

**SCHEDULE 16**  
**CONTRACT MANAGEMENT PROCEDURES**  
**(Clause 8.1)**

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**SCHEDULE 16****CONTRACT MANAGEMENT PROCEDURES****1 INTRODUCTION**

- 1.1 For the avoidance of doubt, the AUTHORITY and the CONTRACTOR agree and acknowledge that the work carried out by the CONTRACTOR in accordance with the provisions of this Schedule 16 is at no additional charge to the AUTHORITY.

**2 INTERFACES**

- 2.1 The CONTRACTOR shall ensure that its Key Personnel and business management organisation are in place by the Cutover Date.
- 2.2 The AUTHORITY shall provide nominated representatives to act on the AUTHORITY's behalf on all matters relating to this Agreement. The interfaces described in this Schedule 16 shall operate between the AUTHORITY and the CONTRACTOR and shall be defined and maintained in detail in the Service Specification.

**2.2.1 Strategic Interface**

- 2.2.1.1 The objectives of the Strategic Interface shall be to review the overall success of the Services delivered by this Agreement, discuss the operational strategies, efficiency opportunities and their implications for the direction and content of this Agreement and, in particular the Services.
- 2.2.1.2 Regular meetings shall be held between the AUTHORITY and the CONTRACTOR as required by the AUTHORITY. Meetings shall be held to discuss issues related to the objectives described in Paragraph 2.2.1.1 to this Schedule 16 and other relevant business. An agenda shall be produced by the CONTRACTOR and agreed with the AUTHORITY.
- 2.2.1.3 The AUTHORITY and the CONTRACTOR shall provide suitable senior business and contract management representatives to attend the meetings.
- 2.2.1.4 The frequency and nature of meetings shall be determined by the AUTHORITY and agreed with the CONTRACTOR during the Transition Period.
- 2.2.1.5 The AUTHORITY shall make, retain, and distribute a record of the meetings. The CONTRACTOR will be given the opportunity to provide comments regarding the minutes of the meeting prior to them being distributed.

**2.2.2 Contract Management Interface**

- 2.2.2.1 The objectives of the contract management interface shall be to manage this Agreement and shall include but not be limited to:
- a) monitoring the CONTRACTOR's compliance with its obligations under this Agreement;
  - b) agreeing any changes to this Agreement, which has been raised through the Change Control Procedure, as detailed in Schedule 19;
  - c) reviewing the performance of the CONTRACTOR against the Service Requirements set out in Schedule 2 and the Proposal set out in Schedule 3 of this Agreement;
  - d) resolving operational and contractual problems, which may have been raised using the Alternative Dispute Resolution Procedure as detailed in Clause 10.14 of this Agreement or through agreed operational routes; and

- e) transferring and exchanging information as required to ensure that all business needs are met.
- 2.2.2.2 Regular meetings shall be held between the AUTHORITY and the CONTRACTOR as required by the AUTHORITY to discuss issues related to the objectives described in Paragraph 2.2.2.1 to this Schedule 16 and any other relevant business. An agenda shall be produced by the CONTRACTOR and agreed by the AUTHORITY.
- 2.2.2.3 The CONTRACTOR shall provide suitable representatives with the necessary authority to consider service performance and to ensure that any issues impacting the AUTHORITY are surfaced and resolved.
- 2.2.2.4 The nature and frequency of meetings shall be determined by the AUTHORITY and agreed with the CONTRACTOR during the Transition Period.
- 2.2.2.5 The AUTHORITY shall make, retain, and distribute a record of the meetings.
- 2.2.2.6 Each party reserves the right to change its nominated representative(s) with staff of the appropriate authority and responsibility and shall notify the other party as soon as practicable of any changes.
- 2.2.2.7 The names of the nominated representatives of the AUTHORITY's and CONTRACTOR's contract management teams shall be documented in the Service Specification.

### **2.2.3 Performance Reviews**

- 2.2.3.1 Performance reviews shall be held on a monthly basis between the AUTHORITY and the CONTRACTOR for the purposes of reviewing performance against Service Levels set out in Schedule 5 to this Agreement and conformance by the CONTRACTOR to all other standards and policies set out elsewhere in this Agreement.
- 2.2.3.2 Performance review meetings shall be supported by procedures to be specified and documented in the Service Specification during the Transition Period.

## **3 MANAGEMENT INFORMATION**

- 3.1 The CONTRACTOR shall provide the AUTHORITY with such Management Information as the AUTHORITY shall from time to time require for the following purposes:
- a) to monitor the performance of the CONTRACTOR in the provision of Services set out in Schedule 4 to the Service Levels set out in Schedule 5 and in accordance with all other provisions of this Agreement;
  - b) to monitor the CONTRACTOR's adherence to all standards defined in this Agreement;
  - c) to monitor the quality of its medical reports and advice as detailed in Section 4.1 of Schedule 4; and
  - d) to provide information or various types to the AUTHORITY on Service provision in relation to this Agreement provided that the information to be furnished includes any relevant information included within the AUTHORITY's Data together with details of all such information maintained by the CONTRACTOR for its own purposes in relation to the provision of the Services and any other additional information agreed between both parties and documented in the Service Specification.
- 3.2 The CONTRACTOR shall provide to the AUTHORITY information on performance against Service Levels, and additional information as requested by the AUTHORITY including but not limited to:
- a) Medical Recruitment standards;

- b) Health Care professional Capability;
  - c) Multiple Complaints against Health Care professionals;
  - d) Process Outcomes;
  - e) Medical Quality monitoring;
  - f) list of assets used to deliver the Services;
  - g) list of those properties used in the delivery of the Services;
  - h) records of staffing profiles;
  - i) staff redundancies;
  - j) personnel grievance cases;
  - k) data processing and contingency arrangements;
  - l) business continuity and contingency procedures;
  - m) proposals for the number of Registered Medical Practitioners sitting DDAM; and
  - n) the CONTRACTOR's Estates Strategy/ Plans.
- 3.3 The CONTRACTOR shall provide Management Information, which shall include but not be limited to that detailed in the Appendix to this Schedule 16.
- 3.4 As part of the Management Information requirements the CONTRACTOR shall furnish Management Information such that provides assurances about the quality of its medical reports and advice. In order to do this the CONTRACTOR shall implement quality procedures and standards by the Cutover Date which are sufficient to demonstrate to the AUTHORITY's satisfaction that performance is being monitored against the quality criteria relating to Fitness For Purpose detailed in Section 4.1 of Schedule 4 to this Agreement.
- 3.5 The CONTRACTOR shall provide evidence to the AUTHORITY of the Claimants' perception of its Services by, for example, undertaking periodic surveys of Claimant opinion which surveys shall include elements and questions which shall be agreed in consultation with the AUTHORITY during the Transition Period. Such surveys shall be undertaken by the CONTRACTOR regularly, at intervals to be agreed in consultation with the AUTHORITY during the Transition Period.
- 3.6 The CONTRACTOR shall provide Management Information to the AUTHORITY about the range and level of rates of expenses payable to Claimants and their Companions or representatives, in relation to Services. Such information shall be notified to the AUTHORITY within thirty (30) days of such rates being changed.
- 3.7 The CONTRACTOR shall provide the AUTHORITY with a detailed report in the event of a major failure to meet Service Levels set out in Schedule 5 or any other service standards set out in Schedule 4 of this Agreement, which includes the reason for failure and any action being taken to retrieve the situation.
- 3.8 The CONTRACTOR shall provide Management Information to the AUTHORITY in an electronic format at the frequencies and due dates as specified in Appendix 1 of this Schedule.
- 3.9 The CONTRACTOR shall provide various types of Management Information to the AUTHORITY in accordance with the timescales and periodicity specified by the AUTHORITY as part of the delivery of the Services. Management Information will generally be required on a Monthly basis to report on service delivery and shall coincide with and reflect the invoicing period for the same Month. Otherwise Management Information shall generally be required on a quarterly basis.
- 3.10 The AUTHORITY shall from time to time require the CONTRACTOR to provide reports to the AUTHORITY, detailing the standard of provision of the Services in a particular location, district or area, for any or all of the Business Areas.
- 3.11 The AUTHORITY shall from time to time require ad-hoc reports to satisfy particular business requirements. The CONTRACTOR shall use reasonable endeavours to support the AUTHORITY's requirements and shall agree the format of the report with the AUTHORITY prior to its issue. The CONTRACTOR shall provide each report within the reasonable timescale specified by the AUTHORITY.

- 3.12 The CONTRACTOR shall ensure that all Management Information delivered to the AUTHORITY has been validated and is accurate.
- 3.13 The CONTRACTOR shall provide exception reports to the AUTHORITY on any occasion when a Breach of Security standards, facilities, and procedures set out in Schedule 20 is discovered.
- 3.14 The CONTRACTOR shall develop and implement systems during the Transition Period to provide Management Information in accordance with the AUTHORITY's requirements.
- 3.15 The detailed format, content, frequency and distribution of the Management Information reports shall be determined in the Service Specification by the AUTHORITY in consultation with the CONTRACTOR during the Transition Period.
- 3.16 The CONTRACTOR shall support and provide all assistance necessary and reasonable to the AUTHORITY that allows the AUTHORITY to report on the supplier relationship between the AUTHORITY and the CONTRACTOR.

**APPENDIX 1  
MANAGEMENT INFORMATION SYSTEM (MIS) REPORTS**

Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
AACT Old Cases	Details of all cases, Benefit Service Line, Service Level target, Number of Work in Progress Cases in Target, number of cases over X days Work in Progress Target, % of cases over Work in Progress Target	Monthly	✓	✓	✓	✓	✓		Day 5
AACT pivotal datadump and summary	For each Benefit Service Line, datadump details number of cases and number of working days to clear. Summary of achievement against each service line (12 months data)	Monthly	✓	✓	✓	✓	✓		Day 5
Age Determination Referrals Performance and Volumes Report – <i>AgeDet</i>	Age Determination Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 15 of Schedule 5 Appendix 1 refers.	Monthly	✓						Day 5
Analogous II Referrals	Analogous II Workflow Analysis	Monthly	✓						Day 5

Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
Performance and Volumes Report – <b>ANOG</b>	detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT, and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 15 of Schedule 5 Appendix 1 refers.								
Annual Training Report	Annual Training Report providing information as detailed within section 3 of Schedule 4 Part 2	Annually	✓						31 <sup>st</sup> December
Tribunals Service Referrals performance and Volumes Report – <b>Appeals</b>	Tribunals Service Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 10 of Schedule 5 Appendix 1 refers.	Monthly	✓		✓				Day 5
Appeal Complaints Stats Report	Numbers of referrals from Regional Chairman, cleared within target, cleared out of target and number outstanding	Half Yearly	✓						Day 5



Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
Attend ED Datadump	Provides details of all ED referrals including month received, Medical Service Centre ID, District Office ID, NINO, Referral Type 1, Sub cat 2, Sub cat 3, Surname, Initial, Date Received, ED Reason, Ed Loop count	Monthly					✓		Day 5
Attend001 phone numbers held	Details of the Number of cases received, that have telephone numbers of the customer supplied by DWP	Monthly	✓			✓	✓		Day 5
Attend002 Appt types by MEC	Appointment Types, Total Appointments, Phone call out (Number and %), Phone call in (Number and %), Total Phone Calls, no Contact total, % of cases with a phone number in the previous month, % success rate phone call out, % success rate of phone call in	Monthly	✓			✓	✓	✓	Day 5
Attend003 DNA Summary	DNA by Appointment type, MEC, Total appointments cleared, Appointments made call out, appointments made call in, Appointments made no contact, total number of DNA, number of call in DNA, Overall DNA %, call out DNA %, call in DNA%, no contact DNA	Monthly	✓			✓	✓	✓	Day 5
Attend004 ED Refs by type	ED received, Change of Address, Ill, No letter, other appointment, Mental Health, Claimant issue, emergency, admin error JCP, admin error Medical	Monthly	✓			✓	✓	✓	Day 5

Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
	Services, teleprogramming not followed.								
Attend005 Loop referrals	3 month IB received, 3 month ED referrals received, 3 Month rolling ED%, loop count (2,3,4,5,6,7,8,10+)	Monthly	✓				✓	✓	Day 5

Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
Claimant Satisfaction Survey	Summary report detailing overall customer satisfaction rates for examination centres and DVs, scores for key questions, narrative summary and analysis at IB, ESA, IIDB & SPVA and DLA/AA benefit level. The achievement of the Service Level in that Month – Service line 20 of Schedule 5 Appendix 1 refers.	Monthly	✓					✓	Day 15
Complaints against HCPs (Benefit Specific and Overall)	Numbers of complaints compared with number of examinations expressed as a percentage for each specific Benefit Line. The achievement of the Service Level in that Month – Service line 19 of Schedule 5 Appendix 1 refers.	Quarterly	✓						Day 5
Complaints Analysis	Complaints Workflow Analysis detailing: incoming, carried forward, and outstanding inc SCIT. The achievement of the Service Level in that Month – Service line 19 of Schedule 5 Appendix 1 refers.	Monthly	✓	✓	✓	✓			Day 5

Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
Complaints Trend Analysis	Complaints trend analysis including analysis of the following statistical data: New complaints volumes in the following categories: Doctor Manner, Content of examination, length of exam, clinical findings, waiting times, expenses, cultural insensitivity, administration, accommodation and other, New official correspondence complaints received by the National Customer Relations Team; Ratio of new complaints to examinations completed – indicative statistical information.	Quarterly	✓						Day 15
Audit Results Quality Monitoring Data	IQAS quality monitoring data providing number of cases sampled and number of A,B and C grades presented by benefits stream and MSC	Monthly	✓						Day 5
Certification Management Information Report	The management information to be provided to the Contract Management Team to be the spreadsheet at Appendix A of Medical Services guidance amalgamated from all MSCs by a single point of contact every 3 months.	3 Monthly	✓						Day 5
Combined Datadump	Required at GOR, PDCS, VA, Tribunals Service & other. Data fields to be: Business Unit, Site ID, Site Name, MSC, Surname, initial, NINO,	Monthly				✓	✓		Day 5

	referral code, registration number, date of receipt, date cleared, output description, non-chargeable reason, clearance code, working days to clear.								
CRU Specialist Advice	CRU Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 12 of Schedule 5 Appendix 1 refers.	Monthly	✓						Day 5
<b>Name of Report (s)</b>	<b>Description of Report (s)</b>	<b>Frequency</b>	<b>Grain</b>						<b>Due Date</b>
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
CSA Referrals Performance and Volumes Report - CSA	CSA Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over 'X' days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement	Quarterly	✓						

	Period – Service line 14 of Schedule 5 Appendix 1 refers								
Customer Sent Home Unseen Breakdown	Pivotal Table displaying count by CSHU type and filter by exam date, benefit and referral	Monthly	✓	✓	✓	✓		✓	Day 5
Customers who DNA	Numer of clients expected, examined and DNA and % DNA	Monthly	✓	✓	✓	✓	✓		Day 5
Diploma in Disability Assessment Benefit	A proposal that meets the requirements of the AUTHORITY, which includes details of the number of Medical Personnel who will be sponsored by the CONTRACTOR to sit the Diploma in Disability Assessment Medicine. Not less than ten per cent (10%) of the Contractor’s Employed Registered Medical Practitioners shall be sponsored on an annual basis.	Annually	✓						31 <sup>st</sup> March
DLA/AA Referrals Performance and Volumes Report – <b>DLAAA</b>	DLA/AA Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service lines 6-9 of Schedule 5 Appendix 1 refers.	Monthly	✓	✓			✓		Day 5
DLA/AA EMP Referrals Summary Report	DLA/AA Weekly EMP Workflow detailing: Referrals received, cleared Referrals, Outstanding referrals, Awaiting an appt, allocated to MEC for DV, % not allocated an appt.	Monthly		✓					Day 5

DLA EMP Volumes	Details of the number of DLA EMP referrals from PDCS profiles against the actual number of referrals provided to Atos Healthcare. Contains the EMPs forecast, actual number and the % variance on the forecast per MSC, Site and at a National level.	Monthly	✓	✓				✓	Day 10
DP Matrix	Service Level failure, Service Credits, Financial penalties mitigation supplied by the Contractor and MSCMT's application of the Financial Penalties – either recovered, extinguished or applied	Monthly	✓	✓	✓	✓			Day 8
ESA Free text in LiMA	Report of practitioners (who have completed more than 20 cases within month) with an average Personalised Summary Statement word count that places them in the top or bottom ten when measured against their peers.	Monthly (one month in arrears)	✓						Day 5
Financial Assistance Scheme	FAS Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 14 of Schedule 5 Appendix 1 refers.	Monthly	✓						Day 5
Financial Assistance Scheme cleared	FAS datadump including name, NINO, date recived, rejection reason, clearance outcome and date cleared	Monthly	✓						Day 5

<u>IB Clearance Distribution</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; Site. Sortable by Referral Description. Shows AACT &amp; breakdown of cases cleared in 5 day intervals</u>	<u>Monthly</u>	<u>✓</u>			<u>✓</u>	<u>✓</u>		<u>Day 5</u>
<u>IB Cleared</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; Site. Sortable by Referral Description. Shows Clearance Type</u>	<u>Weekly &amp; Monthly</u>	<u>✓</u>			<u>✓</u>	<u>✓</u>		<u>Day 5</u>
<u>IB Customer Service</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; Site. Sortable by Referral Description. Shows CSHU &amp; Ave Waiting Time</u>	<u>Monthly</u>	<u>✓</u>			<u>✓</u>	<u>✓</u>		<u>Day 5</u>
<u>IB DVs</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; Site. Sortable by Referral Description. Shows DVs Scheduled &amp; Completed and number &amp; % of Abortive Visits</u>	<u>Monthly</u>	<u>✓</u>			<u>✓</u>	<u>✓</u>		<u>Day 5</u>
<u>IB Outstanding</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; Site. Sortable by Referral Description. Shows stage of all outstanding cases, AAOT, AAOT previous month &amp; number outstanding over Old Case Target</u>	<u>Weekly &amp; Monthly</u>	<u>✓</u>			<u>✓</u>	<u>✓</u>		<u>Day 5</u>
<u>IBR Free text in LIMA</u>	Report of practitioners (who have completed more than 20 cases within month) with an average Personalised Summary Statement word count that places them in the top or bottom ten when measured against their peers.	Monthly (one month in arrears)							<u>Day 5</u>
<u>IB Q Returns Distribution</u>	<u>Pivot Table consisting of 3 sheets:</u>	<u>Monthly</u>	<u>✓</u>			<u>✓</u>	<u>✓</u>		<u>Day 5</u>



	<u>National, Region &amp; Site. For Questionnaire referrals shows Average Actual Return Time &amp; breakdown in 5 day intervals; Number who didn't return questionnaire MH and non MH</u>								
<u>IB Referrals Daily Registration Reports</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; Site. Sortable by Referral Description. Shows referrals received from DWP on each day of the month.</u>	<u>Weekly &amp; Monthly</u>	<u>✓</u>			<u>✓</u>	<u>✓</u>		<u>Day 5</u>
<u>IB &amp; ESA Assessments Rolling</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; MSC. Sortable by Referral Description. Rolling 3 months data. Shows Assessments, % Support Group/Exempt, &amp; NFD, % by Prognosis</u>	<u>Monthly</u>	<u>✓</u>			<u>✓</u>		<u>✓</u>	<u>Day 5</u>
<u>IB &amp; ESA Pre Board Check/Scrutiny Rolling</u>	<u>Pivot Table consisting of 3 sheets: National, Region &amp; MSC. Sortable by Referral Description. Rolling 3 months data. Shows Number of Pre Board Check &amp; Scrutiny, % FME Requests, % Support Group, % Accept or Treat as LCW, % Called, % Exempt, % by Prognosis</u>	<u>Monthly</u>	<u>✓</u>			<u>✓</u>		<u>✓</u>	<u>Day 5</u>
<u>IB SMS datadump</u>	<u>Datadump of all cases in SMS on day report run. Includes date received, date entered workstack and referral type</u>	<u>Weekly</u>				<u>✓</u>	<u>✓</u>	<u>✓</u>	<u>Monday</u>
<u>IIDB PD A11 workflow report (In Month)</u>	<u>Includes incoming outgoing &amp; outputs Examination details testing details and AACT &amp; AAOT</u>	<u>Monthly</u>	<u>✓</u>			<u>✓</u>		<u>✓</u>	<u>Day 5</u>

IIDB Referrals Performance and Volumes Report – IIDB	IIDB Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over 'X' days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 4 of Schedule 5 Appendix 1 refers.	Monthly	✓			✓		✓	Day 5
IIDB PDD3 Referrals	IIDB Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service lines 5 of Schedule 5 Appendix 1 refers.	Monthly	✓			✓		✓	Day 5
IFD Datadump	Datafeed from MSRS and LiMA	Monthly	✓	✓	✓	✓	✓	✓	Day 9
IPC Referrals Performance and Volumes Report- <b>IPC</b>	IPC Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (CSD, IB, IIDB, ESA Jamaica & Barbados) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 14 of Schedule 5 Appendix 1 refers.	Monthly	✓						Day 5
HMRC Child Trust Fund	HMRC CTF Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (all referral types) The achievement of the Service Level in that Month and the average achievement of	Quarterly	✓						Day 5

	the Service Level during the Service Measurement Period – Service line 14 of Schedule 5 Appendix 1 refers.								
HMRC Tax Credit Referrals Performance and Volume Report – <b>IRTC</b>	HMRC TC Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service lines 14 of Schedule 5 Appendix 1 refers.	Quarterly	✓						Day 5
HMRC SSP/SMP Referrals Performance and Volumes Report – <b>IRSSPSMP</b>	HMRC SSP/SMP Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 15 of Schedule 5 Appendix 1 refers.	Monthly	✓						Day 5
JSA Referrals Performance and Volumes Report – <b>JSA</b>	JSA Workflow detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 14 of Schedule 5 Appendix 1 refers	Quarterly	✓						Day 5
Med Qual 0006-2	Analysis of Rework Analysis	Monthly	✓					✓	Day 5
Medical Quality Monitoring	As a minimum to report on and analyse the following: IB and ESA process outcomes and exceptions; rework exceptions; multiple complaints; C	Monthly	✓	✓	✓	✓	Where appropriate ie. Rework Accuracy		Day 8

	grades; Actual vs expected audit sample size; KPI 021 (Dr. Capability-quarterly). Mitigation (level of detail dependent upon the performance against target). To include re-referrals within the PBC SG information and % of cases accepted as scrutiny for ESA re-referrals on the ESA spreadsheet. To include % of cases accepted as scrutiny on the IBR spreadsheet.								
Multiple CSHU Datadump	Details of all CSHU in month with previous CSHU on same referral: inc name, NINO, ref code, received date, CSHU code & description, appointment date	Monthly				✓	✓	✓	Day 5
Occupational Health Assessments	OHA Workflow detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over “x” days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 15 of Schedule 5 Appendix 1 refers.	Monthly	✓			✓			Day 5
Outstanding Customer Action	Summary report for ESA and IB migration to identify browse new response list entries by category and length of time outstanding	Monthly	✓			✓	✓		Day 5
Recruitment Report	Narrative report detailing the following information: the national medical resource gap for sessional examinations (expressed as FTE Drs shortfall), the national medical resource gap for DV examinations, recruitment targets for examination centres to fill Dr capacity at local level (expressed as	Monthly	✓	✓	✓	✓			Day 10

	FTE Drs shortfall), recent Dr recruitment activities (employed and contracted), recruitment/attrition rates and consequential impact on examination capacity at local level								
SDA Workflow	Pivot Table consisting of 3 sheets: National, Region & Site. Sortable by Referral Description. Shows Brought Forward, Received, Cleared (by type), Outstanding (by stage), AACT and AAOT	Monthly	✓			✓	✓		Day 5
Service Level Traffic Lights	The report details Service Level achievement and failure for all Services. The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period –	Monthly	✓	✓	✓	✓	✓		Day 5
Training Needs Analysis	Identify areas of training needs together with priorities for implementation The achievement of the Service Level in that year - Service line 29 of Schedule 5 Appendix 1 refers.	Annually	✓						30 <sup>th</sup> June

<p>Training Plan</p>	<p>The CONTRACTOR shall, within one month of agreeing the TNA outcome, provide the AUTHORITY with a plan setting out in detail the manner in which the Training Programme shall be delivered (the "Training Plan"). The Training Plan shall include as a minimum the following: the name of the training module and for each training module a timetable of delivery of each training activity, the training personnel to be involved in the training activity, the aims and objectives of the training, the target population that includes the number of Registered Medical Practitioners to be trained at each Medical Service Centre, proposed method and estimate duration of that training. The achievement of the Service Level in that year - Service lines 38 of Schedule 5 Appendix 1 refers.</p>	<p>Annually</p>							<p>31<sup>st</sup> August</p>
<p>Vaccine Damage Referrals Performance and Volumes Report – <b>VD</b></p>	<p>Vaccine Damage Workflow detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 15 of Schedule 5 Appendix 1 refers.</p>	<p>Monthly</p>	<p>✓</p>						<p>Day 5</p>
<p>Service Personnel &amp; Veteran's Agency Complaints Performance and Volumes Report</p>	<p>Pivotal table data, complaints received and cleared, outcomes and issues</p>	<p>Monthly</p>	<p>✓</p>				<p>✓</p>		<p>Day 5</p>

Service Personnel & Veterans Agency Audiology Reports	Service Personnel & Veteran's Agency Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 13 of Schedule 5 Appendix 1 refers	Monthly	✓						Day 5
Service Personnel & Veterans Agency Referrals Performance and Volumes Report – VA	Service Personnel & Veteran's Agency Workflow Analysis detailing: Incoming, outgoing, outstanding, outputs, AACT, AAOT and cases over "x" days (all referral types) The achievement of the Service Level in that Month and the average achievement of the Service Level during the Service Measurement Period – Service line 12 of Schedule 5 Appendix 1 refers	Monthly	✓						Day 5

Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
IB_Reassessment_WCA_Booked (initial assessments only)	To assist with the measurement of the period between appointment to WCA	Monthly (provided weekly on a best endeavours	✓				✓		Day 5

Name of Report (s)	Description of Report (s)	Frequency	Grain						Due Date
			National	DBC/DCPU	Tribunals Service Regions	GOR	Other e.g. Small Business Unit (SBU), JCP Site, PDCS Command	MSC/MEC	
	outcome	basis)							
PreBoardCheckScrutiny_Weekly	Provide a weekly IBR scrutiny outcomes report	Monthly (provided weekly on a best endeavours basis)	✓					✓	Day 5

Appendix 2: ESA MI



Name of Report (s)	Description of Report (s)	Frequency	Grain				MSC	MSC/MEC	Due Date
			National	GOR	BDC				
ESA Cleared_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. This details monthly receipt and clearance totals for the referral types listed in the ESA Daily Referrals report.	Monthly	✓	✓	✓			Day 5	
ESA Clearance Distribution_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. This details the distribution of clearances during the month.	Weekly & Monthly	✓	✓	✓			Monday	
ESA Terminally Ill Referrals_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. It provides intake and outcome details for ESA Terminally Ill referrals.	Monthly	✓	✓	✓			Day 5	
ESA Support Group_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. It provides details of the numbers of ESA New Claims, ESA New Claims Previous DNA, ESA Re-Referrals, ESA Re-Referrals Previous DNA and ESA Terminally Ill Referrals cleared at Scrutiny, WCA Assessment and the numbers and percentages which are deemed to in the Support Group from Scrutiny, WCA Assessment and both	Monthly	✓	✓	✓			Day 5	

ESA Q Returns Distribution_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. It provides detailed analysis for each of the referral descriptions ESA Questionnaire Request initial and ESA Questionnaire Request re-referral of the distribution of returned questionnaire, the numbers of Mental Health Questionnaires and Non-Mental Health Questionnaire not returned during the reporting period. It also shows the Actual Average Return Time (AART) for each referral description	Monthly	✓	✓	✓			Day 5
ESA Outstanding_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. It provides detailed analysis for each referral type listed, ESA New Claims, ESA New Claims Previous DNA, ESA Re-Referrals, ESA Referrals Previous DNA, WFHRA only referrals and Rework of WCA Assessment Reports, Scrutiny/Pre-Board Check Reports and WFHRA reports.	Monthly	✓	✓	✓			Day 5
ESA Customer Service_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. It provides detailed analysis of customer service aspects for each referral type listed, ESA	Monthly	✓	✓	✓			Day 5

	New Claims, ESA New Claims Previous DNA, ESA Re-Referrals, ESA Referrals Previous DNA, WFHRA only referrals and Rework of WCA Assessment Reports, Scrutiny/Pre-Board Check Reports and WFHRA reports;							
ESA SMS Datadump	Datadump of all cases in SMS on day report run. Includes date received, date entered workstack and referral type	Weekly		√			√	Monday
ESA Assessment Scores Datadump	Datadump of all WCA assessment reports completed on LiMA in the month. Includes NINO, referral code, KPI start date, KPI stop date, referral outcome, Support Group, physical score, mental score, total score, NFD, MH flag	Monthly		√				Day 5
ESA DVs_<date>	An Excel Pivot Table consisting of the three sheets, National, Region and Site. It provides detailed analysis of assessments scheduled and completed by Domiciliary Visit for each referral type listed, ESA New Claims, ESA New Claims Previous DNA, ESA Re-Referrals, ESA Referrals Previous DNA, WFHRA only referrals and Rework of WCA Assessment Reports, Scrutiny/Pre-Board Check Reports and WFHRA reports;	Monthly	√	√	√			Day 5

MOD ESA Datadump	Required at National level, datadump of all claims for ESA from Military personnel including all re-works.	Monthly	✓					Day 5
Clearance Datadump	Required at GOR, Data fields to be: Business Unit, Site ID, Site Name, MSC, Surname, initial, NINO, referral code, registration number, date of receipt, date cleared, output description, non-chargeable reason, clearance code, working days to clear.	Monthly						Day 5
Clerical LCWRA Summary	Spreadsheet detailing clerical LCWRA Only referrals. Row entries for all referrals received, cleared & outstanding, dates each stage of process completed & outcome of referral.	Monthly			✓	✓		Day 5
ESA Service Level Traffic Light Report	Report details performance against Contractual targets over 13 month period. Report shows all service levels which relate to ESA	Monthly	✓	✓		✓		Day 5
Attend ESA ED Datadump	Provides details of all ED referrals	Monthly		✓	✓			Day 5
Attend ESA 001 phone numbers held	Details of the Number of cases received, that have telephone numbers of the customer supplied by	Monthly		✓	✓	✓	✓	Day 5

	DWP							
Attend ESA 002 Appt types by MEC	Appointment Types, Total Appointments, Phone call out (Number and %), Phone call in (Number and %), Total Phone Calls, no Contact total, % of cases with a phone number in the previous month, % success rate phone call out, % success rate of phone call in	Monthly		✓	✓	✓	✓	Day 5
Attend ESA 003 DNA Summary	DNA by Appointment type, MEC, Total appointments cleared, Appointments made call out, appointments made call in, Appointments made no contact, total number of DNA, number of call in DNA, Overall DNA %, call out DNA %, call in DNA%, no contact DNA	Monthly		✓		✓	✓	Day 5
Attend ESA 004 ED Refs by type	ED received, Change of Address, Ill, No letter, other appointment, Mental Health, Claimant issue, emergency, admin error JCP, admin error Medical Services, teleprogramming not followed.	Monthly		✓	✓	✓	✓	Day 5
Attend ESA 005 Loop referrals	3 month ESA received, 3 month ED referrals received, 3 Month rolling ED%, loop count	Monthly		✓	✓			Day 5

	(2,3,4,5,6,7,8,10+)							
WCA Daily Clearance	Pivot Table consisting of 3 sheets: National, Region & Site. Sortable by Referral Description. Shows referrals cleared by type on each day of the month.	Weekly & Monthly	√	√	√			Monday
WCA Daily Registration Report	Pivot Table consisting of 3 sheets: National, Region & Site. Sortable by Referral Description. Shows referrals received from DWP on each day of the month.	Weekly & Monthly	√	√	√			Monday
Browse New Response List – Outstanding Customer Action	Summary report for ESA and IB migration to identify browse new response list entries by category and length of time outstanding	Monthly	√	√	√			Day 5
MSPMG & GIM Reporting Pack	An Excel file containing multiple worksheets summarising performance across a variety of business areas	Monthly	√	√	√			Day 5