

**2009 Census Rehearsal Evaluation
Field Staff Payroll**

December 2009

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2009 Rehearsal – Field Staff Payroll

1. Definition and scope for rehearsal

To develop and implement a solution for the payment of all field staff recruited to carry out the census enumeration process, Census Coverage Survey (CCS) and Census Quality Survey (CQS).

Scope for the rehearsal was to develop and implement an in-house, e-based system that offered the flexibility to make changes and ad-hoc/emergency payments and to test the viability of such a system for the 2011 Census. The numbers of field staff are covered in the Field Staff Recruitment, CCS and CQS evaluation reports.

What was tested:

- field & payroll services system;
- electronic personnel records, expense claim forms and Hours Worked Logs (HWLs);
- payroll software (latest version with added features);
- Sage technical support;
- payroll PC network and Sage server;
- Applications Desktop Integrator (ADI);
- exporting personnel records and expense claims from field & payroll services system into Sage software (via .CSV (comma separated value) files);
- transferring files into the Banker's Automated Clearing Services (BACS) box;
- processing leavers and double workloads;
- paying CCS field staff together with census field staff;
- WinSCP (for secure file transfer); and
- smart FTP (file transfer protocol).

What could not be tested:

- submitting live files to BACS;
- Her Majesty's Revenue and Customs (HMRC) mailbox;
- Sage news feed mailbox;
- end of year process; and
- electronic payslips.

2. Evaluation findings

- Pre – determined evaluation points

Description	Success Criteria	Outcome	Recommendation	Timeframe
1) Field Services Website – Payroll	The system was reliable and always available.	The website did facilitate the completion of personnel records, expense claim forms and hours worked logs, but field staff did not find it user friendly.	The system must be further developed and enhanced before 2011 (enhancements detailed in the enhancements log).	August 2010
2) Field Services Website – Payroll - system testing	To verify that the system was fit for purpose.	The testing carried out by Field Operations Branch (FOB) identified serious defects in the payroll system.	<ul style="list-style-type: none"> • the system must be further developed and enhanced before 2011 (enhancements detailed in the enhancements log); • FOB continue to be involved in user testing for 2011; and • a dedicated test team within Census and Statistics Information Technology (CaSIT) should be established. 	Sept 2009 - August 2010
3) Accessing Field Services	All field staff were able to login and access their own expense claims, hours worked logs and submit payroll documents.	<ul style="list-style-type: none"> • very problematic due to multiple password system; and • double workload enumerators and replacements could not log on. 	<ul style="list-style-type: none"> • single password sign-on for seamless user interface; and • the structure requires to be changed to accommodate double workloads and 	Sept 2009 – March 2010

Description	Success Criteria	Outcome	Recommendation	Timeframe
4) Payroll database – roles & responsibilities	Both HQ and field staff were aware of their roles and responsibilities in relation to the payroll system and the payroll software.	There was confusion about who was responsible for changing and resetting passwords. Despite audit recommending that this was an FOB role it was CaSIT colleagues who undertook this function.	replacements. Clearly defined roles and responsibilities and procedures must be agreed by field services Integrated Project Team (IPT) for 2011.	April 2010
5) Access Control Policy (ACP)	An ACP that clearly details who has access to the system and the Sage server.	According to Scottish Government (SG) audit an ACP should have been in place prior to the “live” operation. This was not the case.	The ACP must be in place and procedures followed before 2011.	August 2011
7) Electronic claim form and Hours Worked Logs (HWL).	Field staff can claim expenses and record hours worked electronically.	<p>a) The claim form was easy to complete and the functionality (of adding and totalling) prevented errors.</p> <p>b) The logs were not user friendly. They were difficult to complete, the drop down menu detailing the tasks was confusing and navigating between the logs and expense claim form was problematic.</p> <p>c) There were some difficulties submitting and</p>	<p>a) Retain for 2011 with some minor enhancements.</p> <p>b) The system must be further developed and enhanced before 2011 (enhancements detailed in the enhancements log).</p> <p>c) As above</p>	Sept 2009 – August 2010

Description	Success Criteria	Outcome	Recommendation	Timeframe
		approving claim forms and logs. Senior managers were not able to approve claims/logs for all field staff in their chain of command. During the live operation the payroll system was enhanced to allow HQ staff to reject claims they thought were incorrect.		
8) Electronic Personnel Record	Personal details were able to be exported into the payroll software.	HQ staff found this easy to action.	Retain for 2011.	August 2010 – May 2011
9) Sage payroll software (latest version)	Software was able to process the census, CCS and CQS payroll.	The software performed well. As it is an off the shelf product some manual checks are required (e.g. duplicate entries)	Use Sage for 2011 as it is tried and tested and the payroll team are skilled in its use.	August 2010 – May 2011
10) Sage technical support	Sage was able to provide the technical support needed.	This proved invaluable when we had problems with the payroll PCs and the Sage server. They were also very helpful when we had to correct the National Insurance (NI) deductions from August 08 to April 09.	Continue to use the technical cover option.	August 2010 – May 2011.
11) BACSTEL (Banks automated clearing services, used to make secure	All BACS payments were correct and paid into bank accounts on time.	It took a considerable amount of time to get all the correct software installed on the payroll PCs and the	Continue to use BACSTEL for 2011, but ensure that all updates to the software are installed correctly on	August 2010 – May 2011.

Description	Success Criteria	Outcome	Recommendation	Timeframe
electronic payments)		<p>BACS cards issued. When fully operational it worked very well.</p> <p>Before being able to access the BACS box Scottish Government Treasury & Banking (SGT&B) colleagues made the transactions on our behalf.</p>	<p>the payroll PCs.</p> <p>We will work with SG Treasury & Banking and SG IT colleagues to ensure this happens.</p>	
12) Applications Desktop Integrator (ADI)	The correct amounts were debited and credited to the correct cost centres.	Having access to ADI makes this process much easier. Prior to having ADI we had to create a general ledger file in Sage which was sent to SGT&B for processing. Although having access to ADI makes the process much easier both methods fulfilled led the same purpose.	Continue using ADI for 2011.	August 2010 – May 2011.
13) WinSCP software (Microsoft Windows secure file transfer protocol)	CSV files were successfully exported.	Using WinSCP to export the CSV files from the GROS secure server to the Sage server worked well.	Continue to use WinSCP for 2011.	August 2010 – May 2011.
14) Smart FTP software (file transfer protocol)	The BACS files were successfully transferred.	Using Smart FTP to transfer the BACS files from the Sage server into the BACS box worked well.	Continue to use for 2011	August 2010 – May 2011.
15) Installing Sage	The latest payroll	The 08/09 upgrade patch	Safeguards will be put in	Ongoing

Description	Success Criteria	Outcome	Recommendation	Timeframe
software upgrade patches	legislation is applied to the Sage payroll software.	<p>was not applied correctly to both the payroll PC and the Sage server. As a result, NI calculations were incorrect.</p> <p>Before we could process the end of year submission the payroll had to be rolled back and reprocessed from August 2008 to March 2009. This corrected both employee and employer deductions. Refunds were then made to the field staff.</p>	place to ensure upgrade patches are applied correctly for 2011.	
16) CSV (comma separated value) files	The correct information was exported into Sage and the correct fields were populated.	This worked well. Discrepancies were easy to correct.	Continue to use .CSV files for 2011. To simplify downloading the files and correcting any discrepancies there should be a file for each of the 22 regions plus CCS/CQS.	August 2010 – May 2011.
17) Payslips	To inform field staff of their monthly fee and expenses plus the amount of tax and NI deducted.	<p>The printing and sealing of pay slips (General register Office for Scotland (GROS) internal process) was not problematic for 2009 due to relatively small staff numbers.</p> <p>The current process</p>	Explore options within field services.	Sept 2009 – August 2010

Description	Success Criteria	Outcome	Recommendation	Timeframe
		however, will not work for 2011		
18) Final wash-up of outstanding expenses	All field staff were paid their outstanding expenses after their leaving date.	Some claims not submitted or approved were in the system after field staff contracts had come to an end. The payroll team however approved and paid those claims that they considered genuine.	Further instruction to managers to ensure outstanding claims are approved before the end of employment.	May 2011
19) Fees	Fees were proposed by FOB and approved by the Programme Delivery Team (PDT).	Field staff were content with the fee they were paid for the work they carried out.	Field staff fees for 2011 will be in accordance with the Payroll Strategy approved by the PDT.	August 2010 – May 2011.
20) Day subsistence	Was claimed by field staff as per their terms and conditions.	We received more claims than expected for day subsistence. It was difficult to challenge whether field staff had been away from home for greater than five or ten hours. This could be costly for 2011 and push up the expenses budget.	Review the type of contract for field staff with SG solicitors.	Sept 2009 – Dec 2009
22) Annual leave	To comply with the terms and conditions of their appointment.	Making it clear in the terms and condition of service that the amount due for untaken annual leave was included in their fee stopped	Review the type of contract for field staff with SG solicitors.	August 2010 – May 2011.

Description	Success Criteria	Outcome	Recommendation	Timeframe
		requests for an extra payment as was the case in 2001 and 2006.		
23) Frequency of fee and expense payments for enumerators	Fees and expenses were paid each calendar month.	Enumerators were happy to be paid in 2 monthly instalments.	Continue to pay via 2 monthly instalments.	March 2011 – April 2011.
24) Monthly pay-away of tax and NI	The correct amount of tax and NI was received by HMRC within their payment schedule.	To facilitate the 'pay away' to HMRC, we completed a general requisition form (RD1) which was processed by GROS Corporate Services Division (CSD). This worked well for the rehearsal and HMRC has confirmed that our 'pay away' for 2008-09 was correct,	It would be easier, if for 2011 we could make this monthly payment on-line via the BACS box. We will explore with Scottish Government Treasury and Banking (SGT&B) colleagues if this would be possible.	August 2010 – May 2011.
25) HMRC online services ,end of year submission and P45/46s on-line submission	To allow the end year and P45/46s to be submitted on-line in accordance with HMRC guidelines.	Once we had internet access from the payroll PCs and the NI was corrected this worked well.	In accordance with HMRC policy the end of year and P45/46s will be submitted on-line.	May 2010 and May 2011
26) Leavers & replacements	All leavers and replacements were paid the correct amount due for the work they had done.	Fees due to leavers and their replacements had to be calculated and keyed manually. Senior managers also had to be consulted about the amount due. This was very time consuming.	For enumerators a “ready reckoner” will be used to calculate payments for leavers and replacements based on the 10 week enumeration period. Appeals will be dealt with on a case by case basis.	August 2010 – May 2011

Description	Success Criteria	Outcome	Recommendation	Timeframe
			Calculations for field managers will continue to be done manually based on hours worked.	
27) Payments to post-out enumerators	Payment profile appropriate for post-out enumerators.	Post-out enumerators, despite not carrying out any duties in March were paid in two equal instalments. This resulted in one overpayment which was repaid.	Pay a fee appropriate for the amount due for their first training session, at the end of March and the balance at the end of April.	March – April 2011
28) Double Workload (DW) enumerators	Appropriate process in place to pay DW enumerators.	It was not clear in the instructions what fee DW enumerators would be paid. They had difficulty understanding that although they would receive a double fee they would not be paid twice for attendance at training sessions.	Make it clear in the instructions what fee will be paid for those willing to take a DW.	May 2010 – Oct 2010
29) CCS/CQS payroll	To make sure field staff were paid correctly and on time.	<p>a) Rates of pay are set up in the system and any later changes to rates have to be keyed manually. CCS/CQS field staff pay rates were changed several times. This meant more work for the payroll team.</p> <p>b) Regrettably CCS did not get P45/P46 dispensation</p>	<p>a) CCS/CSQ should consider paying field staff in 2 monthly amounts in line with standard enumeration.</p> <p>b) CCS/CSQ should seek dispensation from HMRC.</p>	<p>April to August 2011</p> <p>Before March 2011</p>

Description	Success Criteria	Outcome	Recommendation	Timeframe
		from HMRC. Keying P46s into the system was a very time consuming job.		
30) Field staff employed on both census and CCS duties	Were paid correctly for both their census and CCS duties.	Employing census enumerators to carry out CCS work whilst they were still in a census post did not work well in relation to payroll. CCS expenses for April had to be paid manually by CSD. P60 and P45 figures were also incorrect.	Consider how the system can be structured to ensure that the benefits of census enumerators being retained for the CCS can be realised in 2011.	April 2011
31) BACS & ADI training	The training was adequate to allow the payroll team to use both applications.	SGT&B colleagues carried out both training sessions. The training was very comprehensive and the payroll team are now very competent in using both applications.	Any new members of the payroll team for 2011 will undertake this training.	August 2010 – May 2011.