



Home Office

AUTHORITY: The Secretary of State for the Home Department

**SCHEDULE 5**  
**TRANSITION**

NEXT GENERATION OUTSOURCED VISA SERVICES

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## SCHEDULE 5

### TRANSITION

#### 1. INTRODUCTION

- 1.1 This Schedule sets out the principles which will govern the Transition, implementation and roll-out of the Supplier's Solution required to fulfil the Services Requirements across the in-scope Countries.
- 1.2 In this Schedule, unless the contrary intention appears, each capitalised term will have the meaning set out in Schedule 1 (**Definitions**).

#### 2. OBJECTIVES

- 2.1 The objectives of the Transition activities are to:
- 2.1.1 achieve the smooth, effective and efficient Transition of the services relating to the Services Requirements to the Supplier;
  - 2.1.2 implement a phased roll-out with staggered Commencement Dates across different Countries as set out in the Roll-Out Schedule (Annex 5-2);
  - 2.1.3 ensure minimum disruption to the Visa operations of the Authority and to the application Services provided to Visa Applicants;
  - 2.1.4 take into account the Authority's operational and resource constraints.

#### 3. THE SUPPLIER'S RESPONSIBILITIES

- 3.1 The Supplier will have overall responsibility for planning and executing Transition including:
- 3.1.1 appointing a Regional Transition Manager for each Region and a Local Transition Manager for each Country and Post (in accordance with Schedule 8 (**Governance and Contract Management**));
  - 3.1.2 providing a Transition project office including a Transition liaison office (the "**Transition Liaison Office**") and sufficient staff to manage the Transition;
  - 3.1.3 keeping the Transition on schedule by meeting and delivering the activities on the Key Milestone Dates as set out in Annex 5-4 and the Scheduled Commencement Dates;
  - 3.1.4 providing regular Transition reports and updates on the status of Transition through the Transition Liaison Office;
  - 3.1.5 carrying out necessary scoping of the existing services;

- 3.1.6 identifying and actively managing to seek to eliminate business and technical issues and risks that may affect Transition;
- 3.1.7 ensuring minimum disruption to the Visa operations of the Authority. The Supplier shall use its Commercially Reasonable Efforts to minimise the duration of any such disruption during Transition;
- 3.1.8 managing the input, and compliance with required obligations, of an Incumbent Supplier;
- 3.1.9 fulfilling its security obligations at all times in accordance with Schedule 4 (**Security**); and
- 3.1.10 meeting the Service Levels from the relevant Commencement Date.

#### 4. **TRANSITION METHODOLOGY AND PLANS**

##### 4.1 Introduction

This Section 4 describes:

- 4.1.1 the Overall Transition Methodology and Plan which sets out the generic methodology to be adopted by the Supplier and the overall plan to achieve successful Transition;
- 4.1.2 the Roll-Out Schedule which sets out the Scheduled Commencement Dates for each Visa Application Centre, and/or Service Package, and /or other facilities created to deliver the Services; and
- 4.1.3 the Local Transition Plans which set out the detailed activities and deliverables to achieve successful Transition in a specific Country for all Visa Application Centres, and/or Service packages, and/or other facilities created to deliver the Services.

##### 4.2 Overall Transition Methodology and Plan

- 4.2.1 The Overall Transition Methodology and Plan at Annex 5-1 sets out the generic methodology and the overall plan to be implemented by the Supplier to achieve successful Transition. It describes the high-level principles, activities, deliverables and Milestones required for a successful Transition to meet the Roll-Out Schedule, and identifies the Party responsible for delivering or meeting such activities, deliverables and Milestones.
- 4.2.2 The Supplier shall adopt and follow the Overall Transition Methodology and Plan for the roll-out of all Visa Application Centres in each Country. If, through the Change Control Procedure, the Parties agree a New Service or to add a new Visa Application Centre, the Supplier shall follow the Overall Transition Methodology and Plan for the introduction of such New Service or Visa Application Centre.

- 4.2.3 Any changes to the Overall Transition Methodology and Plan after the Effective Date shall be agreed through the Executive Transition Forum.

4.3 Roll-Out Schedule

- 4.3.1 The Roll-Out Schedule shall be agreed between the Parties as part of the Transition Plan and an agreed roll out schedule shall be included at Annex 5-2 which shall set out a list of Scheduled Commencement Dates for each Visa Application Centre and/or for Service Packages within a Country. Changes to the Roll-Out Schedule shall be agreed by the Parties through the Change Control Procedure.
- 4.3.2 The Supplier shall ensure that all Transition activities are completed and the Readiness Criteria are met for each VAC or Service Package (as appropriate) by the relevant Scheduled Commencement Date or as otherwise agreed by the Authority.

4.4 Local Transition Plans

- 4.4.1 The Local Transition Plans shall set out, at a Country level, the details of activities, deliverables, resources, responsibilities and dependencies (including dependencies on the Authority) required to go live at each VAC or with each Service Package (as appropriate) and a timetable to achieve the agreed Scheduled Commencement Dates. The Local Transition Plans shall be consistent with the Overall Transition Methodology and Plan and the format, structure and methodology of the agreed Local Transition Plans as set out in Annex 5-3.
- 4.4.2 The Supplier shall prepare a Local Transition Plan for each Country. An example Transition Plan is set out in Annex 5-3.
- 4.4.3 To the extent Local Transition Plans have not been set out as in Annex 5-3 at the Effective Date, the Supplier shall provide, for the Authority's review and approval, the relevant draft Local Transition Plans one hundred and twenty (120) days before the Scheduled Commencement Date, where allowed by the time interval between the Effective Date and the Scheduled Commencement Date. Otherwise, the Supplier shall provide, for the Authority's review and approval, the relevant draft Local Transition Plans no later than two (2) months after the Effective Date. The Supplier shall incorporate the Authority's reasonable comments into the final agreed form of these Local Transition Plans.
- 4.4.4 Once agreed, any subsequent changes to the Local Transition Plans shall be agreed through the relevant Regional Transition Forum.

4.5 Transition between existing VACs and replacement VACs

- 4.5.1 If, in the course of Transition, the Supplier is required to replace existing VACs, the Supplier may benefit from transferring equipment and staff from existing VACs operated by an Incumbent Supplier to new VACs.

4.5.2 Unless agreed otherwise in advanced with the Authority, the Supplier shall adhere to the following Transition process in planning and executing the Transition from existing VACs to new VACs:

while the new VAC location is prepared for the Scheduled Commencement Date, the existing VAC location continues operating as normal;

at the Scheduled Commencement Date for the new VAC, the existing VAC closes to the public. At this point, the new VAC takes over the operation, handling the same Applicant volumes as the old VAC;

if required, at this point equipment can be Transitioned from the old VAC to the new. Any Transition of equipment should take place outside VAC opening hours to ensure normal operation of the VAC is not disrupted;

the Supplier shall put in place plans to mitigate the effect of potential delays in Transition caused by an Incumbent Supplier, including workarounds and alternate plans to provide Services to Visa Applicants at a VAC in transition from another, fully transitioned, VAC; and

the Transition of equipment should be completed to allow Business Readiness Testing of the new VAC to be completed prior to the Scheduled Commencement Date.

#### 4.6 Snags, Temporary Waivers and Release of Payments

4.6.1 Without prejudice to the Authority rights and remedies under the Agreement or at Law (including Liquidated Damages and/or termination rights), the process set out below with regard to Snags, Temporary Waivers and Release of Payments shall apply. For the avoidance of doubt, the Supplier remains obligated to meet the Readiness Criteria by the Schedule Commencement Date for each VACs, and to the extent there is any conflict between the provisions of this Section 4.6 and the provisions relating to the Supplier meeting all of the Readiness Criteria set out in Annex 5-5, the latter shall prevail over this Section 4.6.

4.6.2 As part of the Transition process, the Supplier will be responsible for identifying and documenting in a list any unresolved issues with the VACs and/or the Suppliers operations or unfulfilled the Authority's Business Requirements ("**Snags**").

4.6.3 The Snag List detailed in Annex 5-7 will be used by both Parties as a starting point for identifying, categorising, and tracking Snags for the relevant VAC (the "**Snag List**"). Either Party is entitled to add Snags to the Snag List at any time.

4.6.4 Prior to the 60 day Milestone, both Parties will review the content of the Snag List in and update it where necessary, adding or deleting where appropriate and allocating Red, Amber, or Green (RAG) status to each Snag. The result of this activity will be a mutually agreed initial Snag List ("**Initial Snag List**") for each VAC.

- 4.6.5 At the 30 day Milestone both Parties will formally revisit the Initial Snag List and mutually agree updates where necessary, creating a refined Snag List (“**Refined Snag List**”) for each VAC.
- 4.6.6 At the 15 day Milestone both Parties will use the Refined Snag List to mutually agree a finalised Snag List (“**Finalised Snag List**”). Both Parties, acting reasonably, may mutually agree amendments, additions or deletions to the Refined Snag List at any time prior to the 15 day Milestone. After the 15 day Milestone, any existing Snags may not be amended but new Snags may be added to the Finalised Snag List by mutual agreement of the Parties.
- 4.6.7 In the event of any issues concerning the RAG status, description, mitigation action, resolution or deletion of an agreed Snag and/or the relevancy of the addition of a new Snag, where the regional teams of either Party are unable to resolve such issues, the Parties will hold a special “Executive Transition Forum” meeting within three (3) Working Days of notification of the issue, in order to seek resolution of the issue. In the event the issue cannot be resolved, such issue shall be escalated to a special meeting of the Business Development Board, within three (3) Working Days of the special Executive Transition Forum. In the event the Business Development Board cannot resolve the issue, it shall be handled in accordance with Section 11 (Dispute Resolution) of Schedule 8 (**Governance and Contract Management**).
- 4.6.8 Snags are split into three categories as follows:
- Red Snags are identified on the Snag List and constitute issues that would if Go-Live were to occur materially impair the Service and/or put Visa Applicants, data or assets at unacceptable risk, and are subject to a Retention Percentage of the Transition Milestone Payments monies pending resolution, as more particularly described in Schedule 6 (**Pricing, Payment and Invoicing**);
- Amber Snags are identified on the Snag List and constitute issues that would if Go-Live were to occur not materially impair service or put Visa Applicants, data or assets at unacceptable risk (including, reputational risk), and are subject to a Retention Percentage of the Transition Milestone Payments monies pending resolution, as more particularly described in Schedule 6 (**Pricing, Payment and Invoicing**);
- Green Snags are identified on the Snag List and constitute issues that require resolution but are considered to have minor or no impact on Go-Live by both Parties for any one VAC.
- 4.6.9 If issues arose before the Scheduled Commencement Date but were not identified and recorded as Snags prior to the Scheduled Commencement Date, they will be added to the Finalised Snag List at the time they are identified, by mutual agreement of the Parties in accordance with Section 4.6.6 above. Any new issues that did not exist prior to the Scheduled Commencement Date and only occurred post Scheduled Commencement Date

will not be added to the Finalised Snag List but will be dealt with through existing business operating processes.

- 4.6.10 **Green Snags** – Provided all other Readiness Criteria have been met by the Supplier, if at the Scheduled Commencement Date all Snags within a VAC have been allocated a Green status or no Snags existed then;

Go-live can occur at the VAC;

the Go-live Readiness Certificate will be released by the Authority;

payments will be managed by the Authority in accordance with Schedule 6 (**Pricing, Payment and Invoicing**);

providing that the Readiness Criteria continue to be met, the Authority shall release the Transition Acceptance Certificate after the agreed Start-up Period to acknowledge completion of Transition under this Schedule 5 (**Transition**); and

if any Green Snags are unresolved after the start up period, then the Snags will be escalated as per the escalation of Snags process detailed in Section 4.6.7 above.

- 4.6.11 **Amber Snags** – Provided all other Readiness Criteria have been met by the Supplier, if at the Scheduled Commencement Date all outstanding Snags have been allocated an Amber status then:

Go-live can occur;

payments will be managed by the Authority in accordance with Schedule 6 (**Pricing, Payment and Invoicing**);

after the Scheduled Commencement Date, the Supplier will be required to work to resolve the Snags as soon as possible and, in any event, unless otherwise agreed with the Authority in advance, such Snags shall be resolved by the end of the Start-up Period; and

at the end of the Start-up Period, if all Amber Snags are resolved, retained payments are managed per Schedule 6 (**Pricing, Payment and Invoicing**) and the Transition Acceptance Certificate will be released by the Authority.

- 4.6.12 **Red Snags** – Provided all other Readiness Criteria have been met by the Supplier, if at the Scheduled Commencement Date there are any outstanding Snags that have been allocated a Red status then:

Go-live does not occur. Payment will be withheld in accordance with Schedule 6 (**Pricing, Payment and Invoicing**) and the Liquidated Damages in Clause 19 of the Terms and Conditions shall apply; or



The Authority may at its discretion temporarily waive the outstanding Snags in accordance with the process detailed in Sections 4.6.13 and 4.7 below (“**Temporary Waiver**”). For the avoidance of doubt, such Temporary Waiver does not relieve the Supplier from meeting its original obligations as set out in the Agreement – it merely means that the Visa Application Centre is allowed to open and commence processing Visa Applications; or

The Authority may at its discretion issue a letter to the Supplier indicating a revised Scheduled Commencement Date (“**Delayed Scheduled Commencement Date**”) that is to apply. The Authority and Supplier will meet in advance of issuance of such letter in order to mutually agree a reasonably acceptable date for the Delayed Scheduled Commencement Date. For the avoidance of doubt, such agreement of a Delayed Scheduled Commencement Date does not relieve the Supplier from meeting its original obligations as set out in the Agreement.

- 4.6.13 Provided all other Readiness Criteria have been met by the Supplier, if at the Scheduled Commencement Date there are outstanding Snags that have been waived under the Temporary Waiver process, such Snags will be allocated a “**Temporary Waived Red Snags**” status pursuant to Section 0 then;

Go-live does occur;

Certain Service Charges will be released in accordance with Schedule 6 (**Pricing, Payment and Invoicing**); and

From the Scheduled Commencement Date, the Supplier will be required to work to resolve the Temporary Waived Red Snags as soon as possible and, in any event, unless otherwise agreed with the Authority in advance, such Temporary Waived Red Snags shall be resolved within 1 (one) month of the Scheduled Commencement Date.

- 4.6.14 If, after the Scheduled Commencement Date, any Temporary Waived Red Snags are not resolved within their durations, then three things can happen:

at the sole discretion of the Authority, the Authority may provide the Supplier with a new Temporary Waiver (*i.e.*, an extension to the existing Temporary Waiver);

the Supplier can raise a CCN to permanently remove the requirement(s) relating to the relevant Temporary Waived Red Snag from the Agreement or resolve the issue, and if agreed by the Authority, the terms of that CCN shall apply; and/or

at the sole discretion of the Authority, the Authority does not provide new Temporary Waivers or accepts a CCN and the Authority shall be entitled to exercise its rights and remedies under the Agreement (including the Liquidated Damages provisions in Clause 19 of the Terms and Conditions) in respect of such

unresolved Temporary Waived Red Snags, and such rights and remedies shall apply from the original Scheduled Commencement Date.

#### 4.7 Temporary Waiver Process

- 4.7.1 For Red Snags only, the Supplier may request a Temporary Waiver from resolving a Snag for a limited period of time. The Supplier can request a Temporary Waiver from the Authority by completing the Temporary Waiver request template (“**Temporary Waiver Request**”) attached in Annex 5-8.
- 4.7.2 The Authority will carry out a review of the Temporary Waiver Request within five (5) Working Days.
- 4.7.3 The Authority shall be entitled to request changes to be made to the Temporary Waiver Request if the Authority reasonably considers the Temporary Waiver Request is not complete, or a particular issue has not been addressed to the Authority’s reasonable satisfaction and for it to be resubmitted.
- 4.7.4 Once the Authority is in possession of a completed and reasonably satisfactory Temporary Waiver Request, the Authority at its sole discretion, shall decide within five (5) Working Days whether the relevant Snags can be temporarily waived.
- 4.7.5 If the Authority accepts the Temporary Waiver Request, the relevant Snag will be temporarily waived as described above in Section 4.6.12. Thereafter, the Supplier will be required to work to resolve the Snags that are the subject of the Temporary Waiver by the end of the Start-up Period or such other period as agreed by the Parties.

#### 4.8 Transition Evidence and Security Evidence

- 4.8.1 To assist with assuring and demonstrating Transition progress to the Authority, the Supplier will be responsible for providing a number of Transition Evidences and Security Evidences to the Authority’s central Transition team during the Transition process.
- 4.8.2 The complete list of Transition Evidences to be provided by the Supplier is detailed in Annex 5-6. The Security Evidences to be provided by the Supplier shall be provided in respect of each of VAC, and shall comprise of:
  - “**Physical Security Assessment Phase 1**” (or “**PSA1**”), as more particularly described in Section 11.2.1 of Schedule 4 (**Security**), to be delivered by the 120 Day Milestone;
  - “**Physical Security Assessment Phase 2**” (or “**PSA2**”), as more particularly described in Section 11.2.2 of Schedule 4 (**Security**), to be delivered by the 90 Day Milestone;

“**Physical Security Assessment Phase 3**” (or “**PSA3**”), as more particularly described in Section 11.2.3 of Schedule 4 (**Security**), to be delivered by the 60 Day Milestone;

“**Physical Security Assessment Phase 4**” (or “**PSA4**”), as more particularly described in Section 11.2.4 of Schedule 4 (**Security**), to be delivered by the 30 Day Milestone;

Details of the Supplier’s Information Security Management System, as more particularly described in Section 11.2.5(a) of Schedule 4 (**Security**), to be delivered by the 15 day Milestone;

IT Security Health-Check Report, as more particularly described in Section 11.2.5(b) of Schedule 4 (**Security**), to be delivered by the 15 day Milestone; and

Sample CCTV footages from each VAC, as more particularly described in Section 11.2.5(c) of Schedule 4 (**Security**), to be delivered by the 15 day Milestone.

## 5. **TRANSITION GOVERNANCE**

5.1 The Parties agree that the governance framework set out in this Section 5 is established with the aim of ensuring that each Party is able to work towards the common goal of effective and timely completion of Transition. The governance framework set out in this Section 5 is designed to achieve the following:

5.1.1 adherence to the provisions of this Transition Schedule;

5.1.2 limitation of risk inherent within the performance and receipt of the Overall Transition Methodology and Plan within mutually acceptable levels;

5.1.3 management and monitoring of all aspects of Transition;

5.1.4 facilitation of a rapid and concise decision making process during Transition; and

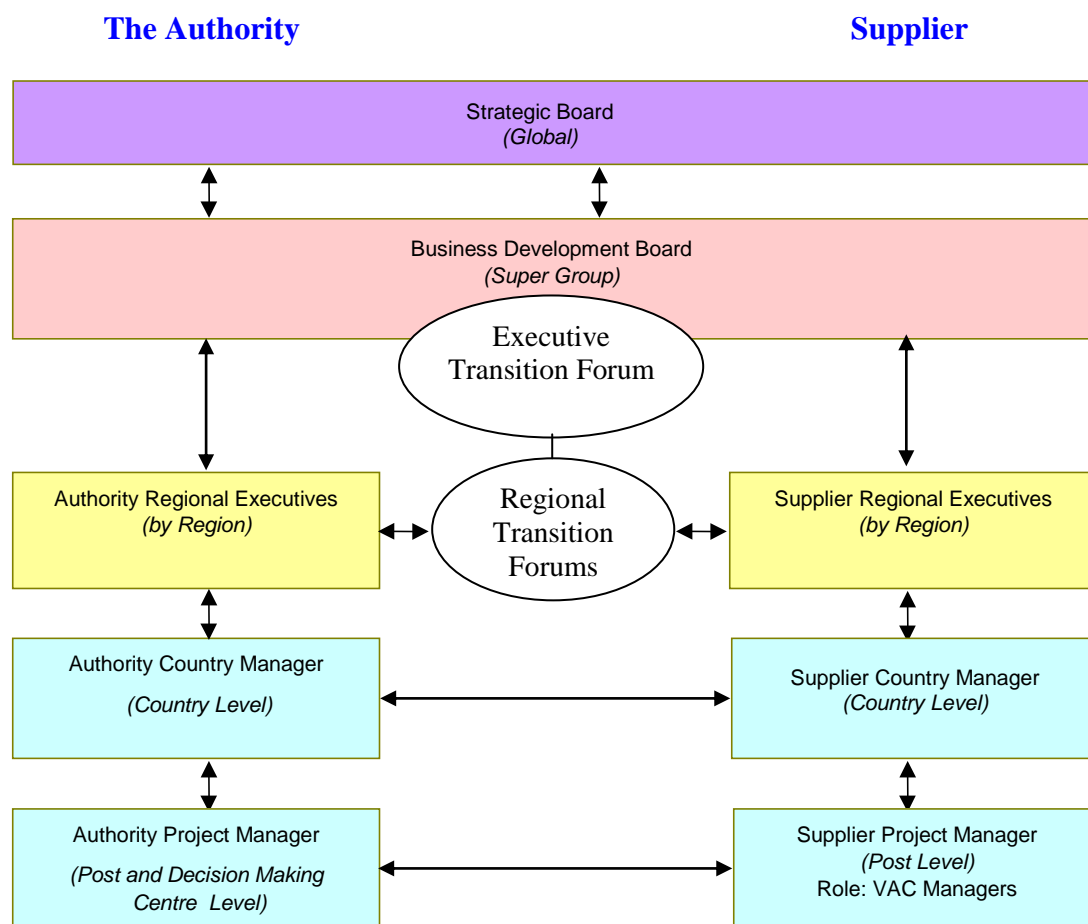
5.1.5 implementation of the Overall Transition Methodology and Plan and Local Transition Plans on time and to the appropriate levels of quality.

5.2 Each Party agrees to use all reasonable endeavours and resources to achieve the common goal outlined in Section 5.1 above.

5.3 A sub-group of the Strategic Board will be established to manage the execution of the Overall Transition Methodology and Plan (the “Executive Transition Forum”). This sub-group will operate out of the Transition Liaison Office based in London or at an alternative location to be agreed between the Parties. The Parties agree that the Executive Transition Forum will be the appropriate forum in which to agree changes to the Transition activities, the Overall Transition

Methodology and Plan and the overall Readiness Criteria and to manage the process of governing compliance with the Overall Transition Methodology and Plan including monitoring progress of meeting Key Milestone Dates as described in Annex 5-4.

- 5.4 The Parties will establish a committee in each Region (as agreed) to manage the execution of the Local Transition Plans (the “Regional Transition Forums”). The Parties agree that the Regional Transition Forums will be the appropriate forum in which to agree changes to the Local Transition Plans, local variations to the Readiness Criteria and to manage the process of governing compliance with each Local Transition Plan. Where appropriate, the Parties may also establish local Transition forums to manage the implementation of the Local Transition Plans at a Country level.
- 5.5 The diagram below demonstrates how these Transition Forums fit into the overall governance structure of the Agreement.



- 5.6 In the period before the Commencement Date for each Visa Application Centre, the Authority shall review and sign-off the Supplier’s progress against the Key Milestone Dates which shall include:
- 5.6.1 progress and completion of the Local Transition Plans in accordance with Annex 5-4 (Key Milestones);

- 
- 5.6.2 the location and facilities within each Visa Application Centre to meet the requirements in Schedule 13 (**Facilities**) and Schedule 4 (**Security**).
- 5.7 The Supplier shall use dedicated Transition resources during the Transition process. In addition, the Supplier shall carry out the Transition-related activities so as not to affect the on-going Visa operations at existing VACs. The Supplier shall co-ordinate the management of the Transition together with its on-going regional operations.
6. **READINESS CRITERIA**
- 6.1 Readiness Criteria against which the completion of any Transition activity, the provision of any deliverable or the achievement of any Milestone shall be measured throughout the Transition Period are described in Annex 5-5.
- 6.2 For each Visa Application Centre, the Supplier must demonstrate to the Authority's reasonable satisfaction that:
- 6.2.1 it has met the relevant Readiness Criteria for go-live and has demonstrated that it is ready to assume the fulfilment of the Services Requirement for the relevant VAC, or Service Package by the Scheduled Commencement Date, in which case the Authority will sign the relevant Go-Live Readiness Certificate. For such certificate to be released to the Supplier it must be signed by
- a) the Regional Director of the respective Region from an operational point of view
  - b) the Authority's central sponsor; and
  - c) the Authority's central commercial authority, and
- subject to the Supplier meeting the Readiness Criteria, the Authority's central Transition team is responsible for gaining these signatures and releasing the Go-Live Readiness Certificate to the Supplier; and
- 6.2.2 during the Start-Up Period, it has demonstrated its ability to fulfil the Services Requirements at the relevant VAC, or for the relevant Service Package and has met the relevant Readiness Criteria for any post-Commencement Date Transition activities (which may include an agreed list of minor deficiencies), in which case the Authority will sign the relevant Transition Acceptance Certificate and Transition for that VAC, or Service Package will be deemed completed.
- 6.3 The Supplier shall use Commercially Reasonable Efforts to ensure that the Start-Up Period is kept as short as possible and, in no event, shall the Start-Up Period exceed 4 (four) weeks.
- 6.4 Transition, as a whole, shall be deemed to be complete when the Authority signs a final Transition Acceptance Certificate to acknowledge that all Transition activities have been

completed (including for the Biometrics Collection Services) and all relevant Transition Acceptance Certificates have been signed.

- 6.5 In exceptional circumstances, if the Supplier has not completed Transition of one or more VACs, the Authority may nonetheless decide to proceed before all VACs have completed Transition. In such event, any and all issues that have held up the completion of Transition of the relevant VACs shall be dealt with in accordance with Section 4.6.12 above.

**7. FAILURE TO MEET KEY MILESTONE DATES**

- 7.1 If the Supplier fails to meet the relevant Readiness Criteria by the Scheduled Commencement Date or fails to complete the Start-Up Period within 4 (four) weeks from the relevant Commencement Date, the provisions set out in Clause 19 of the Terms and Conditions shall apply.
- 7.2 If the Supplier's failure to meet a Key Milestone Date gives The Authority reasonable grounds to consider that the Supplier will fail to meet a Scheduled Commencement Date, The Authority may, at the Supplier's cost, take reasonable steps to mitigate against the risk of the Supplier failing to meet such Scheduled Commencement Date.
- 7.3 If the Supplier misses a Scheduled Commencement Date or other Key Milestone Date by more than five (5) Working Days, the Authority may exercise its right of step-in pursuant to Clause 50 of the Terms and Conditions (Step-in Rights).

## ANNEX 5-1

### OVERALL TRANSITION METHODOLOGY AND PLAN

#### EXECUTIVE SUMMARY

*VFS Global (VFS) has a world class, dedicated team of professional project managers who have over 10 years' experience of successfully planning for, and implementing, 866 Visa Application Centres (VACs) across the globe.*

This document sets out how we have developed our transition methodology over that period in order to meet and adapt to the ever-changing landscape of delivering visa application services in a global environment. The evolving nature of the services required and of the locations in which we are required to deliver means that it is vital that we have a strong but flexible process at the foundation of our approach.

As our core business, it is absolutely essential that we deliver for our clients on time and to a high standard. The 5-stage process that we use has consistently demonstrated that we can meet the most demanding of and unexpected of country challenges but also to be scaled to ensure that we will also support and deliver complex global roll-outs. Examples of this include 74 VACs in 34 countries for the UK in just 10 months from contract signature; 80 VACs in 43 countries for Spain and 43 VACs in 15 countries for Denmark.

In essence, our approach is straightforward in its concept, logical in its chronology and highly effective in its deployment. There are five stages that all transition, whatever their scale and complexity, have to go through:

1. **Initiation** - where the focus is on research, intelligence gathering and establishing the foundations for successful implementation
2. **Planning** - where the focus switches to issues such as budgeting, property, project schedule, communication, risk and mitigation, human resources and procurement
3. **Execution** - where the focus is on setting-up the VAC, delivering the activity set-out in the implementation plan and meeting all milestones and readiness criteria to ensure go-live
4. **Handover** - following the launch of the VAC, we continue to provide onsite support to the Business As Usual (BAU) before a formal handover to operations occurs
5. **Monitoring** - underpinning this cycle we recognise that effective monitoring and control is an essential element of any transition project and is the 5th stage of our transition and runs throughout the project, from initiation through to project closure.

We believe the timescales that are agreed for transition should be proportionate to the complexity involved and the risks we are likely to face in each site. We have carefully considered each location and, based on our extensive experience, proposed the following transition timescales.

- **Low risk transition: 30 - 60 days.** These timescales apply to 24 (13%) of the VACs across the 8 Regions
- **Medium risk transition: 61 - 90 days.** These timescales apply to 95 (50%) of the VACs across the 8 Regions
- **Higher risk transition: 91 - 120 days.** These timescales apply to 70 (37%) of the VACs across the 8 Regions

When transitioning each VAC the 5 stages of transition will be followed. However, the time spent on each stage will vary depending on what type of VAC.

| Theme                         | Timescales    | Initiation | Planning | Execution | Handover | Monitoring |
|-------------------------------|---------------|------------|----------|-----------|----------|------------|
| <b>Low-risk transition</b>    | 30 – 60 days  | 5          | 10 - 20  | 10 - 30   | 5        | Throughout |
| <b>Medium-risk transition</b> | 61 – 90 days  | 5          | 20 - 30  | 26 - 45   | 10       | Throughout |
| <b>Higher-risk transition</b> | 91 – 120 days | 5          | 30 - 40  | 41 - 60   | 15       | Throughout |

### **Table 1 Overarching transition timescales**

At the heart of the technical and process element of our strategy is an Enterprise Project Management (EPM) solution, through which we are able to manage our planning, resource, task and risk management in the most effective way.

We also recognise that it is our people that will deliver transition and we have an unrivalled pool of experienced, highly motivated project managers available with the skills, knowledge and capability to manage any transition of any scale in any location.

Whilst the strength and ability of our individual managers is considerable, these qualities are augmented and enhanced by a three-tier transition structure that provides access to support, resources, solutions and which also delivers clear governance through which the Authority can monitor and review all aspects of transition.

On the ground, we will have regional and country project/transition managers who will work closely with the Authority's regional managers who will be present from initiation through to handover. These will be supported by our Programme Management Office and will ultimately be managed by the Account Management Team in London, which has years of expertise in successful project planning and implementation.

Finally, from our extensive experience of working with the Authority, we have a deep knowledge of the Authority's objectives and the pressures under which it operates. None more so than when we assisted in the delivery of universal biometric enrolment and that willingness to be flexible, pragmatic and agile in ensuring that challenging deadlines are met remains. Throughout any transition process, the Authority can be assured that all levels of management will be open and transparent and that we will work tirelessly to deliver all that has been asked of us.



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## **1. THE VFS WAY**

### **1.1 We have an unrivalled record of transition**

VFS is proud to have supported 43 client governments in delivering timely and successful transition programmes. These include complex global and multiple-region requirements for the UK, Spain and Denmark, all of which incorporated the introduction of the enrolment of visa applicants' biometrics. We have also recently embarked on a similar programme for Canada, which is due to be completed by October 2013. We are therefore entirely familiar with the particular challenges posed by the scope and scale of the Authority's requirements. Specific examples of our relevant experience in achieving successful global transition include:

- UK - 74 VACs in 34 countries in just 10 months from contract signature
- Spain - 80 VACs in 43 countries
- Denmark - 43 VACs in 15 countries

This programme of work gives us a deep insight into the systems, processes and people that we need to have in place in order to meet the challenging requirements of global transition. It is however, also an extension of the sound principles that underpin all our transition activities. The fact that we are able to scale our operations based on this consistent and repeatable process ensures that all of those involved in transition activities fully understand the clearly defined stages that make up our transition strategy.

Through this work, we have established an unrivalled reputation for setting-up high-quality VACs, in record timescales and at the right cost. We have also built-up extensive knowledge and experience of the environmental, business and regulatory barriers that will be faced. We operate in all of the Regions and Country Lots set out by the Authority and we can therefore deliver plans and proposals that anticipate and meet the diverse range of different risks and issues posed by a global roll-out.

### **1.2 We have a world class transition team**

There are three essential components to our transition structure combine to make up our world class capability.

#### **1.2.1 Regional Transition Managers**

For any region in which we are asked to deliver services, we will ensure the presence of a highly-trained, experienced and motivated Transition Manager. Through the adoption of this method, we are able to manage the transition process directly and with regard to any region-specific issues.

#### **1.2.2 Project Management Office**

We have developed significantly in a central pool of resources, who are all fully trained in programme and project management and who have access to sophisticated tools and software to provide close support to the regional teams. This resource also allows for more effective management of multiple-region transitions as it retains an oversight and can ensure that generic trends and patterns are identified and resolved where necessary.

#### **1.2.3 The UK Account Management Team**

The Account Management Team (AMT), which is based in London, has been expanded significantly over the last two years to provide the Authority with direct and convenient access to key contract managers. The AMT at VFS has years of expertise in successful project planning and implementation and plays a vital role in establishing the leading practices and project delivery standards which we apply across all of our deployments.

Building on our experience, our AMT has developed a methodology for VAC implementation that has been tailored to meet your requirements and would act as the overall lead for any UK transition, ensuring maximum accessibility and visibility to the Authority.

### **1.3 Our transition team use the Enterprise Project Management solution**

At the heart of our strategy is an effective methodology. We employ an Enterprise Project Management (EPM) solution to guide delivery of our project portfolio. This system helps us maintain visibility and insight into each project and keep close control over all of our work. This allows us to effectively manage and prioritise projects and resources across our organisation. EPM also provides a central repository for projects information so that we can consistently manage and report globally. The tool will be used across any roll-out for the Authority and we believe it will deliver you a great deal of value and an effective and successful outcome. The key elements of the system are:

#### **1.3.1 Central Project Template and the Project Central Repository**

VFS project template files are created to ensure common look and feel in our work. EPM reduces time to create new project plans through the use of reusable enterprise project templates, this adds efficiency and accuracy of project estimates. EPM allows us to report on critical tasks and milestones for all of our projects across the organisation and, of course, in detail on any transition project undertaken by the Authority.

#### **1.3.2 Project Workspace and knowledge sharing**

The project workspace is a dedicated workspace for managing risks, issues, project team and documents related to any transition and implementation for the Authority. Project Managers from across our entire global network are able to share information and intelligence, which helps them to manage risks and to learn lessons from one another.

#### **1.3.3 Task Management**

If required by the Authority to deliver transition, the role and skills-based scheduling enables us to effectively use our resources within the organisation and, by assigning task to team members. EPM provides us with the power of real-time planning and enhances collaboration and coordination between team members.

The Project Manager assigns tasks to team members. A notification email is sent to each team member when a task is due to be updated. A team member would then update the progress and submits to the project manager for the approval. The project manager can generate a task status report that can be shared with all stakeholders of the Project.

#### **1.3.4 Online Reporting and Project Dashboard**

VFS uses online reports such as Consolidated Project Report, Mission Report, Country Reports and many more to retain visibility of what is happening with projects across the organisation in general and any specific transition project and helps prepare any mitigation and contingency plan in case of some issue or risk.

We use RAG (Red, Amber and Green) status indicators give a quick understating about the project status: on schedule, delayed or completed, thus helps understand the health of the project. The tool has the ability to manage project schedules across the organisation, ensuring that priorities are identified and managed.

### **1.3.5 Effectively manage resources**

The project Managers in VFS uses the resource allocation and assignment report to understand long-term workloads and availability of resources in the organisation and ensuring that these are allocated effectively.

### **1.3.6 Centralised Risk and Issue Management Tool**

The EPM tool allows project managers to escalate any risk or issue through a centralised platform. VFS uses the platform to monitor any risk and issue for a given project and effectively take measures to address and then ultimately to close it.

### **1.3.7 Centralised Document Management**

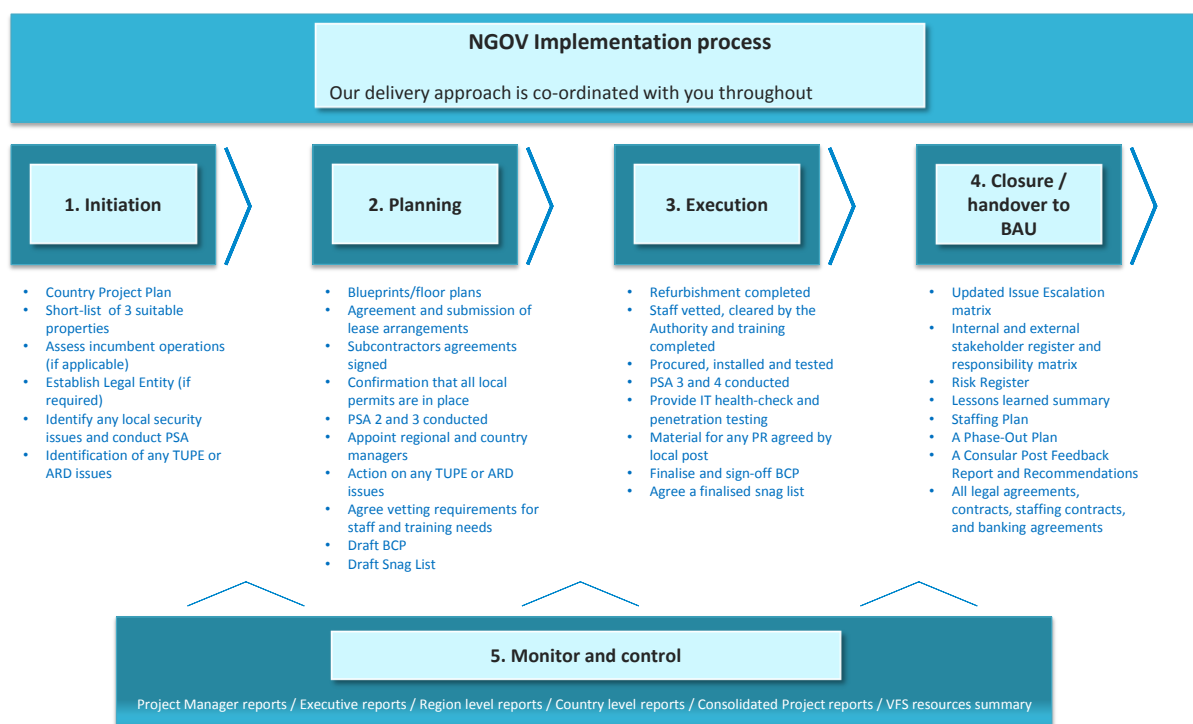
The web based portal has a document library that can be used by all end users. The shared document library is the central repository for common documents within the organisation whereas the Project Document library is the repository for the documents related to a particular project like Project Information Document, Go Live Certificate or Rollout Plans. VFS stakeholders use the project and shared document library for managing their documents and increasing efficiency.

## ***2. WE HAVE A 5-STAGE APPROACH TO TRANSITION***

We have successfully delivered 866 VACs world-wide and through this have accumulated an unrivalled amount of practical experience. We have combined this operational know-how with a management approach based on the Project Management Institute's (PMI's) Project Management Body of Knowledge (PMBOK) to develop a 5 stage implementation methodology. This methodology has been tried and tested to ensure project management consistency, reliability, and success and would be at the heart of any transition undertaken on behalf of the Authority.

We have built on this philosophy to develop a project method which can be specifically tailored to meet the needs of the Authority. Our 5 stages of our implementation are outlined in the diagram below. As set out in Schedule 5 of the RFP, the key milestones and deliverables you can expect at each stage are also identified.

We take each of these phases in turn, describing the activities we will undertake in each and deliverables we will provide. Our milestone plan is set-out in Phase 3, execution.



**Figure 1 - 5-stage approach to transition**

This methodology will be employed across each of our VAC sites. Clearly, the time taken to complete each stage will be dependent on the size and complexity of the site.

It should be noted that VFS will perform all transition activities in accordance with the Authority's published Transition Schedule.

## 2.1 Initiation

The project initiation stage focuses on research, intelligence gathering and establishing the foundations for successful implementation.

Due to the scale of our global operations, we already have a good understanding of many of the issues that we will face in all of the Regions and Country Lots in the RFP. Some of the work required in this initiation phase – such as location assessment – will have therefore already commenced.

The key deliverables that we will produce during this phase include:

| Theme       | Deliverable  |
|-------------|--|
| Planning    | A draft Project Plan for each country to be transitioned |
| Premises    | A short list of at least three suitable properties       |
| Operational | Assess of incumbent operations (if applicable)           |
| Legal       | The establish of a Legal Entity if required              |
| Security    | Identify any local security issues and                   |

|    |  |
|----|--|
|    | conduct PSA 1                            |
| HR | Identification of any TUPE or ARD issues |

## **Table 2 Initiation deliverables**

During this phase, the main activities that are undertaken include:

- Create the key project management documents
- Undertake the country survey
- Undertake the local post survey
- Understand local administrative issues
- Understand local security issues.

The time taken to deliver this phase is 5 days for low, medium and higher risk transition sites.

### **2.1.1 Create the project management documents**

We will firstly create a Project Charter which provides information on the organisational objectives and expected business case for this specific deployment.

The Project initiation Document (PID) is then drafted by the project team to baseline the project scope, deliverables and risks.

### **2.1.2 Prepare the country information sheet.**

During this phase we also conduct a detailed country survey to understand the local business and environmental requirements which may impact the timescales of project delivery.

The survey findings are presented in a detailed report which includes the following detail and analysis:

| <b>Country information sheet</b>  |  |
|---|--|
| <b>Theme</b>  | <b>Our focus</b>   |
| Regulatory requirements   | We gather detailed information on regulations on Foreign Direct Investment (if relevant), regulations on business licenses.  |
| Identifying local partners and VAC property   | Based on our knowledge of each country and country specific intelligence, the project team establishes search criteria for local partners and hold preliminary discussions with potential local partners or search for suitable VAC properties by engaging local real estate vendors.  |
| Identifying service providers for VAC refurbishments, IT hardware, internet service providers, telephony, logistics and recruitment | <p>We scope the availability of local architects and contractors, assessing the availability of refurbishing material such as furniture, fixtures, curtains and blinds, lighting, air-conditioning and/or heating equipment for example. This assessment allows us to identify whether we need to import material and the timelines for any customs procedures and clearances.</p> <p>We scope the availability of IT hardware as per required specifications, local availability of standard software (e.g. MS Office) and availability of annual maintenance contracts. Local IT vendors are engaged where required.</p> |

|                                 |  |
|---------------------------------|--|
|                                 | <p>We conduct a survey of courier companies in the country and survey of means of inter-city/intra-city /international transportation of documents. We conduct detailed due diligence and focus on security and tracking system of potential logistics partners and evaluate in-house transportation arrangements (i.e. Supplier's own vehicle and driver), or outside supplier as appropriate to ensure the secure movement of the sensitive documentation.</p>   |
| Identifying our banking partner | <p>In a large number of countries we already have banking agreements established.</p> <p>We recognise that the Authority intends to mandate the on line payment of visa fees and all User Pay charges and we will fully support and deliver that requirement.</p> <p>Where this may not be possible or where variations are agreed by the Authority, we will assess the banking and prevalent economic circumstances in these countries, such as use of demand drafts (DDs), online banking, credit and debit cards; and any charges that may be levied.</p> <p>Working with the Authority we will review and agree any proposed solution before we then shortlist the final selection of banks and, when agreed, create the accounts.</p> |
| Security company                | <p>On the basis of our security assessment, our team may appoint a security consultant for a country risk analysis. We will initiate a security survey for preparation of a Country security fact sheet. We will establish country-specific security norms and select/engage a guarding agency accordingly. The Project Manager selects/engage vetting agency to handle pre-recruitment antecedent checks and establish strong working relationships with the relevant officials of police departments and passport offices as required.</p>   |

**Table 3 Country Information Sheet**

### **2.1.3 Information survey of the local post**

In addition to the country survey, we also undertake a review of data from the local post. Working closely with the local mission, we also assess:

- Number of visa applicants for a preceding 12 month period
- Seasonality of visa applications
- Purpose of travel (e.g. visit, student, employment etc.)
- Nationality of visa applicants (where relevant)
- Point of origin (where available)
- Qualitative analysis of post on future trends – by visa class, and territory of origin of Visa Applicants

We will identify any special concerns in terms of any aspect that could result in an adverse impact upon waiting times and performance. This could include the following factors

- Extreme seasonal surges in application volumes
- Higher rates of visa refusal, which in turn could lead to consequent re-application

### **2.1.4 Understand local administrative processes and procedures**

Where appropriate, we will, at this stage review and identify any administrative processes that may be specific to the location. We recognise that it is the Authority's intention to standardise its systems and processes wherever possible, but there may be country-specific issues that result in variations being proposed and agreed.

### **2.1.5 Understand local security concerns**

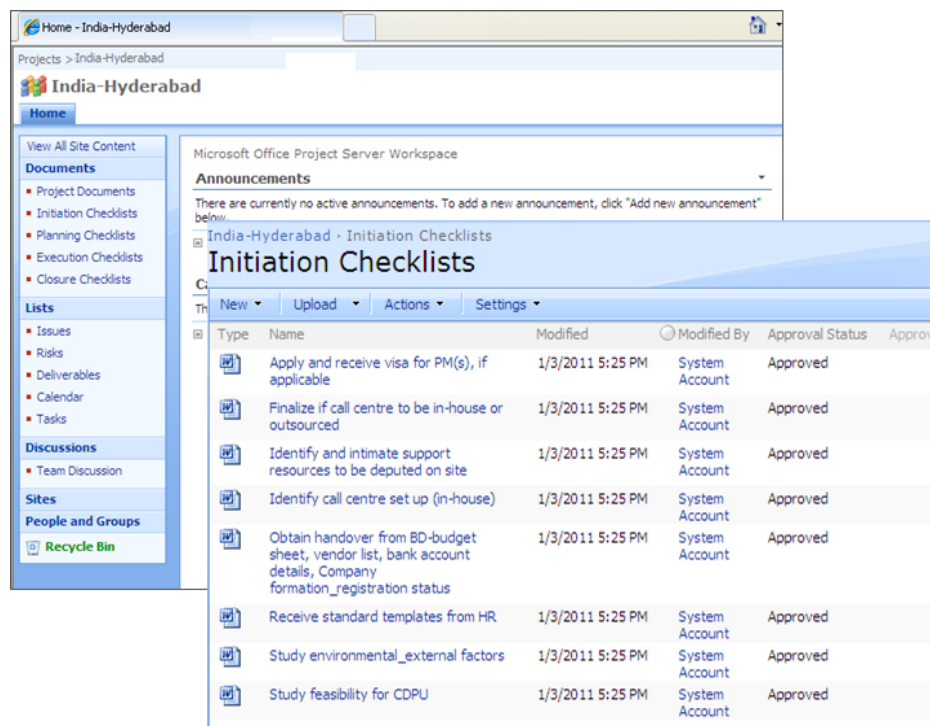
We will undertake a security assessment to determine specific local concerns and factors. These will be included in our planning for:

- Location of proposed offices
- Minimum security requirements at proposed VAC locations
- Layout of proposed VACs from perspective of security and pre-recruitment vetting and antecedents of potential members of staff.



### 2.1.6 Hosting the documentation in our project workspace

At the stage we will create a workspace for each project. An example of what we provide is given below.



Home - India-Hyderabad

Projects > India-Hyderabad

India-Hyderabad

Home

View All Site Content

**Documents**

- Project Documents
- Initiation Checklists
- Planning Checklists
- Execution Checklists
- Closure Checklists

**Lists**

- Issues
- Risks
- Deliverables
- Calendar
- Tasks

**Discussions**

- Team Discussion

**Sites**

**People and Groups**

Recycle Bin

Microsoft Office Project Server Workspace

**Announcements**

There are currently no active announcements. To add a new announcement, click "Add new announcement" below.

India-Hyderabad · Initiation Checklists

## Initiation Checklists

New Upload Actions Settings

| Type     | Name   | Modified         | Modified By    | Approval Status | Approver |
|----------|--|------------------|----------------|-----------------|----------|
| Document | Apply and receive visa for PM(s), if applicable  | 1/3/2011 5:25 PM | System Account | Approved        |          |
| Document | Finalize if call centre to be in-house or outsourced   | 1/3/2011 5:25 PM | System Account | Approved        |          |
| Document | Identify and intimate support resources to be deputed on site  | 1/3/2011 5:25 PM | System Account | Approved        |          |
| Document | Identify call centre set up (in-house)   | 1/3/2011 5:25 PM | System Account | Approved        |          |
| Document | Obtain handover from BD-budget sheet, vendor list, bank account details, Company formation_registration status | 1/3/2011 5:25 PM | System Account | Approved        |          |
| Document | Receive standard templates from HR   | 1/3/2011 5:25 PM | System Account | Approved        |          |
| Document | Study environmental_external factors   | 1/3/2011 5:25 PM | System Account | Approved        |          |
| Document | Study feasibility for CDPU   | 1/3/2011 5:25 PM | System Account | Approved        |          |

**Figure 2 Example Checklists**

## 2.2 Planning

During the project planning phase, various plans such as budgeting, project schedule, communication, risk and mitigation, human resources and the procurement plan are developed and agreed.

VFS will have presented a detailed project plan for the Authority as required by the Authority and will now support this same with detailed project schedule, which is base lined and linked to the key milestones set out by the Authority.

The deliverables we will produce during this phase include:

| Theme               | Deliverable   |
|---------------------|---|
| Premises            | Produce blueprints/floor plans for the selected property        |
| Premises            | Agreement and Submission of lease arrangements                  |
| Legal               | Sub-contractors agreements signed, including logistics provider |
| Legal               | Confirmation that all local permits are in place                |
| Security            | PSA 2 and 3 conducted   |
| HR                  | Appoint regional and country managers                           |
| HR                  | Action on any TUPE or ARD issues                                |
| HR                  | Agree vetting requirements for staff and training needs         |
| Business Continuity | Draft BCP   |
| Operations          | Draft Snag List   |

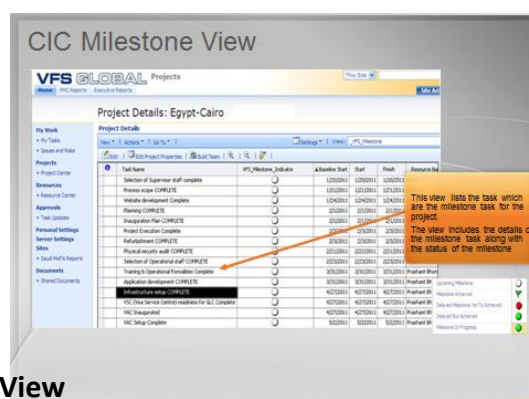
**Table 4 Planning deliverable timetable**

The time taken to deliver this phase is:

- 10 - 20 days for low-risk transition sites
- 20 - 30 days for medium-risk transition sites
- 30 - 40 days for higher-risk transition sites

Any transition undertaken for the Authority will contains a master plan for the Authority including the support plans for individual countries. The roll-outs will be independent of one another but the global plan will reflect the overall status of the Transition.

An example of this approach can be seen in the diagram below, which reflects the work currently being undertaken in the transition of Canada's global outsourcing programme, involving deployment in eight Regions.



**Figure 3 Milestone View**

## 2.3 Execution

The execution phase is focussed on setting-up the VAC, delivering the activity set-out in the implementation plan and meeting all milestones and readiness criteria to ensure go-live.

VFS's on-site project/transition manager will play a vital role in the execution phase and provides complete control and supervision of the key activities that are undertaken. They will continue to be supported by the Account Management Team and the Programme Management Office. This is clearly a critical part of the project lifecycle, not only ensuring effective delivery but also facilitating relationships with local vendors and other key stakeholders.

The deliverables we will produce during this phase include:

| Theme               | Deliverable   |
|---------------------|---|
| Premises            | Refurbishment completed                                       |
| HR                  | Staff vetted, cleared by the Authority and training completed |
| Equipment           | Procured, installed and tested                                |
| Security            | PSA 3 and 4 conducted   |
| IT Security         | Provide IT health-check and penetration testing               |
| Communications      | Material for any PR agreed by local post                      |
| Business Continuity | Finalise and sign-off BCP                                     |
| Snag List           | Agree a finalised snag list                                   |

**Table 5 Execution deliverable table**

The time taken to deliver this phase is:

- 10 - 30 days for low-risk transition sites
- 26 - 45 days for medium-risk transition sites
- 41 - 60 days for higher-risk transition sites

In this phase, the VAC refurbishment begins in line with blueprints, specifications and designs as approved by the Authority. We will liaise with operations and IT applications department for securing the required approvals for the software that facilitates the processing of applications in the VAC as set out in the requirements of the Authority. Website development for the mission commences once we have agreement from the Authority, and is translated by regions in local languages to offer information services to the applicants residing in that country.

We will also coordinate the staff recruitment exercise with the HR department in the region/country to ensure high quality personnel with right skill sets are recruited, vetted and trained during the project execution. Hardware procurement begins and delivered at respective VAC locations and networked in the VACs. Various test runs such as the Black box/Grey box testing is undertaken by the IT department and User Acceptance Tests (UAT's) are held by projects to ensure a robust and bug-free application program.

We will work in closely with the Authority to finalise an inauguration plan and agree a list of invitees for the day of the VAC launch. Any communications strategy will now commence if required and agreed by the Authority. We will conduct business readiness testing through dry runs of the end to end process, which are undertaken at VACs with the staff to ensure there are no problems that need immediate attention and rectification and appropriate action is taken by the projects team. All activity at this stage will be to work to resolve all snags, but particularly red snags in order to ensure that the Go Live Certification (GLC) can be issued by the Authority to ensure that VFS has met the readiness criteria set out by the Authority.

The project team works on a checklist during the execution phase to ensure full control and monitoring of the critical tasks and compliance to the protocol governing VAC launch. EPM helps gain visibility, insight and control of all work, enhances decision making and allows project managers to intelligently manage various deliverables.

## 2.4 Handover

Following the launch of the VAC, we continue to provide onsite support to the Business As Usual (BAU) team for 3 weeks to ensure that any teething problems are resolved. After this period, a formal handover to operations occurs and the Authority is informed.

A key feature of our approach is to optimise transfer of knowledge and ensure that the transition to operations is delivered as smoothly as possible. Examples of how we do this are provided below:

| Transfer       | Description   |
|----------------|---|
| Knowledge      | Vendor and subcontractor details<br>Updated Issue Escalation matrix as defined in the Project Communication Plan<br>An updated internal and external stakeholder register and responsibility matrix<br>An updated Risk Register<br>An updated lessons learned summary, which we also provide to the client authority. Portal to facilitate distribution to the global team<br>An updated Staffing Plan<br>A Phase-Out Plan<br>A Consular Post Feedback Report and Recommendations |
| Responsibility | On-going and pending efforts, such as continuous improvement projects<br>All legal agreements, contracts, staffing contracts, and banking agreements  |

**Table 6 Our knowledge transfer focus**

The time taken to deliver this phase is:

- 5 days for low-risk transition sites
- 10 days for medium-risk transition sites
- 15 days for higher-risk transition sites

At the end of this phase, all project documentation is closed and our database is updated.

Lessons learnt are recorded and updated for future project reference. As part of a continuous improvement process, documenting lessons learnt helps VFS discover the root causes of problems that occurred and avoid those problems in later project stages or future projects. The objective of this report is gathering all relevant information for better planning of later project stages and future projects, improving implementation of new projects, and preventing or minimizing risks for future projects.

Examples of some of the lessons learned from previous transition are set out below, along with some of the mitigation that we have developed.

| Risk   | Description  | Our mitigation   |
|--|--|--|
| Lack of local IT equipment can result in delays            | The availability of IT equipment in some locations can be a limited due to an absence or suppliers or doubts over their reliability. This can create delays.   | <p>Our IT Infrastructure team maintains a list of suppliers and advises the project team on sourcing options.</p> <p>The IT Infrastructure also provides advice on items which are likely to be problematic. This can then be included in the sourcing plan at the time of initiation of the project.</p> <p>Since we already have presence in most locations we are able to mitigate such risks through our Infrastructure team and with the help of our local entity or subcontractor's support and knowledge.</p>   |
| An absence of suitable premises creates delays             | <p>In certain locations there are limitation finding suitable premises. This can cause major delays in the implementation of projects.</p> <p>An associated risk is also the time lag within which the premises are finalized after seeking permission from the Client Government.</p> | <p>Our project teams are aware of this risk and always identify multiple options while selecting premises.</p> <p>We seek to block the premises by paying a token money or refundable deposit to ensure that we get the first right of refusal.</p> <p>Since this is a time consuming exercise the project team ensures that premises is a key priority.</p>   |
| Poor timeliness of refurbishment completion creates delays | <p>Timely completion of refurbishment is a challenge while implementing multiple projects simultaneously.</p> <p>In addition, there is a limitation on availability of quality vendors in some Group B countries.</p>  | <p>Our project team takes this into consideration during the planning stage and various measures are integrated in the implementation plan to mitigate this risk including but not limited to:</p> <ol style="list-style-type: none"> <li>1) The selection of the right property can minimise the refurbishment work and help reduce implementation time frame</li> <li>2) Good selection of vendors</li> <li>3) Detailed planning with the vendor</li> <li>4) Review of completed work at suitable intervals</li> <li>5) The payment plan is tied to outcomes.</li> <li>6) Multiple vendors may be selected to complete the refurbishment in a shorter span of time.</li> </ol> |
| Unable to identify suitable                                | Due to our specific requirements and nature of work, sometimes it is a   | To mitigate this risk, we engage our current resources from other operations so that the VAC team is a mix of existing and new resources. This also provides   |

| Risk  | Description   | Our mitigation   |
|---|---|--|
| personnel   | challenging to find suitable personnel.   | additional help to the project team and helps in a smooth transition. We also endeavour to engage an experienced resource in a managerial or supervisory position. The recruitment is initiated well in advance and through multiple resources. The selection of our partner/ subcontractor is also strategized to help mitigate this risk. Customarily we try to engage partner/ subcontractor from a process driven industry as the resources have some useful orientation before joining the VAC team. We have central and regional HR resources that are well versed with their respective region and are able to recruit the required total number of candidates to help make timely selection and recruitment of suitable personnel. |
| Local licenses, permits and other legal requirements can prevent roll-out if not managed properly | Arranging local permits, licenses and timely completion of any legal requirements while differ from country to country, could also pose a serious challenge due to bureaucracy. | We take multiple steps to approach these issues including but not limited to: have a strong and well-connected law firm as our legal representative, local partner who knows the requirements and by virtue of their presence and status minimize the requirements or assist in timely completion of any legal or administrative formalities. This also helps us in informing the Authority of any limitation due to local legislation prohibiting the same right at the start of the implementation stage so as to develop and alternative solution collaboratively.  |
| Delay in approvals from the Authority   | We are well aware of the nature of our business and requirements stipulated by the Authority and further that we can start operations only with the consent of the Authority.   | To prevent unnecessary or avoidable delay, we maintain an effective reporting structure to update the Authority at agreed upon intervals which also include any escalation of risk and issues as well as our proposed plan of action to counter the risks and issues.  |

**Table 7 Examples of lessons learned**

## 2.5 Monitoring and control

Finally, we recognise that an enabler that is an essential element of any transition project is effective monitoring and control. Our oversight runs throughout the project, from initiation through to project closure. Therefore, the key deliverables will be produced at the 120, 90, 60, 30 and 15 day stage and at any time either as required by the Authority or as submitted by VFS.

| Title                        |
|------------------------------|
| Project Manager reports      |
| Executive reports            |
| Region level reports         |
| Country level reports        |
| Consolidated Project reports |
| VFS resources summary        |

**Table 8 Monitoring and control table**

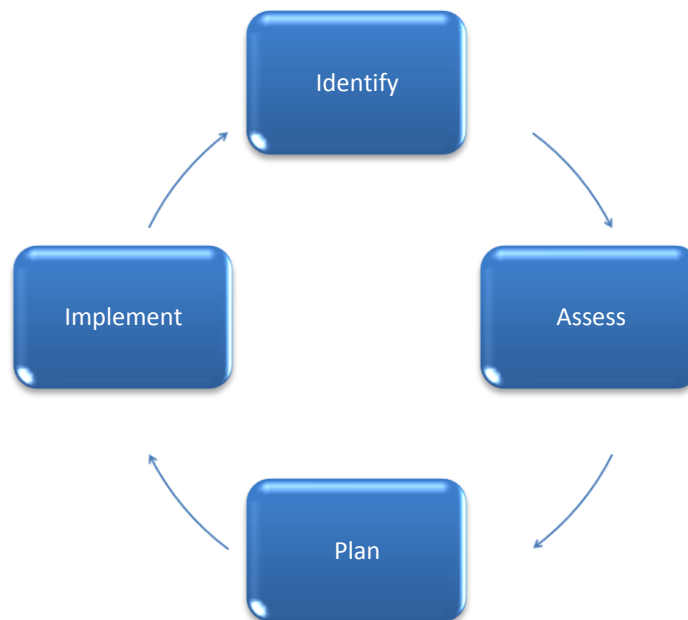
### 3. RISKS AND DEPENDENCIES

#### 3.1 Risks and issues

Risk management begins during the proposal development phase and continues throughout the program life cycle to continually identify and manage risks. Consequently, VFS will apply a rigorous Risk Reduction and Mitigation (RRAM) methodology to support delivery of this work.

We use the RRAM process, proven on multiple contracts similar in size and scope to that of the Authority, to identify potential threats, vulnerabilities, problems, and emergencies that could affect site operations and information assets (e.g., hard copy and electronic records). Our risk management process enables the continuous identification, analysis, assessment, and assignment of management accountability for risks associated with cost, schedule, and performance.

As the nature and interrelationships of risks can change, our approach accounts for this change by constantly reviewing previously identified risks and the associated mitigation strategies. VFS implement the following 5 stage procedure for risk management:



**Figure 4 Risk Methodology**



### 3.1.1 Identify (context and risks)

Comprehensive information about the project is obtained as part of the internal system of initiating projects. This process begins at the pre-bid stage and evolves along the lifecycle of the project delivery. The objective is to understand the specific objectives that are at risk and to formulate the risk management strategy for the project. This is created during the initiation stage and then reviewed and possibly updated at the end of each stage. The early warning indicators provide advanced warning that one or more of the project's objective could be at risk.

### 3.1.2 Assess (estimate and evaluate)

An analysis is conducted to assess the risk probability and impact. This enables risk profiling to be completed and helps the project team to take corrective actions where required. All such information is shared with the client authority at each stage.

### 3.1.3 Plan

Once the risks are assessed, responses to the specific risks are planned. After evaluating a range of options, we implement the most appropriate response with provision made for any fall-back plans and contingencies.

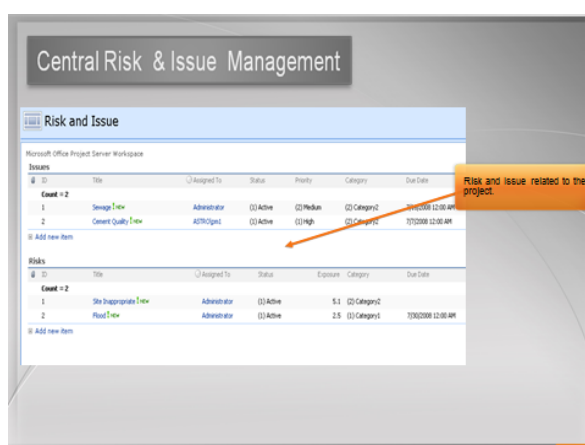
### 3.1.4 Implement

This step ensures that the planned responses to a given risk are undertaken, that their effectiveness is monitored and that corrective action is taken where responses do not match expectations or do not deliver the planned outcome.

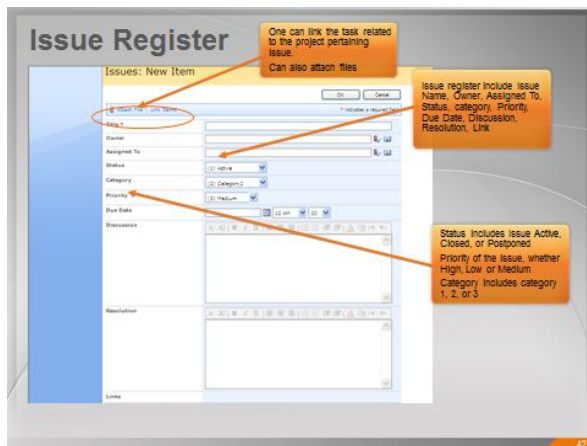
### 3.1.5 Communicating the risk

We have an established communication system for ensuring that information related to the threats and opportunities faced by the project is communicated both within the project and externally to stakeholders. Examples of how this can be reported include end-stage reports, end-project reports or lessons learned reports.

Finally, EPM provides a central platform to control and manage risks related to projects:



**Figure 5 EPM Risk Tools 1**

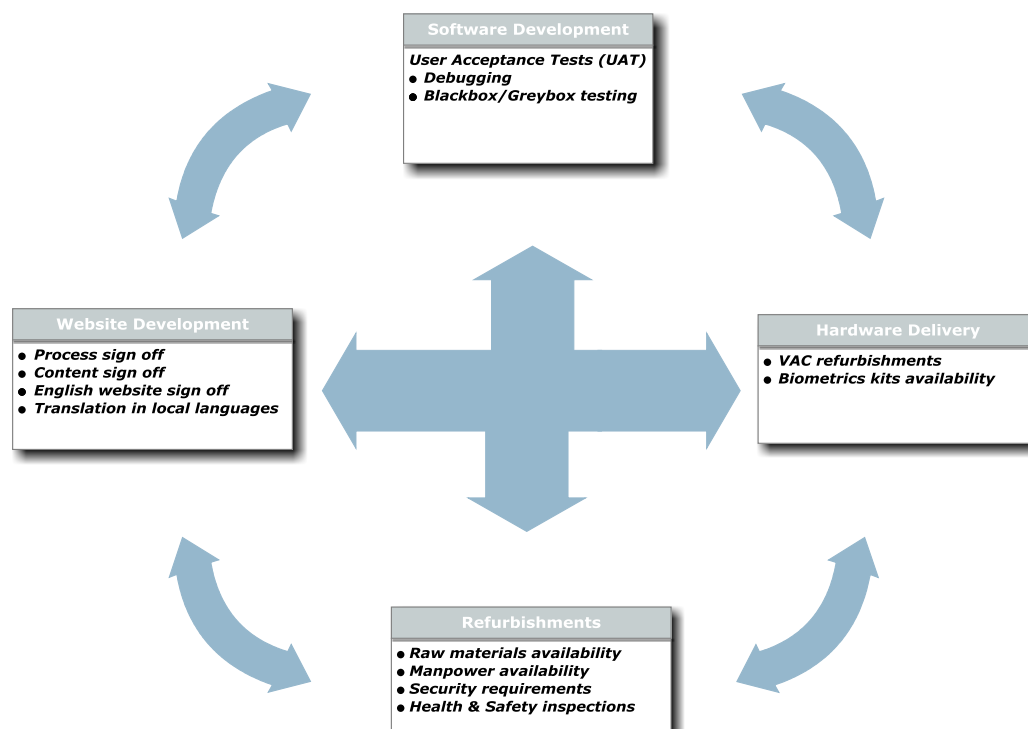


**Figure 6 EPM Risk Tools 2**

### 3.1.6 Dependency management

The project schedule will clearly highlight the dependencies in the task that it will be necessary to manage in order to achieve the milestones and deliver successful transition. This becomes the critical path and the team places specific emphasis on these dependencies to ensure that the project is delivered in time at the agreed Go live date. Any delays in the critical path are addressed with the most appropriate corrective action/methodology.

In a typical VAC roll out, the following are the key dependencies and due emphasis is placed on these in our project methodology to ensure that the project delivery is not delayed:



**Figure 7 VAC Dependency Matrix**

### 3.1.7 Software development

The application development and deployment has a high dependency on the inputs received on how the application should be processed in line the requirements of the Authority. Once the application is developed, the deployment also has a dependency on User Acceptance Testing and the Blackbox/Greybox testing without which the application cannot be released to the live environment.

### 3.1.8 Hardware delivery

The hardware delivery depends on the availability of the specific systems required by the Authority and the IT department on which to run the application. The delivery of hardware cannot be taken at the VAC until the completion of the refurbishments specifically designed to assure the security of the components to be installed at the VAC have been completed. The biometrics readiness will depend on the availability and delivery of the biometrics kits from the Authority.

### 3.1.9 VAC availability and refurbishments

The refurbishments at the VAC will depend on the design and specifications sign off from the Authority and the availability of the raw material to complete the refurbishments. The refurbishment cannot start unless the VAC lease has been agreed and the possession of the premises has been granted to VFS. The VAC refurbishments cannot be completed unless all security installations have been completed and signed off by the Security Department and the Health & Safety inspection by the local municipality has been successfully carried out.

### 3.1.10 Website development

The website development depends on the finalisation of the process / content by relevant department and sign off from the local post /Authority. The translation of the website into local languages cannot be undertaken unless the website in English has been signed off by projects and the Authority.

We deploy EPM to provide a task critical view that reflects the status of the tasks which are critical as per VFS project task acting as a red snag, it includes detailed information of the task along with the resource name. An example is provided below.

| Task Name  | Duration | % Compl | VFS_Task | Baseline Start | Baseline Finish | Start      | End        |
|--|----------|---------|----------|----------------|-----------------|------------|------------|
| Receive Approved Budget from Finance                     | 2d       | 100%    | ●        | 11/23/2010     | 11/25/2010      | 11/23/2010 | 11/23/2010 |
| Study internal factors and lessons learnt                | 2d       | 100%    | ●        | 11/23/2010     | 11/25/2010      | 11/23/2010 | 11/23/2010 |
| Global Agreement signed                                  | 6d       | 100%    | ●        | 11/24/2010     | 12/2/2010       | 11/24/2010 | 11/24/2010 |
| Release project schedule to Process, Info Security, F    | 3d       | 100%    | ●        | 11/24/2010     | 11/29/2010      | 11/24/2010 | 11/24/2010 |
| Data transfer license (Biometrics)                       | 7d       | 0%      | ●        | 11/25/2010     | 12/6/2010       | 11/25/2010 | 11/25/2010 |
| Budget Analysis with Baseline cost                       | 3d       | 100%    | ●        | 11/25/2010     | 11/30/2010      | 11/25/2010 | 11/25/2010 |
| Apply and receive visa for PM(s), if applicable          | 5d       | 100%    | ●        | 11/25/2010     | 12/2/2010       | 11/25/2010 | 11/25/2010 |
| Finalize sitemap content and design in consultation wi   | 4d       | 50%     | ●        | 11/29/2010     | 12/3/2010       | 11/29/2010 | 11/29/2010 |
| Finalize requirement from business/mission               | 5d       | 100%    | ●        | 11/29/2010     | 12/6/2010       | 11/29/2010 | 11/29/2010 |
| Project Initiation COMPLETE                              | 0d       | 100%    | ●        | 11/29/2010     | 11/29/2010      | 11/29/2010 | 11/29/2010 |
| Budget Approval received from PMO                        | 3d       | 100%    | ●        | 11/30/2010     | 12/3/2010       | 11/30/2010 | 11/30/2010 |
| Check and confirm with Treasury department for open      | 2d       | 100%    | ●        | 11/30/2010     | 12/2/2010       | 11/30/2010 | 11/30/2010 |
| Receive Process questionnaire from Mission               | 3d       | 100%    | ●        | 12/1/2010      | 12/6/2010       | 12/1/2010  | 12/1/2010  |
| Legal formalities COMPLETE                               | 0d       | 100%    | ●        | 12/2/2010      | 12/2/2010       | 12/2/2010  | 12/2/2010  |
| Travel on site (flight tickets, Insurance, Forex, Single | 4d       | 100%    | ●        | 12/2/2010      | 12/8/2010       | 12/2/2010  | 12/2/2010  |
| Provide sitemap to vendor for development                | 5d       | 100%    | ●        | 12/3/2010      | 12/10/2010      | 12/3/2010  | 12/3/2010  |
| Finalize website content                                 | 7d       | 100%    | ●        | 12/3/2010      | 12/14/2010      | 12/3/2010  | 12/3/2010  |
| Code Management Complete                                 | 0d       | 100%    | ●        | 12/3/2010      | 12/3/2010       | 12/3/2010  | 12/3/2010  |

**Figure 8 Dependency Management through EPM**

#### 4. GOVERNANCE AND RESOURCES

In support of this arrangement, VFS fully agrees that good contract governance is delivered through the establishment of a coherent and well-ordered structure that clearly demonstrates the roles and responsibilities of individuals within that. This is the case throughout the life of the contract but is of paramount importance in the successful implementation of transition, at all levels but particularly in the case of multiple region activity. It follows that the fundamental strength and success of the process lies in the ability of those nominated to understand their roles and to have the skills and capability to execute these. Our key personnel are experienced and dedicated practitioners who are committed either to continue or to develop the strongest possible working relationships with both the Authority as this critical in order to be able to anticipate, communicate, address and ultimately resolve operational and commercial threats, risks and issues.

The diagram below sets out how VFS will deliver key governance principles and underlines our commitment in particular to the importance of the following elements of that process:

- Responsibility and accountability at each level of the proposed structure;
- The establishment of an informed and transparent relationship between VFS and the Authority at all levels of governance;
- The critical importance of communication, not just through an agreed review and check-list cycle but at all times to ensure early notification of issues which will lead to much quicker resolution;
- The presence of an effective and responsive escalation process to support the management of risks and issues.

An example of how this might operate is shown below.

| Suggested frequency | VFS                               | Authority                       |
|---------------------|-----------------------------------|---------------------------------|
| Monthly*            | Account Manager                   | SRO / Senior Managers           |
| Weekly / Monthly*   | Account Management Team (AMT) PMO | Programme and Contract Managers |
| Weekly*             | Regional Transition Managers      | Regional Managers               |
| Daily*              | Country Transition Managers       | Country Managers                |

\* Additional meetings as and when required by the Authority



Escalation



Communication

**Figure 9 Transition Governance**

## 5. OVERARCHING PLAN FOR TRANSITION

We have developed a detailed transition plan which is provided response to other questions in Section B.

VFS will assign regional teams to the transition, these are set out below.

| Transition Team            | Area Covered   |
|----------------------------|--|
| Asia P Transition Team     | South East Asia and Pacific Rim, Australia             |
| Americas Transition Team   | Latam, Canada, Caribbean, Central and Northern America |
| China Transition Team      | China and Taiwan                                       |
| Pakistan Transition Team   | Dedicated to Pakistan                                  |
| Gulf Transition Team       | Gulf states, Near East                                 |
| South Asia Transition Team | India, Nepal, Bangladesh, Sri Lanka                    |

**Table 9 Transition Teams**

Some of the key features include:

- All but 16 of our VACs can be rolled-out in timescales quicker than those set-out in the RFP
- As we are incumbent we have taken advantage of our existing footprint
- Through our partnership with IOM we have facilities already established in a large number of countries.

We have provided an overview of this plan below.

Figure 10 Africa Transition Overview - REDACTED







**Figure 13 Euro-Med Transition Overview cont. - REDACTED**

Figure 14 Gulf, Pakistan, South Asia, Canada and Australia Transition Overview - REDACTED

## ANNEX 5-2

## ROLL-OUT SCHEDULE

**PART A: VAC ROLL-OUT SCHEDULE**

| Region | Country | Post | Location of VAC | Scheduled<br>Commencement Date by<br>VAC |
|--------|---------|------|-----------------|--|
|        |         |      |                 |  |
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**ANNEX 5-3****LOCAL TRANSITION PLANS**

At a minimum, the Local Transition Plans for each Visa Application Centre shall be consistent with the Overall Transition Methodology and Plan and shall cover the following areas:

1. activities to undertake scoping of existing visa application services and to assess and define the types and level of changes needed to meet contract requirements;
2. any agreed variations to the Supplier's Solution during the Start-Up Period;
3. details of the premises and locations to be used as Visa Application Centres and any other Supplier Facilities;
4. an IT implementation plan;
5. security arrangements during Transition;
6. recruitment and staffing plans for each Visa Application Centre including any planned variations during the Transition Period;
7. a training plan for each Visa Application Centre or other Supplier Facilities – this shall include the training to be provided by the Supplier and any input/involvement required from the Authority. This plan shall show objectives for each element of training, the number of people to be trained, the timescales and the location of the training;
8. how best practices, knowledge and existing experience will be shared among different Visa Application Centres operated by the Supplier;
9. a plan to manage and integrate any Material Subcontractors;
10. the local implementation of the Communications Plan, including communications and marketing activities to Heads and staff at UK Missions and Posts and to the public; and
11. a Gantt chart showing activities, resources, duration and dependencies.

An example Local Transition Plan for A Key authority visa country in a Region is attached to this Annex as Appendix A. In accordance with Sections 4.4.2 and 4.4.4 of this Schedule, the format, structure and methodology of this example Local Transition Plan shall be followed for each subsequent Local Transition Plan.

**ANNEX 5-4****KEY MILESTONES**

This Annex 5-4 sets out five Key Milestones – at 120 Days, 90 Days, 60 Days, 30 Days, and 15 Days before each of the relevant Commencement Dates. Each Key Milestone requires the Supplier to meet or deliver certain activities, as identified in the tables below.

| <b>120 Day Check List</b>                |  |
|--|--|
| <b>Item</b>                              | <b>Comment</b>   |
| <b>Shortlist of Premises</b>             | <ul style="list-style-type: none"> <li>Propose a maximum of three facilities which all meet the requirements in Schedules 4 and 13, each agreed as potential site by local Post and/or the Authority.</li> </ul> |
| <b>Staffing and Training</b>             | <ul style="list-style-type: none"> <li>Agree any potential “transfer” of staff to Supplier if required by law.</li> </ul>  |
| <b>Local Transition Plans</b>            | <ul style="list-style-type: none"> <li>Provide draft Local Transition Plans.</li> </ul>  |
| <b>Incumbent operations</b>              | <ul style="list-style-type: none"> <li>Assessment of on-going incumbent operations in each country wherever possible.</li> </ul>   |
| <b>Partnership with local incumbents</b> | <ul style="list-style-type: none"> <li>Agree with the Authority whether to partner or not with a local incumbent.</li> </ul>   |
| <b>Security</b>                          | <ul style="list-style-type: none"> <li>Provide PSA1</li> </ul>   |

| <b>90 Day Check List</b>                           |   |
|--|---|
| <b>Item</b>  | <b>Comment</b>  |
| <b>Shortlist of Premises</b>                       | <ul style="list-style-type: none"> <li>List of potential building contractors;</li> <li>Plans showing how facilities/ utilities will meet contract requirements (Blueprints).</li> </ul>  |
| <b>Local legal entity/ Material Subcontractors</b> | <ul style="list-style-type: none"> <li>Legal entity established with progress report on operational licences permits as required;</li> <li>Identity of potential Material Subcontractors, if not already agreed.</li> </ul>   |
| <b>Scoping and Improvement Plan</b>                | <ul style="list-style-type: none"> <li>Provide details regarding how current visa services are provided. The Supplier will define the types and level of changes needed to meet the requirements specified in the Agreement compared to existing services.</li> </ul> |

| 90 Day Check List   |  |
|---|--|
| Item  | Comment  |
| <b>Staffing and Training</b>                                | <ul style="list-style-type: none"> <li>Regional and Country Manager appointed and briefed;</li> <li>Country Manager to have made initial contact with Post and arrange meetings;</li> <li>Role definitions/job description for local VAC staff;</li> <li>Plans drawn up to transfer staff, enacting TUPE, or equivalent prevailing employment legislation in country of operation;</li> <li>Agree on the Authority inputs to training;</li> <li>Local recruitment company appointed, if applicable;</li> <li>Vetting procedures agreed as required;</li> <li>Understanding of any training needs of existing staff.</li> </ul> |
| <b>Assets</b>   | <ul style="list-style-type: none"> <li>Identify any Transferring Assets</li> <li>Agree on purchase of Transferring Assets</li> <li>Prepare list of Assets, by Country, VAC, category and value.</li> </ul>   |
| <b>Hardware/Software/Office equipment and supplies</b>      | <ul style="list-style-type: none"> <li>Identify local office needs;</li> <li>Identify potential vendors (suppliers).</li> </ul>  |
| <b>Banking and Payments (in countries where applicable)</b> | <ul style="list-style-type: none"> <li>Shortlist of potential banking partners;</li> <li>Definition of payment options.</li> </ul>   |
| <b>Logistics</b>  | <ul style="list-style-type: none"> <li>Shortlist of potential logistics partners.</li> </ul>   |
| <b>Biometric Readiness</b>                                  | <ul style="list-style-type: none"> <li>Agree dates for installation and training.</li> </ul>   |
| <b>Security</b>   | <ul style="list-style-type: none"> <li>Provide PSA2</li> </ul>   |

| 60 Day Check List                          |  |
|--|--|
| Item                                       | Comment  |
| <b>Premises</b>                            | <ul style="list-style-type: none"> <li>Lease signed;</li> <li>Update on refurbishments and utilities.</li> </ul> |
| <b>Lease Review</b>                        | <ul style="list-style-type: none"> <li>Conclude Lease review where applicable</li> </ul>                         |
| <b>Local legal entity / Subcontractors</b> | <ul style="list-style-type: none"> <li>List of signed contracts (who, what, when).</li> </ul>                    |

| <b>60 Day Check List</b>                                    |  |
|---|--|
| <b>Item</b>   | <b>Comment</b>   |
| <b>Scoping and Improvement Plan</b>                         | <ul style="list-style-type: none"> <li>Plan to address any shortcomings of current operations.</li> </ul>  |
| <b>Staffing and Training</b>                                | <ul style="list-style-type: none"> <li>Regional/Country Managers to meet with Post;</li> <li>Shortlist of potential staff;</li> <li>Update on training plans.</li> </ul>   |
| <b>Hardware/Software/Office equipment and supplies</b>      | <ul style="list-style-type: none"> <li>Plan to fulfil office requirements.</li> </ul>  |
| <b>Banking and Payments (in countries where applicable)</b> | <ul style="list-style-type: none"> <li>Banking partners selected and agreed contracts;</li> <li>Finalize banking process.</li> </ul>   |
| <b>Logistics</b>  | <ul style="list-style-type: none"> <li>Selected and signed courier partner;</li> <li>Agreed SLAs and process;</li> <li>Draft training plan for logistics suppliers.</li> </ul>   |
| <b>Business Continuation Plan</b>                           | <ul style="list-style-type: none"> <li>Post to provide local Business Continuation Plans if not already provided before and where available.</li> </ul>  |
| <b>Biometric Readiness</b>                                  | <ul style="list-style-type: none"> <li>Agree local process including the appointment system.</li> </ul>  |
| <b>Interviewing</b>   | <ul style="list-style-type: none"> <li>Agree local process including the appointment system</li> </ul>   |
| <b>User Pays Services</b>                                   | <ul style="list-style-type: none"> <li>Agree range of User Pays Services applicable to the Country and VACs</li> </ul>   |
| <b>Communications</b>                                       | <ul style="list-style-type: none"> <li>Draft plan including coordination with post Communication Plans.</li> </ul>   |
| <b>Reporting</b>  | <ul style="list-style-type: none"> <li>Supplier to provide their Country Manager with draft tools and methodology for measuring SLAs.</li> </ul>   |
| <b>Security</b>   | <ul style="list-style-type: none"> <li>Provide PSA3.</li> </ul>  |
| <b>Snag List</b>  | <ul style="list-style-type: none"> <li>A draft Initial Snag List will be produced 60 days prior to the Scheduled Commencement Date, if any Snags exist. This Snag List will contain initial estimates of RAG ratings.</li> </ul> |

| 30 Day Check List                                    |   |
|--|---|
| Item   | Comment   |
| Premises   | <ul style="list-style-type: none"> <li>Progress report regarding refurbishment and installation of utilities.</li> </ul>  |
| Scoping and Improvement Plan                         | <ul style="list-style-type: none"> <li>Progress report against plans.</li> </ul>  |
| Staffing and Training                                | <ul style="list-style-type: none"> <li>Staff appointed and vetted;</li> <li>Update on training plans;</li> <li>Localisation of operational procedures agreed;</li> <li>Confirmation of agreed joint training with Post including “dry runs”.</li> </ul> |
| Hardware/Software/Office equipment and supplies      | <ul style="list-style-type: none"> <li>Update on progress against plans.</li> </ul>   |
| Banking and Payments (in countries where applicable) | <ul style="list-style-type: none"> <li>Bank account opened.</li> </ul>  |
| Logistics  | <ul style="list-style-type: none"> <li>Signed off training plans related to logistics partners.</li> </ul>  |
| Business Continuation Plan                           | <ul style="list-style-type: none"> <li>Draft Business Continuation Plan for VAC, incorporating Post Business Continuation Plans.</li> </ul>   |
| Biometric Readiness                                  | <ul style="list-style-type: none"> <li>Progress report.</li> </ul>  |
| Interviewing   | <ul style="list-style-type: none"> <li>Progress report</li> </ul>   |
| Communications                                       | <ul style="list-style-type: none"> <li>Material for PR campaign signed off by Post;</li> <li>Release dates agreed.</li> </ul>   |
| Reporting  | <ul style="list-style-type: none"> <li>Final agreement on tools and methodology for measuring SLAs.</li> </ul>  |
| Snag List  | <ul style="list-style-type: none"> <li>A Refined Snag List will be produced 30 days prior to the Scheduled Commencement Date, if any Snags exist. This Refined Snag List will contain updated RAG ratings.</li> </ul>                                   |

| 15 Day Check List |  |
|-------------------|--|
| Item              | Comment  |
| Premises          | <ul style="list-style-type: none"> <li>Facilities finished;</li> </ul> |



| 15 Day Check List   |   |
|---|---|
| Item  | Comment   |
|   | <ul style="list-style-type: none"> <li>▪ Supplier to provide Safety Certificate as required by local law;</li> <li>▪ Insurance in place;</li> <li>▪ Utilities working.</li> </ul>   |
| <b>Scoping and Improvement Plan</b>                         | <ul style="list-style-type: none"> <li>▪ List any outstanding issue and agree completion date.</li> </ul>   |
| <b>Staffing and Training</b>                                | <ul style="list-style-type: none"> <li>▪ Progress of on-going training.</li> </ul>  |
| <b>Assets</b>   | <ul style="list-style-type: none"> <li>▪ Finalise list of Assets</li> <li>▪ Agree categories of listed Assets, whether an Exclusive Asset, and the basis for subsequent depreciation, net book value, and transfer.</li> </ul>  |
| <b>Hardware/Software/Office equipment and supplies</b>      | <ul style="list-style-type: none"> <li>▪ Plan completed.</li> </ul>   |
| <b>Banking and Payments (in countries where applicable)</b> | <ul style="list-style-type: none"> <li>▪ Payment facilities installed.</li> </ul>   |
| <b>Logistics</b>  | <ul style="list-style-type: none"> <li>▪ Training update including plan for “dry run”.</li> </ul>   |
| <b>Business Continuation Plan</b>                           | <ul style="list-style-type: none"> <li>▪ Finalised and signed off as appropriate.</li> </ul>  |
| <b>Biometric Readiness</b>                                  | <ul style="list-style-type: none"> <li>▪ Connectivity available and VAC facilities to accommodate Biometrics Equipment and Operations available.</li> </ul>   |
| <b>Interviewing</b>   | <ul style="list-style-type: none"> <li>▪ Connectivity available and VAC facilities in place</li> </ul>  |
| <b>Communications</b>                                       | <ul style="list-style-type: none"> <li>▪ Confirm arrangements for potential press conference.</li> </ul>  |
| <b>Snag List</b>  | <ul style="list-style-type: none"> <li>▪ 15 days prior to Scheduled Commencement Date The Authority and the Supplier will agree a Finalised Snag List, if any Snags exist. This Finalised Snag List will contain updated RAG ratings; and</li> <li>▪ all Snags to be given RAG status.</li> </ul> |
| <b>Security</b>   | <ul style="list-style-type: none"> <li>▪ Provide PSA4;</li> <li>▪ provide ISO27001 compliance details;</li> <li>▪ provide IT Security Health-Check Report; and</li> <li>▪ provide sample Biometric CCTV footage.</li> </ul>   |

| 5 Day Check List  |  |
|-------------------|--|
| Item              | Comment  |
| Go-live Readiness | <ul style="list-style-type: none"><li>5 days prior to the Scheduled Commencement Date all VACs are in a position to allow full Business Readiness Testing as part of meeting the “dry run” Readiness Criteria at Section 9 of Annex 5-5 (<b>Readiness Criteria</b>).</li></ul> |

**ANNEX 5-5****READINESS CRITERIA**

The Supplier is not entitled to open a Visa Application Centre until it either: (i) receives a Go-Live Readiness Certificate from the Authority; or (ii) on an exception basis, if the Authority agrees to the VAC opening under Section 4.6.11(a) or Section 4.6.13(a) of Schedule 5 (**Transition**). For the avoidance of doubt, The Authority authorising the Supplier to open a VAC under Sections 4.6.11(a) or 4.6.13(a) of this Schedule 5 is not the same as the Authority issuing the Go-Live Readiness Certificate to the Supplier in recognition that all Readiness Criteria (including all Snags) have been successfully met/completed by the Supplier. The Go-Live Readiness Certificate will be issued by the Authority if the Supplier meets the following Readiness Criteria:

- (1) locations of Visa Application Centres and other Supplier Facilities meet the requirements set out in Schedule 13 (**Facilities**);
- (2) facilities within Visa Application Centres and other Supplier Facilities meet the requirements set out in Schedule 13 (**Facilities**);
- (3) security arrangements meet the requirements set out in Schedule 4 (**Security**);
- (4) IT services available including: biometric connectivity, biometric capture facilities (when Biometrics Equipment is installed), and interviewing.
- (5) staffing, recruitment and vetting plans agreed through the process described in Annex 5-4;
- (6) on-going training requirements and plans agreed through the process described in Annex 5-4;
- (7) Communication Plan agreed through the process described in Annex 5-4;
- (8) completed installation plans to support Biometrics Recording collection.
- (9) sign off of “dry run” and full scale test to demonstrate the Suppliers ability to meet the Services Requirements (“**Business Readiness Testing**”);
- (10) business continuation plans agreed through the process described in Annex 5-4;
- (11) reporting procedures and formats meet the requirements set out in Schedule 14 (**Management Systems and Reporting**);
- (12) agreed length of the Start-Up Period; and
- (13) all Snags have been addressed and resolved unless otherwise stated in Sections 4.6 to 4.8 of this Schedule 5 (**Transition**).

## ANNEX 5-6

## TRANSITION EVIDENCES

| Evidence Grouping | Evidence                       | Milestone  | Description  |
|-------------------|--------------------------------|--|--|
| Planning          | Project Plan                   | 120 day Milestone  | Per Country, draft project plans for delivery  |
| Premises          | Property shortlist             | 120 day Milestone  | Short list of prospective properties   |
|                   | Blueprints                     | 90 day Milestone   | Blueprints of selected property  |
|                   | Lease                          | 60 day Milestone   | Written confirmation the lease for selected property has been signed (copy of lease signature page)  |
| Legal             | Legal Entity                   | 90 day Milestone   | Confirmation the Supplier has established a legal entity in the country of operation   |
|                   | Subcontractors                 | 60 day Milestone   | Confirmation all subcontractor agreements have been signed   |
|                   | Local Permits                  | 30 day Milestone   | Written confirmation that all local legal permits have been gained   |
| Photos            | Milestone photos               | Milestone photos will be delivered to the Authority at the following dates:<br>VAC go-live minus 6 weeks<br>VAC go-live minus 4 weeks<br>VAC go- live minus 2 weeks<br>Commencement of BRT | Milestone photos will cover six set areas within the VACs. Each area should be covered by two photos taken from different angles.<br>The areas required are: Front counter, Biometric booths, back office area, waiting area, IT server area, inside main entrance (including security). |
|                   | On request photos              | When requested   | The Authority will reasonably request VAC photos from the Supplier from time to time throughout the Transition process to confirm specific points within the VAC.  |
| Security          | Staff list                     | 30 day Milestone   | Proof staff are appointed and vetted   |
|                   | Physical Security Assessment 1 | 120 day Milestone  | Contains a review of the security aspects of all the property options  |
|                   | Physical Security Assessment 2 | 90 day Milestone   | Contains an overview of the Suppliers security plans for the selected VAC property   |
|                   | Physical Security Assessment 3 | 60 day Milestone   | Contains a detailed description of the proposed security fit out of the selected VAC property  |

| Evidence Grouping         | Evidence                              | Milestone        | Description  |
|---------------------------|---------------------------------------|------------------|--|
|                           | Physical Security Assessment 4        | 15 day Milestone | Contains a detailed description of the final security fit-out of the selected VAC property, as well as the content of the previous Physical Security Assessment phases |
|                           | ISO Gap Analysis report               | 15 day Milestone | Details of ISO27001 compliance details   |
|                           | Biometric CCTV still image            | 15 day Milestone | Sample biometric CCTV sample footage   |
|                           | Pen testing report                    | 15 day Milestone | Penetration testing report   |
| Business Continuity Plans | VAC Specific Business Continuity Plan | 30 day Milestone | Draft business continuity plan incorporating Post Business Continuity Plan   |
| Technology                | IP addresses                          | 15 day Milestone | Provided through helpdesk, used to establish connectivity  |

## ANNEX 5-7

## SNAG LIST

The content here illustrates the format and potential categories and items subject to snagging, but is not exhaustive, or definitive. This is intended as a working document updated through Transition and relates to each Country and VAC, as snagging instances occur.

| ID | Location | Category   | Description  | Snag Rating | Raised by: | Date Raised (dd/mm/yyyy) | Status | Snag Owner | Action Update / Comments | Target Completion Date | Mitigation |
|----|----------|------------|--|-------------|------------|--------------------------|--------|------------|--------------------------|------------------------|------------|
| 1  |          | Commercial | Legal Entity   |             |            |                          |        |            |                          |                        |            |
| 2  |          | Property   | Suitable property not found                                    |             |            |                          |        |            |                          |                        |            |
| 3  |          | Property   | Property Lease not provided                                    |             |            |                          |        |            |                          |                        |            |
| 4  |          | Property   | Air-conditioning equipment not installed                       |             |            |                          |        |            |                          |                        |            |
| 5  |          | Property   | Furniture not installed  |             |            |                          |        |            |                          |                        |            |
| 6  |          | Property   | Notice board not fitted  |             |            |                          |        |            |                          |                        |            |
| 7  |          | Property   | Writing ledge not installed                                    |             |            |                          |        |            |                          |                        |            |
| 8  |          | Property   | Destination posters not installed                              |             |            |                          |        |            |                          |                        |            |
| 9  |          | Property   | Signage not installed  |             |            |                          |        |            |                          |                        |            |
| 10 |          | People     | Not all staff positions staffed                                |             |            |                          |        |            |                          |                        |            |
| 11 |          | People     | Not all staff fully vetted                                     |             |            |                          |        |            |                          |                        |            |
| 12 |          | People     | Not all staff have signed the Non-Disclosure agreement and the |             |            |                          |        |            |                          |                        |            |

| ID | Location | Category | Description   | Snag Rating | Raised by: | Date Raised (dd/mm/yyyy) | Status | Snag Owner | Action Update / Comments | Target Completion Date | Mitigation |
|----|----------|----------|---|-------------|------------|--------------------------|--------|------------|--------------------------|------------------------|------------|
|    |          |          | Authority code of conduct document  |             |            |                          |        |            |                          |                        |            |
| 13 |          | People   | Not all staff have trained  |             |            |                          |        |            |                          |                        |            |
| 14 |          | IT       | Primary Internet connectivity not installed/tested  |             |            |                          |        |            |                          |                        |            |
| 15 |          | IT       | Local Area Network not established  |             |            |                          |        |            |                          |                        |            |
| 16 |          | IT       | Redundant LAN points not installed/tested   |             |            |                          |        |            |                          |                        |            |
| 17 |          | IT       | Firewall not installed  |             |            |                          |        |            |                          |                        |            |
| 18 |          | IT       | UPS not installed/tested  |             |            |                          |        |            |                          |                        |            |
| 19 |          | IT       | Anti virus software, network security policy and/or desktop security policy not implemented |             |            |                          |        |            |                          |                        |            |
| 20 |          | IT       | IP restrictions to Supplier applications not implemented/tested                             |             |            |                          |        |            |                          |                        |            |
| 21 |          | IT       | Telephone lines not installed   |             |            |                          |        |            |                          |                        |            |
| 22 |          | IT       | Penetration testing not completed   |             |            |                          |        |            |                          |                        |            |
| 23 |          | IT       | Test run of Supplier applications not   |             |            |                          |        |            |                          |                        |            |

| ID | Location | Category   | Description   | Snag Rating | Raised by: | Date Raised (dd/mm/yyyy) | Status | Snag Owner | Action Update / Comments | Target Completion Date | Mitigation |
|----|----------|------------|---|-------------|------------|--------------------------|--------|------------|--------------------------|------------------------|------------|
|    |          |            | completed   |             |            |                          |        |            |                          |                        |            |
| 24 |          | Property   | Power connections and meters not installed/tested                                     |             |            |                          |        |            |                          |                        |            |
| 25 |          | Property   | Back-up arrangements for power not installed  |             |            |                          |        |            |                          |                        |            |
| 26 |          | Property   | Drinking water dispensers not installed   |             |            |                          |        |            |                          |                        |            |
| 27 |          | Property   | Insufficient lighting provision in applicant waiting areas and Biometric booths       |             |            |                          |        |            |                          |                        |            |
| 28 |          | Commercial | Courier sub contract and non-disclosure agreement not signed                          |             |            |                          |        |            |                          |                        |            |
| 29 |          | Process    | Pre-printed airway bills not available  |             |            |                          |        |            |                          |                        |            |
| 30 |          | Process    | Not sufficient dockets available  |             |            |                          |        |            |                          |                        |            |
| 31 |          | Process    | Sufficient tamper evident envelopes and weather resistant delivery bags not available |             |            |                          |        |            |                          |                        |            |
| 32 |          | Process    | Dry run of collections and delivery of consignments not                               |             |            |                          |        |            |                          |                        |            |



| ID | Location | Category    | Description   | Snag Rating | Raised by: | Date Raised (dd/mm/yyyy) | Status | Snag Owner | Action Update / Comments | Target Completion Date | Mitigation |
|----|----------|-------------|---|-------------|------------|--------------------------|--------|------------|--------------------------|------------------------|------------|
|    |          |             | conducted satisfactorily  |             |            |                          |        |            |                          |                        |            |
| 33 |          | IT          | IT hardware as per required specifications not installed/tested                 |             |            |                          |        |            |                          |                        |            |
| 34 |          | IT          | Microsoft software not installed on all Supervisor machines                     |             |            |                          |        |            |                          |                        |            |
| 35 |          | Consumables | Control stationery not available in sufficient quantities                       |             |            |                          |        |            |                          |                        |            |
| 36 |          | Consumables | Office stationery not available in sufficient quantities                        |             |            |                          |        |            |                          |                        |            |
| 37 |          | Consumables | Toners cartridges and other IT consumables not present in sufficient quantities |             |            |                          |        |            |                          |                        |            |
| 38 |          | Consumables | Housekeeping cleaning materials and services not available                      |             |            |                          |        |            |                          |                        |            |
| 39 |          | Security    | Physical security assessment reports not received                               |             |            |                          |        |            |                          |                        |            |
| 40 |          | Security    | Trained security guards not positioned  |             |            |                          |        |            |                          |                        |            |
| 41 |          | Security    | Sufficient fire   |             |            |                          |        |            |                          |                        |            |

| ID | Location | Category | Description  | Snag Rating | Raised by: | Date Raised (dd/mm/yyyy) | Status | Snag Owner | Action Update / Comments | Target Completion Date | Mitigation |
|----|----------|----------|--|-------------|------------|--------------------------|--------|------------|--------------------------|------------------------|------------|
|    |          |          | extinguishers not installed  |             |            |                          |        |            |                          |                        |            |
| 42 |          | Security | Fire resistant safe for passports not installed                    |             |            |                          |        |            |                          |                        |            |
| 43 |          | Security | Signage (no smoking, no cell phones, fire exit, etc) not displayed |             |            |                          |        |            |                          |                        |            |

## ANNEX 5-8

## TEMPORARY WAIVER REQUEST FORM

Waiver Title Ref: \_\_\_\_\_

## Part A – The Supplier’s Request

|  |  |
|--|--|
| Author   |  |
| Date   |  |
| Supplier   |  |
| Country  |  |
| VAC  |  |
| Proposed Schedule<br>Commencement Date (as<br>suggested by the Supplier) |  |

(1) Identity of the contractual obligation(s) / requirement(s) that the Supplier states it will be unable to meet by the Scheduled Commencement Date (i.e., Snag(s))

(2) Supplier Mitigation to in respect of Snag(s) identified under No. 1 above

(3) Proposed duration for resolving the Snag(s) identified under No. 1 above

**Date of this statement:**

**Signed by the Supplier:** \_\_\_\_\_

## Part B – The Authority’s Response

(1) The Authority’s Comments / Response to No.2 and No.3 above for each Snag identified

(2) The Authority’s Response to the Supplier’s request for a Temporary Waiver

**No:** \_\_\_\_\_ (insert “no”, if applicable)

**Yes:** \_\_\_\_\_ (insert “yes”, if applicable)

**If “yes”, are there any specific conditions with which the Supplier must comply?:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

---

**Date of this statement:**

**Signed by The Authority:** \_\_\_\_\_

---