

OFFICIAL - COMMERCIAL

SCHEDULE 2.2

PERFORMANCE LEVELS

PART A

Service Levels, Subsidiary Service Levels and Service Credits

1 SERVICE LEVELS AND SUBSIDIARY SERVICE LEVELS

- 1.1 Annex 1 to this Schedule 2.2 sets out the Service Levels and Subsidiary Service Levels which the Parties have agreed shall be used to measure the performance of the Services by the Supplier.
- 1.2 The Supplier shall monitor its performance against each Service Level and shall send the Authority a report detailing the level of service actually achieved in accordance with Part B to this Schedule 2.2.
- 1.3 Service Points and Service Credits shall accrue for Service Level Failures, as applicable, and shall be calculated in accordance with this Schedule 2.2.

2 SERVICE POINTS

- 2.1 If the level of performance of the Supplier during a Measurement Period achieves the Target Service Level in respect of a Service Level, no Service Points shall accrue to the Supplier in respect of that Service Level.
- 2.2 If the level of performance of the Supplier during a Measurement Period is below the Target Service Level in respect of a Service Level, Service Points shall accrue to the Supplier in respect of the Service Level as set out in Paragraph 2.3.
- 2.3 The number of Service Points for the relevant Measurement Period shall be calculated as follows:

$$SCW \times SLF = SP$$

Where:

SCW is the Service Credit Weighting for the relevant Service Level;

SLF is the number of failures (using the same unit of measurement (i.e. number of assessments to be cleared or similar) to determine the number of failures as is specified for that Target Service Level) that occurred in the relevant Measurement Period.

SP is Service Points

- 2.4 Schedule 7.1 (Charges and Invoicing) sets out the mechanism by which Service Points shall be converted into Service Credits.

3 PERIOD FOR CALCULATING SERVICE CREDITS

- 3.1 All Service Levels shall apply from the Operational Services Commencement Date.
- 3.2 All Service Points that arise as a result of the Supplier failing to meet the relevant Target Service Level for a Monthly Service Level shall be calculated and applied as Service Credits for each Service Period and the financial amount of the Service Credit shall be calculated in accordance with Paragraph 9 of Schedule 7.1 (*Charges and Invoicing*).

- 3.3 All Service Points that arise as a result of the Supplier failing to meet the relevant Target Service Level shall be applied as Service Credits and the financial amount of the Service Credit shall be calculated in accordance with Paragraph 9 of Schedule 7.1 (*Charges and Invoicing*).

4 **VOLUME SERVICE LEVELS**

4.1 In respect of the Regional Volume Service Level:

- (a) The Supplier must achieve the annual Target Service Level specified for the relevant Service Delivery Year for each region listed in the Regional Volume Service Level and, in respect of Service Delivery Years 1 to 3 inclusive, Subsidiary Service Level number 12.
- (b) Service Points will be incurred by the Supplier and Service Credits applied if the Supplier fails to achieve the aggregate monthly Target Service Levels for one or more of the regions listed in the Regional Volume Service Level in the relevant Measurement Period.
- (c) Service Credits in respect of the Regional Volume Service Level will be reconciled at the end of each Service Delivery Year in accordance with Paragraph 6.1(a) below, and Paragraph 9 of Schedule 7.1 (*Charges and Invoicing*).

4.2 In respect of the National Volume Service Level:

- (a) The Supplier must meet the annual Target Service Level for the relevant Service Delivery Year set out in the National Volume Service Levels. In the first Service Delivery Year the annual Target Service Levels to be met will be for both SC4a(i) and SC4a(ii).
- (b) Service Points will be incurred and Service Credits applied if the Supplier fails to achieve the total of the aggregate of the monthly Target Service Levels for the relevant Measurement Period.
- (c) In order to ensure that the Supplier is not penalised twice for the same default, the Service Points for each Measurement Period in respect of the National Volume Service Level will be calculated as follows:

$$SCW \times (TSLn - WCA_n - SLFr) = SP_n$$

In the first Service Delivery Year this calculation will be performed for both SC4a(i) and SC4a(ii).

Where:

SCW is the Service Credit Weighting for the relevant Service Level.

TSLn is the aggregate of the monthly National Target Service Levels for the relevant Measurement Period

WCA_n is, for Service Delivery Year 1 the total number of WCA Assessments cleared nationally for the relevant Measurement Period, and for Service Delivery Years 2 and 3 the total number of Face to Face reviews cleared nationally for the relevant Measurement Period.

SLFr is the total number of regional Service Level Failures already applied for the relevant Measurement Period. In the first Service Delivery Year SLFr will be calculated for both Paper Based Reviews and Face to Face

consultations for the relevant Measurement Period in accordance with Paragraph 4.2 (f) and (g) below.

SPn is Service Points

- (d) Service Credits in respect of the National Volume Service Level will be reconciled at the end of each Service Delivery Year in accordance with Paragraph 6.1.
- (e) When calculating the SPn in respect of SC4a(i) and SC4a(ii), the SLFr in Paragraph 4.2 (c) will be calculated separately.

For all Service Delivery Years, in each Measurement Period the Regional Volume Service Level target for each region shall be compared to the actual performance delivered in each region and any shortfall identified. Where in any region the Regional Volume Service Level target is exceeded the excess shall not be used to offset any shortfalls in any other region (or the total of all shortfalls). If there is no overall shortfall in the Regional Volume Service Level targets in the relevant Measurement Period, there will be no further calculations and any failure in SC4(a) in such Measurement Period shall remain as it is.

(f) In Service Delivery Year 1

- (i) Each Regional Volume Service Level target shall be assumed to be split for each region for Paper Based Assessments (PBA) on the basis of a percentage reflecting the proportion that PBA consultations represents of the Target Service Level, SC4a(i) (a "**Notional PBA Regional Volume Target**") and for Face to Face (F2F) on the basis of a percentage reflecting the proportion that Face to Face consultations represents of the Target Service Level, SC4a(ii) (a "**Notional F2F Regional Volume Target**");
- (ii) The Notional F2F Regional Volume Target and the Notional PBA Regional Volume Target for each region shall be compared to the actual Face to Face consultations and the actual Paper Based consultations delivered in that region (respectively) and any shortfalls identified. The total of all the shortfalls in all regions in each of Face to Face consultations and Paper Based consultations shall be added up to give a total F2F shortfall (A) and a total PBA shortfall (B). Where in any region the Notional F2F Regional Volume Target or the Notional PBA Regional Volume Target is exceeded the excess shall not be used to offset any shortfalls in any other region (or the total of all shortfalls). Percentages shall then be determined for Face to Face consultations (the "**Notional F2F %**") being $A/(A+B)$, and for Paper Based consultations (the "**Notional PBA %**") being $B/(A+B)$.
- (iii) The Notional F2F % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the F2F element (X) of it and the Notional PBA % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the PBA element of it (Y).
- (iv) The PBA and F2F actual performance in the relevant Measurement Period shall then be compared to the relevant Target Service Level performance for SC4(a)(i) and (ii) respectively. If actual performance meets or exceeds the Target Service Level for SC4(a)(i) or SC4(ii)

then no further adjustment shall be made in respect of the relevant SC4(a) Service Level (as there is no shortfall for that Service Level).

- (v) Where for SC4a(ii) the actual performance is less than the Target Service Level for F2F (i.e. a shortfall in consultations), this shortfall shall be reduced by X.
- (vi) Where for SC4a (i) the actual PBA performance is less than the Target Service Level for PBA (i.e. a shortfall in consultations) this shortfall shall be reduced by Y.

(g) In Service Delivery Year 2 and Service Delivery Year 3

- (i) Each Regional Volume Service Level target shall be assumed to be split: 30% PBA (a **"Y2/Y3 Notional PBA Regional Volume Target"**) and 70% F2F (a **"Y2/Y3 Notional F2F Regional Volume Target"**) for Service Delivery Year 2 and Service Delivery Year 3.
- (ii) The Y2/Y3 Notional F2F Regional Volume Target and the Y2/Y3 Notional PBA Regional Volume Target for each region shall be compared to the actual Face to Face consultations and the actual Paper Based consultations delivered in that region (respectively) and any shortfalls identified. The total of all the shortfalls in all regions in each of Face to Face consultations and Paper Based consultations PBA and F2F shall be added up to give a total F2F shortfall (A) and a total PBA shortfall (B). Where in any region the Y2/Y3 Notional F2F Regional Volume Target or the Y2/Y3 Notional PBA Regional Volume Target is exceeded the excess shall not be used to offset any shortfalls in any other region (or the total of all shortfalls). Percentages shall then be determined for Face to Face consultations (the **"Y2/Y3 Notional F2F %"**) being $A/(A+B)$, and for Paper Based consultations (the **"Y2/Y3 Notional PBA %"**) being $B/(A+B)$.
- (iii) The Y2/Y3 Notional F2F % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the F2F element (X) of it and the Notional PBA % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the PBA element of it (Y). The SC4(a) F2F actual performance in the relevant Measurement Period shall then be compared to the Target Service Level performance. If actual performance meets or exceeds the Target Service Level then no further adjustment shall be made (as there is no shortfall).
- (iv) The SC4(a) F2F actual performance in the relevant Measurement Period shall then be compared to the Target Service Level performance. If actual performance meets or exceeds the Target Service Level then no further adjustment shall be made (as there is no shortfall).
- (v) Where the actual F2F performance is less than the Target Service Level (i.e. a shortfall in consultations), this shortfall shall be reduced by X.

(h) In Service Delivery Year 4 through to Service Delivery Year 7 (inclusive)

- (i) Each Regional Volume Service Level target shall be assumed to be split: 24% PBA (a **"Y4/Y5/Y6/Y7 Notional PBA Regional Volume Target"**) and 76% F2F (a **"Y4/Y5/Y6/Y7 Notional F2F Regional Volume Target"**) for Service Delivery Year 4 through to Service

Delivery Year 7 6 (inclusive).

For Service Delivery Years 8-9 each Regional Volume Service Level target shall be assumed to be split: 27.7% PBA (a "Y8/Y9 **Notional PBA Regional Volume Target**") and 72.3% F2F (a "Y8/Y9 **Notional F2F Regional Volume Target**")

- (ii) The Y4/Y5/Y6/Y7 Notional F2F Regional Volume Target and the Y4/Y5/Y6/Y7 Notional PBA Regional Volume Target for each region shall be compared to the actual Face to Face consultations and the actual Paper Based consultations delivered in each region (respectively) and any shortfalls identified. The total of all the shortfalls in all regions in each of Face to Face consultations and Paper Based consultations PBA and F2F shall be added up to give a total F2F shortfall (A) and a total PBA shortfall (B). Where in any region the Y4/Y5/Y6/Y7 Notional F2F Regional Volume Target or the Y4/Y5/Y6/Y7 Notional PBA Regional Volume Target is exceeded the excess shall not be used to offset any shortfalls in any other region (or the total of all shortfalls). Percentages shall then be determined for Face to Face consultations (the "**Y4/Y5/Y6/Y7 Notional F2F %**") being $A/(A+B)$, and for Paper Based consultations (the "**Y4/Y5/Y6/Y7 Notional PBA %**") being $B/(A+B)$.
- (iii) The Y8/Y9 Notional F2F Regional Volume Target and the Y8/Y9 Notional PBA Regional Volume Target for each region shall be compared to the actual Face to Face consultations and the actual Paper Based consultations delivered in each region (respectively) and any shortfalls identified. The total of all the shortfalls in all regions in each of Face to Face consultations and Paper Based consultations PBA and F2F shall be added up to give a total F2F shortfall (A) and a total PBA shortfall (B). Where in any region the Y8/Y9 Notional F2F Regional Volume Target or the Y8/Y9 Notional PBA Regional Volume Target is exceeded the excess shall not be used to offset any shortfalls in any other region (or the total of all shortfalls). Percentages shall then be determined for Face to Face consultations (the "**Y8/Y9 Notional F2F %**") being $A/(A+B)$, and for Paper Based consultations (the "**Y8/Y9 Notional PBA %**") being $B/(A+B)$.
- (iv) The Y4/Y5/Y6/Y7 Notional F2F % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the F2F element (X) of it and the Notional PBA % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the PBA element of it (Y). The SC4(a) F2F actual performance in the relevant Measurement Period shall then be compared to the Target Service Level performance. If actual performance meets or exceeds the Target Service Level then no further adjustment shall be made (as there is no shortfall).
- (v) The Y8/Y9 Notional F2F % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the F2F element (X) of it and the Notional PBA % shall be applied to the total overall shortfall against the Regional Volume Service Level targets to establish the PBA element of it (Y). The

SC4(a) F2F actual performance in the relevant Measurement Period shall then be compared to the Target Service Level performance. If actual performance meets or exceeds the Target Service Level then no further adjustment shall be made (as there is no shortfall).

- (vi) The SC4(a) F2F actual performance in the relevant Measurement Period shall then be compared to the Target Service Level performance. If actual performance meets or exceeds the Target Service Level then no further adjustment shall be made (as there is no shortfall).
- (vii) Where the actual F2F performance is less than the Target Service Level (i.e. a shortfall in consultations), this shortfall shall be reduced by X.

Example:

The example below illustrates the shortfall adjustments to be made using the split between PBA and F2F which was applicable as of July 2015.

JULY 2015

Regional	Total Floor	Total Delivered	Total Falls
Central	[REDACTED]	[REDACTED]	[REDACTED]
LHC	[REDACTED]	[REDACTED]	[REDACTED]
South	[REDACTED]	[REDACTED]	[REDACTED]
Total	[REDACTED]	[REDACTED]	[REDACTED]

Regional	F2F Floor	F2F Delivered	F2F Falls
Central	[REDACTED]	[REDACTED]	[REDACTED]
LHC	[REDACTED]	[REDACTED]	[REDACTED]
South	[REDACTED]	[REDACTED]	[REDACTED]
Total	[REDACTED]	[REDACTED]	[REDACTED]

 (A)

Regional	PBA Floor	PBA Delivered	PBA Falls
Central	[REDACTED]	[REDACTED]	[REDACTED]
LHC	[REDACTED]	[REDACTED]	[REDACTED]
South	[REDACTED]	[REDACTED]	[REDACTED]
Total	[REDACTED]	[REDACTED]	[REDACTED]

 (B)

To Net	Split	Apportionment
F2F	[REDACTED]	[REDACTED]
PBA	[REDACTED]	[REDACTED]
		[REDACTED]

 (X)
(Y)

National	Target	Delivered	Gross Falls	Net Falls
F2F	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
PBA	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

Clearance Times

- 4.3 The Parties shall work together to agree an appropriate clearance time target (in respect of the time required to process and complete an assessment) at such a time that the Authority believes this is required.
- 4.4 An assessment shall only be deemed to be cleared by the Supplier and capable of counting towards a Target Service Level where a report has been completed for that assessment in accordance with the Service Requirement. For the avoidance of doubt, referrals where the Claimant did not attend, failed to return the ESA50, or where the referral was withdrawn shall not count towards the Target Service Level.

5 ASSESSMENT ASSURANCE AUDIT METHODOLOGY

- 5.1 The methodology for the audit of the quality service levels being Service Levels numbered SC1 and SC2 is as follows:

Audit Methodology

1) National Audit WCAs in respect of Service Delivery Years 1 to 3

A system-generated nightly run occurs on the Atos Data Warehouse, which is updated daily from the Medical Services Referral System (MSRS). A daily report is then automatically produced, containing details of up to 50 randomly selected cases. This is the national random selection report. This report is accessed via MSRS each morning by the Authority's Assessment Assurance Administration Support Team (AA AST).

The sample is collected using Microsoft Access. The previous days' clearances are ported into Microsoft Access and assigned a number within the range. Microsoft Access then selects a random number within the range. It repeats the selection until it has 50 cases (it may randomly select the same number more than once, so keeps going until it has 50 different selections).

From and including March 2016, in relation to HCPs that are selected for targeted audits carried out in accordance with Paragraph 40.1 of Schedule 2.1 (Service Requirements) the Supplier shall notify the Authority, in respect of March 2016 on or before 11 March 2016, and thereafter in advance of each Measurement Period, of the names of up to and including fifty HCPs ("Named Targeted HCPs") whose assessments shall be excluded from the population from which the sample of assessment reports used to measure the SC1 Service Level is drawn. The Supplier shall provide the Authority with an update of the list of Named Targeted HCPs each Monday. If a weekly updated list is not provided by the Supplier to the Authority, the previous weekly updated list shall remain in force for the purposes of the names to be excluded from the population from which the sample of assessment reports used to measure the SC1 Service Level is drawn. The assessments of those Named Targeted HCPs (or, if lower than fifty, the actual number of HCPs so notified who carry out assessments in the relevant Measurement Period) shall be excluded from the population of each Measurement Period, the first of which is March 2016. In no instance will an assessment be removed from the population from which the sample of assessment reports used to measure the SC1 Service Level involving an HCP who:

- a) was not listed on the initial Measurement Period notification; or

- b) was added to the list by a weekly updated notification after the date the HCP assessment data was picked for the sample for the purposes of measuring the SC1 Service Level.

If the Supplier fails to notify the Authority in advance of a Measurement Period of the Named Targeted HCPs, there shall be no exclusion of assessments for such targeted audits in the relevant Measurement Period.

The Authority has agreed with the Supplier that the sampling will be done on a 3 month rolling basis, each month a random sample of approximately 600 cases will be audited, making a minimum of 1800 over a 3 month period. The Parties agree that where the exclusion of the assessments performed by the Named Targeted HCPs from the sample during March 2016 results in the numbers sampled over the 3 month period January to March 2016 being below 1800, the number sampled will be deemed to be a statistically valid sample and any results based on this sample shall be deemed to be valid. In the month following the end of each rolling 3 month period the Authority will provide an audit report to the Supplier on the percentage of A/B/C grade reports. This audit report will determine the level of quality service credits (for SC1 and SC2) to be applied as necessary.

The Supplier has 48 hours from when they are informed that an assessment has been audited and given a C grade, to discuss with the Authority auditors. For B cases, this is split into 2 groups, which are labelled by the Authority as B# and B. B# indicates that the case needs to be amended and therefore on the same turnaround time as Cs.

The B cases do not have this turnaround requirement and any issues are raised at the monthly review meeting.

A worked example of how the rolling 3 month sampling period should operate is shown in the diagram below.

Mar 15	Apr 15	May 15	Jun 15	Jul 15	Aug 15
Approx. 600	Approx. 600	Approx. 600			
Minimum 1800 - Audit Report due Jun. This is based on a percentage of the total 1800 audited, and this becomes the May result.					
	Approx. 600	Approx. 600	Approx. 600		
	Minimum 1800 - Audit Report due Jul. This is based on a percentage of the total 1800 audited, and this becomes the Jun result.				
		Approx. 600	Approx. 600	Approx. 600	
		Minimum 1800 - Audit Report due Aug. This is based on a percentage of the total 1800 audited, and this becomes the Jul result.			
			Approx. 600	Approx. 600	Approx. 600
			Minimum 1800 - Audit Report due Sep. This is based on a percentage of the total 1800 audited, and this becomes the Aug result.		

Action by Assessment Assurance Provider or secondees appointed in accordance with Paragraph 61 of Schedule 2.1 (“AA Auditor”)

The AA Auditors clerically record receipt of the report and divide the list of cases into individual DWP Benefit Delivery Centre (BDC) offices, and then securely emails the Single Point of Contact (SPOC) at each office listed. The AA Auditors must conduct the audit within 2 working days of receipt.

When the Audit is completed reports are graded A, B and C and appropriate action is taken on each.

2) National Audit WCAs in respect of Service Delivery Years 4 to 5

A system-generated nightly run occurs on the Atos Data Warehouse, which is updated daily from the Medical Services Referral System (MSRS). A daily report is then automatically produced, containing details of up to 50 randomly selected cases. This is the national random selection report. This report is accessed via MSRS each morning by the Authority’s Assessment Assurance Administration Support Team (AA AST).

The sample is collected using Microsoft Access. The previous days’ clearances are ported into Microsoft Access and assigned a number within the range. Microsoft Access then selects a random number within the range. It repeats the selection until it has 50 cases (it may randomly select the same number more than once, so keeps going until it has 50 different selections).

The Authority has agreed with the Supplier that the sampling will be done on a 3 month rolling basis, each month a random sample of approximately 600 cases will be audited, making a minimum of 1800 over a 3 month period. In the month following the end of each rolling 3 month period the Authority will provide an audit report to the Supplier on the percentage of A/B/C grade reports. This audit report will determine the level of quality service credits (for SC1 and SC2) to be applied as necessary.

The proportion of F2F and PBA in the audited sample shall be recalculated to match the actual clearances in that month, e.g. if the actual clearances in the relevant month are split 76 F2F : 24 PBA, the audit will reflect the 76 F2F : 24 PBA split. This recalculation will be completed at the end of each month to ensure that it accurately reflects the actual clearances.

The recalculated audit results will be in place for March 2018. For March 2018 the rolling 3 month sampling period will be based on the adjusted total for January 2018 to March 2018. The adjusted total will then be used to calculate the rolling 3 month sampling period going forward.

The Supplier has 48 hours from when they are informed that an assessment has been audited and given a C grade, to discuss with the Authority auditors. For B cases, this is split into 2 groups, which are labelled by the Authority as B# and B. B# indicates that the case needs to be amended and therefore on the same turnaround time as Cs.

The B cases do not have this turnaround requirement and any issues are raised at the monthly review meeting.

A worked example of how the rolling 3 month sampling period should operate is shown in the diagram below.

December 17	January 18	February 18	March 18	April 18	May 18
Approx. 600	Approx. 600	Approx. 600			
Minimum 1800 - Audit Report due March. This is based on the actual audits completed and becomes the February result.					
	Approx. 600	Approx. 600	Approx. 600		
	Minimum 1800 - Audit Report due April. This is based on the actual audits completed, the results are recalculated to match the Supplier's actual ratio of F2F and PBA outputs, and this becomes the March result.				
		Approx. 600	Approx. 600	Approx. 600	
		Minimum 1800 - Audit Report due May. This is based on the actual audits completed, the results are recalculated to match the Supplier's actual ratio of F2F and PBA outputs, and this becomes the April result.			
			Approx. 600	Approx. 600	Approx. 600
			Minimum 1800 - Audit Report due June. This is based on the actual audits completed, the results are recalculated to match the Supplier's actual ratio of F2F and PBA outputs and this becomes the May result.		

Action by Assessment Assurance Provider or secondees appointed in accordance with Paragraph 62 of Schedule 2.1 ("AA Auditor")

The AA Auditors clerically record receipt of the report and divides the list of cases into individual DWP Benefit Delivery Centre (BDC) offices, and then securely emails the Single Point of Contact (SPOC) at each office listed. The AA Auditors must conduct the audit within 2 working days of receipt.

When the Audit is completed reports are graded A, B and C and appropriate action is taken on each.

3) Non-WCA cases Process for Industrial Injuries Benefits, Veterans UK and Disability Living Allowance

The Supplier will carry out a 10% audit internally for these cases in accordance with Service Guidance. Each Month the Supplier will send a list of these audited cases to the AA Auditors. The AA Auditors will randomly select some of these cases for further audit by the AA Auditors.

Process for other benefits excluding WCA, Industrial Injuries Benefits, Veterans

UK and Disability Living Allowance

Each Month the Supplier will send a list of national insurance numbers of all the cases that they have audited (100% of these cases will be audited in accordance with Service Guidance) to the Authority audit team based at Tresco House. The AA Auditors will randomly select 50% of these cases for a further audit. The audits will be carried out retrospectively each Month.

4) Auditing of the Suppliers Auditors

Sampling

Schedule 2.1 Paragraph 40.1 for Service Delivery Year 1 and the period up to and including 27 September 2016 in Service Delivery Year 2 - A monthly report, containing details of all WCA cases audited internally by all Supplier auditors during the month, will be produced on an Excel spread sheet and sent by secure email to the AA Auditors. On a monthly basis, the AA Auditors make a random selection of the cases listed to audit and sends it to their administration team, who will request the case papers from the Supplier and monitor receipt.

Schedule 2.1 Paragraph 40.1 from 28 September 2016 - A monthly report, containing a summary of cases reviewed and details of all WCA cases audited internally by all Supplier auditors during the month will be provided to AA Auditors upon CMA request. The AA Auditors may choose to select a random selection of the cases listed to audit and send it to their administration team, who will request the case papers from the Supplier and monitor receipt.

Process

When the case papers have been received by the AA Auditor's administration team, they are passed, with the file, to the AA Auditor who conducts the audit. Details of the audit findings are provided to the Authority's Clinical Expert Team and the Supplier. The results can be discussed, and amended if required, before the report is finalised. If an error is found that may affect the benefit decision, the case must be referred to the BDC, who will invoke 'business as usual' processes to rectify and deal with any under/overpayment.

- 5.2 The results of the sample of reports audited by the Assessment Assurance Provider or the secondees appointed in accordance with Paragraph 61 of Schedule 2.1 shall be extrapolated to apply to the total number of reports completed by the Supplier in the relevant Service Period.

5A Quality Work Programme

5A.1 By 29 December 2017, the Parties:

- Agreed and adopted a common understanding of the quality standard and quality criteria expected between the Supplier, the Authority and the Assessment Assurance Team; and
- Conducted a programme of work to statistically validate potential reasons for identifiable variations in recommendations.

5A.2 The Supplier will continue to work with the Authority to develop a Quality Work Programme which shall detail steps to be taken by the Supplier to support the following areas of work:

- Identifying and implementing activity to improve quality and minimise variations in recommendations as part of business as usual, to be captured in a Supplier Quality Continuous Improvement Plan by 30 March 2018;
- Considering options for a revised quality target by 30 March 2018; and
- Conducting a test of any revised quality target by 31 August 2018.

Progress against the Quality Work Programme will be jointly monitored by the Parties.

5A.3 The Parties shall work together to review and revise audit standards and the contractual quality target for WCA. If revised audit standards are agreed the anticipated date for the introduction of this revised quality regime shall be 1 September 2018.

6 RECONCILIATION

6.1 At the end of each Service Delivery Year the following reconciliation will be performed:

- (a) Service Points for the Regional Volume Service Level will be calculated in accordance with Paragraph 2.3 with a Measurement Period of a Service Delivery Year in respect of Service Delivery Years 1 through to Service Delivery Year 8 (inclusive) , and with a Measurement Period equal to the period of Service Delivery Year 9 , in respect of Service Delivery Year 9 ; and
- (b) Service Points for the National Volume Service Level shall be calculated in accordance with Paragraph 4.2 with a Measurement Period of a Year in respect of Service Delivery Years 1 through to Service Delivery Year 8 (inclusive), and with a Measurement Period equal to the period of Service Delivery Year 9 , in respect of Service Delivery Year 9 .

7 SERVICE CREDITS

7.1 The objectives of the Service Level and Service Credit regime are to:

- (a) ensure that the Services are of a consistently high quality and meet the requirements of the Authority;
- (b) provide a mechanism whereby the Authority can attain meaningful recognition of inconvenience and/or loss resulting from the Supplier's failure to deliver the level of Service for which it has contracted to deliver; and
- (c) ensure that the Supplier meets the Service Levels and remedies any failure to meet the Service Levels expeditiously.

7.2 The Authority shall use the Performance Monitoring Reports provided pursuant to Part B to this Schedule 2.2, among other things, to verify the calculation and accuracy of the Service Points and Service Credits (if any) applicable to each

Service Period.

8 SERVICE LEVELS FOR ADDITIONAL SERVICES

- 8.1 The Service Levels and Subsidiary Service Levels that shall apply to the Additional Services shall be agreed by the Parties using the Change Control Procedure.

9 MATERIAL UNDERPERFORMANCE

- 9.1 Save as set out in Paragraphs 9.2 to 9.4 below, for the purpose of calculating what level of Service Level Failure may apply for the purposes of Clause 7 (Performance Levels) of the Agreement, the threshold for each of the Service Levels in the appendices to this Schedule shall be the Target Service Level as shown less 5% e.g. SC 1 Target Service Level at threshold shall be: 90% or more reports in each month of Service Delivery Year 1 and Service Delivery Year 2 and Service Delivery Year 3 deemed as acceptable or acceptable without significant learning points (grades A and B).
- 9.2 For the purpose of calculating what level of Service Level Failure may apply for the purposes of Clause 7 (Performance Levels) of the Agreement in respect of the Target Service Levels for SC7 Veterans UK: Audiology and SC7 Veterans UK: Specialist Reports and Regional Consultants Reports (to include CRU referrals), the following shall apply:-
 - 9.2.1 The calculation as to whether there has been a material underperformance as set out in Paragraphs 9.2.2 or 9.2.3 shall be by way of combining UK Audiology and Veterans UK: Specialist Reports and Regional Consultants Reports (to include CRU referrals) and measuring on a rolling 3 month basis
 - 9.2.2 The calculation of the threshold on the “Primary Target” for combined SC7 UK Audiology and SC7 Veterans UK: Specialist Reports and Regional Consultants Reports (to include CRU referrals) and measured by way of a rolling 3 month basis shall occur when the actual performance falls below the Primary Target by 29% points which means that the actual percentage of cases completed within the Primary Target days is below 65%
 - 9.2.3 The calculation of the threshold on the “Secondary Target” for combined SC7 UK Audiology and SC7 Veterans UK: Specialist Reports and Regional Consultants Reports (to include CRU referrals) and measured by way of a rolling 3 month basis shall occur when the actual performance falls below the Secondary Target by 10% points which means that the actual percentage of cases completed within the Secondary Target days is below 90%
 - 9.2.4 The rolling three months in respect of the Target Service Levels for SC7 Veterans UK: Audiology and SC7 Veterans UK: Specialist Reports and Regional Consultants Reports (to include CRU referrals), will report for the first time in June 2017 for the rolling three months of March 17, April 17 and May 17. Whilst reported in June 17, the rolling 3 month March 17, April 17, May 17 performance measure will be recorded as the May performance.

A worked example of how the rolling 3 month calculation should operate is shown in the diagram below.

[illegible]

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	Num	Den	Perf	Num	Den	Perf					
SC7 Audiology Secondary	3	5	60.0%	3	5	60.0%	>10%				
SC7 Consultants Secondary	14	17	82.4%	14	14	100.0%	MEET				
Combined Secondary	17	22	77.3%	17	19	89.5%	>10%				
	Oct-16										
	Actual			Recalc							
	Num	Den	Perf	Num	Den	Perf					
SC7 Audiology Secondary	12	15	80.0%	12	14	85.7%	<10%				
SC7 Consultants Secondary	4	4	100.0%	4	4	100.0%	MEET				
Combined Secondary	16	19	84.2%	16	18	88.9%	>10%				
	Nov-16							Rolling 3 Months to Nov			
	Actual			Recalc				Recalc			
	Num	Den	Perf	Num	Den	Perf		Num	Den	Perf	
SC7 Audiology Secondary	8	11	72.7%	8	10	80.0%	>10%	23	29	79.3%	>10%
SC7 Consultants Secondary	20	23	87.0%	20	20	100.0%	MEET	38	38	100.0%	MEET
Combined Secondary	28	34	82.4%	28	30	93.3%	<10%	61	67	91.0%	<10%
	Dec-16							Rolling 3 Months to Dec			
	Actual			Recalc				Recalc			
	Num	Den	Perf	Num	Den	Perf		Num	Den	Perf	
SC7 Audiology Secondary	13	15	86.7%	13	14	92.9%	<10%	33	38	86.8%	>10%
SC7 Consultants Secondary	18	18	100.0%	18	18	100.0%	MEET	42	42	100.0%	MEET
Combined Secondary	31	33	93.9%	31	32	96.9%	<10%	75	80	93.8%	<10%
	Jan-17							Rolling 3 Months to Jan			
	Actual			Recalc				Recalc			
	Num	Den	Perf	Num	Den	Perf		Num	Den	Perf	
SC7 Audiology Secondary	4	5	80.0%	4	5	80.0%	>10%	25	29	86.2%	>10%
SC7 Consultants Secondary	5	8	62.5%	5	5	100.0%	MEET	43	43	100.0%	MEET
Combined Secondary	9	13	69.2%	9	10	90.0%	<10%	68	72	94.4%	<10%

- 9.3 For the purpose of calculating what level of Service Level Failure may apply for the purposes of Clause 7 (Performance Levels) of the Agreement, the threshold for SC12 in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive) for supplier location consultations to be achieved shall be 75% of all Claimants to be examined within 30 minutes of their appointment time. 9.4 For the purposes

of calculating what level of Service Level Failure may apply for the purposes of Clause 7 (Performance Levels) of the Agreement, in Service Delivery Year 6 through to Service Delivery Year 9 (inclusive), the following shall apply:

- 9.4.1 in respect of SC2 as it relates to DLA/AA the threshold shall be the Target Service Level as shown less 7%;
- 9.4.2 in respect of SC2 as it relates to Veterans UK the threshold shall be the Target Service Level as shown less 7%;
- 9.4.3 in respect of SC11 the threshold:
 - (a) in relation to call answer time shall be the Target Service Level as shown plus 5 seconds; and
 - (b) in relation to total claimant calls answered shall be the Target Service Level as shown less 5%.

PART B

Performance Monitoring

In this Part B of this Schedule 2.2, the following definitions shall apply:

- | | |
|--|---|
| “Performance Monitoring Report” | has the meaning given in Paragraph 1.1(a) of Part B of this Schedule 2.2; |
| “Performance Review Meeting” | the regular meetings between the Supplier and the Authority to manage and review the Supplier's performance under this Agreement, as further described in Paragraph 1.5 of Part B of this Schedule 2.2; |

1 PERFORMANCE MONITORING AND PERFORMANCE REVIEW

- 1.1 Within five (5) Working Days of the end of each Service Period, the Supplier shall provide the report detailed at paragraph 1.1(a) of this Schedule and, within fifteen (15) Working Days of the end of each Service Period, the Supplier shall provide the report detailed at paragraph 1.1. (b) of this Schedule:
- (a) a report to the Authority Representative which summarises the performance by the Supplier against each of the Target Service Levels as more particularly described in Paragraph 1.2 (the **“Performance Monitoring Report”**); and
 - (b) a report to the Authority's senior responsible officer which summarises the Supplier's performance over the relevant Service Period as more particularly described in Paragraph 1.3 (the **“Balanced Scorecard Report”**). An example of which is at Annex 3.

Performance Monitoring Report

- 1.2 The Performance Monitoring Report shall be electronically encrypted and the Supplier shall ensure that it has been validated, is accurate, fully auditable and in such format as prescribed by the Authority from time to time and contain, as a minimum, the following information broken down by geographical region (as may be further set out in Schedule 2.1 (Service Requirements)):

Information in respect of the Service Period just ended

- (a) for each Service Level, the actual performance achieved over the Service Period, and that achieved over the previous 3 Service Periods;
- (b) a summary of all Service Level Failures that occurred during the Service Period;
- (c) which Service Level Failures remain outstanding and progress in resolving them;
- (d) for any Material Service Level Failures or Subsidiary Service Level Failures occurring during the Service Period, the cause of the relevant Service Level

Failure or Subsidiary Service Level Failure and the action being taken to reduce the likelihood of recurrence;

- (e) the status of any outstanding Rectification Plan processes, including:
 - (i) whether or not a Rectification Plan has been agreed; and
 - (ii) where a Rectification Plan has been agreed, a summary of the Supplier's progress in implementing that Rectification Plan;
- (f) the number of Service Points awarded in respect of each Service Level Failure;
- (g) the Service Credits to be applied, indicating the Service Level Failure(s) to which the Service Credits relate;
- (h) the conduct and performance of any agreed periodic tests that have occurred, such as the annual failover test of the BCDRP;
- (i) relevant particulars of any aspects of the Supplier's performance which fail to meet the requirements of this Agreement;
- (j) such other details as the Authority may reasonably require from time to time; and

Information in respect of previous Service Periods

- (k) a rolling total of the number of Service Level Failures that have occurred over the past six Service Periods;
- (l) the amount of Service Credits that have been incurred by the Supplier over the past six Service Periods;
- (m) the conduct and performance of any agreed periodic tests that have occurred in such Service Period such as the annual failover test of the BCDRP.

Balanced Scorecard Report

- 1.3 The Balanced Scorecard Report shall be presented in the form of a dashboard and, as a minimum, shall contain a high level summary of the Supplier's performance over the relevant Service Period, including details of the following:
- (a) financial indicators;
 - (b) the Target Service Levels achieved;
 - (c) behavioural indicators;
 - (d) performance against its obligation to pay its Sub-contractors within 30 days of receipt of an undisputed invoice; and
 - (e) Milestone trend chart, showing performance of the overall programme.

- 1.4 The Performance Monitoring Report and the Balanced Scorecard Report shall be reviewed and their contents agreed by the Parties at the next HDAS Delivery Board Meeting held in accordance with Paragraph 1.5.
- 1.5 The Parties shall attend the HDAS Delivery Board Meetings on a two weekly basis (unless otherwise agreed). The Performance Monitoring Reports and Balance Scorecard Reports shall be reviewed once a month. The Performance Review Meeting shall (unless otherwise agreed):
- (a) take place at such location and time (within normal business hours) as the Authority shall reasonably require (unless otherwise agreed in advance); and
 - (b) be attended by the Supplier Representative and Authority Representative.
- 1.6 The Authority shall be entitled to raise any additional questions and/or request any further information from the Supplier regarding any Service Level Failure and/or Subsidiary Service Level Failure.

2 PERFORMANCE RECORDS

- 2.1 The Supplier shall keep appropriate documents and records (including but not limited to Help Desk records, staff records, timesheets, training programmes, staff training records, goods received documentation, supplier accreditation records, complaints received) in relation to the Services being delivered. Without prejudice to the generality of the foregoing, the Supplier shall maintain accurate records of call histories for a minimum of 12 months and provide prompt access to such records to the Authority upon the Authority's request. The records and documents of the Supplier shall be available for inspection by the Authority and/or its nominee at any time and the Authority and/or its nominee may make copies of any such records and documents.
- 2.2 In addition to the requirement in Paragraph 2.1 to maintain appropriate documents and records, the Supplier shall provide to the Authority such supporting documentation as the Authority may reasonably require in order to verify the level of the performance of the Supplier both before and after the Operational Service Commencement Date and the calculations of the amount of Service Credits for any specified period.
- 2.3 The Supplier shall ensure that the Performance Monitoring Report, the Balanced Scorecard Report and any variations or amendments thereto, any reports and summaries produced in accordance with this Schedule and any other document or record reasonably required by the Authority are available to the Authority on-line and are capable of being printed.

Annex 1: Service Levels and Service Credits

In this Annex 1 “Exceptions” shall mean (in addition to any specific exceptions set out in the table below) that the Supplier shall not be treated as being in breach of this Agreement and the applicable Service Credit shall not be deemed to have been breached in cases where the policy prevents the targets from being met as determined by the Authority acting reasonably; where FE has not been received but where the Supplier has chased for such FE at least 3 times in the week following the deadline for receipt and has attempted to obtain FE from another appropriate HCP. Any such Exceptions shall not include any operational procedures introduced by the Supplier which are not due to a DWP policy.

Where the Supplier has insufficient number of HCPs trained and approved to conduct DLA assessments due to lapsed accreditations and lack of prior volume requirements and impacts on Service Levels or Service Credits for DLA work, the Authority agrees that it will work with the Supplier and where reasonable review its policy or otherwise as it so determines.

Annex 1 sets out the Service Levels and Subsidiary Levels which the Parties have agreed shall be used to measure performance of the Service Levels subject to the following:-

- a) The Parties agree that the Supplier will put together a recovery plan between March and June 2015 with the intention of improving on the targets set out in Table 3 of Annex 1.
- b) By the end of August 2015, the Parties will, based on the results of the recovery plan and based on policy and guidance constraints identified and agreed during the running of the Services, agree to increase the targets in accordance with the Change Control Procedure. Where as a result of the recovery plan the Parties acting reasonably determine that the targets cannot be further improved, the targets as set out in the Annex 1 will apply.
- c) For SC4b, the Parties agree that the floor targets for Service Delivery Year 2 and Service Delivery Year 3 will be set following a review by both the Parties acting reasonably and with an understanding of the regional proportions of outstanding work (Head Of Work) and such regional floors shall be set by the end of February 2016 for Service Delivery Year 2 and end February 2017 for Service Delivery Year 3 and shall be set by such date as set out in Table 2 for each subsequent Service Delivery Year. The final determination will rest with the Authority acting reasonably.

During the negotiations in respect of the extension of the Agreement after 29 February 2020, the Supplier agreed to work with the Authority during Service Delivery Year 5 on the feasibility of a speed of clearance regime for re-referrals (the **Speed of Clearance Regime**) which may include, without limitation: measurement parameters, information requirements (including how it would be collected) and associated target(s). The Supplier shall not unreasonably withhold or delay its support and co-operation in such feasibility work. If the Parties agree that a Speed of Clearance Regime target(s) is feasible, the Authority will request implementation of the Speed of Clearance Regime target(s) through the Change Control Procedure and provide an opportunity, as part of the Change Control Procedure, for the Supplier to fully impact any proposed performance indicator(s) and associated target(s) and any proposed timescales for implementation.

The Parties will formally review progress of the feasibility work and/or implementation of the Speed of Clearance Regime by 31 December 2019.

The Authority may request, by using the Change Control Procedure and defining the split of Universal Credit groups, changes to the numerical and geographical regional floors set out in SC4b from 7 regional floors to 11 regional floors (reflecting the 11 Universal Credit groups). The Supplier will fully impact and respond in a timely manner as part of the Change Control Procedure (including any associated risk in having 11 regional floor targets rather than 7 regional floor targets). The Parties will formally review progress by 31 December 2019.

Table 1 - Subsidiary Service Levels

No.	Subsidiary Service Levels	Target Service Level	Level and Frequency of Measurement Where "BSC" is stated, this is only for reporting purposes and shall not be for Service Level measurement purposes.
SL1	<p>Service Delivery Year 1 through to Service Delivery Year 9 (inclusive):</p> <p>CPD for HCPs</p> <p>Training Needs Analysis (TNA)</p> <p>Service Delivery Years 4 and 5 and 6 and 7:</p> <p>This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 7 (inclusive) and instead the requirement for TNA shall be monitored as a Performance Indicator as set out in Schedule 2.1 (Service Requirement), Part 2 of Annex 1: Management Information and Performance Indicators.</p>	<p>By 31 August in Service Delivery Year 1 and 30 June each year, the Supplier will deliver an Authority approved Training Needs Analysis.</p>	<p>National</p> <p>Annual</p>

SL2	<p>Service Delivery Years 1 -3:</p> <p>Training for HCPs</p> <p>Delivery of Training Plan.</p> <p>Service Delivery Year 4 through to Service Delivery Year 7 (inclusive):</p> <p>This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive) and instead the requirement for delivery of training plans shall be monitored as a Performance Indicator as set out in Schedule 2.1 (Service Requirement), Part 2 of Annex 1: Management Information and Performance Indicators.</p>	<p>By 30 September in Service Delivery Year 1 and 31 July each year, the Supplier will deliver an agreed Training Plan which sets out in detail the manner in which the agreed training Programme will be delivered during the following year.</p>	<p>National</p> <p>Annual</p>
SL3	<p>Service Delivery Years 1 -3:</p> <p>Annual training evaluation report</p> <p>Service Delivery Year 4 through to Service Delivery Year 9 (inclusive):</p> <p>This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive) and instead the requirement to have an annual training evaluation report shall be monitored as a Performance Indicator as set out in</p>	<p>By 30 November each year, the Supplier will have undertaken a training evaluation of the agreed training delivery/ plan/programme for that year.</p>	<p>National</p> <p>Annual</p>

	Schedule 2.1 (Service Requirement), Part 2 of Annex 1: Management Information and Performance Indicators.		
SL4	<p>Number of complaints against HCPs made by claimants after a consultation.</p> <p>Note - this does not include complaints against the decision outcome, it relates specifically to performance of the HCPs.</p>	<p>99.5% of Face to Face consultations conducted will result in no complaints against the HCP.</p> <p>For Service Delivery years 8-9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19. Thereafter:</p> <p>First 12 months BAU delivery - post transition from Schedule 19 arrangements to BAU and Second 12 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>[REDACTED] of cases assessed through telephone assessment, video assessment and face to face assessment will result in no complaints against the HCP.</p>	<p>National</p> <p>Monthly</p>
SL5	<p>Service Delivery Years 1 -3:</p> <p>Number of serious complaints against HCPs after a consultation</p> <p>Service Delivery Year 4 through to Service Delivery Year 9 (inclusive):</p>	<p>No more than 12 consultations per year conducted will result, after having been identified as a serious complaint against an HCP and following investigation, in (f-formal action) outcome.</p>	<p>National</p> <p>Annual target reported monthly</p>

	This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive) and instead the number of serious complaints shall be monitored as a Performance Indicator as set out in Schedule 2.1 (Service Requirement), Part 2 of Annex 1: Management Information and Performance Indicators.		
SL6 - Not used			
SL7	<p>Service Delivery Years 1 -3:</p> <p>Responses required for all enquiries that fall within Paragraphs 43.10 and 43.11 of the Service Requirement must be provided within the response time agreed with the Authority for that enquiry</p> <p>Service Delivery Year 4 through to Service Delivery Year 9 (inclusive):</p> <p>This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive).</p>	100% of response to enquiries that fall within Paragraphs 43.10 and 43.11 of the Service Requirement must be answered in full within the response time agreed with the Authority for that enquiry.	No Reporting Required

SL8	Claimant Additional Requirements	<p>95% of Additional Requirements requests must be met.</p> <p>For Service Delivery Years 8 - 9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19. Thereafter:</p> <p>First 12 months BAU delivery post transition from Schedule 19 arrangements to BAU and Second 12 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>[REDACTED] of Additional Requirements requests must be met For the purposes of this Service Level, “Additional Requirements” means same sex HCP and interpreter.</p> <p>As an exception the Supplier shall measure achievement of the Service Level as follows: that if the assessment is performed, any Additional Requirements shall be deemed to have been satisfied in accordance with the Service Level, until the Parties agree how to introduce a measurement that more accurately reflects this requirement.</p> <p>From June 2015 onwards “Additional Requirements” for the purposes of this Service Level shall include any call</p>	<p>BSC, National</p> <p>Monthly.</p>
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		<p>recording requirement.</p> <p>The Parties have reviewed SL8 with the aim of defining a new measure that provides assurance that Claimants with Additional Requirements are not required to wait for a longer period of time to be assessed compared to other Claimants, including defining any associated management information and IT system changes. Following completion of the review, both Parties agreed that SL8, as set out in CV 298, will continue to apply and targets will remain unchanged.</p>	
SL9	Payment of travelling expenses to Claimants	<p>From March 2015 to 11th October 2015:</p> <p>90% of claims for travelling expenses to be paid into a bank account which are properly due to Claimants must be input accurately and appropriately into the relevant IT system within 9 Working days of receipt by the Supplier</p> <p>From 12th October 2015 (subject to Paragraph 10.33 of Schedule 2.1):</p> <p>100% of claims for travelling requiring payment which are properly due to Claimants must have payment issued direct to a bank account or by issuing cheques (excluding Girocheques) within 10 Working Days of receipt by the Supplier</p>	BSC National Monthly.

		<p>For Service Delivery Years 8 - 9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19. Thereafter</p> <p>First 12 months BAU delivery post transition from Schedule 19 arrangements to BAU and Second 12 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>[REDACTED] of claims for travelling requiring payment which are properly due to Claimants must have payment issued direct to a bank account or by issuing cheques (excluding Girocheques) within 10 Working Days of receipt by the Supplier</p>	
SL10	<p>Previous DNA Cases</p> <p>Provide priority booking for Previous DNA Cases where the Claimant had good cause for not attending</p>	<p>100% of previous DNA cases where FE is NOT required where the Claimant had good cause for not attending must have an appointment arranged within 10 Working Days of receipt from the Authority</p> <p>100% of previous DNA cases where FE is required where the Claimant had good cause for not attending must have an appointment arranged within 25 Working Days of receipt from the Authority</p> <p>Service Delivery Years 8 - 9</p>	<p>National, Monthly (report only by WCA type (i.e. ESA, IBR) not for Service Level measurement purposes)</p>

		<p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19. Thereafter:</p> <p>First 12 months BAU delivery post transition from Schedule 19 arrangements to BAU and Second 12 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>[REDACTED] of previous DNA cases where FE is NOT required where the Claimant had good cause for not attending must have an appointment arranged within 10 Working Days of receipt from the Authority</p>	
SL11	Claimant satisfaction rate in independently commissioned survey relating to the quality of service provided and claimant experience.	<p>Claimant satisfaction rate to be at least:</p> <p>89% - Service Delivery Year 1</p> <p>90% - Service Delivery Year 2</p> <p>91% - Service Delivery Year 3</p> <p>92% - Service Delivery Year 4</p> <p>92% - Service Delivery Year 5 through to Service Delivery Year 7 (inclusive).</p> <p>The Parties have reviewed the customer satisfaction</p>	National, BSC, Annual

		<p>questionnaire and against the options presented have agreed that the existing CY4 customer satisfaction questionnaire and SL11 Target Service Level of 92% shall remain in force for CY5. The Supplier shall co-operate with the Authority in the review, amendment and agreement of the customer satisfaction questionnaire and agreement of any new target and will not unreasonably delay or withhold its co-operation in such review, a</p> <p>Service Delivery Years 8 - 9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19 Thereafter:</p> <p>First 6 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>Claimant Satisfaction rate to be at least [REDACTED]</p> <p>Following 18 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>Claimant Satisfaction rate to be at least [REDACTED]</p>	
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SL12	<p>Service Delivery Years 1 -3:</p> <p>Completed WCA by Paper Based Review or Face to Face consultation - regional floors</p> <p>Service Delivery Year 4 through to Service Delivery Year 9 (inclusive):</p> <p>This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive) with the monitoring of such targets now covered by SC4(b).</p>	<p>Wales: Year 1: [REDACTED]; Each of Years 2 and 3: [REDACTED]</p> <p>Scotland: Year 1: [REDACTED]; Each of Years 2 and 3: [REDACTED]</p> <p>North East: Year 1: [REDACTED]; Each of Years 2 and 3: [REDACTED]</p> <p>North West: Year 1: [REDACTED]; Each of Years 2 and 3: [REDACTED]</p> <p>The Parties agree that the SL12 Target Service Levels for Year 3 will be set following a review by both Parties acting reasonably and with the final determination resting with the Authority acting reasonably of the regional proportions of the outstanding cases (Head of Work) and such SL12 Target Service Levels shall be set by end of February 2017 for Year 3.</p>	Region
SL13	<p>Service Delivery Years 1 -3:</p> <p>Face to Face Consultation waiting time - *excluding claimants sent home unseen</p> <p>Service Delivery Year 4 through to Service</p>	<p>Supplier location consultations:</p> <p>Service Delivery Year 1: Not applicable</p> <p>Service Delivery Year 2: for the months of March 2016 to the end of August 2016, 78% of claimants to be seen within 30 minutes of their appointment time, for the months of</p>	<p>National, BSC</p> <p>Performance calculated across all assessments combined</p>

	<p>Delivery Year 9 (inclusive):</p> <p>This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive) with the monitoring of such targets now covered by SC12.</p>	<p>September 2016 to February 2017, 82% of claimants to be seen within 30 minutes of their appointment time</p> <p>Service Delivery Year 3: for the months of March 2017 to the end of August 2017, 85% of claimants to be seen within 30 minutes of their appointment time, for the months of September 2017 to end of February 2018, 90% of claimants to be seen within 30 minutes of their appointment time</p>	Monthly
SL14	<p>Service Delivery Years 1 -3:</p> <p>Psychiatrist Reports on behalf of Foreign Authorities - International Pensions & Benefits</p> <p>Service Delivery Year 4 through to Service Delivery Year 9 (inclusive):</p> <p>This Service Level is not used in Service Delivery Year 4 through to Service Delivery Year 9 (inclusive) and instead the number of such psychiatrist reports shall be monitored as a Performance Indicator as set out in Schedule 2.1 (Service Requirement), Part 2 of Annex 1: Management Information and Performance Indicators.</p>	<p>100% cleared within 49 days</p> <p>Referral excluded from this measurement when: MDG specialist psychiatrist does not return recommendation within 43 days of receipt, and/or customer's UTA/DNA allowances combined with statutory requirements for notice of appointments cause referral to age over required timeframes</p>	National, Monthly

SL15	<p>Speed of WCA Face to Face assessment clearance for new claims referrals (ESA and UC)</p> <p>This is a new Service Level for Service Delivery Year 4 and Service Delivery Year 5</p> <p>SL15 shall not apply to Service Delivery Years 6 to Service Delivery Year 9 (inclusive) and is replaced in Service Delivery Years 6 to Service Delivery Year 9(inclusive) with SC14.</p> <p>SL15 consists of 2 individual Subsidiary Service Levels, each with an associated Subsidiary Service Level Failure.</p>	<p>(i) 80% of WCA Initial Referrals to be cleared in 36 Working Days from the SL15 Start Date to the SL15 End Date.</p> <p>Where:</p> <p>SL15 End Date means the Referral Cleared Date.</p> <p>SL15 Start Date means in respect of all S referrals (which includes ED referrals and S referrals resulting from spawned Q referrals where a Terminally Ill referral is made but the Claimant is not Terminally Ill), the Created Date of the S referral, unless there is a supporting case file associated with the referral, in which case the KPI Start Date will be the date on which when the supporting case file has been received, if this is later than the Created Date.</p> <p>WCA Initial Referrals means each of the following:</p> <ul style="list-style-type: none"> • ESA LCWRA Initial Referrals • ESA New Claims Previous DNA referrals • ESA New Claims • ESA Terminally Ill Referrals • UC Terminally Ill Referrals • UC New Claims • UC New Claims Previous DNA referrals • UC LCWRA Initial Referrals. <p>The monthly system report “DWP0140 WCA New Claims Clearance Times” will be used for reporting SL15(i) (a sample of which is embedded in CV335) the rules of which have been agreed by the Parties. Any changes to the rules underpinning “DWP0140 WCA New Claims Clearance Times” will be agreed via a Change Request.</p> <div data-bbox="819 892 1066 1064" data-label="Image"> <p>1. Example DWP0140 WCA New.</p> </div> <p>[EMBEDDED DOCUMENT REMOVED]</p> <p>The Authority confirms that it will suspend the application of the Rectification Plan Process in respect of SL15(i) as set out in Clause 7.4 of the Agreement during the period from 1 March 2018 to 31 August 2018. For the avoidance of doubt, the Rectification Plan Process will apply if the Supplier fails to meet SL15(i) in respect of July 2018 and/or August 2018 and such failure counts towards failure of a Subsidiary Service Level Failure in any three consecutive Service Periods.</p> <p>(ii) A monthly profile has been agreed by the Parties as follows:</p> <ol style="list-style-type: none"> WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 16% of all WCA Initial Referrals after the relevant SL15 Start Date as at 31 March 2018; WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 12% of all WCA Initial Referrals after the relevant SL15 Start Date as at 30 April 2018; WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 10% of all WCA Initial Referrals after the relevant SL15 Start Date as at 31 May 2018; 	National, Monthly
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		<p>d) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 8% of all WCA Initial Referrals after the relevant SL15 Start Date as at 30 June 2018;</p> <p>e) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 7% of all WCA Initial Referrals after the relevant SL15 Start Date as at 31 July 2018</p> <p>f) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 6% of all WCA Initial Referrals after the relevant SL15 Start Date as at 31 August 2018;</p> <p>g) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 5% of all WCA Initial Referrals after the relevant SL15 Start Date as at 30 September 2019;</p> <p>h) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 4% of all WCA Initial Referrals after the relevant SL15 Start Date as at 31 October 2018;</p> <p>i) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 3% of all WCA Initial Referrals after the relevant SL15 Start Date as at 30 November 2018;</p> <p>j) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 2% of all WCA Initial Referrals after the relevant SL15 Start Date as at 31 December 2018;</p> <p>k) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 2% of all WCA Initial Referrals after the relevant SL15 Start Date as at 31 January 2019; and</p> <p>l) WCA Initial Referrals over 60 Working Days from the SL15 Start Date will be no more than 1% of all WCA Initial Referrals after the relevant SL15 Start Date as at, and from, 28 February 2019.</p> <p>The monthly system report "DWP0145 WCA New Claims Outstanding Age Report" will be used for reporting SL15(ii) (a sample of which is embedded in CV335) the rules of which have been agreed by the Parties. Any changes to the rules underpinning "DWP0145 WCA New Claims Outstanding Age Report" will be agreed via a Change Request.</p> <div data-bbox="824 812 1079 981" data-label="Image"> </div> <p>[EMBEDDED DOCUMENT REMOVED]</p> <p>For the avoidance of doubt, the suspension of the Rectification Plan Process in respect of SL15(i) from 1 March 2018 to 31 August 2018 will not apply to SL15(ii).</p>	

SL16	<p>Cancellation of Appointments: Claimant appointments cancelled by the Supplier and Other</p> <p>There are 5 categories of cancellations which are “Authority”, “Claimants”, “MSRS”, “Supplier” and “Other”. SL16 shall apply to only “Supplier” and “Other”.</p> <p>This is a new Service Level for Service Delivery Year 4 through to Service Delivery Year 9 (inclusive).</p> <p>Note: SL16 applies to all Face to Face assessments</p>	<p>The Parties have agreed that SL16 shall measure the following:</p> <p>For Service Delivery Year 4:</p> <p>For the months of March 2018 to May 2018 (inclusive) no more than 13% of all customer appointments cancelled by the Supplier and Other in a relevant month</p> <p>For the months of June 2018 to August 2018 (inclusive) no more than 12% of all customer appointments cancelled by the Supplier and Other in a relevant month</p> <p>For the months of September 2018 to November 2018 (inclusive) no more than 11% of all customer appointments cancelled by the Supplier and Other in a relevant month</p> <p>For the months of December 2018 to February 2019 (inclusive) no more than 10% of all customer appointments cancelled by the Supplier and Other in a relevant month.</p> <p>The monthly system report “DWP0160 Appointment Cancellation Volume” will be used for reporting SL16 (a sample of which is embedded in CV335) the rules of which have been agreed by the Parties. Any changes to the rules underpinning “DWP0160 Appointment Cancellation Volume” will be agreed via a Change Request.</p> <div data-bbox="891 842 974 927" data-label="Image"> </div> <p>3. Example DWP0160 Appointment</p> <p>For the Months of March 2019 to August 2019 (inclusive) no more than 10% of all customer appointments cancelled by the Supplier and Other in a relevant Month.</p> <p>For the Months of September 2019 to 31st July 2021 (inclusive) no more than 9% of all customer appointments cancelled by the Supplier and Other in a relevant Month.</p> <p>Service Delivery Years 8 - 9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year Thereafter:</p> <p>First 6 months BAU delivery post transition from Schedule 19 arrangements to BAU No more than [REDACTED] of all customer appointments cancelled by the Supplier and Other in a relevant Month.</p>	National, Monthly
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Table 2 - Service Levels that attract Service Credits

Please note that all references to “days” this table are references to Working Days and all references to “Year” are references to 12 month periods starting on the Operational Services Commencement Date and each subsequent anniversary of the Operational Services Commencement Date.

Quality - Service Levels (Service Credits)

SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA/AA	Veterans UK	Other		
QUALITY										
SC1	Quality of assessments derived from the audit of all assessment reports	<p>Service Delivery</p> <p>Years 1 -3:</p> <p>95% or more reports in each month of Service Delivery Years 1 to 3 deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>Service Delivery Year 4 :</p> <p>95% or more reports in each Month of Service Delivery Year 4 deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>Service Delivery Year 5:</p>	<p>National, Regional,</p> <p>By WCA Assessment Type = ESA, UC, IBR</p> <p>All benefits reported separately</p> <p>Performance calculated on 5 service lines given</p>	✓	✓	✓	✓	<p>✓</p> <p>This includes all assessments not separately identified i.e. CTF Audit, FAS Advice, IR SSP/SMP, Overseas Audit, VDP Advice Audit, 100% Audits and any other benefit not included in other columns.</p>	Monthly	<p>WCA Audit to be carried out by the AA Auditors as set out in Schedule 2.2 “Performance Levels”, Paragraph 5.</p> <p>The Parties agree that the May 2015 result as calculated in accordance with the Assessment assurance Change Variation CV003, shall also be deemed to be the result for March 2015 and April 2015</p> <p>By 31 August 2018, the Parties will agree in writing the final measure and</p>

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		<p>95% or more reports in each Month of Service Delivery Year 5 deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>Service Delivery Years 6</p> <p>For WCA and IIB: 95% or more reports in each month of relevant Service Delivery Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p>								<p>associated target to measure the quality of WCA assessments. Should the measure change, any new measure will take effect during Service Delivery Year 4.</p> <p>The Supplier shall co-operate with the Authority in the development, agreement and implementation of the replacement SC1 and will not unreasonably delay or withhold its co-operation in such development, agreement and implementation.</p>
		<p>For Veterans UK: 96% or more reports in each month of the relevant Service Delivery Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>For DLA/AA: 97% or more reports in each month of the relevant Service Delivery Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>For Other: 96% or more reports in each month of the relevant Service Delivery</p>		✓	✓	✓	✓	✓		

		<p>Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>Note: Risk Cases performed during the Risk Review Period shall be excluded from the sample used to measure this Service Level.</p> <p>Service Delivery Years 8 - 9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19. Thereafter:</p> <p>First 12 months BAU delivery post transition from Schedule 19 arrangements to BAU and Second 12 months BAU delivery post transition from Schedule 19 arrangements to BAU</p>								
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		<p>For WCA and IIB: 95% or more reports in each month of relevant Service Delivery Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>For Veterans UK: 96% or more reports in each month of the relevant Service Delivery Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>For DLA/AA: 97% or more reports in each month of the relevant Service Delivery Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p> <p>For Other: 96% or more reports in each month of the relevant Service Delivery Year deemed as acceptable or acceptable without significant learning points (grades A and B).</p>								
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SC No	SLA	Target Service Levels	Proposed reporting Level	Benefit					Duration for SC	Notes
				Any subdivisions in the benefit are defined in the relevant SLA's.						
				WCA	IIB	DLA / AA	Veterans UK	Other		
SC2	Quality of assessments derived from the audit of all assessment reports	<p>Service Delivery Years 1 -3:</p> <p>% Percentage of reports in each month of Service Delivery Years 1 to Year 3 deemed as acceptable without significant learning points (grade A), is equal to or greater than the percentage indicated in the Benefit Column for each benefit.</p> <p>Service Delivery Year 4:</p> <p>% Percentage of reports in each Month of Service Delivery Year 4 deemed as acceptable without significant learning points (grade A), is equal to or greater than the percentage indicated in the Benefit Column for each benefit).</p> <p>Service Delivery Year 5:</p> <p>% Percentage of reports in each Month of Service Delivery Year 5 deemed as acceptable without significant learning points (grade A), is equal to or greater than the percentage</p>	<p>National, Regional</p> <p>By WCA Assessment Type = ESA, UC, IBR</p> <p>All benefits reported separately</p> <p>Performance calculated on 5 service lines given</p>	<p>✓</p> <p>59.5 % -Y1</p> <p>65% - Y2</p> <p>70%- Y3</p> <p>72% - Y4</p> <p>72%- Y5</p> <p>73%- Y6</p> <p>73%- Y7</p>	<p>✓</p> <p>70%- Y1 and Y2</p> <p>75% -Y3</p> <p>75% -Y4</p> <p>75% -Y5</p> <p>75%- Y6</p> <p>75%- Y7</p>	<p>✓</p> <p>70%- Y1 and Y2</p> <p>75% -Y3</p> <p>75% -Y3</p> <p>75% -Y4</p> <p>75% -Y5</p> <p>80% -Y6</p> <p>80%- Y7</p>	<p>✓</p> <p>57.9%- Y1</p> <p>63%- Y2</p> <p>68%- Y3</p> <p>68% -Y4</p> <p>68% -Y5</p> <p>70% -Y6</p>	<p>✓</p> <p>70%</p> <p>Y1 and Y2</p> <p>75% Y3</p> <p>75% -Y4</p> <p>This includes all assessments not separately identified</p> <p>i.e. CTF Audit, FAS Advice, IR SSP/SMP, Overseas Audit, VDP Advice Audit, 100% Audits and any other benefit not included in other columns</p> <p>75% -Y5</p> <p>76% -Y6</p> <p>76%- Y7</p>	Monthly	<p>WCA Audit to be carried out by the AA Auditors as set out in Schedule 2.2 “Performance Levels”, Paragraph 5.</p> <p>The Parties agree that the May 2015 result as calculated in accordance with the Assessment assurance Change Variation CV003, shall also be deemed to be the result for March 2015 and April 2015</p> <p>By 31 August 2018, the Parties will agree in writing the final measure and associated target to measure the quality of WCA assessments. Should the measure change, any new measure will take effect during Service Delivery Year 4.</p> <p>The Supplier shall co-operate with the Authority in the development, agreement and</p>

		<p>indicated in the Benefit Column for each benefit).</p> <p>Note: Risk Cases performed during the Risk Review Period shall be excluded from the sample used to measure this Service Level.</p> <p>Service Delivery Year 6 and 7</p> <p>% Percentage of reports in each month of Service Delivery Years 6 to 7 (inclusive) deemed as acceptable without significant learning points (grade A), is equal to or greater than the percentage indicated in the Benefit Column for each benefit)</p> <p>Service Delivery Years 8 - 9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19. Thereafter:</p> <p>First 12 months BAU</p>								<p>implementation of the replacement SC2 and will not unreasonably delay or withhold its co-operation in such development, agreement and implementation.</p>
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		<p>delivery post transition from Schedule 19 arrangements to BAU and Second 12 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>% Percentage of reports in each month deemed as acceptable without significant learning points (grade A), is equal to or greater than:</p> <p>WCA - 74%</p> <p>IIB - 75%</p> <p>DLA and AA - 82%</p> <p>Vets UK - 70%</p> <p>Other - 76%</p>								
SC3	Re-work of assessment reports deemed not fit for purpose	<p>Service Delivery Year 1 - 99% of reports in each month are compliant and don't require Re-work</p> <p>Service Delivery Year 2 - 99.25% of reports in each month are compliant and do not require Re-work</p> <p>Service Delivery Year 3 - 6</p>	<p>BSC</p> <p>All benefits reported separately</p> <p>Performance calculated across all assessments</p>	✓	✓	✓	✓		Monthly	Fit for purpose reports are defined in Paragraph 38.2 of Schedule 2.1 (Service Requirements)

		<p>99.5% of reports in each month are compliant and do not require Re-work</p> <p>Service Delivery Years 1-7 - Note 1: excludes rework resulting from Audit assurance and rework for non-Supplier cleared cases.</p> <p>For Risk Cases performed during the Risk Review Period, rework during the Risk Review Period will be excluded from the measurement of SC3.</p> <p>Service Delivery Years 8 - 9</p> <p>Service Delivery Year 8 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19 Thereafter:</p> <p>First 12 months BAU delivery post transition from Schedule 19 arrangements to BAU and Second 12 months BAU</p>	combined							
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		<p>delivery post transition from Schedule 19 arrangements to BAU</p> <p>99.5% of reports in each month are compliant and do not require Re-work</p> <p>- Note 1: excludes rework resulting from Audit assurance and rework for non-Supplier cleared cases.</p>								
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Volume - Service Levels (Service Credits)

SC No	SLA	Target Service Levels	Reporting Level	Benefit					Duration for SC	Notes
				Any subdivisions in the benefit are defined in the relevant SLA's.						
				WCA	IIB	DLA/AA	Veterans UK	Other		
VOLUMES AND SPEED OF CLEARANCE										
SC4a (i)	Completed WCA by Paper Based Review (Service Delivery Year 1 only)	[REDACTED]	National , Regional Group	✓					Monthly (A)	
SC4a (ii)	Completed WCA by Face to Face consultation (Service Delivery Year 1 only)	[REDACTED]	Regional						Monthly (A)	

SC4a	Completed WCA by Face to Face consultation only	<p>Year 2 - [REDACTED]Face to Face Assessments</p> <p>Year 3 - [REDACTED]Face to Face Assessments</p> <p>Year 4 - [REDACTED]Face to Face Assessments</p> <p>Year 5 - [REDACTED]Face to Face Assessments</p> <p>Year 6 - [REDACTED] Face to Face Assessments</p> <p>Year 7 - .[REDACTED]Face to Face Assessments</p> <p>Year 8 - [REDACTED]Face to Face Assessments</p> <p>Year 9 - [REDACTED]Face to Face Assessments</p>	National , Regional Group	✓					Monthly (A)	
SC4 b	Completed WCA by Paper-Based Review or Face to Face consultation - Regional Floor Service Delivery Years 7 - 9	<p>Central:</p> <p>Year 1: [REDACTED]Each of Years 2 and 3: [REDACTED]</p> <p>Year 4: [REDACTED]</p> <p>Year 5: [REDACTED]</p> <p>Year 6: [REDACTED]</p> <p>London and Home Counties:</p> <p>Year 1: [REDACTED]</p> <p>Each of Years 2 and 3: [REDACTED]</p> <p>Year 4 :[REDACTED]</p> <p>Year 5 : [REDACTED]</p>	Regional						Monthly (A)	

Service Delivery Year 7 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19 Thereafter: First 12 months BAU delivery post transition from Schedule 19 arrangements to BAU and second 12 months BAU delivery post transition from schedule 19 - Regional Floor targets to be	Year 6: [REDACTED] Southern Year 1: [REDACTED] Each of Years 2 and 3: [REDACTED] Year 4 : [REDACTED] Year 5 : [REDACTED] Year 6: [REDACTED] North East: Year 4: [REDACTED] Year 5:[REDACTED] Year 6 [REDACTED] North West: Year 4: [REDACTED] Year 5: [REDACTED] Year 6 [REDACTED] Scotland: Year 4 : [REDACTED] Year 5 : [REDACTED] Year 6 [REDACTED] Wales: Year 4 : [REDACTED] Year 5 : [REDACTED] Year 6 [REDACTED]									
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	agreed as part of BAU transition Plan									
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SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA/ AA	Veterans UK	Other		

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SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA/ AA	Veterans UK	Other		
		<p>Each of Service Delivery Year 2 and 3:</p> <p>The Parties agree that the Regional Floor targets of Years 2 and 3 will be set following a review by both Parties acting reasonably and with the final determination resting with the Authority acting reasonably of the regional proportions of the outstanding cases (Head of Work) and such Regional Floors shall be set by December 2015 for Year 2 and December 2016 for Year 3</p>								

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SC No	SLA	Target Service Levels	Reporting Level	Benefit					Duration for SC	Notes
				Any subdivisions in the benefit are defined in the relevant SLA's.						
				WCA	IIB	DLA/ AA	Veterans UK	Other		
		<p>Each of Service Delivery Year 4 and 5:</p> <p>The Parties have agreed the Regional Volume Service Level targets for Service Delivery Year 4 and 5, respectively. The Parties will perform, acting reasonably, a review of the Regional Volume Service Level targets by December 2018 for Service Delivery Year 5 taking into account the regional geographical distribution in the previous year.</p>								

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SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA/ AA	Veterans UK	Other		
		Each of Service Delivery Year 6 and 7: The Parties have agreed the Regional Volume Service Level targets for Service Delivery Year 6 and 7, respectively. The Parties will perform, acting reasonably, a review of the Regional Volume Service Level targets by December 2019 taking into account the regional geographical distribution in the previous year.								

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SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA/ AA	Veterans UK	Other		
		<p>The Parties will agree Regional Volume Level Targets for both the First and Second 12 months BAU delivery post transition from Schedule 19 arrangements to BAU Acting reasonably and in good faith, the Parties will review the Second 12 month Regional Volume Service Level targets three months prior to the commencement of that second year of BAU delivery taking into account the regional geographical distribution in the previous year.</p> <p>∴</p>								

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SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA/AA	Veterans UK	Other		
SC5	Terminally Ill (TI) cases end to end assessment process	99% cleared within 2 days with Exceptions 100% cleared within 5 days with Exceptions	National, Regional, Group, and by WCA Assessment Type = ESA, UC, IBR	✓ (UC to be done clerically)					Monthly (Q)	Day 1 is day after day of receipt of the referral.
SC6	Advice including DLA/AA TI	99% Cleared within 1 Day with Exceptions 100% Cleared within 2 Days with Exceptions	National, and by WCA Assessment Type = ESA, UC, IBR			✓		✓ (JSA)	Monthly (Q)	Day 1 is day after day of receipt of the referral

SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA / AA	Veterans UK	Other		
SC7	Speed of Clearance Target	<p>100% of referrals cleared by the Clearance Target for the relevant benefit type in accordance with Table 3 below.</p> <p>SC7 consists of 19 individual service target levels with associated Service Credits in accordance with Table 3 below.</p>	<p>By Region for WCA, and BSC for IIB, DLA, & Veterans UK National for all others benefit</p> <p>Performance calculated on 5 service lines given</p>		✓	✓	✓	✓	Monthly (Q)	Day 1 is day after day of receipt of the referral

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SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA / AA	Veterans UK	Other		
SC8	Old cases - referrals that have not been cleared within the Clearance Target as defined in Table 3, SC5 and SC6	SC applied every 10 days that a case is outstanding starting on the day after the 100% Target Service Level in SC5, SC6 and SC7 has been missed.	National for all benefits, Group for WCA Assessment Type = ESA, UC Performance calculated on 5 service lines given	✓	✓	✓	✓	✓	Monthly	

SC No	SLA	Target Service Levels	Reporting Level	Benefit Any subdivisions in the benefit are defined in the relevant SLA's.					Duration for SC	Notes
				WCA	IIB	DLA / AA	Veterans UK	Other		
SC9	Re-work of assessment reports deemed not fit for purpose. Original Assessment - Paper Based Review or Consultations	<p>74% cleared within 2 days- no Exceptions allowed</p> <p>98% cleared within 2 days, with Exceptions, for Service Delivery Years 2 through to Service Delivery Year 9 (inclusive)</p> <p>100% cleared within 4 days</p> <p>Service Delivery Years 1 - 3:</p> <p>Note 1 - Exception allowed where outside the control of the Supplier (further evidence that cannot be gathered by phone and / or new F2F required) but exceptions regarding HCP unavailability not</p>	<p>National for all benefits, Region for WCAs, by Assessment Type by WCA Assessment Type = ESA, UC</p> <p>Performance calculated in two groups, group 1=WCA</p> <p>Group 2= IIB, Veterans UK and Other</p>	✓	✓	✓	✓	✓	Monthly (Q)	Day 1 is day after day of receipt of the referral

		<p>allowed i.e. a different HCP can be used if the HCP responsible for the original report is not available</p> <p>Note 2 - if the targets for SC9 are not met in respect of the Risk Review Period, and the Supplier can demonstrate, with evidence reasonably required by the Authority, that this is a direct result of Risk Cases then to that extent only, the Parties shall agree the appropriate adjustment to the performance measure to reflect the impact of the risk guidance.</p> <p>Service Delivery Years 4 and 5:</p> <p>Note 1 - Exception allowed where a new F2F is required and only in circumstances where the Supplier can demonstrate that it has completed the arrangement of an appointment within 4</p>								
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		<p>days of receipt of the case from the Authority (it being acknowledged that the appointment itself may not be within such 4 days) but exceptions regarding HCP unavailability not allowed i.e. a different HCP can be used if the HCP responsible for the original report is not available.</p> <p>Exception allowed for Vets UK Audiology and Vets UK Specialist/Consultant cases where the report has to be referred back to the audiologist/specialist/consultant and is reworked and returned to the Authority within 7 days of receipt from the Authority or, if requiring re-examination, a new examination appointment is arranged with the Claimant within 7 days of receipt from the Authority (it being acknowledged that the appointment itself may</p>								
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		not be within 7 days)								
		<p>performance measure to reflect the impact of the risk guidance.</p> <p>Service Delivery Years 4 through to Service Delivery Year 9 (inclusive):</p> <p>Note 1 - Exception allowed where a new F2F is required and only in circumstances where the Supplier can demonstrate that it has completed the arrangement of an appointment within 4 days of receipt of the case from the Authority (it being acknowledged that the appointment itself may not be within such 4 days) but exceptions regarding HCP unavailability not allowed i.e. a different HCP can be used if the HCP responsible for the original report is not available.</p>		✓	✓	✓	✓	✓		
		Exception allowed for Vets UK Audiology and		✓	✓	✓	✓	✓		

		Vets UK Specialist/Consultant cases where the report has to be referred back to the audiologist/specialist/consultant and is reworked and returned to the Authority within 7 days of receipt from the Authority or, if requiring re-examination, a new examination appointment is arranged with the Claimant within 7 days of receipt from the Authority (it being acknowledged that the appointment itself may not be within 7 days)								
SC10	Rework of assessment reports deemed not fit for purpose - Original Assessment - DLA /AA Advice	98% Cleared within 1 day 100% Cleared within 2 days	National			✓			Monthly (Q)	Day 1 is day after day of receipt of the referral Includes providing written or telephone advice.

Customer Service - Service Levels (Service Credits)

No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
CUSTOMER EXPERIENCE - APPLIES TO ALL SERVICE LINES					
SC11	Claimant call waiting time	<p>Yr 1 and Year 2:</p> <p>94.15 % of calls from Claimants to be answered on average within 1 minute 15 seconds: in total, 90% of Claimant's calls to be answered.</p> <p>Year 3 to 9 (inclusive):</p> <p>(a) answer calls from Claimants within an average of 75 seconds:</p> <p>in total, 90% of Claimant calls to be answered.</p>	<p>National</p> <p>Performance calculated across all assessments combined</p>	Monthly (Q)	With the introduction of the new VCC IT infrastructure, the Parties will work together to review a new SC11 measure and associated target. If agreed, the Supplier will co-operate with the Authority in the review, agreement and development of this Change no later than 31 December 2019, provided that such new VCC IT infrastructure is operational and in working order. Both Parties shall act reasonably in such review, agreement or development. If the new measure and associated target is agreed, the Change to SC11 will be implemented by Contract Variation.
SC12	Face to Face Consultation waiting time - *excluding claimants sent home unseen	<p>Service Delivery Year 1 - 3:</p> <ul style="list-style-type: none"> Supplier location consultations - Yr 1: 82% of all claimants to be examined within 45 	<p>National, BSC</p> <p>Performance calculated across all assessments combined</p>	Monthly (Q)	

No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
		<p>minutes of their appointment time. Yr 2 from 1 March 2016 to 31 August 2016, 85% of all claimants to be examined within 45 minutes of their appointment time, from 1 September 2016 to 28 February 2017, 88% of all claimants to be examined within 45 minutes of their appointment time Yr 3: from 1 March 2017 to 31 August 2017, 89% of all Claimants to be seen within 45 minutes of their appointment time, from 1 September 2017 to 28 February 2018, 90% of all Claimants to be examined within 45 minutes of their appointment time</p> <ul style="list-style-type: none"> • Visits to Claimants - 90% of claimants to be examined within their 			

No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
		<p>appointment timeslot This SC shall be implemented and become applicable as soon as practical allowing for the system changes agreed by the Parties</p> <p>Service Delivery Year 4 through to Service Delivery Year 6 (inclusive):</p> <p>Supplier location consultations:</p> <ul style="list-style-type: none"> from 1 March 2018 to 31 August 2018, 80% of all claimants to be examined within 30 minutes of their appointment time from 1 September 2018 to 28 February 2019, 81% of all claimants to be examined within 30 minutes of their appointment time from 1 March 2019 to 28 February 2020, 82% 			

No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
		<p>of all claimants to be examined within 30 minutes of their appointment time</p> <p>Service Delivery Years 7 - 9</p> <p>Service Delivery Year 7 - Schedule 19 to operate for some/all of the Year until completion of transition to BAU in accordance with Schedule 19 Thereafter:</p> <p>First 6 months BAU delivery post transition from Schedule 19 arrangements to BAU</p> <p>82% of all claimants to be examined within 30 minutes of their appointment time</p> <p>The Parties agree to a Review Point at 6 months of BAU delivery to drive continuous improvement and with a view to improving the 82% target.</p>			

No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
SC13	<p>Claimants sent home unseen where the cause is a Supplier act or omission including, but not limited to:-</p> <p>1C - Client arrived on time but wouldn't wait >30 mins 1F - No of Clients attended exceeds medical capacity 2A - Client called in error (non IB/ESA) 2F - HCP Unavailable 3A - File not at MSEC 3F - HCP did not attend for the session 4A - Same gender not provided 5A - Interpreter not provided</p> <p>From 1 June 2015 onwards "call recording not provided" to be added to this SC</p>	<p>Claimants attend their assessment without being Sent Home Unseen:</p> <p>96% - in each month of Year 1</p> <p>97% - in each month of Year 2</p> <p>98% - in each month of Year 3</p> <p>98% - in each month of Year 4</p> <p>98% - in each month of Year 5</p> <p>98% - in each month of Year 6</p> <p>98% - in each month of Year 7</p> <p>98% - in each month of Year 8</p> <p>98% - in each month of Year 9</p>	<p>National, BSC</p> <p>Performance calculated across all assessments combined</p>	Monthly	<p>Note - this will not apply where on the cause is a Claimant act of omission e.g. Claimant arrives late for their appointment.</p> <p>Supplier to ensure management of overall HCP availability and only under exceptional circumstances should HCP unavailability/non-attendance be provided as mitigation with robust reasoning e.g. HCP sickness</p>

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No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
SC14	<p>Speed of WCA Face to Face assessment clearance for new claims referrals (ESA and UC)</p> <p>This is a new Service Credit for Service Delivery Year 6 to Service Delivery Year 9 (inclusive)</p> <p>SC14 consists of 2 individual Subsidiary Service Levels, each with an associated Subsidiary Service Level Failure.</p>	<p>(i) 80% of WCA Initial Referrals to be cleared in 36 Working Days from the SC14 Start Date to the SC14 End Date.</p> <p>Where:</p> <p>SC14 End Date means the Referral Cleared Date.</p>	National	Monthly	

No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
		<p>SC14 Start Date means in respect of all S referrals (which includes ED referrals and S referrals resulting from spawned Q referrals where a Terminally Ill referral is made but the Claimant is not Terminally Ill), the Created Date of the S referral, unless there is a supporting case file associated with the referral, in which case the KPI Start Date will be the date on which when the supporting case file has been received, if this is later than the Created Date.</p> <p>WCA Initial Referrals means each of the following:</p> <ul style="list-style-type: none"> •ESA LCWRA Initial Referrals •ESA New Claims Previous DNA referrals •ESA New Claims •ESA Terminally Ill Referrals •UC Terminally Ill Referrals •UC New Claims •UC New Claims Previous DNA referrals •UC LCWRA Initial Referrals. <p>The monthly system report “DWP0140 WCA New Claims Clearance Times” will be used for reporting SC14(i) (a sample of which is embedded in CV335) the rules of which have been agreed by the Parties. Any changes to the rules underpinning “DWP0140 WCA New Claims Clearance Times” will be agreed via a Change Request.</p>			

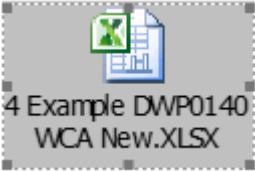
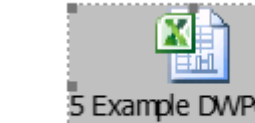
No.	SLA	Target Service Level	Proposed Reporting Level	Duration for SC's	Notes
		 <p>4 Example DWP0140 WCA New.XLSX</p> <p>[EMBEDDED EXCEL DOCUMENT REMOVED]</p> <p>(ii) The Parties have agreed as follows:</p> <p>WCA Initial Referrals over 60 Working Days from the SC14 Start Date to will be no more than 2.5% of all WCA Initial Referrals after the relevant SC14 Start Date as above.</p> <p>The monthly system report “DWP0145 WCA New Claims Outstanding Age Report” will be used for reporting SC14(ii) (a sample of which is embedded in CV335) the rules of which have been agreed by the Parties. Any changes to the rules underpinning “DWP0145 WCA New Claims Outstanding Age Report” will be agreed via a Change Request.</p>			
Schedule 2.2		 <p>5 Example DWP0145</p>			68

Table 3 - Targeted Clearances per assessment type - see SC7 and SC8

All reference to “days” in this table are references to Working Days.

Benefit	Targeted Clearance
Industrial Injuries Benefit (IIB) end to end assessment process PDD3/TI cases	97% cleared within 8 days 100% cleared within 13 days Exception applies as for SC5 and SC6
Industrial Injuries Benefit (IIB) end to end assessment process Advice & Face to Face consultations (including PD A11 test) (excluding TI cases)	<u>Yr 1</u> 60% cleared within 22 days- no Exceptions 70% within 22 days with Exceptions 95% within 44 days- no Exceptions 100% cleared within 44 days, with Exceptions <u>In Yr 2</u> March - 80% within 22 days with Exceptions; April - 80% within 22 days with Exceptions; May - 80% within 22 days with Exceptions; June - 85% within 22 days with Exceptions;

Benefit	Targeted Clearance
	<p>July - 90% within 22 days with Exceptions;</p> <p>August and for each subsequent month during Service Delivery Year 2:</p> <p>95% cleared within 22 days with Exceptions</p> <p>100% cleared within 44 days with Exceptions</p> <p>In Yr 3 to 9 (inclusive)</p> <p>95% cleared within 22 days with Exceptions 100% cleared within 44 days with Exceptions</p> <p>Exceptions:</p> <p>Referrals will be excluded from SC measurement if FE is required and cannot be obtained within required timeframes when there is evidence that the Supplier has followed agreed Service Guidance for the chasing of such IIB FE, as appropriate to the circumstances of the case and/or Claimant UT/DNA allowances cause case to age beyond the 100% target.</p>
Disability Living Allowance/Attendance Allowance Face-to-face consultations	<p>95% cleared within 22 days</p> <p>100% cleared within 24 days</p>
Veterans UK - EMP's	<p>Y1</p> <ul style="list-style-type: none"> • 50% within 14 days with no Exceptions • 64% within 14 days with Exceptions • 76% within 24 days, no Exceptions • 100% cleared within 24 days with Exceptions

Benefit	Targeted Clearance
Veterans UK: Audiology	<p>Y2 to Y9 (inclusive)</p> <ul style="list-style-type: none"> 75% cleared within 14 days with Exceptions 100% cleared within 24 days with Exceptions <p>Exceptions: Referrals will be excluded from SC measurement if the Claimant UT/DNA allowances cause case to age beyond the 100% target.</p> <p>94% cleared within 20 days (Primary Target)</p> <p>100% cleared within 29 days (Secondary Target)</p> <p>In respect of referrals received before 1st March 2017, referrals excluded from this measurement when: MDG specialist physician does not return recommendation within 14 days of receipt, and/or Claimant UTA/DNA allowances combined with statutory requirements for notice of appointments cause referral to age over required timeframes</p> <p>The following change in definition of Exceptions will apply to referrals made on and after 1 March 2017: referrals excluded from this measurement (SC7 and SC8) when: in respect of CERA (cortical evoked response audiometry) cases, MDG's (or any other Subcontractor's) specialist physician does not return recommendation within 14 days of receipt, and/or Claimant UTA/DNA allowances combined with statutory requirements for notice of appointments cause referral to age over required timeframes.</p> <p>In the event of behaviour by the Veterans Agency themselves, the Supplier and the Authority shall agree on a case by case basis (both Parties acting reasonably) whether that specific referral should be excluded from this measurement.</p>

Benefit	Targeted Clearance
<p>Veterans UK: Specialist Reports and Regional Consultants Reports</p> <p>To include CRU referrals</p>	<p>94% cleared within 33 days (Primary Target)</p> <p>100% cleared within 49 days (Secondary Target)</p> <p>In respect of referrals received before 1st March 2017, referrals excluded from this measurement when: MDG specialist physician does not return recommendation within 27 days of receipt, and/or Claimant UTA/DNA allowances combined with statutory requirements for notice of appointments cause referral to age over required timeframes</p> <p>The following change in definition of exceptions will apply to referrals made on and after 1 March 2017: referrals excluded from this measurement (SC7 and SC8) when: in respect of psychiatric cases, MDG's (or any other Subcontractor's) specialist physician does not return recommendation within 27 days of receipt, and/or Claimant UTA/DNA allowances combined with statutory requirements for notice of appointments cause referral to age over required timeframes.</p> <p>In the event of behaviour by the Veterans Agency themselves, the Supplier and the Authority shall agree on a case by case basis (both Parties acting reasonably) whether that specific referral should be excluded from this measurement.</p>
<p>HMCTS</p> <p>assessments (including HCNs)</p>	<p>95% cleared within 13 days</p> <p>100% cleared within 19 days</p>

Benefit	Targeted Clearance
<p>Others - Paper Based Review</p> <ul style="list-style-type: none"> • Vaccine Damage Payment Scheme • HM Revenue and Customs SSP/SMP • International Pensions & Benefits • Compensation Recovery Scheme • HM Revenue and Customs Child Trust Fund Advice, Junior ISA • Financial Assistance Scheme • Gender reassignment • Excluding CRU referrals which are moved to Vets UK Specialist Reports 	<p>95% cleared within 9 days with Exceptions</p> <p>98.6% within 14 days with no Exceptions</p> <p>100% cleared within 14 days with Exceptions</p> <p>Referrals will be excluded from performance calculation for this service credit when referral is a Vaccine Damage referral and require HWD advice</p>
<p>Others - Face to Face Consultations</p> <ul style="list-style-type: none"> • Vaccine Damage Payment Scheme • HM Revenue and Customs SSP/SMP • International Pensions & Benefits • Age Determination • Occupational Health Assessments 	<p>Y1 70%, Y2 to Y9 (inclusive) 96% cleared within 19 days no Exceptions</p> <p>100% cleared within 29 days no Exceptions</p> <p>It was agreed that DWP will continue to work with the Supplier to ensure that referrals for International Pension and Benefit cases will be referred only after there is agreement of HCP and claimant availability</p> <p>Targets may change if policy rather than operation are demonstrated to be a limiting factor to achievement of these targets</p>

Table 4 - Service Credit Weightings

Service Level Number	Service Level	Relative Weighting
SC1	Quality of assessments derived from the audit of all assessment reports - WCA - IIB - DLA Advice & Consultations - All other	5
SC2	Quality of assessments derived from the audit of all assessment reports - WCA - IIB - DLA Advice & Consultations - All other	5
SC3	Re-work of assessment reports deemed not fit for purpose	4
SC4a(i)	WCA clearance of cases	5
Service Delivery Year 1 only	Paper Based Review	
SC4a(ii)	WCA clearance of cases	5

Service Delivery Year 1 only	Face to Face consultations	
SC4a Service Delivery Years 2 and 3	WCA clearance of Face to Face cases	5
SC4b	WCA clearance of cases	6
SC5	Terminally Ill (TI) cases end to end assessment process (all Benefits)	5
SC6	Terminally Ill (TI) Advice & Jobseekers Allowance	4
SC7	Speed of Clearance Target	As set out below
	Speed of Clearance Target Industrial Injuries Benefit (IIB) end to end assessment process PDD3 TI cases Disability Living Allowance / Attendance Allowance Face- to -Face consultations Veterans UK Audiology Veterans UK : Specialist Reports and Regional Consultants Reports to	5

	<p>include CRU referrals</p> <p>HMCTS including HCNs)</p> <p>Other Face-to-Face Consultations</p> <ul style="list-style-type: none"> • Vaccine Damage Payment Scheme • HM Revenue and Customs SSP /SMP • International Pensions and Benefits • Age determination • Occupational Health Assessments 	
<p>Industrial Injuries Benefit (IIB) end to end assessment process Advice & Face to Face consultations (including PD A11 test) (excluding TI cases)</p>	<p><u>Year 1</u></p> <ul style="list-style-type: none"> • 60% cleared within 22 days - no Exceptions • 70% within 22 days with Exceptions <p><u>In Year 2</u></p> <ul style="list-style-type: none"> • March - 80% cleared within 22 days with Exceptions • April - 80% cleared within 22 days with Exceptions 	2.5

	<ul style="list-style-type: none"> • May - 80% cleared within 22 days with Exceptions • June - 85% cleared within 22 days with Exceptions • July - 90% cleared within 22 days with Exceptions • August (and for each subsequent month during Service Delivery Year 2) - 95% cleared within 22 days with Exceptions <p><u>In Year 3 to Year 9 (inclusive)</u></p> <ul style="list-style-type: none"> • 95% cleared within 22 days with Exceptions 	
	<p><u>Year 1</u></p> <ul style="list-style-type: none"> • 95% within 44 days with no Exceptions • 100% cleared within 44 days, with Exceptions <p><u>In Year 2</u></p> <ul style="list-style-type: none"> • 100% cleared within 44 days, with Exceptions <p><u>In Year 3 to Year 9 (inclusive)</u></p> <ul style="list-style-type: none"> • 100% cleared within 44 days, 	2.5

	with Exceptions	
Veterans UK - EMP's	<u>Year 1</u> <ul style="list-style-type: none"> • 50% within 14 days with no Exceptions • 64% within 14 days with Exceptions <u>In Years 2 - Year 9 (inclusive)</u> 75% cleared within 14 days with Exceptions	2.5
	<u>Year 1</u> <ul style="list-style-type: none"> • 76% within 24 days, no Exceptions • 100% cleared within 24 days with Exceptions <u>In Years 2 - Year 9 (inclusive)</u> 100% cleared within 24 days with Exceptions	2.5
Others - Paper Based Review <ul style="list-style-type: none"> • Vaccine Damage Payment Scheme • HM Revenue and 	<ul style="list-style-type: none"> • 95% cleared within 9 days with Exceptions • 98.6% within 14 days with no Exceptions • 100% cleared within 14 days 	3.33

<p>Customs SSP/SMP</p> <ul style="list-style-type: none"> • International Pensions & Benefits • Compensation Recovery Scheme • HM Revenue and Customs Child Trust Fund Advice, Junior ISA • Financial Assistance Scheme • Gender reassignment <p>Excluding CRU referrals which are moved to Vets UK Specialist Reports</p>	with Exceptions	
SC8	Old cases - cases cleared beyond the 100% clearance targets shown at SC5, 6 and 7.	3
SC9	Re-work of assessment reports deemed not fit for purpose. - Original Assessment - Scrutiny or Consultations	2

SC10	Rework of assessment reports deemed not fit for purpose - Original Assessment - DLA / AA Advice	2
SC11	(a) Average speed of Claimant call answering (b) Total Claimant calls answered.	50.0 0.25
SC12	Face to Face Consultation Waiting Time - *excluding claimants sent home unseen	0.5
SC13	Claimants Sent Home Unseen - where onus is on the Supplier	3
SC14	Speed of WCA Face to Face assessment clearance for new claims referral (ESA and UC)	0.25

Annex 2 - National Low Volume Methodology

In accordance with Schedule 2.1, Paragraph 58.4.1, the Parties have agreed:-

- The minimum WCA HoW at any day in any month is (i) in respect of Service Delivery Year 3, [REDACTED]WCA Referrals (national) (see Table 1 below), (ii) in respect of Service Delivery Year 4, [REDACTED]WCA Referrals (national) (see Table 2 below) and (iii) in respect of Service Delivery Year 5, [REDACTED] WCA Referrals (national) (see Table 3 below). Table 1, Table 2 and Table 3 below set out the methodology by which the minimum WCA HoW has been calculated under which Authority Cause would apply (such methodology being “the National Low Volume Methodology”.) As with Service Delivery Year 4, should the annual national Face-to-Face volume target of [REDACTED]for Service Delivery Year 5 and Service Delivery Year 6 -8 or the annual national Face-to-Face volume target of [REDACTED]for Service Delivery Year 9be reduced due to Test and Learn activity, the national low volume figure will be revised accordingly.

TABLE 1

The methodology below sets out the calculation steps to arrive at a minimum WCA Head of Work volume for Service Delivery Year 3 (national) of [REDACTED]WCA Referrals)			
Assumptions Used	Assumption		Notes
Average days in month		[REDACTED]	
Average Face to Face Assessment clearance required per month to deliver the [REDACTED]		[REDACTED]	
Referrals intake assumption (from: new claims intake/re-referral intake/existing WCA HoW consumption)		[REDACTED]	The Parties agree that a minimum of [REDACTED] WCA Referrals in (or from WCA HoW) are required each month to deliver [REDACTED]

Average Face to Face Assessment required per day		[REDACTED]	The average Face to Face clearance divided by average working days in a month (21)
Required Referral scheduled each day	2	[REDACTED]	The Parties agree that for the purposes of this methodology, it is assumed that the Supplier would double book to cover DNA/UTA

Calculations		Referrals	% of minimum total HoW	Notes
1) Schedule Referrals 3 - 4 weeks ahead therefore x 18 days of scheduling	18	[REDACTED]	42	The minimum number of appointments which should be scheduled at any point in time. (Required Referral scheduled each day [REDACTED]x 18)
2) Awaiting scheduling/work-stack (should be 4 days' worth of Referrals)	4	[REDACTED]	9	The minimum number of Referrals awaiting to be scheduled at any point in time. (Required Referral scheduled each day [REDACTED]x 4)
3) Awaiting Paper Based Review (1.5 days' worth intake - less 10% drop out)	1.5	[REDACTED]	3	The minimum number of Referrals awaiting Paper Based Review at any point in time (Referrals intake [REDACTED] /

				Average days in month 21 x 1.5 x 0.9)
4) Awaiting Further Evidence (FE) (50% require FE. 10 days' BF for return).	10	[REDACTED]	12	Date for return for evidence Brought Forward by 10 days. ((Referrals intake [REDACTED]/ Average days in month 21 x 0.9) x 50% x 10)
5) Awaiting ESA50 Questionnaire (64% of referrals)	64%	[REDACTED]	34	The minimum number of Referrals awaiting return of the ESA50 questionnaire at any point in time. (Referrals intake [REDACTED] x 64%)
Minimum total WCA HoW		[REDACTED]	100	

TABLE 2

The methodology below sets out the calculation steps to arrive at a minimum WCA Head of Work volume for Service Delivery Year 4 (national) of 251,650 WCA Referrals)		
Assumptions Used	Assumption	Notes
Average days in month	[REDACTED]	
Average Face to Face Assessment clearance required per month to deliver the 760K	[REDACTED]	
Referrals intake assumption (from new claims intake/re-referral intake/existing	[REDACTED]	The Parties agree that a minimum of [REDACTED]WCA Referrals in (or from WCA HoW) are required each

WCA HoW consumption)		month to deliver [REDACTED] (using the same 46% uplift as previously used)
Average Face to Face Assessment required per day	[REDACTED]	The average Face to Face clearance divided by average working days in a month (21)
Required Referral scheduled each day	[REDACTED]	The Parties agree that for the purposes of this methodology, it is assumed that the Supplier would book additional cases to allow for DNA/UTA based on booking levels as of November 2017, this being [REDACTED] as above representing 53% of total cases to be scheduled each day. Average Face to Face Assessment required per day divided by 53% multiplied by 100.

Calculations		Referrals	% of minimum total HoW	Notes
1) Schedule Referrals 3-4 weeks ahead, therefore x 18 days of scheduling	18	[REDACTED]	41%	The minimum number of appointments which should be scheduled at any point in time. (Required referral scheduled each day [REDACTED] x 18)
2) Awaiting scheduling/workstack (should be 4 days' worth of Referrals)	4	[REDACTED]	9%	The minimum number of Referrals awaiting to be scheduled at any point in time. (Required Referral scheduled each day [REDACTED] x 4)
3) Awaiting Paper Based Review (1.5 days' worth intake - less 10% drop out)	1.5	[REDACTED]	4%	The minimum number of Referrals awaiting Paper Based Review at any point in time. (Referrals intake [REDACTED] / Average days in

				month 21 x 1.5 x 0.9)
4) Awaiting Further Evidence (FE) (50% require FE. 10 days' BF for return)	10	[REDACTED]	12%	Date for return for evidence Brought Forward by 10 Days (Referrals intake [REDACTED]/ Average days in month 21 x 0.9 x 50% x 10)
5) Awaiting ESA50 Questionnaire (64% of referrals)	64%	[REDACTED]	35%	The minimum number of Referrals awaiting return of the ESA50 questionnaire at any point in time. (Referrals intake [REDACTED] x 64%)
Minimum total WCA HoW		[REDACTED]	100%	

TABLE 3

The methodology below sets out the calculation steps to arrive at a minimum WCA Head of Work volume for Service Delivery Year 5 (national) of [REDACTED]WCA Referrals)		
Assumptions Used	Assumption	Notes
Average days in month	[REDACTED]	
Average Face to Face Assessment clearance required per month to deliver the [REDACTED]	[REDACTED]	
Referrals intake assumption (from new claims intake/re-referral intake/existing WCA HoW consumption)	[REDACTED]	The Parties agree that a minimum of [REDACTED]WCA Referrals in (or from WCA HoW) are required each month to deliver [REDACTED] (using the revised 47% uplift)

Average Face to Face Assessment required per day	[REDACTED]	The average Face to Face clearance divided by average working days in a month (21)
Required Referral scheduled each day	[REDACTED]	The Parties agree that for the purposes of this methodology, it is assumed that the Supplier would book additional cases to allow for DNA/UTA based on booking levels as of November 2017, this being [REDACTED] as above representing 55% of total cases to be scheduled each day. Average Face to Face Assessment required per day divided by 55% multiplied by 100.

Calculations		Referrals	% of minimum total HoW	Notes
1) Schedule Referrals 3-4 weeks ahead, therefore x 18 days of scheduling	18	[REDACTED]	40%	The minimum number of appointments which should be scheduled at any point in time. (Required referral scheduled each day [REDACTED] x 18)
2) Awaiting scheduling / workstack (should be 4 days' worth of Referrals)	4	[REDACTED]	9%	The minimum number of Referrals awaiting to be scheduled at any point in time. (Required Referral scheduled each day [REDACTED] x 4)
3) Awaiting Paper Based Review (1.5 days' worth intake - less 10% drop out)	1.5	[REDACTED]	4%	The minimum number of Referrals awaiting Paper Based Review at any point in time. (Referrals intake [REDACTED] / Average days in month 21 x 1.5 x 0.9)

4) Awaiting Further Evidence (FE) (50% require FE. 10 days' BF for return)	10	[REDACTED]	12%	Date for return for evidence Brought Forward by 10 Days (Referrals intake [REDACTED]/ Average days in month 21 x 0.9 x 50% x 10)
5) Awaiting ESA50 Questionnaire (64% of referrals)	64%	[REDACTED]	35%	The minimum number of Referrals awaiting return of the ESA50 questionnaire at any point in time. (Referrals intake [REDACTED]x 64%)
Minimum total WCA HoW		[REDACTED]	100%	

TABLE 4

The methodology below sets out the calculation steps to arrive at a minimum WCA Head of Work volume for Service Delivery Year 6 (national) of [REDACTED]WCA Referrals			
Assumptions Used	Assumption		Notes
Average days in month		[REDACTED]	
Average Face to Face Assessment clearance required per month to deliver the		[REDACTED]	

[REDACTED]			
Referrals intake assumption (from: new claims intake/ re-referral intake/existing WCA HoW consumption)		[REDACTED]	The Parties agree that a minimum of [REDACTED] WCA Referrals in (or from WCA HoW) are required each month to deliver [REDACTED] (Using a 45% conversion, 2% lower than last year due to increased DNA rate)
Average Face to Face Assessment required per day		[REDACTED]	The average Face to Face monthly assessments divided by average working days in a month (21)
Required Referral scheduled each day	TBC	[REDACTED]	The Parties agree that for the purposes of this methodology, it is assumed that the Supplier would over book to allow for DNA/UTA *
* The booking policy has been based on the current level of booking using the following calculations:			
		DAYS	
November CY5 Delivery [REDACTED] F2F assessments	21		[REDACTED]
Current Average volume of daily appointments booked (Table 4)			[REDACTED]
Percentage			62%

Calculations		Referrals	% of minimum total HoW	Notes
1) Schedule Referrals 3 - 4 weeks ahead therefore x 18 days of scheduling	18	[REDACTED]	37%	The minimum number of appointments which should be scheduled at any point in time. (Required referral scheduled each day [REDACTED]x 18)
2) Awaiting scheduling / workstack (should be 4 days' worth of Referrals)	4	[REDACTED]	8%	The minimum number of Referrals awaiting to be scheduled at any point in time. (Required Referral scheduled each day [REDACTED]x 4)
3) Awaiting Paper Based Review (1.5 days' worth intake - less 10% drop out)	1.5	[REDACTED]	4%	The minimum number of Referrals awaiting Paper Based Review at any point in time. (Referrals intake [REDACTED]/ Average days in month 21 x 1.5 x 0.9)
4) Awaiting Further Evidence (FE) (50% require FE. 10 days' BF	10	[REDACTED]	13%	Date for return for evidence Brought Forward by 10 Days (Referrals intake [REDACTED]/ Average days in month 21 x 0.9 x 50% x 10)

for return)				
5) Awaiting ESA50 Questionnaire (64% of referrals)	64%	[REDACTED]	38%	The minimum number of Referrals awaiting return of the ESA50 questionnaire at any point in time. (Referrals Intake [REDACTED]x 64%)
Minimum total WCA HoW		[REDACTED]	100%	

TABLE 5

The tables below shall be set following review by both of the Parties acting reasonably and shall be set by December 2020 [NOT COMPLETED BECAUSE OF COVID -19 EASEMENTS BEING IN OPERATION].

The methodology below sets out the calculation steps to arrive at a minimum WCA Head of Work volume for Service Delivery Year 7 (national) of [TBC] WCA Referrals)		
Assumptions Used	Assumption	Notes
Average days in month	TBC	
Average Face to Face Assessment clearance required per month to deliver the [REDACTED]	TBC	
Referrals intake assumption (from new	TBC	

claims intake/re-referral intake/existing WCA HoW consumption)		
Average Face to Face Assessment required per day	TBC	
Required Referral scheduled each day	TBC	

Calculations		Referrals	% of minimum total HoW	Notes
1) Schedule Referrals 3-4 weeks ahead, therefore x 18 days of scheduling	TBC	TBC	TBC	
2) Awaiting scheduling / workstack (should be 4 days' worth of Referrals)	TBC	TBC	TBC	
3) Awaiting Paper Based Review (1.5 days' worth intake - less 10% drop out)	TBC	TBC	TBC	
4) Awaiting Further Evidence (FE) (50% require FE. 10 days' BF for return)	TBC	TBC	TBC	
5) Awaiting ESA50 Questionnaire (64% of referrals)	TBC	TBC	TBC	
Minimum total WCA HoW		TBC	TBC	

An additional Table 6, setting out the calculation steps to arrive at a minimum WCA Head of Work volume for the First Year BAU (Post Schedule 19 Delivery) (national) of [TBC] WCA Referrals shall be agreed as part of the BAU Transition Process.

Annex 3- Example Balance Scorecard Report

Financial *			Customer		
CYTD Spend (£m)	Full Spend (£m)	Speed of Invoice Payments	Customer Satisfaction Score	Average Speed of Answer	Answer Rate (%)
CYTD Breakdown of Non-Staff CHDA Spend (£m)	CYTD Service Credit value & Award Fee (£k)		Customers Sent Home Unseen, SC13 (%)	Speed of Clearance, SL15a (%)	Speed of Clearance, SL15b (%)
* Please refer to the WD10 Finance Deliverables (Outturn Report and Payment Model) for additional details regarding the above.					
Employee			Operational		
Clinical HCP Attrition (%)	Recruitment Against Demand Plan		WCA Assessments	Non-WCA Clearances	
HCP Short Term Sickness Rate (%)	Total staffing FTE		WCA Productivity	WCA Adjusted 3-Month Rolling Audits (%)	