# SCANNING, VALIDATION AND STORAGE SERVICES

## SCHEDULE 2.1

## SERVICES DESCRIPTION

**Version: Final 230420**

## SERVICES DESCRIPTION

This Schedule sets out the intended scope of the Services to be provided by the Supplier and to provide a description of what each Service entails.

- Implementation Services
- Operational Services
- Interface Requirements
- Security Requirements
- Other Authority Requirements

## 1 INTRODUCTION AND BACKGROUND

### Background

Her Majesty's Passport Office's current contract for Business Process Outsourcing (BPO) expires in 2020.

The Scanning, Validation and Storage Project (SVS) will manage a procurement exercise for a new service. This will be a transformation from existing BPO arrangements.

This Project reports to HM Passport Office *Strategy, Project and Digital Services* Directorate, and is governed by the Modern Digital Business Mission Board.

The primary objective is to both maintain business continuity for HM Passport Office and introduce a modern, digital service to remove paper workflows, eliminate geographical restraints, maximise efficiency and quality and improve document fraud detection.

### Purpose

The purpose of this document is to set out the requirements for the Scanning, Validation and Storage Project, to aid the procurement process for a minimum of two Document Handling Units and the services therein.

These requirements have been determined through stakeholder engagement and consideration of the current position to establish the necessary services to be provided to HM Passport Office by a Supplier.

### Layout

Requirements are 'Output Based'. They describe the required business deliverable or output, rather than *how* such deliverables or outcomes will be delivered.

In this document, the requirements are defined by the format below. Each has been given a 'Level' to indicate the level of detail: 1 - High Level, and 2/3 - further detail.

| | | |
|---|---|---|
| 1 | **SVS 1.1** | The Supplier will |
| 2 | **SVS 1.2** | The Supplier will |
| 3 | **SVS 1.3** | The Supplier will |

Requirements are listed by topic. These topics define key functions for the service, for example, 'Validation'. Each topic will list requirements by (1) Core, (2) Digital Applications, (3) Paper Applications, and (4) Other.

The final topic (Section 8) provides general requirements which are applicable to all elements of the service, for example management information.

Simple process maps have been added to each section *for illustrative purposes only*. These maps are not intended to dictate the order of processes, which will be owned by the Supplier, but are provided to assist with clarity when reading the requirements.

**Volumes**

The Supplier should note that all volumes stated in Appendix 17 are indicative, and HM Passport Office does not warrant any volumes. HM Passport Office work is seasonal and volumes will vary throughout the year.

The average number of documents received with any given application will vary although most straightforward applications contain between 1 and 3 documents. More complex cases such as some International cases may contain significantly more. On the rare occasions that cases are received with an unmanageable quantity of documents, advice must be sought from the HM Passport Office embedded team as to which documents are necessary to the case and require scanning. Further information on documents may be found in Appendix 16 'Validation'.

While all documents and application forms will require scanning, validation will only be required on those documents where this will add value.

Volumes and further information are given within Appendix 17. This document is provided as a separate entity.

## 2 HIGH LEVEL REQUIREMENTS

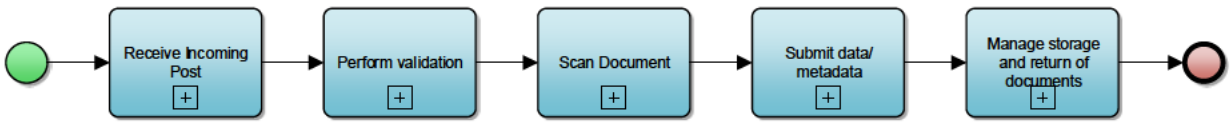
The high-level requirements are summarised here to provide an indication of the strategic intent behind this procurement.

HM Passport Office requires:

- Digitisation and association of any paper input submitted as part of an application to enable a digital replacement of our paper driven workflow system.
- Processing and storage for volumes estimated within the volume analysis in Appendix 17. Solutions must be scalable to meet these volumes as a minimum.
- Functionality (software and hardware) to support all aspects of document and paper form handling, to include receipt, payment handling, validation, scanning, storage and retrieval.
- Sortation of postal items by type; paper applications identified, removed from envelopes, data checked for completeness and payments taken.
- Screening (threat checking), and unless advised otherwise, opening of ALL incoming mail. Application mail represents 99% of the total mail and will require processing. Non-application mail (less than 1%) to be forwarded to the relevant HM Passport Office Department using HM Passport Office's Secure Delivery Suppliers.
- Scanning of supporting documents (other than the old passport) to a quality that enables examiners to read the data effectively and efficiently for manual casework and investigations.
- Scanning of paper application forms, including photographs, using an automated digital method of text recognition (optical character recognition OCR) and any payment processed and recorded.
- Completion of checks to verify the physical integrity of supporting documents, physically cancel the 'old passport' and allow relevant risk and vulnerability indicators, as detailed in Appendix 16 'Validation', to be identified.
- Completion of validation checks in line with the Carltona Principle and HM Passport Office National Document Fraud Unit (NDFU) guidance and reference material. Plus regular assessment of these processes by both the Supplier and HM Passport Office.

- Secure storage of data in conformance to industry information security management systems (i.e. ISO27001 baseline); assuring utility and warranty of the service.
- All documents received must be catalogued such that they can instantly be identified and retrieved by application reference number.
- Documents to be prepared for return to the customer, other Department or Third Party, as directed by HM Passport Office.
- Collection of specified data from applications and supporting documents (e.g. basic metadata) to facilitate a) streaming within a digital workflow and b) future intelligence around fraud.
- The Supplier to take responsibility for any documents lost or damaged within the Supplier's area of responsibility.
- Internal queries from other parts of HM Passport Office relating to the processing of applications and documents to be handled (for example, requests for the book/documents to be provided for court cases or investigation).
- Business Continuity and Service Continuity Management safeguards for both the physical and the digital operations.
- An audit trail of all activity relating to the application, and safe, secure and traceable handling and storage of all personal data and documents.
- Functionality (software and hardware but not people) to support document and paper form scanning and mail threat checking at additional sites.

The following provides a high-level indicative view of the end to end service:




*Note: This map is not intended to dictate the order of processes, which will be owned by the Supplier, but is provided to assist with clarity when reading the requirements*

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## 3 PROCESS INCOMING MAIL

Mail for HM Passport Office will be received at Supplier-managed *Document Handling Units*. The majority of UK mail is received from Royal Mail, and international applications are normally received via courier.

All incoming mail, however received, must be screened before opening to give assurance that no threats, including substances, are present. Suspect packages must be dealt with accordingly. The Supplier will be responsible for providing and maintaining threat checking equipment and carrying out this task.

Identifiers are currently used to help the Supplier sort and route mail to assist workflow. Within the Supplier's area of responsibility it is at the discretion of the Supplier how mail is sorted. Service Level Agreements (Appendix 3) will apply for end-to-end processing times.

Incoming mail will consist of:

- Documents submitted in support of an online application
- Paper application forms (including supporting documents and payments, if applicable)
- Letters and documents provided by customers with an in-flight application, in response to a query from the Supplier or HM Passport office
  NOTE: Multiple applications/documents relating to family members may be submitted in one envelope (these applications are known as 'linked applications'.)

  Mail may also include:

- Private mail (which will require threat checking only).

Occasionally, documents will be received which cannot be associated to an application (orphan documents). These must be recorded and stored *(see Section 7 on Document Storage for more information).*

There will also be a small amount of internal mail (personal letters, for example) which will need to be identified, recorded and passed to HM Passport Office unopened for onward distribution.

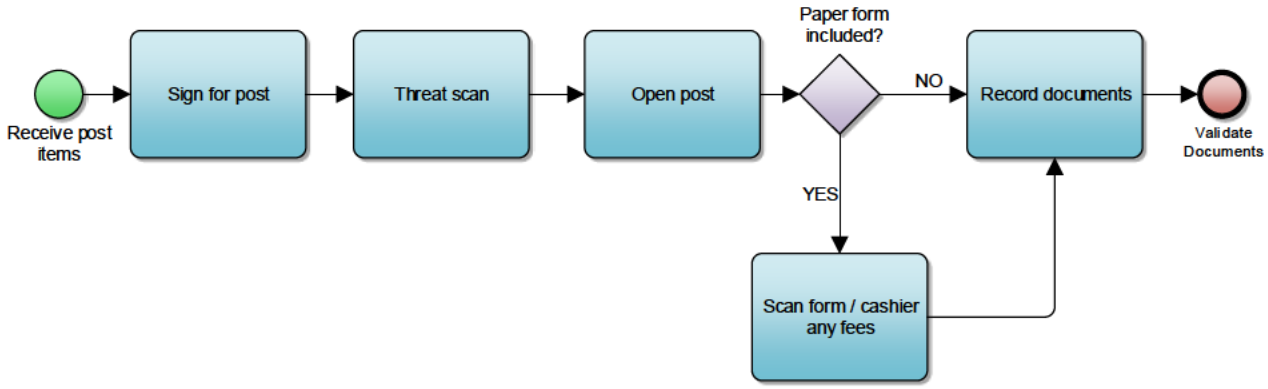
Once mail is opened (with the exception of private mail) and sorted, the contents must be recorded appropriately: Supporting documents require association against the relevant application (with each document logged as an individual item). Paper application forms, including a photograph, require scanning using an automated digital method of text recognition (Optical Character Recognition (OCR)) and any payments processed and recorded. Occasionally a payment for an additional service, such as the return of documents using a secure mail service, may be received for a digital application. The requirements relating to payments in section 3.3 will apply.

On rare occasions, documents may become detached from the envelope or application with which they were submitted, (for example, as a result of damage in the post). The Supplier must attempt to associate these documents where possible.

The key tasks required at the point of managing incoming mail at Document Handling Units are:

- Accept incoming mail
- Threat check (threat screen) all mail
- Sort mail
- Associate documents to applications
- Digitise paper application forms
- Record all items

The following provides an indicative process.




*Note: This map is not intended to dictate the order of processes, which will be owned by the Supplier, but is provided to assist with clarity when reading the requirements.*

## 3.1 Core

The following requirements relate to the opening, sorting and recording of all mail.

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| 1 | **SVS 3.0** | The Supplier will accept and threat check inbound mail on behalf of HM Passport Office. All inbound mail must be threat checked. Threat checks must take place before processing commences. |
| 2 | **SVS 3.1** | The Supplier will provide threat checking equipment, under a service support model, for each Document Handling Unit. |
| 2 | **SVS 3.2** | The Supplier will open and track all incoming mail destined for HM Passport Office (other than that marked as Private and Confidential); digitally recording its arrival, and making this data available to HM Passport Office if required. |
| 2 | **SVS 3.3** | The Supplier will report each day on the volumes and date received of any unopened mail kept overnight to be processed. Any mail kept overnight MUST have undergone the threat checking process. |

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| 2 | **SVS 3.4** | The Supplier will allow HM Passport Office to access any unopened mail during operating hours. Any mail/documents removed will be recorded by HM Passport Office for audit purposes. |
| 3 | **SVS 3.5** | The Supplier will support the recording and receipt of all tracked mail (for example Special Delivery, Recorded Delivery and DHL). This information will be made available to HM Passport Office as required. |
| 3 | **SVS 3.6** | The Supplier will nominate an employee(s) to sign for Royal Mail and tracked deliveries to confirm receipt. |
| 3 | **SVS 3.7** | The Supplier will design and implement a process for receiving tracked mail into their business area. The process must not delay the processing of these items (Service Levels will apply). |
| 3 | **SVS 3.8** | The Supplier will direct any mail that falls within the below categories to a named department within HM Passport Office:<br>- not linked to an in-flight application<br>- not an agreed form requiring scanning<br>- not an orphan document<br>Examples include, but are not limited to, legal documents, letters of complaint, letters marked private and confidential, invoices. |
| 1 | **SVS 3.9** | The Supplier will confirm the expected passport has been received (where applicable). This activity may include, for example, reading the passport chip or MRZ line and ensuring the information contained matches that held on the HM Passport Office Main Index (MI) or checking a passport number against a record or entering the passport number to confirm it matches a record. |
| | **SVS 3.10** | The Supplier will provide any equipment relating to the reading of passport data, e.g. MRZ or chip readers. Equipment will be supplied under a service support model. |
| 1 | **SVS 3.11** | The Supplier will record all documents that have been received against the relevant application. |
| 2 | **SVS 3.12** | The Supplier will ensure all items are removed from envelopes received. |
| 2 | **SVS 3.13** | The Supplier will record each document as a separate item, e.g. if two birth certificates are received each would have its own entry. |

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| 2 | **SVS 3.14** | The Supplier will process additional documents received in response to queries sent to customers by HM Passport Office. |
| | **SVS 3.15** | Where multiple applications (or digital application references) and documents are received in one envelope the Supplier will associate documents to one application where there is a clear link between the name on the document and that on the application. If there is no clear indication of which application a document belongs to these documents will be recorded against any one application within the envelope. |
| | **SVS 3.16** | The Supplier will digitally link applications received in one envelope together, for example, using a unique identifier for the envelope. |
| 2 | **SVS 3.17** | The Supplier must provide a solution to allow the recording of any documents or mail received which are not linked to an inflight application. |
| 2 | **SVS 3.18** | The Supplier will identify any documents that were damaged on receipt; retaining the envelope and recording the documents and nature of the damage. |
| 2 | **SVS 3.19** | The Supplier will collect specific data/metadata related to documentation received; both paper forms and documents. The details of what data is to be recorded will be supplied by HM Passport Office but will include, but not be limited to, document type. |
| 1 | **SVS 3.20** | The Supplier will ensure that their document recording solution integrates with HM Passport Office systems. |
| 2 | **SVS 3.21** | The Supplier will ensure that their document recording solution submits application data to HM Passport Office systems. HM Passport Office systems must be notified on receipt of the initial documents/application form and when any subsequent documents or information (e.g. resulting from a query) is received. |

## 3.2 Digital Applications

Supporting documents received from customers with in-flight online applications will require association to these records.

On receipt, the above requirements in Core Section 3.1 apply.

Supporting documents may exceptionally include payments for additional services such as the secure return and delivery of documents (normally paid on application). The payments requirements in section 3.3 will apply.

### 3.3 Paper Applications

Paper applications currently form SEO4, which will include passport photographs as well as supporting documents and fees, will also be received from customers. The paper application form and photographs will require scanning onto the HM Passport Office system.

Customers are currently able to submit sterling payments with their paper application forms (bank mandate, cheque), which will require processing by the Supplier. Cash is not offered as a payment option to customers, but may be received on rare occasions. Instructions will be provided to the Supplier in the Supplier Guidance on how to handle exceptions.

Payments are to be paid directly to an HM Passport Office account.

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| 1 | **SVS 3.22** | The Supplier will identify passport applications and open these; recording which documents have been included in each envelope. |
| 1 | **SVS 3.23** | The Supplier will capture data from application forms using an automated digital method of text recognition (OCR), and digitise the passport photo to create an associated digital image. |
| 1 | **SVS 3.24** | The Supplier will make captured data from application forms available to associated HM Passport Office system and gather sufficient metadata to facilitate streaming within a digital workflow. |
| 1 | **SVS 3.25** | The Supplier will electronically record paper applications received, resulting in a new digital application or a supplement to a current in-flight application. |
| 1 | **SVS 3.26** | The Supplier will ensure that their solution, used to process and OCR the information shown on a paper form, integrates with HM Passport Office systems. |
| 2 | **SVS 3.27** | The Supplier will ensure that their solution submits application data to HM Passport Office systems. HM Passport Office systems must be notified following digitisation of the application form. |
| 1 | **SVS 3.28** | The Supplier will accept, process, record and report payments received from both paper applications and following a request for an additional payment, via a secure, HM Passport Office provided payment portal (gov.UK Pay). The Supplier may be asked to use a Supplier-managed and provided payment processing portal (that is underpinned with a contractual service support model) initially. |

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| 2 | **SVS 3.29** | The Supplier will record all payments including, payment method and amount. |
| 3 | **SVS 3.30** | The Supplier will securely log, manage and bank all payments, including any made in cash, ensuring an audit trail is maintained. The Supplier must be PCI-DSS compliant. |
| 3 | **SVS 3.31** | The Supplier will securely log and manage any payments received where, exceptionally, no in-flight application exists. |
| 2 | **SVS 3.32** | The Supplier will log all payments against in-flight applications (unless, exceptionally, no in-flight application exists). |
| 2 | **SVS 3.33** | The Supplier must re-allocate payments relating to 'linked' applications when a single payment is received for the total amount to provide a correct individual payment against each application. |
| 2 | **SVS 3.34** | The Supplier will process payments directly to HM Passport Office designated bank account and not use any intermediary accounts/methods of transfer. |
| 1 | **SVS 3.35** | The Supplier will ensure that their solution used to accept and process payments integrates with HM Passport Office systems. |
| 2 | **SVS 3.36** | The Supplier will ensure that their payment processing solution submits payment data to HM Passport Office systems. |

### 3.4 Non-Document Handling Unit Sites or Additional Locations

To support HM Passport Office in threat checking all mail before opening to give assurance that no threats, including substances are present, further equipment may be required at additional, non-Document Handling Unit sites. Hence, HM Passport Office may request the provision of additional threat-checking equipment for use at additional sites for example existing HM Passport Office counters.

While HM Passport Office staff will be responsible for using this hardware and software the Supplier will be responsible for provision and maintenance. As HM Passport Office's requirement for the number and location of threat scanners is not currently known, we would expect these to be provided by the Supplier flexibly, for example, under a leasing agreement. The Supplier will be asked to price for one of these threat scanners in the pricing model.

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|---|---|---|
| 1 | **SVS 3.37** | The Supplier will supply threat checking equipment at additional Non-Document Handling Unit sites. |
| 2 | **SVS 3.38** | The Supplier will provide and maintain threat checking equipment under a service support model for each additional site. |
| 2 | **SVS 3.39** | The Supplier will provide training to HM Passport Office staff on the correct use of threat scanning hardware and associated software. On-going user support must be available, as required. |

## 4 VALIDATION

Appendix 16 'Validation' contains detailed information on Validation including which document categories will require Validation and the expected level of rigour to be applied to each category.

Prior to any Validation checks the Supplier will undertake an initial visual assessment for signs of damage (which includes signs of tampering) on ALL documents. It is anticipated that this initial assessment is a simple cursory check to ensure the document appears as expected. This check may include confirming that a letter has a 'wet' signature', if required.

Documents will then require validation.

| | |
|---|---|
| *'Validation'* | *The activity carried out within the Document Handling Unit, to confirm the physical integrity of supporting documents in line with HM Passport Office-issued Reference Material.* |
| *'Reference Material'* | *Guidance provided by HM Passport Office to the Document Handling Units, to define document categories, and the validation activity required for each category to allow relevant risk/vulnerability indicators to be identified and escalated.*<br><br>*(These activities will include, but are not limited to, visual checks against sources of information provided by the Public Protection Directorate (PPD), National Document Fraud Unit (NDFU), and Public Register of Authentic travel and identity Documents Online (PRADO).)* |

HM Passport Office will provide the successful Supplier with links or access to the above reference material. Documents that fall within certain categories will have predefined criteria for validation. Some of these may involve technology, for example ultra violet light, while some will not require validation at all, for example a handwritten letter.

All activity will need to be conducted in light of the Carltona principles. This means that only Civil Servants can set rules on decision-making that impacts on how passport application are assessed. The Supplier and the Supplier Personnel must operate within those instructions alone for such matters. Where any decisions cannot be made within that framework, they must be referred to a Civil Servant for consideration.

A team of Civil Servants will be embedded within the Document Handling Units to provide advice and support (see section 8.12). Cases where any concerns are found will be referred to this team who will make a decision on next steps.

Documents must be validated to the required standard whether by the use of technology or human input.

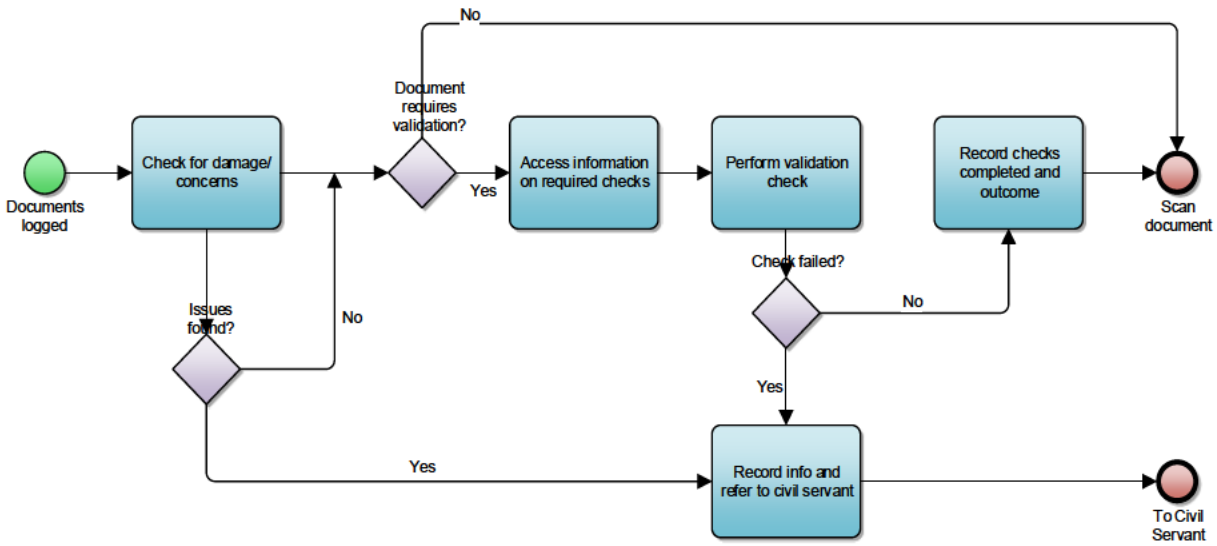
The reference material provided by HM Passport Office will direct the Supplier to further sources of information that can be used to assess documents, for example the Public Register of Authentic Travel and Identity Documents Online (PRADO) which is a database of travel and identity documents, available in the public domain.

The Supplier must record all documents that have been through the validation process with a 'pass' or 'fail' outcome, with those that have failed being referred to the embedded Civil Servant team for further consideration. The outcome must show on the HM Passport Office processing system.

All passport photographs received as part of a Paper Form Application will also need to be validated to check whether they meet International Civil Aviation Organisation (ICAO) standards. The Supplier will not make a decision on the acceptability of the photographs but will send their initial results to HM Passport Office on completion of all processes up to the point of physically storing documents.

Where any concerns are found by the Supplier at any stage of the process regarding the integrity of a document the Fail option MUST be chosen (from the Pass or Fail options) and the document pack referred to the Civil Servant with an explanation of the concern.

The following provides an indicative process:




*Note: This map is not intended to dictate the order of processes, which will be owned by the Supplier, but is provided to assist with clarity when reading the requirements.*

## 4.1 Core

| | | |
|---|---|---|
| 1 | **SVS 4.1** | The Supplier will conduct validation checks on the physical integrity of all travel, identity and other supporting documents as instructed by HM Passport Office; allowing relevant risk/vulnerability indicators to be identified and escalated. |
| 1 | **SVS 4.2** | The Supplier will follow the guidance and reference material supplied by HM Passport Office to the Document Handling Units. |
| 1 | **SVS 4.3** | The Supplier will supply and maintain any hardware or software required to support the checks. |
| 2 | **SVS 4.4** | The Supplier will refer any documents where a concern arises, or the document does not meet the required standard, to the embedded Civil Servant Team for consideration and advice. |
| 2 | **SVS 4.5** | The Supplier will use reference material and technology where relevant to assess documents and to confirm whether the expected validation requirements are met. This includes, but is not limited to, checking UK and overseas Government-issued identity documents and Government-issued certificates such as birth or marriage certificates. |
| 2 | **SVS 4.6** | The Supplier will ensure that all validation checks are recorded once complete, with the nature of the check and outcome recorded. Recording may include the use of both structured and unstructured case notes (see glossary). |
| 3 | **SVS 4.7** | The Supplier must ensure that all Supplier Personnel undertaking validation complete the level of fraud and forgery detection training required by HM Passport Office, and in-line with the level of training available for their security clearance. Training will be provided by HM Passport Office. |
| 2 | **SVS 4.8** | The Supplier will record all documents that have been through the validation process with a final outcome of ‘pass’ or ‘fail’. Any interim states must also be recorded. |
| 3 | **SVS 4.9** | The Supplier will provide a 'pass' or 'fail’ outcome even in cases where additional software or technology has been used for the validation activity. |

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| 2 | **SVS 4.10** | If using technology the Supplier will use the most efficient version to complete validation. |
| 3 | **SVS 4.11** | The Supplier will regularly work with HM Passport Office to assess and improve validation processes. |
| 2 | **SVS 4.12** | The Supplier will accommodate requests from HM Passport Office for further or repeat validation checks to be made against any document held within physical storage. For example, to confirm a watermark, or the contents of a passport details page. |

## 4.2 Digital Applications

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|---|---|---|
| 1 | **SVS 4.13** | For documents associated to digital applications, the Supplier will record a 'Pass' or 'Fail' result for the validation check against an in-flight record. |

## 4.3 Paper Applications

Paper application forms (such as SE04 forms) will not require validation. Any documents (as specified by HM Passport Office) supplied by a customer in support of their paper application, will require validation, as defined above. All previous requirements in Section 4.1 (SVS 4.1 – SVS 4.12) will apply.

Passport photographs supplied with a paper application will require validating against ICAO standards. Information on ICAO standards is provided in Appendix 14.

| | | |
|---|---|---|
| 1 | **SVS 4.14** | The Supplier will validate the passport photograph, submitted with a paper application form, against ICAO standards unless the photograph meets the criteria for exception as advised by HM Passport Office, for example a photograph of a small child or a person with a disability. Guidance will be provided by HM Passport Office. |
| 2 | **SVS 4.15** | The Supplier will submit the results of the photograph validation check in the metadata provided to HM Passport Office on completion of all processes to the point of physical storage of the documents. |

## 4.4 Non-Document Handling Unit Sites or Additional Locations

4.4 Non-Document Handling Unit Sites or Additional Locations

The Supplier-led validation function will take place within the Document Handling Units *only*.

## 5 SCANNING

HM Passport Office requires any paper or items submitted (to include documents and paper application forms) by a customer as part of an application to be digitised so that it can be accessed by HM Passport Office.

To achieve this, all documents other than 'old books' must be scanned and digitised prior to processing by HM Passport Office.

Scanning must conform to industry standards in both quality and data security. The Supplier must provide a process to perform re-scans should an issue be found.

The scanning solution must capture data/metadata as requested by HM Passport Office.

Additional scanning functionality (hardware and associated software) at further Non-Document Handling Units will be required.

### Supporting Documents

A mechanism must be available to scan documents of different sizes (from passport photograph size through to A3), non-standard sizes and levels of delicacy. The Supplier must be able to scan documents with multiple pages and/or print on both sides.

### Paper Application Forms

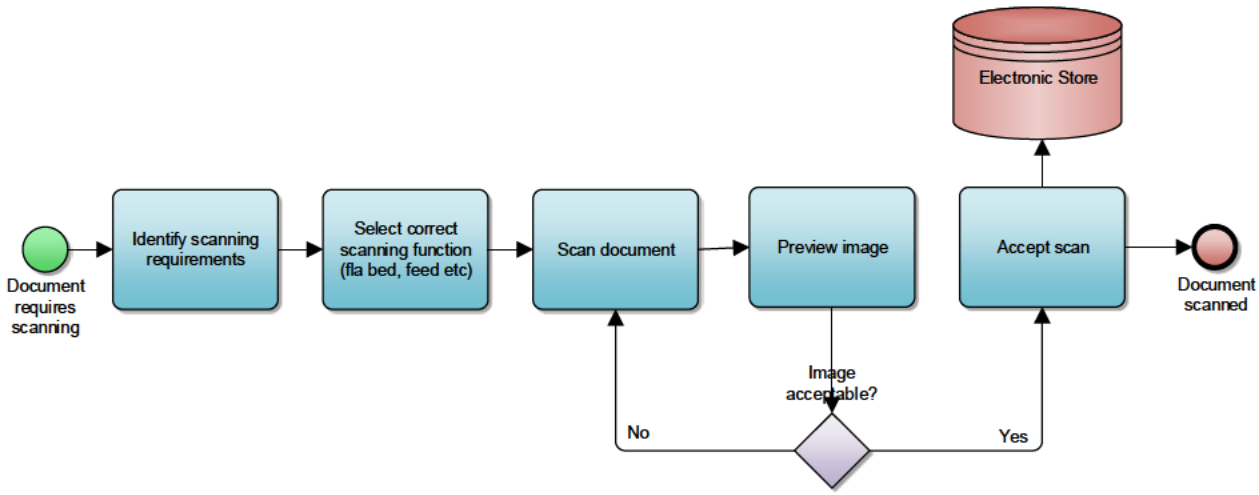
A different type of scanning functionality is required for paper application forms. These forms require an automated digital method of text recognition (OCR) to digitise the customer's handwritten entries to data fields.

Currently an estimated 40% of passport applications are still made on paper. It is expected that this percentage will steadily fall in line with HM Passport Office's aspiration to be 'digital by default', however for the foreseeable future paper will remain an application route. Please see Appendix 17 for volume projections.

When a paper form is received it must be scanned onto the system and the scanned image checked and re-scanned where applicable. Where a scanning

error has occurred, for example, the automated digital method of text recognition (OCR) has incorrectly recognised data, this must be corrected. The digital, data checked, translation of the paper form must be injected into HM Passport Office systems along with a record of the associated documents.

The following provides an indicative process:




*Note: This map is not intended to dictate the order of processes, which will be owned by the Supplier, but is provided to assist with clarity when reading the requirements.*

## 5.1 Core

| | | |
|---|---|---|
| 1 | **SVS 5.1** | The Supplier will provide a scanning solution to include hardware, software, support and maintenance. Scanning will be completed in the most efficient manner *Efficiency criteria are provided in Section 8.8 – 'Value for money, continuous improvement and innovation'.* |
| 1 | **SVS 5.2** | The Supplier will scan, digitise and associate all papers/documents submitted to corresponding passport applications (where such an application exists). This includes all documents received after initial processing (i.e. received following HM Passport Office contact with a customer). |
| 1 | **SVS 5.3** | The Supplier will provide scanning functionality in each of the Document Handling Units to the same configuration. |
| 2 | **SVS 5.4** | The Supplier will ensure the scanning solution allows each document to be scanned as a single item. |
| 2 | **SVS 5.5** | The Supplier will scan documents to reflect their physical appearance including correct orientation, size, colour and image. |
| 3 | **SVS 5.6** | The Supplier will complete scanning on documents that have passed the initial check before any referral to HM Passport Office, unless otherwise specified by HM Passport Office. |
| 3 | **SVS 5.7** | The Supplier will provide justification following an initial check for not scanning a document but will still record it as being within physical storage, (for example, a document that is too delicate or damaged). |
| 3 | **SVS 5.8** | The Supplier will review scanned images, quality assessing them against the physical item to ensure the correct item has been scanned and the image quality meets HM Passport Office requirements. |
| 3 | **SVS 5.9** | The Supplier will rescan a document at any point in an application process and/or to rectify a quality issue at the request of HM Passport Office. |

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| | **SVS 5.10** | The Supplier will work with HM Passport Office to develop a solution for the receipt and action of rescan requests from HM Passport Office. This may be, for example, an in-box for e-mail requests. |
| 2 | **SVS 5.11** | The Supplier will have the capability to scan a variety of documents, as follows:<br>1. Single page documents<br>2. Multiple page documents<br>3. Two sided single documents<br>4. Two sided multi-page documents<br>5. Single page within a multi-page document (e.g. a bio-details page within a passport)<br>6. Multiple pages within a multi-page document (e.g. Bio details, entry stamps, Nationality Stamps such as Indefinite Leave to Remain (ILR) within a passport)<br>7. A3 passport application forms<br>8. Countersigned Photographs (Passport photograph size).<br>*Document sizes may vary from passport photo size to A3, and include non-standard sizes.* |
| 2 | **SVS 5.12** | The Supplier will ensure all scanned items; supporting documents and photographs are scanned to a minimum of 300 DPI it may be necessary to scan to a higher DPI in cases where the document is of a poor quality. |
| 3 | **SVS 5.13** | The Supplier will ensure that all scanned images are ISO 9001:BS10008 compliant. |
| 3 | **SVS 5.14** | The Supplier will provide a scanning solution option to scan and reflect the document colour in the most economical format to meet the requirements. |
| 3 | **SVS 5.15** | The Supplier will ensure their solution allows for the scanning of all documents without causing damage. |
| 2 | **SVS 5.16** | The Supplier will record metadata, as required by HM Passport Office (to include, but not limited to, document type, number of pages and associated HM Passport Office reference number). |

## 5.2 Digital Applications

All previous requirements in Section 5.1 will apply.

## 5.3 Paper Applications

Customers applying on paper will currently do so on a SEO4 form (future versions may change the current format). A different type of scanning functionality is required for paper application forms. These forms require an automated digital method of text recognition (OCR) to digitise the customer's handwritten entries to data fields.

Previous requirement applies (as below).

| | | |
|---|---|---|
| 1 | **SVS 3.24** | *The Supplier will capture data from application forms using an automated digital method of text recognition (OCR), and digitise the passport photograph to create an associated digital image.* |
| 1 | **SVS 3.25** | *The Supplier will make captured data from application forms available to associated HM Passport Office system and gather sufficient metadata to facilitate streaming within a digital workflow.* |

In addition to paper passport application forms other paper forms which may be received to include countersignature declarations (1 side A4).

| | | |
|---|---|---|
| 2 | **SVS 5.17** | The Supplier will scan paper application forms and ensure that the scanned data exactly matches that provided by the customer on the paper application form. |
| 2 | **SVS 5.18** | The Supplier will check the data on the digital translation of the paper application form has been correctly captured. |
| 3 | **SVS 5.19** | The Supplier will be responsible for any corrections required following the use of an automated digital method of text recognition (OCR) to ensure that the scanned data exactly matches that provided by the customer on the paper application form. *External, non-HM Passport Office databases and files must not be used to adjust any application form data.* |

| | | |
|---|---|---|
| 3 | **SVS 5.20** | The Supplier will ensure that after using an automated digital method of text recognition (OCR) the scanning solution creates a digitised version of the paper form that reflects those created via digital channels. |
| 3 | **SVS 5.21** | The Supplier will receive, process and capture data using an automated digital method of text recognition (OCR) from additional forms received in other formats. |
| 3 | **SVS 5.22** | The Supplier will provide a mechanism to capture the data held on any paper forms which cannot be scanned, for example due to damage. |

## 5.4 Non-Document Handling Unit and/or Additional Locations

To support HM Passport Office demand at other sites, further scanning equipment and associated software may be required at additional, non-Document Handling Unit locations.

It is expected that this will be required for the early years of the contract.

While HM Passport Office staff will be responsible for using this hardware and software the Supplier will be responsible for provision and maintenance. As HM Passport Office's requirement for the number and location of the scanners is not currently known, we would expect these to be provided by the Supplier flexibly, for example, under a leasing agreement.

The Supplier will be asked to price for scanning equipment for the non-Document Handling Unit locations in the pricing model. As the number of locations for which this equipment is needed is yet to be decided the Supplier will be asked to price for the provision of all required hardware and software for **one** location only. The solution proposed can be to provide separate scanners for 'document scanning' and 'paper application form scanning with text recognition (OCR)', or one scanner that can accommodate both requirements. A price for the provision of threat scanning equipment must also be provided.

The scanning functionality in the non-Document Handling Units must be of the same configuration throughout HM Passport Office estate, although the equipment may be different to the primary Document Handling Units. For example, this equipment may be basic technology and built for lower volume than the primary Document Handling Units.

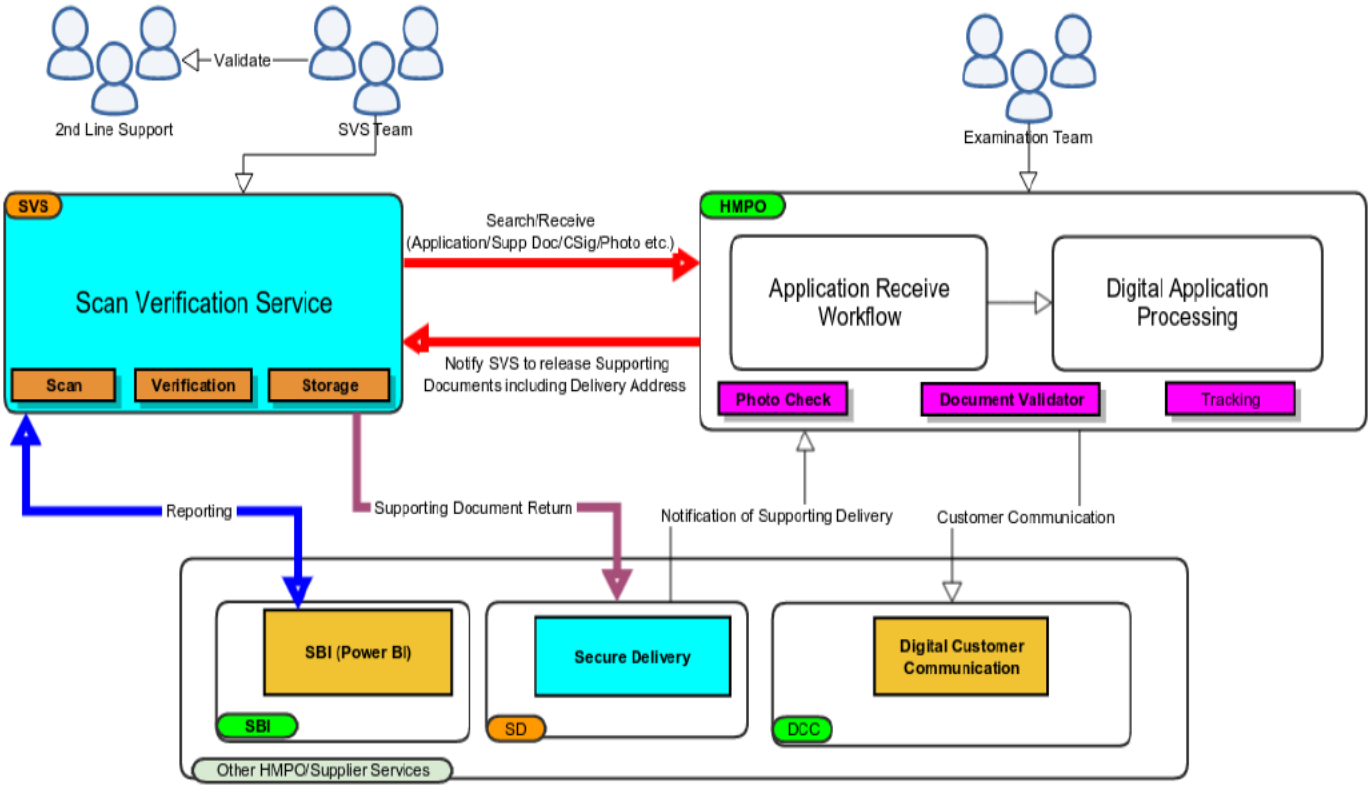
| | | |
|---|---|---|
| 1 | **SVS 5.23** | The Supplier will supply and maintain document scanning functionality (software and hardware) at additional HM Passport Office locations to enable the creation of a digitised version of the document. All scanners must be of the same configuration. |
| 1 | **SVS 5.24** | The Supplier will supply and maintain scanning functionality (software and hardware) at additional HM Passport Office locations to enable the creation of a digitised version of the passport photograph and paper form using an automated digital method of text recognition (OCR). All scanners must be of the same configuration. |
| 2 | **SVS 5.25** | The Supplier will provide training to HM Passport Office staff on the correct use of both the above types of scanning hardware and associated software. On-going user support must be available, as required. |
| 2 | **SVS 5.26** | The Supplier will provide both document and paper form scanning hardware under a service support model for each additional site. |

## 6 DATA

To limit integration points it is expected that other than notifying HM Passport Office when documents/applications are received the Supplier will provide all other data to HM Passport Office once all processes, to the point of physical storage, have been completed.

The Supplier will submit data and metadata on what has been received, but will not apply logic to further steps. This means, for example, the supplier will not contact the customer directly in cases where it is clear the customer has omitted information or documentation as HM Passport Office will do this.

The following provides the indicative technical process:




## 6.1 Core

| | | |
|---|---|---|
| 1 | **SVS 6.1** | The Supplier will provide metadata on supporting documents, application forms, photographs, payments etc. to HM Passport Office on receipt of the supporting document(s) or paper application. |
| 1 | **SVS 6.2** | The Supplier will provide metadata and scanned images of all supporting documents, application forms, photos etc along with payment metadata and validation outcomes to HM Passport Office on completion of all processes to the point of physical storage. |
| 1 | **SVS 6.3** | The Supplier will handle and scan any follow up documents received as part of an inflight application and carry out the same checks (e.g. validation and scanning) and provide the same data to HM Passport Office. |
| 1 | **SVS 6.4** | The Supplier will ensure data is transitioned securely to HM Passport Office. |

| | | |
|---|---|---|
| 1 | **SVS 6.5** | The Supplier will ensure data will be securely held at supplier end in an exception scenario, for example if the destination system was unavailable. |
| 1 | **SVS 6.6** | The Supplier will ensure data (including system audit data) will be purged after successful transmission of data to HM Passport Office in adherence to the data retention policy. |

### 6.2 Digital Applications

All previous requirements in Section 6.1 will apply.

### 6.3 Paper Applications

All previous requirements in Section 6.1 will apply, in addition to those below.

| | | |
|---|---|---|
| **1** | **SVS 3.24** | *The Supplier will capture data from application forms using an automated digital method of text recognition (OCR), and digitise the passport photograph to create an associated digital image.* |
| **1** | **SVS 3.25** | *The Supplier will make captured data from application forms available to associated HM Passport Office system and gather sufficient metadata to facilitate streaming within a digital workflow.* |

For paper applications, further requirements apply:

| | | |
|---|---|---|
| 1 | **SVS 6.7** | The Supplier will check the data on the digital translation of the paper application form has been correctly captured. |

### 6.4 Non-Document Handling Unit Sites or Additional Locations

This does not apply.

# 7 STORAGE AND RETURN OF DOCUMENTS

## Document Storage

HM Passport Office expects that every physical document (including paper forms and passports) received into the Document Handling Unit will be placed into physical storage until notification is received that the passport application, for which the documents are associated, has been completed.

The digital storage of all documents, including application forms, will be provided and managed by HM Passport Office. However, the Supplier must provide a system compatible with the Application Programming Interface (API) in order to ingest the scanned images.

HM Passport Office's intake per week peaks at 3% of the total annual volume each year (this has been a constant for at least the last fifteen years). The Supplier must provide storage based on at least six weeks' volume.

During the six weeks much of the volume will be 'churned', that is replaced by new application 'packs', within the first two to three weeks.

During extremely busy periods (that is, where HM Passport Office are operating up to the maximum stated customer SLA) that would equate to approximately 4.2 million documents, application forms and 'old' passports being stored at any one time.

The Supplier must be able to physically store ALL work in progress at the Document Handling Units that is processing it. Work CANNOT be stored in a separate location(s). The Supplier will be responsible for providing all storage equipment including but not limited to racking, boxes and wallets.

The Supplier must be able to locate a document on request. When documents are removed an audit trail must be kept.

The Supplier must be able to manage the volume of documents being stored, located and returned.

Documents which cannot be associated (orphan documents) or are returned as 'recovered' or 'undelivered' must also be stored. These are documents that have been returned due to our delivery partners being unable to deliver, or returned by the Police Forces, UKV&I and other government agencies for HM Passport Office action. After a year, or following contact from the customer, these documents will need to be removed from the store and passed to HM Passport Office for action. In 2018 approximately 16 000 documents (or 8000 application 'packs') were stored over the course of the year due to either HM Passport Office being unable to associate them to an application or return them due to loss of contact with the customer.

## Document Return

Once the case is completed, the Supplier will be digitally informed, via an 'event' that the documents can be prepared for return to the customer, HM Passport

Office, other Government Departments, long term storage or Third Party, as required.

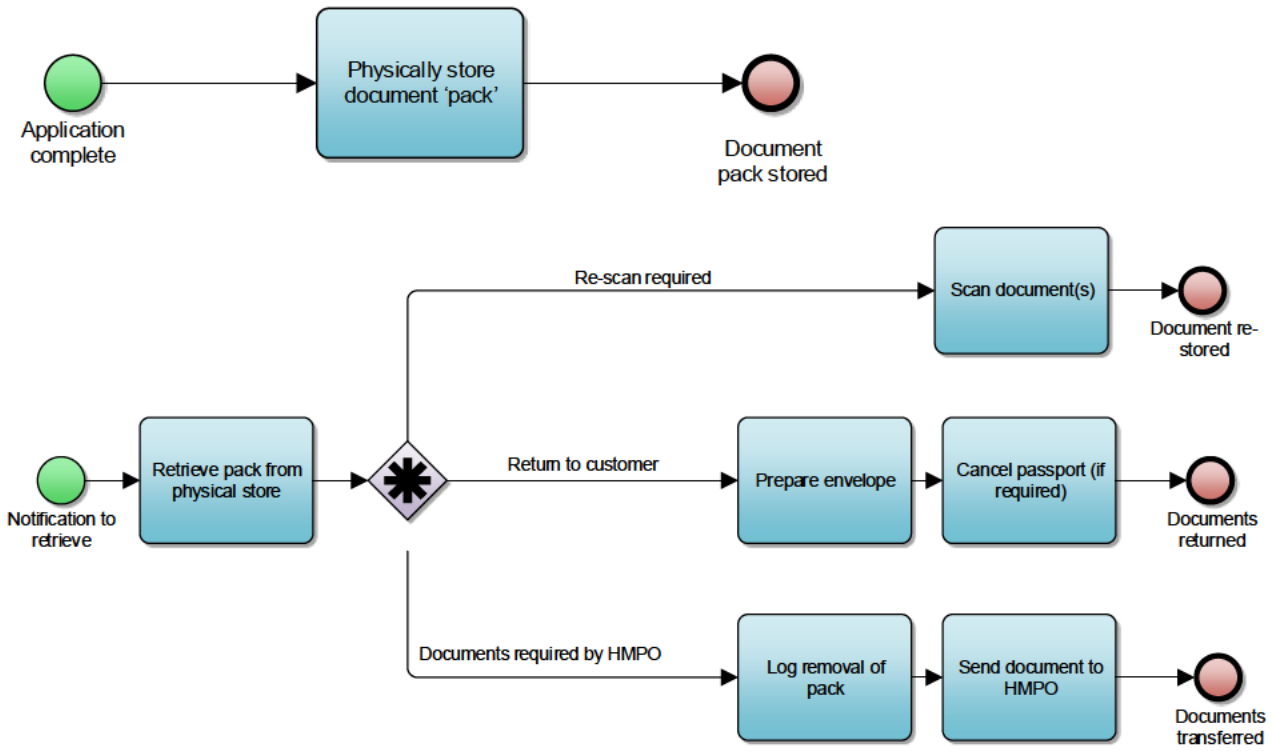
Should documents be lost or damaged in the return process due to an error made by the Supplier, service credits as outlined in the Service Level Arrangements will apply.

Where a passport has been submitted for renewal or replacement the old passport book will need physical cancellation (for example, clipping its corners) before it can be returned. HM Passport Office will digitally inform the Supplier of any actions to be taken regarding the return of documents and the cancellation of passports (as not all submitted UK passports require cancellation).

The customer may elect to have their documents returned via Secure Delivery or standard post. The Supplier will need to prepare the documents for return by the customer's chosen method. A compliments ticket should be included with the returned documents.

HM Passport Office will provide and pay for the delivery of documents to customers under pre-existing contracts.

The following provides an indicative process:




*Note: This map is not intended to dictate the order of processes, which will be owned by the Supplier, but is provided to assist with clarity when reading the requirements.*

## 7.1 Core

### Document storage

| | | |
|---|---|---|
| 1 | **SVS 7.1** | The Supplier will store and retrieve documents submitted by customers (other than when advised by HM Passport Office). |
| 1 | **SVS 7.2** | The Supplier will be able to retrieve documents from physical storage at the request of HM Passport Office within the SLA's and at high volumes. |
| 2 | **SVS 7.3** | The Supplier will be responsible for providing all storage equipment including but not limited to racking, boxes and wallets. |
| 2 | **SVS 7.4** | The Supplier will place all items into secure physical storage within a controlled access room/area within the Document Handling Units. |
| 2 | **SVS 7.5** | The Supplier will store all documents related to an application in a single 'pack'. This includes additional documents received following customer contact which must be stored in the same 'pack' as the original documents/application. |
| 2 | **SVS 7.6** | The Supplier will store all applications and associated documents relating to 'linked applications' in a single pack.<br>These must be associated to all relevant application reference numbers. |
| 2 | **SVS 7.7** | The Supplier will catalogue all items and link these to HM Passport Office application reference numbers. |
| 2 | **SVS 7.8** | The Supplier, in conjunction with HM Passport Office security, will ensure that at least a two tier access system/process is present to physically store documents, (for example, a work area is secured to relevant Supplier Personnel only plus further restriction within the work area to physical documents). |
| 1 | **SVS 7.9** | The Supplier will handle internal queries from other parts of HM Passport Office relating to the stored submissions, and provide a transfer service when physical items are required by HM Passport Office Teams (by exception). |
| 3 | **SVS 7.10** | The Supplier will facilitate transfers from the Document Handling Units to HM Passport Office sites on request, using existing Secure Delivery arrangements managed and paid for by HM Passport Office. |

| | | | |
|---|---|---|---|
| | 3 | **SVS 7.11** | The Supplier will record all items that leave the physical storage. Records must be fully auditable and accessible by HM Passport Office as required. |
| 1 | **SVS 7.12** | The Supplier will be responsible for designing and implementing a process for logging and storing documents relating to cases withdrawn by HM Passport Office due to a loss of contact with the customer until/unless requested by HM Passport Office at which point the Supplier will transfer the document using existing HM Passport Office Secure Mail Suppliers. HM Passport Office will digitally inform the Supplier of action required. | |
| 2 | **SVS 7.13** | The Supplier will regularly check the retention time of documents from 'withdrawn cases' and alert the embedded Civil Servant team to cases that have reached the retention limit (currently 1 year). The embedded Civil Servant team will follow the HM Passport Office Storage and Retention Policy in relation to these documents. | |
| 1 | **SVS 7.14** | The Supplier will be responsible for designing and implementing a process for logging and storing documents that cannot be associated to an application in progress, until requested by HM Passport Office at which point the Supplier will transfer the document using existing HM Passport Office Secure Mail Suppliers. | |
| 2 | **SVS 7.15** | The Supplier will check un-associated documents on receipt against applications in progress, linking where possible. When un-associated documents have reached the retention limit of one year the Supplier will inform the embedded Civil Servant team | |

## Document Return

| | | |
|---|---|---|
| 1 | **SVS 7.16** | The Supplier will be responsible for preparing and despatching documents back to customers by Secure Delivery or post using the dispatch method requested and paid for by the customer unless otherwise advised by HM Passport Office. No postal costs will be passed on to the Supplier. |
| 1 | **SVS 7.17** | The Supplier will physically cancel passport books as instructed by HM Passport Office (for example, clip the corners) before returning to the customer. HM Passport Office will digitally inform the Supplier of the action to be taken. |
| 2 | **SVS 7.18** | The Supplier will return documents to the address provided by the customer. Documents relating to 'linked' applications will be returned together to a single address unless otherwise informed by HM Passport Office. |
| 2 | **SVS 7.19** | The Supplier will ensure all documents are returned to customers under existing postal arrangements, where standard mail is required. No postal costs will be passed on to the Supplier. |
| 2 | **SVS 7.20** | The Supplier will ensure all documents are returned to customers under existing postal arrangements, where Secure Delivery is required. No postal costs will be passed on to the Supplier. |
| 2 | **SVS 7.21** | The Supplier will ensure all documents are sent using Secure Delivery between Document Handling Units and HM Passport Offices using existing HM Passport Office arrangements. No postal costs will be passed on to the Supplier. |
| 2 | **SVS 7.22** | The Supplier will provide digital information to the HM Passport Office secure delivery supplier. |
| 2 | **SVS 7.23** | The Supplier will ensure that their document return system integrates with the HM Passport Office, Secure Delivery supplier's system. |
| 2 | **SVS 7.24** | The Supplier will order SVS service-related stationery items, including all envelopes, from HM Passport Office. No costs will be passed on to the Supplier. |
| 2 | **SVS 7.25** | The Supplier will work with HM Passport Office and other Suppliers to support the capture of data regarding Secure Delivery collection. |
| 2 | **SVS 7.26** | The Supplier will use printed addresses when returning items to customers. The Supplier will not use hand written addresses. |

| | | |
|---|---|---|
| 2 | **SVS 7.27** | The Supplier will only return documents to customers when advised to do so by HM Passport Office. Items that are not to be returned to customers, such as application forms, must be destroyed and placed in Confidential Waste. The collection and destruction of confidential waste will be managed under existing HM Passport Office arrangements. No costs will be passed on to the Supplier. |
| 2 | **SVS 7.28** | The Supplier will not return to customer or transfer out of storage a pack unless requested to do so by HM Passport Office. |
| 2 | **SVS 7.29** | The Supplier will digitally inform the HM Passport Office processing system (DAP) that a final action has been taken. |
| 3 | **SVS 7.30** | The Supplier will store documents, including application forms if applicable, relating to cases that are identified as potential fraud (either by the HM Passport Office fraud department or following failure of a validation check) until such a time as HM Passport Office request the documents be sent to HM Passport Office or returned to the customer. |
| 3 | **SVS 7.31** | The Supplier will facilitate the return of individual documents from within a pack at the request of HM Passport Office. |
| 3 | **SVS 7.32** | The Supplier will return all documents stored as a 'linked application' as a single entity, unless advised otherwise by HM Passport Office. |
| 3 | **SVS 7.33** | The Supplier will use the correct type and size of envelope when returning items to customers. The Supplier must not fold customer documents that have not already been folded. |

## 7.2 Digital Applications

All requirements in 7.1 will apply

### 7.3 Paper Applications

All requirements in 7.1 will apply, in addition:

| | | |
|---|---|---|
| 1 | **SVS 7.34** | The Supplier will be responsible for retrieving and destroying the paper application form stored in the 'pack' prior to dispatching the remaining documents (if any) to the customer and placed in Confidential Waste. The collection and destruction of confidential waste will be managed under existing HM Passport Office arrangements. No costs will be passed on to the Supplier. |

### 7.4 Non-Document Handling Unit Sites or Additional Locations

No physical storage is required at other sites.

# 8 GENERAL REQUIREMENTS

## 8.1 Security, Public Protection and Due Care

The Supplier will be expected to ensure the physical security of the buildings, Supplier Personnel and contents of its work areas, including the documents stored on behalf of HM Passport Office.

The Supplier will be responsible for any breaches in security that take place within its area of responsibility, and for any loss or damage to documents within this area. The Supplier must develop a tracking system which will enable the Supplier to locate any physical item within the process or during storage.

There is zero tolerance for losses. Any losses that occur must be treated as a serious security incident. When losses do occur, it is necessary for the location and circumstances to be identified and reported as defined in the SLAs.

Damage must be prevented. When damage does occur it is necessary for the circumstances to be recorded and reported immediately.

The Supplier must ensure all relevant legislation linked to personal data (including the Data Protection Act 2018 and the GDPR) is adhered to, with any breaches being treated as a serious security incident. When breaches do occur it is necessary for the location and circumstances to be identified and reported immediately.

Data must be treated as 'Official' unless advised otherwise by HM Passport Office, and handled in line with Her Majesty's Government Security Policy Framework.

'*Official' is the classification used for the majority of information that is created or processed by the public sector. This includes routine business operations and services, some of which could have damaging consequences if lost, stolen or published in the media, but are not subject to a heightened threat profile. Information on Government Security Classification can be found on Gov.UK.*

A link is provided in the Useful information section at the end of this document.

HM Passport Office will conduct assurance checks on a small percentage of documents after they have been validated and scanned to ensure that the process used is meeting HM Passport Office's requirements regarding the finding of fraud. The findings from assurance checks will influence the validation materials provided to the Supplier.

| | | |
|---|---|---|
| 1 | **SVS 8.1** | The Supplier will take responsibility for any breaches in the security of their processes. |
| 1 | **SVS 8.2** | The Supplier will adhere to all relevant legislation related to customer data. |
| 1 | **SVS 8.3** | The Supplier will handle OFFICIAL data in line with HM Government Security Policy Framework. |
| 2 | **SVS 8.4** | The Supplier will notify HM Passport Office of any/all security and/or data breaches (cyber or physical), regardless of perceived impact within one hour for a major breach (for example theft or a break-in) or 24 hours for any minor breaches (for example the loss of a document). |
| 2 | **SVS 8.5** | The Supplier will not share, copy or store any data other than that specifically requested by HM Passport Office and will ensure all data is handled in accordance with BS 10008 and ISO 27001, GDPR and the Data Protection Act 2018. |
| 1 | **SVS 8.6** | The Supplier will maintain restricted access to Document Handling Units in consultation with HM Passport Office. Both access to the Document Handling Unit and stored items must be restricted so that Supplier Personnel with access to the Document Handing Unit area do not necessarily get access to the document store. |
| 2 | **SVS 8.7** | The Supplier will ensure that all Supplier Personnel within Document Handling Units are security cleared by Home Office Security, including additional pre-employment screening. Security clearance levels will depend on roles undertaken but will be to a minimum of CTC. All Supplier Personnel must be able to work legally in the United Kingdom (right to work). |
| 2 | **SVS 8.8** | The Supplier will ensure that a log of Supplier Personnel with access to the Document Handling Unit is kept and up to date. The log must be made immediately available to HM Passport Office if requested. |
| 1 | **SVS 8.9** | The Supplier will facilitate audits by HM Passport Office at any point; these may include but are not limited to security and procedural audits. The Supplier will be responsible for addressing any issues raised during the audit process. HM Passport Office reserves the right, If circumstances dictate, to conduct security audits without prior notice. |

| | | |
|---|---|---|
| 2 | **SVS 8.10** | The Supplier must maintain an auditable record of all activity relating to the service, including but not limited to the ability to identify a user, referrals of cases to the embedded Civil Servant, and/or placement of documents into physical storage. The Supplier must ensure access is provided to HM Passport Office for this data as required. |
| 2 | **SVS 8.11** | The Supplier must allow HM Passport Office to access documents after scanning, in order that assurance checks can be conducted by HM Passport Office. |
| 1 | **SVS 8.12** | The Supplier will maintain a system to enable all physical items to be tracked at any point during processing or in storage. |
| 1 | **SVS 8.13** | The Supplier will be responsible for costs incurred due to the loss, theft or damage of any items whilst under its responsibility as specified in the SLAs. |
| 1 | **SVS 8.14** | The Supplier will not make amendments to any security access/procedures or policy without full collaboration with HM Passport Office. HM Passport Office sign off and agreement will be required for any changes relating to security. |
| 1 | **SVS 8.15** | The Supplier will use a 'CHECK' approved IT Health Check company prior to commencement then on an annual basis thereafter. *Information about the CHECK scheme is provided in the additional information section.* |
| 1 | **SVS 8.16** | The Supplier will comply with and implement any relevant audit and retention evidence requirements using the latest guidance for The Code of Practise for Legal admissibility and evidential weight of information stored electronically. (BS 10008). |

## 8.2 Management Information, Business Intelligence and Service Levels

The Supplier must provide Management Information for any system, application or process related to SVS that is performed outside HM Passport Office systems.

Management Information must be able to support HM Passport Office in Business Activity Monitoring and the provision of Business Intelligence, as well as providing information for audit and Supplier Management purposes.

HM Passport Office is developing a cloud-based Strategic Business Intelligence solution, which is intended to take raw data feeds from internal systems and external strategic Suppliers.

| | | |
|---|---|---|
| 1 | **SVS 8.17** | The Supplier will provide Management Information data for any system, application or process related to SVS that is performed outside of HM Passport Office systems. The MI must be available on an ad-hoc request basis in addition to specific frequency that has been requested by HM Passport Office and be able to support Business Intelligence and Business Activity Monitoring. |
| 1 | **SVS 8.18** | The Supplier will meet all Service Level Agreements, as defined in Appendix 3, appropriate to each part of the service, and report these back to HM Passport Office in an agreed format at intervals to be defined. |
| 1 | **SVS 8.19** | The Supplier will provide, when required, an automated feed of raw data which can be integrated with HM Passport Office's Strategic Business Intelligence solution. This will include a daily and near-real time data feed. |
| 2 | **SVS 8.20** | The Supplier will ensure that each event (e.g. 'document received', 'document validated', 'validation result', etc.) is logged and stored with associated metadata (e.g. application reference number.) and then provided to HM Passport Office as an automated feed. |

## 8.3 Interfaces

| | | |
|---|---|---|
| 1 | **SVS 8.21** | The Supplier will comply with HM Passport Office's Interface Control Documents, for each part of the service. |
| 1 | **SVS 8.22** | The Supplier will collaborate in the building of the interface(s) between HM Passport Office systems and the Supplier's. |
| 1 | **SVS 8.23** | The Supplier will ensure all images, metadata and information is associated to the correct application e.g. via an API. The application reference number will be used for association. |
| 1 | **SVS 8.24** | The Supplier will provide the functionality within their interface for any information added by the Supplier to be accessed by HM Passport Office (e.g. notes relating to validation checks). |

| | | |
|---|---|---|
| | **SVS 8.25** | The Supplier will digitally provide application information to HM Passport Office. This will include, but not be limited to, digital translations of paper application forms, scanned images of supporting documents and photographs, validation outcomes and case notes, plus all associated metadata. The information should be sent as a single payload where possible. |
| 1 | **SVS 8.26** | The Supplier will ensure application information is appropriately encrypted. |

## 8.4 HM Passport Office Requests

It is sometimes necessary to locate a document 'pack' and transfer to HM Passport Office due to, for example, a request from the fraud department, or expedite an application due to a customer advising of an exceptional circumstance such as the death of a close relative abroad. Examples such as these may occur at any stage of the SVS process. Achieving this reduces the potential for security incidents and reputational damage.

The Supplier will also be expected to accommodate and support testing of any part of the process as requested by HM Passport Office.

| | | |
|---|---|---|
| 1 | **SVS 8.27** | The Supplier will be able to locate a document at any point in the process, at the request of HM Passport Office. |
| 1 | **SVS 8.28** | The Supplier will accommodate urgent exceptions that require immediate action to meet customer demands and prevent reputational damage for high profile cases. HM Passport Office will notify the Supplier of the action required. |
| 1 | **SVS 8.29** | The Supplier will accommodate testing by HM Passport Office by providing end user assistance when required. End users will be required to assist in test execution within their area. |
| 1 | **SVS 8.30** | The Supplier will provide input into customer complaints, as required, to a timescale defined in the Service Level Agreement. |

## 8.5 Business Continuity, Service Continuity Management and Risks

| | | |
|---|---|---|
| 1 | **SVS 8.31** | The Supplier will ensure Business Continuity is maintained throughout the life of the Contract. The Supplier will maintain Business Continuity and Service Continuity Management safeguards for both their physical and their digital operations. |
| 1 | **SVS 8.32** | The Supplier will maintain Risk Registers for the scanning and validation and storage service, and share these with HM Passport Office. |
| 2 | **SVS 8.33** | The Supplier will develop Business Continuity Plans that as a minimum will fully conform to the standards set within ISO22301. |
| 2 | **SVS 8.34** | The Supplier will facilitate audits by HM Passport Office to ensure that the arrangements comply with the provision of these requirements |
| 2 | **SVS 8.35** | The Supplier shall provide regular control and action performance comments in relation to risks present on the risk register. |
| 2 | **SVS 8.36** | The Supplier shall review risks on a timely regular basis to ensure all scoring is correct and to identify emerging risks. |

## 8.6 Capacity

Passport applications have a significant degree of seasonal variation. Suppliers must be able to adapt effectively to overall annual and daily peak volumes. *Service Levels will apply.*

Fluctuations in demand will be affected by seasonality, customer behaviour, transformation programmes and HM Passport Official change, and the Supplier must have the capacity to deal with these changes in volume and planned HM Passport Office overtime.

| | | |
|---|---|---|
| 1 | **SVS 8.37** | The Supplier will be able to process and store volumes of physical documents as outlined in Appendix 17. |

## 8.7 Contracts

| | | |
|---|---|---|
| 1 | **SVS 8.38** | The Supplier will appoint managers to cover contract management and service delivery for the appropriate management of the service, for the full duration of the contract. |
| 1 | **SVS 8.39** | The Supplier will agree escalation mechanisms to cover all circumstances, to Chief Executive Level. |

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| 1 | **SVS 8.40** | The Supplier will engage in regular contract and service review meetings to review contract and service performance. |
| 1 | **SVS 8.41** | The Supplier will ensure continuation of service without interruption at contract start, as per agreed implementation and transition plans. |
| 1 | **SVS 8.42** | The Supplier will provide an exit plan for contract end. |
| 1 | **SVS 8.43** | The Supplier shall attend regular HM Passport Office management meetings e.g. Supplier Management Boards and Supplier Forums. |
| 1 | **SVS 8.44** | The Supplier will ensure continuation of service without service degradation, for the full duration of the contract. |
| 1 | **SVS 8.45** | The Supplier will provide contract management to ensure that if appropriate, their Sub-contractors are being managed effectively against their commercial terms and meeting their performance targets. |
| 1 | **SVS 8.46** | The Supplier will comply with all Services Levels, reporting and rectifying issues, and providing Service Credits where applicable |
| 1 | **SVS 8.47** | The Supplier will project and agree all costs up front via the Change Management process. Any variation in expected charge models must be communicated and fully agreed before implementation. |

## 8.8 Value for money, continuous improvement and innovation

Manage efficiency, offer cost savings, continuously improve the service and innovate for the future.

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| 1 | **SVS 8.48** | The Supplier will be responsible for designing their processes taking into consideration location and system constraints. |
| 1 | **SVS 8.49** | The Supplier will innovate throughout the life of the contract; ensuring technology keeps pace with the market for both technical and non-technical solutions. |
| 1 | **SVS 8.50** | The Supplier will ensure all solutions for all parts of the service are efficient and minimise waste. This includes technology, time and staffing levels. |
| 1 | **SVS 8.51** | The Supplier will adhere to the Cabinet Office policies regarding the use of open source software where possible. |

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| 1 | **SVS 8.52** | The Supplier will continually improve its service management solution (including service management processes and tools). |
| 1 | **SVS 8.53** | The Supplier will actively manage, document and update knowledge articles, operational procedures and work instructions for each supported service, covering the core system and application components and provide to HM Passport Office. |

## 8.9 Other Service Support

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| 1 | **SVS 8.54** | The Supplier will provide a complete new set of Supplier Guidance for the service which must be defined and agreed with HM Passport Office once the contract is awarded.<br>The Supplier Guidance must be reviewed and agreed at regular intervals, with both the Supplier and HM Passport Office providing details for inclusion. |
| 1 | **SVS 8.55** | The Supplier will work flexibly to accommodate changes to HM Passport Office's requirements and procedures. |

## 8.10 Technical Service Management

General Technical Service Management

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| 1 | **SVS 8.56** | The Supplier must ensure that a physical and logical service design is documented, showing the architecture components and clearly identifying who is responsible for each element of the service. |
| 1 | **SVS 8.57** | The Supplier will provide a system that is fully supportable and maintainable and can be supported with minimal support costs including: minimalist use of specialist skills and resources. |
| 1 | **SVS 8.58** | The Supplier will provide Secure Network connectivity to HM Passport Office IT services and Application Programming Interfaces (APIs) owned and managed by HM Passport Office. |

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| 1 | **SVS 8.59** | The Supplier, where appropriate, will decommission retired IT services in line with HMG InfoSec Standard 5. |
| 2 | **SVS 8.60** | The Supplier will use event logs and associated metrics to provide the information needed for event management, incident management, IT operations management, etc. for Live Service support. |

Technical Service Governance

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| 1 | **SVS 8.61** | The Supplier will provide, in collaboration with HM Passport Office, a documented Service Support Model in the form of a Service Description Specification detailing the ITIL processes, Service Boundaries (i.e. where the Supplier's service interfaces with another service for instance DAP) and the Service Levels which are outside the Supplier's remit and scope.<br><br>These include and are not limited to the following:<br><br>Service Desk; Access Management; Change Management; Incident Management; Knowledge Management; Problem Management; Release Management; Request Management; IT Asset and Configuration Management; Service Catalogue Management. |
| 1 | **SVS 8.62** | The Supplier will work with the existing supplier (if applicable) to ensure service management personnel have knowledge transfer on all the in-scope service provision including assets, products and services, prior to service transition. |
| 1 | **SVS 8.63** | The Supplier will align with HM Passport Office's service management processes. |
| 1 | **SVS 8.64** | The Supplier will develop an Early Life Support Plan for the transition of IT services into mode of operation, agreed between the Project, Suppliers and DDaT, prior to Go Live. |
| 1 | **SVS 8.65** | The Supplier will ensure that a Support Matrix is developed that clearly articulates the interfaces and hand-off's of all in-scope IT service make-up parties in the Service Integration and Management (SIAM) model. |

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| 1 | **SVS 8.66** | The Supplier will be responsible for all aspects of service management for the components that are in-scope for the delivery of the solution. |

Technical Service Level Management

*Service levels and service credits are covered in detail in appendix 3.*

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| 1 | **SVS 8.67** | The Supplier shall ensure the service, and related service support is available sufficient hours to meet agreed SLAs with additional processing hours being available by exception, for instance, to meet HM Passport Office's overtime requirements (excluding outage for planned maintenance). |
| 1 | **SVS 8.68** | The Supplier will agree to provide a resolution to incident management against the following priorities P1/P2/P3/P4 – info in glossary. |
| 1 | **SVS 8.69** | The Supplier will provide an IT solution that does not infringe on any Service Support Contract Conditions, volumes or ceilings delivered by other Suppliers. |
| 1 | **SVS 8.70** | The Supplier will have a capability for the IT service to be measured, monitored, alerted and reported for all critical configuration items, i.e. components, in support of the services. |

Technical Availability and Capacity Management

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| **1** | **SVS 8.71** | The Supplier will ensure that the service is sufficiently flexible such that at any agreed future stage the service, without the need for major architectural change, can:<br>- Expand to deal with increasing volumes.<br>- Enable Future Services by delivering incremental software development in a cost effective manner. |
| **1** | **SVS 8.72** | The Supplier will ensure that the service has sufficient capacity in line with the volumetric, including "headroom". For the purpose of this requirement, the term "headroom" refers to the provision of a safe level of spare working capacities in line with good industry practice. |

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| 1 | **SVS 8.73** | The Supplier will provide a Capacity and Availability plan validating the IT service against customer requirements for Demand Management. |
| 1 | **SVS 8.74** | The Supplier will publish a plan for regular scheduled downtime of a service alongside maintenance slots. |
| 1 | **SVS 8.75** | The Supplier will provide an IT solution that will not cause any Service degradation to existing HM Passport Office IT services and negatively impact Service Availability, Capacity and Performance. |
| 1 | **SVS 8.76** | The Supplier will appoint a named and suitably qualified point of contact, as a Service Manager, through whom HM Passport Office will be managed day-to-day. |

Technical Incident Management

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| 1 | **SVS 8.77** | The Supplier will be responsible for collaborating with other Suppliers/stakeholders in the Service Integration and Management (SIAM) model, for the purposes of IT incident and change management, restoration of service and the avoidance of possible interruptions to service. |
| 1 | **SVS 8.78** | The Supplier will be responsible for leading the investigation and diagnosis of Incidents and problems, and communicate progress in line with agreed timescales for a responsible service component. |
| 1 | **SVS 8.79** | The Supplier will update their 'known error' knowledge databases as appropriate, indexing keywords and search facilities to assist call and Incident Management processes in the handling of future Incidents. |
| 1 | **SVS 8.80** | The Supplier will utilise as a single point of contact the HO Strategic Service Desk (SSD), also known as ITNow, to report all service technology incidents and exchange information. |
| 1 | **SVS 8.81** | The Supplier will channel any cyber security incidents to the HO Cyber Security Operations Centre (CSOC). Cyber security incidents must also be reported to HM Passport Office as per requirement 8.4. |

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| 1 | **SVS 8.82** | The Supplier will manage and perform Root Cause Analysis (RCA) of Problems, submitting reports for all P1 & P2 Incidents and participate in wider Problem Management processes. |
| 1 | **SVS 8.83** | The Supplier will provide a resolution report to HM Passport Office to define the steps taken to identify and resolve any Incident or failure to achieve Service Levels, and to detail the course of action to be taken to prevent reoccurrence. |

Service Desk

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| 1 | **SVS 8.84** | The Supplier will provide service support to Non-Document Handling Units during the bandwidth of counter operational hours. |
| 1 | **SVS 8.85** | The Supplier will provide service support to Non-Document Handling Units (and counters in Document Handling Units if co-located) on request to cover any planned overtime. |
| 1 | **SVS 8.86** | The Supplier will provide to the HO Strategic Service Desk (SSD) any information required to assist the Service Desk in the development, maintenance and continuous improvement of the end-user self-help facility. |

Technical Service Asset and Configuration Management

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| 1 | **SVS 8.87** | The Supplier will detail the full inventory of all hardware and software assets necessary to provide the service (from the point of acquisition through to disposal), producing an Asset Register showing ownership of assets and on-going maintenance, service and renewal plans. |
| 1 | **SVS 8.88** | The Supplier will detail the software distribution process, packaging control, configuration and licensing. |
| 1 | **SVS 8.89** | The Supplier will ensure a baseline of the appropriate configuration items, i.e. components, is taken before a release to the live environment. |
| 1 | **SVS 8.90** | The Supplier will ensure that changes to configuration items, i.e. components, are traceable and auditable. |
| 1 | **SVS 8.91** | Architectural schemes must be submitted for approval to HM Passport Office's Technical Design Authority (TDA) and Security before build or installation commences. |

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| 1 | **SVS 8.92** | The Supplier will ensure that all IT Service documentation is regularly reviewed and kept current, maintained under appropriate version control and management, and provided on request. IT Service documentation includes but is not limited to:<br>• Design (including logical and physical)<br>• Service Support<br>• Service Recovery<br>• Disaster Recovery<br>• Configuration log/register |
| 1 | **SVS 8.93** | The Supplier will ensure that their IT support knowledgebase is fully documented and all relevant Service Runbooks completed. |

Technical Service Continuity Management

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| 1 | **SVS 8.94** | The Supplier will provide a Secure, Robust and Resilient IT capability to support the proposed service. |
| 1 | **SVS 8.95** | The Supplier will have an agreed Recovery Time Objective (RTO) and a Recovery Point Objective (RPO) that meets the customer requirements. |
| 1 | **SVS 8.96** | The Supplier will demonstrate that a service continuity plan for the end-to-end process has been tested and validated and undertaken thereafter at an agreed frequency and date. |
| 1 | **SVS 8.97** | The Supplier will carry out an automated daily back-up of data (process tracker information and the store catalogue) in case of server or critical component failure. |

## 8.11 Corporate and Social Responsibility and Social Value

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| 1 | **SVS 8.98** | The Supplier will ensure that they and their sub-contractors comply with all laws relating to discrimination in employment or service provision and HM Passport Office's current Equality & Diversity Policy. |
| 1 | **SVS 8.99** | The Supplier will effect and maintain (or procure) the Insurances required for this contract and any other insurances as may be required by law. |
| 1 | **SVS 8.100** | The Supplier will ensure that they and their sub-contractors comply with all laws relating to Health and Safety. |

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| 1 | **SVS 8.101** | The Supplier shall develop an energy reduction strategy and set out how it will reduce consumption year on year, over the length of the contract. |
| 1 | **SVS 8.102** | The Supplier shall ensure that it has destruction and disposal policies for waste relating to the ethical and secure disposal of waste. |
| 1 | **SVS 8.103** | The Supplier shall comply with the responsibilities described in ISO 14001 |
| 1 | **SVS 8.104** | The Supplier shall consider the relevance of sustainability at all stages of the lifecycle in the provision of Services, including the consideration of commercial needs, the minimisation of negative impacts, and the maximisation of positive impacts on society and the environment. |
| 1 | **SVS 8.105** | The Supplier shall seek to mitigate sustainability impacts, such as the reduction of waste (paper and equipment). |
| 1 | **SVS 8.106** | The Supplier shall work with HM Passport Office to identify opportunities to introduce innovation, reduce cost and waste and ensure sustainable development is at the heart of their operation. |
| 1 | **SVS 8.107** | The Supplier shall take into consideration the Social Value Act. |
| 1 | **SVS 8.108** | The Supplier shall develop and invest in skills development and apprenticeships to build a more skilled and productive workforce and reduce the risks of supply constraints and increased labour cost inflations. |
| 1 | **SVS 8.109** | The supplier shall develop a supply chain management tracking system to ensure performance of the contract including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries) and advertise any sub-contracting opportunities through Contracts Finder. |

## 8.12 Locations and On-Site Support

Document Handling Units must be in a minimum of two separate locations for Business Continuity and Disaster Recovery (BCDR) reasons. The locations must be on the UK mainland and accessible by public transport and / or good road network access. HM Passport Office will not provide the premises for the Document Handling Units.

The two Document Handling Units will have a small number of HM Passport Office staff embedded in each, i.e. the Civil Servant Embedded Team (CSET). For 'Operational Services' delivery this will consist of a maximum of 20 staff per DHU (the HMPO core CSET team size), although the Authority may decide to provide additional staff for 'early life support' or exceptionally high volume periods. If the supplier requests additional support from the Authority for more than the HMPO core CSET team size, the extra resource costs will be funded by the Supplier. The size of the CSET is expected to decrease during the contract, following agreement of both Parties, once the supplier is proficient in the new processes e.g. Validation. Changes to the HMPO core CSET team size will be agreed via a Change Request. The staff in the embedded team will work 37 hours per week across standard daytime business hours Monday to Friday.

The primary functions of these staff will be to:

- Advise the Supplier, when consulted, on document validation when the pass/fail outcome for a document is not immediately clear.
- Answer questions relating to document categorisation and validation (for example, an unknown document type or assistance with interpreting HM Passport Office's reference material).
- Provide a point for decision making, as required, and escalation to the Public Protection Directorate.
- Perform sample checks to assure the quality of processes and procedures.

The Supplier will be expected to provide HM Passport Office's embedded staff with access to workplace facilities, including but not restricted to:

- IT (broadband network and routers) enabled to access the internal HM Passport Office systems, email, intranet and network drives and secure conferencing.
- Confidential Waste and/or shredding capabilities.
- Secure lockable storage (suitable for the storage of laptops and confidential documents, as required).
- A secure room without external windows and with the ability to be 'blacked out' to be used as a 'forgery room'.
- Access to the Supplier Personnel's facilities (toilets, rest areas, as examples).

*HM Passport Office staff will only be embedded within working (i.e. not BCDR specific) sites. How work is split between sites is at the Supplier's discretion based on their proposed solution.*

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| 1 | **SVS 8.110** | The Supplier will facilitate the embedding of a team of HM Passport Office Civil Servants within the Document Handling Unit. |
| 1 | **SVS 8.111** | The Supplier will collaborate with HM Passport Office to agree ways of working to ensure embedded HM Passport Office staff have access to the same facilities as that of the Supplier's Personnel. |
| 1 | **SVS 8.112** | The Supplier will comply with the Health and Safety Guidance for the Home Office Group (copy provided in the 'Further Information' section). |
| 1 | **SVS 8.113** | The Supplier will provide Document Handling Units in a minimum of two locations. Offsite from the existing HM Passport Offices, and on the UK mainland. |
| 1 | **SVS 8.114** | The Supplier will ensure the Document Handling Unit locations are on the UK mainland and accessible by public transport and / or good road network access. |
| 1 | **SVS 8.115** | The Supplier will provide the embedded HM Passport Office team with a small, secure room with no external windows and with the ability to be blacked out (for example without internal windows or with blackout blinds). |
| 1 | **SVS 8.116** | The Supplier will provide the embedded HM Passport Office team with lockable, secure storage for their equipment. |
| 1 | **SVS 8.117** | The Supplier will allow the embedded HM Passport Office Team access to the physical document store and access to the Supplier's document retrieval system. |

## 8.13 Implementation and Transition

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| 1 | **SVS 8.118** | The Supplier will align with HM Passport Office's project delivery processes. |
| 1 | **SVS 8.119** | The Supplier will build on the Outline Implementation Plan to develop a Detailed Implementation Plan within 20 days of effective date and to be agreed between the Project and Suppliers during Project Definition |
| 1 | **SVS 8.120** | The Supplier will develop Test and Quality Plans agreed between the Project, Suppliers and (where appropriate) DDaT, prior to Go Live |

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| 1 | **SVS 8.121** | The Supplier will develop, and be responsible for, the overall management of a Transition Plan agreed between the Project, Suppliers and Operations Management, prior to Go Live to align with the HM Passport Office Transition guidance as detailed in Appendix 4. |
| 1 | **SVS 8.122** | The Supplier will develop reporting procedures and provide all reports, plans and information aligned with, and in electronic formats consistent with, HM Passport Office policies and procedures. |

**Further Requirements**

The Supplier will deliver a costed proposal for introducing technology to validate documents, within twelve months from contract signature, for discussion with the Authority.