7.27

Appendix 1

Self-Assessment Scores

Claims Administration - 50%		Grade Ranges				Example Scores		
Performance Measure	**Weight**	**1**	**2**	**3**	**4**	**Result**	**1,2,3,4 Grade**	**Grade* Weight**
PM1: Performance Indicator for average speed of processing new claims	15	>55	55-48	47-36	<36	23	4	60
PM2: Percentage of new claims outstanding over 50 days	7	>30	30-21	10-20	<10	5	4	28
PM3: Percentage of new claims decided with 14 days of receieving all information	5	<65	65-79	80-90	>90	70	2	10
PM4: Percentage of rent allowance claims paid o time or within 7 days of decision being made	5	<65	65-79	80-90	>90	65	2	10
PM5: Performance Indicator for speed of processing change of circumstances	12	>28	28-21	20-9	>9	27	2	24
PM6: Performance Indicator for accuracy - percentage of cases for which the calculation of the amount of benefit due is correct	6	<96	96 - 97	98	>98	97	2	12
Total of grade*weight								144
1-4 Score = Total / 50							2.88 3	

User Focus (Appeals) - 15%		Grade Ranges				Example Scores		
Performance Measure	**Weight**	**1**	**2**	**3**	**4**	**Result**	**1,2,3,4 Grade**	**Grade* Weight**
PM17: Percentage of request for reconsideration/revision actioned and notified within 4 weeks	4	<50	50-59	60-65	>65	79	4	16
PM18: Percentage of appeals submitted to the Appeals Service in 4 weeks	7	<50	50-59	60-65	>65	90	4	28
PM19: Percentage of appeals submitted to the Appeals Service (including those on PM18) in 3 months	4	<85	85-86	90-95	>95	95	4	16
Total of Grade*Weight								60
1-4 score = Total/15							4 4	

Security - 35%		Grade Ranges				Example Scores		
Performance Measure	**Weight**	**1**	**2**	**3**	**4**	**Result**	**1,2,3,4 Grade**	**Grade* Weight**
PM10: Number of interventions where review action commenced in the last quarter	14	<81	81-90	91-99	100	95	3	42
PM11: Percentage of datamatches resolved within 2 months	14	<81	81-90	91-99	100	95	4	56
PM12: Number of claimants visited	7	81	81-90	91-99	100	100	4	28
Total of Grade*Weight								126
1 - 4 Score = Total / 35							3.6 4	

7.29

Appendix 2

Scores and Weightings for the
Performance Measure and Enablers

Performance Measures

Theme	Total of Grade*Weight
Claims Administration	144
Security	126
User Focus	60
Total	330
Total / 100	3.3
Total PM 1-4 score	3

Enablers

Theme	Weight	Number of Enablers in Theme	Number of Enablers Achieved	Percentage of Enablers Achieved	Theme 1-4 Score	Weight Percentage of Enablers Achieved
Claims administration	35	16	13	81.25	4	28.4
Security	35	21	15	71.4	3	25.0
User Focus	15	12	9	75.0	3	11
Resource Management	15	16	15	93.8	4	14.1
Total of Weight* Percentage of enablers achieved						78.8
Total Enabler 1-4 score					4	

Appendix 3

Assessment Scores and Scoring Methodology

Self-Assessment Scoring Matrix

		Overall Performance Measure Score			
Overall Score		**1**	**2**	**3**	**4**
Overall Enabler Score	**1**	1	1	2	2
	2	1	2	3	3
	3	1	2	3	4
	4	1	2	3	4

Scoring Equivalents

Score	Grading
4	**Excellent**
3	**Good**
2	**Meeting Minimum Requirements**
1	**Not Meeting Minimum Requirements**

Rochford's Self-Assessment

Performance Measure Score	3
Enabler Score	4
Overall Score	**3**

7.33

Appendix 4

Statement of Position and Compliance Timetable

Performance Standards - Statement of Position June 2005

Claims Administration

The Performance measures

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM1	Performance Indicator for average speed of processing new claims (Standard 36 days)	Assistant Manager (Benefits)	23	4	Achieved
PM2	Percentage of new claims outstanding over 50 days (Standard 10%)	Assistant Manager (Benefits)	5	4	Achieved
PM3	Percentage of new claims decided within 14 days of receiving all information (Standard 90%)	Assistant Manager (Benefits)	70	2	April 2006
PM4	Percentage of Rent Allowance (RA) claims paid on time or within 7 days of the decision being made (Standard 90%)	Assistant Manager (Benefits)	65	2	April 2006
PM5	Performance Indicator for average speed of processing change of circumstances (Standard of 9 days – subject to review)	Assistant Manager (Benefits)	37	2	April 2006

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E1	**Workload Management** Information is held at team or section level about the volume of work received, work actioned and work outstanding each month, if not more frequently. Trends and patterns in workloads are monitored and work priorities and resources are adjusted to prevent and/or manage down backlogs.	Assistant Manager (Benefits)	**Yes**	Stats, Monitoring Reports, Work returns		
E2	The LA has clear systems that it can demonstrate are working, to act on information received from Job Centre plus to make extended payments and to prioritise the processing of claims for customers moving into work.	Assistant Manager (Benefits)	**Yes**	Noted on system as soon as arrived, each team prioritises new claims		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E3	**Gathering Information** The need for information from the customer and third parties such as landlords is identified within 7 days of receipt of the claim or notification of change of circumstances with action taken to obtain it. There are routine, rapid arrangements for providing a certificate of earnings form for the employer to complete, allowing the change of circumstances or new claim to be processed rapidly, with safeguards to prevent fraud.	Assistant Manager (Benefits)	**Yes**	All claims are looked at immediately. Working procedures is that all new post is looked at same day or next day at latest. (training procedures)		
E4	The LA sends reminders or makes other contact with the customer, before the expiry of the 4-week or 1-month period within that the customer has been asked to supply further information or evidence.	Assistant Manager (Benefits)	**Yes**	Academy automatically produces a reminder letter after 14 days		
E5	The LA has systems in place to prioritise action on changes of circumstances that lead to a reduction in, or a cessation of, benefit to minimise the occurrence of overpayments.	Assistant Manager (Benefits)	**No**	N/A	**By 1st September 2005:** Priorities to be changed and written procedure to be produced.	20 hours

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E6	The LA claim form(s) meets the relevant requirements as set out in the DWP series of HCTB1 claim forms and the standard application form used by all tenants contains consent wording to allow the sharing of information on the progress of the claim with the landlord in direct payment cases. **Note:** The term 'direct payment' is likely to be removed as Local Housing Allowance is rolled out.	Assistant Manager (Benefits)	**Yes**	Claim Form	<u>**Review: September 2005**</u> Claim form to be reviewed in preparation for DIP	(8 hours)
E7	**Working effectively with landlords to minimise repossessions** The LA uses a form on consent that is specific about what the landlord can be told, and the local authority accepts clear self-standing requests signed by the customer for a landlord or representative to make enquiries on the customer's behalf.	Assistant Manager (Benefits)	**Yes**	Claim Form (review this when looking at new claim form)	<u>**Review: September 2005**</u> When form reviewed as per E6	
E8	The LA communicates effectively with landlords by providing clear practical advice on the operation of HB, and landlords including the LA landlord, are actively encouraged to contact the Benefits Service before taking enforcement action for collection of rent arrears when the arrears are due to a delay in the payment of HB.	Assistant Manager (Benefits)	**Yes**	Landlord's newsletter Landlord's forums Landlord's notifications		

Quality and Reducing Error

The Performance Measures

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM6	Performance Indicator for accuracy – percentage of cases for which the calculation of the amount of benefit due is correct (Standard 98%)	Assistant Manager (Benefits)	97	2	April 2006

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required: Target date and how will be met	If not met / review required: Officer Hours Required
E9	**Quality Checks** Fully trained employees operate a risk assessment based and auditable checking regime to check for error in the caseload. The regime includes • The statistical accuracy checks for the correct number of cases required by the Performance Indicator sampling and checking methodology, in accordance, in accordance with HB/CTB Circulars S1/2000 and S5/2000. • A minimum 4% sample across a range of decisions on new claims changes of circumstance amendments and overpayment calculations before a payment or decision notice is issued. New claims within the 4% sample	Assistant Manager (Benefits)	**Yes**	Copy of stats 128 Copy of checking report		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
	attract a full check. For changes of circumstances with the 4% sample, the check covers the last user action or is a full check, if on the basis of the risk the LA decides it is necessary.					
E10	**Using quality checks to improve performance and reduce error** In tandem with its targeted review activity, does the LA analyse the results of all management and accuracy checks across the full range of benefit activities including counter fraud and deliver continuous improvement in its performance and service delivery by using its findings to • Identify the overall level of error in its caseload? • Inform training plans and the appraisal process? **Yes/No**	Assistant Manager (Benefits) and Senior Officer (Fraud)	**No**	N/A	**By April 2006** **(1) Benefits** – (a) identify a recording mechanism for accuracy checks to allow analysis (b) develop system reporting to report claimant, LA and fraud errors **(2) Fraud** – (a) commence regular work checks as recommended by performance standards (b) identify a recording mechanism for checks to allow analysis **(3) Both** – (a)	60 Hours

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
					Analyse the above, with intervention and fraud results to provide an indication of the level of fraud and error within RDC (b) Use this analysis for staff training and target setting for 2006/2007	

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E11	**Managing Debt** Does the LA have documented overpayments policies and procedures that are used and adhered to by relevant employees to ensure that • Overpayments are bought to account and are under appropriate financial control? • There is an audit trail for all decisions on recoverability and classification?	Assistant Manager (Benefits)	**Yes**	Policies		

Overpayments

The Performance Measures

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM7	Performance Indicator for the amount of HB overpayments recovered during the period as a percentage of total amount of HB overpayments identified during the period.	Assistant Manager (Benefits)	These performance measures have no weighting.		
PM8	Performance Indicator for the amount of HB overpayments recovered during the period as a percentage of total amount of HB overpayment debt outstanding at the start of the period plus amount of HB overpayments identified during the period	Assistant Manager (Benefits)	These performance measures have no weighting.		
PM9	Performance Indicator for the amount of HB overpayments written-off during the period as a percentage of total amounts of HB overpayment debt outstanding at the start of the period plus amount of HB overpayment identified during the period.	Assistant Manager (Benefits)	These performance measures have no weighting.		

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E12	**Overpayments** Debts are only written-off, by an authorised officer, in accordance with the LA's corporate or Benefit Services write-off policies after all avenues of recovery that the LA considers appropriate have been considered.	Publicity and Policy Officer	**Yes**	Benefits write off policy		
E13	The final overpaid amount, taking into account any underlying entitlement to benefit and unpaid or returned cheques is calculated, on average, within a period of 14 days following the date that the LA receives sufficient information.	Publicity and Policy Officer	**No**	**N/A**	<u>1st October 2005:</u> Procedures to be reviewed and amended	10 hours

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E14	**Recovery** Does the LA have targets for the recovery of old debt and monitor its performance against them?	Overpayments Officer	**Yes**	A Spreadsheet of outstanding cases is available & monthly stats given.	.	
E15	Records of outstanding overpayments are kept when benefit is no longer in payment, in the event of future benefit award, or other change of circumstances, enabling recovery in the future.	Overpayments Officer	**Yes**	Records held on Academy and cases monitored regularly.	**Information:** Assessment staff will identify any cases making new claims, and I monitor the remaining cases within recovery action procedures.	
E16	The LA has in place a collection and monitoring policy and systems to monitor the recovery of administrative penalties.	Overpayments Officer	**Yes**	Spreadsheet of all cases is available that predicts the date at which the overpayment will be cleared and the penalty should be invoiced.	**Information:** Currently liaise with Investigations regularly concerning any outstanding or new Administrative Penalty cases.	

Security

The Performance Measures

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM10	Number of interventions where review action commenced in the last quarter Month 1 Month 2 Month 3 Standard is Qtr 1 – Published minimum monthly interventions target (x1) for the year Qtr 2 – Published minimum monthly interventions target (x4) for the year Qtr 3 – Published minimum monthly interventions target (x7) for the year Qtr 4 – Published annual interventions target per A34/2004 (revised) for the year	Senior Officer (Fraud) Quarterly reporting to commence end of quarter June 2005 and every subsequent quarter directly to RBM	95	3	December 2005
PM11	Percentage of data-matches resolved within 2 months (standard is 100%)	Senior Officer (Fraud) Quarterly reporting to commence end of quarter June 2005 and every subsequent quarter directly to RBM	100	4	

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM12	Number of claimants visited (Standard is the published annual visits target for reviews per A34/2004 Revised) for the year.	Senior Officer (Fraud) Quarterly reporting to commence end of quarter June 2005 and every subsequent quarter directly to RBM	100	4	

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E17	**Compliance with the VF or to equivalent standard** The LA ensures a person making a claim or notifying a change of circumstance provides all the certificates, documents, information and other evidence in its original form to support the claim as they may reasonably require to the standard of VF.	Assistant Manager (Benefits)	**Yes**	System evidence Claim file		
E18	All employees responsible for receiving and verifying documents are trained on the latest evidence requirements, including identifying false documents and following up discrepancies and apply this in order to comply with the relevant legislation	Training Officer	**Yes**	Training records		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E19	**Compliance with data integrity, as per F10/2004** The LA provides data (the HBMS extract) in 'loadable' state for all 12 months on specified dates, ensuring the accuracy of customer National Insurance numbers (NINOs) recorded on their benefit systems: 98% to match with DWP records …	Business Support Officer	**Yes**	HBMS data summary sheets		
	… All incidents rated 1 and 2 by HBMS to be resolved within a maximum of 3 months unless otherwise agreed with HBMS.	Senior Benefits Officer	**Yes**	HBMS data incident / system proof changes made		

Fraud Referrals

The Performance Measures

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM13	Number of fraud referrals per thousand caseload	Senior Officer (Fraud) Quarterly reporting to commence end of quarter June 2005 and every subsequent quarter directly to RBM	These performance measures have no weighting.		
PM14	Performance Indicator: Number of fraud investigators employed per 1000 caseload	Senior Officer (Fraud) Quarterly reporting to continue (as per current BVPI 76) directly to RBM	These performance measures have no weighting.		
PM15	Performance Indicator: Number of fraud investigations per 1000 caseload	Senior Officer (Fraud) Quarterly reporting to continue (as per current BVPI 76) directly to RBM	These performance measures have no weighting.		

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E20	**Fraud Referrals** The LA publicises guidance on making a referral to all employees working for the LA …	Senior Officer (Fraud)	**Yes**	Issued to staff August 2003	**September 2005:** Updated required	(4 hours)
	… It provides fraud awareness sessions at induction and supports this with an …	Senior Officer (Fraud)	**No**	N/A	**December 2005:** Arrange with training officer to create induction package for new Revs and Bens' entrants	6 hours
	… ongoing programme of fraud awareness to employees who are involved with HB/CTB benefit administration, housing and council tax collection, external employees to whom such work is out sourced and any employees working for an RSL who are involved in the verification of HB/CTB claims.	Senior Officer (Fraud)	**Yes**	Training records, fraud awareness presentations	**January 2006:** Arrange for refresher fraud awareness training (to also consolidate training officer's work)	(25 hours)
E21	The LA provides a publicised dedicated telephone service (or National Benefit Fraud Hotline), which is staffed during office hours, for the public or employees to report suspicions. An answer phone service is available outside working hours.	Senior Officer (Fraud)	**Yes**	Publicity information and dedicated 318041 answerphone		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E22	**Risk Profiling Referrals** Referrals are risk assessed, with priority given to medium to high-risk cases, with the results of investigations informing regular review of the risk assessment process.	Senior Officer (Fraud)	**Yes**	Risk assessment flowchart, referrals showing methodology, annual referral analysis		
E23	In relevant cases the LA gathers intelligence through a discrete intelligence function with the LA or through National Anti-Fraud Network (NAFN), London Team Against Fraud (LTAF) or through the DWP Intelligence structure.	Senior Officer (Fraud)	**Yes**	NAFN subscription, files to show NAFN and DWP requests for intelligence		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E24	**Action on Referrals** The LA sifts referrals within an average of 10 working days* of receipt and uses a management information system to track all fraud referrals that are allocated to a named investigator and the progress made on them. *This excludes bulk data referrals such as the National Fraud Initiative (NFI) and HBMS data matches. These types of bulk referrals should be managed and sifted as a source of potential investigation cases.*	Senior Officer (Fraud)	**Yes**	Academy system, reports and SQLs		
E25	The LA commences investigations within an average of 10 working days of referrals being sifted.	Senior Officer (Fraud)	**Yes**	Academy Reports and SQLs		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E26	**Fraud Investigator's Code Of Conduct** The LA compiles with the appropriate legislation and ensures that its fraud investigation officers understand that under section 67(9) of the Police And Criminal Evidence (PACE) Act 1984 they are persons charged with the investigation of crime and are, therefore subject to the same restraints as the police, especially those contained in PACE Act 1984. In Scotland fraud investigation officers adhere to the test of fairness.	Senior Officer (Fraud)	**Yes**	Current Fraud Investigator's Code of Conduct in existence	**September 2005:** Update current code of practice (no updated since prior to April 2003)	(10 hours)
E27	The LA maintains a separate fraud file with restricted access for all investigations, and such records as are needed for the purposes of disclosure, under Criminal procedure and Investigations Act (CPIA) 1996, Regulation of Investigatory Powers Act (RIPA) 2000, or Regulation of Investigatory Powers (Scotland) Act (RIP(S)A) 2000 are kept in accordance with PACE Act 1984.	Senior Officer (Fraud)	**Yes**	Any fraud investigation has a separate file		
E28	Fraud investigators keep a proper record of what they do for their own personal use so that it can, if necessary, be used as an aide memoire when giving evidence.	Senior Officer (Fraud)	**Yes**	Any investigation on Academy has a written log of action taken		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E29	Interviews are conducted under caution in accordance with PACE or the test of fairness (Scotland) when there are reasonable grounds based on known facts or information which are relevant to the offence.	Senior Officer (Fraud)	**Yes**	IUC tape register		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E30	**The LA fraud policy** There is a member approved anti-fraud policy …	Senior Officer (Fraud)	**Yes**	The policy	**December 2005:** Review current policy in line with DWP changes and present to Members	(8 hours)
	… supported by a fraud business plan against which the progress, outcome and quality of investigations are monitored.	Senior Officer (Fraud)	**No**	N/A	**September 2005:** Produce a new Fraud Business Plan specifying how progress, outcomes and quality of investigations are monitored	10 hours

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E31	The LA makes all appointments of authorised officers in accordance with the law …	Senior Officer (Fraud)	**Yes**	Fraud Officer's Authorisation CSPSSA 2000 (AO Powers)		
	… and monitors the use of these powers …	Senior Officer (Fraud)	**No**	AO Register	**December 2005:** (a) Update Authorised Officer Register (b) Commence quarterly analysis of use of AO powers for effectiveness and identify trends (if any)	12 hours
	… or uses a centralised intelligence resource such as NAFN or a DWP Operational Intelligence Unit (OIU) or in conjunction with neighbouring LAs.	Senior Officer (Fraud)	**Yes**	NAFN AO Forms (SSFA 2001 AO Powers)		
E32	The LA has chosen to use and operate the 'Do Not Redirect' (DNR) service in accordance with the legislation and procedural guidance, *see HB/CTB Security Manual, Do Not Redirect Service.*	Senior Officer (Fraud)	**Yes**	HB Policy Manual, logged fraud referrals from DNR source	**September 2005:** Review current policy to ensure it is up-to-date and relevant (not reviewed since prior to April 2003)	(12 hours)

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E33	The LA has signed, and adheres to, the Fraud Partnership Agreement with Counter-fraud Investigation Service (CFIS) at Operational Board level and has underpinned this with locally agreed service standards with the CFIS Sector, which meet at least the minimum requirements set out in the Partnership Agreement.	Senior Officer (Fraud)	**Yes**	Signed FPA, details of subsequent meetings (2005/2006)	**September 2005:** Awaiting new FPA by DWP	(2 hours)
E34	The LA has in place systems to ensure that only lawful requests are sent to DWP for Inland Revenue information.	Senior Officer (Fraud)	**No**	N/A	**December 2005:** Not currently done as DWP will refuse insufficient requests. Introduce formal checking procedure for all DWP intelligence requests prior to issue (and amend forms as necessary)	4 hours

Sanctions

The Performance Measures

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM16	Performance Indicator: number of successful sanctions per 1,000 caseload	Senior Officer (Fraud) Quarterly reporting to continue (as per current BVPI 76) directly to RBM	These performance measures have no weighting.		

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required: Target date and how will be met	If not met / review required: Target date and how will be met
E35	**A balanced sanctions policy** The LA provides clear guidelines to employees to consider …	Senior Officer (Fraud)	**No**	**N/A**	**December 2005:** 'to employees' indicates all staff – this could be included with new referral guidance (see E20)	3 hours
	… and administer the appropriate sanctions …	Senior Officer (Fraud)	**Yes**	Sanction cases		
	… and ensures they are applied strictly in accordance with the law.	Senior Officer (Fraud)	**Yes**	Sanction cases / sanction recommendation sheet / successful convictions		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required: Target date and how will be met	Officer Hours Required
E36	The LA always checks the DWP's database and Police National Computer (PNC) or SOL P (as per HB/CTB Security Manual) for previous benefit fraud sanctions and convictions before issuing a caution or penalty…	Senior Officer (Fraud)	**No**	**N/A**	**September 2005:** Check with BFI what combination is mean (and / or not clear) **December 2005:** If necessary, arrange access protocol with SOLP and/or local police to have access to required information	15 hours
	… If a caution or a penalty is given the LA records the penalty details clearly, including sending notification for recording on the DWP database, to ensure further attempts to defraud by the same person are considered for prosecution as a first option.	Senior Officer (Fraud)	**Yes**	Sanction cases		
E37	If a caution or penalty is refused the LA ensures all cases are referred for prosecution.	Senior Officer (Fraud)	**Yes**	Relevant prosecution cases		

User Focus

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E38	**Take up** The LA has a written strategy or plan, covering issues of customer service, availability of help and advice and access, to encourage take up of HB/CTB that goes beyond the first step of raising awareness and works in partnership with other stakeholders, such as The Pension Service, LA Welfare Right Services, CAB and voluntary advice groups, to ensure that eligible customers are enabled to make successful claims.	Publicity and Policy Officer	**Yes**	Policies, extended opening hours and surveys, publicity campaigns MP Radio RDM		
E39	The LA carries out targeted campaigns on under claiming sections of the community, ensuring that assistance is given to eligible customers to make a claim and evaluates the results. The LA does this in conjunction with other stakeholders when this will add value.	Publicity and Policy Officer	**Yes**	Policies, Pensioners & working age		

Accessibility

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**

E40	**Accessibility**
	
	The LA regularly reviews the service it provides taking account of:
	• Customers and their representatives views
	• The locality
	• Availability of transport
	• Its obligations under the
	  - Race Relations Acts (1976 and 2000)
	  - Disability Discrimination Act (1995)
	
	To ensure it best meets customer needs. Customers can contact employees in the LA, by whatever suitable suitable means (such as face to face, by telephone, correspondence, video conference) for a minimum average of 36 hours a week except during public holidays.
		Assistant Manager (Benefits)	**Yes**	Surveys regularly New reception Counter Extended phone opening hours Visiting officers Sheltered Schemes		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E41	Decisions on claims are notified promptly to customers and if relevant third parties and are written concisely, with the reader in mind and in the right tone. Letters state the decision clearly, do not contain jargon and explain technical terms such as non-dependant. Overpayment decisions are notified to the person(s) affected within 14 days of the final calculation.	Assistant Manager (Benefits) and Technical Officer (Benefits)	**No**		**April 2006:** New notification letters and templates to be completed.	100 hours

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E42	**Dealing with enquiries** Employees have been set and are achieving targets, which as a minimum reflect corporate customer service targets for dealing with enquiries made by telephone, in person, by letter or e-mail and the LA monitors performance against the targets.	Senior Benefits Officer	**Yes**	Procedures, stats		
E43	The LA provides an over the counter service for customers presenting completed claim forms and evidence and verifies them to the standard of VF, so that customers can avoid sending in key documents.	Publicity and Policy Officer	**Yes**	Policies		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E44	**Partnership working** Local Service Level Agreement (SLA's) are in place with organisations connected with benefits delivery. These will include Jobcentre Plus, The Pension Service, The Rent Service and Debt Management services. If a national model SLA exists, this should be adopted as the minimum requirement.	Assistant Manager (Benefits)	**Yes**	Copy of SLAs		
E45	The LA monitors and reviews all its SLAs in accordance with the arrangements set out in each SLA, with action taken to improve effectiveness and security as indicated by the monitoring report.	Assistant Manager (Benefits)	**No**	**N/A**	Rent Service & JCP are not assisting with review Feb 2006	14 hours
E46	The LA maintains regular contact, supported by formalised and documented working arrangements if considered appropriate, with other organisations, for example RSLs, CAB, Police, Crown Prosecution Service (CPS) or Procurator Fiscal in Scotland.	Assistant Manager (Benefits) and Senior Officer (Fraud)	**No**	**N/A**	**September 2005:** Assistant Manager (Benefits) and Senior Officer (Fraud) to have ascertained appropriate "other organisations" and identified potential Benefits and Fraud shared interests with particular organisations **December 2005:** Put in place formalised and documented working arrangements with appropriate "other organisations"	20 hours

Appeals and Complaints

The Performance Measures

Measure	Description	Person Responsible	Current Position	Current Grade	Grade 4 Target Date
PM17	Percentage of applications for reconsideration/revision actioned and notified within 4 weeks (standard 65%)	Assistant Manager (Benefits)	79	4	
PM18	Percentage of appeals submitted to the Appeals Service in 4 weeks (standard 65%)	Assistant Manager (Benefits)	90	4	
PM19	Percentage of appeals submitted to the Appeals Service (including those in PM18) in 3 months (Standard 95%)	Assistant Manager (Benefits)	95	4	

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E47	**Appeals** Nominated skilled individuals are responsible for handling queries, disputes, applications for reconsideration/revision, appeals referrals, ensuring they are correct in law and representing the LA case at tribunal hearings	Assistant Manager (Benefits)	**Yes**	JD & Person Spec		
E48	Decisions from appeals tribunals are implemented as soon as practical – the LA seeks to complete this action within 4 calendar weeks	Assistant Manager (Benefits)	**Yes**	No evidence as none received		
E49	**Complaints** There are clear procedures and the LA sets targets that as a minimum, match corporate targets for dealing with complaints. Customers are advised how much they can make a complaint. Complaints are identified, registered and their progress is monitored. Effective remedial action is taken to address the causes of complaints.	Steve / Linda	**Yes**	Corporate complaints policy		

Resource Management

The Enablers

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E50	**Managing the Benefits service** The LA sets targets that are comprehensive in scope, include the statutory Pls, are stretching and provide a baseline of current performance.	Revenues and Benefits Manager	**Yes**	Three year targets, PDR's and individual targets		
E51	There are arrangements in place to monitor the delivery of plans and targets on a quarterly basis (including if appropriate resources to monitor outsourced elements in line with contracts) to inform senior officers and Members.	Revenues and Benefits Manager	**Yes**	QPR's capita monitoring reports, Monthly report for CPA relationship manager		
E52	The LA has documented arrangements to manage risks to the service provision to ensure business continuity during change programmes and emergencies.	Revenues and Benefits Manager	**Yes**	Contingency Plan		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E53	**Monitoring Performance** The LA provides accurate and timely MIS data, HBMS data, quarterly performance measurement data and annual self-assessment returns against the Performance Standards.	Revenues and Benefits Manager and Assistant Manager (Benefits)	**Yes**	Copies of MIS stats		
E54	The LA identifies where statutory Performance Indicator targets and standards for performance measures are not being achieved and establishes the reasons so that corrective action can be implemented for the future.	Assistant Manager (Benefits)	**Yes**	Monitoring reports, work returns, accuracy checks		
E55	**Providing for a skilled and competent workforce** There are up to date documented recruitment, induction, training, codes of conduct including pre-appointment checks and declaration of interest protocols, appraisal, retention and diversity strategies, whether corporate or specific to the Benefits Service.	Assistant Manager (Benefits) and Training Officer	**Yes**	Induction programme Career matrix Training records & procedures, protocols		
E56	The LA provides a structured training programme, underpinned with training material that recognises the different skills bases, competencies and professional qualifications needed by benefit processors, overpayment recovery officers, customer facing employees, fraud investigators, supervisors and managers.	Training Officer and Revenues and Benefits Manager	**Yes**	Career matrix, IRRV and copies of other courses		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	Officer Hours Required
E57	**Achieving Value for Money** The LA operates a costing structure that provides an assessment for the Benefit Service's overall cost, including counter fraud work, and shows the relationship between cost and the level of service provided. Costs are monitored, reviewed and adjusted in the light of potential over or under spends or efficiency objectives and there is an audit trail on the costs and adjustments.	Yvonne (acc)	**Yes**	Accountancy budgetary control sheets		
E58	Does the LA Consider joint procurement and joint working with other LA's and internal and external partners to obtain efficiency and economic benefits?	Revenues and Benefits Manager	**Yes**	Capita phone partnership, Fraud joint working with JCP & CPBC & Centre of Excellence, Joint training & Joint forms		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E59	**IT Systems** The IT systems support all aspects of paying and accounting for benefit, including counter fraud and debt recovery, and interfaces effectively with other relevant IT systems. They provide accurate management and statistical information and enable production of ad hoc management information and exception reports.	Business Support Manager	**Yes**	Adhoc reports, list of all reports available		
E60	The LA manages and monitors the contract arrangements with its IT providers to ensure compliance with agreed and documented performance standards in the provision of the Benefits Service.	IT Contract Manager	**Yes**	Monthly contract reports and meetings, original contract, SLA		

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E61	**Internal Control Mechanisms** There are IT security and testing protocols and processes including a secure user environment through password controlled access to IT systems.	Business Support Manager	**Yes**	Test & Live system Network passwords Release notes		
E62	The LA has secure post opening procedures with all relevant items dealt with the VF standards or their equivalent with protocols and processes for the secure control of case documents, cheques, receipts, automated payments and other valuable items including their return to the customer when appropriate.	Publicity and Policy Officer	**Yes**	Procedures & previous evidence of old standards		
E63	The LA carries out a check which includes a sample case check, on its quarterly performance measure data to validate user input before submitting it to DWP.	Assistant Manager (Benefits)	**No**		<u>**March 2006:**</u> Checks to commence from last quarter 2005/2006	8 hours

Ref	Enabler	Responsible	Met?	Supporting Evidence	If not met / review required:	
					Target date and how will be met	**Officer Hours Required**
E64	**Secure Administration** There is a risk based IA programme to examine the Benefits Service's working practices and IT functionality for compliance with documented procedural guidance and legislative requirements.	Internal Auditor	**Yes**	Copy of IA programme		
E65	The LA implements agreed recommendations from IA and external audit (EA) and inspection reports.	Internal Auditor	**Yes**	Copies of recommendations and follow-up reports		