



Home Office

AUTHORITY: The Secretary of State for the Home Department

SCHEDULE 7
PERFORMANCE LEVELS (KPIs)

Front End Services (FES) UK

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PART A PERFORMANCE INDICATORS AND SERVICE CREDITS

1. PERFORMANCE INDICATORS

- 1.1. Annex 7-1 sets out the Key Performance Indicators (KPI) which the Parties have agreed shall be used to measure the performance of the services by the Supplier.
- 1.2. The Supplier shall monitor its performance against each KPI and shall send the Authority a report detailing the level of service actually achieved in accordance with Part B.
- 1.3. KPI Points, and therefore Service Credits, shall accrue for any KPI Failure and shall be calculated in accordance with Paragraphs 2, 3 and 5.

2. KPI POINTS

- 2.1. If the level of performance of the Supplier during a Service Period achieves the Target Performance Level in respect of a KPI, no KPI Points shall accrue to the Supplier in respect of that KPI.
- 2.2. If the level of performance of the Supplier during a Service Period is below the Target Performance Level in respect of a Key Performance Indicator, KPI Points shall accrue to the Supplier in respect of that Key Performance Indicator as set out in Paragraph 2.3.
- 2.3. The number of KPI Points that shall accrue to the Supplier in respect of a KPI Failure shall be the applicable number as set out in Annex 1 depending on whether the KPI Failure is a Minor KPI Failure, a Serious KPI Failure or a Severe KPI Failure, unless the KPI Failure is a Repeat KPI Failure when the provisions of Paragraph 3.2 shall apply.

3. REPEAT KPI FAILURES

- 3.1. If a KPI Failure occurs in respect of the same KPI in any two consecutive Service Periods, the second and any subsequent such KPI Failure shall be a Repeat KPI Failure.
- 3.2. The number of KPI Points that shall accrue to the Supplier in respect of a KPI Failure that is a Repeat KPI Failure shall be calculated as follows:

$$KP = P \times 2$$

where:

KP = the number of KPI Points that shall accrue for the Repeat KPI Failure;
and

P = the applicable number of KPI Points for that KPI Failure as set out in Annex 1 depending on whether the Repeat KPI Failure is a Minor KPI Failure, a Serious KPI Failure, a Severe KPI Failure or a failure to meet the KPI Service Threshold.

4. AVAILABILITY KPI1

4.1. The Services shall be Available (and Available shall be interpreted accordingly) for Customers to attend a Service Point within seven (7) calendar days of Application.

4.2. For the purposes of KPI 1 Availability, each Site shall carry a proportionate allocation of the overall Availability, and shall be calculated using the following formula:

4.3. $S_n = b_n \div t$ Where:

S_n = Site's proportionate allocation;

n = each Site;

b = Site's actual bookings in the previous Service Period;

and

t = Total bookings across all Sites in the previous Service Period

4.4 Each Site's Daily Availability shall be calculated using the following formula:

4.5 $A_n = y_n \div (S_n \times x)$

Where:

A_n = Site Daily Availability;

n = each Site;

y_n = Site's available Appointments in Availability Period;

S_n = Site's proportionate allocation;

x = the count of Customers that completed their online application the previous day.

4.6 For the purposes of KPI 1, each Site's Availability performance shall be calculated as the mean of each Site's Daily Availability for the Service Period (A_nM).

KPI 1 Availability shall be calculated as the sum of the Site's proportionate allocation (S_n) of all the Site's whose Site Availability is equal or above the Target Performance Level contained in the table

Worked Example:

According to last month's performance, the percentage allocation across the sites is:

<i>Site</i>	<i>Percentage proportion (S_n)</i>	<i>Each Site's Availability (A_{nM})</i>	<i>Pass</i>
<i>A</i>	60	298%	<i>Y</i>
<i>B</i>	15	2%	<i>N</i>
<i>C</i>	10	186%	<i>Y</i>
<i>D</i>	5	98%	<i>N</i>
<i>E</i>	5	302%	<i>Y</i>
<i>F</i>	5	6%	<i>N</i>
<i>Total</i>	100		

Sites A, C, E Pass (greater than or equal to 100%).

Availability = 60 + 10 + 5 = 75%

75% = KPI Service Threshold = 4 KPI Points.

No.	KPI Title	Definition	Severity Levels				KPI Points
			Year	2018/19	2019/20	2020/21	
KPI 1	Availability	See annex 1	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				

Exclusions

- 4.7. New and/or decommissioned Sites that operated for part of the previous Service Period are explicitly excluded from KPI 1 Availability measurement and reporting in its entirety for the current Service Period, unless otherwise agreed between the parties.
- 4.8. Sites that have a capacity of less than or equal to 0.50% percent of the overall capacity for the Service Period will be measured and reported, but are explicitly excluded from, the KPI 1 Availability calculation.
- 4.9. For August and September Service Periods (ie the period of significant extra volume owing to students' requests for visa), the Proportionate Allocation (S_n) for each Site

(including temporary “pop up” and campus Sites) shall be taken from the mutually agreed capacity plan for those periods so as to include T4 student surge visas Each Site’s proportional allocation shall be increased to reflect this for the purposes of analysis.

4.10. Exceptional unforeseeable peaks in demand outside the reasonable control of the Parties will be excluded from KPI 1 Availability.

4.11. Data for KPI 1 measurement and reporting shall be collected at 07:00am each day.

5. OCCASIONAL KPI FAILURES

5.1. If a KPI Failure occurs in respect of a KPI immediately following at least one Service Period where the target performance level had been achieved for that Key Performance Indicator, that KPI Failure shall be an Occasional KPI Failure.

5.2. The number of KPI Points that shall accrue to the Supplier in respect of a KPI Failure that is an Occasional KPI Failure shall be calculated as follows:

KP = $P \times (1 / \text{number of immediately preceding AND consecutive Service Periods where Target Performance has been achieved})$

where:

KP = the number of KPI Points that shall accrue for the Occasional KPI Failure; and

P = the applicable number of KPI Points for that KPI Failure as set out in Annex 1 depending on whether the Occasional KPI Failure is a Minor KPI Failure, a Serious KPI Failure, a Severe KPI Failure or a failure to meet the KPI Service Threshold.

Worked example based on the following KPI Points regime for Availability:

No.	KPI Title	Definition	Severity Levels				KPI Points
			Year	2018/19	2019/20	2020/21	
KPI 1	Availability	See annex 1	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				

Free Appointment Severity Levels		KPI Points
Target Performance Level	Redacted due to commercial sensitivity	
Minor KPI Failure		
Serious KPI Failure		
Severe KPI Failure		
KPI Service Threshold		

5.3 For the avoidance of doubt, any appointments offered outside the Core Operational Hours are explicitly excluded from this KPI 8 Free Appointments.

8.1 Assisted scanning charges may be required and payable in relation to a Free Appointment but do not invalidate the definition of a “Free Appointment”.

5.5 Measurement shall be effective from the first full Service Period after signature of this Change request.

5.6 New and/or decommissioned Sites that operated for part of the previous Service Period are explicitly excluded from KPI 8 Free Appointments measurement and reporting in its entirety for the current Service Period, unless otherwise agreed between the parties.

5.7 In the event that the Supplier exceeds 32 KPI points in relation to multiple KPIs, within one Service Period, the Authority shall deem this as a Total Service Failure and reserve the right to claim reimbursement of up to a maximum of three hundred thousand GBP in respect of each KPI in that Service Period.

6. SERVICE CREDITS

6.1. KPI Points accrued in each Service Period shall be converted into Service Credits as follows:

$$SC = (TKP / 280) \times P_{Cs}$$

where:

SC = the Service Credit payment to be made by the Supplier in relation to the Service Period;

TKP = the total number of KPI Points that are accrued in the Service Period in accordance with the calculations defined in Paragraphs 3 and 4 of this Schedule 7; and

P_{CS} = Price of the Core Service for the Service Period, in accordance with row 25, worksheet 7b Financial Outputs (Nominal) of the Financial Bid Template.

- 6.2. The Authority shall use the Performance Monitoring Reports provided pursuant to Part B, among other things, to verify the calculation and accuracy of the Service Credits (if any) applicable to each Service Period.
- 6.3. In the event that the Supplier exceeds 28 KPI points in relation to multiple KPIs, within one Service Period, the Authority shall deem this as a Total Service Failure and reserve the right to claim reimbursement of up to a maximum of three hundred thousand GBP in respect of each KPI in that Service Period.
- 6.4. If a Total Service Failure occurs in respect of any three consecutive Service Periods, the second and any subsequent such KPI Failure shall be a Critical Performance Failure

PART B PERFORMANCE MONITORING

1. PERFORMANCE MONITORING AND PERFORMANCE REVIEW

1.1. Within ten (10) days of the end of each Service Period, the Supplier shall provide:

- (a) a report to the Authority Key Representative which summarises the performance by the Supplier against each of the KPI as more particularly described in Paragraph 1.2 (the Performance Monitoring Report); and
- (b) a report to the Authority's senior responsible officer which summarises the Supplier's performance over the relevant Service Period as more particularly described in Paragraph 1.3 (the Balanced Scorecard Report).

Performance Monitoring Report

1.2. The Performance Monitoring Report shall be in such format as agreed between the Parties from time to time and contain, as a minimum, the following information:

Information in respect of the Service Period just ended

- (a) for each KPI the actual performance achieved over the Service Period, and that achieved over the previous 3 Service Periods;
- (b) a summary of all Performance Failures that occurred during the Service Period;
- (c) the severity level of each KPI Failure which occurred during the Service Period and whether each KPI Failure which occurred during the Service Period fell below the KPI Service Threshold;
- (d) which KPI Failures remain outstanding and progress in resolving them;
- (e) for any KPI Failures occurring during the Service Period, the cause of the relevant KPI Failure and the action being taken to reduce the likelihood of recurrence;
- (f) the status of any outstanding Service Level Resolution Plan processes, including:
 - (i) whether or not a Service Level Resolution Plan has been agreed; and
 - (ii) where a Service Level Resolution Plan has been agreed, a summary of the Supplier's progress in implementing that Service Level Resolution Plan;

- (g) for any Repeat KPI Failures, actions taken to resolve the underlying cause and prevent recurrence;
- (h) the number of KPI Points awarded in respect of each KPI Failure;
- (i) the Service Credits to be applied, indicating the KPI Failure(s) to which the Service Credits relate;
- (j) the conduct and performance of any agreed periodic tests that have occurred, such as the annual failover test of the Business Continuity Disaster Recovery (BCDR) Plan;
- (k) relevant particulars of any aspects of the Supplier's performance which fail to meet the requirements of this agreement;
- (l) such other details as the Authority may reasonably require from time to time; and

Information in respect of previous Service Periods

- (m) a rolling total of the number of KPI Failures that have occurred over the past six Service Periods;
- (n) the amount of Service Credits that have been incurred by the Supplier over the past six Service Periods;
- (o) the conduct and performance of any agreed periodic tests that have occurred in such Service Period such as the annual failover test of the BCDR Plan.

Balanced Scorecard Report

1.3. The Balanced Scorecard Report shall be presented in the form of a dashboard and, as a minimum, shall contain a high level summary of the Supplier's performance over the relevant Service Period, including details of the following:

- (a) financial indicators;
- (b) the Target Performance Levels achieved;
- (c) behavioural indicators;
- (d) performance against its obligation to pay its Sub-contractors within 30 days of receipt of an undisputed invoice;
- (e) milestone trend chart, showing performance of the overall programme; and

- (f) sustainability and energy efficiency indicators, for example energy consumption and recycling performance.

1.4. The Performance Monitoring Report and the Balanced Scorecard Report shall be reviewed and their contents agreed by the Parties at the next Performance Review Meeting held in accordance with Paragraph 1.5.

1.5. The Parties shall attend meetings on a [regularity to be agreed] basis (unless otherwise agreed) to review the Performance Monitoring Reports and the Balanced Scorecard Reports. The Performance Review Meetings shall (unless otherwise agreed):

- (a) take place within [timeline to be agreed] of the Performance Monitoring Report being issued by the Supplier;
- (b) take place at such location and time (within normal business hours) as the Authority shall reasonably require (unless otherwise agreed in advance); and
- (c) be attended by the Supplier Key Representative and the Authority Key Representative.

1.6. The Authority shall be entitled to raise any additional questions and/or request any further information from the Supplier regarding any KPI Failure.

2. PERFORMANCE RECORDS

2.1. The Supplier shall keep appropriate documents and records (including help desk records, staff records, timesheets, training programmes, staff training records, goods received documentation, supplier accreditation records, complaints received etc) in relation to the services being delivered. Without prejudice to the generality of the foregoing, the Supplier shall maintain these documents and records for a minimum of twelve (12) months and provide prompt access to such records to the Authority upon the Authority's request. The records and documents of the Supplier shall be available for inspection by the Authority and/or its nominee at any time and the Authority and/or its nominee may make copies of any such records and documents.

2.2. In addition to the requirement in Paragraph 2.1 to maintain appropriate documents and records, the Supplier shall provide to the Authority such supporting documentation as the Authority may reasonably require in order to verify the level of the performance of the Supplier throughout the term of the agreement and the calculations of the amount of Service Credits for any specified period.

2.3. The Supplier shall ensure that the Performance Monitoring Report, the Balanced Scorecard Report and any variations or amendments thereto, any reports and

summaries produced in accordance with this Schedule and any other document or record reasonably required by the Authority are available to the Authority on-line and are capable of being printed.

ANNEX 7-1 KPI to KPI8**PART I: KPI Tables**

The KPI that shall apply to the services are set out below. In finalising the KPI Schedule at ITN stage, the Authority may add some more KPIs including the mobilisation and sustainability KPIs (current placeholders in this Annex 1):

1. KPI

No.	KPI Title	Definition	Severity Levels				KPI Points
			Year	2018/19	2019/20	2020/21	
KPI 1	Availability	See Paragraph 1 of Part II of this Annex	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				
KPI 2	Biometric Capture Process	See Paragraph 2 of Part II of this Annex	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				

No.	KPI Title	Definition	Severity Levels				KPI Points
			Year	2018/19	2019/20	2020/21	
KPI 3	Customer Photograph Quality	See Paragraph 3 of Part II of this Annex	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				
KPI 4	Customer Fingerprint Quality	See Paragraph 4 of Part II of this Annex	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				
KPI 5	Digitisation Process	See Paragraph 5 of Part II of this Annex	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				

No.	KPI Title	Definition	Severity Levels				KPI Points
			Year	2018/19	2019/20	2020/21	
KPI 6	Customer Complaint Levels	See Paragraph 6 of Part II of this Annex	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				
No.	KPI Title	Definition	Severity Levels				KPI Points
			Year	2018/19	2019/20	2020/21	
KPI 7	Complaints Management Process	See Paragraph 7 of Part II of this Annex	Target Performance Level	Redacted due to commercial sensitivity			
			Minor KPI Failure				
			Serious KPI Failure				
			Severe KPI Failure				
			KPI Service Threshold				

KPI 8 Free Appointment Severity Levels		KPI Points
Target Performance Level	Redacted due to commercial sensitivity	
Minor KPI Failure		
Serious KPI Failure		
Severe KPI Failure		
KPI Service Threshold		

PART II: KPI Definitions

1. AVAILABILITY

1.1. The Services shall be Available (and Available shall be interpreted accordingly) for Customers to attend a Service Point within seven (7) calendar days of Application.

1.2. For the purposes of KPI 1 Availability, each Site shall carry a proportionate allocation of the overall Availability, and shall be calculated using the following formula:

1.3. $S_n = b_n \div t$ Where:

S_n = Site's proportionate allocation;

n = each Site;

b = Site's actual bookings in the previous Service Period;

and

t = Total bookings across all Sites in the previous Service Period

1.4 Each Site's Daily Availability shall be calculated using the following formula:

1.5 $A_n = y_n \div (S_n \times x)$

Where:

A_n = Site Daily Availability;

n = each Site;

y_n = Site's available Appointments in Availability Period;

S_n = Site's proportionate allocation;

x = the count of Customers that completed their online application the previous day.

2. BIOMETRIC CAPTURE PROCESS

1.1 The Biometric Capture Process is where the Supplier shall conduct the following elements of the service in relation to each Customer:

- (a) correctly identify the Customer presenting themselves to the Supplier against the name in which the Availability request was made;
- (b) provide full CCTV coverage of the Biometric Capture Event;
- (c) transfer the data obtained from the Biometric Capture Event to the Authority no later than 23:59 (within one (1) hour of appointment conclusion for Priority Services) on the day that the appointment took place.

- 1.2 The quality of the Biometric Capture Process shall be measured as a percentage in each Service Period, in accordance with the following formula:

$$\text{Biometric Capture Process quality \%} = \frac{(TBCE - FBCE) \times 100}{TBCE}$$

where:

TBCE = total number of Biometric Capture Events undertaken by the Supplier in the relevant Service Period; and

FBCE = total number of Biometric Capture Events undertaken by the Supplier in the relevant Service Period that did not successfully include all of the elements in Paragraph 2.1.

3. CUSTOMER PHOTOGRAPHIC CAPTURE QUALITY

- 3.1. The Supplier shall provide to the Authority, where required, a photographic capture of each Customer in a digital format and to the quality standard defined by the Authority.
- 3.2. The overall quality of the photographic capture provided by the Supplier shall be measured as a percentage in each Service Period, in accordance with the following formula:

$$\text{Photographic capture quality \%} = \frac{(TPL - FPL) \times 100}{TPL}$$

where:

TPL = total number of photographic capture provided to the Authority by the Supplier in the relevant Service Period; and

FPL = total number of photographic capture in the relevant Service Period that were declared to NOT be of the requisite standard by the Authority.

4. CUSTOMER FINGERPRINT QUALITY

- 4.1. The Supplier shall provide to the Authority, where required, Fingerprint Sets from each Customer in a digital format and to the quality standard defined by the Authority.
- 4.2. The overall quality of the Fingerprint Sets provided by the Supplier shall be measured as a percentage in each Service Period, in accordance with the following formula:

$$\text{Fingerprint Set quality \%} = \frac{(TFS - FFS) \times 100}{TFS}$$

where:

TFS = total number of Fingerprint Sets provided to the Authority by the Supplier in the relevant Service Period; and

FFS = total number of Fingerprint Sets in the relevant Service Period that were declared to NOT be of the requisite standard by the Authority.

5. DIGITISATION PROCESS

5.1. The Digitisation Process is where the Supplier shall conduct the following elements of the service in relation to each Customer:

- (a) Convert all evidence presented to them by the Customer into digital images;
- (b) Ensure all digital images are legible to the Authority (where the original evidence is legible to the Supplier);
- (c) Complete the Authority-approved checklist and then convert the checklist into a digital image;
- (d) Return all evidence provided by the Customer back to the Customer before the conclusion of the Service Point visit;
- (e) Return all evidence provided by the Customer back to the Customer in the same condition that they were received;
- (f) Transfer all the digital images detailed above to the Authority no later than 23:59 (within 1 hour of appointment conclusion for Priority Services) on the day that the appointment took place.

5.2. The quality of the Digitisation Process shall be measured as a percentage in each Service Period, in accordance with the following formula:

$$\text{Digitisation Process quality \%} = \frac{(TDE - FDE) \times 100}{TDE}$$

where:

TDE = total number of evidence digitised undertaken by the Supplier in the relevant Service Period; and

FDE = total number of evidence digitised undertaken by the Supplier in the relevant Service Period that did not successfully include ALL of the elements in Paragraph 5.1.

5.3 In the event that the Supplier exceeds 32 KPI points in relation to multiple KPIs, within one Service Period, the Authority shall deem this as a Total Service Failure and reserve the right to claim reimbursement of up to a maximum of three hundred thousand GBP in respect of each KPI in that Service Period.

6. CUSTOMER SATISFACTION

- 6.1. The Supplier shall provide to Customer the ability to submit complaints and have a process by which complaints are reviewed and declared as either substantiated or not substantiated within 5 working days of the complaint being received by the Supplier either directly from the Customer or via the Authority.
- 6.2. The overall level of Customer satisfaction shall be measured as a percentage in each Service Period, in accordance with the following formula:

$$\text{Customer satisfaction \%} = \frac{(TR - CR) \times 100}{TR}$$

where:

TR = total number of requests made by Customers to access the service in the relevant Service Period; and

CR = total number of substantiated complaints received in the relevant Service Period.

7. COMPLAINTS MANAGEMENT PROCESS

- 7.1. The Supplier shall successfully resolve any Substantiated Complaints and present to the Authority in writing evidence of the resolution that has been put in place within twenty (20) working days of the complaint being received from the Customer.
- 7.2. The overall quality of the complaints management process provided by the Supplier shall be measured by the total number of Substantiated Complaints that WERE NOT successfully resolved within the timescale defined in Paragraph 7.1.

8. Free Appointments

- 8.1 For the avoidance of doubt, any appointments offered outside the Core Operational Hours are explicitly excluded from this KPI 8 Free Appointments.
- 8.2 Assisted scanning charges may be required and payable in relation to a Free Appointment but do not invalidate the definition of a "Free Appointment".
- 8.3 New and/or decommissioned Sites that operated for part of the previous Service Period are explicitly excluded from KPI 8 Free Appointments measurement and reporting in its entirety for the current Service Period, unless otherwise agreed between the parties.
- 8.4 For each Service Period, an agreed proportion of the total count of Appointments offered at Core Service Points during Core Operational Hours will be Free Appointments.
- 8.5 The Supplier shall measure the proportion of Free Appointments at each of the Core Service Points using the following formula:

$$A_{CSP} = (B_{CSP} \div C_{CSP}) \times 100 \quad \text{Where:}$$

A_{CSP} = Percentage of Free Appointments in Service Period at each Core Service Point;

B_{CSP} = Total count of Free Appointments offered by the Supplier at each Core Service Point during the Core Operational Hours in the Service Period; and

C_{CSP} = Total count of Appointments offered by the Supplier at each Core Service Point during the Core Operational Hours in the Service Period.

- 8.6 KPI 8 Free Availability shall be calculated as the proportion of Free Appointments offered across all Core Service Points using the following formula:

$$A = (B \div C) \times 100$$

Where:

A = Percentage of Free Appointments in Service Period across all the Core Service Points (KPI 8 Free Appointments);

B = Total count of Free Appointments offered by the Supplier across all Core Service Points during the Core Operational Hours in the Service Period; and

C = Total count of Appointments offered by the Supplier across all Core Service Points during the Core Operational Hours in the Service Period.

Illustrative Example

Therefore 64% of the 596300 (381632) will have been offered a free appointment
Therefore 64% of the 596300 (381632) will have been offered a free appointment