SCHEDULE 19 – Management Information and Reporting

1. **MANAGEMENT INFORMATION AND OPEN BOOK DATA**

1.1   During the Contract Period and for a period of 6 years thereafter, the Service Provider shall maintain and retain the Open Book Data.

1.2   The Service Provider shall provide the Authority with the Management Information set out below in paragraph 1.3 at the frequency indicated therein, in an agreed format (unless otherwise indicated in 1.3) and split into Regions and Areas.

1.3   **Reporting Requirements**

MI Reporting Reference	Management Information Requirement	Frequency
MI01	All currently active Warrants and Orders, details of actions undertaken in relation to each and details of all Warrants and Orders completed since the previous report (including details of final outcome)	Monthly
MI02	Forced entry log, including details of all applications for forced entry applied for and issued, and all actions undertaken and details of the outcome in relation to each	Monthly
MI03	Invoice summaries (monthly and year to date) in respect of invoices incurred or relating to this Contract and/or the Services, including details of what invoices have been submitted, details of cost centres, amount of each invoice, date submitted and date paid (if applicable)	Monthly
MI04	Complaint summary in respect of complaints received in relation to the Services, including details of all open complaints and steps taken in relation to these, details of all closed complaints and outcomes in relation to these (e.g. whether complaint upheld or not) and any actions undertaken to improve the Services as a result of complaints received	Monthly
MI05	Contractual disputes relating to the Contract	Monthly
MI06	FOIA requests and Data Subject Requests received by the Service Provider in relation to the Services and/or the Contract	Monthly
MI07	Compensation claims received in respect of or relating to the Services, including details of request, steps taken to investigate the claim, details of all closed claims and outcomes in relation to these and any actions undertaken to improve the Services as a result of the claim received	Monthly
MI08	Details of all Field Operatives including: i. certification held; ii. protective characteristics (as set out in the Equality Act 2010) iii. details of security clearance validation in line with Section 1.6 of Schedule iv. any training received or ongoing; v. any mentoring carried out (as provider or recipient); and vi. full details of any disciplinary actions completed or ongoing. Additional information may be requested as necessary to ensure full compliance with the Contract. Such requests will be made in writing and usually with at least one month's notice; exceptionally a shorter timeframe may be necessary to enable the Authority to comply with external requests.	Monthly

MI13	The Service Provider shall comply with the Risks, Issues and Assurance Framework (appendix 2) and shall in particular provide the Authority's NCM with the following: Risks and Issues Register, to be kept up-to-date at all times and submitted to the NCM and reviewed at each Regional Contract Meeting detailed in Schedule 12;	Monthly
MI13.1	Quarterly Statement of Risk on Internal Control; and	Quarterly
MI13.2	Annual Statement on Internal Control.	Yearly
MI14	The Service Provider shall send the Authority copies of the Daily Bank Reconciliation reports each month. The reports shall include details of any unidentified or unreconciled items.	Monthly
MI15	Details of cases where there has been a claim of vulnerability and the outcome	

1.4   The minimum required reporting fields for the reports listed above are contained within Annex 3.

1.5   The Service Provider shall provide the Authority with access to its Management Information reporting tool to enable the Authority to verify and audit the Service Provider's Management Information and assess the Service Provider's performance against the KPIs and Performance Measures. The Service Provider shall provide a report-writing tool to enable the creation of ad-hoc reports by authorised Authority personnel.

1.6   The Authority reserves the right to visit Service Provider sites to carry out verification audits in accordance with clause E9 (Audit) on Management Information provided.

1.7   The Service Provider shall comply with the Risks, Issues and Assurance Framework and shall in particular provide the Authority's NCM with the requirements set out in MI13, 13.1 & 13.2 above.

1.8   The Service Provider commits to achieving continuous improvement and to support this, it shall have a process in place for reviewing opportunities and efficiency innovations.

2.   **MAINTENANCE AND RETENTION OF RECORDS**

2.1   The Service Provider shall retain and maintain all the records (including superseded records) referred to in paragraph 2.4 (together "**Records**"):

(a)   in accordance with the requirements of Good Industry Practice;

(b)   in chronological order;

(c)   in a form that is capable of audit; and

(d)   at its own expense.

2.2   The Service Provider shall make the Records available for inspection to the Authority on request, subject to the Authority giving reasonable notice.

2.3   The Service Provider shall, during the Contract Period and for a period of at least 6 years (or such other period as may be indicated by the Authority) following the expiry or termination of this Contract, maintain or cause to be maintained complete and accurate

documents and records in relation to the provision of the Services including but not limited to all Records.

2.4   The Records to be kept by the Service Provider are:

(a)   this Contract, its Schedules and all amendments to such documents;

(b)   all other documents which this Contract expressly requires to be prepared;

(c)   records relating to the appointment and succession of the CM and each member of the Key Personnel;

(d)   all operation and maintenance manuals prepared by the Service Provider for the purpose of maintaining the provision of the Services;

(e)   all formal notices, reports or submissions made by the Service Provider to the Authority in connection with the provision of the Services;

(f)   all certificates, licences, registrations or warranties in each case obtained by the Service Provider in relation to the provision of the Services;

(g)   documents prepared by the Service Provider in support of claims for the Price;

(h)   documents submitted by the Service Provider pursuant to the Variation procedure.

(i)   documents submitted by the Service Provider pursuant to invocation by it or the Authority of the dispute resolution procedure set out in clause I1 (Dispute Resolution);

(j)   documents evidencing any change in ownership or any interest in any or all of the shares in the Service Provider and/or the Guarantor, where such change may cause a change of Control; and including documents detailing the identity of the persons changing such ownership or interest;

(k)   invoices and records related to VAT sought to be recovered by the Service Provider;

(l)   financial records, including audited and un-audited accounts of the Service Provider and the Guarantor.

(m)   records required to be retained by the Service Provider by Law, including in relation to health and safety matters and health and safety files and all consents;

(n)   all documents relating to the insurances to be maintained under this Contract and any claims made in respect of them; and

(o)   all other records, notices or certificates required to be produced and/or maintained by the Service Provider pursuant to this Contract.

ANNEX 1

PERFORMANCE SPREADSHEET TO BE USED BY THE PRIMARY SERVICE PROVIDER

Note that columns and rows are transposed for the purposes of the contract documentation.

Breach Warrants	Date of Issue	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Set field type to BREACH only
	Active? Yes / No	Area reference (LIBRA)
	MET Reference	Account Number from Court (case number)
	A/C Number	
	Postcode	
	Region	
	Area	
	Batch Code	
	Bail date ordered by the court as stated on warrant at issue	
Exclusions	Evidence Defendant Outside England & Wales?	
	Defendant Address Details Missing?	
	Excluded from Measures? Yes / No	Calculated = If "Evidence of Outside E & W" = "Yes" OR "Defendant Details Missing" - "Yes" THEN "Yes" ELSE "No"

	Date Excluded	
Withdrawn	Withdrawn by Court?	
	Withdrawal Date	
Youth Flag	Youth? Yes / No	Youth? Yes / No
a) Receipt of Warrant or Order	Date Received by Supplier	
	Date Confirmed entered into the Service Providers IT System	
	Calculated = Working Days to Enter into the Service Providers IT System = "Date Confirmed Entered" - "Date Received" PM1a1Calc1	= Number of Working Days
	Calculated = Breach Warrants Entered into Providers IT System by End of Next Full Working Day? Yes / No PM1a1Calc2	If PM1a1Calc1 < 2 Working Days THEN "Yes" ELSE "No"
	PM1a1 % of Breach Warrants Entered into Suppliers IT System by End of Next Full Working Day from Receipt Target = 95%	PM1a1 Calculated from PM1a1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded

	Calculated = Clamping Order Entered into Providers IT System by end of Third Full Working Day? Yes / No PM1a2Calc2	If PM1a1Calc1 < 4 Working Days THEN "Yes" ELSE "No"
	PM1a2 % of Breach Warrants Entered into Suppliers IT System by end of Third Full Working Day from Receipt Target = 100%	PM1a2 Calculated from PM1a2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
b) Issue Initial Contact Notice	Date Initial Contact Notice Issued	
	Calculated = "Date Initial Contact Notice Issued" - "Date Confirmed Entered into Suppliers IT System" PM1b1Calc1	= Number of Working Days
	Calculated = Date of Issue Initial Contact Notice by End of Third Full Working Day of being Entered into Providers IT System? Yes / No PM1b1Calc2	If PM1b1Calc1 < 4 Working Days Then "Yes" ELSE "No"

	PM1b1 % of Breach Warrants - Issued Initial Contact Notice by End of Third Full Working Day of being Entered into Providers IT System Target 100%	PM1b1 Calculated from PM1b1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Risk Assessment Date	
	Risk Assessment Status	
	Date of Allocation	Date allocated to CEO
	Allocated Officer ID	Unique identifier CEO
	Date of Visit 1	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 1	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Visit 2	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Visit 3	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 3	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Most Recent Visit	Date of most recent visit
	Total Visits	Number of total visit
	Tracing check 1 date	Date they try and locate person via trace
	Tracing check 2 date	Suggested change to most recent tracing check

	Interagency reviews	Breach warrants & commitment warrants (do not have an end date can only be withdrawn by court) - review by multiple bodies e.g. court, Probation, Police etc to progress or withdraw etc
	Forced Entry Date (If applicable)	Only applicable for some warrants.
c) Conduct Personal Contact Visits	Calculated = Calendar Days to Third Visit = "Date of Visit 3" - "Date of Issue" PM1c1Calc1	= Number of Calendar Days
	Calculated = Has a Third Visit Taken Place? Yes / No PM1c1Calc2	IF "PM1c1Calc1 > 0 THEN "Yes" ELSE "No"

	Calculated = for Unexecuted Warrants for Adults, Have 3 Visits taken place within 30 Calendar Days from Date of Issue? Yes / No PM1c1Calc3	Calculated FOR "Active" Warrants IF "PM1c1Calc2 = "No" THEN "No" IF "Youth Flag" = "No" AND "PM1c1Calc2 = "Yes" AND PM1c1Calc1 <31 THEN "Yes" ELSE "No"
	PM1c1a % of Unexecuted Adult Breach Warrants that have Received 3 Personal Contact Visits within 30 Calendar Days from Date of Issue Target 100%	Calculated from PM1c1Calc3 IF "Youth Flag" = "No" = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded

	Calculated = For Unexecuted Warrants for Youths, Have 3 Visits taken place within 15 Calendar Days from Date of Issue? Yes / No PM1c1Calc4	Calculated FOR "Active" Warrants IF "PM1c1Calc2 = "No" THEN "No" IF "Youth Flag" = "Yes" AND "PM1c1Calc2 = "Yes" AND PM1c1Calc1 <16 THEN "Yes" ELSE "No"
	PM1c1y % of Unexecuted Youth Breach Warrants that have Received 3 Personal Contact Visits within 30 Calendar Days from Date of Issue Target 100%	Calculated from PM1c1Calc4 IF "Youth Flag" = "Yes" = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
d) Reviews of Unexecuted Warrants	Calculated = "Report End Date" - "Date Warrant Issued" PM1d1Calc1	= Number of Calendar Days

	Calculated = Is it More Than 90 Calendar Days since the Warrant was Issued? PM1d1Calc2	Calculated from PM1d1Calc1 IF PM1d1Calc1 > 90 Calendar Days THEN "Yes" ELSE "No"
	Date of Last Review on Warrant	
	Calculated = "Report End Date" - "Date of Last Review" PM1d1Calc3	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Review on Warrant"
	Calculated Over 90 Calendar Days since Issue and Less Than or Equal to 30 Calendar Days since last Review? Yes / No PM1d1Calc4	FOR "Warrant Active" = "Yes" AND PM1d1Calc2 ="Yes" IF PM1d1Calc3 <31 Calendar Days THEN "Yes" ELSE "No"
	PM1d1 % of Unexecuted Breach Warrants Over 90 Calendar Days from Issue and Reviewed within the Last 30 Calendar Days Target 100%	Calculated from PM1d1Calc4 = Total "Yes" / (total "Yes" + "No") x 100% - Less Excluded

e) Warrant or Order Progression	No Measures for Breach Warrants	
f) Movement (Activity) on Warrant or Order	Date of Last Action on Warrant	
	Calculated = "Report End Date" - "Date of Last Action" PM1f1Calc1	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Action on Warrant" May be the same as PM1d1Calc3
	Calculated Has the Warrant had Movement (Activity) within the Last 30 Calendar Days? Yes / No PM1f1Calc2	IF "Warrant Active" = "Yes" AND IF PM1f1Calc1 < 31 Calendar Days THEN "Yes" ELSE "No"
	PM1f1 % of Breach Warrants with Movement (Activity) within Last 30 Calendar Days Target 100%	Calculated from PM1f1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
Returned	Returned? Yes / No	Sending back to us.
	Date Warrant Returned	
	Return Code	Listed in spec
Successful Executed	Successfully Executed Yes / No?	
	Date of Successful Execution	

(KPI1) = KPI3a & KPI3y	Calculated = "Date of Successful Execution" - "Date of Issue" KPI1Calc1	= Number of Calendar Days
	Calculated = Successfully Executed within 30 Calendar Days from Date of Issue? Yes / No KPI1Calc2	FOR "Active Warrants" = "Yes" AND FOR "Youth Flag" = "No" IF KPI1Calc1 <31 THEN KPI1Calc2 = "Yes" ELSE "No"
	KPI1a % of Adult Breach Warrants Successfully Executed within 30 Calendar Days from Date of Issue Target 75%	KPI1a Calculated off KPI1Calc2 Total "Yes" / Total ("Yes + "No") - Less Excluded
	Calculated = Successfully Executed within 15 Calendar Days Target Time? Yes / No KPI1Calc3	FOR "Active Warrants" = "Yes" AND FOR "Youth Flag" = "Yes" IF KPI1Calc1 <16 THEN KPI1Calc3 = "Yes" ELSE "No"

	KPI1y % of Youth Breach Warrants Successfully Executed within 15 Calendar Days from Date of Issue Target 75%	KPI1y Calculated off KPI1Calc3 Total "Yes" / Total ("Yes + "No") - Less Excluded

Clamping Orders	Date of Issue	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to CLAMPING Order only
	Active? Yes / No	Active = "Yes" IF "Issue Date" <> 0 or "Blank" [AND "Excluded" ="No" AND "Withdrawn" = "No" AND "Returned" = "No" AND "Successfully Executed" = "No"] ELSE ="No"
	MET Reference	Area reference (LIBRA)

	A/C Number	Account Number from Court (case number)
	Postcode	
	Region	
	Area	
	Batch Code	
	Issued Balance	How much money to collect
	O/S Balance	Total Outstanding balance
	HMCTS Balance	How much owed to us
	Fees Balance	How much are the Clamping fees
Exclusions	Evidence Defendant Outside England & Wales?	
	Defendant Address Details Missing?	
	Excluded from Measures? Yes / No	Calculated = If "Evidence of Outside E & W" = "Yes" OR "Defendant Details Missing" - "Yes" THEN "Yes" ELSE "No"
	Date Excluded	
Withdrawn by Court	Withdrawn by Court?	
	Withdrawal Date	
Youth Flag	Youth? Yes / No	Youth? Yes / No
a) Receipt of Warrant or Order	Date Received by Supplier	
	Date Confirmed entered into the Service Providers IT System	

	Calculated = Working Days to Enter into the Service Providers IT System = "Date Confirmed Entered" - "Date Received" PM2a1Calc1	= Number of Working Days
	Calculated = Clamping Order Entered into Providers IT System by End of Next Full Working Day? Yes / No PM2a1Calc2	If PM2a1Calc1 < 2 Working Days THEN "Yes" ELSE "No"
	PM2a1 % Clamping Orders Entered into Suppliers IT System by End of Next Full Working Day from Receipt Target = 95%	PM2a1 Calculated from PM2a1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Calculated = Clamping Order Entered into Providers IT System by end of Third Full Working Day? Yes / No PM2a2Calc2	If PM2a1Calc1 < 4 Working Days THEN "Yes" ELSE "No"
	PM2a2 % Clamping Orders Entered into Suppliers IT System by end of Third Full Working Day from Receipt Target = 100%	PM2a2 Calculated from PM2a2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Date Initial Contact Notice Issued	

b) Issue Initial Contact Notice	Calculated = "Date Initial Contact Notice Issued" - "Date Confirmed Entered on Suppliers IT System" PM2b1Calc1	= Number of Working Days
	Calculated = Date of Issue Initial Contact Notice by end of Third Full Working Day of being entered into Providers IT System? Yes / No PM2b1Calc2	If PM2b1Calc1 < 4 Working Days Then "Yes" ELSE "No"
	PM2b1 % Clamping Orders - Issued Initial Contact Notice by End of Third Full Working Day of being Entered into Providers IT System Target 100%	PM2b1 = Calculated from PM2b1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Risk Assessment Date	
	Risk Assessment Status	
	Date of Allocation	Date allocated to CEO
	Allocated Officer ID	Unique identifier CEO
	Date of Visit 1	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 1	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Visit 2	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type

	Date of Visit 3	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 3	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Removal Visit	Date of goods removed for warrant of control
	Most Recent Visit	Date of most recent visit
	Total Visits	Number of total visit
	Tracing check 1 date	Date they try and locate person via trace
	Tracing check 2 date	Suggested change to most recent tracing check
c) Conduct Personal Contact Visits	Calculated = "Date of Visit 1" - "Date Entered on Suppliers IT System" PM2c1Calc1	= Number of Calendar Days
	Calculated = Is PM2c1Calc1 Less Than 14 Calendar Days? Yes / No PM2c1Calc2	IF PM2c1Calc1 < 14 THEN "Yes" ELSE "No"
	Calculated = Is PM2c1Calc Greater Than 30 Calendar Days? Yes / No PM2c1Calc3	IF PM2c1Calc1 > 30 THEN "Yes" ELSE "No"

	Calculated = First Personal Contact Between 14 and 30 Calendar Day from Entered on Supplier's IT System? Yes / No PM2c1Calc4	IF PM2c1Calc2 = "No" OR PM2c1Calc3 = "No" THEN PM2c1Calc4 = "Yes" ELSE PM2c1Calc4 = "No"
	PM2c1 % of Clamping Orders where First Contact Visits Between 14 and 30 Calendar Days of Entered on Supplier's IT System Target = 100%	Calculated off PM2c1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
	Calculated = Number of Calendar Days since the Order was issued = "Report Date" - "Date of Issue" PM2c2Calc1	= Number of Calendar Days
	Calculated = Order Successfully Executed in Last 90 Calendar Days? Yes / No PM2c2Calc3	IF PM2c2Calc1 < 91 AND "Successfully Executed" = "Yes" THEN "Yes" ELSE "No"

	Calculated = Order had 3rd Visit Carried out in Last 90 Calendar Days? Yes / No PM2c2Calc4	IF PM2c2Calc1 < 91 AND "Date of Visit 3" <> 0 THEN "Yes" ELSE "No"
	Calculated = Was Order Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue? Yes / No PM2c2Calc4	IF PM2c2Calc2 = "Yes" OR PM2c2Calc3 = "Yes" THEN PM2c2Calc4 = "Yes" ELSE PM2c2Calc4 = "No"
	PM2c2 % of Clamping Orders Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue. Target 100%	Calculated off PM2c2Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
d) Review of Unexecuted Orders	No Measures for Clamping Orders	

e) Warrant or Order Successfully Executed or Progressed	Calculated = Successfully Executed in Last 90 Calendar Days? Yes/No PM2e1Calc1	IF "Successfully Executed" = "Yes" AND "Report End Date" - "Successful Execution Date" < 91 Calendar Days THEN "Yes" ELSE "No"
	Calculated = Progressed in Last 90 Calendar Days? Yes / No PM2e1Calc2	IF "Active" AND "Report End Date" - "Date of Last Action on Order" < 91 Calendar Days THEN "Yes" ELSE "No"
	Calculated = Executed or Progressed in Last 90 Calendar Days? Yes / No PM2e1Calc3	IF PM2e1Calc1 = "Yes" OR PM2e1Calc2 = "Yes" THEN PM2e1Calc3 = "Yes" ELSE PM2e1Calc3 = "No"
	PM2e1 % Clamping Orders Executed or Progressed within last 90 Calendar Days - Target 75%	Calculated from PM2e1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded

f) Movement (Activity) on Warrant or Order	Date of Last Action on Order	
	Calculated = "Report End Date" - "Date of Last Action" PM2f1Calc1	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Action on Warrant"
	Calculated Has the Order had Movement (Activity) within the Last 30 Calendar Days? Yes / No PM2f1Calc2	IF "Warrant Active" = "Yes" AND IF PM2f1Calc1 < 31 Calendar Days THEN "Yes" ELSE "No"
	PM2f1 % of Clamping Orders with Movement (Activity) within 30 Calendar Days Target 100%	Calculated from PM2f1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
	Date Account Paid in Full	
	Amount Paid (£)	For settled accounts or part payment returns, the amount paid of the original is required
Returned	Returned? Yes / No	Sending back to us.
	Date Order Returned	Sending back to us.
	Return Code	Listed in spec
Successfully Executed	Successfully Executed Yes / No?	
	Date of Successful Execution	

KPI2	Date of Successful Execution or Last Progressed	
	Calculated = "Date of Successful Execution or Last Progressed" - "Date of Issue" KPI2Calc1	= Number of Calendar Days
	Calculated = Successfully Executed or Progressed within 90 Calendar Days Target Time? Yes / No KPI2Calc2	FOR "Active Orders" ="Yes" IF KPI2Calc1 < 91 THEN KPI2Calc2 = "Yes" ELSE "No"
	KPI2 % Clamping Orders Successfully Executed or Progressed within 90 Calendar Days from Date of Issue Target 75%	KPI2 Calculated off KPI2Calc2, i.e. the total "Yes" divided by the Total "Yes + "No" - Less Excluded

Commitment Warrant	Date of Issue	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to Commitment Warrants only
	Active? Yes / No	

	MET Reference	Area reference (LIBRA)
	A/C Number	Account Number from Court (case number)
	Postcode	
	Region	
	Area	
	Batch Code	
	Issued Balance	How much money to collect
	HMCTS Balance	How much owed to us
Exclusions	Evidence Defendant Outside England & Wales?	
	Defendant Address Details Missing?	
	Excluded from Measures? Yes / No	Calculated = If "Evidence of Outside E & W" = "Yes" OR "Defendant Details Missing" - "Yes" THEN "Yes" ELSE "No"
	Date Excluded	
Withdrawn by Court	Withdrawn by Court?	
	Withdrawal Date	
Youth Flag	Youth? Yes / No	Youth? Yes / No
a) Receipt of Warrant or Order	Date Received by Supplier	
	Date Confirmed entered into the Service Providers IT System	
	Calculated = Working Days to Enter into the Service Providers IT System = "Date Confirmed Entered" - "Date Received" PM3a1Calc1	= Number of Working Days

	Calculated = Commitment Warrants Entered into Providers IT System by End of Next Full Working Day? Yes / No PM3a1Calc2	If PM3a1Calc1 < 2 Working Days THEN "Yes" ELSE "No"
	PM3a1 % Commitment Warrants Entered into Suppliers IT System by End of Next Full Working Day from Receipt Target = 95%	PM3a1 Calculated from PM3a1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Calculated = Commitment Warrants Entered into Providers IT System by end of Third Full Working Day? Yes / No PM3a2Calc2	If PM3a1Calc1 < 4 Working Days THEN "Yes" ELSE "No"
	PM3a2 % Commitment Warrants Entered into Suppliers IT System by end of Third Full Working Day from Receipt Target = 100%	PM3a2 Calculated from PM3a2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
b) Issue Initial Contact Notice	Date Initial Contact Notice Issued	
	Calculated = "Date Initial Contact Notice Issued" - "Date Confirmed Entered on Suppliers IT System" PM3b1Calc1	= Number of Working Days

	Calculated = Date of Issue Initial Contact Notice by end of Third Full Working Day of being entered into Providers IT System? Yes / No PM3b1Calc2	If PM3b1Calc1 < 4 Working Days Then "Yes" ELSE "No"
	PM3b1 % Commitment Warrants- Issued Initial Contact Notice by End of Third Full Working Day of being Entered into Providers IT System Target 100%	PM3b1 = Calculated from PM3b1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Risk Assessment Date	
	Risk Assessment Status	
	Date of Allocation	Date allocated to CEO
	Allocated Officer ID	Unique identifier CEO
	Date of Visit 1	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 1	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Visit 3	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 3	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Most Recent Visit	Date of most recent visit
	Total Visits	Number of total visit

	Tracing check 1 date	Date they try and locate person via trace
	Tracing check 2 date	Suggested change to most recent tracing check
	Forced Entry Date (If applicable)	Only applicable for some warrants.
c) Conduct Personal Contact Visits	Calculated = "Date of Visit 1" - "Date of Issue" PM3c1Calc1	= Number of Calendar Days
	Calculated = Is PM3c1Calc1 Within 14 Calendar Days? Yes / No PM3c1Calc2	IF PM3c1Calc1 < 15 THEN "Yes" ELSE "No"
	PM3c1 % of Commitment Warrants where First Contact Visits Within 14 Calendar Days of the Date of Issue Target = 100%	Calculated off PM3c1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
	Calculated = Number of Calendar Days since the Warrant was Issued = "Report Date" - "Date of Issue" PM3c2Calc1	= Number of Calendar Days
	Calculated = Warrant Successfully Executed in Last 90 Calendar Days? Yes / No PM3c2Calc2	IF PM3c2Calc1 < 91 AND "Successfully Executed" = "Yes" THEN "Yes" ELSE "No"

	Calculated = Warrant had 3rd Visit Carried out in Last 90 Calendar Days? Yes / No PM3c2Calc3	IF PM3c2Calc1 < 91 AND PM3c2Calc1 <> 0 THEN "Yes" ELSE "No"
	Calculated = Was Warrant Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue? Yes / No PM3c2Calc4	IF PM3c2Calc2 = "Yes" OR PM3c2Calc3 = "Yes" THEN PM3c2Calc4 = "Yes" ELSE PM3c2Calc4 = "No"
	PM3c2 % of Commitment Warrants Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue. Target 100%	Calculated off PM3c2Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
d) Reviews of Unexecuted Warrants	Calculated = "Report End Date" - "Date of Issued" PM3d1Calc1	= Number of Calendar Days

	Calculated = Is it More Than 90 Days Since the Warrant Was Issued? PM3d1Calc2	Calculated off PM3d1Calc1 IF PM3d1Calc1 > 90 Calendar Days THEN "Yes" ELSE "No"
	Date of Last Review on Warrant	
	Calculated = "Report End Date" - "Date of Last Review on Warrant" PM3d1Calc3	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Review on Warrant"
	Calculated Over 90 Calendar Days since Issue and Less Than or Equal to 30 Calendar Days since last Review? Yes / No PM3d1Calc4	FOR "Warrant Active" = "Yes" AND PM3d1Calc2 ="Yes" IF PM3d1Calc3 <31 Calendar Days THEN "Yes" ELSE "No"
	PM3d1 % of Unexecuted Commitment Warrants Over 90 Calendar Days from Issue and Reviewed within the Last 30 Calendar Days Target 100%	Calculated from PM3d1Calc4 = Total "Yes" / (total "Yes" + "No") x 100% - Less Excluded Target = 100%
e) Warrant or Order Progression	No Measures for Commitment Warrants	
f) Movement (Activity) on Warrant or Order	Date of Last Action on Warrant	

	Calculated = "Report End Date" - "Date of Last Action" PM3f1Calc1	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Action on Warrant"
	Calculated Has the Warrant had Movement (Activity) within the Last 30 Calendar Days? Yes / No PM3f1Calc2	IF "Warrant Active" = "Yes" AND IF PM3f1Calc1 < 31 Calendar Days THEN "Yes" ELSE "No"
	PM3f1 % of Commitment Warrants with Movement (Activity) within 30 Calendar Days Target 100%	Calculated from PM3f1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
	Date Arrested and Transported to Custody	
	Date Surrendered to the Court	
	Date Account Paid in Full	
	Amount Paid (£)	For settled accounts or part payment returns, the amount paid of the original is required
Returned	Returned? Yes / No	Sending back to us.
	Date Warrant Returned	Sending back to us.
	Return Code	Listed in spec
Successfully Executed	Successfully Executed Yes / No?	
	Date of Successful Execution	

(KPI3) = KPI3a & KPI3y	Calculated = "Date of Successful Execution" - "Date of Issue" KPI3Calc1	= Number of Calendar Days
	Calculated = Successfully Executed within 30 Calendar Days from Date of Issue? Yes / No KPI3Calc2	FOR "Active Warrants" = "Yes" AND FOR "Youth Flag" = "No" IF KPI3Calc1 < 31 THEN KPI3Calc2 = "Yes" ELSE "No"
	KPI3a % Adult Commitment Warrants Successfully Executed within 30 Calendar Days from Date of Issue Target = 75%	KPI3a Calculated off KPI3Calc2, i.e. the total "Yes" divided by the Total "Yes + "No" - Less Excluded
	Calculated = Successfully Executed within 15 Calendar Days from Date of Issue? Yes / No KPI3Calc3	FOR "Active Warrants" = "Yes" AND FOR "Youth Flag" = "Yes IF KPI3Calc1 < 16 THEN KPI3Calc3 = "Yes" ELSE "No"

	KPI3y % Youth Commitment Warrants Successfully Executed within 15 Calendar Days from Date of Issue Target = 75%	KPI3y Calculated off KPI3Calc3, i.e. the total "Yes" divided by the Total "Yes + "No" - Less Excluded

Committal To Custody Overnight At Police Station Warrants	Date of Issue	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to Committal to Custody
	Active? Yes / No	
	MET Reference	Area reference (LIBRA)
	A/C Number	Account Number from Court (case number)

	Postcode	
	Region	
	Area	
	Batch Code	
	Issued Balance	How much money to collect
	HMCTS Balance	How much owed to us
Exclusions	Evidence Defendant Outside England & Wales?	
	Defendant Address Details Missing?	
	Excluded from Measures? Yes / No	Calculated = If "Evidence of Outside E & W" = "Yes" OR "Defendant Details Missing" - "Yes" THEN "Yes" ELSE "No"
	Date Excluded	

Withdrawn by Court	Withdrawn by Court?	
	Withdrawal Date	
Youth Flag	Youth? Yes / No	Youth? Yes / No
a) Receipt of Warrant or Order	Date Received by Supplier	
	Date Confirmed entered into the Service Providers IT System	
	Calculated = Working Days to Enter into the Service Providers IT System = "Date Confirmed Entered" - "Date Received" PM4a1Calc1	= Number of Working Days

	Calculated = Committal to Custody Warrants Entered into Providers IT System by End of Next Full Working Day? Yes / No PM4a1Calc2	If PM4a1Calc1 < 2 Working Days THEN "Yes" ELSE "No"
	PM4a1 % Committal to Custody Warrants Entered into Suppliers IT System by End of Next Full Working Day from Receipt Target = 95%	PM4a1 Calculated from PM4a1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded

	Calculated = Committal to Custody Warrants Entered into Providers IT System by end of Third Full Working Day? Yes / No PM4a2Calc2	If PM4a1Calc1 < 4 Working Days THEN "Yes" ELSE "No"
	PM4a2 % Committal to Custody Warrants Entered into Suppliers IT System by end of Third Full Working Day from Receipt Target = 100%	PM4a2 Calculated from PM4a2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
b) Issue Initial Contact Notice	Date Initial Contact Notice Issued	

	Calculated = "Date Initial Contact Notice Issued" - "Date Confirmed Entered on Suppliers IT System" PM4b1Calc1	= Number of Working Days
	Calculated = Date of Issue Initial Contact Notice by end of Third Full Working Day of being entered into Providers IT System? Yes / No PM4b1Calc2	If PM4b1Calc1 < 4 Working Days Then "Yes" ELSE "No"

	PM4b1 % Committal to Custody Warrants - Issued Initial Contact Notice by End of Third Full Working Day of being Entered into Providers IT System Target 100%	PM4b1 = Calculated from PM4b1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Risk Assessment Date	
	Risk Assessment Status	
	Date of Allocation	Date allocated to CEO
	Allocated Officer ID	Unique identifier CEO
	Time of Visit 1	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type

	Date of Visit 2	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Visit 3	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 3	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type

	Most Recent Visit	Date of most recent visit
	Total Visits	Number of total visits
	Tracing check 1 date	Date they try and locate person via trace
	Tracing check 2 date	Suggested change to most recent tracing check
c) Conduct Personal Contact Visits	Calculated = "Date of Visit 1" - "Date of Issue" PM4c1Calc1	= Number of Calendar Days
	Calculated = Is PM4c1Calc1 Within 14 Calendar Days? Yes / No PM4c1Calc2	IF PM4c1Calc1 < 15 THEN "Yes" ELSE "No"

	PM4c1 % of Committal to Custody Warrants where First Contact Visits Within 14 Calendar Days of the Date of Issue Target = 100%	Calculated off PM4c1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
	Calculated = Number of Calendar Days since the Warrant was issued = "Report Date" - "Date of Issue" PM4c2Calc1	= Number of Calendar Days

	Calculated = Warrant Successfully Executed in Last 90 Calendar Days? Yes / No PM4c2Calc2	IF PM4c2Calc1 < 91 AND "Successfully Executed" = "Yes" THEN "Yes" ELSE "No"
	Calculated = Warrant had 3rd Visit Carried out in Last 90 Calendar Days? Yes / No PM4c2Calc3	IF PM4c2Calc1 < 91 AND "Date of Visit 3" <> 0 THEN "Yes" ELSE "No"

	Calculated = Was Warrant Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue? Yes / No PM4c2Calc4	IF PM4c2Calc2 = "Yes" OR PM4c2Calc3 = "Yes" THEN PM4c2Calc4 = "Yes" ELSE PM4c2Calc4 = "No"
	PM4c2 % of Committal to Custody Warrants Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue. Target 100%	Calculated off PM4c2Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded

d) Review of Unexecuted Warrants	Calculated = "Report End Date" - "Date of Issued" PM4d1Calc1	= Number of Calendar Days
	Calculated = Is it More Than 90 Days Since the Warrant Was Issued? PM4d1Calc2	Calculated off PM4d1Calc1 IF PM4d1Calc1 > 90 Calendar Days THEN "Yes" ELSE "No"
	Date of Last Review on Warrant	
	Calculated = "Report End Date" - "Date of Last Review on Warrant" PM4d1Calc3	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Review on Warrant"

	Calculated Over 90 Calendar Days since Issue and Less Than or Equal to 30 Calendar Days since last Review? Yes / No PM4d1Calc4	FOR "Warrant Active" = "Yes" AND PM4d1Calc2 ="Yes" IF PM4d1Calc3 <31 Calendar Days THEN "Yes" ELSE "No"
	PM4d1 % of Unexecuted Commitment Warrants Over 90 Calendar Days from Issue and Reviewed within the Last 30 Calendar Days Target 100%	Calculated from PM4d1Calc4 = Total "Yes" / (total "Yes" + "No") x 100% - Less Excluded Target = 100%

e) Warrant or Order Successfully Executed or Progressed	Calculated = Successfully Executed in Last 90 Calendar Days? PM4e1Calc1	IF "Successfully Executed" = "Yes" AND "Report End Date" - "Successful Execution Date" < 91 Calendar Days THEN "Yes" ELSE "No"
	Calculated = Progressed in Last 90 Calendar Days? Yes / No PM4e1Calc2	IF "Active" AND "Report End Date" - "Date of Last Action on Order" < 91 Calendar Days THEN "Yes" ELSE "No"

	Calculated = Executed or Progressed in Last 90 Calendar Days? Yes / No PM4e1Calc3	IF PM4e1Calc1 = "Yes" OR PM4e1Calc2 = "Yes" THEN PM4e1Calc3 = "Yes" ELSE PM4e1Calc3 = "No"
	PM4e1 % Committal to Custody Warrants Executed or Progressed within last 90 Calendar Days - Target 98%	Calculated from PM4e1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
f) Movement (Activity) on Warrant or Order	Date of Last Action on Warrant	

	Calculated = "Report End Date" - "Date of Last Action" PM4f1Calc1	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Action on Warrant"
	Calculated Has the Warrant had Movement (Activity) within the Last 30 Calendar Days? Yes / No PM4f1Calc2	IF "Warrant Active" = "Yes" AND IF PM4f1Calc1 < 31 Calendar Days THEN "Yes" ELSE "No"
	PM4f1 % of Committal to Custody Warrants with Movement (Activity) within 30 Calendar Days Target 100%	Calculated from PM4f1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded

	Date Arrested and Transported to Police Custody	
	Date Account Paid in Full	
	Amount Paid (£)	For settled accounts or part payment returns, the amount paid of the original is required
Returned	Returned? Yes / No	Sending back to us.
	Date Warrant Returned	Sending back to us.
	Return Code	Listed in spec
Successfully Executed	Successfully Executed Yes / No?	
	Date of Successful Execution	
KPI4	Date of Successful Execution or Last Progressed	

	Calculated = "Date of Successful Execution or Last Progressed" - "Date of Issue" KPI4Calc1	= Number of Calendar Days
	Calculated = Successfully Executed or Progressed within 90 Calendar Days from Date of Issue? Yes / No KPI4Calc2	FOR "Active Warrants" ="Yes" IF KPI4Calc1 < 91 THEN KPI4Calc2 = "Yes" ELSE "No"

	KPI4 % Committal to Custody Warrants Successfully Executed or Progressed within 90 Calendar Days from Date of Issue Target 98%	KPI4 Calculated off KPI4Calc2, i.e. the total "Yes" divided by the Total "Yes + "No" - Less Excluded

Confiscation Orders	Date of Issue	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to Confiscation Order
	Active? Yes / No	

	MET Reference	Area reference (LIBRA)
	A/C Number	Account Number from Court (case number)
	Postcode	
	Region	
	Area	
	Batch Code	
	Issued Balance	How much money to collect
	O/S Balance	Total Outstanding balance
	HMCTS Balance	How much owed to us
	Fees Balance	
Exclusions	Evidence Defendant Outside England & Wales?	
	Defendant Address Details Missing?	

	Excluded from Measures? Yes / No	Calculated = If "Evidence of Outside E & W" = "Yes" OR "Defendant Details Missing" - "Yes" THEN "Yes" ELSE "No"
	Date Excluded	
Withdrawn by Court	Withdrawn by Court?	
	Withdrawal Date	
Youth Flag	Youth? Yes / No	Youth? Yes / No
a) Receipt of Warrant or Order	Date Received by Supplier	
	Date Confirmed entered into the Service Providers IT System	

	Calculated = Working Days to Enter into the Service Providers IT System = "Date Confirmed Entered" - "Date Received" PM5a1Calc1	= Number of Working Days
	Calculated = Confiscation Order Entered into Providers IT System by End of Next Full Working Day? Yes / No PM5a1Calc2	If PM5a1Calc1 < 2 Working Days THEN "Yes" ELSE "No"
	PM5a1 % Confiscation Orders Entered into Suppliers IT System by End of Next Full Working Day from Receipt Target = 95%	PM5a1 Calculated from PM5a1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded

	Calculated = Confiscation Order Entered into Providers IT System by end of Third Full Working Day? Yes / No PM5a2Calc2	If PM5a1Calc1 < 4 Working Days THEN "Yes" ELSE "No"
	PM5a2 % Confiscation Orders Entered into Suppliers IT System by end of Third Full Working Day from Receipt Target = 100%	PM5a2 Calculated from PM5a2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
b) Issue Initial Contact Notice	No Measures for Confiscation Orders	
c) Conduct Personal Contact Visits	No Measures for Confiscation Orders	
d) Review of Unexecuted Orders	No Measures for Confiscation Orders	
	Risk Assessment Date	
	Risk Assessment Status	

	Date of Allocation	Date allocated to CEO
	Allocated Officer ID	Unique identifier CEO
	Time of Visit 1	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Visit 2	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type

	Date of Visit 3	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 3	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of Removal Visit	Date of goods removed for warrant of control
	Most Recent Visit	Date of most recent visit
	Total Visits	Number of total visits

e) Warrant or Order Successfully Executed or Progressed	Calculated = Successfully Executed in Last 35 Calendar Days? PM5e1Calc1	IF "Successfully Executed" = "Yes" AND "Report End Date" - "Successful Execution Date" < 36 Calendar Days THEN "Yes" ELSE "No"
	Calculated = Progressed in Last 35 Calendar Days? Yes / No PM5e1Calc2	IF "Active" AND "Report End Date" - "Date of Last Action on Order" < 36 Calendar Days THEN "Yes" ELSE "No"

	Calculated = Executed or Progressed in Last 35 Calendar Days? Yes / No PM5e1Calc3	IF PM5e1Calc1 = "Yes" OR PM5e1Calc2 = "Yes" THEN PM5e1Calc3 = "Yes" ELSE PM5e1Calc3 = "No"
	PM5e1 % Confiscation Orders Executed or Progressed within last 35 Calendar Days Target 98%	Calculated from PM5e1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
f) Movement (Activity) on Warrant or Order	Date of Last Action on Order	
	Calculated = "Report End Date" - "Date of Last Action" PM5f1Calc1	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Action on Warrant"

	Calculated Has the Order had Movement (Activity) within the Last 30 Calendar Days? Yes / No PM5f1Calc2	IF "Warrant Active" = "Yes" AND IF PM5f1Calc1 < 31 Calendar Days THEN "Yes" ELSE "No"
	PM5f1 % of Confiscation Orders had with Movement (Activity) within 30 Calendar Days Target 100%	Calculated from PM5f1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
g) Realisation of Specific Assets with Consent	Date of contact the with the relevant Authority confiscation team to discuss the specific details	

	Calculated = Date of contact the with the relevant Authority - Date confirmed entered into the Service Providers IT System PM5g1Calc1	= Working Days
	Calculated = Contact by end of Third Full Working Day? Yes / No PM5g1Calc2	If PM5g1Calc1 <4 Working Days THEN "Yes" ELSE "No"
	PM5g1 % Contact with Authority Within 3 Working Days of Being Entered on IT System Target 100%	Calculated from PM5g1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded

	Date arrangements made to secure collection of the asset	
	Calculated = Date arrangements made to secure collection of the asset - Date received by Supplier PM5g2Calc1	= Working Days
	Calculated = Arrangements within 7 Working Days? Yes / No PM5g2Calc2	IF PM5g2Calc1 <8 Working Days THEN "Yes" ELSE "No"
	Pm5g2 % Arrangements Completed within 7 Working Days of Receipt Target 95%	Calculated from PM5g2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded

	Calculated = Arrangements within 7 Working Days? Yes / No PM5g2Calc3	IF PM5g3Calc1 <11 Working Days THEN "Yes" ELSE "No"
	Pm5g3 % Arrangements Completed within 10 Working Days of Receipt Target 95%	Calculated from PM5g3Calc3 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Date Asset Collected	
	Date Payment Made to the Authority	
	Extension to 20 Working Days Target Granted? Yes / No	

	Calculated = "Date Payment Made to the Authority" - "Date Asset Collected" PM5g4Calc1	= days
	Calculated = Payment Within 20 Working Days? Yes / No PM5g4Calc2	IF PM5g4Calc1 <21 Working Days THEN "Yes" ELSE "No"
	PM5g4 % of Assets Sold and Payments Made to Authority Within 20 Working Days of Asset Being Collected - Target 100%	Calculated from PM5g4Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded and Extension Granted

	Confiscation Orders Only: Date of Asset Sale	
	Confiscation Orders Only: Date Arranged For Sale of Asset	
	Confiscation Orders Only: Date of NCES Contact	
	Confiscation Orders Only: Date Arrangement Made (for collection)	

	Amount Paid (£)	For settled accounts or part payment returns, the amount paid of the original is required
	Confiscation Orders Only: Date of Payment to Authority	To satisfy performance measures on confiscation orders
Returned	Returned? Yes / No	Sending back to us.
	Date Order Returned	Sending back to us.
	Return Code	Listed in spec
Successfully Executed	Successfully Executed Yes / No?	
	Date of Successful Execution	
KPI5	Date of Successful Execution or Last Progressed	

	Calculated = "Date of Successful Execution or Last Progressed" - "Date of Issue" KPI5Calc1	= Number of Calendar Days
	Calculated = Successfully Executed or Progressed within 35 Calendar Days from Date of Issue? Yes / No KPI5Calc2	FOR "Active Orders" = "Yes" AND IF KPI5Calc1 < 36 THEN KPI5Calc2 = "Yes" ELSE "No"
	KPI5 % Confiscation Orders Successfully Executed or Progressed within 35 Days from Date of Issue Target 98%	KPI5 Calculated off KPI5Calc2, i.e. the total "Yes" divided by the Total "Yes + "No" - Less Excluded

Financial Arrest Warrants	Date of Issue	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to Financial Arrest Warrant
	Active? Yes / No	
	MET Reference	Area reference (LIBRA)
	A/C Number	Account Number from Court (case number)
	Postcode	
	Region	
	Area	
	Batch Code	

	Issued Balance	How much money to collect
	Bail date ordered by the court as stated on warrant at issue	
	O/S Balance	Total Outstanding balance
	HMCTS Balance	How much owed to us
	Type of Financial Arrest Warrant? Choice field	Used for calculating PM6d1 - Financial Confiscation Arrest Warrants and PM6d2 - Financial Arrest Warrants issued on a Suspended Commitment
Exclusions	Evidence Defendant Outside England & Wales?	

	Defendant Address Details Missing?	
	Excluded from Measures? Yes / No	Calculated = If "Evidence of Outside E & W" = "Yes" OR "Defendant Details Missing" - "Yes" THEN "Yes" ELSE "No"
	Date Excluded	
Withdrawn by Court	Withdrawn by Court?	
	Withdrawal Date	
Youth Flag	Youth? Yes / No	Youth? Yes / No
a) Receipt of Warrant or Order	Date Received by Supplier	
	Date Confirmed entered into the Service Providers IT System	

	Calculated = Working Days to Enter into the Service Providers IT System = "Date Confirmed Entered" - "Date Received" PM6a1Calc1	= Number of Working Days
	Calculated = Financial Arrest Warrants Entered into Providers IT System by End of Next Full Working Day? Yes / No PM6a1Calc2	If PM6a1Calc1 < 2 Working Days THEN "Yes" ELSE "No"

	PM6a1 % Financial Arrest Warrants Entered into Suppliers IT System by End of Next Full Working Day from Receipt Target = 95%	PM6a1 Calculated from PM6a1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Calculated = Financial Arrest Warrants Entered into Providers IT System by end of Third Full Working Day? Yes / No PM6a2Calc2	If PM6a1Calc1 < 4 Working Days THEN "Yes" ELSE "No"

	PM6a2 % Financial Arrest Warrants Entered into Suppliers IT System by end of Third Full Working Day from Receipt Target = 100%	PM6a2 Calculated from PM6a2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
b) Issue Initial Contact Notice	Date Initial Contact Notice Issued	
	Calculated = "Date Initial Contact Notice Issued" - "Date Confirmed Entered on Suppliers IT System" PM6b1Calc1	= Number of Working Days

	Calculated = Date of Issue Initial Contact Notice by end of Third Full Working Day of being entered into Providers IT System? Yes / No PM6b1Calc2	If PM6b1Calc1 < 4 Working Days Then "Yes" ELSE "No"
	PM6b1 % Financial Arrest Warrants - Issued Initial Contact Notice by End of Third Full Working Day of being Entered into Providers IT System Target 100%	PM6b1 = Calculated from PM6b1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Risk Assessment Date	
	Risk Assessment Status	

	Date of Pre-Visit TTP (if applicable)	TTP = Time to Pay Date agreed payment plan.
	Date Pre-Visit TTP failed	Date payment plan failed.
	Date of Allocation	Date allocated to CEO
	Allocated Officer ID	Unique identifier CEO
	Date of Visit 1	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 1	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type

	Date of TTP Agreed Between Visit 1 and 2	
	Date TTP Failed	
	Date of Visit 2	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of TTP Agreed Between Visit 2	
	Date TTP Failed	

	Date of Visit 3	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 3	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date Initial Extension Granted	Where an extension is granted the issue date may be very old, therefore this field will record the extension granted date.
	Most Recent Visit	Date of most recent visit
	Total Visits	Number of total visit

	Tracing check 1 date	Date they try and locate person via trace
	Tracing check 2 date	Suggested change to most recent tracing check
	Forced Entry Date (If applicable)	Only applicable for some warrants.
c) Conduct Personal Contact Visits	Calculated = "Date of Visit 1" - "Date Entered on Suppliers IT System" PM6c1Calc1	= Number of Calendar Days
	Calculated = Is PM6c1Calc1 Within 14 Calendar Days? Yes / No PM6c1Calc2	IF PM6c1Calc1 < 14 THEN "Yes" ELSE "No"
	Calculated = Is PM6c1Calc Greater Than 30 Calendar Days? Yes / No PM6c1Calc3	IF PM6c1Calc1 > 30 THEN "Yes" ELSE "No"

	Calculated = First Personal Contact Between 14 and 30 Calendar Day from Entered on Supplier's IT System? Yes / No PM6c1Calc4	IF PM6c1Calc2 = "No" OR PM6c1Calc3 = "No" THEN PM6c1Calc4 = "Yes" ELSE PM6c1Calc4 = "No"
	PM6c1 % of Financial Arrest Warrants where First Contact Visits Between 14 and 30 Calendar Days of Entered on Supplier's IT System - Target = 100%	Calculated off PM6c1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded

	Calculated = Number of Calendar Days since the Warrant was issued = "Report Date" - "Date of Issue" PM6c2Calc1	= Number of Calendar Days
	Calculated = Warrant Successfully Executed in Last 90 Calendar Days? Yes / No PM6c2Calc2	IF PM6c2Calc1 < 91 AND "Successfully Executed" = "Yes" THEN "Yes" ELSE "No"
	Calculated = Warrant had 3rd Visit Carried out in Last 90 Calendar Days? Yes / No PM6c2Calc3	IF PM6c2Calc1 < 91 AND "Date of Visit 3" <> 0 THEN "Yes" ELSE "No"

	Calculated = Was Warrant Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue? Yes / No PM6c2Calc4	IF PM6c2Calc2 = "Yes" OR PM6c2Calc3 = "Yes" THEN PM6c2Calc4 = "Yes" ELSE PM6c2Calc4 = "No"
	PM6c2 % of Financial Arrest Warrants Successfully Executed or 3rd Visit Conducted within 90 Calendar Days from Date of Issue. Target 98%	Calculated off PM6c2Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
d) Reviews of Unexecuted Warrants	Calculated = "Report End Date" - "Date Warrant Issued" PM6d1Calc1	= Number of Calendar Days

	Calculated = Is it More Than 90 Days Since the Warrant Was Issued? PM6d1Calc2	Calculated off PM6d1Calc1 IF PM6d1Calc1 > 90 Calendar Days THEN "Yes" ELSE "No"
	Date of Last Review on Warrant	
	Calculated = "Report End Date" - "Date of Last Review" PM6d1Calc3	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Review on Warrant"

	Calculated Over 90 Calendar Days since Issue and Less Than or Equal to 30 Calendar Days since last Review? Yes / No PM6d1Calc4	FOR "Warrant Active" = "Yes" AND PM6d1Calc2 ="Yes" IF PM6d1Calc3 <31 Calendar Days THEN "Yes" ELSE "No"
	PM6d1 % of Unexecuted Financial Arrest Warrants Over 90 Calendar Days from Issue and Reviewed within the Last 30 Calendar Days - Target 100%	Calculated from PM6d1Calc4 = Total "Yes" / (total "Yes" + "No") x 100% - Less Excluded Target = 100%

e) Warrant or Order Successfully Executed or Progressed	Calculated = Successfully Executed in Last 90 Days? PM6e1Calc1	IF "Successfully Executed" = "Yes" AND "Report End Date" - "Successful Execution Date" < 91 Calendar Days THEN "Yes" ELSE "No"
	Calculated = Progressed in Last 90 Days? Yes / No PM6e1Calc2	IF "Active" AND "Report End Date" - "Date of Last Action on Order" < 91 Calendar Days THEN "Yes" ELSE "No"

	Calculated = Executed or Progressed in Last 90 Days? Yes / No PM6e1Calc3	IF PM6e1Calc1 = "Yes" OR PM6e1Calc2 = "Yes" THEN PM6e1Calc3 = "Yes" ELSE PM6e1Calc3 = "No"
	PM6e1 % Financial Arrest Warrants Executed or Progressed within last 90 days - Target 100%	Calculated from PM6e1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
f) Movement (Activity) on Warrant or Order	Date of Last Action on Warrant	

	Calculated = "Report End Date" - "Date of Last Action" PM6f1Calc1	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Action on Warrant"
	Calculated Has the Warrant had Movement (Activity) within the Last 30 Calendar Days? Yes / No PM6f1Calc2	IF "Warrant Active" = "Yes" AND IF PM6f1Calc1 < 31 Calendar Days THEN "Yes" ELSE "No"
	PM6f1 % of Financial Arrest Warrants with Movement (Activity) within 30 Calendar Days Target 100%	Calculated from PM6f1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded

	Date Arrested and Transported to Custody	
	Date Arrested and Bailed	
	Date of Planned Surrender	
	Date Surrendered to the Court	
	Date Account Paid in Full	
	Amount Paid (£)	For settled accounts or part payment returns, the amount paid of the original is required
Returned	Returned? Yes / No	Sending back to us.
	Date Warrant Returned	Sending back to us.
	Return Code	Listed in spec
Successfully Executed	Successfully Executed Yes / No?	

KPI6	Date of Successful Execution	
	Date of Successful Execution or Last Progressed	
	Calculated = "Date of Successful Execution or Last Progressed" - "Date of Issue" KPI6Calc1	= Number of Calendar Days
	Calculated = Successfully Executed or Progressed within 90 Calendar Days from Date of Issue? Yes / No KPI6Calc2	FOR "Active Warrants" = "Yes" IF KPI6Calc1 <= 90 THEN KPI6Calc2 = "Yes" ELSE "No"

	KPI6 % Financial Arrest Warrants Successfully Executed or Progressed within 90 Days from Date of Issue Target 98%	KPI6 Calculated off KPI6Calc2, i.e. the total "Yes" divided by the Total "Yes + "No" - Less Excluded

Warrants of Control	Date of Issue	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to Warrant of Control
	Active? Yes / No	
	MET Reference	Area reference (LIBRA)

	A/C Number	Account Number from Court (case number)
	Postcode	
	Region	
	Area	
	Batch Code	
	Issued Balance	How much money to collect
	O/S Balance	Total Outstanding balance
	HMCTS Balance	How much owed to us
	Fees Balance	How much are the WoC fees
Exclusions	Evidence Defendant Outside England & Wales?	
	Defendant Address Details Missing?	

	Excluded from Measures? Yes / No	Calculated = If "Evidence of Outside E & W" = "Yes" OR "Defendant Details Missing" - "Yes" THEN "Yes" ELSE "No"
	Date Excluded	
Withdrawn by Court	Withdrawn by Court?	
	Withdrawal Date	
Youth Flag	Youth? Yes / No	Youth? Yes / No
a) Receipt of Warrant or Order	Date Received by Supplier	
	Date Confirmed entered into the Service Providers IT System	

	Calculated = Working Days to Enter into the Service Providers IT System = "Date Confirmed Entered" - "Date Received" PM7a1Calc1	= Number of Working Days
	Calculated = Warrants of Control Entered into Providers IT System by End of Next Full Working Day? Yes / No PM7a1Calc2	If PM7a1Calc1 < 2 Working Days THEN "Yes" ELSE "No"
	PM7a1 % Warrants of Control Entered into Suppliers IT System by End of Next Full Working Day from Receipt Target = 95%	PM7a1 Calculated from PM7a1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded

	Calculated = Warrants of Control Entered into Providers IT System by end of Third Full Working Day? Yes / No PM7a2Calc2	If PM7a1Calc1 < 4 Working Days THEN "Yes" ELSE "No"
	PM7a2 % Warrants of Control Entered into Suppliers IT System by end of Third Full Working Day from Receipt Target = 100%	PM7a2 Calculated from PM7a2Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
b) Issue Initial Contact Notice	Date Initial Contact Notice Issued	

	Calculated = "Date Initial Contact Notice Issued" - "Date Confirmed Entered on Suppliers IT System" PM7b1Calc1	= Number of Working Days
	Calculated = Date of Issue Initial Contact Notice by end of Third Full Working Day of being entered into Providers IT System? Yes / No PM7b1Calc2	If PM7b1Calc1 < 4 Working Days Then "Yes" ELSE "No"

	PM7b1 % Warrants of Control - Issued Initial Contact Notice by End of Third Full Working Day of being Entered into Providers IT System Target 100%	PM7b1 = Calculated from PM7b1Calc2 = Total Yes / Total (Yes + No) x 100% - Less Excluded
	Risk Assessment Date	
	Risk Assessment Status	
	Date of Pre-Visit TTP (if applicable)	TTP = Time to Pay Date agreed payment plan.
	Date Pre-Visit TTP failed	Date payment plan failed.
	Date of Allocation	Date allocated to CEO
	Allocated Officer ID	Unique identifier CEO

	Date of Visit 1	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 1	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of TTP Agreed Between Visit 1 and 2	
	Date TTP Failed	
	Date of Visit 2	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type

	Time of Visit 2	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date of TTP Agreed Between Visit 2	
	Date TTP Failed	
	Date of Visit 3	Date of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Time of Visit 3	Time of visit even if they are not successful, also dependent on Warrant Type/Order Type
	Date Extension Applied for	

	Date Initial Extension Granted	Where an extension is granted the issue date may be very old, therefore this field will record the extension granted date.
	WoC Only: Current Extension End Date	The date the latest extension is due to expire.
	Date of Removal Visit	Date of goods removed for warrant of control
	Most Recent Visit	Number of total visits
	Total Visits	Number of total visits
	Tracing check 1 date	Date they try and locate person via trace

	Tracing check 2 date	Suggested change to most recent tracing check
	Forced Entry Date (If applicable)	Only applicable for some warrants.
c) Conduct Personal Contact Visits	Calculated = "Date of Visit 1" - "Date Entered on Suppliers IT System" PM7c1Calc1	= Number of Calendar Days
	Calculated = Is PM7c1Calc1 Less Than 14 Calendar Days? Yes / No PM7c1Calc2	IF PM7c1Calc1 < 14 THEN "Yes" ELSE "No"
	Calculated = Is PM7c1Calc Greater Than 30 Calendar Days? Yes / No PM7c1Calc3	IF PM7c1Calc1 > 30 THEN "Yes" ELSE "No"

	Calculated = First Personal Contact Between 14 and 30 Calendar Day from Entered on Supplier's IT System? Yes / No PM7c1Calc4	IF PM7c1Calc2 = "No" OR PM7c1Calc3 = "No" THEN PM7c1Calc4 = "Yes" ELSE PM7c1Calc4 = "No"
	PM7c1 % of Warrants of Control where First Contact Visits Between 14 and 30 Calendar Days of Entered on Supplier's IT System Target = 100%	Calculated off PM7c1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded

	Calculated = Number of Calendar Days since the Warrant was issued = "Report Date" - "Date of Issue" PM7c2Calc1	= Number of Calendar Days
	Calculated = Warrant Successfully Executed in Last 180 Calendar Days? Yes / No PM7c2Calc2	IF PM7c2Calc1 < 181 AND "Successfully Executed" = "Yes" THEN "Yes" ELSE "No"

	Calculated = Warrant had 3rd Visit Carried out in Last 180 Calendar Days? Yes / No PM7c2Calc3	IF PM7c2Calc1 < 181 AND "Date of Visit 3" <> 0 THEN "Yes" ELSE "No"
	Calculated = Was Warrant Successfully Executed or 3rd Visit Conducted within 180 Calendar Days from Date of Issue? Yes / No PM7c2Calc4	IF PM7c2Calc2 = "Yes" OR PM7c2Calc3 = "Yes" THEN PM7c2Calc4 = "Yes" ELSE PM7c2Calc4 = "No"

	PM7c2 % of Warrants of Control Successfully Executed or 3rd Visit Conducted within 180 Calendar Days from Date of Issue. Target 100%	Calculated off PM7c2Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
d) Review of Unexecuted Warrants	No Measures for Clamping Orders	
e) Warrant or Order Successfully Executed or Progressed	Calculated = Successfully Executed in Last 180 Days? PM7e1Calc2	IF "Successfully Executed" = "Yes" AND "Report End Date" - "Successful Execution Date" < 181 Calendar Days THEN "Yes" ELSE "No"

	Calculated = Progressed in Last 180 Days? Yes / No PM7e1Calc2	IF "Active" AND "Report End Date" - "Date of Last Action on Order" < 181 Calendar Days THEN "Yes" ELSE "No"
	Calculated = Executed or Progressed in Last 180 Days? Yes / No PM7e1Calc3	IF PM7e1Calc1 = "Yes" OR PM7e1Calc2 = "Yes" THEN PM7e1Calc3 = "Yes" ELSE PM7e1Calc3 = "No"

	PM7e1 % Warrants of Control Executed or Progressed within last 180 days Target 98%	Calculated from PM7e1Calc4 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
f) Movement (Activity) on Warrant or Order	Date of Last Action on Warrant	
	Calculated = "Report End Date" - "Date of Last Action" PM7f1Calc1	IF "Warrant Active" = "Yes" THEN = Number of Calendar Days from "Date of Last Action on Warrant"

	Calculated Has the Warrant Been Reviewed within the Last 30 Calendar Days? Yes / No PM7f1Calc2	IF "Warrant Active" = "Yes" AND IF PM7f1Calc1 < 31 Calendar Days THEN "Yes" ELSE "No"
	PM7f1 % of Warrants of Control with Movement (Activity) within 30 Calendar Days Target 100%	Calculated from PM7f1Calc2 = Total "Yes" / Total ("Yes" + "No") x 100% - Less Excluded
	Date Account Paid in Full	
	Amount Paid (£)	For settled accounts or part payment returns, the amount paid of the original is required

Returned	Returned? Yes / No	Sending back to us.
	Date Warrant Returned	Sending back to us.
	Return Code	Listed in spec
Successfully Executed	Successfully Executed Yes / No?	
	Date of Successful Execution	
KPI7	Date of Successful Execution or Last Progressed	
	Calculated = "Date of Successful Execution or Last Progressed" - "Date of Issue" KPI7Calc1	= Number of Calendar Days

	Calculated = Successfully Executed or Progressed within 180 Calendar Days from Date of Issue? Yes / No KPI7Calc2	FOR "Active Warrants" = "Yes" AND IF KPI7Calc1 < 181 THEN KPI7Calc2 = "Yes" ELSE "No"
	KPI7 % Warrants of Control Successfully Executed or Progressed within 180 Calendar Days from Date of Issue Target 98%	KPI7 Calculated off KPI7Calc2, i.e. the total "Yes" divided by the Total "Yes + "No" = Less Excluded
h) Dealing with Customer Queries and Complaints	Date of Issue	Date court issues warrant, supplier gets it same day.

	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to Commitment Warrants only
	Active? Yes / No	
	MET Reference	Area reference (LIBRA)
	A/C Number	Account Number from Court (case number)
	Postcode	
	Region	
	Area	
	Batch Code	
Type	Type of Customer Query	Choice field e.g. Letter, email, Telephone,

Date	Date of Customer Query Received by Supplier	
Response to Written Queries	Calculated = Written Query by Customer? Yes / No PM0h1Calc1	IF "Type of Customer Query" = "Letter" OR "email" THEN PM0h1Calc1 = "Yes" ELSE PM0h1Calc1 = "No"
	Date Response Sent by Supplier	
	Calculated = Response Time = "Date Response Sent by Supplier" - "Date Written Query Received by Supplier" PM0h2Calc2	= Number of Working Days to Respond

	Calculated = Response Time Less Than 5 Working Days? Yes / No PM0h1Calc3	IF PM0h1Calc2 <6 THEN PM0h1Calc3 = "Yes" ELSE PM0h1Calc3 = "No"
	PM0h1 % of Responses Within 5 Working Days of Receipt by Supplier Target 100%	Calculated from PM0h1Calc3 = Total Yes / Total (Yes + No) x 100%
Waiting Time	PM0h2 Call Waiting Time - % of Calls Answered Within 20 Seconds Once IVR Choices Selected Target = 80%	Generated by Suppliers Telephony system

Abandoned	PM0h3 Abandoned Calls - % of Telephone Calls Abandoned Against Total Call Volume Received Target = Less Than 5%	Generated by Suppliers Telephony system
Resolution of Complaints	Date Responded to Complaint / Query with Findings and Outcomes	
	Calculated = Response Time (Working Days) = "Date Responded to …" - "Date Written Query Received by Supplier" PM0h4Calc1	= Number of Working Days

	Calculated = Response Time Within 10 Working Days of Receipt by Supplier? Yes / No PM0h4Calc2	IF PM0h4Calc1 <11 THEN PM0h4Calc2 = "Yes" ELSE PM0h4Calc4 = "No"
	PM0h4 % of Complaints / Queries Responded to Within 10 Working Days of Receipt by Supplier Target 100%	Calculated from PM0h4Calc2 = Total Yes / Total (Yes + No) x 100%
Resolution of Escalated Complaints	Complaint / Query Escalated? Yes / No	
	Date Complaint / Query Escalated	

	Date of Response to Escalated Complaint / Query	
	Calculated = Response Time (Working Days) = "Date of Response to ..." - "Date Complaint / Query Escalated" PM0h5Calc1	= Number of Working Days
	Calculated = Response Time Within 10 Working Days of Escalation? Yes / No PM0h5Calc2	IF PM0h5Calc1 <11 THEN PM0h5Calc2 = "Yes" ELSE PM0h5Calc4 = "No"

	PM0h5 % of Escalated Complaints / Queries Responded to Within 10 Working Days of Escalation Target 100%	Calculated from PM0h5Calc2 = Total Yes / Total (Yes + No) x 100%
i) Finance and Accounting	**Date of Issue**	Date court issues warrant, supplier gets it same day.
	Warrant Type	Set options - need to ensure all suppliers use same wording Type set to Commitment Warrants only

	MET Reference	Area reference (LIBRA)
	A/C Number	Account Number from Court (case number)
	Postcode	

	Region	
	Area	
	Batch Code	

Payment Data	**Payment Amount £**	
	Cash or Payment?	Choice Field
	Date Payment Received	

Cash deposits to be securely deposited	Date Cash Deposited Securely	
	Calculated = "Data Cash Deposited Securely" - "Date Payment Received" PM0i1Calc1	= Number of Working Days
	Calculated = Cash Deposited Securely by End of SAME Working Day of Receipt by Supplier? Yes / No PM0i1Calc2	IF PM0i1Calc1 < 1 THEN PM0i1Calc2 = "Yes" ELSE PM0i1Calc2 = "No"

Payments brought to account	PM0i1 **% of Cash Payments Deposited by End of SAME Working Day of Payment being Received by Supplier** **Target 100%**	Calculated from PM0i1Calc2 = Total Yes / Total (Yes + No) x 100%
	Date Payment Brought to Account	
	Calculated = "Date Payment Brought to Account" - "Date Payment Received" **PM0i2Calc1**	= Number of Working Days

	Calculated = Payment Brought to Account End of SAME Working Day of Payment being Received by Supplier? Yes / No PM0i2Calc2	IF PM0i2Calc1 < 1 THEN PM0i2Calc2 = "Yes" ELSE PM0i2Calc2 = "No"
	PM0i2 **% of Cash Payments Brought to Account by End of SAME Working Day of Payment being Received by Supplier Target 100%**	Calculated from PM0i2Calc2 = Total Yes / Total (Yes + No) x 100%
Invoices to Authority	**Date Invoices Sent Electronically to Authority**	

	Calculated = **Invoice Sent to Authority** **by the END of 10th** **Working Day of the of the** **Following Month?** **Yes / No** **PM0i4Calc1**	IF "Number of Days of Date" < 11 THEN "Yes" ELSE "No"
	PM0i4 **% of Invoices Sent** **Electronically to Authority** **Within 10 Working Day of** **the Following Month** **Target 100%**	Calculated from PM0i4Calc1 = Total Yes / Total (Yes + No) x 100%

ANNEX 2 - Risk, Issues & Assurance Framework

The Risk, Issues & Assurance Framework requires the Service Provider to evidence that they have systems in place to identify and manage the risks and issues associated with delivering the contract and that the services are being delivered as specified. There are two elements to the protocol, the Risk and Issues Management and Assurance Frameworks.

The Risk and Issues Management Framework consists of:

- Risks and Issues Register
- Internal Control
    - o Quarterly Statement of Risk on Internal Control (SRIC)
    - o Annual Statement on Internal Control (SIC)

The Assurance Framework consists of:

- Service Provider Meetings at all levels (monthly and quarterly)
- Service Provider Risk and issues Register
- Service Provider internal review processes
- Service Provider Internal risk escalation process
- Service Provider Quarterly Statement of Risk and Internal Control
- Service Provider Annual Statement of Internal Control
- Six monthly and Annual Assurance reporting

Risk, Issues and Assurance Management will form part of the agenda for all meetings

listed at 5.6. in the Governance Schedule.

The Risk and Issues Management Framework

The Service Provider should describe the key elements of their risk and issues management strategy, including the way in which risk (or change in risk) is identified, evaluated and controlled. The Service Provider should also describe ways in which risk management is embedded in the activities carried out to deliver the service specification

The Service Provider shall report on the how they are managing risk within the Contract. The reports will contain identified risks along with a description of risk mitigation plans and agreed actions. There are two elements to this requirement. These are explained in the sections below:

> **A. Risk and Issues Register**
>
> **B. Internal Control**

General approach to Contract Risk Management

The Service Provider is required to record, monitor and report this information to appropriate management levels within their organisation and also to the Authority.

Identifying the Risk

The Service Provider shall identify the risk(s) that may cause the failure to deliver all elements of the Contract. A risk should be defined as an 'Uncertainty of outcome whether positive (opportunity) or negative (threat or missed opportunity)'.

Assessing the Risk

The Service Provider should assess the risk using two factors, namely its:

> **Impact -** should the risk occur; and
> **Likelihood -** of the risk materialising.

The Service Provider will be able to assess the overall severity of each risk using these factors to enable risks to be prioritised and resources focused on the red risks

There will be a risk scoring system used to measure and assess these risks. It shall follow the Authority's standard five point scale risk assessment which is provided in Appendix 1.

Recording Risk

Risks should be defined in a clear and consistent way. The risk should consist of three components: the risk, its cause(s), and the effect(s). A Risks and Issues Register shall be maintained in the form set out in Appendix 2.

Monitoring

The Service Provider shall internally monitor potential risks by regular, at least monthly, risk assessment reviews to ensure that appropriate action is taken in the event that there are changes in risk(s) profile. Review of the Risks and Issues Register should be a standing item at the Service Provider's internal management meetings.

At each review the Service Provider shall consider if risks are still relevant, correctly scored in the light of changing circumstance and record any new risks that have emerged since the Risks and Issues Register was last reviewed. If the risks have not changed the Service Provider should record if risk mitigation plans require any changes to reduce the risk score to the target level.

Risk mitigation plans are defined as plans of action that put into place systems or processes to improve ways of working while reducing the impact and/or likelihood of risk(s).When setting the objectives referred to above the Service Provider should test them by using the SMART technique:

- **S**pecific –Stating clearly what is to be achieved i.e. deliverables/products/outcomes.
- **M**easurable – Through indicators such as percentages, volumes, or quality measures.

- **A**chievable – Consistent with objectives in other business areas.
- **R**ealistic – Achievable (whilst stretching) within the given timescale.
- **T**ime – Include target dates/periods

ensuring they are clear, robust and include sufficient information to support control of the risk. The plan of action should then be sent to the Regional Contract Manager (RCM) and copy to the Area Contract Manager (ACM) and National Contract Manager (NCM) for consultation with the Authority.

Risk Escalation

The Service Provider shall have in place a process to escalate risk should the need arise. The next level of management should be made aware any risk(s) that moves up the risk scale into a new category.

A.   Risk and Issues Register

The Risk and Issues Register, provided in Appendix 2, provides an aggregated view of risk management of the contract at an Area and Regional level.

Assurance and Risk Reporting and Monitoring
The production of the core reports forming the Assurance and Risk Framework is a vital part of ensuring that all contract is being delivered and risk is being managed effectively, assurance and risk monitoring requirements are maintained recorded and acted upon.

The Risk and Issues Register is completed by the Service Provider to assist them in managing the key risks and issues associated with the Contract and to provide the Authority with visibility over contract matters and actions planned to mitigate identified risks. The Area Contract Manager (ACM) and Regional Contract Manager (RCMs) will monitor and scrutinise its use. This forms an important element of the monthly and quarterly review meeting agendas.

Completion of the Risks and Issues Register

The Service Provider should complete a Risk and Issues Register in the form of the risk template provided to support the efficient and effective management of the Approved Enforcement Agencies Contracts.

The Risk and Issues Register should be used as a "live" management tool to be reviewed regularly and updated to meet the reporting needs of the contract.

The Risk and Issues Register should be updated at least monthly and provided quarterly to the Regional Contract Manager (RCM) and the National Contract Manager (NCM) unless a significant change in a risk profile occurs that requires escalation. If this does occur the Risk and Issues Register shall be sent to the RCM immediately and copied to the National Contract Manager (NCM).

The risk mitigation plan should be reviewed with the Service Provider to gauge progress and agree further actions as necessary.

Recording and Monitoring Issues

The Service Provider shall internally monitor current issues by regular, at least monthly, issue assessment reviews to ensure that appropriate action is taken now that what was a potential risk has been realised and has become an issue. Risks that have been realised, or part realised should be transferred to the issue register.

At each review the Service Provider shall consider the impact of the issue, ensure that it is correctly scored in the light of changing circumstance and record any new risks or issues that have emerged since the risk was realised.

Risks	

	Issues
An event that has in fact occurred	An event that has in fact occurred
Conjecture & Anticipation	Responsive & Realised
Prevention & Mitigation Steps	Action & Resolution Steps

The Service Provider will at the minimum follow the escalation protocol laid out in the tender schedule and will alert the Authority within 1 day of any risk or issue that becomes either red or black.

B. Internal Control

Statement of Risk on Internal Control (SRIC)

The Service Provider should complete a SRIC to demonstrate to the Authority that they are able to manage and control contract risk adequately. The Service Provider should complete the SRIC on a quarterly basis and send to the ACM and RCM and a copy should also be sent to the NCM.

The SRIC production, scrutiny and management of planned actions will enable clear and defined areas of risk to be reported The Service Provider will in liaison with the ACM and RCMs will monitor, manage, and mitigate the risks associated with the contract at regular identified intervals throughout the contract.

This overview is broken down into the following sections:

A) Sections of the Statement of Risk on Internal Control
B) Service Provider Requirements
C) Area Contract Managers Actions
D) Regional Contract Managers Actions
E) National Contract Manager

Guidance for completing the SRIC is detailed below.

Sections of the Statement of Risk on Internal Control

The elements of the SRIC are described below

Scope of Responsibility
This should identify who is responsible for the system of internal control for the work undertaken by the Service Provider on behalf of HMCTS.

Capacity to Handle Risk
The Service Provider should describe the organisational structures, systems (Administrative and IT based), polices and process they have in place to manage contract risk.

The Risk and Control Framework
In this section the Service Provider should describe the key elements of their risk management strategy, including the way in which risk (or change in risk) is identified, evaluated and controlled. The Service Provider should also describe ways in which risk management is embedded in the activities carried out to deliver the service specification. This should form a standing item on

agendas for client/Service Provider meetings to form a key element of managing the contract, delivery service improvements and exploiting opportunities whilst minimising risk to service delivery.

Review of Effectiveness

In this section the Service Provider should state how they ensure that risks and mitigation actions are implemented are being managed. The Service Provider should describe the process that has been applied in maintaining and reviewing the effectiveness of the system of internal control to enable the aims and objectives of the contract to be met.

Significant Control Weaknesses

In this section the Service Provider should identify what control weaknesses currently exist and what they are doing to resolve them or manage them. Examples of this could be:

- Any common areas of non-compliance
- Contract specific weaknesses impacting on the Service Providers ability to deliver the contract aims and objectives including capacity and capability issues.
- IT system specific weaknesses impacting on the achievement of a particular element of contracted services
- Health and Safety weaknesses that impact on the contract
- Finance related issues including capacity and capability issues.

A template of the SRIC is provided at Appendix 3.

Statement on Internal Control (SIC)

As part of the yearly report the Service Provider shall submit a Statement on Internal Control (SIC) in relation to the aims and objectives set out in the service specification of the contract. The SIC should identify an overview of the Service Providers responsibilities, the ability to manage, handle and mitigate risk together with their need to identify and manage key weaknesses.

The Statement on Internal Control produced by the Service Provider should be sent to the Regional Contract Manager (RCM) on an annual basis with a copy sent to the National Contract Manager (NCM) and should form part of the annual report. This is an important element of the Assurance and Risk framework.

Completion

As part of the yearly report the Service Provider shall submit a SIC. The SIC produced by the Service Provider should be sent to the RCM on an annual basis with a copy sent to the NCM and should form part of their annual report covering the operations of the contract and wider organisational issues and concerns.

The SIC is broken down into the following sections

A) Sections of the Statement on Internal Control

B) Service Provider Requirements

C) Area Contract Managers Actions

D) Regional Contract Managers Actions

E) National Contract Manager

Sections of the Statement on Internal Control

The elements of the SIC have the same structure as the SRIC. This is described above.

A template of the Statement on Internal Control is provided in Appendix 4

The Assurance Management Framework

The Assurance framework records the contract governance and assurance requirements together with the Regional Contract Manager, Contract Manager, Area Contract Manager and HMCTS Corporate roles and responsibilities, which together provide assurance that the contracts are being operated as specified in the service specification.

Six Monthly progress assurance reports

The Service Provider will provide a report covering performance, operations and protocol compliance to the RCM, NCM and the CCM. The reports are to be used by the Authority to ensure the Service Provider has operated the Contract in accordance with the Specification and delivered continuous improvement and value for money. They will provide an overview of the contracts operation, risks and their management by the Service Provider.

There are two reporting cycles, six monthly and yearly. Reports will cover the operational performance of the Contract for six month periods between **XXXX** and **XXXX** of the contract year, followed by an annual report at the end of the 12 month period.

The six month report should provide a summary of the monthly reported Balanced Scorecards for the period and include identification of key areas of risks and how they have been managed and include the following:

- Risk and Issues Register including progress on any action plans
- Quarterly SRIC
- Six monthly and annual contract assurance and progress reports (as appropriate)

Annual Contract Assurance and Progress Report

The annual report is a review of the operation of the contract over the year and provides an opportunity to identify what has gone well, together with what challenges have been encountered and overcome. It should also include a review of contract performance and discuss how opportunities have been exploited and weaknesses managed. A commentary on changes to the Service Providers business (contract wins/losses and other factors i.e. merger or acquisition) across the year and comment on general operational considerations experienced throughout the year.

The reports should cover the following topics.

- Performance Objectives - Describe the operational framework and any changes made to it during the year. Including structures, systems, policies, procedures and personnel.

- Operations – Describe how the operational framework has supported the achievement of the delivery of the contract through:

  - the Performance Measures
  - performance indicators
  - Identification of continuing blockages to the performance of attainment to the Key Performance Indicators and Performance Measures.
  - Describing what activities are agreed or proposed to address these identified blockages.
  - Assessment of Assurance and Risk by providing a commentary on the operation of the assurance and risk protocol and highlight areas for improvement.
  - describing how risk has been handled throughout the year and the key risks going forward and how these will be managed

- Financial Framework – Describe the financial framework and any changes to it throughout the year. Provide a summary of fine recovery made and costs recovered and a summary of performance for all warrant or order types. The report should also cover the operating returns made from the contract and the overall profitability and financial viability of the company taking into account other contracts and commitments.

- Ethics and Standards – Describe how the ethics and standards framework used by the Service Provider and its operation throughout the year.

- Relationships – How the Service Provider engaged with its stakeholders, MoJ/HMCTS, the public and its staff.

<u>Six Monthly and Annual Contract - Assurance and Progress Report Template</u>

The template provided in Appendix 5 should be used as a basis for completion of the six months and annual operational report(s)

The senior responsible person within the organisation who has the authority to provide the information should complete it, and have it ratified by the Service Provider's Board before it is issued to the Authority.

Appendix 1: The Authority's Standard Five Point Scale for Risk Assessment Scoring

SCALE	IMPACT	
5	Very High	Prevents achievement of the objective or highly damaging impact (e.g. on operational effectiveness or reputation).
4	High	Significant detrimental effect on achievement of the objective in the longer term.
3	Medium	Significant short-term damage, and important to outcome of long term objective.
2	Low	Affects short term goals within the objective without affecting long term achievement.
1	Very Low	Minor and containable impact on achievement of objective.

SCALE	LIKELIHOOD	
5	> 80%	Almost Certain
4	51 – 80%	Probable
3	21 – 50%	Possible / May well happen
2	6 – 20%	Unlikely
1	< 5%	Very Unlikely

Multiplying the impact scale and likelihood scale provides an indication of the overall risk score significance on the following scale.

Scores above 15 Very High
Scores 12 –15 High
Scores 5 – 10 Medium
Scores 1 – 4 Low

Appendix 2: **Risks and Issues Register Template**

Note that columns and rows are transposed for the purposes of the contract documentation.

Risk ID	*EXAMPLE*
Project / Workstream	*Reform Programme*
Date Identified	*01/01/2016*
Risk Impact Type	*Time*
Risk Description	*Project delays due to planning consent* *There is a risk that project delivery may be delayed due to the planning authority taking longer to provide planning consent than originally agreed and planned for.*
Cause(s)	*The cause/s of this risk is/are:* *Planning is not yet approved for the agreed scope of works. Planning authority citing a number of uncertainties that need to be bottomed out before they can make a decision.*
Impact	*The effect/s of this risk occurring is/are:* *Delays in the start of construction, leading to slippage in planned opening dates, enhanced capacity and other deliverables and associated benefits.*
Last Review Date dd/mmm/yy	*07/01/2016*
Mitigating Activities	*Undertake early engagement with Planning Department.* *Complete and ongoing.* *Ensure that the Business Case process recognises planning requirements and timescales needed as part of planning process.* *Complete as per stated requirments* *Project plans to reflect planning in delivery timescales.* *Complete as per stated requirements*
Activity Owner	*1) Secretary* *2) Hire* *3) Lanner*

Impact Date	1) 12/01/2016 2) 10/01/2016 3) 10/01/2016
Impact (I)	*4*
Likelihood (L)	*3*
Score (I x L)	*12*
BRAG rating	*High*
Trend	↔
Latest Update	
Risk Owner	*P. Manager*
Include on Portfolio Report?	*Yes*
Risk Status	*Open*
Date Closed	

Issue ID	*EXAMPLE*	
Date Identified	*29/03/2016*	
Project	*Video Conferencing Enhancement project*	
Risk Source	*N/A*	
Issue Impact Type	*Time*	
Last Review Date	*30/03/2016*	
Issue Description	***Delay in installation of additional lines*** *Installation of additional telephone lines into satellite buildings has been delayed by the supplier (BT) for c4 weeks. This is caused by a resource diversion at BT Openreach following severe storm.*	
Impact	*Without additional telephone lines, newly installed video conferencing equipment cannot be tested by the project team or utilised by the business.*	
Impact (I)	*3*	
Priority (P)	*3*	
Score and BRAG rating (I x P)	**9**	
Overall Rating		
Trend	↔	
Actions	*1) Replanning and prioritisation work to be undertaken based on expected delivery dates for new lines from BT.* *2) Upon completion of (1), T.Boss to have telecon with BT Openreach COO to get commitment to delivery in line with new programme.* *3) Communications plan to be worked up and delivered.*	

Action Owners	1) Lanner 2) lary 3) Comms
Action due dates	1) 31/03/16 2) 03/04/16 3) 10/03/16
Latest Update	
Target Closure Date	07/05/2016
Resolution (to be completed on closure)	
Status	
Date Closed	

Appendix 3: **Statement of Risk on Internal Control (SRIC) Template**

To ……………………..

Statement of Risk on Internal Control (SRIC) for Quarter xxxxxx

Scope of Responsibility

I have responsibility for maintaining a sound system of internal control that supports the achievement of the service delivery obligations I have in respect of the Approved Enforcement Agencies Contract I hold for ……………………….. region(s).

The Purpose of the System of Internal Control

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of our business objectives and service delivery obligations to the Authority, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

Capacity to Handle Risk

Describe the key ways in which:
leadership is given to the risk management process;
staff are trained or equipped to manage risk in a way appropriate to their authority and duties. Include comment on guidance provided to them and ways in which you seek to learn from good practice.

The Risk and Control Framework

> **Describe the key elements of risk management strategy, including the way in which risk (or change in risk) is identified, evaluated and controlled.**
>
> **Describe ways in which risk management is embedded in the activity in your area of the organisation.**

Review of effectiveness

I have responsibility for reviewing the effectiveness of the system of internal control. My review is informed by the work of the managers within my business who have responsibility for the development and maintenance of the internal control framework, and comments made by external audit in their reports and management letters, as appropriate. I have been advised on the implications of the result of my review of the effectiveness of the system of internal control by the Board and a plan to address weaknesses and ensure continuous improvement in the areas identified is in place and being actively managed.

> **Describe the process that has been applied in maintaining and reviewing the effectiveness of the system of internal control, including some comment on the roles of people involved.**

Significant Control Weaknesses

Detail identified significant control weaknesses and include an outline of the actions taken, or proposed to deal with any significant internal control issues, if applicable.

Signed:

Position:

Print Name: **Dated:**

Appendix 4: **Statement on Internal Control (SIC) Template**

To

…………………..

Statement on Internal Control (SIC) for Year xxxxxx

Scope of Responsibility

I have responsibility for maintaining a sound system of internal control for ………………….. that supports the achievement of the service delivery obligations I have in respect of the Approved Enforcement Agencies Contract I hold for ……………. with HMCTS.

The Purpose of the System of Internal Control

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of our business objectives and service delivery obligations to the Authority, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

Capacity to Handle Risk

Describe the key ways is which:

- **leadership is given to the risk management process;**
- **staff are trained or equipped to manage risk in a way appropriate to their authority and duties. Include comment on guidance provided to them and ways in which you seek to learn from good practice.**

-

- The Risk and Control Framework

Describe the key elements of risk management strategy, including the way in which risk (or change in risk) is identified, evaluated, and controlled. Describe ways in which risk management is embedded in the activity in your area of the organisation.

<table>
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Review of effectiveness

I have responsibility for reviewing the effectiveness of the system of internal control. My review is informed by the work of the managers within my business who have responsibility for the development and maintenance of the internal control framework, and comments made by external audit in their reports and management letters, as appropriate. I have been advised on the implications of the result of my review of the effectiveness of the system of internal control by the Board and a plan to address weaknesses and ensure continuous improvement in the areas identified is in place and being actively managed.

Describe the process that has been applied in maintaining and reviewing the effectiveness of the system of internal control, including some comment on the roles of people involved.

- Significant Control Weaknesses

Detail identified significant control weaknesses, and include an outline of the actions taken, or proposed to deal with any significant internal control issues, if applicable.

Signed:

Position:

Print Name: **Dated:**

Appendix 5:

Six Monthly and Annual Contract - Assurance and Progress Report Template

Performance and Objectives

- **Description of the key objectives of the business and its management of the risks in relation to the contract**
- **Impact of other contracts, organisational change and improvements**

Key performance results

- **Description of achievements in the six month/year of operations**

- **Collation of information from Balanced Scorecard including Minimum Attainment Standards**

Improvement initiatives

- **Description of initiatives undertaken or proposed within the reporting period, including update or progress on the mandatory initiative as required within the service specification**

Operations

Purpose and Structure

- **Description of Service Providers management of the operational aspects of its business and how these are and have been applied to the contract through the structure of roles and responsibilities**

Aims

- **To include action plans on performance improvement and company development**

- **To include commentary from the contract Risk Register and Risk Mitigation Action Plans**

- **Detail actions planned/taken in respect of the Annual Contract and Client Audit undertaken by MoJ Internal Audit Division and follow up reports**

Financial Framework

Attach Annual Statement of Accounts

- **Report of operating costs – Breakdown of the contracts operating costs**

- **Recovery amounts – Breakdown of fines recovered as a direct result of the contract work**

- **Forecasts - What are the financial (Income and Expenditure and Gross Profit) forecast for the coming year**

Ethics and Standards

Implementation of Service Provider and MoJ/HMCTS principles

- **Description of how the Service Provider has embedded and managed its own and MoJs/HMCTS core values across the business, including interaction with stakeholders and the public**

- **Summary narrative on engagement with the public, including complaint procedures and handling, the monitoring of agreed actions**

- **Collation of information from Balanced Scorecard Section C**
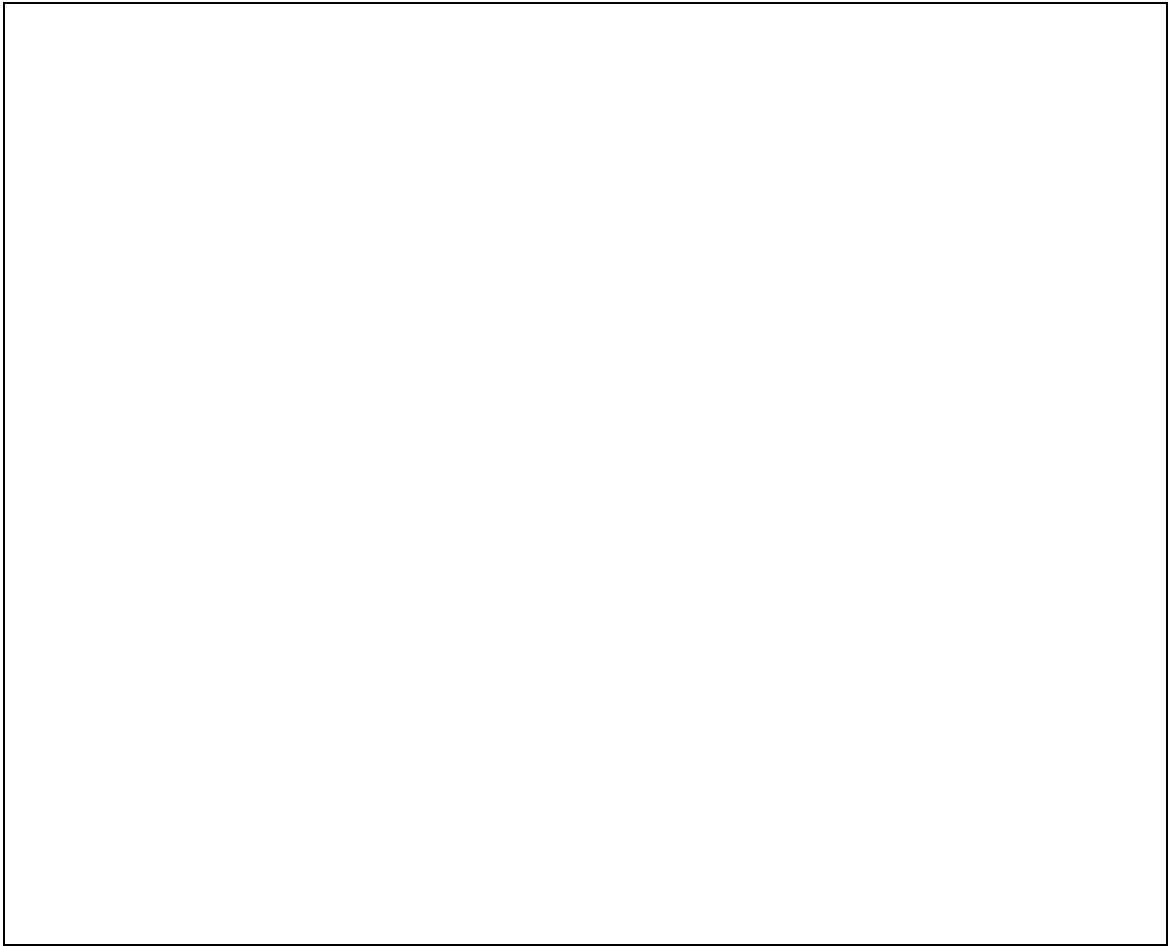
Relationships

Engagement with staff, stakeholders and public

- **Description of how the business developed its methods for managing stakeholder relationships and working with its own staff, MoJ/HMCTS and the public**

- **Collation of information from Balanced Scorecard Section C**

Human Resources and Development

Improving the way we work.

- **Describe the company's recruitment and training processes, with reference staff turnover rates, retention, disciplinary considerations and planned improvements to the HR system**

- **Collation of information from Balanced Scorecard Sections B and D**

ANNEX 3

MINIMUM REPORT REQUIREMENTS

MI01

All currently active Warrants and Orders, details of actions undertaken in relation to each and details of all Warrants and Orders completed since the previous report (including details of final outcome).

Warrant Type
Warrant Number
Account Number
Name
Steps taken to enforce
Payments Received
Current Status
Final Outcome

MI02

Forced entry log, including details of all applications for forced entry applied for and issued, and all actions undertaken and details of the outcome in relation to each.

Warrant number
Account Number
Name
Date of request for forced entry
Date approved by the Court
Date forced entry took place
Final Outcome.

MI03

Invoice summaries (monthly and year to date), including details of what invoices have been submitted, details of cost centres, amount of each invoice, date submitted and date paid (if applicable).

Invoice type. Monthly/YTD
Invoice Type
Cost Centre
Amount of Invoice
Date Submitted
Date Paid

MI04

Complaint summary, including details of all open complaints and steps taken in relation to these, details of all closed complaints and outcomes in relation to these (e.g. whether complaint upheld or not) and any actions undertaken to improve the Services as a result of complaints received.

Warrant Number
Account Number
Name on Account
Complainants Details
Steps taken to resolve
Date closed
Outcome
Upheld or Not Upheld
Actions undertaken to improve services
Lessons Learnt as a result of complaint

MI05

Contractual Disputes

Name
Summary of dispute
Steps undertaken to resolve
Upheld or Not upheld
Lessons Learnt
Changes / Improvement to services as a result?

MI06

Freedom of Information and Subject Access Request (SAR) requests.

Date Received
Name
Address / Email
Type of FOI i.e. Data Protection Act, Environment Information Regulations
Subject Access Request
How was it received, email, letter, fax, online form
Request Granted
If refused under what grounds?

MI07

Compensation claims, including details of request, steps taken to investigate the claim, details of all closed claims and outcomes in relation to these and any actions undertaken to improve the service as a result of the claim received

Date
Name
Account no claim relates to
Details of the request
Status of the request. Ongoing / Closed
Outcome
Lessons Learned
Changes to service in result of this claim.

MI08

Details of all Field Operatives including:
- i. certification held;
- ii. protective characteristics
- iii. details of security clearance validation in line with Section 1.6 of Schedule
- iv. any training received or ongoing;
- v. any mentoring carried out (as provider or recipient); and
- vi. full details of any disciplinary actions completed or ongoing.

Additional information may be requested as necessary to ensure full compliance with the contract. Such requests will be made in writing and usually with at least one month's notice; exceptionally a shorter timeframe may be necessary to enable the Authority to comply with external requests.

MI15

Date
Name
Account no claim relates to
Details of the request
Status of the request. Ongoing / Closed
Outcome