



Home Office

AUTHORITY: The Secretary of State for the Home Department

SCHEDULE 14
MANAGEMENT SYSTEMS AND REPORTING

NEXT GENERATION OUTSOURCED VISA SERVICES

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SCHEDULE 14

MANAGEMENT SYSTEMS AND REPORTING

1. SCOPE

- 1.1 This Schedule sets out the range of Reports that the Supplier shall provide during the Contract Term to enable the Parties to manage the Agreement effectively. This Schedule does not document each and every Report required but instead sets a framework for reporting which shall:
- 1.1.1 deliver accurate and relevant information in respect of the performance of the Services Requirements;
 - 1.1.2 support sound governance of the Agreement and the principles of partnership described in Schedule 8 (**Governance and Contract Management**);
 - 1.1.3 support management of the Service Level and Service Credit regime;
 - 1.1.4 support and evidence the agreed commercial arrangements in respect of assets, finance, and resource usage as those commercial arrangements are made;
 - 1.1.5 support the planning processes for future business delivery; and
 - 1.1.6 provide for on-going development of reporting requirements.
- 1.2 Annex 14-1 sets out Management Information Reporting Guidance with which the Supplier shall comply, in preparing any Reports.
- 1.3 Annex 14-2 sets out the baseline list of the main Reports required by the Authority to manage the Agreement, in particular the Services Requirements and the Supplier's Solution. Within three (3) months of the Effective Date, the Parties shall review the baseline list of Reports and shall agree an updated list of Reports to be provided by the Supplier and the format, content, frequency and distribution of such Reports. Annex 14-2 shall be updated accordingly to reflect the agreed reporting requirements.
- 1.4 It may be the case that other Schedules to the Agreement provide a more detailed description of the detail that needs to be provided by the Supplier in relation to a particular Management Information Requirement or Report. In this event, the more detailed provisions of the other Schedule shall apply. If, after the Effective Date, it is noted by either Party that an item of Management Information or Report is referenced in another Schedule of the Agreement but not referenced in this Schedule 14 (**Management Systems and Reporting**), the Supplier shall still be required to provide such Report. However, the Parties shall add the relevant Report to this Schedule 14 (**Management Systems and Reporting**) at the time in order to update it with such reporting requirements.
- 1.5 Nothing in this Schedule shall constrain the Authority from reasonably requesting data and information relating to the provision of the Services Requirements from the Supplier on an ad hoc basis and at no additional cost in accordance with the Agreement.
- 1.6 As methods of managing and optimising the effectiveness and value of information systems evolve during the Contract Term, the Supplier shall work with the Authority, within the terms of normal business development, to investigate potential benefits to the Authority of adopting new technologies and/or methodologies which deliver improved reporting.

2. **MANAGEMENT INFORMATION**

- 2.1 Annex 14-2 contains a list of the baseline Reports. Further reporting will be expected of the Supplier as part of the fulfilment of the Services Requirements..
- 2.2 Management Information shall be supplied to the Authority via the Reports.
- 2.3 Reports shall be supplied to the Authority via electronic and/or hardcopy media, or as required by the Authority using a format to be agreed with the Authority that is fully readable and can be edited by the Authority's chosen software, currently Microsoft Excel 2007."
- 2.4 Minor changes to the content and format of Reports requested by the Authority shall be carried out by the Supplier at no cost to the Authority. New reporting requirements or substantial changes to existing Management Information Requirements and/or Reports shall be agreed pursuant to the Change Control Procedure.

3. **DELIVERY**

- 3.1 Although different timings may be agreed, the Authority's Reporting requirements are as follows:
 - 3.1.1 for daily Reports, by close of business on the following Working Day;
 - 3.1.2 for weekly Reports, by close of business on the first Working Day of the following week of the scheduled interval;
 - 3.1.3 for monthly Reports; by close of business on the tenth Working Day following the end of the month;
 - 3.1.4 for quarterly Reports, by close of business on the tenth Working Day following the end of the quarter;
 - 3.1.5 for annual Reports, by close of business on the twentieth Working Day following the end of the year, and
 - 3.1.6 financial accounting and reporting data, except as otherwise specified, as reasonably required by the Authority.

4. **RAW DATA**

- 4.1 The Supplier shall retain the raw data underpinning any Report for the relevant period to comply with the provisions of Schedule 15 (**Audit Access**), or for such other period as may be reasonably required by the Authority in order to allow the Authority to verify the relevant Report.

5. **DISTRIBUTION**

- 5.1 Multiple hard copies of Reports may be required for delivery to appropriate Authority recipients.
- 5.2 The Authority reserves the right to determine the distribution lists for all Reports.
- 5.3 The Supplier shall distribute Reports as specified by the Authority.

ANNEX 14-1**REPORTING GUIDANCE****1.0 VAC BUSINESS AS USUAL MI AND REPORTING GUIDANCE**

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

1.1. General Reporting Process

- 1.1.1 Data shall be generated at VAC level. The VAC data shall then be consolidated into a Regional level summary.
- 1.1.2 The responsibility for producing the VAC and Region level data lies with the Supplier in accordance with this Schedule 14 (**Management Systems and Reporting**).
- 1.1.3 In principle, the format of how the Management Information requirements in Annex 14-2 are reported is for the Supplier to manage in agreement with the Authority. The Authority will consider any Supplier proposal for a leaner and more efficient reporting regime that meets the terms of the contract and is in accordance with this Schedule 14 (**Management Systems and Reporting**).
- 1.1.4 Annex 14-2 sets out the Management Information requirements and baseline list of the main Reports required by the Authority to manage the Agreement. Within three (3) months of the Effective Date, the Parties shall review the baseline list of Reports and shall agree an updated list of Reports to be provided by the Supplier and the format, content, frequency and distribution of such Reports. Annex 14-2 shall be updated accordingly to reflect the agreed reporting requirements.

1.2 Naming Convention

- 1.2.1 The same naming convention must be used in all Reports.

1.3 MI and Reporting Monthly Meeting

- 1.3.1 There will be a monthly MI and Reporting meeting at which attendance may be in person or by telephone, held between the VAC Manager and the Authority's Entry Clearance Manager (ECM).
- 1.3.2 All information to be provided in accordance with Annex 14-1 shall be provided by the Supplier to the Authority.
- 1.3.3 The Service Level and Credits Reports will be discussed at the same monthly meeting and all data will be signed off (accepted) by the Post ECM. Other outcomes of the meeting are to:
 - agree the VAC level Reports and the SLA Reports;
 - assign RAG ratings in accordance with paragraph 2 of Annex 14-2 below;
 - identify/address any performance issues, and;
 - identify and mitigate risks and issues
- 1.3.4 Any disagreement as to the content of any of the Reports which cannot be resolved at the monthly meeting shall be escalated to Regional Executives. If any matter of contention remains following escalation to Regional Executives, the matter shall be referred to the Authority's Contract Management Team for resolution.

1.4 Reporting Timescales

1.4.1 The timescales for provision of the Reports are as follows:

- All data is to be supplied to the Authority (Contract Management Team and Post) in accordance the delivery requirements set out in paragraph 3 of this Schedule 14.
- Monthly meetings are to be held (between the Post and the VAC Manager) by the 5th working day of the month. This will allow five days for amendment and submission of final signed version by the tenth working day of each month.
- Electronic readable copies of the signed-off Reports are to be sent to the Authority (and other stakeholders identified by the Authority) by the 10th of the month.
- Regional level reports are to be submitted by the 15th of the month.

ANNEX 14-2

MANAGEMENT INFORMATION REQUIREMENTS AND BASELINE LIST OF THE MAIN REPORTS

1.0 MANAGEMENT INFORMATION REQUIREMENTS

- 1.1 The list below at paragraph 3 describes the Management Information required by the Authority to manage the Agreement. In addition to this information some of the requirements shall require RAG ratings, the relevant guidance in regard to the reporting of RAG ratings is provided in paragraph 2 below.

2.0 RAG RATINGS (Red, Amber, Green)

- 2.1 The Authority requires RAG ratings against a number of the Management Information Requirements that can be found in this Annex 14-2.
- 2.2 RAG ratings are to be used in addition to the reporting requirements that support Annex 14-2.
- 2.3 The RAG status shall apply to a VAC's performance but not against individual Service Levels.
- 2.4 RAG ratings are not intended to indicate 'good' or 'bad' but to help management identify where performance improvements are required.
- 2.5 While the Authority has tried to cover as many possibilities as is feasible in providing guidance to ensure the RAG ratings are consistent, a degree of interpretation and flexibility will be required.

3. BASELINE LIST OF THE MAIN REQUIREMENTS

- 3.1 Each Management Information Report must contain the following information;

VAC Name;

VAC Type

Post Name;

Region Name;

Supplier Name;

Country:

Period Report covers;

Date Report run; and

Name(s) of who prepared the report;

Name(s) of persons for whom the Report was prepared

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

Report Name	Frequency	Description and / or content to be included
Contract Management Reports		
Executive Report for Strategic Board	Quarterly	Gives high-level management information to senior management, focussing on issues and risks against Regions, countries, Service Packages, Supplier Subcontractors, etc.
Management Report to the Business Development Board	Alternate months (6 times per year)	Gives highlights and lowlights in respect of the delivery of the Supplier's Solution; "RAG" (Red, Amber, Green) markings against Service Packages.
Contract Management Issues	Monthly or to the same frequency as the Contract Management Boards are held	Both Parties to maintain logs and report to the other on new and continuing issues from inception to resolution, showing escalation as appropriate.
Transition	As specified in Schedule 5	Supports requirements set out in Schedule 5 (Transition).
Exit Management	As specified in Schedule 9	Supports requirements set out in Schedule 9 (Exit Management).
Change Control	As specified in Schedule 10	Supports the requirements set out in Schedule 10 (Change Control). <ul style="list-style-type: none"> Monthly update CCN Log in accordance with Schedule 10 (Change Control), paragraph 9.3
Sustainability	As specified in Schedule 16	Sustainability targets shall demonstrate continuous improvement and be in accordance with Schedule 16 (Sustainability), paragraph 2.1
Finance Reports		
Charging Schedule Report	Monthly	Provides all the necessary data for the Authority to prepare the Charging Schedule, as per Schedule 6 (Pricing, Payment and Invoicing) and Schedule 23 (User Pays Services), for the previous calendar month. To be provided by the 5 th working day. <ul style="list-style-type: none"> Application volume figures for all VACs and other application points in relation to which the Supplier provides a service, e.g. Authority operated 'in-house' locations. Total number and value of Priority Visa and Super Priority Visa Applications received, split by VAC. Total number of applicants making use of Premium Lounge services, and associated revenue, split by VAC.

Report Name	Frequency	Description and / or content to be included
Security Reports Quarterly reports will be completed every 3 months for the following periods Quarter 1 = April to June Quarter 2 = July to September Quarter 3 = October to December Quarter 4 = January to March and shall be supplied to the Authority by the 10th Working Day of the month following the end of each quarter. Quarterly reports shall be discussed at the next monthly meeting between the VAC manager and the ECM.		
Security and Operational Incidents	Monthly	<p><u>To include number of</u></p> <ul style="list-style-type: none"> • Staff breaches • Security Incidents (excluding. Staff) • Non-Security Incidents • Times Business Continuity Plan invoked • Hours of Security Equipment Downtime • Audit breaches • New Staff screening failed <p>RAG rating - All Critical Incidents that fall within the Categories described in Annex 7-6 of Schedule 7 (Service Levels and Service Credits). All of which shall be defined as Major Incidents.</p> <ul style="list-style-type: none"> • R= Over 5 minor incidents or breaches or 1 or more major Incidents or breaches • A = Between 1 and 5 minor Incidents or breaches but no major incidents or breaches • G = 0 incidents or breaches
Security Overview	Quarterly	<p>Provides assurance that the Supplier (and any Supplier Subcontractors) is implementing the Security Policy in accordance with Schedule 4 (Security).</p> <p>Indicates how effective the Supplier is in implementing the Security Policy in accordance with Schedule 4 (Security).</p>
Personnel Security	Quarterly	<p>The Report will confirm that:</p> <ul style="list-style-type: none"> • all successful applicants offered employment with the Supplier undertaking the Authority work have met all the security criteria before taking up duty, in accordance with Schedule 4 (Security); • all employees have signed the appropriate statutory undertaking not to disclose Customer information with reminders of their obligations every six (6) months. Any breaches of the undertakings and the disciplinary action taken should be included; and • the implementation of any departmental requests not to use specified individuals on the Authority business. <p>All of the above for applies to all agents and Supplier Subcontractors.</p>

Report Name	Frequency	Description and / or content to be included
Physical Security	Quarterly	<p>The Report will:</p> <ul style="list-style-type: none"> confirm all agreed physical security measures are in place and functioning normally in accordance with Schedule 4 (Security) paragraph 5.6. address any issues open at the time of the previous Report and any new requirements or deficiencies identified since that Report was written. report if there are, or have been, any problems related to the physical security measures.
Business Continuity Management	Quarterly	The Report will list all business continuity plans and evidence of the business impact review and business recovery strategy for each plan.
HM Government's Security Policy Compliance	Annual	The Supplier shall conduct an annual self-assessment of its compliance with the UK Governments Security Policy and with the Authority's Security Policy and Security Standards and shall report its findings from the annual self-assessment to the Authority in accordance with the Authority's Security Policy and Standards as set out paragraph 2.3, 2.4, 2.5 of Annex 4-1 to Schedule 4 (Security).
Services Reports		
Service Level and Service Credit Reporting	As specified in Schedule 7	<p>To support the requirements of the Service Level and Service Credit regime set out in Schedule 7 (Service Levels and Service Credits).</p> <ul style="list-style-type: none"> Service Levels and Credits <ul style="list-style-type: none"> Critical Service Level failures service level failures – this period / prior period Large Failures – this period / prior period Medium Failures – this period / prior period Small Failures – this period / prior period Special Failures – this period / prior period Value of Service Credits incurred Non Critical Service Level failures <p>RAG Rating VAC Performance Service Levels and Credits</p> <ul style="list-style-type: none"> R = 11 or more Service Credits A = 4-10 Service Credits G = 0-3 Service Credits
Service Volume Report	Monthly	<p>Reports on the number of Visa Applications applied for; processed; rejected, etc. – by Post.</p> <p>Volumes</p> <ul style="list-style-type: none"> Number of Visa Applications received – for this period and the prior period
Processing Times	Monthly	Average end to end processing time – this period / prior period

Report Name	Frequency	Description and / or content to be included
VAC Capacity	Monthly	<ul style="list-style-type: none"> • Peak Capacity as stated in the Agreement– for this period and the prior period • % of peak monthly capacity – this period / prior period • Additional applications that can be processed – this period / prior period • Action proposed if demand in excess of capacity – this period / prior period <p>RAG rating</p> <ul style="list-style-type: none"> • R = Over 95% of Peak Capacity or less than 30% of Peak Capacity • A = between 80% and 95% of Peak Capacity, or between 30% and 45% of peak capacity • G = between 46% and 80% of Peak Capacity
Problem Management / Incident Reports	Monthly or when major Incidents occur	Reports against fault fixes, incorrect closures, major incidents, etc in accordance with Schedule 7 (Service Levels and Service Credits)
Supplier Staff Report	Monthly	<ul style="list-style-type: none"> • Total Staff employed (FTE) – this period / prior period • Turnover <ul style="list-style-type: none"> • Staff Turnover rate in accordance with Schedule 11 (Personnel), paragraph 3.2

Report Name	Frequency	Description and / or content to be included
Complaints and Customer Satisfaction Reports	Monthly or at the Authority request	<p>The Supplier shall report on the volume of complaints made by Visa Applicants/Customers for this period / prior period.</p> <p>RAG rating for Volume of Complaints</p> <ul style="list-style-type: none"> • R = Complaints over 5% of total Visa Applications received • A = Complaints between 2% and 5% of total Visa Applications received • G = Under 2% of total Visa Applications received • The Supplier shall investigate, respond, and keep records of all complaints, responses to complaints and details of any actions taken, within appropriate timescales, using reasonable endeavours to ensure that the relevant Visa Applicant understands the reply, and escalates, where necessary and if appropriate, to the Authority where complaints or comments require a formal response from the Authority. • Complaints data shall be provided which includes details of all individual complaints. • Complaints shall be categorised and recorded against the list below; <ul style="list-style-type: none"> • Delay • Admin/Process error • Quality (failure to meet published service) • Poor Communications • Wrong Information • Lost documents • Physical Environment • Provision for minors • Compliant handling (failure to respond) • Rudeness • Racism or other discrimination • Unfair treatment • Other professional misconduct <p>Monthly customer satisfaction reports to be provided with details of the results of customer surveys and other customer feedback received, together with any supplier plans to address customer concerns or improve customer satisfaction.</p>

Report Name	Frequency	Description and / or content to be included
VAC Interview Facilitation Services		<p><u>Interview Bookings</u></p> <ol style="list-style-type: none"> 1. Date Booking Entered into System (Booking Date) 2. Date Appointment made (Appointment Date) 3. VAC description 4. Number of empty appointment slots available at VAC on the Appointment Date <p><u>Interview processing times and availability</u></p> <p>Interview Appointments.</p> <ul style="list-style-type: none"> • Average end to end processing time – this period / prior period • Interview appointments available in average number of days – this period / prior period <p>RAG ratings - Interview Appointments.</p> <ul style="list-style-type: none"> • R= Interview appointment available after 10 working days • A= Interview appointment available within 6 to 9 working days • G= Interview appointment available within 5 working days <p>Further MI data may be required by the Authority</p>

Report Name	Frequency	Description and / or content to be included
Biometric Enrolments	Monthly	<ul style="list-style-type: none"> Biometrics <ul style="list-style-type: none"> Number of Biometrics taken – this period / prior period Number of biometric overrides – this period / prior period Overrides as a % of total biometrics – this period / prior period Number of exceptions– this period / prior period Exceptions as a % of total Biometrics – this period / prior period <p>RAG Rating Exemptions and Exceptions</p> <ul style="list-style-type: none"> R = Over 5% of total Visa Applications A = Between 5 and 3% of total Visa Applications G = Under 3% of total Visa Applications <p>RAG rating Overrides</p> <ul style="list-style-type: none"> R = Over 5% of total Visa Applications A = Between 2 and 5% of total Visa Applications G = Under 2% of total Visa Applications <ul style="list-style-type: none"> <u>Biometric Appointments</u> <ul style="list-style-type: none"> The Supplier shall provide an auditable record of Biometric Enrolment appointment lead time data on a monthly basis to enable monthly publishing on the public domain of the Authority web-site for travellers and the Authority stakeholders. Biometric Enrolment times target as stated in Schedule 2 (Statement of Requirements) – this period / prior period broken down into categories. Average actual enrolment times per category broken down into: <ol style="list-style-type: none"> Biometric Enrolment X minutes Interview X minutes Total time X <p>RAG rating - VAC Appointments for Biometric Enrolment</p> <ul style="list-style-type: none"> R= Biometric Enrolment appointment available after 8 working days A= Biometric Enrolment appointment available within 6 to 7 working days G = Biometric enrolment appointment available within 5 working days

Report Name	Frequency	Description and / or content to be included
Courier Weights	Quarterly	<p>The Supplier shall provide details of the average weight per package of Supporting Documents for each Visa Applicant per location for documents delivered as part of Service Package 8 Document Collection and Delivery Service and as part of Service Package 10 Document Collection and Return Service</p> <p>Such data shall include</p> <ul style="list-style-type: none">• The average weight of an Applicants package of Supporting Documents on its journey to the Authority's Decision Making Centre for the volume of Applicants packages delivered in that period.• The average weight of an Applicants package of Supporting Documents on its journey back from the Authority's Decision Making Centre to the VAC for the volume of Applicants packages delivered in that period.• Comparative data for the previous quarter.

Report Name	Frequency	Description and / or content to be included
User Pay Services		
Priority Visa and Super Priority Visa Services	Monthly	<p>The Supplier shall provide information on the Priority Visa and Super Priority Visa Services using a document and format to be agreed with the Authority that must be readable by Microsoft Excel 2007. Such information will include, but is not limited to the following:</p> <ol style="list-style-type: none"> (1) the total number of Priority Visa and Super Priority Visa Service Applications per Visa Application Centre location, per Visa category for this period; (2) the total value of Priority Visa and Super Priority Visa Fees per Visa Application Centre location, per Visa category for this period; (3) the total number of all Visa Applications and Fee values received for Priority and Super Priority Visa Services in this period split by Region; (4) the total Priority Visa and Super Priority Visa Income for this period; (5) the proportion of Priority Visa and Super Priority Visa Applications returned to each Visa Application Centre within the target turnaround time as specified by the relevant Post. This is to be expressed as a percentage of the total Priority Visa and Super Priority Visa Services applied for in this period; (6) the proportion of decisions delivered in person or despatched by courier to the Visa Applicants within the target turnaround time. This is to be expressed as a percentage of the total Priority Visa and Super Priority Visa Services applied for in this period; and (7) Processing Times (8) The Authority's approval reference for each location where applicable. (9) Priority Visas processing times. This shall exclude the settlement category of Visa Applications which shall be recorded separately and to a RAG status to be provided by the Authority. <p>RAG rating for Processing Times</p> <ul style="list-style-type: none"> • R = Number where end to end processing time is 7 days and over • A = Number where end to end processing time is 6 days • G = Number where end to end processing time is under 5 days

Report Name	Frequency	Description and / or content to be included
		<p>Super Priority Visas</p> <ul style="list-style-type: none"> End to end processing time for Super Priority Visas split into less than 24 hours, less than 48 hours, more than 48 hours– for this period. <p>RAG rating for Processing Times</p> <ul style="list-style-type: none"> R = Number where end to end processing time was over 24 hours A = Number where end to end processing time was between 12 and 24 hours G = Number where end to end processing time was under 12 hours
User Pays VACs and Temporary Enrolment Locations	Monthly	<p>The Supplier shall provide monthly information reports to the Authority (which shall include information about volumes, costs, locations, frequency, Fees collected, reconciliation reports and any other MI information agreed by the Parties as part of any reviews) to be provided to the Supplier by the Authority, as such template may change from time to time. The template will be in the form of an Excel Spreadsheet that the Supplier submits to the Authority as part of its reporting under this Schedule 14.</p>
Premium Lounge Services	Monthly	<p>The Supplier shall provide monthly information reports to the Authority which shall include information about;</p> <ol style="list-style-type: none"> Number of Visa Applicants using the Premium Lounge Services for this period (any type of Visa Applicant) <p>RAG Rating</p> <ul style="list-style-type: none"> R = Volume of requests for the service exceed the capacity of the premium lounge A = Volume of requests for the service exceed 95% of the capacity of the premium lounge. G = Volume of requests for the service are less than 95% of the capacity <ol style="list-style-type: none"> Proportion of Visa Applicants who are SPV, PV customers and non PV customers respectively The Authority's approval reference for each location where applicable.
Supplier Chargeable Services	Monthly	<p>The Supplier shall provide monthly information reports to the Authority which shall include information about types of services offered. The report shall include the Authority's approval reference for each service, monthly volume of sales for each service, locations where service is offered, fees collected, refunds or ex gratia payments, turnaround times, Suppliers costs, and net profit realised.</p>