



Home Office

AUTHORITY: The Secretary of State for the Home Department

**SCHEDULE 14**  
**MANAGEMENT INFORMATION AND REPORTING**

Front End Services (FES) UK

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## 1. SCOPE

- 1.1 This Schedule sets out the range of Reports that the Supplier shall provide, from the Effective Date, to enable the Parties to manage the Terms and Conditions effectively. The Authority reserves the right to request ad hoc reports not detailed in this Schedule, should the need arise. This Schedule sets out a framework of obligations on the Parties that shall:
- 1.1.1 deliver accurate and relevant information in respect of the performance of the Service Requirements;
  - 1.1.2 support sound governance of the Terms and Conditions and the principles of partnership described in Schedule 8 (**Governance and Contract Management**);
  - 1.1.3 support management of the Target Performance level and Service Credit regime as described in Schedule 7 (**Performance Levels (KPIs)**);
  - 1.1.4 support the planning processes for future business delivery;
  - 1.1.5 provide for on-going development of reporting requirements;
  - 1.1.6 support contract management; and
  - 1.1.7 support Continuous Improvement as per Clause 8 (**Services Improvement**).
- 1.2 Annex 14-1 sets out 'Management Information Reporting Guidance' with which the Supplier shall comply in preparing any Reports.
- 1.3 Annex 14-2 sets out the baseline list of the main Reports required by the Authority to manage the Terms and Conditions in particular the Services Requirement and the Supplier's Solution. Within three (3) months of the Commencement Date, the Parties shall review the baseline list of Reports and shall agree an updated list of Reports to be provided by the Supplier and the format, content, frequency and distribution of such Reports. Annex 14-2 shall be updated accordingly to reflect the agreed reporting requirements.
- 1.4 It may be the case that other Schedules to the Terms and Conditions provide a more detailed description that needs to be provided by the Supplier in relation to a particular Management Information Requirement or Report. In this event, the more detailed provisions of the other Schedule shall apply. If, after the Commencement Date, it is noted by either Party that an item of Management Information or Report is referenced in another Schedule of the Agreement but not referenced in this, Schedule 14 (**Management Information and Reporting**), the Supplier shall still be required to provide such Report. However, the Parties

shall add the relevant Report to this Schedule 14 (**Management Information and Reporting**) at the time in order to update it with such reporting requirements.

- 1.5 Nothing in this Schedule shall constrain the Authority from reasonably requesting data and information relating to the provision of the Service Requirements from the Supplier on an ad hoc basis and at no additional cost in accordance with the Terms and Conditions.
- 1.6 As methods of managing and optimising the effectiveness and value of information systems evolve during the Contract Term, the Supplier shall work with the Authority, within the terms of normal business development, to investigate potential benefits to the Authority of adopting new technologies and/or methodologies which deliver improved reporting.

## 2. **MANAGEMENT INFORMATION**

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

## 3. **DELIVERY**

- 3.1 Although different timings may be agreed, the Authority's Reporting requirements are as follows:
  - 3.1.1 for daily Reports, by close of business on the following Working Day;
  - 3.1.2 for weekly Reports, by close of business on the first (1<sup>st</sup>) Working Day of the following week of the scheduled interval;
  - 3.1.3 for monthly Reports; by close of business on the tenth (10<sup>th</sup>) Working Day following the end of the month. For monthly MI reports linked to payment, the procedure set out at Schedule 6 (**Pricing, Payment and Invoicing**) will be applied;

- 3.1.4 for quarterly Reports by close of business on the tenth (10<sup>th</sup>) Working Day following the end of the quarter;
- 3.1.5 for annual Reports, by close of business on the twentieth (20<sup>th</sup>) Working Day following the end of the financial year, and
- 3.1.6 financial accounting and reporting data, except as otherwise specified, as reasonably required by the Authority.

#### 4. **RAW DATA**

- 4.1 The Supplier shall retain the raw data underpinning any Report for the relevant period to comply with the provisions of Schedule 15 (**Financial Reports and Audit Rights**), or for such other period as may be reasonably required by the Authority in order to allow the Authority to verify the relevant Report.
- 4.2 The Supplier shall comply with requirements of Schedule 4 (**Security**) to ensure the Authority that all data is purged after the relevant period and not kept for any other reason beyond the stipulated date.

#### 5. **DISTRIBUTION**

- 5.1 The Authority reserves the right to determine the distribution lists for all Reports.
- 5.2 The Supplier shall distribute Reports as specified by the Authority.

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## **ANNEX14-1 MANAGEMENT INFORMATION REPORTING GUIDANCE**

### **1. SERVICE POINT BUSINESS AS USUAL MANAGEMENT INFORMATION AND REPORTING GUIDANCE**

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

### **2. GENERAL REPORTING PROCESS**

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

### **3. NAMING CONVENTION**

- 3.1 The same naming convention must be used in all reports, to be agreed as part of Mobilisation.

### **4. MI AND REPORTING MONTHLY MEETING**

- 4.1 There will be monthly MI and Reporting meeting at which attendance may be in person or by telephone, held between the Supplier and the Authority.
- 4.2 All information to be provided in accordance with Annex 14-2 shall be provided by the Supplier to the Authority.
- 4.3 The Key Performance Indicator reports will be discussed at the same monthly meeting and all data will be signed off (accepted) subject to Paragraph 4.4 below by the Authority. Other outcomes of the meeting are to:

- 4.3.1 agree the Service Point level Reports and KPI Reports;
- 4.3.2 assign RAG (Red, Amber, Green) Ratings in accordance with Paragraph 2 of Annex 14-2 below;
- 4.3.3 identify/address any performance issues and root causes to identify and mitigate future risks and issues.
- 4.4 Review previous Management monthly and KPI performance in the event of new/emerging information which was not known to the Authority at the time but which could have had a bearing on previous performance and reporting.
- 4.5 Any disagreement as to the content of any of the Reports which cannot be resolved at the monthly meeting shall be escalated to the Contract Manager. If any matter of contention remains following escalation to the Contract Manager, the matter shall be referred to the Authority's Contract Board for resolution.

## 5. **MONTHLY MI RECONCILIATION AND REPORTING TIMESCALES**

- 5.1 All data shall be supplied to the Contract Management Team in accordance the delivery requirements set out in Paragraph 3 (Delivery) of this Schedule 14 (**Management Information and Reporting**). The timescales for provision of the monthly service reports the following timelines shall apply:
  - 5.1.1 Operational level monthly MI meetings are to be held between the Authority and Supplier by the fifth (5th) Working Day of the month in which draft reports shall be provided for review by the Authority and Supplier.
  - 5.1.2 Following the operational level MI meeting the Supplier shall amend draft reports to reflect agreed volumes.
  - 5.1.3 By the tenth (10th) Working Day of each month the Supplier shall submit the final signed version for review to the Authority for formal approval.
  - 5.1.4 Electronic readable copies of the signed-off reports are to be sent to the Authority (and other stakeholders identified by the Authority) within the agreed timelines as set out in Paragraph 3 (Delivery) of this Schedule.
  - 5.1.5 Following formal agreement and sign-off by the Authority they shall be referred for payment reconciliation by the fifteenth (15th) Working Day.

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## **ANNEX 14-2 MANAGEMENT INFORMATION REQUIREMENTS AND BASELINE LIST OF THE MAIN REPORTS**

### **1. MANAGEMENT INFORMATION REQUIREMENTS**

- 1.1 The list below at Paragraph 3 (Baseline List of the Main Requirements) describes the Management Information required by the Authority to manage the Agreement. In addition to this information some of the requirements shall require RAG Ratings, the relevant guidance in regard to the reporting of RAG Ratings is provided in Paragraph 2 below.

### **2. RAG (RED, AMBER, GREEN) RATINGS**

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

### **3. BASELINE LIST OF THE MAIN REQUIREMENTS**

- 3.1 Each Management Information Report must contain the following information;
- a) Service Point;
  - b) Service Point Type **(to be updated once a preferred supplier identified)**;
  - c) Supplier Name;
  - d) Period Report covers;
  - e) Date Report run; and
  - f) Name(s) of person approving the report for the Supplier and the Authority.



Report Name	Frequency	Description and / or content to be included
<b>Executive Reports</b>		
Executive Report for Strategic Board	Quarterly	The report will give high-level management information to senior management, focussing on issues and risks against Service Packages, Supplier Sub-contractors, including future opportunities for partnership working, etc.
Transition	As specified in Schedule 5	Supports requirements set out in Schedule 5 ( <b>Implementation (Mobilisation and Transition)</b> ).
Exit Management	As specified in Schedule 9	Supports requirements set out in Schedule 9 ( <b>Exit Management</b> ).
Change Control	As specified in Schedule 10	Supports the requirements set out in Schedule 10 ( <b>Change Control Procedure</b> ). <ul style="list-style-type: none"> <li>Monthly update CCN Log in accordance with Schedule 10 (<b>Change Control Procedure</b>)</li> </ul>

Report Name	Frequency	Description and / or content to be included
<b>Monthly Service Point Reports</b>		
Key Performance Indicators and Service Credit Reporting	Monthly	<p>To support the requirements of the Key Performance Indicators and Service Credit regime set out in Schedule 7 (<b>Performance Levels (KPIs)</b>).</p> <p>The report shall include;</p> <p>Key Performance Indicators and Credits</p> <ul style="list-style-type: none"> <li>Target Performance Level – this period / prior period</li> <li>Minor KPI Failures – this period / prior period</li> <li>Serious KPI Failures – this period / prior period</li> <li>Severe KPI Failures – this period / prior period</li> <li>Value of Service Credits incurred</li> </ul>

Report Name	Frequency	Description and / or content to be included
		<p>RAG Rating – Service Point Performance Key Performance Indicators and Credits</p> <ul style="list-style-type: none"> <li>• R = 11 or more Service Credits</li> <li>• A = 4-10 Service Credits</li> <li>• G = 0-3 Service Credits</li> </ul>
Service Volume Report	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>• The number of Applications applied for; processed; incomplete, etc. – by Service Point.</li> <li>• Overall total number of Core Service transactions across Service Points per category</li> <li>• Overall total number of Customers handled across Service Points, per category.</li> </ul>
Priority Applications	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>• The number of Priority Applications applied for; processed; incomplete, etc. – by Service Point.</li> <li>• Overall total number of core service Priority transactions across Service Points per category</li> <li>• Overall total number of Priority Applications across Service Points, per category.</li> </ul>
Supplier Staff Report	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>• Total Staff employed (FTE) – this period / prior period</li> <li>• Turnover</li> </ul>

Report Name	Frequency	Description and / or content to be included
Service Point Availability	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>• Overall capacity of each Service Point and the monthly demand as a percentage of available capacity.</li> <li>• Anticipate the demand of the next month as a percentage against capacity</li> <li>• Date Booking Entered into System (Booking Date)</li> <li>• Date application submitted</li> <li>• Number of appointments booked but not attended and UAN for each</li> </ul> <p>RAG Ratings – Service Availability.</p> <ul style="list-style-type: none"> <li>• R= Service Point appointment available for 98.99% or fewer applicants within five (5) Working Days</li> <li>• A= Service Point appointment available for 99.49 - 99.00% applicants five (5) Working Days</li> <li>• G= Service Point appointment available for 99.50% applicants within five (5) Working Days</li> </ul> <p>Further MI data may be required by the Authority on request.</p>

Report Name	Frequency	Description and / or content to be included
Biometric Capture Process	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>• Number of biometrics captured – this period / prior period</li> <li>• Number of biometric overrides – this period / prior period</li> <li>• Overrides as a % of total biometrics – this period / prior period</li> <li>• Number of exceptions– this period / prior period</li> <li>• Exceptions as a % of total biometrics – this period / prior period</li> </ul> <p>RAG Rating – Exceptions and Overrides</p> <ul style="list-style-type: none"> <li>• R = Under 98.49% of total Applications</li> <li>• A = Between 98.50% - 99.49% of total Applications</li> <li>• G = Over 99.50% of total Applications</li> </ul>
Customer Photograph Quality Standard	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>• Total number of Photographic Likeness images required</li> <li>• Total number of Photographic Likeness images that were <b>not</b> of the requisite standard (to be supplied by the Authority)</li> </ul> <p>RAG Rating – Requisite standard</p> <ul style="list-style-type: none"> <li>• R = Under 97.49% of total Applications</li> <li>• A = Between 97.50% and 98.49% of total Applications</li> <li>• G = Over 98.50% of total Applications</li> </ul>

Report Name	Frequency	Description and / or content to be included
Customer Fingerprints Quality Standard	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"><li>• Total number of Fingerprint Sets required</li><li>• Total number of Fingerprint Sets that were <b>not</b> of the requisite standard (to be supplied by the Authority)</li></ul> <p>RAG Rating – Requisite standard</p> <ul style="list-style-type: none"><li>• R = Under 93.49% of total Applications</li><li>• A = Between 93.50% - 94.49% of total Applications</li><li>• G = Over 94.50% of total Applications</li></ul>

Report Name	Frequency	Description and / or content to be included
Digitisation Process	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>total number of digitisation actions undertaken by the Supplier in the relevant Service Period; and</li> <li>total number of digitisation actions undertaken by the Supplier in the relevant Service Period that did not successfully include ALL of the elements set out in the KPIs</li> <li>Total number of applications where all presented Customer data was not digitised</li> </ul> <p>The <b>Authority</b> will provide details on;</p> <ul style="list-style-type: none"> <li>Total number of applications where one or more of the evidence required for the purpose of making a decision on the application were not of legible quality</li> <li>Total number of applications where the Authority approved checklist was not present in the provided evidence</li> <li>Total number of digitisation events where the products of which <b>were not</b> received by the Authority within the detailed timescales</li> <li>Total number of digitised evidence transferred</li> </ul> <p>RAG Rating – Requisite standard</p> <ul style="list-style-type: none"> <li>R = Under 98.49% of total Applications in which an event was not fully met</li> <li>A = Between 98.50% - 99.49% of total Applications in which a digitalisation events were not fully met</li> <li>G = Over 99.50% of total Applications in which an event was not fully met</li> </ul>

Report Name	Frequency	Description and / or content to be included
Complaints Handling	Monthly	<p>The report shall include:</p> <ul style="list-style-type: none"> <li>• Total number of all Complaints made by customers</li> <li>• Total number of all Substantiated Complaints made by customers</li> </ul> <p>RAG Rating – Volume of Complaints:</p> <ul style="list-style-type: none"> <li>• R = Substantiated Complaints over 5% of total Customers handled</li> <li>• A = Substantiated Complaints between 2% and 5% of total Customers handled</li> <li>• G = Substantiated Complaints Under 2% of total Customers handled</li> </ul> <ul style="list-style-type: none"> <li>• Date each Complaint was received from the Customer</li> <li>• Date each Complaint was successfully resolved</li> <li>• Complaints shall be categorised and recorded against the list below;</li> </ul> <p>RAG Rating – Complaints management process:</p> <ul style="list-style-type: none"> <li>• R = Substantiated Complaints over 5% of total applications received</li> <li>• A = Substantiated Complaints between 2% and 5% of total applications received</li> <li>• G = Substantiated Complaints Under 2% of total applications received</li> </ul> <p>The Supplier shall hold on record, and provide on request, a breakdown of grounds for Complaints as follows:</p> <ul style="list-style-type: none"> <li>• Delay</li> <li>• Admin/Process error</li> <li>• Quality (failure to meet published service)</li> <li>• Poor Communications</li> <li>• Wrong Information</li> <li>• Lost documents</li> <li>• Physical Environment (including Accessibility)</li> <li>• Availability</li> <li>• Provision for minors</li> <li>• Compliant handling (failure to respond)</li> <li>• Rudeness, Racism or other discrimination</li> <li>• Unfair treatment</li> <li>• Other professional misconduct</li> </ul>
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Report Name	Frequency	Description and / or content to be included
<b>Finance Reports</b>		
Charging Schedule Report	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>all the necessary data for the Authority to prepare the Charging Schedule, as per Schedule 6 (<b>Pricing, Payment and Invoicing</b>) for the previous calendar month.</li> <li>Customer volume figures for all Service Points to which the Supplier provides a Core Service event,</li> <li>Total number and value of Priority Applications received (<b>to be updated once a preferred supplier is known</b>) split by Service Point.</li> <li>Level of Service Credits/Payment to be made by the Supplier in relation to the Service Period</li> </ul>
<b>Security Report</b>		
Security Incidents	Monthly	<p>The report shall include;</p> <ul style="list-style-type: none"> <li>Staff breaches</li> <li>Security Incidents (excluding. Staff)</li> <li>Non-Security Incidents</li> <li>Times Business Continuity Plan invoked</li> <li>Hours of Security Equipment Downtime</li> <li>Audit breaches</li> <li>New Staff screening failed</li> </ul> <p>RAG rating - All Incidents that fall within the Categories described in Annex 4-3 of Schedule 4 (<b>Security</b>)</p>
Security Overview including Business Continuity Management, HMG Security Policy Compliance,	Annual	<p>The report shall;</p> <ul style="list-style-type: none"> <li>Provide assurance that the Supplier (and any Supplier Sub-contractors) is implementing the Security Policy in accordance with Schedule 4 (<b>Security</b>).</li> <li>Indicate how effective the Supplier is in implementing the Security Policy in accordance with Schedule 4 (<b>Security</b>).</li> </ul>



Report Name	Frequency	Description and / or content to be included
Physical Security, Personnel clearance		<ul style="list-style-type: none"> <li>list all business continuity plans and evidence of the business impact review and business recovery strategy for each plan.</li> </ul> <p>The Supplier shall conduct an annual self-assessment of its compliance with the UK Governments Security Policy and with the Authority's Security Policy and Security Standards and shall report its findings from the annual self-assessment to the Authority in accordance with the Authority's Security Policy and Standards as set out in Annex 4-1 to Schedule 4 (<b>Security</b>).</p> <p>In line with Physical Security requirements a report will:</p> <ul style="list-style-type: none"> <li>confirm all agreed physical security measures are in place and functioning normally in accordance with Schedule 4 (<b>Security</b>).</li> <li>address any issues open at the time of the previous Report and any new requirements or deficiencies identified since that Report was written.</li> </ul> <p>The Supplier shall report immediately if there are, or have been, any problems related to the physical security measures at any Service Point.</p> <p>The Report will confirm that:</p> <ul style="list-style-type: none"> <li>all successful candidates offered employment with the Supplier undertaking the Authority work have met all the security criteria before taking up duty, in accordance with Schedule 4 (<b>Security</b>);</li> <li>all employees have signed the appropriate statutory undertaking not to disclose Customer information with reminders of their obligations every six (6) months. Any breaches of the undertakings and the disciplinary action taken should be included; and</li> <li>the implementation of any departmental requests not to use specified individuals on the Authority business.</li> </ul>

Report Name	Frequency	Description and / or content to be included
<b>Other Reporting Requirements</b>		
Customer Satisfaction/  Continuous Improvement	Quarterly	<p>The Report will detail the total number of Customers who took part in the Customer satisfaction process in each quarter period.</p> <p>The Supplier shall identify Continuous Improvement measures it intends to implement to improve service, the customer journey and opportunities for innovation.</p>
Added Value Services	Monthly	<p>The Supplier shall provide reports to the Authority which shall include information about types of services offered.</p> <p>The report shall include the Authority's approval reference for each service;</p> <ul style="list-style-type: none"> <li>• monthly volume of sales for each service</li> <li>• locations where service is offered</li> <li>• refunds payments</li> <li>• Suppliers costs</li> <li>• net profit realised</li> </ul>

Schedule 14 Annex 14-2: Table 1: Management Reports