AUTHORITY: The Secretary of State for the Home Department

Contract For The Provision Of The Knowledge Of Life In The UK (LitUK) Testing Service

SCHEDULE 8.8

MANAGEMENT INFORMATION AND REPORTING

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1. SCOPE

1.1 This Schedule sets out the range of Reports that the Supplier shall provide, from the Effective Date, to enable the Parties to manage the Terms and Conditions effectively. The Authority reserves the right to request ad hoc reports not detailed in this Schedule, should the need arise. This Schedule sets out a framework of obligations on the Parties that shall:

1.1.1 deliver accurate and relevant information in respect of the performance of the Service Requirements;

1.1.2 support sound governance of the Terms and Conditions and the principles of partnership described in Schedule 8.1 (**Governance**);

1.1.3 support management of the Target Performance level and Service Credit regime as described in Schedule 2.2 (**Performance Levels**);

1.1.4 support the planning processes for future business delivery;

1.1.5 provide for on-going development of reporting requirements;

1.1.6 support contract management; and

1.1.7 support Continuous Improvement as per Clause 8 **(Services Improvement)**.

1.2 Annex A sets out 'Management Information Reporting Guidance' with which the Supplier shall comply in preparing any Reports.

1.3 Annex B sets out the baseline list of the main Reports required by the Authority to manage the Terms and Conditions in particular the Services Requirement and the Supplier's Solution. Within three (3) months of the Commencement Date, the Parties shall review the baseline list of Reports and shall agree an updated list of Reports to be provided by the Supplier and the format, content, frequency and distribution of such Reports. Annex B shall be updated accordingly to reflect the agreed reporting requirements.

1.4 It may be the case that other Schedules to the Terms and Conditions provide a more detailed description that needs to be provided by the Supplier in relation to a particular Management Information Requirement or Report. In this event, the more detailed provisions of the other Schedule shall apply. If, after the Commencement Date, it is noted by either Party that an item of Management Information or Report is referenced in another Schedule of the Agreement but not referenced in this, Schedule 8.8 (**Management Information and Reporting**), the Supplier shall still be required to provide such Report.

However, the Parties shall add the relevant Report to this Schedule 8.8 (**Management Information and Reporting**) at the time to update it with such reporting requirements.

1.5 Nothing in this Schedule shall constrain the Authority from reasonably requesting data and information relating to the provision of the Service Requirements from the Supplier on an ad hoc basis and at no additional cost in accordance with the Terms and Conditions.

1.6 As methods of managing and optimising the effectiveness and value of information systems evolve during the Contract Term, the Supplier shall work with the Authority, within the terms of normal business development, to investigate potential benefits to the Authority of adopting innovative technologies and/or methodologies which deliver improved reporting.

2. MANAGEMENT INFORMATION

2.1 Annex B contains a list of the baseline Reports. Further reporting will be expected of the Supplier as part of the fulfilment of the Service Requirements.

2.2 Management Information shall be supplied to the Authority via access to the Suppliers database and IT systems.

2.3 Reports shall be supplied to the Authority via electronic and/or hardcopy media, or as required by the Authority using a format to be agreed with the Authority that is fully readable and can be edited by the Authority's chosen software.

2.4 Minor changes to the content and format of Reports requested by the Authority shall be carried out by the Supplier at no cost to the Authority. New reporting requirements or substantial changes to existing Management Information Requirements and/or Reports shall be agreed pursuant to the Change Control Procedure.

3. DELIVERY

3.1 Although different timings may be agreed, the Authority's Reporting requirements are as follows:

3.1.1 for daily Reports, by close of business on the following Working Day;

3.1.2 for weekly Reports, by close of business on the first (1st) Working Day of the following week of the scheduled interval;

3.1.3 for monthly Reports; by close of business on the tenth (10th) Working Day following the end of the month. For monthly MI reports linked to payment, the procedure set out at Schedule 7.1 (**Pricing and Invoicing**) will be applied;

3.1.4 for quarterly Reports by close of business on the tenth (10th) Working Day following the end of the quarter;

3.1.5 for annual Reports, by close of business on the twentieth (20th) Working Day following the end of the financial year, and

3.1.6 financial accounting and reporting data, except as otherwise specified, as reasonably required by the Authority.

4. RAW DATA

4.1 The Supplier shall retain the raw data underpinning any Report for the relevant period to comply with the provisions of Schedule 7.5 (Financial Reports and Audit Rights), or for such other period as may be reasonably required by the Authority to allow the Authority to verify the relevant Report.

4.2 The Supplier shall comply with requirements of Schedule 2.4 (Security) to ensure the Authority that all data is purged after the relevant period and not kept for any other reason beyond the stipulated date.

5. DISTRIBUTION

5.1 The Authority reserves the right to determine the distribution lists for all Reports.

5.2 The Supplier shall distribute Reports as specified by the Authority.

ANNEX A

MANAGEMENT INFORMATION REPORTING GUIDANCE

1. TEST POINT BUSINESS AS USUAL MANAGEMENT INFORMATION AND REPORTING GUIDANCE

1.1 The purpose of this guidance is to help the Supplier in producing the relevant and required reports.

2. GENERAL REPORTING PROCESS

2.1 Data shall be generated at Test Point level. The Test Point data shall then be consolidated.

2.2 The responsibility for producing the Test Point level data lies with the Supplier in accordance with this Schedule 8.8 (Management Information and Reporting).

2.3 In principle, the format of how the Management Information requirements in Annex B are reported is for the Supplier to manage in agreement with the Authority. The Authority will consider any Supplier proposal for a leaner and more efficient reporting regime that meets the terms of the contract and is in accordance with this Schedule 8.8 (Management Information and Reporting).

2.4 Annex B sets out the Management Information requirements and baseline list of the main reports required by the Authority to manage the Agreement. Within three (3) months of the Commencement Date, the Parties shall review the baseline list of reports and shall agree an updated list of reports to be provided by the Supplier and the format, content, frequency and distribution of such reports. Annex B shall be updated accordingly to reflect the agreed reporting requirements.

3. NAMING CONVENTION

3.1 The same naming convention must be used in all reports, to be agreed as part of Mobilisation.

4. MI AND REPORTING MONTHLY MEETING

4.1 There will be monthly MI and Reporting meeting, held between the Supplier and the Authority.

4.2 All information to be provided in accordance with Annex B shall be provided by the Supplier to the Authority.

4.3 The Key Performance Indicator reports will be discussed at the same monthly meeting and all data will be signed off (accepted) subject to Paragraph 5 below

by the Authority. Other outcomes of the meeting are to:

4.3.1 agree the Test Point level Reports and KPI Reports;

4.3.2 assign RAG (Red, Amber, Green) Ratings in accordance with Paragraph 2 of Annex B below;

4.3.3 identify/address any performance issues and root causes to identify and mitigate future risks and issues.

4.4 Review previous Management monthly and KPI performance in the event of new/emerging information which was not known to the Authority at the time, but which could have had a bearing on previous performance and reporting.

4.5 Any disagreement as to the content of any of the Reports which cannot be resolved at the monthly meeting shall be escalated to the Contract Manager. If any matter of contention remains following escalation to the Contract Manager, the matter shall be referred to the Authority's Contract Board for resolution.

5. MONTHLY MI RECONCILIATION AND REPORTING TIMESCALES

5.1 All data shall be supplied to the Contract Management Team in accordance the delivery requirements set out in Paragraph 2 (General Reporting Processing) of this Schedule 8.8 (Management Information and Reporting). The timescales for provision of the monthly service reports the following timelines shall apply:

5.1.1 Operational level monthly MI meetings are to be held between the Authority and Supplier by the fifth (5th) Working Day of the month in which draft reports shall be provided for review by the Authority and Supplier.

5.1.2 Following the operational level MI meeting the Supplier shall amend draft reports to reflect agreed volumes.

5.1.3 By the tenth (10th) Working Day of each month the Supplier shall submit the final signed version for review to the Authority for formal approval.

5.1.4 Electronic readable copies of the signed-off reports are to be sent to the Authority (and other stakeholders identified by the Authority) within the agreed timelines as set out in this Schedule.

5.1.5 Following formal agreement and sign-off by the Authority they shall be referred for payment reconciliation by the fifteenth (15th) Working Day.

ANNEX B

MANAGEMENT INFORMATION REQUIREMENTS AND BASELINE LIST OF THE MAIN REPORTS

1. MANAGEMENT INFORMATION REQUIREMENTS

1.1 The list below at Paragraph 3 (Baseline List of the Main Requirements) describes the Management Information required by the Authority to manage the Agreement. In addition to this information some of the requirements shall require RAG Ratings, the relevant guidance regarding the reporting of RAG Ratings is provided in Paragraph 2 below.

2. RAG (RED, AMBER, GREEN) RATINGS

2.1 The Authority requires RAG Ratings against a number of the Management Information Requirements that can be found in this Annex B.

2.2 RAG Ratings are to be used in addition to the reporting requirements that support Annex B.

2.3 The RAG Rating shall apply to the Test Points performance and where applicable to the related KPIs.

2.4 RAG Ratings are not intended to indicate 'good' or 'bad' performance, but to help management identify where improvements are required.

2.5 While the Authority has tried to cover as many possibilities as is feasible in providing guidance to ensure the RAG Ratings are consistent, a degree of interpretation and flexibility will be required.

3. BASELINE LIST OF THE MAIN REQUIREMENTS

3.1 Each Management Information Report must contain the following information;

Test point

Period Report covers;

Date Report run; and

Name(s) of person approving the report for the Supplier and the Authority.

Report Name	Frequency	Description and / or content to be included
Executive Reports		
Executive Report for Strategic Board	Quarterly	The report will give high-level management information to senior management, focussing on issues and risks against Service Packages.
Transition	Monthly	Supports requirements set out in Schedule 6.1 (**Implementation Plan**).
Exit Management	Annually	Supports requirements set out in Schedule 8.5 (**Exit Management**).
Change Control	Monthly	Supports the requirements set out in Schedule 8.2 (**Change Control Procedure**). • Monthly update CCN Log in accordance with Schedule 8.2 (**Change Control Procedure**)
Monthly Test Point Reports		
Balanced Scorecard Report	Monthly	To support the requirements of the Key Performance Indicators and Service Credit regime set out in Schedule 2.2 (**Performance Levels**).
Key Performance Indicators and Service Credit Reporting (**Performance Monitoring Report)**	Monthly	To support the requirements of the Key Performance Indicators and Service Credit regime set out in Schedule 2.2 (**Performance Levels**). The report shall include; • Key Performance Indicators and Credits a) Target Performance Level – this period / prior period b) Minor KPI Failures – this period / prior period c) Serious KPI Failures – this period / prior period d) Severe KPI Failures – this period / prior period e) Value of Service Credits incurred • RAG Rating – Test Point Performance Key Performance Indicators and Credits a) R = 3 or more Service Credits b) A = 2 Service Credits c) G = 1 Service Credits
Service Volume	Monthly	The report shall include;

Report Name	Frequency	Description and / or content to be included
Report		• The number of Tests applied for; processed; incomplete, etc. – by Test Points • Overall total number of Customers handled across Test Points. Further MI data may be required by the Authority on request
Test Information (reporting that concentrates on Test delivery)	Monthly	The report shall include; • A summary of the Testing undertaken during the preceding Month, including (without limitation): a) Number of Tests taken per Test point b) Number of cancelled Tests c) Number of Customers who withdrew d) Number of Customers who were disqualified e) Percentage of Test re-takes f) Number of Compromised Test Notifications issued g) An outline of trends and demand
Supplier Audit Assurance.	Monthly	The report shall include; • Number of Test Points • Volume of customers per test centre • Not used • Risk and issues, including Test Centre risk rating and planned changes • Summary of Audits conducted • Details of any Test Centre being monitored by the supplier including: • Mystery Shopping activity undertaken • Percentage of Tests re-marked or otherwise quality assured • Numbers and details of Customers who did not meet the identity requirements and were stopped from taking a Test • Number of Security Breaches detected and the outcome • Incidences of Data Loss or Compromised Data

Report Name	Frequency	Description and / or content to be included
		• Number and summary of voice sampling taken at each Test Point • Score Pattern Analysis Summary; including (without limitation) • Number of questions removed and narrative as to why • Average scores/Test results for the month and percentage of scores by result; a) Identification of any Test Point for which the average scores/results for the preceding month are more than 10% above the overall monthly average for that particular Test Point Identification of any Test Point with average scores/results for any test session which are more than 10 % above the overall monthly average for that particular test centre (with details as the number of sessions concerned and total number of sessions at that test centre in the month); b) Identification of any Test Point for which in any test session the numbers scoring in the top two deciles are more than 10% above the overall monthly average (with details as the number of sessions concerned and total number of sessions at that centre in the month).
Customer Information	Monthly	The report shall include; • A summary of Customers' information including (as applicable and without limitation provides the LIT Service): a) A list of Nationalities who have taken the test listed in descending order from the most common to least common b) number of test results given within agreed time period to Customers c) number of Customers requiring special arrangements to be offered a test booking within 20 clear Working Days of their preferred date at the test centre of their choice. "special arrangements" are defined as anything not available as standard. British Sign Language (BSL)

Report Name	Frequency	Description and / or content to be included
		and voiceover tests are defined as standard tests.
Administration activity	Monthly	The report shall include; • A Summary of administration activity as follows: a) Percentage of Customers who didn't receive a communication confirmation within 24 hours b) Percentage of Tests not taken within 28 days of booking, due to lack of Test availability • number of Customers that commence their tests within 10 mins of having their identity validated per centre. **Measurement of the 10 minutes commences from the time the Customer logs on** • number of refund and compensation payments to be paid to claimants within 28 clear Working Days of receipt of a complete and valid application • Number of cancelled appointments in the Month where the appointment is not cancelled or rescheduled by the Customer Authority, Customer or his/her agent • Number of correspondence including all telephone, email or postal complaints and enquiries not fully answered within 10 Working Days of the date of receipt RAG Rating – Requisite standard • R = Under 93.49% of total • A = Between 93.50% - 94.49% of total • G = Over 94.50% of total
Training	Monthly	The Training report, identifying personnel who have undertaken and are up-to-date with staff training specific to their role, shall include; RAG Rating – Requisite standard • R = Under 93.49% of total • A = Between 93.50% - 94.49% of total Applications • G = Over 94.50% of total Applications
Complaints Handling	Monthly	The report shall include: • Total number of all Complaints made by customers

Report Name	Frequency	Description and / or content to be included
		• Total number of all Substantiated Complaints made by customers • RAG Rating – Volume of Complaints: a) R = Substantiated Complaints over 5% of total Customers handled b) A = Substantiated Complaints between 2% and 5% of total Customers handled c) G = Substantiated Complaints Under 2% of total Customers handled • Date each Complaint was received from the Customer • Date each Complaint was successfully resolved • Complaints shall be categorised (by cause) and recorded against the list below; RAG Rating – Complaints management process: • R = Substantiated Complaints over 5% of total applications received • A = Substantiated Complaints between 2% and 5% of total applications received • G = Substantiated Complaints Under 2% of total applications received
Finance Reports		
Charging Schedule Report	Monthly	The report shall include; • Level of KPI Service Payment or Credit Note, Total of Test Administration Charges and AVS Net Income to be made by the Supplier in relation to the Service Period
Security Report		
Security Incidents	Monthly	The report shall include; • Staff breaches • Security Incidents (excluding. Staff) • Non-Security Incidents • Times Business Continuity Plan invoked • Hours of Security Equipment Downtime

Report Name	Frequency	Description and / or content to be included
		• Audit breaches • New Staff screening failed
Security Overview including Business Continuity Management, HMG Security Policy Compliance, Physical Security, Personnel clearance	Annual	The report shall; • Provide assurance that the Supplier (and any Supplier Sub-contractors) is implementing the Security Policy in accordance with Schedule 2.4 (**Security**). • Indicate how effective the Supplier is in implementing the Security Policy in accordance with Schedule 2.4 (**Security**). • list all business continuity plans and evidence of the business impact review and business recovery strategy for each plan. The Supplier shall conduct an annual self-assessment of its compliance with the UK Governments Security Policy and with the Authority's Security Policy and Security Standards and shall report its findings from the annual self-assessment to the Authority in accordance with the Authority's Security Policy and Standards as set out in Schedule 2.4 (**Security**). In line with Physical Security requirements a report will: • confirm all agreed physical security measures are in place and functioning normally in accordance with Schedule 2.4 (**Security**). • address any issues open at the time of the previous Report and any new requirements or deficiencies identified since that Report was written. The Supplier shall report immediately if there are, or have been, any problems related to the physical security measures at any Test Point. The Report will confirm that: • all successful Personnel offered employment with the Supplier undertaking the Authority work have met all the security criteria before taking up duty, in accordance with Schedule 2.4 **(Security)**; • all employees have signed the appropriate statutory undertaking not to disclose Customer information with reminders of their obligations every six (6) months. Any breaches of the undertakings and the

Report Name	Frequency	Description and / or content to be included
		disciplinary action taken should be included; and • the implementation of any departmental requests not to use specified individuals on the Authority business.
Other Reporting Requirements		
Customer Satisfaction/	Quarterly	The Report will detail the total number of Customers who took part in the Customer satisfaction process in each quarter period.
Continuous Improvement	Monthly	The Supplier shall identify Continuous Improvement measures it intends to implement to improve service, the customer journey and opportunities for innovation.