes.	Requires Treatment	No
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
RB 8	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	Yes/No
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy
RB 9	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	Yes/No
		Financial Loss	II			Last Review Date	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy
RB 10	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	Yes/No
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy
RB 11	Risk of staff not wanting to move to Watford	Service Disruption	II	E	There remains a degree of dissatisfaction amongst Three Rivers staff at the prospect of moving to Watford. If staff choose to leave rather than transfer then there will be a degree of service disruption.	Requires Treatment	Yes/No
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy
RB 12	Breach of Data Protection etc Acts	Service Disruption	I	F	Staff are trained to know that they must not disclose personal data.	Requires Treatment	Yes/No
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	III			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	I			Date Closed	dd/mm/yy

Risk Ref	Risk	Impact	Impact Classification	Likelihood Classification	Reason for Assessment		
RB 13	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	Yes/No
		Financial Loss	I			Last Review Date	26/11/08
		Reputation	I			Next Milestone Date	01/08/09
		Legal Implications	I			Next Review Date	01/04/09
		People	III			Date Closed	dd/mm/yy

Likelihood ↑	A					Impact	Likelihood
	B			5		V = Catastrophic	A = ≥98%
	C					IV = Critical	B = 75% - 97%
	D	8, 10	2, 3, 6, 7, 9			III = Significant	C = 50% - 74%
	E	1	4, 11			II = Marginal	D = 25% - 49%
	F			12, 13		I = Negligible	E = 3% - 24%
		I	II	III	IV	V	F = ≤2%
← Impact →							

## RISK TREATMENT PLAN

Risk Ref:	RB 5	Risk Title:	Service performance drops during the transition period and early phase of implementation		
Responsibility	<i>Who is managing the risk?</i>		Head of Service		
Consequence	<i>What can go wrong? How can it go wrong? Has it gone wrong before?</i>		Collection rates and benefit processing will fall off as staff will be using systems with which they are unfamiliar. There may be agency staff in place who are not as familiar with the ways of working as the regular staff.  It has gone wrong before when system changes have led to a reduction in collection rates.		
Cause / Trigger	<i>What happens to bring the risk into being?</i>		Changes in ways of working, introduction of new systems.		
Existing Control	<i>What controls exist now to minimise the risk?</i>		Software companies are very experienced with these changes and there will be training built in to the programme.  There will be changes in the business process and the detailed implementation plans will incorporate this too.		
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>		None as yet as we have not yet faced the risk. Without the controls in place the likelihood would be higher.	Impact III	Likelihood A
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>		In order to reduce the likelihood we shall need to monitor training programmes.  If something does go wrong we may need to bring in some interim agency staff to bring performance back up to scratch.		
Cost / Resources	<i>Are there cost / resource implications in achieving the further action above?</i>		Cost of hiring agency staff. Would depend on how many and for how long. Two members of staff for two months might cost £2,500.	£	
Current Status	<i>What is the current position on introducing additional controls? What is the current Risk Rating</i>		As we are not at this position yet, no additional controls have been introduced.	Impact III	Likelihood B
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>		Success of the control environment can be measured by performance indicators.	Impact	Likelihood



### Version Control

Version No.	Date	Reason for Update / Significant Changes	Made By
0.1	08/09/03	Draft for discussion of contents	DAG
1.1	09/12/08	Draft Version – Joint Committee – 17 December 2008	DAG