Department for Work & Pensions

Statement of Requirements

Draft	**27**
Date	**24 January 2018**

1. Contents

1 Contents
2 Abbreviations
3 Glossary
4. Background to the Requirement
5. Implementation
6. Accommodation, Resources and Standards
7 Telephony and Digital requirements
8 IT Technical Requirements
9 Training
10 Operational Delivery
11 Complaints and Compliments
12 Management Information (MI)
13 Audit and Security
14 Quality Standards and Accuracy Targets
15 Contract Management
16 Contract Exit

Appendix 1 - Telephony Solution
Appendix 2 - The Authority's IT (EUC) Specification
Appendix 3 - MI and Stats
Appendix 4 - Business Continuity and Disaster Recovery plans
Appendix 5 - Complaints
Appendix 6 - Service lines and volumes
Appendix 7 - Data Retention Periods
Appendix 8 - Service Credits

2. Abbreviations

Term	Description
AA	Attendance Allowance
ACD	Automatic Call Distributor
AHT	Average Handling Time
AUP	Acceptable Use Policy
BC	Business Continuity
BCP	Business Continuity Plan
BIA	Business Impact Analysis
CIS	Customer Information service
DLA	Disability Living Allowance
DWP	Department for Work and Pensions
EUC	End User Computing
GAD	Genysis Agent Desktop
GDPR	General Data Protection Regulation
HMG	Her Majesties Government
HR	Human Resources
IT	Information Technology
IVR	Interactive Voice Response
JSA NC	Jobseekers Allowance New Claims
JSAOL	Jobseekers Allowance Online
LAN	Local Area Network
MI	Management Information
MPLS	Multi-Protocol Label Switching
NBFH	National Benefit Fraud Hotline
NGCC	Next Generation Contact Centre
NINO	National Insurance Number
PC	Pension Credit
PCA	Percentage Calls Answered
PIP	Personal Independence Payment
PpAM	Price per Activity Minute
PTP	Pensions Transformation Programme
RTO	Real Time Objectives
UC	Universal Credit
VDN	Virtual Delivery Number
VR	Voice Recording
WAN	Wide Area Network

3. Glossary

Agent	An agent is someone employed by the Supplier who carries out tasks relating to the operational delivery of the service lines.
Acceptable Use Policy	The Authority's AUP lays out the rules on the use of the various electronic systems in the department.
Automatic Call Distributor	Automatic Call Distributor is a device that enables calls to be routed to a specific business area.
Call Recording and Quality Monitoring	The main purpose of Call Recording and Quality Monitoring is to analyse the interaction between agent and customer. It is used as a coaching tool to support the individual learning and development of agents, and to verify compliance with security protocols.
Calls answered	The volume of calls answered must be reported in the 15 minute interval in which the Agent answers the call, and not in the 15 minute interval in which the call ends.
Call Transfer	When an agent has a customer on the telephone and needs to connect them to a third person or organisation then a call transfer is carried out. There are numerous methods of call transfer from a simple divert of the customers incoming line to another line to a 'warm transfer' as described below.
Customer	Any person who requests any form of support and guidance from DWP or other service provider.
Customer Complaint	A complaint is an expression of dissatisfaction about the service received.
DXC.Technology	DXC Technology is a company that provides technology enabled business solutions and services.
Digital by Default	The Government's challenge to Departments. Digital by default requires that government

	services are designed to use digital technologies (web and automated digital telephony) by default by front and back end provision of information and transactional services.
End User Computing Platform	Relates to a range of applications available through DWP IT infrastructure.
LAN	Local Area Network (LAN) is a small data network covering a limited area, such as a building or group of buildings. Most LANs connect workstations or personal computers. This allows many users to share devices and data.
The Authority	Department for Work and Pensions.
The Authority's translation Service	An external service contracted to the DWP to to provide a live interpreting service to assist agents in handling calls from customers requiring their call to be handled in languages other than English.
The Supplier	The Supplier of the specified services.
Thick Client	Are full-featured PCs that are connected to a network. The server may provide the thick client with programs and files that are not stored on the local machine's hard drive.
Thin Client	Function as regular PCs but do not have any software installed, they run programs and access data from a server.
Signposting	A process whereby an agent refers a customer to a third party by giving them a telephone number or web site address which the customer can then contact.
Smart Card	A user access control card supported by a dedicated PIN for secure access to the Authority's Network.
Void Day	Any day where the volume of calls offered exceeds the volume of calls forecast by more than the agreed tolerance, provided the supplier can demonstrate to DWPs satisfaction that the PCA target was achieved on forecast

	calls plus 10%. This day is then excluded from performance measurement calculations only where PCA targets have not been achieved.
Vulnerability Testing	DWP will test individual business units and agents to ensure that DWP's security protocols are adhered to. This is primarily to ensure customer data is secure.
Warm transfer	Process whereby an agent can transfer a customer's call to a third party, without the customer being disconnected. The customer may or may not be put on hold for a short time as the agent attempts to dial the third party. If the third party is connected, a conversation can then occur before the contact centre agent hangs up, leaving the customer and third party in conversation.
WAN	Wide Area network - a network that interconnects geographically-distributed computers or LANs.

4. Background to the Requirement

4.1 About DWP

4.1.1 The Department for Work and Pensions (DWP) is responsible for welfare, pensions and child maintenance policy. As the UK's biggest public service department it administers the State Pension and a range of working age, disability and ill health benefits to over 22 million claimants and customers.

4.1.2 DWP is responsible for:

- understanding and dealing with the causes of poverty rather than its symptoms
- encouraging people to work and making work pay
- encouraging disabled people and those with ill health to work and be independent
- providing a decent income for people of pension age and promoting saving for retirement
- providing value for money and reducing levels of fraud and error

4.1.3 DWP aims to:

- run an effective welfare system that enables people to achieve financial independence by providing assistance and guidance into employment
- increase saving for, and security in, later life
- create a fair and affordable welfare system which improves the life chances of children
- deliver outstanding services to our customers and claimants
- Deliver Efficiently: Transform the way we deliver our services to reduce costs and increase efficiency

4.2 About DWP's Operational Telephony and Digital services

4.2.1 DWP operates from contact and service centre sites alongside benefit centres, which form a virtual network using Next Generation Contact Centre (NGCC) technology. Some sites will transform and become Universal Credit service centres as we move forward.

4.3 DWP Service Lines in scope of this contract

4.3.1 DWP is seeking one or two Supplier(s) to work in partnership with DWP delivering the telephony services detailed in the table below to our customers. See Appendix 6 A & B for more details for each service line. The lot/packaging strategy will be confirmed in the ITT. Indication of the service line packages is noted in the table below.

Service Line	Description of service offer	Handover arrangements with DWP (if any)
Package A		
Pension Credit Claims	For claimants wanting to make a new claim to PC. Initial entitlement calculation done before a warm handover to DWP	Warm handover into next available agent in virtual network
Pension Credit Enquiries	Handling enquiries regarding existing claims, simple payment enquiries and account information. Email handover to DWP for complex enquiries.	Email referral (handover) for complex queries. Cold handover to Change of Circumstances only by permission of Team Leader if caller advises they have tried to get through a number of times. Warm handover to "Hunt Group" in cases of financial difficulty (with TL agreement). Cold handover to Bereavement if customer distressed and has pressed wrong option.
State Pension Enquiries	As above for PC Enquiries.	As above for PC Enquiries.
Winter Fuel Enquiry Line	Handling calls from Pension customers regarding payment / non-payment of winter fuel lump sums (seasonal line from October to February and this will be an annually agreed service line)	In exceptional circumstances an agent can seek advice and if necessary warm transfer to the Winter Fuel Specialist Unit
Jobseekers Allowance (JSA) New Claims	For claimants wishing to use the telephony channel to make a new claim to Jobseekers Allowance. Details are gathered and claim sent electronically to DWP.	N/A
Jobseekers Allowance (Online) (JSAOL)	Confirmation SMS of appointment Outbound call to book Work Focused interview with appropriate jobcentre if information missing from online application	N/A
Package B		
Carers Allowance	For customers wishing to order claim packs using the DWP tool.	N/A
DLA / AA Claim packs	Customers ringing up to request a claim pack for DLA (child) or AA for 65+. No online option available.	N/A
National Benefit Fraud Helpline (NBFH)	Taking details from citizens wanting to report suspected benefit fraud activity	N/A
National Insurance Number (NiNO) Appointments	Entitlement screening and booking of appointments with geographical jobcentre to enable application to be made.	N/A
Jobcentre Enquiry Line (JEL)	For customers wishing to contact the Jobcentre. All Jobcentre telephone numbers are listed as the JEL contact number 0345 604 3719. This line will be delivered from DWP's infrastructure and telephony through the NGCC platform	N/A

4.3.2 DWP will consider potential additional service lines, under consultation with the supplier, with options to on-board potential additional service lines as follows;

Service Lines	Description of services offered	Service On-boarding arrangements
As yet unidentified potential for additional service lines of a similar nature that may include but are not restricted to the following; • *Support for Mortgage Interest* • *Employment Service Allowance, New Claims* • *Child Maintenance, options* • *Universal Credit, Interview booking (UC)* • *Warm Homes Discount* • *Personnel Independence Payment (PIP).* • *DWP Contact Centre Services* • *Other such DWP services pursuant to the scope of the contract which allows DWP to concentrate on DWP core functionality*	To be provided in work order as and if required. The description of available services is specified under the Framework Common Vocabulary codes as detailed below and may include, but is not limited to, services specified in this Statement of Requirements and Appendix 6 A & B Lot 2 Common Vocabulary codes 79512000, 79311000, 75112000, 75100000, 79342320, 79430000, 79512000, 48000000, 72260000, 72500000, 79342310, 79342000, 79341000, 75120000, 79500000, 72212211, 72320000, 72243000, 79342311, 79416100, 72250000, 72590000, 79416000, 72210000, 79600000, 50324100, 79342200, 79342300, 79511000, 79342100, 79900000	The on-boarding of potential future services will be dealt with in accordance with the provisions of clause 22 (Change – Variation Procedure) of the contract. The customer will request an Impact Assessment (22.1.3 -a-e) and consider each element in determining the inclusion of an additional service based on quality VFM demonstration and best service fit. The adoption of an additional service line may require some adjustment to the requirements under the contract. However will not change the overall nature of the contract.; Any agreed charging will be based on Price Per Activity Minute (PpAM) under consideration of the

		contract charging methodology or as a separate PpAM rate based on the requirements and agreed suppliers price. The lot/packaging strategy for initial service lines under Package A and Package B is specified in the instruction to bidders set out at in the ITT. The customer reserves the right to consider all sourcing options to determine the service provision e.g. further competition from the Framework –RM3815

4.3.3 This is a 3 year contract with the option of a contract extension for 12 months, the Contract Commencement Dates starts when the first service commences. The actual start date of the contract is impacted by IT and transition approach and starts when services commence planned transition. If any new service lines are identified during the lifetime of the contract, DWP will consider the impact of such lines on the existing contract requirement and how best to meet the department's overall needs in a lawful manner. Such on-boarding of further services will be dealt with in accordance with the contract Change Control process. Suppliers to note that there is no guarantee that additional service lines will be on-boarded.

4.3.4 The contract will provide opportunities for the Supplier to work closely in delivering DWP services. A successful partnership would need to deliver excellent Value for Money for DWP, realising efficiencies in spending, contributing to process improvement and enhanced customer service.

5. Transition and Implementation

5.1 It is the Authority's intention that the service lines within each contract package are transitioned from the incumbent supplier and the Authority beginning 01 August 2018 to the new supplier over a maximum of a period ending no later than 31 December 2018. An earlier start date to transition may be considered subject to agreement between the Authority and Supplier.

5.2 The transition period is measured from the date the first call is handled by the new Supplier to the date when the last call is handled by the exiting Supplier.

5.3 There will be a phased transition for each service line over a period of time as agreed by the Authority and the incoming Supplier.

5.4 This phased transition will consist of a transfer of responsibility of a percentage of calls within each service line from the incumbent Supplier to the new supplier.

5.5 Safe landing is an essential Authority requirement. Our customers and our operational staff should not be able to tell that there has been a change in Supplier.

5.6 Upon contract award the Authority will meet with the incoming Supplier and agree the sequence, % of switchover rates and timescales for such.

5.7 It is our assumption that multiple service lines will be transitioning over the same period. It is also the assumption that those service lines marked with an asterisk, on the table below, can be transitioned via a single100% switchover rather than phased.

5.8 The tables below show initial views on the order of transition for each service line from the incumbent supplier to the winning bidder. The order may be subject to change dependent upon transition proposals and operational considerations. The groupings (highlighted by colour) within the package indicate those service lines for which there is a strong preference by the customer to transition together over the same period.

5.9 All implementation plans must be agreed with the Authority and shall not be considered effective until this has been received.

Package A

Sequence	Name of Line
1.	Pension Credit Claims
2.	Pension Credit Enquiries
3.	State Pension Enquiries
4.	Winter Fuel Enquiry Line – (Service line not currently live as of Jan 19 as seasonal)
5	Jobseeker's Allowance New Claims
6	Jobseeker's Allowance Online (JSAOL)

Package B

Sequence	Name of Line
1.	*Carers Allowance Claim Packs
2.	*Disability Living Allowance / Attendance Allowance Claim Packs
3.	*National Benefit Fraud Hotline
4.	National Insurance Number (NiNO) Appointments
5	Jobcentre Enquiry Line

5.10 The contract will involve access to secure DWP systems (see Appendix 6) and therefore robust Supplier implementation plans should take account of the potential need for a site survey, installation of DWP infrastructure and desktops. These activities are undertaken by the Authority's contracted Telephony and IT partners. Typical installation can take up to 5 months prior to go-live.

5.11 The Supplier will be required to have the following in place, tested, and signed off by the Authority as ready for the proposed go live dates stated in 5.1

a) Secure UK based accommodation from which to operate the service (in line with recognised international security standards such as ISO/IEC27001, ISO/IEC27002, Cyber Essentials or comparable measures).

b) A secure discrete area within these premises shall be identified for DWP service delivery with separate, controlled and monitored access.

c) An integrated and approved telephony solution capable of making and receiving calls and any other technological development as agreed between the Supplier and the Authority. Reach licences for the purposes of Short Message Service (SMS) for the JSA Online service

line will be provided by the Authority. Licences are not required for Reach access which is gained via a simple self-registration process linked to DWP e-mail accounts. The telephony solution must have functionality for call distribution, MI collection, real time and customer contact management. (See App 1). The JEL line will be delivered from DWP infrastructure and telephony (NGCC platform) and will have the functionality detailed above. NB: There is a possibility that all telephony may move to DWP systems in the future. Should this be the case, DWP will engage in relevant discussions with the Supplier and this will be pursued via a contract variation (see also 7.3g)

d) The ability to bring a third party into the conversation, for example the DWP translation service using a three way conference call facility.

e) The ability to record all calls where required in their entirety so that defined individuals or groups may listen to selected recordings to ensure quality and accuracy of information given to the customer.

f) The ability to securely store and retrieve all voice recordings in line with the Authority's Information Management Policy as updated from time to time and in compliance with GDPR from May 2018. The storage solution must be accredited by the Authority <u>before</u> go-live, as part of Implementation activities, and any change in the solution should also be accredited by DWP, prior to Implementation. All calls still held by the supplier at the end of the contract term must be securely stored and then securely deleted in line with the Authority's Information Management Policy as updated from time to time with confirmation provided to DWP. Throughout this period all call recordings must remain accessible to ensure that any required by DWP can be retrieved within 2 days, (see also 7.3e).

g) The cabling between the switching and routing equipment, and the cabling link between this equipment and their agents) which must be capable of connecting and integrating with the Authority's existing network via an MPLS connection. The Authority will provide a secure LAN.

h) All testing of systems and processes to be completed before operational go live.

i) Working in partnership with DWP, security assurance of all systems and processes to be completed promptly in accordance with DWP requirements.

j) Trainers in place to take part in training events on the Authority's processes.

k) A training package to train agents (the Authority will provide the elements of the training package pertinent to delivering its specific

service guidelines including process flows and telephony scripts where appropriate).

l) A recruitment policy which ensures the appropriate calibre of agents is recruited to deliver the service to DWP quality standards. We appreciate Suppliers may choose to over recruit to mitigate against attrition and support safe landing during the implementation period.

m) Agents recruited and trained on Authority's processes ready for go live and with an appropriate resource to provide flexibility.

n) The ability to provide all MI as detailed in Appendix 3 and any new requirements during the duration of the contract, subject to supplier ability to deliver and managed through the change request process.

o) A contract management team as the Authority's single point of contact to manage the service.

p) Business and disaster recovery plans in place and approved by the Authority. Please see Appendix 4.

6. Accommodation, Resources and Standards

6.1 The Supplier shall provide one or two sites of UK based accommodation necessary to fulfil its obligations laid down in this Statement of Requirements document. The Authority and its representatives require unrestricted access to the DWP business delivery area within all delivery sites.

6.2 Suppliers should also be mindful that in exceptional circumstances within the contract term there may be a requirement for them to deliver the service from DWP premises using DWP telephony and IT. Should DWP wish to invoke delivery by this method then sufficient notice will be provided and this will be pursued via a variation to this contract.

6.3 Suppliers should also be mindful that under certain circumstances within the contract term there may be a requirement for them to deliver the service from their own premises using DWP telephony. Should DWP wish to invoke delivery by this method then sufficient notice will be provided and this will be pursued via a variation to this contract.

6.4 The Supplier shall follow the Authority's 'Standards and Values' when dealing with customers. The DWP Customer Charter provides these standards https://www.gov.uk/government/publications/our-customer-charter

6.5 The Supplier shall ensure all paper waste deemed confidential will be dealt with in line with the Authority's Sustainability and Security policies. As a minimum requirement the Supplier will ensure that: pending removal, confidential waste is stored and securely locked away; all waste

is disposed of by secure destruction (.eg. pulping) and meets current legislation.

7. Telephone and Digital Technical Requirements

7.1 Connectivity to DWP will be provided by a standard DWP wide area network connection. A secure communications room will be required for local infrastructure with controlled authorised access.

7.2 Messaging (including in queue and business continuity recordings) will be provided by the Authority for Supplier implementation on their telephony infrastructure.

7.3 The Supplier shall provide:

a. The Authority or its Service Providers access to the supplier's premises in order to install and ensure fitness for purpose and on-going support of the DWP IT and site, e.g. site surveys.

b. The ability to receive telephone calls into the service via the IVRs in the Authority's Intelligent Network Call Plan architecture. The supplier will be required to make available 3 scalable VDNs per service line, ensuring separate MI per service line can be collected as described at Appendix 3. The 3 VDNs per service line will be allocated as, i) – main VDN, ii) – transfer VDN, iii) – transfer VDN (high priority);

c. The functionality for the call recording of all calls in relation to the business processes; and an audit trail facility to be able to control and track those managers and staff accessing this function. Access to the call monitoring system (including engineer access) must also be controlled to prevent un-authorised call listening and playback taking place.

d. The facility to monitor recorded and real-time calls in their entirety so that defined individuals, or groups may listen to selected recordings to ensure quality (standard setting, calibration and best practice) and accuracy of information given to the customer.

e. Ability to record and store data (up to 72 months), be able to search, retrieve and securely transfer individual records and apply separate (DWP defined, see Appendix 7) retention periods to the individual calls / data stored, during and after the life of the contract. Access as and when requested by the Authority, on site at the Supplier's premises, alongside supply of copies of such recordings to the Authority as and when requested. The storage solution must be accredited by the Authority <u>before</u> go-live, as part of Implementation activities, and any change in the solution should also be accredited by DWP, <u>prior</u> to Implementation. All calls still held by the supplier at the end of the contract term must be securely stored and then securely deleted in line with the Authority's Information Management Policy as updated from time to time with confirmation provided to DWP, (see also 7.3f) Throughout this period all

call recordings must remain accessible to ensure that any required by DWP can be retrieved within 2 working days. The NGCC platform for the JEL service line has call recording functionality and will automatically record the calls to this service line.

f. At the end or when requested during the contract period, the Supplier must additionally securely transfer all data to DWP and consult with DWP on processes relating to archived data prior to the secure wiping of any data. DWP data must be marked as deleted and any disk space made available to be over written.

g. Telephony equipment for its site(s), including telephones, headsets, turrets and wallboards, must be fit for purpose. The Authority will provide full telephony platform and equipment, including headset for the JEL service line only and this will be deployed through the NGCC platform. . The NGCC platform will run from the same LAN & WAN as the thin client provided by the Authority**.** No additional requirements are needed from the Supplier to support the NGCC platform which will run in conjunction with the Suppliers telephony platform.

h. Skills routing with priority settings to scalable VDNs – see point 7.3.b.

i. The ability to identify individual calls and the agent that transacted the call (e.g. through unique tagging) in MI and VR solutions and maintain a call history as well as caller ID where presented.

j. The means to make outbound calls including where a customer is calling from a mobile phone and requests a call back. Outbound calls must also be recorded.

k. The means to ensure the facility for three-way conference calls, for example when accessing the Authority's translation service.

l. For all Telephony that the Supplier provides telephony service availability at 99.96% of the operating hours is required (See Appendix 8).

m. The technical capability to provide all MI relating to customer contact in a format and frequency agreed by the Authority (See Appendix 3).

8 IT Requirements

8.1 The Authority will provide:

a. Connectivity to DWP via a standard DWP wide area network connection;

b. The relevant Desktop IT to be able to deliver the service lines;

c. Access to DWP's IT Helpdesk facility for technical support with our systems, alongside access to a network of IT Support Managers

(ITSMs). This includes technology support for the NGCC platform. The support managers will come to the supplier site as required but it is unlikely that there will be a full time presence on site;

d. Procurement route for the Supplier to obtain the standard IT components used during normal operations, subject to authorisation by the Authority;

e. Access to the Authority's systems by Smartcards to be robustly managed by the supplier. DWP will supply Smartcards and the supplier will need a designated person(s) to manage the security, onsite activation, de-activation and issue of smartcards to supplier staff;

f. The DWP End User Computing Platform to enable the following:

   i. ability to run and operate flexible call-scripted responses, where appropriate;

   ii. ability to update the text within the call scripts (when directed by the Authority);

   iii. ability to securely capture customer data if required by the Authority;

   iv. search facility to access and utilise frequently asked questions and answers;

   v. signposting to other organisations as agreed with the Authority;

   vi. ability to securely send electronic referrals to DWP units to progress the customer's enquiry; and

   vii. secure e-mail facility and web based systems (see Appendix 6).

8.2 The Supplier shall provide

a. A Secure Comms room for local infrastructure with controlled authorised access, lockable equipment racks and minimum of CAT5e cabling. A secure LAN will be provided by the Authority to enable on site connectivity between the Secure Comms room and the desktops. (DWP do not provide an end to end solution. The Supplier shall provide the cabling between the switching and routing equipment, and the cabling link between this equipment and their agents, please also refer to para 13.4.);

b. The Authority (or its Service Providers) with access to its premises in order to ensure all security provisions are satisfied and efficient management of the contract;

c. Systems with the means to capture MI in relation to inbound and outbound calls, ability to manage call-backs via a call back diary;

d. All MI relating to customer contact in a format and frequency agreed by the Authority (see Appendix 3);

e. Suppliers to administer and authorise levels of system access for staff in accordance with DWP guidance. Supplier will control the issue and security of the smartcards through nominated officers. All DWP system access is routinely monitored and subject to DWP control;

f. Adherence to the processes to administer and authorise levels of system access for staff in accordance with DWP guidance. Supplier will control the issue and security of the smartcards through nominated officers;

g. The Supplier is not permitted to install any of their own systems on DWP infrastructure unless full impacting has been undertaken by DWP and written permission provided by DWP Security;

9. Training

9.1 The Authority shall provide:

a. Training material and the initial training courses for the Supplier's trainers. The Supplier may also receive training materials from the exiting Supplier. Training thereafter will be the responsibility of the Supplier;

b. DWP will own the training products delivered during the lifetime of the contract and the supplier should hand back all products to DWP as part of the contract exit strategy;

c. Floorwalkers experienced in the relevant service lines to support the supplier at go live. There are no costs to the supplier for provision of this activity;

d. Additional information will be provided by the authority when work streams or processes change. On occasion, the Supplier may be required to develop training material for their own agents, based on process design and requirement documents provided by DWP. These products must be authorised by the Authority prior to use;

e. All Supplier agents will need technical knowledge based training. That training will be delivered by the Authority to the Supplier's Training staff;

f. Additional training material will be given to the Supplier's trainers that will cover generic areas including security, data protection, vulnerability testing, bogus callers, and implicit consent.

9. 2 The Supplier shall provide:

a. The training environment for its staff;

b. Experienced and qualified trainers to receive the Authority's initial training to ensure mobilisation and quality assurance;

c. Adequate support for agents in achieving speed to competency and provide assurance that a quality service is being delivered suppliers should ensure team managers are included in any technical training delivered to agents;

d. Training for its staff on all other areas required, including HR issues, site security, terms and conditions, business processes e.g. call monitoring aims and objectives, soft skills, to ensure quality of service;

e. Details of the content and duration of its in-house training (handling phone calls and customer service) to ensure quality and consistency with the Authority's requirements, including adherence to requests for regular copies of products and reviews;

f. On-going training for its own staff as appropriate, for example new staff, remedial training, revised processes, throughout the Contract period. Training delivered must be planned in conjunction with known forecasts, Real Time Planners and the Authority to ensure service delivery is not impacted and keeping the Authority sighted throughout.

10. Operational Delivery

10.1 Normal operating hours for all service lines except JSA OL and Carers Allowance are Monday – Friday 08:00 – 18:00. Service lines will generally close on English and Welsh Bank Holidays, except the additional Christmas Bank Holiday where a limited service for Scottish customers is required. There will be a service on additional Scottish Bank Holidays. (This could change within the lifetime of the contract and the additional Christmas closure could be removed resulting in a requirement for Suppliers to work on this date.) For the digital channels (JSA OL only) the operating hours are: Monday - Thursday 0700-2100, Friday 0700 – 2015, Saturday & Sunday 0800 – 1700. For Carers Allowance the operating hours are Mon-Thurs 0830-1700 and Fri 0830-1630.

10.2 There will also be a requirement to operate on some Bank Holidays. Suppliers should be mindful that as demand increases, there may be a requirement to provide a service from 8:00am to 21:00 Monday to Friday, and 8:00am to 18:00 on Saturdays and Sundays, at any time during the duration of the contract and possibly as early as Autumn 2018 into early 2019.Should DWP wish to invoke extended delivery then sufficient notice will be provided and this will be pursued via a variation to this contract.

10.3 The Supplier must be able to answer all calls presented to DWP up until the closing time each day. In practice, to allow the customer to

listen to the IVR and select an option, the Supplier must have agents available to take a call until 10 minutes after the service line closing time. The Supplier is allowed to undertake back office work at any time including work outside of normal operating hours in optimising the service.

10.4 The Supplier will be required to provide support as required to manage DWP service volumes. Service line descriptions are included at Appendix 6.

10.5 Call volumes are forecasts only and are not guaranteed, variations to call delivery will occur in day; in week; in month; in year and with seasonal peaks and troughs and marketing activity. **On an on-going basis**, the Supplier will be expected to have flexibility to provide continuity in respect of quality of service if actual volumes prove to be higher, in negotiation with the Authority; and manage staffing levels appropriately if actual volumes are lower. See para 10.7c re daily tolerance targets whereby suppliers will be expected to meet daily PCA despite over forecast demand up to tolerance levels. The Supplier will be required to provide flexibility and capacity in terms of both accommodation infrastructure and Agent resources.

10.6 A key requirement of the successful Supplier is that they must be able to quickly flex up and down to help DWP manage telephony peaks and troughs, both seasonal and forecast and support unexpected demand. The successful Supplier will be required to ensure they have the capacity and capability to deliver the volumes detailed in Appendix 6 plus a variance of +10% throughout the contract term without charge to the Authority for additional accommodation, training etc. costs incurred and their organisational structure and pricing proposal should reflect this requirement. Any variances beyond this range will be dealt with at the appropriate stage through Contract variation procedure.

10.7 The forecasting process:

a. **From commencement of the contract, the following forecasting process will apply:** In readiness for supplier implementation activities, DWP will provide a 6 week forecast alongside a 13 week look ahead forecast for planning purposes. The level of granularity provided by the Authority will be 15 minute interval. However, suppliers should be mindful that forecast variance tolerances apply to the full working day and do not apply to this level of granularity, see paragraph 10.7c.

   During live running, DWP provides the Supplier with a forecast for each service line covering a 2 week period, 4 weeks in advance. This will be shared in advance and agreed at fortnightly planning meetings, with the

Authority having the final decision. At this point the forecast is 'locked down' for invoicing purposes in line with the pricing approach to pay the higher of actual calls answered or 95% of forecast calls in the first twelve (12) months of the contract (this being when Services commence) and the higher of actuals or forecast x 90% for each subsequent year. If the optional twelve (12) month extension is applied the charging rate shall be reviewed. The exceptions to this are detailed in paragraph 10.7b and 10.7e.

Supplier ownership of intra-day/week forecasting will be adopted as soon as practicable within the first 12 months of the contract taking into account applicable risks to Supplier based forecasting. Once the Supplier has adopted the forecasting process the expectation is that they will provide a 13 week look ahead forecast. The timeline to review the adoption of Supplier based forecasting will be reviewed between the Provider, Contract Management and Commercial representatives initially at the 3 month stage from contract commencement, and again at the 6 month and 9 month stage if Supplier forecasting has not been adopted.

Once the Supplier has become responsible for forecasting intra-day/week volumes these will be presented to the Authority for agreement mirroring the process operated by the Authority. The Contract Management team in consultation with Commercial representatives will review the forecast and may ask the Supplier to make amendments to the forecast. The Authority will have final sign off of the forecasts. These will cover a 2 week period and will be locked down 4 weeks in advance. At this point the forecast is locked down for invoicing purposes and the pricing approach to pay the higher of actual calls answered or 95% of forecast calls in the first twelve (12) months of the contract (this being when Services commence) and the higher of actuals or forecast x 90% for each subsequent year. If the optional twelve (12) month extension is applied the charging rate shall be reviewed. Consideration of a move to monthly only forecasting and lockdown should also be considered taking account of the service and performance risks.

DWP will provide monthly updates and any such updates to advise the provider of known changes that have the potential to alter volumes and Average Handling times. The Service Credit regime will be applied to the agreed locked down forecast figures.

b. When call volumes are driven by the invocation of business continuity requirements eg; where the Supplier is unable to deal with the call and advises the customer to ring back at a later time, the following will apply; Calls answered above the forecast plus 10% for that day will be paid at a nominal AHT of 1 minute rather than the standard AHT for the service line on which the call was received. This will be invoked where the AHT for calls on the affected day is 20% below the lowest contractual requirement.

c. A service line specific daily tolerance target of 10% will be applied to the forecast on an on-going basis. If more calls are offered than forecast the

Supplier will be expected to meet this increased demand whilst meeting agreed performance levels up to the tolerance target.

d. On a day when the daily PCA target is not achieved that day will be declared void and excluded from performance where the calls offered on that day exceed the forecast by more than the agreed tolerance and daily PCA is achieved for a minimum of forecast calls plus 10%. Where a day is void then daily PCA performance is disregarded for that day and that day does not count towards the weekly PCA target. Where there are 2 or more void days in a week, only the daily PCA target will apply for the remaining days of the week. The weekly PCA target will not apply for that week.

e. All forecasts issued to the Supplier may change at any point should DWP identify a valid reason. Any decrease in forecast shall be accepted by the Supplier, providing the criteria in the table below are met and DWP identifies a valid reason.

Notice Period of forecast change to specific week	***Allowed decrease to the total weekly forecasted Call minutes for the service line***
5 working days or less	*No change allowed.*
6 to 10 working days	*Up to a 5% reduction in weekly call minutes.*
11 to 15 working days	*Up to a 15% reduction in weekly call minutes.*
16 to 20 working days	*Up to a 25% reduction in weekly call minutes.*
21 to 25 working days	*Up to a 35% reduction in weekly call minutes.*
Working days are Monday to Friday and for this purpose INCLUDE Bank Holidays. *Note: the notice period is the first working day following the issue of change to the last working day prior to the commencement of the forecasting week (inclusive).*	

Please note, once a reduction to the locked down forecast has been made that is the FINAL locked down forecast for Operational and Invoicing purposes.

Any increase in forecast up to 20% shall be accepted by the Supplier, providing the criteria in the table below are met and DWP identifies a valid reason.

Notice period of forecast change to specific week	***Allowed increase to the total weekly forecasted Call minutes for the service line***
5 working days or less	*No change allowed.*
6 to 10 working days	*Up to a 5% increase in weekly call minutes.*

11 to 15 working days	*Up to a 10% increase in weekly call minutes.*
16 to 20 working days	*Up to a 15% increase in weekly call minutes.*
21 to 25 working days	*Up to a 20% increase in weekly call minutes.*
26 working days or more	*Normal forecasting process applies.*
Working days are Monday to Friday and for this purpose INCLUDE Bank Holidays. *Note: the notice period is the first working day following the issue of change to the last working day prior to the commencement of the forecasting week (inclusive).*	

Please note, once an increase to the locked down forecast has been made that is the FINAL locked down forecast for Operational and Invoicing purposes.

f. All Scheduling will be done by the Supplier to meet the forecast.

g. Once the supplier has accepted the move to supplier intra-day/week forecasting then the approach to tactical forecasting periods detailed in the above tables should be reviewed.

10.8 In addition, the Supplier shall also be expected to manage any daily peaks that may materialise using Real Time Management techniques, and in consultation with the Authority, to ensure continuity.

10.9 The customer is greeted with a specific salutation for the service line provided by the Authority.

10.10 Agent establishes the customers' needs and then uses the appropriate tools, scripts and business processes to manage the calls. The Supplier should look to optimise tools, scripts and business processes as part of continuous improvement and innovation with the Authority's approval.

10.11 Agent utilises agreed systems to capture the information and if required directs the customer to other services either by signposting to alternative service or by a warm transfer to another DWP service where that is the agreed process.

10.12 The Agent closes the call using the agreed call closure script.

10.13 The Supplier shall provide the means to make outbound calls where the customer requests a call back.

10.14 The Supplier shall liaise regularly with, and take instruction from the Authority to review its operational capacity and take into consideration any external impacts, for example other Contact Centre recruitment in the local area and the potential impact of this.

10.15 The Supplier must ensure that all telephony agents have undergone and passed a Disclosure and Barring Service (DBS) check and that they are compliant with The Authority's Baseline Personnel Security Standards which will be provided as a guide for the Supplier. Agents will not be permitted access to live customer systems or data without these in place, although the Authority permits training to be started prior to the checks. Due to this, Suppliers should build in an appropriate failure rate to secure performance.

10.16 DBS checks are valid for 3 months once completed, before a supplier agent begins work on this contract.

10.17 The Supplier shall ensure that it has adequate disciplinary policies to respond to instances of misconduct and the Supplier shall adhere to these disciplinary policies when appropriate.

10.18 The Supplier should consider all options to deliver optimum efficiency e.g. make use of single, dual or multi skilling where appropriate.

Note the below compatibility requirements: dual skilling is possible within a group and between groups; multi skilling is possible within a group but not between groups.

Group 1 – GAD telephony system	**Group 2 – PTP CAM telephony system**	**Group 3 –CAMlite telephony system**
Jobcentre Enquiry Line (JEL) Jobcentre Enquiry Line (JEL) will sit independently but can be multi skilled within the group by Agents having both NGCC and Supplier telephony platforms.	Pension Credit Claims (PCC)	Carers Allowance (CA)
Jobseekers Allowance New Claims (JSA NC)	Pension Credit Enquiries (PCE)	
Jobseekers Allowance Online (JSAOL)	State Pension Enquiries (SPE)	
National Benefit Fraud Hotline (NBFH)		
National Insurance Number Allocations (NINO)		
Winter Fuel Payments (WF)		
Disability Living Allowance/Attendance		

Allowance Claim Packs (DLA/AA)		

11. Complaints and Compliments

11.1 “A complaint” is an expression of dissatisfaction about the service received” made in person, in writing, clerical or digital or by telephone to any Authority/Supplier’s member of staff that requires follow-up action. Complaints and compliments can be made by the customer, their authorised representative or third party.

11.2 The Supplier will be provided with the DWP Complaints handling process, and will be expected to follow these processes. Reporting of complaints will be part of the monthly contract team reporting requirements. The supplier will be expected to fully investigate complaints via DWP systems updated by their staff as well as call recording on their software and provide full details of the complaint to DWP.

11.3 The Supplier shall comply with requests for information from the Independent Case Examiner (ICE), DWP Parliamentary Business Unit (PBU), System Access requests and those requests stimulated by Parliamentary questions, freedom of information requests and any other ad hoc requests for information by specified timescales. These requests are to be managed in accordance with DWP security rules in respect of the transfer of data.

11.4 The Authority will progress and resolve any escalated complaints and administer pay-out as part of the appropriate compensation/redress schemes. Any payments will be recovered from the Supplier where they are at fault, on a monthly basis.

12. Management Information (MI)

12.1 The Supplier must:

a. Provide MI to the Authority as detailed in Appendix 3 of this document. DWP must have on-going access to this data via a secure digital portal. A secure digital portal will be an Internet based web portal reporting package with restricted access to view live and historical data. (see also 5.11c and 8.2c)

b. NGCC MI is delivered via Pulse for Real Time & GI2 for Historical MI. There will be no compatibility issues with Supplier telephony MI as the MI will only be available via NGCC applications on DWP equipment.

c. Fully validate MI prior to the distribution of reports to ensure accuracy.

d. Be flexible and change the scope of the reports and frequency from time to time as requested.

e. Produce ad hoc reports and detailed analysis, particularly customer insight MI re call reason analysis on request.

f. Provide separate MI for different customer service lines which may be defined by criteria including but not limited to inbound telephone line or a piece of data captured by Agents.

13. Audit and Security

13.1 DWP will conduct monthly audits in the following areas:

a. DWP Systems Audit Trail referrals – process, feedback and content.

b. Smart card stockholder check – stock check, and random sample of users.

c. User access – process & sample.

d. Bogus callers – process and % sample.

e. Acceptable Use Policy incidents – reports & action taken.

f. Voice recording access, operations and 3rd party access.

g. Annual e-learning.

h. Use of email.

i. Use of Internet.

j. Smart card incidents.

k. Asset Register checks.

l. GDPR compliance

m. Freedom of Information (FOI) requests.

n. Data Protection requests.

o. L&D checks.

p. DWP feedback checks.

q. Quality checks. Access to supplier call recordings will be required to facilitate this.

*This list is not exhaustive

13.2 The Authority has undertaken a Business Impact Assessment for outsourced Contact Centre services and considers the Protective Marking of OFFICIAL for the system as a whole which is consistent with other DWP systems that hold personal data. Data is considered to be OFFICIAL for small amounts of data; and OFFICIAL for aggregated amounts of information, as defined in the HMG Security Policy Framework. The system should be on-boarded to the DXC.Technology protective monitoring services (T-SOC) which is a mandatory requirement for all systems that process OFFICIAL protectively marked data.

13.3 The security requirements are detailed in the Security Schedule of the contract Terms and Conditions.

13.4 The successful supplier must comply with the requirements for adequately and proportionately securing data, in line with the relevant DWP Security Standards and Policies. The standards are based on and follow the International Standard 27001 and Cabinet Office Security Standards. [the link to this is https://www.gov.uk/government/publications/security-policy-framework The supplier will also provide a level of security which meets the requirements of the Cyber Essentials Scheme.

13.5 The Contractors Call Recording system will require security accreditation complying with HMG standards - DWP Security Standards and Policies and Cabinet Office Security Standards [the link to this is https://www.gov.uk/government/publications/security-policy-framework. This will require the application of the DWP Accreditation Process, which also relies upon the International Standard 27001 to ensure security risks are being addressed; and includes a requirement for the supplier to be responsible for the successful delivery of an IT Health Check of the solution.

13.6 DWP Security personnel must also have access to supplier premises to conduct audits on processes and procedures used to provide the service as deemed necessary, and also to perform physical security audits on the premises as required.

14. Quality Standards and Accuracy Targets

14.1 Quality criteria, measurement and monitoring procedures will be standard across the network and will follow the agreed processes. These will be provided by the Authority and will include:

a. Call monitoring with monthly quality forums and call calibration sessions by local management teams;

b. Mystery Shopping (if deemed appropriate);

c. Vulnerability/penetration testing;

d. Independent call monitoring/validation by the Authority;

e. The Authority also reserves the right to run customer satisfaction surveys, in respect of customer/Supplier interactions;

f. The Supplier may be required to conduct customer satisfaction surveys in respect of the service lines provided on behalf of DWP;

g. The Supplier shall undertake the number of checks per agent per month as prescribed in Appendix 6. However during the implementation phase of the contract delivery, the Authority will expect a higher level of quality checking which will be agreed with the Authority;

h. The Authority would expect the frequency of checks to be increased where specific performance or quality issues are identified either in respect of individuals or issues;

i. Reporting of results will be monthly, unless agreed a different level by the Authority. Any remedial action required will be agreed between the Authority and the Supplier;

14.2 The Supplier shall provide the Authority with details of how it will monitor quality in line with the targets specified by the Authority. The Authority would also expect regular contributions and suggestions from the supplier regarding process improvement and enhanced customer service, leading to efficiencies including reductions in AHTs.

14.3 The AHT achieved will be reviewed quarterly against the AHT that DWP are invoiced against. DWP will consider the rationale for any differences and determine whether the actual AHT should become the invoiced AHT as detailed in the Terms and Conditions.

14.4 The supplier will be required to implement the DWP Accuracy, Coaching and Thanks (ACT) Feedback process and respond to feedback within 5 working days, alongside swiftly implementing any improvement plans necessary either across the agent community or with individual agents.

14.5 The supplier will be required to provide the Authority with call logger information to detail call types for each service line to support detailed analysis. The call logger must be approved by the Authority prior to implementation and have sufficient capacity to ensure all calls answered by the supplier can be logged. Statistically valid samples including analysis and recommendations from the call logger data should be made available, on a monthly basis as a required minimum. Any data contained therein remains the intellectual property of the Authority and on going access to this data will be required throughout the life of the contract. Should the contract come to an end the data will be transferred to the Authority via a secure portal and any archived data securely deleted with confirmation provided to the Authority.

15. Contract Management

15.1 The Authority shall provide:

a. Remote senior managers and support teams to work in conjunction with the Supplier to manage and monitor operations. Members of the DWP Contract Management Team will regularly work from the supplier's premises as DWP feels necessary during the lifetime of the contract.

15.2 The Supplier shall provide:

a. An experienced senior manager to work with the Authority to provide strategic leadership and input, and in particular management of the service;

b. An experienced Contact Centre Manager who will effectively lead the successful delivery of services and advise and support the Authority;

c. Effective measures to ensure high quality/calibre agents deliver DWP business. Manage quality of agents; and manage performance in real time via a real time manager to meet performance, targets and support the network. Real Time Manager and Deputy to be available to cover all DWP operational opening hours and to be empowered to enact Business Continuity processes;

d. Full real time visibility as agreed with the Authority. E.g. Available lines and queues; AHT; Calls Offered; Calls Answered; and PCA;

e. Guidance and advice on day to day operational (DWP business) issues and share good practice to continuously improve;

f. Embed principles of continuous improvement and share analysis and findings with the Authority;

g. Collate, interpret and monitor Real Time and historic MI for the contracted operations;

h. Reporting on DWP system unavailability (Daily and weekly) and have the ability and resource to promptly raise technology incidents in relation to DWP IT user access and system outages that impacts on performance;

i. Desk space with DWP systems for DWP Contract Management Team and access to a meeting room;

15.3 The Supplier shall allow the Authority's Contract Management Team access to all MI throughout the life of the Contract. The Supplier shall also retain data, including MI, in line with the terms and conditions of this contract

15.4 The Supplier shall provide the Authority's representative with detailed meaningful evaluation and MI as and when the Authority requires, providing both qualitative and quantitative information on all aspects of the service, including ad hoc requests.

15.5 Through the period of the contract, the Supplier shall be assigned specific targets by the Authority and is expected to work with the Authority to realise these targets.

15.6 The Supplier shall have flexible reporting systems, adaptable to mirror the Authority's data requirements for reporting these specific targets.

15.7 The Authority and Supplier Contract Management personnel will agree an appropriate method of updating the Supplier on information, changes to processes and procedures and issues relating to services.

15.8 Annual review meetings facilitated by the Supplier to include Security, Compliance and Financial reviews as agreed in advance with the Authority.

15.9 Monthly and Quarterly Business Review Meetings will be led by the Authority to discuss performance achievement. These will be at an agreed location, with facilitation and secretariat provided by the Supplier.

15.10 Weekly planning meetings will be held between the Authority and Supplier to review the previous week's performance and plan for the coming fortnight as well as review the latest locked down forecast. The supplier will be expected to highlight any potential hotspots to the Authority in good time via these meetings.

15.11 The Supplier shall provide the Authority with monthly written financial & performance reports specific to each service line throughout the life of the Contract in accordance with the payment mechanism and comparing performance against the service levels or on request.

15.12 The Supplier shall supply meeting room facilities and car parking (if available) at no additional cost to the Authority to support partnership working. Arrangements for use will be agreed in advance with the Supplier.

15.13 The Supplier will be required to report on:

a. Agreed performance metrics;

b. Performance improvement activities;

c. Financial Stability & Invoicing;

d. Forward planning;

e. Changes to management team(s);

f. Proposals for changes to working practices through a formal change control process with a clear emphasis on improving the customer journey and driving down repeat demand;

g. Any business disruption incidents including mitigation to prevent re-occurrence as per Business Continuity Plans;

h. Security and breaches of Security including any reports coming from the Protective Monitoring Service. At intervals agreed with the Authority;

*This list is not exhaustive.

16. Contract Exit

16.1 It is essential that during contract exit, service delivery is protected during transition of service to new Supplier(s) and that the incumbent Supplier helps the new Supplier(s) fully understand what is required to deliver the services going forward.

16.2 The Supplier must show potential new supplier(s) service delivery in live running in the operational area or in a training room, including live demonstration of inbound and outbound calls, processes and systems. This is to enable potential new supplier(s) to understand what is required to deliver the service.

16.3 The Supplier must produce and implement a transitional plan to enable smooth transition of service to the new supplier(s). A big bang approach should be avoided to protect the service. In the 3 months before contract end and the 3 months after contract end, the Authority has the right to flex volumes and operate dual running of service between the incumbent Supplier and the new supplier(s) until the new supplier(s) are in a position to take on the full service.

16.4 The Supplier must share with the Authority all products developed in support of delivering the service. The Authority will be the owner of any such products.

16.5 The Supplier must share with the Authority call analysis data collected throughout the life of the contract.

16.6 The Supplier must share with the Authority data on service line volumes (including seasonality) throughout the life of the contract.

Appendix 1 - Telephony Solution

	Appendix 1 - Telephony Requirement Definition
1	The Authority will route calls from its telephony infrastructure to the supplier.
2	Agents must be able to place the caller on hold during conference set-up or transfer process.
3	Agents must be able to connect to the Authority's Translation service, into the conversation using a 3-way conference call facility.
4	All scripts and messages must conform to Authority's Standards and be implemented by the Supplier on their switch and played at defined times within the customer journey as specified by the Authority. Ownership of messaging and Auto-Attendant facilities will be retained by the Authority.
5	Calls must be routed to the next available agent in the appropriate skills group, being queued as required.
6	All appropriate ACD calls involving customers will be recorded in their entirety, including outbound calls so that defined individuals may listen to selected recordings. The exception to this would be those calls to service lines which handle sensitive information, such as the National Benefit Fraud Hotline, which are currently handled by the Supplier. These calls would not be recorded.
7	Once a call is transferred out of the Supplier's Contact Centre to another organisation, recording will not be required
8	Defined individuals (both Supplier and Authority) must have access to be able to listen to voice recordings for quality monitoring and security purposes.
9	There will need to be an audit trail functionality to track all calls that have been listened to by the name of the listener.
10	Supervisor 'listen-in' facility to live calls being handled by agents must be available.
11	The agent must be able to transfer the customer to other Authority's Operational Centres via a cold/warm transfer. Agents will also be required to signpost customers to other organisations where appropriate.
12	A set of frequently required telephone numbers should be programmed into the telephony system so that the agent can automatically dial them on request rather than dialling manually.
13	Call costs for transferred customers will continue in line with the originally

	Appendix 1 - Telephony Requirement Definition
	dialled number.
14	The telephony system should automatically identify the telephone number of the customers where possible (This may be used for return calls), and which delivery line it is from (This is to identify which IVR option or location the call was delivered from).
15	The Supplier should be operationally flexible to manage and support DWP during business disruption events.
16	Any agent must be able to transfer the customers at any point to a supervisor or other available agent at any time.
17	The telephony system must allow for flexible and various agent states, such as Available, Busy and Wrap up Time, plus specific “Not Ready Codes” e.g. Meeting, Processing, and Non Forced After Call Work etc.
18	Agents should be able to make/receive calls, whilst having access to systems and intranet information.
19	The Supplier must ensure a full MI set is kept in relation to inbound and outbound calls, both at agent level and site level. Outbound MI must be visible separately from in-bound MI.
20	The telephony system must record usable MI for reporting purposes.
21	The Supplier must have adequate telephony capacity to handle the call volumes, including Inbound, Outbound and Transfer calls, even where forecasts are exceeded
22	DWP will cover the cost of the 0800 telephone numbers that the customer will dial for the service lines within this contract. These must not be included in supplier PpAM costs. Call costs for transferred customers will continue in line with the originally dialled number.
23	The volume of calls answered must be reported in the 15 minute interval in which the Agent answers the call, and not in the 15 minute interval in which the call ends.
24	Due to potential move to DWP Telephony in the future, there needs to be a requirement for transfer numbers to be changed quickly in response to business needs.

Appendix 2 - The Authority’s IT Specification

Thin Client:
HP T5570e standard thin client device,
VIA Nano u3500 1GHz Processor,
GB 800 MHz DDR RAM (128MB reserved for Video),
GB Flash Drive,
VIA Chromotion HD 2.0 Integrated Graphics Processor,
DVI-I and DVI-D native, with DVI-I to VGA adaptor ,
HP LA2205wg 22” widescreen monitor,
USB 2.0 ports (two front, two rear, two in secure USB compartment), 10/100/1000 Gigabit Ethernet (RJ-45),

HP PS/2 2-Button Optical Scroll Mouse,
HP USB Smartcard keyboard – provided by the account,
Smartcard reader integrated in the keyboard.

Appendix 3 – MI and Stats

Telephony and Digital MI Requirements

1. Site Level – Inbound Telephony Performance Metrics

By 15 minute interval, Hourly (as a minimum) Daily, Weekly, Monthly and Consolidated per service line	
1.1	Percentage call answered (90% target)
1.2	Calls Blocked volumes and %
1.3	Calls Forecast
1.4	Calls Offered (reported in the 15 min interval that the agent answered the call and not the 15 min interval where they finished the call)
1.5	Calls Answered (reported in the 15 min interval that the agent answered the call and not the 15 min interval where they finished the call)
1.6	Forecast Variance in %
1.7	Average Call Handle Time (plus the component parts of Talk Time, Hold Time & After Call Work)
1.8	Average Speed of Answer
1.9	Longest Call Wait
1.10	% of First Contact Resolution
1.11	Number of Transfers Out
1.12	Number of Call backs
1.13	Calls abandoned
1.14	Common Origin Calls – The second and any further calls made to the specified queue(s) from a given origin number. The first call received from a number is classed as a 'unique caller' with any further calls in the 7 day (Monday to Sunday) period classed as Common Origin.
1.15	Call Outcomes- Specific outcomes to be agreed by the Authority
1.16	Average Time to Abandon
1.17	% of Intervals that exceed 88% PCA

2. Frequency of Reports

Four in day reports to summarise performance up to 10:00, 12:00, 13:30 and 16:00 each working day will be required no later than 10:15, 12:15, 13:45 and 16:15.

For JSA OL five in day reports to summarise performance up to 10:00, 12:00, 13:30, 16:00 and the end of each day Monday to Sunday will be required no later than 10:15, 12:15, 13:45,16:15 and the end of each day Monday to Sunday.

A report and narrative to summarise performance will also be required by 8am each day covering performance for the previous working day.

These updates are essential as they form the basis of intra day updates issued to DWP Directors.

3. Site Level - Outbound Telephony Performance Metrics

	Component By Daily, Weekly, Monthly and Consolidated per service line
3.1	Cases Received
3.2	Cases Worked
3.3	Cases Cleared
3.4	Cases Outstanding
3.5	Cases Outstanding (outside the target in the SLA)
3.6	Calls Attempted
3.7	Average Call Handle Time

4. Agent Level

DWP expect the supplier to have agent data as detailed below available, but this would only be required by DWP on an ad hoc by request basis.

	Component By Daily, Weekly, Monthly and Consolidated per service line
4.1	Logged in time per agent
4.2	Inbound Calls Handled
4.3	Outbound Calls Handled
4.4	Number of short calls per agent
4.5	Average calls per agent per hour
4.6	Number and percentage of calls transferred by agent
4.7	Average Call Handle Time Inbound per agent (plus the component parts of Inbound Talk Time + Inbound Hold Time + Inbound ACW)
4.8	Total Call Handle Time Inbound per agent (plus the component parts of Inbound Talk Time + Inbound Hold Time + Inbound ACW)
4.9	Average Call Handle Time Outbound per agent (plus the component parts of Outbound Talk Time + Outbound Hold Time + Outbound ACW)
4.10	Total Call Handle Time Outbound per agent (plus the component parts of Outbound Talk Time + Outbound Hold Time + Outbound ACW)
4.11	Average Hold Time
4.12	Time spent in ‘Not Ready Codes’ (recorded individually e.g. Meeting Code, Processing Code, Breaks, Lunch, etc).
4.13	Average Wait Time per agent

5. Management MI Requirements

	Component By Weekly and Monthly and Consolidated per service line
5.1	Staff Sickness Percentage including remedial action being undertaken
5.2	Staff Attrition Percentage including remedial action being undertaken, alongside full details of attrition resulting from disciplinary action e.g. security breaches
5.3	Call Quality Monitoring Results including remedial action being undertaken
5.4	DWP System Downtime, by system impacted
5.5	DWP Feedback process including feedback volumes, % received by type and trends and remedial action being undertaken
5.6	Percentage shrinkage (required daily as well as weekly and monthly)

6. Complaints and compliments

	Component By Monthly and Consolidated per service line
6.1	Number of Complaints and compliments Received
6.2	Number directly attributable to Supplier
6.3	Number of Complaints Upheld and Action Taken
6.4	Complaints and compliments as a % of Customer Interactions

7. Timescales

7.1	Daily MI – to be available by 08:00 for previous day activity
7.2	Weekly MI – to be available on Monday at 08:00 for previous weeks activity
7.3	Monthly MI – to be available by 09:00am on the first working Monday after month end
7.4	Security and Quality Audit to be available 5th working day following month end
7.5	In day reporting – to be available no later than 10:15, 12:15, 13:45 and 16:15 each working day. The Authority may require at any time during the operational day, updates as to current operational performance.

Appendix 4 - Business Continuity and disaster recovery plans

1. The Supplier shall be required to provide detailed business continuity and disaster recovery plans. These plans must be in place from the contract start date and follow the principles stated in paragraphs 2 to 7 and 9 within Appendix 4.

2. The Supplier must provide the Authority with clear evidence of the effectiveness of its BC arrangements, and alignment with recognised industry standards, by producing and maintaining the following BC specific documentation and records **as a minimum**:

   a. BC policy;

   b. BC programme management arrangements including;

   c. Evidence that personnel assigned to BC responsibilities under the contract are competent to perform the required tasks. For example: Membership of the Business Continuity Institute at the level of Member (MBCI) or Fellow (FBCI) will be accepted as evidence of competency;

   d. Business Impact Analysis that identifies the Supplier's critical activities, recovery time objectives and maximum tolerable periods of disruption that will enable the requirements of the Authority to be met;

   e. Threat and risk analysis to the delivery of the overall contract and the activities delivered under the contract;

   f. Strategy options for the on-going delivery of the activities that are provided under the contract in the event of incidents and business disruption. Strategy options are required for, but not restricted to:
      I. People;
      II. Premises;
      III. Technology;
      IV. Information;
      V. Supplies.
      VI. Incident Response Structure;
      VII. Business continuity plans;
      VIII. Incident management plans;
      IX. Exercising/rehearsal arrangements;
      X. Maintenance, monitoring and review of BC arrangements; including;
      XI. Internal audits of the BC arrangements; and
      XII. Lessons learned reports and action plans for improvement following invocation of the BC arrangements.

3. The Supplier shall have in place an approved business continuity plan (BCP) at the commencement of full operations. This must be in accordance with both the DWP Business Continuity Framework and British Standard Guidelines (BS25999). The business continuity plan must provide the Authority with sufficient assurance that incidents will be managed effectively with as little disruption to the service as possible; illustrating that recovery meets the requirements of the BIA. (The Authority would look to see actual RTO's outlined, i.e. hours/days etc that business would be back on line).

4. The business continuity plan should include but is not limited to:

   a. Purpose and scope;
   b. Strategic aims and objectives;
   c. Roles and responsibilities;
   d. Communication arrangements;
   e. Contact list and plan distribution;
   f. Threats and contingencies;
   g. Loss of technology;
   h. Data recording (including tracking);
   i. Data storage;
   j. Loss of people;
   k. Telecommunications;
   l. Supplier equipment;
   m. Loss of premises;
   n. Loss of key Supplier and partners;
   o. Destruction and / or corruption of data; and
   p. Failure to provide the contracted service.

5. This shall minimise the impact of an occurrence that may affect:

   a. The Authority;

   b. The Supplier;

   c. All IT systems / IT Networks & telecommunications and how these interact with the Authority;

   d. Data recording (including tracking) & storage requirements;

   e. Critical staff availability;

   f. Critical Supplier equipment;

   g. Supplier's premises; and

   h. Consequence of failure to provide the contracted service upon the Authority.

6. The Supplier shall therefore ensure that agreed and acceptable processes (to the Authority) are documented within the BCP, and in place at commencement of full operations, so that in the event of major system failure or building evacuation there is the minimum interruption to the standard of service.

7. Should there be a need to test or invoke the agreed BCP, the Supplier shall:

    a. Invoke the approved plan and inform the Authority immediately; and

    b. Continue to provide the agreed services as soon as practicable.

8. The Supplier must also meet the following DWP specific BCM requirements:

    a. All BCM documentation and records must be reviewed at least annually and updated accordingly;

    b. All business continuity plans and incident management plans must be exercised at least annually;

    c. Following exercising or actual invocation of business continuity plans and/or incident management plans, a lessons learned exercise must be undertaken and a lessons learned report produced within 4 weeks of the revocation of the relevant plan; and

    d. Action plans for improvement must be produced within 10 working days, based on the lessons learned reports, and they must include clearly assigned responsibility for clearance, deadlines for completion, and regular progress checks.

9. In a major disaster recovery scenario the supplier would make efforts to identify which service lines could be delivered within supplier premises and in conjunction with Contract Management Team, determine appropriate measures to ensure continuity of service. This may include identifying alternative supplier premises, decanting staff to DWP sites or returning delivery to DWP in the interim period, based on a pre determined priority order where multiple service lines are at risk. Costs will usually be carried by the supplier.

10. In a major Disaster Recovery scenario the intention is that DWP would support delivery of all service lines where possible and would make efforts to accommodate supplier agents within DWP premises as swiftly as possible for a limited period until DWP infrastructure could be installed in alternative supplier premises. Suppliers will be responsible for transporting their people to and from DWP premises and all associated

costs. DWP will consider invocation of emergency messaging on relevant lines until agents are available and will also consider queue port impact, call routing impact and would liaise with BT. This area will be developed further once a preferred bidder is confirmed and locations are understood.

Appendix 5 - Complaints

1. A complaint is an expression of dissatisfaction about the Authority (or the Supplier acting on behalf of the Authority) made in person, in writing or by telephone to any Authority/Supplier member of staff that requires follow-up action. Complaints can be made by the customer, their authorised representative or a third party connected to the customer.

2. Upon receipt of a complaint the Supplier shall identify if the complaint is in respect of action or inaction of the Supplier or Authority.

3. If the complaint is against the Supplier then the Supplier shall investigate and resolve the complaint.

4. The Supplier shall resolve complaints in accordance with the following applicable performance standards.

5. The Supplier shall acknowledge receipt of all complaints received, in writing, within 24 hours of receipt.

6. The Supplier shall resolve or put in place a resolution plan agreed by the complainant in respect of all complaints appropriate to the Supplier within 5 working days of receipt of the complaint. All actions are to be documented. A Supplier senior manager should review the complaint, actions and resolution plan and undertake any appropriate remedial actions.

7. Where the complaint is to be referred to the Authority that referral shall be made within 12 hours of receipt of the complaint. Any documentation should be sent to the agreed Authority nominated contact.

8. The Supplier shall provide the Authority with a monthly record of all complaints received together with the action taken to resolve the complaint.

9. Should the customer remain dissatisfied and complain again on the same issue the complaint shall be deemed to be escalated. In these instances the Supplier shall refer the complaint and action taken when the initial complaint was made, to the Authority on the day of receipt. The Authority shall respond to these complaints and liaise with the Supplier accordingly.

10. If the complaint is in respect of both the Authority and the Supplier, the Supplier shall refer the complaint to the Authority on the day of receipt and liaise with the Authority who shall respond to these complaints.

11. If the complaint is regarding actions taken by, or concerning the role of, the Authority the Supplier shall refer them to the Authority on the day of receipt. The Authority shall respond to these complaints.

12. If the complaint is by someone other than the customer, a nominated representative, an employer of a customer or another relevant person the Supplier shall refer the complaint to the Authority on the day of receipt. The Authority shall respond to these complaints.

13. The Supplier must comply with requests for information stimulated by Parliamentary questions, freedom of information requests and any other ad hoc requests for information by the specified timescales.

14. The Authority shall progress and resolve any escalated complaints and administer pay-out where appropriate as part of the appropriate compensation/redress schemes in accordance with The Authority's complaints procedure.

15. Any compensation paid out by the Authority where the Supplier is at fault will be fully recovered from the Supplier via the following month's invoice.

Appendix 6 A & B – Service Line information (see separate document)

Appendix 7 A & B – Data Retention Requirements (see separate document)

Appendix 8 - Service Credits

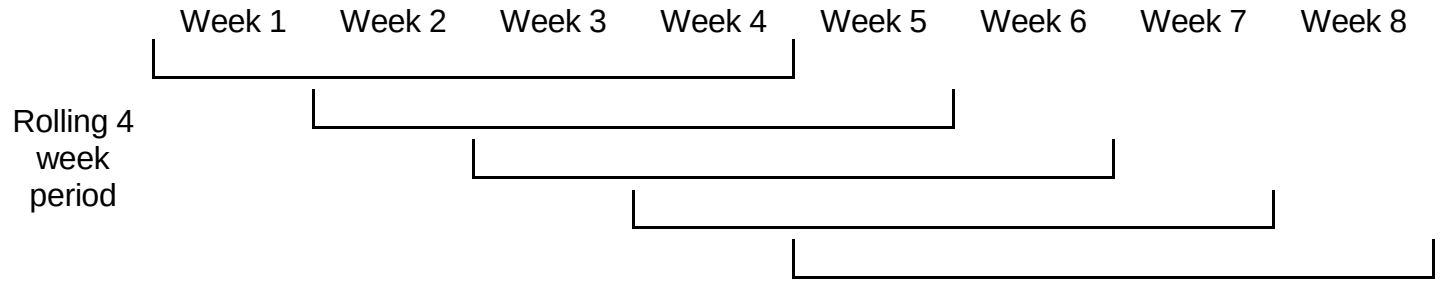
PCA target 90%

All service lines

Service Credits - Weekly	**Service Credits - Rolling Weeks*** (more than 1 occurrence in any 4 week rolling period)	**Service Credits - Daily**
PCA 85-89.9% achieved = 3% weekly revenue 80-84.9% achieved = 4% weekly revenue <80% achieved = 6% weekly revenue	**PCA** 85-89.9% achieved = 6% weekly revenue 80-84.9% achieved = 8% weekly revenue <80% achieved = 12% weekly revenue	**PCA** 85-89.9% achieved = 10% daily revenue for SL 80-84.9% achieved = 15% daily revenue for SL <80% achieved = 20% daily revenue for SL

*Service Credit-Rolling Weeks worked example

The higher rolling Service Credit will be applied if there has been more than 1 occurrence in any 4 week rolling period. The 4 week period includes the week that the service failure occurred and the 3 weeks prior to that week. The diagram below illustrates this point.



Other targets

Weekly Charged			
TARGET	CONDITION	SERVICE CREDIT	SERVICE CREDIT – more than 1 occurrence in any 4 week rolling period for weekly metrics or more than 1 occurrence in any 3 month rolling period for monthly metrics
MI – accurate intraday, daily and weekly MI reports delivered to	Target met	Service credit does not apply	Service credit does not apply

timescale	Timescales missed and/or inaccurate reports delivered	0.5% of the relevant weeks total invoice	3% of the relevant weeks total invoice for the service line in question
Monthly Charged			
MI – accurate monthly and ad hoc reports delivered to timescale	Target met	Service credit does not apply	Service credit does not apply
	Timescales missed and/or inaccurate reports delivered	0.5% of the relevant months total invoice	5% of the relevant months total invoice
Quality (call evaluations) monthly target of 90% per service line, with 2 or 4 calls checked per agent per month depending on the service line (see Appendix 6)	Target met	Service credit does not apply	Service credit does not apply
	Less than 90% achieved on any service line and/or less than the agreed volume of calls checked	2% of the relevant months total invoice for all service lines within the contract	5% of the relevant months total invoice for all service lines within the contract
Complaints.	Target met	Service credit does not apply	Service credit does not apply
No more than 0.01% complaints of calls received/cases handled per month	More than 0.01% complaints received per month	0.5% of the relevant months total invoice	3% of the relevant months total invoice
Data transfer incidents (*)	Target met	Service credit does not apply	Service credit does not apply

There should be no data transfer incidents	1 or more incidents as notified by the authority via internal monitoring	1% of the relevant months total invoice	5% of the relevant months total invoice
Security audit failure (**) There should be no significant failures within the elements of the security audit checks	Target met	Service credit does not apply	Service credit does not apply
	Significant failures on 1 or more elements of the security audit	0.5% of the relevant months total invoice	5% of the relevant months total invoice
Acceptable Use Policy (***) There should be no +more than 2% incidents measured monthly versus headcount	Target met	Service credit does not apply	Service credit does not apply
	More than 2% incidents versus headcount recorded by the Supplier and/or notified via the Authority‘s internal monitoring	1% of the relevant months total invoice	5% of the relevant months total invoice
Telephony infrastructure available for 99.96% within DWP operational hours	Availability target met	Service credit does not apply	Service credit does not apply
	Availability target not met	2% of the relevant months total invoice	5% of the relevant months total invoice

Criteria	Definitions
(*) Data Transfer incidents:	The Supplier will comply with the Authority's Data Transfer standards. All data transfers shall be undertaken using the secure Government network, email via Microsoft Outlook or DWP accredited systems. Any exceptions must be discussed with the Contract team before any activity takes place. Any single failure will result in a security breach.

(**) Audit failure:	The Supplier shall be audited monthly, if the Contract management team finds significant non-compliance with the Authority's Security standards the Supplier shall be deemed to have failed the audit. Failure of the Audit will be treated as a security breach. (Significant non-compliance is defined as breaches in security procedures including system test checks, user records procedures, smart card security procedures, bogus caller procedures, incident reporting, physical security processes, and data security (physical and electronic).) Significant or wide reaching call recording failures will also constitute an audit failure and security breach.
(***) Acceptable Use Policy Incidents:	The Supplier shall comply with the Authority's Acceptable Use Policy.

	On a monthly basis, more than 2% recorded incidents versus headcount will result in a service credit position and be classed as a security breach. Incidents will include those recorded by the Supplier and those recorded by the Authority. The Supplier will provide the Contract Management Team with a monthly Incident report, this will detail all breaches of security, and will be used to assess this aspect of the Supplier performance, and any additional learning and development support required.