

# **Output Specifications**

## **Shared Services**

### **Watford and Three Rivers District Councils**

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## Glossary of Terms

<b>Term</b>	<b>Definition</b>
BACP	British Association for Counselling and Psychotherapy
BACS	Banking and Clearing Services
CAB	Citizens Advice Bureau
CAS	Capital Asset Services
CIPFA	Chartered Institute of Public Finance & Accountancy
CLG	Communities & Local Government
CTS	Council Tax Support
CSC	Customer Services Centre
Capita SIS	Capita Secure Information Solutions
DBS	Disclosure and Barring Service
DWP	Department for Work and Pensions
ET	Employment Tribunal
GPS	Government Procurement Framework
H&S	Health and Safety
HB	Housing Benefit
HR	Human Resources
IR	Industrial Relations
IA	Internal Audit
IFRS	International Financial Reporting Standards
IR	Industrial Relations
ITSG	IT Steering Group
KPI	Key Performance Indicators
LABV	Local Asset Based Vehicles
LGPS	Local Government Pension Scheme
LPFA	London Pensions Fund Authority
NNDR	National Non-Domestic rates
OD	Organisational Design
PDR	Performance Development Review
SLA	Service Level Agreement
SORP	Statement of Recommended Practice
T&Cs	Terms and Conditions
TM	Treasury Management
TRDC	Three Rivers District Council
TUPE	Transfer of Undertakings (Protection of Employment) Regulations
WBC	Watford Borough Council

# **Output Specification for Finance**

# Finance

## 1. Scope

1.1 The Service Provider shall deliver to the Authority the following functions currently delivered by Finance. These fall within the scope of the Finance Output Specification:

- **Making Supplier Payments on Behalf of the Councils** – the purchase of and payment to suppliers for goods and services received by the Councils in line with a controlled process.
- **Maintaining the Accounts of the Councils;**
  - Budget Setting.
  - Service Planning.
  - Forecasting.
  - Month End Account Closure.
  - Processing (for example journals).
  - Monthly Budget Monitoring Reports.
  - Compilation of Government Returns.
  - Treasury, Investments and Banking Services.
- **The Provision of an Internal Audit Service** – planning and delivery of the audit plan to include control and process improvement, recommendations and chasing action plans to completion.
- **Managing the Operation of the Councils' Insurances** – ensuring each Council has the relevant level of insurance cover and claims handling.
- **Issuing Guidance and Providing Advice to Members and Officers of the Councils on the Financial Procedure Rules of the Councils** - adhoc and standard monthly reporting delivering a value added service to support decision making across the Councils. Maintaining Financial Procedure rules that are up to date and communicated to Members and Officers.
- **Providing Training to Officers Working on Financial Matters** – for example Treasury Management, Closing of Accounts, Accounting policy (IFRS, SORP, BVACOP).
- **Monitoring the Councils' Prudent Financial Management** - compliance with approved accounting practices (SORP, BVACOP etc) and reporting to Members on these matters.

- **Preparation of the Councils' Annual Statement of Accounts** – year end closure of accounts together with all relevant and necessary financial statements and returns including sign off by committee.
- **Maintenance of the Councils Financial Record of Capital Assets** – maintaining and updating the Council's asset register for revaluations, impairments, capital additions, depreciation and reclassifications. Liaising with the Internal Valuers to ensure their Asset Register reconciles to the Finance Asset Register. Preparing the annual valuation spreadsheet for the Internal Valuers to update allowing Finance Officers and Internal Valuers to complete year end valuation work. Monitoring the capital programme on a monthly basis, sending out capital reports and adjusting budgets. Providing technical financial advice to budget holders and Internal Valuers.
- **Monitoring the Financial Administration of External Partnerships and Other Organisations in Which the Councils are Involved** – examples include the Watford Health Campus Project and the South Oxhey Initiative. The Watford Health Campus involved the initial planning stage, ensuring the capital programme had correct budgets and that sufficient capital funding was available. Now the scheme is underway we will be monitoring the LABV spend and ensuring the correct amounts will be paid/received from the LABV. We have contacted external partners such as Herts NHS Primary Care Trust, Kier and Consultants. The South Oxhey Initiative involved us in budget setting, funding analysis and technical financial assistance to the Project Manager.
- **Undertaking Housing Benefit Fraud, Council Tax Fraud, Corporate and Other Fraud Investigations and Prosecutions;**
  - Housing Benefit and Council Tax fraud is the review and investigation of all identified issues in relation to benefit and council tax fraud leading to recovery.
  - Corporate and Other Fraud is the review and investigation of issues in relation to the control and risks in relation to the council's assets and governance.
- **Responding to complaints, FOI and DPA requests**

## **2. Service Level Agreements**

2.1 The Service will work with key stakeholders, ensuring that corporate objectives are achieved. The Service will agree **annual** SLA's, to be reviewed, with partners.

The SLA's will cover the following key business areas:

### **Accounts Payable**

- Matching payment approvals
- BACS and cheque payment runs
- Issue of remittance advices
- Supplier master data maintenance
- Supplier liaison and management
- Reconciliation and management of procurement cards
- Statement reconciliations
- Scanning and storage of invoices to meet legal requirements
- CIS/VAT reconciliations and management
- Training manual control
- End user training (one to one and group)

### **Budget Setting, Service Planning and Forecasting**

- Forward looking delivery of both Councils plans in line with budgetary availability of finances
- Financial Statements that reflect the ability to deliver together withon-going forecasting of future requirements (revenue and capital)
- For Revenue and Capital
  
- Cost up the individual Service Plans
- Establish base budget for future year(s)
- Calculate internal recharges/capital charges
  
- Produce Reports to Enable Members to
  - (i) Agree unavoidable growth/savings
  - (ii) Agree the Budget and set the Council Tax
  - (iii) Communication of timetable, deadlines and user requirements

### **Month End Account Closing & Processing**

- Period end closure ensuring Financial Statements reflect a full and true view of costs incurred

- Control processes including reconciliations are completed
- Communication to users across the organisation of key activities and deadlines;
  - (i) Loading
  - (ii) Reconciliation
  - (iii) Virement
  - (iv) Period end closure
  - (v) New period opening
  - (vi) Year end control when required

#### **Monthly Budget Monitoring Reports**

- Review and reporting of actuals against plan
- Value added narrative where applicable
- Spreadsheet Information Out to Budget Holders
  - (i) Feedback
  - (ii) Review with Budget Holders
  - (iii) Budget report to Excel
  - (iv) Virement
  - (v) Load onto Financial Management System

#### **Compilation of Government Returns**

- All financial and non-financial returns where financial input is required on behalf of both Councils
- Schedule of Requirements/Responsibilities Communicated
  - (i) Data and statistical compilation
  - (ii) Authorisation
  - (iii) Retention copy

#### **Treasury, Investments and Banking Services**

- Management of short and long term cash flow
- Ensure investments are made that maximise returns in line with a secure policy
- Report on Treasury Management prior year performance
- Report on Treasury Management mid-year performance
- Report on Treasury Management Strategy
- Daily Treasury management
- Principal and interest balanced back to ledgers within 10 working days of month end
- Cash-flow forecast for current year and three years ahead
- Maintain Treasury Management recording system (Logotech)



### **Internal Audit**

- Provide an independent IA service in accordance with its approved Terms of Reference and audit plan
- Risk based systems audits
- Contract audits
- IT audits
- Value for Money work
- Fraud work
- Advice and Liaison with external auditors

### **Insurance**

- Receive incident report form
- Claim form or letter from third party
- Despatch correspondence to insurance company
- Correspond with insurance company and claimant or internal staff
- Agree with insurance company to settle claim and make payment where appropriate
- Negotiate five year contracts with insurance companies
- Management of value for money via risk profiles and contract management
- Renewal of insurance policies annually

### **Closure of Annual Accounts & Production of Statements**

- Written guidance for cost centre managers (ccms)
- Training for ccms
- Meet auditors and set rules
- Advertise public inspection date
- Closedown accounts
- Produce working papers
- Draft account to audit committee by Statutory deadline (currently 30<sup>th</sup> June)
- Obtain governance statement
- Produce accounts
- Manage audit
- Sign accounts by Statutory deadline (currently 30<sup>th</sup> September)
- Adopt accounts through audit committee
- Advertise closure - print, publish and put on website
- Produce summary accounts for external customers

**Provision of Financial Advice to Budget Holders and Members;**

- Professional advice by qualified Accountants and experienced Senior Accountants
- Analysis
- Modelling
- Legislative interpretation
- Policy costing
- Compare, consult and challenge – Best Value/Value for Money
- Options appraisals

**Benefit Fraud**

- Receive referral and risk assess
- Identify appropriate lines of enquiry
- Identify potential sources of information and witnesses
- Consider other agencies and liaise with accordingly
- Apply appropriate investigative techniques to secure evidence (for example surveillance)
- Interview witnesses and customers
- Obtain necessary evidence to allow benefit to be re-determined
- Review facts and consider a sanction
- Maintain accurate records

**Corporate Anti-Fraud**

- Receive referral and risk assess
- Identify appropriate lines of enquiry
- Delivery of investigation (to include external partners, internal resource, surveillance and interviews)
- Review facts and report outcomes
- Consider legal and or disciplinary action
- Maintain accurate records

### 3. Key Performance Indicators

PI Ref	Description	Frequency	Target
SSF1	% payment made by BACS	Monthly	100%
SSF2	Creditor payments paid within 30 days	Monthly	100%
SSF3	Treasury , Investments and Banking Services Management of short and long term cash flow	Annual	Average Base Rate + 0.12%
SSF4	Month end account closure – reconciliations	Monthly	Task Completed
SSF5	Monthly Budget Monitoring Reports – Overall Revenue Budget Performance	Annual	-3% to 0%
SSF6	Monthly Budget Monitoring Reports – Overall Capital Budget Performance	Annual	-3% to 0%
SSF7	Closure of Annual Accounts and production of statements – Statement of Accounts approval	Annual	Task Completed
SSF8	Compilation of government returns – Revenue Account, Revenue Summary, Capital Outturn – (RA, RS,CO)	Annual	Task Completed
SSF9	Benefit Fraud – number of cases investigated	Annual	330
SSF10	Benefit Fraud – number of sanctions administered	Annual	62
SSF11	Internal Audit - percentage of actual SIAS billable days against planned chargeable days (excluding unused contingency)	Quarterly	95%
SSF12	Internal Audit - Planned Projects – percentage of completed projects against planned completed projects	Quarterly	95%
SSF13	Internal Audit – Client Satisfaction – percentage of client satisfaction questionnaires returned at 'satisfactory' level	Quarterly	100%
SSF14	Internal Audit – number of high priority recommendations agreed	Quarterly	95%

#### 4. Key Volumes

<b>COUNCIL</b>	<b>Gross Revenue Expenditure Original Budget 2013/14</b>	<b>Capital Expenditure Original Budget 2013/14</b>
<b>Three Rivers</b>	£46,043,180	£8,322,210
<b>Watford</b>	£63,820,000	£21,586,061

#### 5. Costs

- 5.1 The costs shown below as were agreed by the Joint Shared Services Committee in November 2013.

<b>Finance</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
Employees	1,268,330	1,275,020	1,289,230
Transport	14,250	14,250	14,250
Supplies and Services	133,960	133,960	133,960
External Income	- 4,000	- 4,000	- 4,000
	<b>1,412,540</b>	<b>1,419,230</b>	<b>1,433,440</b>

# **Output Specification for Human Resources**

# Human Resources

## 6. Scope

6.1 The Service Provider shall deliver to the Authority the following functions currently delivered by Human Resources. These fall within the scope of the HR Output Specification:

- **Recruitment and compliance** – supports managers in recruitment-related activity at all levels. Employee compliance consists of administering DBS, Disclosure Scotland, Right to Work and pre-employment checks.
- **Employee Services** – mainly transactional and administers changes to employee T&Cs; for example, change of hours, pay, maternity leave, etc.
- **Pay and Reward** – mainly transactional and carries out changes to employee pay. There is some employee self-service functionality via Resourcelink that reduces manual input.
- **Pay and Data** – the provision of a payroll service. This function processes third party deductions, monthly and yearly statutory returns and LGPS.
- **Pensions** – provides a LGPS pensions administration service to employees and deferred members.
- **Health, safety and well-being** – this function provides a comprehensive health, safety and well-being service to the Authority. Services currently include – access to competent H&S staff, professional advice and support, strategy and policy advice, safe procurement and monitoring of contractor H&S performance, monitoring corporate and services H&S compliance and H&S performance, training provision, health and well-being promotion, counselling, physiotherapy and conflict resolution. The services also procure and manages the Authority's occupational health and employee assistance service including confidential counselling.
- **Employee relations** – assists in the delivery of case work in relation to employees which is appropriately owned by managers.
- **Business Partnering and change management** – this function is staffed with HR Business Partners and shall provide business partnering advice and support.
- **Industrial relations** – this function works to mature and maintain the relationships with the relevant trade unions and non-union representatives.
- **Policy** – this function provides policy, generalist HR capacity and has responsibility for complying with employment and equalities legislation.

- **Strategic data** – provision of regular management information and shall deal with ad hoc requests.
- **People performance management** – this function implements and further embeds the performance development review process.
- **Equalities**
- **Workforce Planning and Organisational Design**
- **Responding to complaints, FOI and DPA requests**

## **7. Service Level Agreements**

7.1 The Service will work with key stakeholders, ensuring that corporate objectives are achieved. The Service will agree **annual** SLA's, to be reviewed, with partners. The SLA's will cover the following key business areas:

### **7.2 Authority Governance and Democracy**

The Service Provider shall contribute to the Council's governance arrangements and structures, including attendance at officer, democratic and political group meetings, as required.

Write, clear and present formal reports both orally and in writing as required in line with the Council's governance arrangements.

Attend all evening mandatory committee meetings as requested including (but not limited to):

- Executive Committee;
- Resources, Policy and Scrutiny Committee;
- Audit Committee; and
- Cabinet/Management Board

Provide strategic support to the Council on safeguarding matters relating to employees including providing high level advice, guidance and support to ensure the Council is fully compliant with relevant statutory legislative duties regarding employees.

Act as the lead counter-signatory for DBS checks and manage the 'umbrella body' status for DBS checks for third party organisations. Manage the Basic Disclosure checking process.

Provide high quality employment status advice to the Council including resolution of complex employment issues on behalf of the Council.

Be the subject matter expert in the following areas:

- Employment law;
- Terms and Conditions of employment;
- Pay, Reward and benefits;
- Taxation relating to employees; and
- LGPS.

Provide HR-related consultancy advice including (but not limited to) face-to-face support to all levels within the Council as required including to Councillors. This will include advice and support on any proposed changes to people-related matters throughout the term of the contract.

Provide HR support for all elections held within the Council and presided over by the Council's returning officer, including recruitment of election staff from the Council and external sources and supporting the election team in paying election duty payments to staff.

### **7.3 *Senior HR Advice and Consultancy***

The Service Provider shall provide the Chief Executive and the Council's Management Board with (inter alia):

- Advice and guidance on HR matters;
- Innovations and developments of HR strategies that align to business thinking and requirements;
- Support in dealing with issues that may have been escalated to the Chief Executive;
- Its participation as a member of the management board and when necessary lead sessions in relation to the HR agenda;
- Support in developing the relationship between the Chief executive and the Service Provider's lead HR member of staff as this role acts as an advisor and confidant;
- Support in developing the relationship with the Council's management board;
- Development of existing networks across local authorities and new relationships with strategic partners

### **7.4 *Customer Service/Access***

The Service Provider shall provide an on-site HR service for all customer groups to operate during a minimum of 9.00am to 5.30pm Monday to Friday (excluding bank holidays).



Manage customer queries from employees and third parties either by telephone, e-mail, post or face to face on all HR-related matters to agreed customer service standards.

#### **7.5 Recruitment and Compliance**

The Service Provider shall provide a 'recruitment and compliance' service for all customer groups including advice and support in designing job descriptions and advertising vacancies.

Ensure provision of a comprehensive, accurate and timely end-to-end recruitment transactional activity for employees, manage the on-line recruitment process, produce offer and contract letters and pre-employment verification in line with statutory and agreed policies, procedures and customer service standards.

Manage DBS checks and Basic Disclosures for the Council and as the 'umbrella body' for third party organisations ensuring 100% compliance with statutory and agreed policies and procedures.

Provide good quality and accurate advice to managers and third party organisations on policies, procedures and legislation on DBS checks.

Provide good quality and accurate advice to managers on policies, procedures and legislation on Right to Work matters and any other recruitment-related legislation.

#### **7.6 Employee Services**

The Service Provider shall ensure provision of a comprehensive, accurate and timely end-to-end transactional service for employees through the 'employee life cycle;' post recruitment, including contract changes, variations to terms and conditions, processing leavers, eye-care vouchers etc; in line with statutory requirements, agreed policies, procedures and customer service standards.

Ensure provision of good quality and accurate advice to managers on employee services related activities including policies, procedures and relevant legislation.

#### **7.7 Pay and Reward**

The Service Provider shall manage a comprehensive, accurate and timely pay and reward transactional activity for employees including (but not limited to) the processing of temporary payments, expenses, tax code changes in line with statutory requirements and agreed policies, procedures and customer service standards.

Process and complete all customer requests to process pay related activities, which are received within the payroll deadline period, to the correct payroll period.

Process and pay all customer requests for special payments, which have been duly authorised and agreed, on the pay date agreed.

Ensure provision of good quality and accurate advice to managers and employees on pay related activities such as pay, statutory sick and maternity pay, taxation, overpayments, tax codes, etc;

Resolve queries from HMRC and other official bodies within legislative requirements and agreed timescales.

#### **7.8 *Pay and Data***

The Service Provider shall manage an accurate and timely processing of payroll to Council staff and third parties ensuring 100% payment of salaries on specified pay dates, in line with statutory requirements, agreed policies, procedure and customer service standards.

Ensure 100% compliance with all statutory employment-related returns to HMRC, LGPS and other statutory bodies in accordance with the relevant statutory guidelines and policies.

Maintain integrity, accuracy and timeliness of HR and payroll system and data for all payrolls including ResourceLink updates, up-to-date organisation structures, cost centres, pay scales, payroll costing reports, process pay awards etc; in line with statutory requirements agreed policies, procedures and customer service standards.

Ensure accurate and timely administration of third-party deductions and invoicing third parties for services provided in line with statutory requirements, agreed policies and procedures and customer service standards.

#### **7.9 *Pensions***

The Service Provider shall ensure comprehensive, accurate and timely pension administration services for new, current and deferred members including (but not limited to) liaison with the LPFA, obtaining pension benefit estimates, updating LGPS records for starters, leavers and where changes to employees contracts (for example, change to contracted hours or salary).

Manage the implementation of all changes to all pension regulations including auto-enrolment and LGPS 2014.

Be the Council's subject matter expert on pension administration legislation providing accurate, timely and good quality information and advice on pension scheme updates.

7.10 ***Health, Safety and Well-being***

The Service Provider shall provide professional, high quality and accurate advice to the Council, managers, staff and third party organisations on all aspects of safety, health, fire and well-being.

Ensure that the advice is provided by suitably qualified staff with appropriate experience including

- Health & safety – recognised H&S qualification
- Counselling – suitably qualified and accredited by BACP
- Mediation – suitably qualified through a nationally approved mediation training course.

Attend senior management meetings to provide professional advice and support them in setting health and safety priorities and formulating action plans.

Regularly meet with managers and corporate health and safety lead officers to support the implementation of the Council's health and safety action plans.

Attend service H&S meetings / groups on request to provide technical / professional advice.

Provide quarterly management information to improve business awareness on work-related incidents, accidents and ill health including trend analysis and recommendations for actions for reduction.

Provide management information on issues relating to staff attendance and well being.

Provide professional/technical advice to assist services in the development and implementation of service specific H&S policies and practices.

Support service management to enable them to formulate effective H&S risk management systems including

- planning out of risks;
- effective systems for assessing and recording risks; and
- the introduction and monitoring of control measures.

Provision of further assistance in carrying out technical or complex risk assessments and recommend measures for controlling risk.

Carry out regular audits to monitor the Council's H&S performance including compliance with statutory duties and Council policy.

## Schedule 3

Review investigations into all work related accidents and incidents that occur to council staff and others, and where necessary, recommend actions to prevent reoccurrence.

Provide an annual report on the Council's H&S performance to include current work related accident rates and audit results.

Provide core H&S training to Council staff to enable them to maintain their competence in carrying out their duties, delegated responsibilities and to ensure the Council complies with its statutory duties to provide H&S training.

Provide/procure and manage an occupational health service to the Council, including provision for

- review of pre-employment medical questionnaires
- pre-employment medicals where required
- special/statutory medicals
- health surveillance
- manager referrals (sickness/absence)
- pension medicals

Provide/procure and manage a 'confidential' staff employee assistance programme including counselling to include

- 24/7 telephone counselling; and
- Up to 6 face to face counselling sessions for staff who require it

Provide/procure and manage workplace mediation services.

Regularly arrange employee health and well-being promotions and campaigns including

- On-line well being resource accessible to staff;
- Regular well-being bulletins on health issues;
- On-site health and well-being initiatives

### 7.11 ***Employee Relations***

The Service Provider shall provide an all-encompassing 'employee relations' function which shall include (but shall not be limited to)

- Strategic employee relations advice to the Council;
- Provide reports to the Council on employee relations matters, legislative landscape and general horizon scanning and to present good practice/necessary changes with proposed actions and nextsteps.
- Provide quality employee relations advice, practice and implementation;
-

- Provide complex employee relations advice and support to senior leaders of the Council.

Provide the following activities (the below being a non-exhaustive list)

- Provision of coaching and support by HR Business Partners and where appropriate provision of draft letters for complex issues;
- Building employee relations team knowledge about legal and policy interpretation;
- Contributing to Council policy;
- Producing employee relations data, identifying issues and developing and suggesting solutions;
- Assist managers with change programmes;
- Attend formal meetings under Council policy;
- On request developing and delivering training interventions;
- Work with legal advisers to manage ET cases;
- Facilitate resolution of cases through cost-risk analysis;
- Act as the Council's expert on contractual conditions of service and local agreements providing advice where necessary to managers and management board.

#### 7.12 ***Business Partnering and Change Management***

The Service Provider shall provide dedicated strategic HR Business Partners on behalf of the Authority. The Service Provider shall ensure that such Business Partners have the relevant expertise and capabilities to fulfil the following key roles:

1. To operate as key members of the Authority's management teams, act as enablers on transactional people matters and input service views into people policies and practices.
2. To contribute to the Authority's corporate thinking and position on HR policies, procedures and initiatives.
3. To operate as a HR professional who maintains good and safe practice standards.

The Service Provider shall ensure that such Business Partners have the relevant expertise and capabilities to undertake the following activities (the below being a non-exhaustive list):

- Commission and provide complex HR advice to senior managers about organisational design; reward; workforce planning.
- Advise on and enhance the service areas relationship with trade unions and non-union representatives.
- Lead on 'business as usual' change programmes.
- Lead on delivery of major change programmes (including in-sourcing and out-sourcing under TUPE).

- Challenge conversations about HR performance indicators and other good/safe HR practice.
- Provide analysis and challenges on equalities issues.
- Input as HR professionals into HR commissioned services to ensure that the Authority receives the most appropriate advice.
- Up-skilling managers in good/safe HR practices.
- Liaise with other elements of HR to enable a seamless service and doing what is necessary to obtain speedy resolutions.
- Provision of other services for example: settlement agreement negotiation and delivery, complex recruitment requirements and organisational development.
- Provide briefing papers / reports to the Authority on changes / issues with proposed actions and next steps.

HR Business Partners in their role as contributors to the Authority's corporate position on HR policies, procedures and initiatives shall contribute on a corporate basis rather than reflecting only their allocated service areas' views.

HR Business Partners shall contribute to ad hoc corporate projects either via their service area/s or as a corporate HR contributor.

HR Business Partners shall as requested attend management /Committee meetings.

The Service Provider shall provide an all-encompassing business partnering service which shall include (but shall not be limited to):

- Strategic BP advice to the Authority as set out above.
- Provide reports/briefing papers to the Authority on business partnering matters, legislative landscape and general horizon scanning to put forward good practice / necessary change with proposed actions and next steps.

Provide an initial response to customer queries and requests for advice and support on business partnering related matters within one business day.

### 7.13 **Strategic Data**

The Service Provider shall provide an all-encompassing 'strategic data' function which shall include provision of routine strategic HR data to the Authority including management information.

Manage and answer HR Freedom of Information requests within the requested timescale and with accurate data.

Provide ad hoc reporting and analysis.

## Schedule 3

Provide reports / briefing papers to the Authority on strategic data matters, legislative landscape and general horizon scanning to put forward good practice / necessary changes with proposed actions and next steps.

Acknowledge customer queries within twenty four hours of receipt and resolve such queries within two business days.

Acknowledge customer requests to process strategic data related activities within 24 hours and complete such requests within five working days.

### 7.14 **Reward**

The Service Provider shall provide an all-encompassing 'reward' function which shall include (but shall not be limited to):

- Best in class reward strategy advice, practice and implementation. This may include sourcing data / knowledge and other competencies from other third parties as directed by the Authority.
- Strategic input into reward issues.
- Provide reports / briefing papers to the Authority on reward matters, legislative landscape and general horizon scanning to put forward good practice/necessary changes with proposed actions and next steps.

Provide the following reward activities (the below being a non-exhaustive list):

- Monitor reward to identify exceptions (for example using protected characteristics to monitor the relationship of performance to pay).
- Strategic HR advice on reward and retention matters to the Authority.
- Maintain the Authority's pay policy.
- Undertake an annual review of pay elements to identify possible savings and present this information to the Authority together with a strategy for delivery.
- Produce annual pay policy statement and manage a successful journey through to publication.
- Job evaluation and appeal.  
Track pay against the market to determine market factor supplements

### 7.15 **Industrial Relations**

The Service Provider shall provide an all encompassing 'industrial relations' function which shall include (but shall not be limited to):

- Best in class IR strategy advice, practice and implementation.
- Strategic IR to the Authority.
- Provision of briefing papers / reports to the Authority on IR matters, legislative landscape and general horizon scanning to put forward good practice / necessary changes with proposed actions and next steps.

Provide the following IR activities (the below being a non-exhaustive list):

- Monitor and maintain IR business as usual in line with the Local Liaison Committee constitution,
- Manage trade union / non-union representative facilities time so that budget is met.
- Facilitate the answering of trade union / non-union representative and employee ad hoc queries.
- Manage strike action to minimise impact.

#### 7.16 **Policy**

The Service Provider shall provide an all-encompassing 'Policy' function which shall include (but shall not be limited to):

- Strategic HR advice on policy to the Authority.
- Best in class policy advice, practice and implementation.
- Strategic input into policy people issues.
- Develop policies and provide complex policy advice to senior leaders of the Authority.
- Provide reports / briefing papers to the Authority on policy matters, legislative landscape and general horizon scanning to put forward good practice / necessary changes with proposed actions and next steps.

Provide the following policy activities (the below list being non-exhaustive):

- Maintenance of the Authority's policies and procedures.
- Monitor policies and practices to identify equalities issues.
- Track employment policy against the market to ensure that the Authority remains a competitive employer.
- Inform and consult with the trade unions / non-union representatives on contractual and non-contractual terms and conditions.

#### 7.17 **Equalities**

The Service Provider shall provide an all-encompassing 'Equalities' function which shall include (but shall not be limited to):

- Equalities advice to the Authority.
- Best in class equalities advice, practice and implementation.
- Strategic input into equality people issues.
- Develop equalities and provide complex equalities advice to senior leaders of the Authority.
- Inform and consult with trade unions and non-union representatives on equalities.



- Provide reports / briefing papers to the Authority on equality matters, legislative landscape and general horizon scanning to put forward good practice / necessary changes with proposed actions and next steps.

Provide the following equalities activities (the below being a non-exhaustive list):

- Undertake equalities monitoring to identify exceptions using the protected characteristics.
- Produce annual workforce profile report with proposed actions and next steps.

#### **7.18 *People Performance Management***

The Service Provider shall provide an all-encompassing 'People Performance Management' function which shall include (but shall not be limited to):

- Strategic HR advice on people performance and talent management matters to the Authority.
- Maintain a people performance strategy implementing new and best practice to inform and maintain a progressive performance framework.
- Strategic input into people performance issues and policy development.
- Strategic input and decision making into the Authority's corporate plan including generic objectives and targets for the organisation to drive people management performance.
- Provide reports / briefing papers to the Authority on people performance management matters, legislative landscape and general horizon scanning to put forward good practice / necessary changes with proposed actions and next steps.

Provide the following people performance management activities (the below being a non-exhaustive list):

- Manage the performance development review process so that one hundred percent target is achieved.
- Moderate performance standards.
- Facilitate organisation-wide succession planning and talent management.
- Produce new skills frameworks which are designed in conjunction with the Authority to meet capability requirement of the future.
- Provide reports / briefing papers to the Authority on changes / issues with proposed actions and next steps.

#### **7.19 *Workforce Planning and Organisational Development***

The Service Provider shall provide an all-encompassing 'Workforce Planning and OD' function which shall include (but shall not be limited to):

- Provision of workforce planning tool, advice and data which enables delivery of the Authority’s people strategy and is reflective of the Authority’s reward strategy, people performance strategy, equalities strategy and talent management strategy.
- Provision of reports / briefing papers to the Authority on workforce planning and OD matters, legislative landscape and general horizon scanning to put forward good practice / necessary changes with proposed actions and next steps.

### 7.20 **Resourcing**

The Service Provider shall provide an all-encompassing ‘Resourcing’ function including (but not limited to) the following resourcing activities:

- Deliver high quality resourcing and talent management services through multiple channels to achieve corporate strategic goals in effectiveness and efficiency and in line with the Authority’s business requirements.
- Provide strategic resourcing services to the Authority.
- Deliver Recruitment activity for senior management posts including supporting the recruitment process.
- Provide advice in relation to and develop and manage bespoke recruitment programmes including assessment centres.
- Provide reports / briefing papers to the Authority on resourcing matters, legislative landscape and general horizon scanning to put forward good practice / necessary changes with proposed actions and next steps.

## 8. Key Performance Indicators

PI Ref	Description	Frequency	Target
HR1	Sickness absence – overall absence rate based on average days lost per employee, plus sub-indicator detailing long term and short term absence rates.	Quarterly	Average 5 days lost per employee per annum (based on rolling year)
HR2	Percentage managers submitting return to work forms within seven days of employee’s return.	Quarterly	100%
HR3	Percentage managers submitting trigger level meeting records.	Quarterly	100%
HR4	Percentage of Occupational Health referrals processed within 7days	Bi-annual	100%
HR5	Percentage managers submitting completed Performance Development Reviews.	Quarterly	100%

Schedule 3

PI Ref	Description	Frequency	Target
HR6	Employee Satisfaction levels	Quarterly	7.5/10
HR7	Employee Motivation levels	Quarterly	7.5/10
HR8	Total hours of training and development provided to Council staff	Bi-annual	tbc
HR9	Workforce Monitoring	Bi-annually statistics plus annual report	Various
HR10	Employee turnover	Bi-annually	No target
HR11	Hiring Cycle - Number of days from employee leaving the position to new employee starting to work in the position	Bi-annually	14 days
HR12	Safeguarding – Disclosure and Barring Service checks. To facilitate compliance with statutory legislation and Council policy to ensure that every employee who has a requirement to have a DBS check, has a valid check in place which should be no more than 3 years old.	Bi-annually	100%
HR13	Payroll Accuracy – Payroll Error Rates. To ensure all employees are paid correctly including ensuring that all statutory and other deductions of pay are correct.  Subject to the following definition: Pay errors – an error is defined as made directly by HR/Payroll and excludes any errors resulting from incorrect authorisation or information supplied by managers.	Bi-annually	0.30%
HR14	Variance of total paybill to budget	Bi-annual	+/- 5%
HR15	The number of new and updated policies produced	Bi-annual	20 per annum
HR16	Ratio of HR staff to FTEs	Bi-annually	1:90
HR17	User satisfaction with HR service	Annual	Second to highest quartile

**9. Costs**

- 9.1 The costs shown below as were agreed by the Joint Shared Services Committee in November 2013.

<b>HR</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
Employees	553,240	559,650	566,390
Transport	3,000	3,000	3,000
Supplies and Services	21,060	21,060	21,060
Contracted & Agency Services	58,000	58,000	58,000
External Income	- 10,000	- 10,000	- 10,000
	<b>625,300</b>	<b>631,710</b>	<b>638,450</b>

# **Output Specification for Revenues and Benefits**

# Revenues and Benefits

## 10. Scope

- 10.1 Targets will be measured as WORKING/BUSINESS days unless otherwise stated. All other definitions are statutory definitions unless otherwise specified. Where data or management information is to be provided to the client, data will be provided within 10 working days of the month end or quarter end, unless otherwise agreed
- 10.2 The revenues and benefits service includes responsibility for
- Council tax properties
  - Business rates properties
  - Housing benefit caseload
  - Council Tax support caseload
  - Sundry debtors and Housing Benefit overpayments
  - Customer services functions
- 10.3 The service uses **Academy** for processing Council Tax, Business Rates, housing benefit and Council Tax Support. In addition, documents are stored and managed through **Anite**.
- 10.4 The service will be operated from premises provided by Watford Borough Council and staffing will include trained revenues and benefits staff to deal with face to face contacts at the Customer Service Centre (CSC). Staff will also be located within the CSC call centre to take revenues and benefits calls.

## 11. Service Provision

- 11.1 The service comprises the following key areas :
- Housing Benefit and Council Tax Support Administration
  - Council Tax Collection
  - Business Rates (National Non-Domestic Rates) Collection
  - Sundry Debts and Overpayments collection
  - Customer services, face to Face, FOI, DPA & Complaints

- 11.2 Within each service area, are a number of key components and these are outlined below (though it is not a definitive list):

***Housing Benefit and Council Tax Support Administration***

- Assessment of new claims for Housing Benefit and Council Tax Support
- Assessing and reviewing change of circumstances resulting from claimant contact, undertaking periodic review of cases, data matching with internal council departments and external agencies
- Processing of annual uprating, including changes in benefits, rents and other statutory benefits
- Complaints, reviews, FOI, DPA and appeals management
- Completion of Government returns, including subsidy reports and other statistical returns

***Council Tax Collection***

- Ensuring that the property database on council tax is maintained
- Issuing accurate bills on time and calculating the tax base
- Assessing change in circumstances, including people moving into/out of properties, undertaking inspection visits and applying relevant discounts as per Government and/or the Council's scheme
- Using all available cost-effective means to ensure the collection of in-year council, tax and previous years arrears, including committals
- Complaints, FOI and DPA management
- Completion of Government returns (CTB1), including other statistical returns
- Annual Billing to all residential properties and balancing to VOA figures

***Business Rates (National Non-Domestic Rates) Collection***

- Ensuring that the property database on Business rates is maintained including undertaking inspection visits
- Issuing accurate bills on time
- Assessing change in circumstances, applying relevant discounts as per Government and/or the Council's scheme such as mandatory and discretionary discount schemes
- Using all available cost-effective means to ensure the collection of in-year business rates and previous years arrears
- Complaints, FOI and DPA management
- Completion of Government returns (NDR1/3, QRC), including other statistical returns
- Annual billing to all commercial properties

### ***Sundry Debts and Overpayments collection***

- Raising accurate invoices in a timely fashion
- Using all available cost-effective means to maximise collection of debts created in year
- Complaints, FOI and DPA management
- Completion of Government returns, including other statistical returns

### ***Customer Services***

- Responding to FOI & DPA enquiries and recording and responding to complaints
- Providing expert staff within the CSC to deal with revenue and benefit enquiries

## **12. Service Level Agreements**

12.1 The Service will work with key stakeholders, ensuring that corporate objectives are achieved. The Service will agree **annual** SLA's, to be reviewed, with partners including

- Watford Citizens Advice Bureau
- Watford Community Housing Trust
- Watford Borough Customer Services Centre
- Watford Housing Department

12.2 The purpose of the SLA's will be to ensure good working relationships are maintained in order to

- Maximise benefits for residents
- Reduce poverty
- Minimise and reduce homelessness
- Provide excellent customer services to residents

12.3 The SLA's for Housing and CSC Watford are appended to this document.

## **13. Key Performance Indicators**

13.1 Key Performance Indicators will be agreed on an annual basis. They will be based on the outturn at Q2 of the previous year and also factor in any known changes that could affect performance in the following year. All KPI's will be measured from April to March.

13.2 The list of KPI's can be altered/amended or added to with agreement. However, for any changes or new indicators that are introduced, performance variation will only be reported after a full quarters worth of data has been collated and agreed. Where a measure is reported as days, this means **WORKING** days unless otherwise stated.



	Measure	Monthly Reporting	Quarterly reporting	Variance reporting
<b>Housing Benefit</b>				
Time taken to process a <b>new claim</b> from date of receipt to date of assessment	22 days	Y	Y	+ 2 days on month +2 days on YTD
Time taken to process a <b>change of circumstance</b> from date of receipt to date of assessment	15 days	Y	Y	+ 2 days on month +2 days on YTD
Accuracy of Financial assessments of HB cases in payment	90%		Y	-5% on YTD
% value of overpayments classified as <b>LA Error</b>	Not greater than 0.54%		Y	Between 0.48% and 0.54%
% of <b>DHP claims</b> processed from date of receipt to date of assessment	15 days		Y	+ 2 days on YTD
<b>Council Tax</b>				
% of CTAX <b>collected in year</b>	% of annual Target	Y	Y	+/- 0.25%
Time taken to process <b>any changes</b> affecting council tax liability	90% within 10 days 100% within 15 days	Y	Y	+ 1 day over the 15 day target
Time taken to <b>register new liabilities</b> as are result of notifications from VOA	90% within 10 days 100% within 15 days		Y	+ 1 day over the 15 day target
Time taken to set up a Direct Debit	100% within 2 days		Y	➤ 2 days
<b>Business Rates (NNDR)</b>				
% of NNDR <b>collected in year</b>	% of annual target	Y	Y	+/- 0.25%
Time taken to process <b>any changes</b> affecting NNDR liability including rate reliefs	90% within 10 days 100% within 15 days	Y	Y	+ 1 day over the 15 day target

### Schedule 3

Time taken to <b>register new liabilities</b> as are result of notifications from VOA	90% within 10 days 100% within 15 days		Y	+ 1 day over the 15 day target
Time taken to set up a Direct Debit	100% within 2 days		Y	➤ 2 days
<b>Overpayments and Sundry Debtors</b>				
% of HB overpayments recovered in year	65%		Y	+/- 0.5% on YTD
% of <b>invoices raised</b> within 10 days of a debt being received	100%		Y	-5%
<b>Customer Services</b>				
Respond to all FOI complaints with 20 days	100%		Y	+2 days
Respond to stage 1 and stage 2 complaints within X working days	100%		Y	+ 2 days

## 14. Key Volumes

- 14.1 There is recognition that external factors such as the economy, changes in government policy and local factors such as closure of an employer, or development of a new housing scheme etc will impact on the work required by the contractor. In some cases, the impacts of changes may be known in advance, whilst at other times, they may not.
- 14.2 Changes in workloads and volumes can have an impact on service provision and other key performance indicators. It is intended that each year, a review will take place of the following key areas to assess the impact on the service and the service's ability to deliver targets within the resources available.
- 14.3 Data will be collected as at the end of Quarter 3 (Q3) of each financial year and will be used to agree targets, priorities and resources for the following year starting on the 1<sup>st</sup> April.
- 14.4 The table below outlines what the key indicators are and what the "trigger" point will be to instigate a formal review of performance, resources and KPI's.

<b>Area</b>	<b>Volumes at 31/12/13</b>	<b>% variance</b>
Housing Benefit Caseload	6,412	+/- 2%
Council Tax Support caseload	6,511	
Council Tax properties	38,146	+/- 2%
NNDR properties	3188	+/- 2%
Overpayments invoices created (1/1/13 to 31/12/13)	5941	+/- 2%
Debtors Invoices created (1/1/13 to 31/12/13)	9377	+/- 2%

## 15. Costs

- 15.1 The costs shown below as were agreed by the Joint Shared Services Committee in November 2013

<b>Revs &amp; Bens</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
Employees	2,689,040	2,697,110	2,724,660
Transport	25,070	25,070	25,070
Supplies and Services	399,980	399,980	399,980
	<b>3,114,090</b>	<b>3,122,160</b>	<b>3,149,710</b>

## Appendix 1

### Service Level Agreement with Housing Watford

This Service Level Agreement may be subject to change as a result of the process, policies or procedures which will be jointly negotiated by the Revenues and Benefits Service and the Housing Service. Changes may be subject to change control procedures as outlined in the main contract.

### Housing Service Levels

#### Revenues and Benefits Service Levels

Service	Performance Indicator	Service Level
Input into recruitment and annual review of Housing and Benefit Liaison Officer Post	Engagement in recruitment and review	Availability and engagement in recruitment and review process
Ensure access to relevant systems for Housing and Benefits Liaison Post	Access to each systems required Y/N	Systems access in place
Ensure access to training on systems, legislation, procedural change etc for above post	Access to training	Training provided to ensure post holder remains competent to practice
Casework referrals to above post e.g. for DHP, benefit caps, LHA reductions	Level of referrals (tbc)	Referrals at early stage so that homeless prevention work can be effective
Information sharing to support casework and complaint resolution	Information sharing effective	Timely and effective information sharing
Provision of agreed datasets monthly/quarterly (to be reviewed on an annual basis)	Datasets provided at agreed intervals Y/N	Accurate and comprehensive data provided
Provision of data sets in response to legislative or unforeseen change	Datasets provided by negotiation	Accurate and comprehensive data provided
Briefings to officers, partners, members including HARI, POsH, Landlord Forum	Briefings provided in time for key forum meetings – frequency to be agreed on an annual basis. Emergency briefings due to legislative or policy change by negotiation	Briefings provided and follow up questions addressed

<b>Service</b>	<b>Performance Indicator</b>	<b>Service Level</b>
Liaison meetings with Housing on operational and strategic matters	Frequency to be agreed annually	Meetings attended and effective problem solving in place
Including Housing in consultation on policy development e.g. DHP, safeguarding	Consultation opportunities provided	Effective feedback enabled
Fast tracking of urgent Housing Benefit claims where there is a risk of homelessness or de-stabilising of landlord relationships	Fast tracking in line with agreed procedures	Emergency response enabled

### Housing Service Levels

<b>Service</b>	<b>Performance Indicator</b>	<b>Service Level</b>
Involvement of Revenues and Benefits in recruitment and annual review of Housing and Benefits Liaison Post	Opportunities for engagement provided	Opportunities effective to enable the necessary input
Prompt addressing of performance issues relating to above post which impact on Revenues and Benefits targets	Performance issues addressed through agreed approach	Performance issues addressed effectively
Information sharing to support casework and complaint resolution	Information sharing effective	Timely and effective information sharing
Including Revenues and Benefits in consultation on policy development	Consultation opportunities provided	Effective feedback enabled
Liaison meetings with Revenues and Benefits on operational and strategic matters	Frequency to be agreed annually	Meetings attended and effective problem solving in place

## Appendix 2

### Service level agreement with Customer Service Centre (CSC) Watford

This Service Level Agreement may be subject to change as a result of the process, policies or procedures which will be jointly negotiated by the Revenues and Benefits Service and the Customer Service Centre. Changes may be subject to change control procedures as outlined in the main contract.

#### Service Levels between revenues and benefits and CSC

What the CSC will do for R&B	What R&B will do for the CSC	Impact/Reason	Frequency
Provide frontline services for Revenues and Benefits as outlined in process maps in appendix B, during service hours:- Monday through Thursday – 8.45am to 5.15pm Friday – 8.45am to 4.45pm	Provide training as required on processes to CSC staff	Ensure the provision of high quality services to residents.	Ongoing
Ensure all telephone and F2F scripts are up to date and aligned with processes.		This will ensure all customers receive a consistent approach	Quarterly
CSC and R&B team leaders/Head of Service and CSC Service Champion will meet monthly to discuss performance issues on both sides		Ensure that processes are aligned; discuss new initiatives; issues that have arisen; provide feedback to drive improvements to service	Monthly
Correctly verify documents as per the new claims initiative	Provide training in verifying and accepting documents from F2F customers	Verifying documents correctly reduces impact on customers who then have to be contacted to obtain further evidence	Quarterly or if significant changes introduced by government legislation
Ensure documents that are scanned are legible and all pages are scanned		Prevents R&B having to request documents again	On-going

What the CSC will do for R&B	What R&B will do for the CSC	Impact/Reason	Frequency
	Advise CSC of any backlogs or issues that may increase level of F2F contact/telephone calls	This will lead to effective working between R&B and CSC and mitigate the impact of increased workloads by ensuring scripts are up to date and staff on both teams are giving a consistent message to customers	On-going
	Provide at least 2 benefits advisors in the CSC to deal with F2F enquiries as follows:  2 staff daily – Mon to Fri but only 1 member of staff between 12am and 2pm		Daily
	Provide at least 1 benefit assessor to be based in the CSC to provide advice to CSC staff and process claims as they arrive  Daily Mon to Fri with no cover for 1 hour between 12am and 2pm	The ultimate aim is to have three staff within the CSC who will be cross trained in both revenues and benefits to deal with any queries about benefits or council tax; this will increase flexibility and reduce waiting times for either set of customers	Daily
	Provide at least 1 council tax assessor to deal with F2F enquiries as follows: Daily Mon-Fri with cover to include lunch times		Daily

What the CSC will do for R&B	What R&B will do for the CSC	Impact/Reason	Frequency
	Provide support to the CSC where the enquiry falls outside of scripted processes or where required information is not within the service FAQ's	Ensure the provision of high quality services to residents.	Ongoing
	Where cases are created by the CSC and submitted to the service via the Lagan Virtual office, the service will take ownership of cases within: 1 Day for urgent priority cases. 3 Days for normal priority cases (during Service working hours)		
Provide weekly stats that show 1) No of R&B customers seen and reason 2) Number dealt with by CSC staff and not passed to R&B staff 3) Log of any issues that have arisen in F2F		This information will be used to identify trends and be an early warning system of potential problems	Weekly



<b>What the CSC will do for R&amp;B</b>	<b>What R&amp;B will do for the CSC</b>	<b>Impact/Reason</b>	<b>Frequency</b>
When received by the CSC - Complaints, Compliments, Comments, FOIs and Data Access requests to be logged as per agreed corporate processes within 1 working day and referred to the service for response.	Service to log, manage and respond to complaints, compliments, comments, FOI's and DA requests in line with agreed corporate process and procedure.	Customer requests are responded to within timescales and customer satisfaction levels are managed.	As required.
Sharing info on PV customers on a six monthly basis or when there is a change to individuals on the list	Maintain customer PV flags as in line with WBC corporate guidance and Data protection regulations	Ensure safety and duty of care to staff and compliance with data protection regulations	6 Monthly or when required
Maintain stocks of Forms/leaflets/posters in CSC	Keep all customer communications, including customer letters and the web up to date. Use customer communications to actively encourage residents to access services digitally where possible.		
Escalating problem customers to the back office and management responsibility for customers asking to see a manager	Managers to attend CSC where a customer has requested a discussion with a manager that requires service specific knowledge.	Ensure the provision of high quality services to residents and prompt resolution of any issues.	When Required
	Ensure that CSC staff are advised when IT systems are not functioning and when they have been resumed	This is so that delays do not occur in dealing with phone and F2F customers when systems are back up	On-going

What the CSC will do for R&B	What R&B will do for the CSC	Impact/Reason	Frequency
Maintain sufficient number of appropriately trained staff to deliver the service to the service levels set out in this document.		Ensure the provision of high quality services to residents.	Ongoing
Notify the service immediately upon any known technology issue or error in processing an enquiry that may impact the delivery of the service.	In the event of CSC system failure – agree that calls can be transferred to the service where possible	Ensure services are delivered accurately. Where there are issues these are resolved in a timely manner and the impact on customers is kept to a minimum.	As required
	Ensure all staff delivering services to customers face to face receive training on use of personal attack alarms and other procedures for dealing with difficult customers	Ensure safety and duty of care to staff and compliance with data protection regulations	6 Monthly
	The Service will respond to telephone enquiries, emails and letters in accordance with corporate guidelines and the Service Standards. Which are available on the intranet.	Ensure the provision of high quality services to residents.	Ongoing

What the CSC will do for R&B	What R&B will do for the CSC	Impact/Reason	Frequency
LLPG Custodian to supply new and revised addresses to the service for addition into Academy via the New address spreadsheet – insert path	New addresses will be advised to the service by the LLPG Custodian via the new address spreadsheet – (insert path). The service will add full and correct addresses using only this spreadsheet. Other addresses not on the spreadsheet must not be added.	Ensure correct addressing information is held consistently across all council systems. Drive up the collection of council tax within the borough.	Ongoing
	The service will report addresses that cannot be found in Academy (or on the new address spreadsheet) to LLPG Custodian. The LLPG Custodian will update the Gazetteer and new address spreadsheet for inclusion into Academy.	Ensure correct addressing information is held consistently across all council systems. Drive up the collection of council tax within the borough.	Ongoing

### Service Champion and Service Representative Responsibilities

- Attend service meetings as required
- Collate and communicate suggestions for improvement in service delivery
- Act as lead for all CSA staff
- Take part in review of SLA and any major process changes
- Service Champion attend relevant learning circles
- Service Champion should develop a thorough knowledge of the processes offered in their service and act as an initial point of contact for other CSC staff seeking guidance.
- Service representatives should advise service champions and CSC Management Team of any service issues as per sections 2 & 6.

# Output Specification for ICT

# ICT

## 16. Scope

16.1 Three Rivers District Council (TRDC) and Watford Borough Council (WBC) entered a shared service agreement and subsequently procured a joint provision of ICT services. The Councils procured the services under a Government Procurement Service (GPS) Framework Agreement RM717. Capita Secure Information Solutions (CSIS) was awarded the contract on March 1st 2013. The internal ICT service transitioned to CSIS on May 20<sup>th</sup> 2013. The contract is for a term of 5 years, with an option to extend for a further 2 years. For a guide to the contract schedules see appendix A.

16.2 The Key Documents are:

- GPS Framework Agreement RM717
- WBC / TRDC / CSIS Call-Off Contract including Schedules

16.3 The scope of the managed ICT service covers the full range of services and infrastructure support, including:

- Service desk
- Desk side support
- Applications Support
- Applications Management
- Security Management
- Configuration Management
- Hosting

16.4 In addition improvement projects, as identified by the Councils, augment the core delivery. Services are detailed in the Schedules. Areas not included within the core ICT contract, but are required to meet business requirements are:

- Project Management and consultancy
- Business Analysis

16.6 In addition to the resources and services supplied by Capita SIS, there is a structure in place for 2 ICT client management roles, who report to the Corporate Strategy and Client Services service at Watford Borough Council. Duties and responsibilities outlined as follows:

- Contract Governance
- Contract Controls
- Service Demand
- Solution Assurance

- Security Advice and Information Assurance
- Programme Governance and Project Integration

## **17. Service Provision**

17.1 ICT Managed Service contract provision is as per GPS Framework Agreement RM717 and WBC / TRDC / CSIS Call-Off Contract including Schedules.

### **ICT Client Management Function**

#### **17.2 Contract Governance**

Manage, monitor and adjust the existing governance structure in place monitoring the Capita managed service account. At a high level this consists of:

- Monthly service review meetings
- Monthly account management
- Fortnightly project board (“Project Board as defined in Sch 8.1)
- Weekly change control board
- ITSG (IT Steering Group) meet every 5 weeks – key role to develop ICT strategy (“Programme Board as defined in Sch 8.1)

ITSG, terms of reference as at Dec 2013 can be found in appendix B.

#### **17.3 Controls**

- Establishes and manages all third party contracts through which ICT services are provided, ensures that knowledge is gathered, analysed and exploited by the Councils and ensures that the Councils maintain a suitably skilled and experienced core team to perform the retained roles.
- Service assurance of all the processes assigned to Capita SIS to ensure that they are meeting their contractual obligations.
- Manage initial procurement and any future re-provision of contracts (including the managed ICT service) as well as any third party contracts in accordance with the Councils ICT standards and procurement rules.
- Responsible for the contractual management of ICT suppliers, as opposed to the service (day to day, operational) management which is devolved to Capita, ensuring that all suppliers must be held to their contractual commitments.
- Provision of management reporting from the suppliers engaged to provide ICT services to the Councils, either directly or indirectly via Capita. Vendor management will cover monitoring Key Performance Indicators (KPIs) and general service.
- Management of all ICT budgets.

#### **17.4 Service Demand**

- Provision of a link between the ICT service and the rest of the Councils service areas, to understand, anticipate and influence demand for capacity requirements of current services and to identify requirements for minor changes to current services
- Develop a close working relationship with all of the councils service areas in order to align the ICT strategy with the councils objectives, to provide advice on how ICT can support or enable business improvements, to communicate ICT news effectively and to facilitate the provision of external advice as needed.
- Answer ICT Freedom of Information requests within the requested timescale and with accurate data.
- Facilitate procurement requests e.g. new equipment etc.
- Escalation point for ICT related complaints

#### **17.5 Solution Assurance**

- Provides confirmation from the councils perspective that any new releases have been implemented in accordance with relevant standards and with any changes in service requirement.
- Provide sufficient testing resources, representative of the end user community and to ensure that appropriate test, evaluation and acceptance activity is planned, executed and reported for each new or changed service.

#### **17.6 Security and IA**

- Ensures that risks to the confidentiality, integrity and availability of the Councils information are identified and mitigated.
- Standards and policy inform Capita while technical assurance and accreditation form part of Information Security Management which is owned by the Councils.
- Ensure that ICT services are delivered in a suitably secure manner to avoid compromise of its information assets. This includes defining and assuring security standards and ensuring that all ICT services are accredited, as well as tracking information security incidents.
- Monitor and assure the councils that contract Information Security standards have been achieved and are being maintained.

#### **17.7 Programme Governance and Project Integration**

- Coordinates changes to current ICT services from the customer perspective, including planning, directing suppliers and monitoring progress and ensuring that completed changes are released in a controlled manner and after appropriate test and validation activity (changes themselves are made by the supplier).
- Ensures that the portfolio of ICT programmes and projects is well-managed, that expectations of end users are managed and that deliverables from both suppliers and the Councils are understood.

- Ensures that the requirement and scope of minor changes is clearly understood, to manage the planning and implementation of the changes, and to carry out user testing to confirm that the change delivers the required service.

## 18. Key Performance Indicators

KPI Identifier	Description	Operating Service Level
01	Availability of desktop services *	99.5%
02	Availability of Application Services *	99.5%
03	Customer Satisfaction *	5.65 (scale of 1 to 7)
04	Helpdesk Response Times – all call types * (*only on high priority)	99%
05	Resolution Times – all call types	95%

\* Service Credits applicable with these KPI.

## 19. Key Volumes

- The Managed Service contract charges are the sums payable each month during a service year from the Commencement Date and the Fixed Charge Adjustment is based on the “Users” count. It is necessary to determine and agree the number of “Users” at the Effective Date, 1<sup>st</sup> March 2013 and for each anniversary thereafter.
- Project management and associated delivery costs are outside the scope of the contracted managed service.
- “Other” Consultancy costs, for example Business Analysis.

## 20. Costs

20.1 The costs shown below as were agreed by the Joint Shared Services Committee in November 2013

ICT	2014/15	2015/16	2016/17
Employees	119,220	121,620	124,070
Transport	670	670	670
Supplies and Services	1,034,260	872,250	852,240
	<b>1,154,150</b>	<b>994,540</b>	<b>976,980</b>

### 20.2 Financial Matters

Schedule 7 - Financial Matters sets out the provisions relating to the Charges applicable to the Services. All budgets are currently subject to review. Additional capital costs will be incurred for all transformative works.



20.3 **Revenue**

- Annual Service Charges (Year 1 £141,122 per month reducing to £52,987 per month in year 5) to be paid monthly in arrears. This payment is subject to annual Indexation (Sch 7.1 Clause 10) and a Fixed Charge Adjustment based on User numbers (as per section 5 of this document – key volumes).
- Revenue costs include ICT operational software maintenance and license fees

20.4 **Capital**

- Fixed Charges for Transition and Transformation are shown at Sch 7.1 clause 4.4 and are Caps and can only be invoiced as incurred up to those caps.

Shared Services Scheme Name	Capital				Revenue Implications				Savings	Resilience	Improvement
	2013/14	2014/15	2015/16	Future Years	2013/14	2014/15	2015/16	Future Years			
	£	£	£	£	£	£	£	£			
Hardware Replacement Programme	30,000	30,000	30,000	TBC	0	0	0	0		↙	↙
Internal service transition costs	458,660	0	0	0						↙	↙

TRDC Scheme Name	Capital				Revenue Implications				Savings	Resilience	Improvement
	2013/14	2014/15	2015/16	Future Years	2013/14	2014/15	2015/16	Future Years			
	£	£	£	£	£	£	£	£			
ICT Hardware replacement	56,000	56,000	56,000	TBC	0	0	0	0		↙	↙
ICT Project Management provision	75,600	75,600	75,600	TBC						↙	↙

Schedule 3

WBC Scheme Name	Capital				Revenue Implications				Savings	Resilience	Improvement
	2013/14	2014/15	2015/16	Future Years	2013/14	2014/15	2015/16	Future Years			
	£	£	£	£	£	£	£	£			
ICT Hardware replacement	70,000	70,000	70,000	TBC	0	0	0	0		↙	↙
ICT Project Management provision	120,000	120,000	120,000	TBC						↙	↙

**Note: all ICT budgets are currently under review.**

**Appendix A:**

**Guide to contract schedules.**

1 – Definitions

2 – Service Requirements - these schedules show the Specification for the Services, Service Levels, Standards and Security Management.

2.2 - sets out the objectives of the Service Levels and Service Credits (see also Sch 7.1) and sets out the Targets and KPI's for service availability and customer satisfaction.

2.6 - shows the Insurance requirements with a minimum sum for each category of Insurance of £5 Million.

2.7 - shows the process for Additional Service Requests.

3 – Customer Responsibilities – 50 (fifty) areas of Customer responsibilities are tabulated.

4 – Supplier Matters Schedules – E.g. Sch 4.1 shows the “Statement of Work” - a description of the service that will be provided. This include the process for asset procurement, Incident Management, Capacity Management and Performance Management.

5 – Software Schedules, including Licence Terms.

6 – Implementation and Testing Schedules.

7 – Financial Matters, as noted above plus VFM provisions including Benchmarking Reviews.

7.1 - sets out the Annual Charges, Service Credits, Charges for Change Control and Indexation.

7.5 - sets out the requirement for the Annual Financial Model.

8 – Governance – sets out the establishment of the Programme Board and the Project Board with their structures, representations, roles and responsibilities.

8.2 - details the Change Control Procedure and standard forms to be used.

8.3 - sets out the Dispute Resolution Procedure

8.4 - notes the Records to be kept by the Supplier and Sch 8.4 Appendix 2 tabulates the Management Information Reports to be provided.

8.5 - gives extensive detail of Exit Management arrangements.

8.6 - Business Continuity and Disaster Recovery Plan

## Schedule 3

9 – Employment

10 – Deed of Guarantee

## Appendix B

### ICT Steering Group – TERMS OF REFERENCE

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#### 1. Introduction:

ICT Services and products are powerful enablers in bringing about the Council's strategic agenda and in helping to deliver efficient and effective council services. To maximise potential benefits, we need to align and prioritise ICT strategies, plans and resources with council corporate and service objectives and priorities

One of the key outcomes of the Actica Infrastructure review May 2011 made the recommendation to establish the Corporate ICT Steering Group (ITSG) to enhance joint planning arrangements between ICT and council services through an improved governance model.

This document describes the current and possible future scope and working arrangements for the corporate ICT steering group

#### 2. Scope

- Ensure ICT is genuinely business driven and helps deliver corporate and service objectives
- Understand and manage the relationships, risks, dependencies and cross-cutting implications between major ICT projects and programmes and how they relate to council services, improvement programmes and strategic priorities
- To ensure that the Councils make best use of their existing Information Systems and expertise and take a corporate view on a common strategy to encourage harmonisation, avoid duplication and integration / accessibility obstacles and to maximise efficiencies
- Assess the overall priorities and investment requirements of major ICT projects and programmes and make recommendations to the councils
- To communicate the outcomes and decisions made by this group as well as ICT developments to stakeholders and users at both councils.
- Promote team-work and good relations, capture and share best practice, provide a forum for corporate innovation and creativity and celebrate successes

#### Deliverables:

- To review Capita SIS's performance and progress in relation to the contracted transition/transformation schedule.
- To lead on the development of the ICT strategy.

## Schedule 3

- To fully evaluate all requests for ICT projects. Consider their impact on the current IT priorities, IT Systems and Operations, their expected benefits in terms of efficiency and cost and agree a timeframe for implementation. Approval would be subject to funding.
- Review and approve Corporate ICT policies and procedures
- Support initiatives to improve Information Security standards and related compliance
- Review Information Security incidents
- Monitor and evaluate IT risks, including business continuity and disaster recovery provision
- Monitor progress of all IT related projects

### **Membership:**

There is representation at a Senior level of both Three Rivers District and Watford Borough Council:

Joanne Wagstaffe	-	Shared Director of Finance
Lesley Palumbo	-	Head of Corporate Strategy and Client Services (WBC) (Chair)
Alan Gough	-	Head of Community and Customer Services (WBC)
Geof Muggerridge	-	Director of Community & Environmental Services (TRDC)
Billy Hall	-	Customer Service Centre Manager (TRDC)
Jane Custance	-	Head of Planning and Development(WBC)
Emma Tiernan	-	ICT Client Manager
Richard Paszkowski	-	Account Manager - Capita SIS
Mike Airey	-	Programme Manager - Capita SIS
Jerry Fairgrieve	-	Service Delivery Manager - Capita SIS

### **Operating Arrangements**

- Meetings every 5 to 6 weeks – Agenda is separated between Council and Capita SIS business
- Reports (ICT core message) to TRDC Management Board and WBC Leadership Team
- Project monitoring tool
- Minutes to be published – Intranet

### **Initial Priorities**

The initial priorities for 13/14 & 14/15 are based around

- Development of the W3R Corporate ICT Strategy, including initial technical roadmap

### Schedule 3

- Capita Contract – Monitoring and effectiveness
- Government directives for PSN (Public Services Network)

### **Appendix A:**

#### ITSG Governance Model

**Reporting Lines:**

1. Lesley Palumbo (ITSG Chair)
2. Geof Muggerridge
3. Joanne Wagstaffe
4. ICT Client Managers

