

Withdrawn

This publication is withdrawn.

This publication is no longer current.

Fit for Work Supplier Guidance for England and Wales

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- 1) This guidance aims to give the Fit for Work (FfW) Supplier for England and Wales, in support of the FfW Invitation to Tender, so that they are able to:
 - a) develop the detailed delivery model fully;
 - b) adapt their own internal processes to support the delivery of the Service and the requirements of the contract; and
 - c) put in place arrangements to enable the Supplier to work with the Department for Work and Pensions (DWP).
- 2) This guidance does not contain detailed processes, which the Supplier will be expected to develop themselves along with learning and development products for staff delivering the Service. These will be set out in the Suppliers' own internal guidance.
- 3) The guidance is not intended in any way to replace the details included in the Specification, Terms and Conditions, or other contractual/legal documents about the Service. The Supplier is expected to consider and comply with all relevant instructions in developing and delivering the Service.
- 4) This guidance will be published by DWP.

Overview

- 5) The aims and objectives of the Service are set out in the Specification which was published on 13 February 2014. This also included detailed information about why the Service was being introduced and the rationale for this type of service.
- 6) This guidance covers:
 - a) Service Administration – providing guidance on high-level processes for how the Supplier will submit invoices and Management Information (MI) to DWP, handle complaints and feedback, and other general issues relating to the administration of the Service; and
 - b) Roles and Responsibilities – providing guidance on how the Supplier will work with key stakeholders, and DWP and its representatives.

Service Administration

- 7) This chapter provides guidance on the general activities, systems and processes the Supplier will need to support administration of the Service. The Supplier is required to develop lower-level processes and systems to deliver these requirements.
- 8) This chapter contains the following sections:

- a) Invoices and payments:
 - i) Service Fees;
 - ii) Output Payments; and
 - iii) Set up costs.
- b) Management Information:
 - i) MI requirements;
 - ii) individual-level MI; and
 - iii) aggregated MI.
- c) General administration:
 - i) Marketing and branding;
 - ii) complaints and feedback;
 - iii) vulnerable customers;
 - iv) unacceptable customer behaviour;
 - v) Health and Safety;
 - vi) business continuity; and
 - vii) other programmes.
- d) Data sharing:
 - i) Data Protection Act; and
 - ii) Freedom of Information requests (FOIs) and Parliamentary Questions (PQs).

Invoices and Payments

Overview

- 9) Payments made to the Supplier will be paid monthly in arrears. The Supplier will submit a draft invoice and any supporting evidence five days prior to the agreed date. DWP will then confirm the evidence is correct or return the draft invoice to the Supplier and ask them to re-submit if any errors are found.
- 10) All draft invoices submitted by the Supplier will be sent to a dedicated email address owned by DWP at:
HEALTHSERVICESDIRECTORATE.MITEAM@DWP.GSI.GOV.UK.
- 11) DWP, in partnership with Procserve, operate the electronic interface to support the automation of the Purchase to Pay system. To be able to submit invoices via Procserve, the Supplier must first register as a Procserve supplier. To do this, the Supplier will first obtain a Dun & Bradstreet number. Details on how to register and use Procserve can be found in Annex 3.
- 12) Five working days after valid evidence has been received from the Supplier, the Supplier will submit an accurate invoice via the Procserve system. DWP will pay the accurate and valid invoice within five days of

receipt. DWP will submit purchase orders to the Supplier for the three payment models via Procsolve. Agreed invoices will be submitted against the purchase order for the payment via Procsolve.

13) The Supplier will invoice DWP separately for each payment type:

- a) Set up costs – up to (but not beyond) 31 March 2015 will be paid on an on going basis as they are incurred and in accordance with the milestones identified by the Supplier in the bid, after validation of an invoice;
- b) Service Fees – will be paid to the Supplier on a monthly basis, in arrears, for the initial 24 months of Service delivery under the contract. The Service fee will not be a fixed amount each month; and
- c) Output Payments – banded payments, paid monthly in arrears, for the final RtWP produced for each eligible employee referred to and discharged from the Assessment Service.

Set up costs

14) Invoicing, validation and payment of set up costs as they are incurred and in accordance with the milestones defined in the tender response, will be processed on a case-by-case basis during the mobilisation period and are not covered in this guidance.

Service Fees

15) Service Fees will be paid to the Supplier on a monthly basis for the initial 24 months of service delivery under the contract with effect from the first service commencement. The Service Fee will not be a fixed amount each month and the maximum amount of Service Fee that will be paid reduces over time. Payment of the maximum amount of Service Fee is dependent on the Supplier achieving the profiled headcount to staff in post identified in Appendix 2 of the Terms and Conditions.

16) The Supplier will invoice DWP for each Service Fee due by submitting a draft invoice form. The Supplier will only include one claim for a Service Fee per invoice. The invoice for each Service Fee should be e-mailed to the central DWP mailbox dedicated to the Service at: HEALTHSERVICESDIRECTORATE.MITEAM@DWP.GSI.GOV.UK. All invoices must be received by DWP by the agreed working day of each calendar month.

17) DWP will check each submitted Service Fee draft invoice, and if errors are found the invoice will be returned by e-mail to the Supplier (using the e-mail address from which the invoice was sent to DWP) with an explanation of the error. The Supplier will then be required to correct and re-submit another draft invoice.

Pre Payment Validation

- 18) The Independent Assessment Assurance Provider (IAAP) will confirm, as part of the pre-payment validation, that the Supplier has delivered both the Assessment Service and the Advice Service in the previous calendar month. The IAAP will check the headcount recruitment profile has been met before the service fee is paid for the full amount. Any shortfalls in actual recruitment against the profile will result in a reduction to the service fee payable.
- 19) If the Service Fee draft invoice passes pre-payment validation, then DWP will request the Supplier to submit the agreed invoice via Procserve five days after the evidence has been submitted. DWP will authorise payment of the Service Fee within five working days of the correct invoice being received via Procserve.
- 20) If the Service Fee draft invoice does not pass pre-payment validation, then no payment will be made in respect of the Service Fee for that period until a correct and valid invoice is submitted. DWP will notify the Supplier by e-mail using the e-mail address from which the invoice was sent to DWP. Any disputes will be subject to the dispute resolution process.

Action

- 21) The Supplier will develop systems and processes to:
- a) complete and submit via e-mail a draft Service Fee invoice along with supporting evidence to DWP by the agreed working day of each calendar month, during the first two years of the contract, in-line with the agreed payment schedule for Service Fees;
 - b) correct any Service Fee draft invoices which are found to have errors, and re-submit them promptly to DWP via e-mail; and
 - c) once agreed by DWP, submit, via Procserve, the invoice for payment.

Consequences

- 22) Incomplete or incorrect action when submitting invoices may result in delays with Service Fee payments to the Supplier.

Output Payments

- 23) DWP will pay the Supplier an Output Payment, paid monthly in arrears for each final RtWP produced for every eligible employee discharged from the Assessment Service.
- 24) The Supplier will send DWP a draft invoice for all Output Payments due. The Supplier will only include employees discharged during the previous

calendar month per invoice. Only one invoice for Output Payments should be submitted per calendar month. The draft invoice for each month's Output Payments should be e-mailed to the central DWP mailbox dedicated to the Service at:

HEALTHSERVICESDIRECTORATE.MITEAM@DWP.GSI.GOV.UK. All invoices must be received by DWP by the agreed working day of each calendar month.

25) The supporting evidence for pre-payment validation of Output Payments will consist of the following data fields for each employee being claimed for:

- a) UI of the employee;
- b) date referred to the Assessment Service;
- c) date the final RtWP was produced; and
- d) date of discharge from the Assessment Service.

Pre Payment Validation

26) DWP will perform pre-payment validation on each draft Output Payment invoice, using the anonymised data for each employee being claimed for. If errors are found with the details of any of the employee's being claimed for, the draft invoice will be returned by e-mail to the Supplier (using the e-mail address from which the invoice was sent to DWP) with an explanation of each error.

27) The Supplier will then be required to correct and re-submit the draft invoice. If no errors are found and the entire Output Payment invoice passes pre-payment validation, DWP will ask the Supplier to submit the agreed invoice via Procserve within five working days of the supporting evidence being received and agreed. DWP will authorise payment of the Output Payments within five working days of the correct invoice being submitted via Procserve.

Post Payment Validation

28) DWP will randomly select a statistically valid sample of the Output Payments claimed for and paid each calendar month, for post-payment validation by the IAAP. The IAAP will then use the Supplier's systems and records to validate this sample of claims, using the Unique Identifier of the employees concerned to link each sample claim to the Supplier's records. The Supplier will be required to provide the IAAP with prompt and full access to all relevant systems and records to support this post-payment validation activity. [See annex 4 and addendum](#).

29) If no validation errors are found during post-payment validation of the sample of claims, the IAAP will report this to DWP and no further action

will be taken. For the avoidance of doubt, the definition of error shall be limited to lack of authenticity and validity and not include any perceived quality issues.

- 30) If any errors are found during post-payment validation, the IAAP will report the nature of each error, and the overall error rate on the sample, to DWP. DWP will then extrapolate this to calculate the deemed error rate for all Output Payments paid that month as per clause 14.3 Schedule 14 Part B (rounded to the nearest whole number of Output).¹
- 31) There will be no maximum limit to the number or value of Output Payments recovered – if the entire sample of Output Payments fails post-payment validation (i.e. an error rate of 100%) then the entire affected invoice will be deemed to have been in error and the Supplier will raise a Credit Note against DWP for the total value of the invoice.

Service Level Agreements

- 32) The Specification details nine SLAs against which the performance of the Supplier and the quality of the Service will be assessed throughout the contract. [See annex 4](#). The employee customer satisfaction questions to be used by HML during follow up can be found in [annex 6](#).

Action

- 33) The Supplier will need to develop systems and processes to:
- a) complete and submit via e-mail draft Output Payment invoices to DWP by the agreed working day of each calendar month, in-line with the agreed payment bandings for Output Payments;
 - b) correct any Output Payment draft invoices which are found to have errors, and re-submit them promptly to DWP via e-mail;
 - c) submit an agreed invoice for payment via Procserve;
 - d) enable prompt and full co-operation with the IAAP in performing post-payment validation of Output Payments;
 - e) ensure incoming calls are answered on working days within 30 seconds; and

¹ For example: the Supplier submits an invoice for 2,000 Output Payments for the previous calendar month; the invoice passes pre-payment validation and DWP authorises payment of the 2,000 Output Payments; the IAAP performs post-payment validation on 500 of these Output Payment claims and of these 12 cases fail post-payment validation, resulting in an error rate of 2.4%. DWP will extrapolate this error rate, and the deemed error rate on the invoice will be 48 of the 2,000 Output Payments. The Supplier will raise a Credit Note to refund the value of these 48 Output Payments previously paid to the Supplier.

- f) respond to advice service queries within two working days of initiation.

Consequences

- 34) Incomplete or incorrect action when submitting invoices may result in delays with Output Payment payments to the Supplier, or Credit Notes being raised to recover Output Payments which are deemed to be in error following post-payment validation.

Management Information

- 35) DWP will use Management Information (MI) about the Service to monitor the performance of the Supplier against the SLAs and other contractual requirements, and to support evaluation of the Service.
- 36) The Supplier will submit the required MI to DWP, using the agreed method and format, e-mailed to the central DWP mailbox dedicated to the Service at HEALTHSERVICESDIRECTORATE.MITEAM@DWP.GSI.GOV.UK. All MI must be received by DWP by the agreed working day of each calendar month.
- 37) All MI provided to DWP will include a declaration from a named contact in the Supplier confirming that the MI is accurate.
- 38) The Supplier will have processes and systems in place to accurately capture and produce the MI using the agreed method and format required by DWP each week:
 - a) performance MI will be reported on an aggregated level, and will provide key data about the Assessment and Advice elements of the Service during the previous week;
 - b) Evaluation MI will be reported against the UI of employees using the Assessment Service, and will provide key data about each employee who was discharged from the Assessment Service in the previous week; and
 - c) customer satisfaction MI will be gathered from employees discharged from the Assessment Service and reported monthly, and DWP or its representatives will gather the customer satisfaction MI from employers and GPs using the Assessment Service and reported quarterly. The Supplier should ensure that the customer satisfaction findings are recorded against the correct UI for the employee.
- 39) The minimum supplier requirements are included at [annex 1](#). DWP expect the Supplier to expand on the requirements listed to reflect the service that is being delivered, capturing any Supplier innovation from the

requirements detailed in the Specification. The reports (and content of reports) that DWP will require are to include:

Performance MI

- a) High level weekly MI that will be used for reporting to Senior Managers and satisfying any early ministerial requests on progress of the Service. Over time the appetite for collecting weekly MI may diminish and, at such a stage DWP will confirm if this requirement is still appropriate.
[See annex 1](#)
- b) MI to be reported against each SLA that the Supplier reports against (SLAs 5-9 inclusive). All MI is to be attributed to an SLA and reported on individual tabs once the format of reporting has been agreed between the Supplier and DWP
- c) MI showing the breakdown of assessments conducted or calls made within the SLA target times are required. All fields that show this information must include when these activities were actioned/cleared so it is readily distinguishable whether or not the SLA target has been met for each week / month reported
- d) reporting by centre/region depending on the delivery model. For example, if the delivery of the Service is split over several contact centres/delivery site, DWP will require a breakdown of this MI to cover these centres/regions to enable MI to be managed, and varied performance addressed, across each site
- e) a narrative report that details both positive and negative results, along with reasons for these variations in the MI reported;
- f) a report that covers both website and telephone service availability and performance, broken down by performance on individual days to allow DWP interrogation of availability and the performance of the Advice Service

Individual MI

- g) completed reports that show the individual's entire journey through the Service, including, amongst other things, assessments conducted and outputs produced; and

Advice and General MI

- h) cumulative reports detailing those accessing the Advice Services, and other General MI.

Action

40)The Supplier will develop systems and processes to:

- a) complete and submit via e-mail the required MI using the agreed method and format to DWP by the agreed timescales; and
- b) correct any MI which is found to have errors, and re-submit the MI using the agreed forms promptly to DWP via e-mail.

General Administration

41)This chapter provides guidance on DWP policies and procedures that are to be followed by the Supplier and have been captured in the relevant sections. The Supplier is required to develop lower-level processes and products and to develop contingency plans where appropriate. This section will contain specific information relating to:

- a) Marketing and Branding;
- b) Complaints and Feedback;
- c) Health and Safety;
- d) Unacceptable Customer Behaviour; and
- e) Business Continuity.

Marketing and Branding

42)The Supplier will be responsible for developing all marketing and branding materials associated with the Service, as detailed in the Specification, Terms and Conditions and other legal/contractual documents. All marketing and branding materials must be discussed with and pre-approved by DWP.

43)As the Service aims to help with the reduction of absentee rates and is voluntary, it is important that positive messages are promoted. The Supplier is expected to co-operate with DWP in promoting good news stories about the Service.

44)The Supplier will put in place systems and processes to:

- a) develop all marketing and branding materials, and obtain input and approval from DWP for all materials before they are used; and

- b) work with DWP in the promotion of good news stories about the Service.

Complaints and Feedback

- 45) The Supplier will develop robust systems and processes to handle customer complaints and feedback, and ensure these are fed into the continuous improvement of the Service. The Supplier will also be expected to act on feedback received by DWP to ensure this is included in the continuous improvement of the Service.
- 46) The Supplier will clearly communicate their feedback and complaints process to employees taking part in the Assessment Service, provide details of these processes on the advice website, and ensure any customer who wishes to complain over the phone is informed of these processes.
- 47) The Supplier's internal complaints processes will be capable of resolving customer complaints, but the Supplier will also ensure that they have systems and processes in place to support appropriate escalation of any complaints that they are unable to resolve themselves using internal processes.
- 48) Examples of the different escalation routes the Supplier is expected to take account of in developing their own detailed complaints escalation processes and systems are:
 - a) Independent Case Examiner (ICE) – for the escalation of Service complaints (sometimes referred to as complaints about maladministration – the term used to describe when an organisations actions or inactions result in a customer experiencing a Service which does not match the organisations aims or commitments);

Note: If the dispute cannot be resolved by mediation, ICE will conduct a full investigation. The decision of ICE shall be final and binding upon the parties to the dispute. The ICE investigation shall carry a £5,000 contribution to costs paid by the Prime Contractor or the Sub-contractor, who will also be liable for any financial redress recommended by ICE. In the event that the complaint against the Prime Contractor or Sub-contractor is dismissed, no costs shall be payable. Any costs in respect of complaints that have been upheld against the Prime Contractor or the Sub-contractor and any financial redress due to the customer shall be paid within four weeks of the date of the ICE final investigation report.

- b) Information Commissioners' Office (ICO) – for complaints about the use of personal data and DPA breaches;
- c) relevant professional body – for advice about medical evidence included in the RtWP (e.g. the Royal College of Psychiatry should be

consulted if the employee thinks they have received inappropriate mental health advice as part of the assessment and RtWP); and

- d) other routes as necessary, including Her Majesty's Revenue and Customs (HMRC) (if the complaint is about Statutory Sick Pay ending as a result of the RtWP and the Supplier identifies that the employer may be at fault), the Tribunal Service (if the RtWP may have been used for constructive dismissal by the employer), etc.

49) The Supplier will provide anonymised MI on all complaints to DWP using the agreed MI templates, including details of where they have signposted the customer to one of the above escalation routes.

50) If a serious complaint (one which may culminate in a police or professional body investigation) is found to be justified, the Supplier will:

- a) report any serious staff and customer complaints they record to DWP; and
- b) in the case of customer complaints about professional competence, consider the appropriateness of suspending the health care professional from undertaking assessments until the complaint investigation is complete.

Action

51) The Supplier will develop systems and processes to take account of feedback and handle all customer complaints, including:

- a) advising customers appropriately of their internal complaints reporting and resolution processes;
- b) signposting customers appropriately to how to escalate complaints which are not resolved through their internal processes; and
- c) reporting complaints accurately and promptly to DWP.

Consequences

52) Incomplete or incorrect action with regard to feedback and complaints may result in:

- a) informal and/or formal performance improvement activity with the Supplier; and
- b) consideration of early contract termination.

Health and Safety

- 53) The Supplier is responsible for the Health and Safety of all individuals involved in any way with the Service.
- 54) Under Health and Safety law, all individuals involved with delivering the Service are regarded as the employees of the Supplier, whether they are paid by the Supplier or not. The Supplier must therefore comply with the Health and Safety Act 1974 and the Act's associated regulations, including but not limited to:
- a) ensuring that all individuals receive health and safety induction, training and supervision which are appropriate; and that systems are in place for checking this, both within the Supplier's own organisation and any subcontractors;
 - b) conducting risk assessments; and instructing, informing and training individuals on the control measures identified; and
 - c) maintaining records as required.
- 55) DWP staff and representatives of DWP may visit the Supplier and any sub-contractors for a variety of purposes, and they will, as part of their duties, adopt an 'awareness' approach to health and safety. In doing so they will not be conducting a health and safety inspection, nor will they be in a position to offer advice on whether something is safe or not; instead they will approach this from the position of a layperson. If however they do notice something on which they require assurance or clarification they will raise this with the Supplier or subcontractors at the location they are visiting. If it is subsequently decided that the issue raised is one which requires follow-up, this will be arranged with the Supplier through the DWP Account Manager.
- 56) The Supplier is also responsible for the Health and Safety of individual customers (including employees, employers, GPs) using the Assessment and Advice Services. This includes (but is not limited to) responsibility for the Health and Safety of employees attending face-to-face assessments.

Action

- 57) The Supplier will put in place systems and processes to provide a healthy and safe environment for all individuals involved in delivering the Service, and to comply with the Health and Safety Act 1974.

Unacceptable Customer Behaviour

- 58) All customers of the Assessment and Advice Services have a responsibility to behave in an appropriate manner. The Supplier will put in place systems and processes to promptly deal with inappropriate behaviour from all individuals using the Service where the:

- a) inappropriate behaviour is of a minor nature (such as use of inappropriate language) the Supplier should aim to deal with this behaviour internally in the first instance; and
- b) inappropriate behaviour is more serious, or there is a pattern of inappropriate behaviour from individuals or groups, the Supplier will be required to notify the DWP Account Manager.

59) DWP considers that the following are examples of unacceptable or inappropriate behaviour (note that this list is illustrative only, and is not intended to be an exhaustive list of inappropriate behaviour):

- a) verbal abuse, including verbal abuse of a sexual or racist nature;
- b) sexual innuendo, harassment, or unwelcome attention of a personal nature; and
- c) threats (which are implied or otherwise), intimidation, attempted or actual assaults, or violence.

60) If the inappropriate or unacceptable behaviour of any individual using the Service is of such a serious nature that the Supplier wishes to exclude them from using the Service, the Supplier will be required to notify the DWP Account Manager and provide full details of the relevant behaviour. The DWP Account Manager will make the final decision on any request to exclude customers from using the Service.

Action

61) The Supplier will put in place systems and processes to deal with inappropriate and unacceptable behaviour from customers using the Service where inappropriate behaviour is:

- a) of a minor nature, the Supplier will aim to deal with this internally in the first instance;
- b) of a more serious or sustained nature, the Supplier will notify the DWP Account Manager; and
- c) of such a serious nature that the Supplier wishes to exclude the customer from using the Service, the Supplier will notify the DWP Account Manager who will make the final decision on such exclusions.

Business Continuity

62) The Supplier is responsible for creating and regularly maintaining a Business Continuity Strategy Plan, and for sharing this plan and their strategy for maintaining it with the DWP Account Manager.

- 63) The Supplier will be required to undertake risk assessments of all processes prior to go live to inform their Business Continuity Strategy Plan.
- 64) The Business Continuity Strategy Plan must cover all key business processes and systems to ensure the Supplier can continue to deliver the Service, and that all systems (including IT systems and the data they contain) can be successfully recovered should a serious incident occur.
- 65) Due to the voluntary nature of the Service, DWP cannot provide guarantees for the volumes of customers using the Assessment and Advice Services. The Supplier is also responsible for including in the Business Continuity Strategy Plan details of how they will ensure sufficient health care professionals are available and can be deployed to meet fluctuations in demand for the Service.
- 66) The Supplier is responsible for informing the DWP Account Manager promptly of any problems with business continuity and of triggering any of the contingency plans, both incidents that occur and any evidence of potential problems with business continuity. This should include advance warning of any anticipated problems with deployment of sufficient health care professionals to deliver the Service to the required quality standards.
- 67) The Supplier will put in place systems and process to develop and maintain a Business Continuity Strategy Plan, sharing this with the DWP Account Manager, and informing the DWP Account Manager of any potential or actual problems with business continuity.

Other Programmes

- 68) To ensure the Service supports the needs of employees being advised or assessed, it will need to be able to maintain up to date information about the full range of Services.
- 69) DWP and government (both national and local) deliver a wide range of Services which may be of use in supporting employees and other customers of the Service. The Supplier should have arrangements in place to ensure the information is up-to-date and is able to effectively signpost customers to them as appropriate.

Data Sharing

- 70) This chapter will provide information and guidance relating to the DPA, Freedom of Information (FOI) and Parliamentary Questions (PQ). The Supplier is responsible for developing lower level processes and products and any contingency plans where appropriate. All data should be collated, handled and stored in the appropriate manner to ensure there are no

breaches of the DPA. The Suppliers commitment is key to providing a full, accurate and timely response to all requests of FOI.

Data Protection Act

71)The Supplier is joint Data Controller for the Service, and as such has responsibility for complying with the DPA with regard to all data shared and stored as part of delivering the Service. The Supplier is also expected to deal with Subject Access Requests (in the timescales required by the DPA).

Action

72)The Supplier will need to put in place systems and processes to ensure that it complies with the DPA in delivering the Service.

Consequences

73)Incomplete or incorrect action with regard how personal data is handled as part of the delivering the Service may result in inappropriate processing of personal data, potentially resulting in enforcement action being taken against the Supplier and/or DWP in the event of a breach of the DPA.

FOIs and PQs

74)DWP is committed to the principles of open government, including publishing data about how publicly funded programmes such as the Service is performing, and responding promptly and fully to appropriate requests for further information.

75)As a public body, DWP is subject to requests under the Freedom of Information Act. Where such FOI requests are received which relate to the Service, the Supplier is expected to co-operate fully and promptly in providing DWP with accurate information to support a full response.

76)As a government department, DWP is also subject to requests for information from Parliament and other oversight bodies, such as Parliamentary Questions from MPs. Where such PQs (or other similar) requests are received which relate to the Service, the Supplier is expected to co-operate fully and promptly in providing DWP with accurate information to support a full response.

77)The Supplier should put in place systems and processes to provide DWP with prompt and accurate information to respond to appropriate requests for information about the Service (e.g. FOIs and PQs).

Audit roles and responsibilities

78) This section provides information on the Independent Assessment Assurance Provider (IAAP) role.

Independent Assessment Assurance Provider

79) The IAAP is independently appointed to provide a clinical and audit oversight of the Service on behalf of DWP, and provide monthly performance reports to DWP on the clinical quality of the Advice and Assessment elements of the Service.

80) The IAAP will perform the following duties on behalf of DWP:

- a) quality of assessment and Case Management: The IAAP will select a random sample of employees discharged from the Assessment Service each calendar month, and use the case records and other data to perform checks that the clinical quality of Assessments and of decisions made by the Case Manager meet the specified standards (see Specification paragraph 3.2.59 onwards);
- b) quality of RtWPs: The IAAP will select a random sample of employees discharge from the Assessment Service each calendar month, and use the case records and other data to perform checks that the RtWPs produced meet the specified standards (see Specification paragraph 3.2.81);
- c) quality of Advice Service: The IAAP will examine a sample of all advice given each calendar month (including the monitoring of a random sample of recorded calls to the advice phone line, monitoring of a random sample of advice provided in response to questions raised via the advice website, and checking the clinical quality of general advice contained on the advice website);
- d) clinical governance and continuous improvement: The IAAP will report to DWP on the three areas of clinical quality (above), including: performance of the Supplier against the relevant SLAs; a summary of the results of clinical quality checks conducted; and any identified areas for improvements. The IAAP will also attend Performance Management meetings as required to support dispute resolution on the outcome of clinical quality checks, and contribute to discussions on continuous improvement of the Service;
- e) Output Payment post-payment validation: The IAAP will select a random sample of cases on which the Supplier has claimed an Output Payment each calendar month, and perform post-payment validation checks against the Supplier's records. Where errors are found, DWP will extrapolate the error rate against the entire affected invoice, and

ask the Supplier to raise a Credit Note to enable recovery of the full amount deemed to have been in error;

- f) Service Fee pre-payment validation check: The IAAP will check that the Supplier is delivering its contractual requirement to deliver both the Advice and Assessment elements of the Service, and provide pre-payment validation to DWP before the relevant Service Fee will be paid;
 - g) Customer Satisfaction data: The IAAP will select a random sample of GP's and employers using the Assessment service each month to gather customer satisfaction data;
 - h) Supplier processes and records: The IAAP will perform random checks on the processes and records of the Supplier to confirm that the Supplier is correctly following processes (e.g. checking the eligibility of employees referred to the Assessment Service and allocating Uis, etc.) and recording MI (e.g. that the date of referral of employees to the Assessment Service is accurate);
 - i) Professional accreditation and competency: The IAAP will perform random checks to confirm that staff performing clinical functions meet the professional competencies and levels of accreditation specified in the Specification paragraph 5.4.2 onwards, and that the Supplier is meeting Safe Effective Quality Occupational Health Service (SEQOHS) accreditation requirements; and
 - j) Overall governance: The IAAP will support DWP governance of the Service as required (e.g. supporting DWP in gathering evidence to answer FOIs or PQs). The IAAP will also attend Performance Management meetings as required to support dispute resolution on the outcome of audit checks.
- 81) DWP reserves the right to amend the duties involved in this role at any time during the lifetime of the contract, including varying the frequencies and samples sizes of validation checks.
- 82) The Supplier will be expected to co-operate fully and promptly with the IAAP in the performance of this role, including providing the IAAP with full access to its systems, records and health care professionals delivering the Service.

Action

- 83) The Supplier will need to put in place systems and processes to co-operate fully and promptly with the IAAP in performing the duties of this role.

Annex 1 – Performance MI

The following document shows the minimum MI requirements for the Service.

List of Minimum requirements:

| MI Requirement | Showing |
|---|---|
| Total telephone calls received | The total number of calls that come through on the designated adviceline number. |
| Total telephone calls answered | The total number of calls that come through on the designated adviceline number and are answered by an Adviceline operative |
| Total number of calls answered within 30 seconds | The total number of calls that come through on the designated adviceline number and are answered by an Adviceline operative within 30 seconds. Please note this does not include any automated 'call waiting' messages. |
| Total number of calls answered in over 30 seconds. | The total number of calls that come through on the designated adviceline number and are answered by an Adviceline operative outside of 30 seconds. |
| Percentage of calls answered within 30 seconds | Of the total number of calls received, the percentage that are answered within 30 seconds of dialling the adviceline number. |
| Total number of telephone advice brought forward | This is the total telephone advice requests brought forward from a previous month into the current reporting month (the total outstanding from the previous month) |
| Total number of telephone advice received | The total number of telephone Advice requests received in month |
| Total number of telephone advice requests cleared | The number of advice requests answered (within 1,2,3,4,5 or more) days from the initial Advice request being received. |
| Percentage of total telephone advice requests cleared | Of the total number of Advice requests received, the percentage that are answered within (within 1,2,3,4,5 or more) days from the initial Advice request being received. |
| Total number of telephone advice requests | The total number of advice requests cleared within the reporting month. |

| MI Requirement | Showing |
|--|--|
| cleared Total number of telephone advice requests outstanding | The total number of advice requests outstanding at the end of the reporting month. |
| Availability of the Telephone Advice Service | A narrative report is required that details when the Telephone Advice service has been available/unavailable during each reporting month (broken down by hours/time per days). |
| Total visits to website | The total number of visits to the website made by individuals. This is the number of visits, so if an individual views several pages, this should only be counted once. |
| Total number of web advice brought forward | This is the total web advice requests brought forward from a previous month into the current reporting month (the total outstanding from the previous month) |
| Total number of web advice received | The total number of web advice requests received in month |
| Total number of web advice requests cleared | The number of advice requests answered (within 1,2,3,4,5 or more) days from the initial Advice request being received. |
| Percentage of total web advice requests cleared | Of the total number of Advice requests received, the percentage that are answered within (within 1,2,3,4,5 or more) days from the initial Advice request being received. |
| Total number of web advice requests cleared | The total number of advice requests cleared within the reporting month. |
| Total number of web advice requests outstanding | The total number of advice requests outstanding at the end of the reporting month. (This total becomes the total brought forward for the subsequent month) |
| Availability of the web advice Service | A narrative report is required that details when the Web Advice service has been available/unavailable during each reporting month (broken down by hours/time per days). |
| Total number of new referrals received/registered | The total number of referrals accepted and logged on the system. |

| MI Requirement | Showing |
|--|--|
| Number of referrals received from a GP | The total number of referrals accepted and logged on the system from GPs. |
| Number appropriate referrals received from GP | The total number of referrals from GPs that meet the referral eligibility criteria |
| Number inappropriate referrals received from GP | The total number of referrals from GPs that DO NOT meet the referral eligibility criteria. |
| Percentage of GP referrals appropriate | The percentage of the total number of GP referrals received that meet the eligibility criteria and are appropriate for assessment. |
| Number of referrals received from Employers | The total number of referrals from Employers that meet the referral eligibility criteria |
| Number appropriate referrals received from Employer | The total number of Employer referrals received that meet the eligibility criteria and are appropriate for assessment.. |
| Number inappropriate referrals received from Employer | The total number of referrals from Employers that DO NOT meet the referral eligibility criteria. |
| Percentage of Employer referrals appropriate | The percentage of the total number of Employer referrals received that meet the eligibility criteria and are appropriate for assessment. |
| Number of employees who engage with the service in month | The total of appropriate referrals where initial contact is made and the Employee is booked an Initial Assessment. |
| Number booked as initial remote assessment | The total number of Initial Remote Assessments booked |
| Percentage booked as initial remote assessment | the percentage of the overall number who engage that are booked an Initial Remote Assessment |
| Number booked as initial face to face assessment | The total number of Initial face to face Assessments booked |
| Percentage booked as initial face to face assessment | the percentage of the overall number of employees who engage that are booked an Initial face to face Assessment |
| Number awaiting booking | The number in month that have engaged but have yet to be booked an Initial Assessment |

| MI Requirement | Showing |
|---|---|
| Number booked as follow up remote assessment | The total number of follow-up Remote Assessments booked |
| Number booked as follow up face to face assessment | The total number of follow-up face to face Assessments booked |
| Number consent withdrawn before assessment | The number of Employees who withdraw consent between Initial Contact and Initial Assessment |
| Number of remote Initial assessments booked | The total number of Remote Initial Assessments booked in month. |
| Number of remote Initial assessments conducted | The total number of booked Remote Initial Assessments conducted in month. |
| Number of remote Initial Assessments consent withdrawn | The number of Employees who withdraw consent during an Initial Assessment |
| Not conducted – assessor not available | The number of booked assessments not conducted due to the unavailability of the assessor. |
| Percentage assessments conducted | The percentage of the total Initial Assessments booked that are conducted |
| Total number of Remote Initial Assessments conducted | Total number of Remote Initial Assessments that are conducted within 1, 2, 3, 4, 5, 6 or more days. |
| Percentage of Remote Initial Assessments conducted within | Percentage of the total number of Remote Initial Assessments that are conducted within 1, 2, 3, 4, 5, 6 or more days. |
| Number of remote Initial assessments booked but awaiting assessment | Number of remote Initial assessments booked but not conducted in the reporting month. |
| Number of remote further assessments booked | The total number of Remote further Assessments booked in month. |
| Number of remote further assessments conducted | The total number of booked Remote further Assessments conducted in month. |
| Number of remote further Assessments consent withdrawn | The number of Employees who withdraw consent during a further Assessment |

| MI Requirement | Showing |
|---|---|
| Not conducted – assessor not available | The number of booked assessments not conducted due to the unavailability of the assessor. |
| Percentage of further assessments conducted | The percentage of the total number of further Assessments booked that are conducted |
| Total number of Remote further Assessments conducted | Total number of Remote further Assessments that are conducted within 1, 2, 3, 4, 5, 6 or more days. |
| Percentage of total Remote further Assessments conducted within | Percentage of the total number of Remote further Assessments that are conducted within 1, 2, 3, 4, 5, 6 or more days. |
| Number of remote further assessments booked but awaiting assessment | Number of remote further assessments booked but not conducted in the reporting month. |
| Number of face to face Initial assessments booked | The total number of face to face Initial Assessments booked in month. |
| Number of face to face Initial assessments conducted within | The total number of booked face to face Initial Assessments conducted in month. |
| Number of face to face Initial Assessments consent withdrawn | The number of Employees who withdraw consent during an Initial Assessment |
| Not conducted – assessor not available | The number of booked assessments not conducted due to the unavailability of the assessor. |
| Percentage assessments conducted | The percentage of the total Initial Assessments booked that are conducted |
| Total number of face to face Initial Assessments conducted within | Total number of face to face Initial Assessments that are conducted within 1-4, 5, 6, 7, 8, 9 or more days. |
| Percentage of face to face Initial Assessments conducted within | Percentage of face to face Initial Assessments that are conducted within 1-4, 5, 6, 7, 8, 9 or more days. |
| Number of face to face Initial assessments booked but awaiting assessment | Number of face to face Initial assessments booked but not conducted in the reporting month. |

| MI Requirement | Showing |
|---|---|
| Number of face to face further assessments booked | The total number of face to face further Assessments booked in month. |
| Number of face to face further assessments conducted | The total number of booked face to face further Assessments conducted in month. |
| Number of face to face further Assessments consent withdrawn | The number of Employees who withdraw consent during a further Assessment |
| Not conducted – assessor not available | The number of booked assessments not conducted due to the unavailability of the assessor. |
| Percentage assessments conducted | The percentage of the total further Assessments booked that are conducted |
| Total number of face to face further Assessments conducted within | Total number of face to face further Assessments that are conducted within 1-4, 5, 6, 7, 8, 9 or more days. |
| Percentage of face to face further Assessments conducted within | Percentage of face to face further Assessments that are conducted within 1-4, 5, 6, 7, 8, 9 or more days. |
| Number of face to face further assessments booked but awaiting assessment | Number of face to face further assessments booked but not conducted in the reporting month. |
| Number of remote Initial assessments conducted | The total number of booked Remote Initial Assessments conducted in month. |
| Number of RTWP issued following remote initial assessments | The total number of RTWPs issued following Remote initial assessment in reporting month. |
| Percentage of Remote Initial Assessments with RTWP issued | The percentage of the total number of Remote initial assessments where a RTWP is issued. |
| Number of RTWPs issued to employees within (x) days of assessment. | The total number of RTWPs issued to employees within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Percentage of RTWPs issued to employees within (x) days of assessment. | The percentage of the overall number of RTWPs issued to employees within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |

| MI Requirement | Showing |
|---|--|
| Number awaiting issue of RTWP following remote initial assessment | The total number of assessments conducted where the RTWP has yet to be issued to the employee. |
| Number of remote further assessments conducted | The total number of booked Remote further Assessments conducted in month. |
| Number of RTWP issued following remote further assessments | The total number of RTWPs issued following Remote further assessment in reporting month. |
| Percentage of Remote further Assessments with RTWP issued | The percentage of the total number of Remote further assessments where a RTWP is issued. |
| Number of RTWPs issued to employees within (x) days of assessment. | The total number of RTWPs issued to employees within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Percentage of RTWPs issued to employees within (x) days of assessment. | The percentage of the overall number of RTWPs issued to employees within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Number awaiting issue of RTWP following remote further assessment | The total number of assessments conducted where the RTWP has yet to be issued to the employee. |
| Number of face to face Initial assessments conducted | The total number of booked face to face Initial Assessments conducted in month. |
| Number of RTWP issued following face to face initial assessments | The total number of RTWPs issued following face to face initial assessment in reporting month. |
| Percentage of face to face Initial Assessments with RTWP issued | The percentage of the total number of face to face initial assessments where a RTWP is issued. |
| Number of RTWPs issued to employees within (x) days of assessment. | The total number of RTWPs issued to employees within 1-4, 5, 6, 7, 8, 9 or more days of face to face assessment being conducted. |
| Percentage of RTWPs issued to employees within (x) days of assessment. | The percentage of the overall number of RTWPs issued to employees within 1-4, 5, 6, 7, 8, 9 or more days of face to face assessment being conducted. |
| Number awaiting issue of RTWP following face to face initial assessment | The total number of assessments conducted where the RTWP has yet to be issued to the employee. |

| MI Requirement | Showing |
|---|--|
| Number of face to face further assessments conducted | The total number of booked face to face further assessments conducted in month. |
| Number of RTWP issued following face to face further assessments | The total number of RTWPs issued following face to face further assessment in reporting month. |
| Percentage of face to face further Assessments with RTWP issued | The percentage of the total number of face to face further assessments where a RTWP is issued. |
| Number of RTWPs issued to employees within (x) days of assessment. | The total number of RTWPs issued to employees within 1-4, 5, 6, 7, 8, 9 or more days of face to face assessment being conducted. |
| Percentage of RTWPs issued to employees within (x) days of assessment. | The percentage of the overall number of RTWPs issued to employees within 1-4, 5, 6, 7, 8, 9 or more days of face to face assessment being conducted. |
| Number awaiting issue of RTWP following face to face further assessment | The total number of assessments conducted where the RTWP has yet to be issued to the employee. |
| Number of remote Initial assessments conducted | The total number of booked Remote Initial Assessments conducted in month. |
| Number of RTWP issued following remote initial assessments | The total number of RTWPs issued following Remote initial assessment in reporting month. |
| Percentage of Remote Initial Assessments with RTWP issued | The percentage of the total number of Remote initial assessments where a RTWP is issued. |
| Number of RTWPs issued to GPs within (x) days of assessment. | The total number of RTWPs issued to GPs within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Percentage of RTWPs issued to GPs within (x) days of assessment. | The percentage of the overall number of RTWPs issued to GPs within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Number awaiting issue of RTWP following remote initial assessment | The total number of assessments conducted where the RTWP has yet to be issued to the GP. |
| Number of remote further assessments conducted | The total number of booked Remote further Assessments conducted in month. |

| MI Requirement | Showing |
|---|--|
| Number of RTWP issued following remote further assessments | The total number of RTWPs issued following Remote further assessment in reporting month. |
| Percentage of Remote further Assessments with RTWP issued | The percentage of the total number of Remote further assessments where a RTWP is issued. |
| Number of RTWPs issued to GPs within (x) days of assessment. | The total number of RTWPs issued to GPs within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Percentage of RTWPs issued to GPs within (x) days of assessment. | The percentage of the overall number of RTWPs issued to GPs within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Number awaiting issue of RTWP following remote further assessment | The total number of assessments conducted where the RTWP has yet to be issued to the GP. |
| Number of face to face Initial assessments conducted | The total number of booked face to face Initial Assessments conducted in month. |
| Number of RTWP issued following face to face initial assessments | The total number of RTWPs issued following face to face initial assessment in reporting month. |
| Percentage of face to face Initial Assessments with RTWP issued | The percentage of the total number of face to face initial assessments where a RTWP is issued. |
| Number of RTWPs issued to GPs within (x) days of assessment. | The total number of RTWPs issued to GPs within 1, 2, 3, 4, 5, 6 or more days of face to face assessment being conducted. |
| Percentage of RTWPs issued to GPs within (x) days of assessment. | The percentage of the overall number of RTWPs issued to GPs within 1, 2, 3, 4, 5, 6 or more days of face to face assessment being conducted. |
| Number awaiting issue of RTWP following face to face initial assessment | The total number of assessments conducted where the RTWP has yet to be issued to the GP. |
| Number of face to face further assessments conducted | The total number of booked face to face further assessments conducted in month. |
| Number of RTWP issued following face to face further assessments | The total number of RTWPs issued following face to face further assessment in reporting month. |

| MI Requirement | Showing |
|---|--|
| Percentage of face to face further Assessments with RTWP issued | The percentage of the total number of face to face further assessments where a RTWP is issued. |
| Number of RTWPs issued to GPs within (x) days of assessment. | The total number of RTWPs issued to GPs within 1, 2, 3, 4, 5, 6 or more days of face to face assessment being conducted. |
| Percentage of RTWPs issued to GPs within (x) days of assessment. | The percentage of the overall number of RTWPs issued to GPs within 1-4, 5, 6, 7, 8, 9 or more days of face to face assessment being conducted. |
| Number awaiting issue of RTWP following face to face further assessment | The total number of assessments conducted where the RTWP has yet to be issued to the GP. |
| Number of remote Initial assessments conducted | The total number of booked Remote Initial Assessments conducted in month. |
| Number of RTWP issued following remote initial assessments | The total number of RTWPs issued following Remote initial assessment in reporting month. |
| Percentage of Remote Initial Assessments with RTWP issued | The percentage of the total number of Remote initial assessments where a RTWP is issued. |
| Number of RTWPs issued to Employers within (x) days of assessment. | The total number of RTWPs issued to Employers within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Percentage of RTWPs issued to Employers within (x) days of assessment. | The percentage of the overall number of RTWPs issued to Employers within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Number awaiting issue of RTWP following remote initial assessment | The total number of assessments conducted where the RTWP has yet to be issued to the Employer. |
| Number of remote further assessments conducted | The total number of booked Remote further Assessments conducted in month. |
| Number of RTWP issued following remote further assessments | The total number of RTWPs issued following Remote further assessment in reporting month. |
| Percentage of Remote further Assessments with RTWP issued | The percentage of the total number of Remote further assessments where a RTWP is issued. |

| MI Requirement | Showing |
|---|--|
| Number of RTWPs issued to Employers within (x) days of assessment. | The total number of RTWPs issued to Employers within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Percentage of RTWPs issued to Employers within (x) days of assessment. | The percentage of the overall number of RTWPs issued to Employers within 1, 2, 3, 4, 5, 6 or more days of assessment being conducted. |
| Number awaiting issue of RTWP following remote further assessment | The total number of assessments conducted where the RTWP has yet to be issued to the Employer. |
| Number of face to face Initial assessments conducted | The total number of booked face to face Initial Assessments conducted in month. |
| Number of RTWP issued following face to face initial assessments | The total number of RTWPs issued following face to face initial assessment in reporting month. |
| Percentage of face to face Initial Assessments with RTWP issued | The percentage of the total number of face to face initial assessments where a RTWP is issued. |
| Number of RTWPs issued to Employers within (x) days of assessment. | The total number of RTWPs issued to Employers within 1, 2, 3, 4, 5, 6 or more days of face to face assessment being conducted. |
| Percentage of RTWPs issued to Employers within (x) days of assessment. | The percentage of the overall number of RTWPs issued to Employers within 1, 2, 3, 4, 5, 6 or more days of face to face assessment being conducted. |
| Number awaiting issue of RTWP following face to face initial assessment | The total number of assessments conducted where the RTWP has yet to be issued to the Employer. |
| Number of face to face further assessments conducted | The total number of booked face to face further assessments conducted in month. |
| Number of RTWP issued following face to face further assessments | The total number of RTWPs issued following face to face further assessment in reporting month. |
| Percentage of face to face further Assessments with RTWP issued | The percentage of the total number of face to face further assessments where a RTWP is issued. |
| Number of RTWPs issued to Employers within (x) days of assessment. | The total number of RTWPs issued to Employers within 1, 2, 3, 4, 5, 6 or more days of face to face assessment being conducted. |

| MI Requirement | Showing |
|---|--|
| Percentage of RTWPs issued to Employers within (x) days of assessment. | The percentage of the overall number of RTWPs issued to Employers within 1-4, 5, 6, 7, 8, 9 or more days of face to face assessment being conducted. |
| Number awaiting issue of RTWP following face to face further assessment | The total number of assessments conducted where the RTWP has yet to be issued to the Employer. |
| Number discharged from service in month | The total number of Employees discharged from service in month |
| Total OHP resource | The total number of hours (man-days) of Occupational Health Practitioner resource used to deliver the service in month. |
| Total OHP Resource lost through sickness | The total number of hours (man-days) of Occupational Health Practitioner resource lost through sickness in month |

Annex 2 – Service Credits

| No. | SLA (as detailed in the specification) | Threshold Level | Service Credit Value | Service Level Termination Threshold |
|-------------|--|---|--|---|
| SLA1 | that biopsychosocial assessments and case management activity fulfils the quality criteria | 90% or more assessments meet the quality criteria detailed in the specification and quality management as described in the bid. In year 1, rising to 92% from the start of year 2 and 95% from the start of year 3. In month – for target | 30% of Output Price – for each output in the month which is below 90% in year 1, 92% in year 2 and 95% in year 3 of the contract. | Termination threshold – 85% in year 1, 87% in year 2 and 90% in years 3-5. Rolling 3 months – for termination threshold. |
| SLA2 | the Return to Work Plans meet the quality criteria | 90% or more Return to Work Plans meet the quality criteria detailed in the specification and quality management as described in the bid. In year 1, rising to 92% from the start of year 2 and 95% from the start of year 3. In month – for target | 30% of Output Price – for each output in the month which is below 90% in year 1, 92% in year 2 and 95% in year 3 of the contract. | Termination threshold – 85% in year 1, 87% in year 2 and 90% in years 3-5. Rolling 3 months – for termination threshold. |
| SLA3 | that customer interactions for the advice service meet the quality criteria | 90% or more interactions meet the quality criteria detailed in the specification and quality management as described in the bid. In year 1, rising to 92% from the start of year 2 and 95% from the start of year 3. In month – for target | 30% of Output Price – for each interaction in the month which is below 90% in year 1, 92% in year 2 and 95% in year 3 of the contract. | Termination threshold – 85% in year 1, 87% in year 2 and 90% in years 3-5. Rolling 3 months – for termination threshold. |

| No. | SLA (as detailed in the specification) | Threshold Level | Service Credit Value | Service Level Termination Threshold |
|-------------|--|---|--|---|
| SLA4 | that customers using the Assessment Service indicate, through feedback, the required satisfaction levels | <p>Mean average satisfaction rates for all customer groups to be at least 90% in year 1 rising to 92% from the start of year 2 and 95% from the start of year 3. Service Credits will apply if any individual customer group (employee, employer or GP) fall below 85%.</p> <p>Target – Quarterly</p> | <p>20% of Output Price – for each output within a quarter which is below 90% in year 1, 92% in year 2 and 95% in year 3 of the contract. The service credit will be applied across three months.</p> <p>30% of the Output Price – for each output within a quarter which is below 85% for an individual customer group.</p> <p>The service credit will be applied across three months.</p> | <p>Termination threshold applies for all customer groups combined – 85% in year 1, 87% in year 2 and 90% in years 3-5.</p> <p>Termination Threshold – Quarterly</p> |

| No. | SLA (as detailed in the specification) | Threshold Level | Service Credit Value | Service Level Termination Threshold |
|--------------|--|---|--|---|
| SLA 5 | <p>1. that Remote Assessments occur within two working days of:</p> <ul style="list-style-type: none"> the date of referral; or the need for a further assessment being identified | <p>For in scope referrals, the initial or follow up remote assessments:</p> <ul style="list-style-type: none"> 90% occur within 2 working days of date of receipt of referral/need identified in year 1, rising to 92% from the start of year 2 and 95% from the start of year 3 100% occur within 3 working days of date of receipt of referral/need identified <p>Those who do not consent will be excluded from this target.</p> | <p>10% of Output Price – for each output in the month which is below 90% within 2 working days in year 1, 92% in year 2 and 95% in year 3 of the contract.</p> | <p>Termination threshold – 100% in 5 working days</p> <p>In month</p> |

| No. | SLA (as detailed in the specification) | Threshold Level | Service Credit Value | Service Level Termination Threshold |
|-------------|--|---|--|--|
| SLA6 | <p>2. that Face to Face Assessments occur within five working days of:</p> <ul style="list-style-type: none"> the referral being received; or the need for a further assessment being identified | <p>For in scope referrals, the initial or follow up face-to-face assessment:</p> <ul style="list-style-type: none"> 90% occur within 5 working days of date of receipt of referral/need identified in year 1, rising to 92% from the start of year 2 and 95% from the start of year 3 100% occur within 7 working days from date of receipt of referral/ need identified. <p>Those who do not consent will be excluded from this target.</p> <p>Management Information may be verified by the independent assessor.</p> | <p>10% of Output Price – for each output in the month which is below 90% within 5 working days in year 1, 92% in year 2 and 95% in year 3 of the contract.</p> | <p>Termination threshold – 100% in 10 working days</p> <p>In month</p> |

| No. | SLA (as detailed in the specification) | Threshold Level | Service Credit Value | Service Level Termination Threshold |
|-------------|--|---|---|--|
| SLA7 | that the RtWP is issued with the employee, employer and GP within two working days of the assessment | <p>85% of RTWPs are issued within three working days of the assessment in year 1, rising to 90% within 2 working days from the start of year 2 and 95% in two working days from the start of year 3.</p> <p>Of those for which consent to share the RtWP has been obtained, 85% will be shared with GP and employer within 3 working days during year 1. This will rise to 90% in 2 working days in year 2 and 95% in 2 working days in year 3.</p> <p>100% of RTWPs, for which consent has been obtained, are issued within five working days of the assessment</p> <p>Management Information may be verified by the independent assessor.</p> | 20% of Output Price – for each output in the month which is below 90% within 2 working days in year 1, 92% in year 2 and 95% in year 3 of the contract. | <p>Termination threshold – 85% in 5 working days in year 1, 90% in 5 working days from the start of year 2 and 95% in 5 working days from the start of year 3.</p> <p>In month</p> |
| SLA8 | that incoming calls are answered, on Working Days within 30 seconds. | <p>80% of all calls to be answered in 30 seconds. 90% of all calls received are answered on working days</p> <p>In month</p> | 10% of Output Price – for each output in the month which is below 80% within 30 seconds or 90% of all calls answered. | 80% of all calls received are answered on working days over a rolling three month period or for any six months in twelve. |

| No. | SLA (as detailed in the specification) | Threshold Level | Service Credit Value | Service Level Termination Threshold |
|------|---|---|---|--|
| SLA9 | that Advice Service queries are responded to within two Working Days of initiation. | <p>97% of advice line queries cleared within 2 working days from date of initiation.</p> <p>99% of advice interactions responded to within 3 working days from date of initiation.</p> <p>In month.</p> | <p>10% of Output Price – for each query in the month which is below 97% in 2 working days or 99% within 3 working days.</p> | <p>Termination threshold – 95% in 3 working days</p> <p>Over a rolling 3 month period or</p> <p>Any 6 months in 12</p> |

Annex 3 – Supplier Guidance on using Procserve for the receipt and payment of Purchase Orders.

This guidance is to provide existing and new DWP Suppliers with the information required to be able to trade with DWP via Procserve for the receipt and submission of purchase orders and invoices.

The following checklist provides the pre-requisites required to become a DWP supplier.

If you are already registered on the Procserve system, you will only be interested in paragraph five onwards.

1. Obtaining D-U-N-S number
2. Pre-Registration with Procserve
3. Registration Completion
4. Registration Validation

Obtaining your D-U-N-S® number

Before you can register as a [Procserve](#) supplier, you need to have a Dun & Bradstreet, D-U-N-S® number. If you do not know your number or your organisation does not currently have one you should contact Dun & Bradstreet directly by visiting their website at www.dnb.co.uk, telephoning 0870 243 2344 or emailing customerhelp@dnb.com.

The Data Universal Numbering System (DUNS) was developed by, and is regulated by, Dun & Bradstreet (D&B) which assigns a unique numeric identifier to a single business entity. A DUNS number is a unique nine-digit number assigned to each business location in the D&B database which has a unique, separate, and distinct operation to businesses for the purpose of identifying them. This means a retail chain like Tesco or B&Q may have a unique DUNS number for each retail site as well as regional / head offices.

Because DUNS numbers are unique they ensure there is no duplication of any organisation during registration. As they are unique, they allow the system to identify unique delivery / order points, so if your organisation has more than one branch or site, your order can be routed appropriately.

Registration for a DUNS number is free of charge, and in many cases is done automatically, without a business entity realising it has been issued a DUNS number. Registration normally takes less than 10 business days.

Pre- Registration with Procserve

Enter relevant organisation details and select Find D-U-N-S® Number button.

Select the relevant D-U-N-S® number from the options provided. If the D-U-N-S® number you enter is not recognised please refer to [Obtaining your D-U-N-S® number](#).

If you receive an error message to say that your organisation is already registered you should contact the helpdesk at the email / phone number provided, where a new username and password will be generated and sent to the registered email account.

You will then be sent two separate emails direct to the email address you provided, one will contain a username and link to the Procserve registration site and the other a password.

Completing the Registration Process

Once you have received your username and password you can complete the registration process.

Access the Procserve website using the link provided in the email. ***Hint and Tip.*** *The emails may go into your spam so please check this if it seems you have not received your username and password.*

To log in to the Procserve system please ensure you copy and paste the username and password as sometimes the system will not recognise them.

Registration Validation

The first time you log in to your Procserve account, you will be asked to change your password. Following your password reset you will not be able to access the supplier portal until you have configured your organisation details. You will see a red warning message at the top of the screen. You should check that the information in your company details is correct including email address for the delivery of purchase orders and then select the save icon. *This is a one off process before you begin transacting with DWP. You will not be able to access the supplier portal until this action has been taken.*

After completing the registration process you will be eligible to receive purchase orders and submit invoices.

The following guidance has been created to assist you when transacting with DWP following successful registration

- Receiving the Purchase Order**
- Invoicing Sep-Up**
- Submitting an Invoice**
- Submitting a Partial Invoice**

Receiving the Purchase Order

When a purchase order is sent, you will receive an email notification, which includes a PDF copy of the purchase order.

To access the purchase order, you will need to:

Log in to the Procserve Commerce Hub and select the link Supplier Portal from the top.

Further information on the next steps to take can be found:

[Quick Guide Receiving Your Orders](#)

Invoicing Set-Up

To enable the correct invoices to be sent you also need to amend a field within your company information. **Again this is a one off process that should be completed prior to sending any invoices.**

Select Admin > Company Admin from the supplier portal

Scroll down the page to the heading **General – Documents** and in the Quantity Decimal Places field, enter 2 (normally defaults to 0)

Select Save icon

Submitting an Invoice

To submit an invoice you must first select the Purchase Order by highlighting the relevant Order from the Document List and selecting the arrow next to Create Invoice.

The Purchase Order > Invoice screen will be displayed. Before you can complete the invoice information you must save the details to generate an invoice number, select the save icon. A warning will appear in red across the middle of the screen stating **“Warning. No invoice lines”**.

Enter invoice lines by selecting the add lines button. **You should choose this button each time you create an invoice from a new Purchase Order to ensure the relevant information is transferred from the Purchase Order into the invoice lines.**

Keep the price and quantity as they appear on the purchase order, **DO NOT** amend this.

Once all the information has been populated select the save icon again and then submit the invoice.

You will receive a warning screen prior to the invoice being submitted to say that once it is sent it cannot be undone.

Select Submit again to confirm.

Submitting a Partial Invoice

If DWP has agreed to staged payments and you want to send an invoice for the agreed amount you need to follow the information above to create the invoice but prior to saving the information and submitting you must select the edit icon.

Enter the amount you wish to invoice in the quantity field then select the save icon and send as you normally would.

Re-submitting a Rejected Invoice

In some circumstances the invoice you submit may be rejected. This usually happens if the information provided does not identically match the information held in the DWP system. In this instance you will receive a call from DWP asking you to resubmit the invoice and will be advised of the process required.

Further information on submitting invoices can be found:

[Quick Guide e-invoicing](#)

Help and Support

Further information and help is also available at <http://www.procserve.com/contact-us/>

For any **invoice / payment related queries** please contact the Payment Services Helpline on 0845 602 8244.

Annex 4 – Post Payment and SLA Checks and Extrapolation Guidance

Fit for Work

Post Payment and SLA Checks and Extrapolation Guidance

Why it is being introduced?

The National Audit Office and the Departments Internal Audit constantly review the payment and validation processes. Historically, DWP has been criticised for adopting a percentage check which was not independent from providers and did not adequately protect the Department against Provider fraud and error. The model the Department now adopts is to select sample of claims following payment, which allows DWP to recover the error rate from the total paid. The agreed methodology is based on the sample being randomly selected and statistically valid to support the extrapolation process. This approach is to be adopted for all contracts and will be applied to all new DWP contracts where appropriate. This approach not only provides assurances to DWP, our Internal auditors and National Audit Office, but also to our contractors through either supporting the robustness of their own financial claims assurances, or quickly identifying where their claim processes are failing and need urgent corrective action.

How the model will work?

Output Payments

DWP will randomly select a statistically valid sample of the Output Payments claimed for and paid each calendar month, for post-payment validation by the IAAP. The IAAP will then use the Supplier's systems and records to validate this sample of claims, using the Unique Identifier of the employees concerned to link each sample claim to the Supplier's records. The Supplier will be required to provide the IAAP with prompt and full access to all relevant systems and records to support this post-payment validation activity.

If no errors are found during post-payment validation of the sample of claims, the IAAP will report this to DWP and no further action will be taken.

If any errors are found during post-payment validation, the IAAP will report the nature of each error, and the overall error rate on the sample, to DWP. DWP will then extrapolate this to calculate the deemed error rate for all Output Payments paid that month (rounded to the nearest whole number of Output Payments²), and the Supplier will raise a Credit Note against DWP for re-payment of all the affected Output Payments deemed to be in error.

² Fractions of 0.50 or above will be rounded up to the nearest whole number, and fractions of less than 0.50 will be rounded down to the nearest whole number.

For example: the Supplier submits an invoice and supporting evidence for 2,148 Output Payments for the previous calendar month; the evidence and invoice passes pre-payment validation and DWP authorises payment of these 2,148 Output Payments; the IAAP then performs post-payment validation on a random sample of 500 of these claims, and of these 12 claims fail post-payment validation resulting in an error rate of 2.4% ($12 / 500 \times 100\%$). DWP will extrapolate this error rate to the whole claim, and the deemed error rate on the invoice will be 52 ($2,148 \times 2.4\% = 51.552$ rounded up to 52). The Supplier will then raise a Credit Note against DWP to repay the value of these 52 Output Payments.

There will be no maximum limit to the number or value of Output Payments recovered – if the entire sample of Output Payments fails post-payment validation (i.e. an error rate of 100%) then the entire affected invoice will be deemed to have been in error and the Supplier will raise a Credit Note against DWP for the total value of the invoice.

Note that DWP reserves the right to vary the sample sizes and frequencies of post-payment validation, and the actual post-payment validation checks carried out by the IAAP, at any time during the contract.

Service Level Agreements

The Commercial Specification details nine Service Level Agreements (SLAs) against which the performance of the Supplier and the quality of FfW will be assessed throughout the contract. The nine SLAs, how they will be assessed, and the application of Service Credits against them are as follows³.

SLA#1: the clinical quality of Assessments and the Case Management of employees using the Assessment service. This will be assessed by the IAAP appointed by DWP. Each calendar month⁴ the IAAP will select a random sample of employees discharged from the Assessment service during the previous calendar month, and assess the clinical quality of Assessments conducted and Case Management decisions made with each of the selected employees, against the quality criteria detailed in the Specification and quality management as described in the bid. The IAAP will report these findings to DWP, and where the percentage of the sample of cases meeting the required quality is below the target in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the target (90% in year 1, 92% in year 2, and 95% from year 3 onwards), the Service Credit value for the SLA (30%) and the total value of Output Payments paid in the previous calendar month. For example, if during

³ Service Credits will be calculated on the volume of valid output payments for that period. This volume will be determined after post payment validation has been complete.

⁴ Note that if the first month of go-live of FfW is a part month, calculation of the SLAs and Service Credit values will be on the basis of performance and Output Payments paid in that part month.

year 1 the Supplier has claimed and been paid 1,230 Output Payments in February 2015 for employees discharged from the Assessment service; in March the IAAP determines that, out of a random sample of these cases, only 88% meet the clinical quality standards for this SLA resulting in a shortfall of 2% against the target; the Service Credit value will be calculated as 2% x 30% x the value of 1,230 Output Payments (rounded to the nearest penny⁵).

SLA#2: the clinical quality of Return to Work Plans (RtWPs) produced for employees using the Assessment service. This will be assessed by the IAAP appointed by DWP. Each calendar month the IAAP will select a random sample of employees discharged from the Assessment service during the previous calendar month, and assess the clinical quality of all RtWPs produced for each of the selected employees, against the quality criteria detailed in the Specification and quality management as described in the bid. The IAAP will report these findings to DWP, and where the percentage of the sample of cases meeting the required quality is below the target in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the target (90% in year 1, 92% in year 2, and 95% from year 3 onwards), the Service Credit value for the SLA (30%) and the total value of Output Payments claimed in the previous calendar month (applied as per SLA#1).

SLA#3: the clinical quality of interactions with the Advice service. This will be assessed by an independent IAAP appointed by DWP. Each calendar month the IAAP will select a random sample of customers using the Advice service (i.e. calls received by the Advice telephone line, and questions raised and answered via the web-based service), and assess these interactions against the quality criteria detailed in the Specification and quality management as described in the bid. The IAAP will report these findings to DWP, and where the percentage of the sample of interactions meeting the required quality is below the target in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the target (90% in year 1, 92% in year 2, and 95% from year 3 onwards), the Service Credit value for the SLA (30%) and the total value of interactions in the previous calendar month (calculated as the total number of interactions, multiplied by the unit value of an Output Payment). For example, if during year 1 there have been 2,150 interactions⁶ (calls to the Advice telephone line and questions raised and answered via the web-based Advice service) in February 2015; in March the IAAP determines that, out of a random sample of these interactions, only 88% meet the clinical quality standards for this SLA resulting in a shortfall of 2% against the target; the

⁵ Fractions of 0.50 or above will be rounded up to the nearest whole number, and fractions of less than 0.50 will be rounded down to the nearest whole number.

⁶ As determined by the Management Information provided to DWP by the Supplier each calendar month on the number of interactions with the Advice service.

Service Credit value will be calculated as $2\% \times 30\% \times$ the value of 2,150 Output Payments (rounded to the nearest penny).

SLA#4: the mean average satisfaction rates for all customer groups (employees, employers and GPs) using the Assessment service. This will be assessed by gathering customer satisfaction data, using customer satisfaction questionnaires developed by DWP. The Supplier will gather customer satisfaction data from employees using the Assessment service at the point of discharge, and the IAAP will select a random sample of these each calendar month and send the results to DWP; the IAAP will also use the Supplier's systems and records to select a random sample of GPs and employers who have referred employees to the Assessment service each quarter (i.e. every 3 calendar months), gather this customer satisfaction data, and send the results to DWP. Where the mean average customer satisfaction rate is below the target in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the target for all customer groups (90% in year 1, 92% in year 2, and 95% from year 3 onwards) and for each customer group (85%)⁷, the Service Credit value for the SLA (20% for all customer groups, and 30% of each customer group), and the total value of Output Payments claimed in the previous quarter. Application of the Service Credit will be across the 3 calendar months of the following quarter (i.e. the value of the Service Credit will be divided by 3 and applied in each of the 3 months of the current quarter⁸). For example, if during year 1 the Supplier has claimed and been paid 3,460 Output Payments for December 2014, January 2015 and February 2015 for employees discharged from the Assessment service:

- In March the IAAP determines that, out of a random sample of all customers (employees, employers and GPs) the mean average satisfaction rate is only 88% resulting in a shortfall of 2% against the all customer groups target; the total Service Credit value will be calculated as $2\% \times 20\% \times$ the value of 3,460 Output Payments (rounded to the nearest penny); the monthly Service Credit value for the current quarter (March, April and May 2015) will be 1/3 of this value (with any 'odd' pennies applied to the 1st month's Service Credit).
- In March the IAAP also determines that, out of a random sample of employees only, the mean average satisfaction rate is only 84% resulting in a shortfall of 1% against the individual customer group target; the total

⁷ Note that application of each of these SLA targets will be determined separately in each period – depending on performance of the Supplier against the targets, one or both could apply in any given period. The same principle applies to SLAs #8 and #9.

⁸ Where the value of the Service Credit does not divide exactly by 3 to the nearest penny, the monthly value will be rounded down to the nearest penny and the shortfall applied to the 1st month's Service Credit (i.e. the 1st month's Service Credit will be slightly higher than in the subsequent 2 months).

Service Credit will be calculated as $1\% \times 30\% \times$ the value of 3,460 Output Payments (rounded to the nearest penny); the monthly Service Credit value for the current quarter (March, April and May 2015) will be 1/3 of this value (with any 'odd' pennies applied to the 1st month's Service Credit).

SLA#5: remote assessments are conducted within 2 working days (of referral to the Assessment service for the first assessment, and of the need being identified for subsequent assessments). The Supplier will provide DWP with monthly Management Information (MI) on performance against this target for the previous calendar month, and where the percentage of remote assessments conducted within 2 working days is below the target in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the target (90% in year 1, 92% in year 2, and 95% from year 3 onwards), the Service Credit value for the SLA (10%) and the total value of Output Payments claimed in the previous calendar month (applied as per SLA#1).

SLA#6: face-to-face assessments are conducted within 5 working days (of referral to the Assessment service for the first assessment, and of the need being identified for subsequent assessments). The Supplier will provide DWP with monthly MI on performance against this target for the previous calendar month, and where the percentage of remote assessments conducted within 5 working days is below the target in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the target (90% in year 1, 92% in year 2, and 95% from year 3 onwards), the Service Credit value for the SLA (10%) and the total value of Output Payments claimed in the previous calendar month (applied as per SLA#1).

SLA#7: RtWPs are issued to employees within 3 working days of the assessment in year 1, and within 2 working days of the assessment from year 2 onwards; where consent to share with GPs and/or employers, the same targets will apply. The Supplier will provide DWP with monthly MI on performance against this target for the previous calendar month, and where the percentage of RtWPs issued within 3 or 2 days (as applicable) is below the target in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the target (85% in year 1, 92% in year 2, and 95% from year 3 onwards), the Service Credit value for the SLA (20%) and the total value of Output Payments claimed in the previous calendar month (applied as per SLA#1).

SLA#8: incoming calls (on working days) are answered within 30 seconds. The Supplier will provide DWP with monthly MI on performance against this target for the previous calendar month, and where the percentage of incoming

calls on working days answered within 30 seconds, or the total of all calls answered, are below the targets in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the targets (80% of calls answered within 30 seconds, and 90% of all calls answered), the Service Credit value for the SLA (10%) and the total value of Output Payments claimed in the previous calendar month. For example, if during year 1 the Supplier has claimed and been paid 1,230 Output Payments in February 2015 for employees discharged from the Assessment service:

- In March, DWP determines from MI provided by the Supplier that only 78% of calls on working days were answered within 30 seconds, resulting in a shortfall of 2% against the target; the Service Credit value will be calculated as $2\% \times 10\% \times$ the value of 1,230 Output payments (rounded to the nearest penny).
- In March, DWP also determines from MI provided by the Supplier that only 89% of all calls on working days were answered, resulting in a shortfall of 1% against the target; the Service Credit value will be calculated as $1\% \times 10\% \times$ the value of 1,230 Output Payments (rounded to the nearest penny).

SLA#9: queries to the Advice service are responded to within 2 or 3 working days of the date of initiation of the query. The Supplier will provide DWP with monthly MI on performance against this target for the previous calendar month, and where the percentage of Advice service queries responded to within 2 or 3 working days are below the targets in the Specification a Service Credit will be applied. Calculation of the Service Credit will be on the basis of the percentage shortfall against the targets (97% responded to within 2 working days, and 99% responded to within 3 working), the Service Credit value for the SLA (10%), and the total value of Output Payments claimed in the previous calendar month. For example, if during year 1 the Supplier has claimed and been paid 1,230 Output Payments in February 2015 for employees discharged from the Assessment service:

- In March, DWP determines from MI provided by the Supplier that only 95% of queries were responded to within 2 working days, resulting in a shortfall of 2% against the target; the Service Credit value will be calculated as $2\% \times 10\% \times$ the value of 1,230 Output payments (rounded to the nearest penny).
- In March, DWP also determines from MI provided by the Supplier that only 98% of queries were responded to within 3 working days, resulting in a shortfall of 1% against the target; the Service Credit value will be

calculated a 1% x 10% x the value of 1,230 Output Payments (rounded to the nearest penny).

In each calendar month, the total value of all Service Credits against the nine SLAs will be capped at 15% the total value of Output Payments made in the relevant calendar month (rounded to the nearest penny). The Supplier will raise a Credit Note to re-pay the total value of applicable Service Credits, up to this 15% cap.

The Supplier will be required to provide the IAAP with prompt and full access to all relevant systems and records to support checks against all SLAs. The Supplier will also be required to ensure prompt and accurate MI is reported to DWP each calendar month (see MI section of Supplier Guidance for details).

Annex 4 addendum

Commentary on Additional Terms and Conditions
Fit for Work Post Tender Implementation Meeting
July 17, 2014 – the Supplier Notes from Meeting

Background: The Supplier appreciated the opportunity to be walked through new Terms and Conditions related to the FfW Contract. The Supplier raised a number of questions of clarification related to the new Terms. The new Terms were sent to the Supplier the day prior to the meeting, affording limited time for review.

Discussion: The Supplier asked a number of questions during the meeting and the following represent the responses we believe were communicated.

Procedures for Post Payment Checks and Extrapolation:

The Supplier understands the need to perform checks to ensure for billing integrity.

However, the methodology for performing these checks was not clear.

1. Will the Supplier have an opportunity to review auditors' findings before these are finalized? Will the Supplier and DWP agree on what the criteria are to determine what is the criteria are to determine an item is billable? DWP will provide the Supplier with the quality criteria that the IAAP will be assessing against, the Supplier will be afforded an opportunity to comment but DWP reserves the right to have sole and final decision in this matter. Will we be able to agree on how the error rate is extrapolated? The means by which the error rate will be extrapolated have been stated however, DWP acknowledges that without doing a 100% check there will be differing levels of confidence (a range). At this time the specifications for the IAAP contract have not been issued. Once these have been issued then DWP will discuss with the Supplier the implications around confidence levels as applied to the specified extrapolation model. DWP reserves the right to make the final decision in this matter. The degree of confidence in the sample can determine the confidence we have in the extrapolation to the whole monthly billable amount.

Response: DWP explained that we will have a chance to review the findings and support our views prior to findings being finalized. Further it was explained that we would agree on methodologies before these are implemented.

2. For the SLAs, the Supplier asked similar questions. Will we agree a process for validating findings with the auditors before they are finalized? The Terms indicate that an Appeal process is not allowed. However, we are asking for the ability to work with the auditors to agree on their findings as is normally the process for quality audits. We asked that DWP and the Supplier agree on the actual quality criteria for measurement as well as the actual customer satisfaction survey questions.

Response: DWP explained that we would be able to validate auditors' findings prior to the findings becoming final. Also it was agreed that the parties would agree on the measurement criteria for the quality scores and customer satisfaction questionnaires. See comment above in relation to final decisions resting solely with DWP. To clarify on the Supplier validating auditors findings – The auditor will undertake their audit, once completed this will be sent to DWP. DWP will, at this point and at its sole discretion, share the findings with the Supplier. There will be an opportunity to discuss the auditor's findings and if there are disputes DWP may, at its own and sole discretion, review these matters in conjunction with both the Supplier and the auditor. These discussions will be dual purpose, to allow the Supplier to identify areas for continuous improvement and also for issues to be considered prior to Service Credits being finalised.

3. The Supplier asked if the Service Credits would be capped at 15% of fees. The draft Term appeared to indicate that the cap was not in effect.

Response: The DWP explained that there is no cap for the Post Payment Checks but the SLA penalties were capped at 15% of fees.

Management Information Requests: A discussion was held going over the types of information that DWP would like to receive and the Supplier agreed to provide that. Over time the details of the information would be worked out between the Supplier and DWP.

Summary: The Supplier believes that the discussion that was held provided assurance that the audit process to gain assurance over billing and performance would be done in a collaborative way. However, the contract language provided by DWP is not as clear as it could be to align with the discussions. Accordingly, the Supplier is providing some requested modifications to the language to help align them with our understanding. A blacklined version of the new DWP Terms is appended for reference and for DWP consideration.

Annex 5 – Employee Customer Satisfaction Questions

Fit for Work Customer Satisfaction Questions

Employee Questions – Performance

These questions are derived from the Critical Success Factors and will be used to measure SLA4

| | | |
|------|--|---|
| SLA4 | That customers using the Assessment Service indicate, through feedback, the required satisfaction levels | Mean average satisfaction rates for all customer groups to be at least 90% in year 1 rising to 92% from the start of year 2 and 95% from the start of year 3. Service Credits will apply if any individual customer group (employee, employer or GP) fall below 85%. Target – Quarterly |
|------|--|---|

Looking back, **how satisfied** are you with the following aspects of Fit for Work:

1. Your **assessment** – how satisfied are you that all your return to work issues were addressed by the assessment? (Including work, health and social issues)
- Note:** The text in brackets will be used included as is in any electronic/postal versions of these questions and can be read out if conducting follow up over the phone if the employee requests clarification
2. Your return to work plan – how satisfied are you that the plan was easy to understand?
 3. Your return to work plan – how satisfied are you that the recommendations in the plan were relevant for your return to work?
 4. The overall **Fit for Work service** – how satisfied are you that the service was easy to use?
 5. Your **trust** in the service – how satisfied are you that you felt able to trust the advice provided by the service?

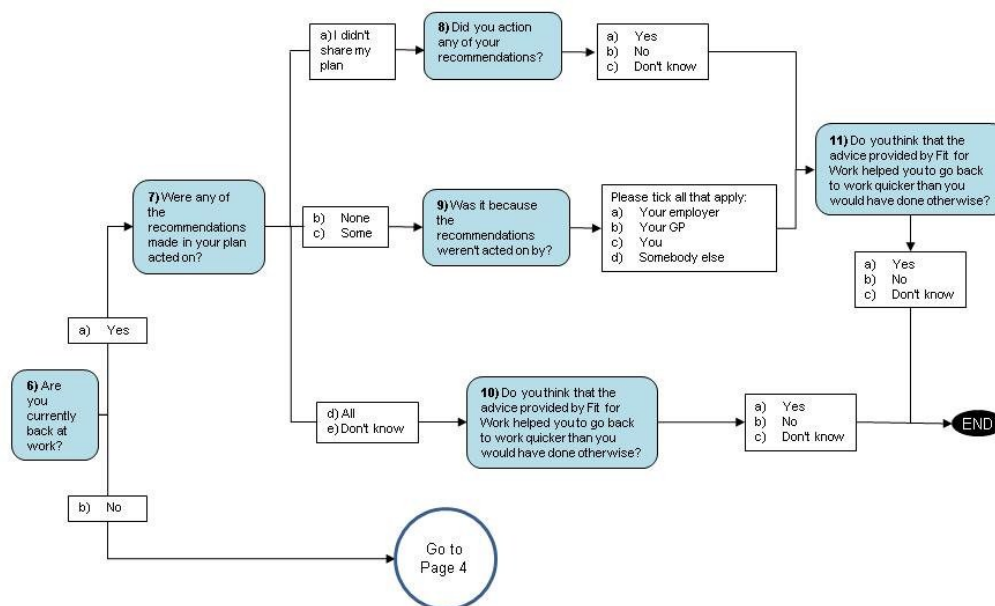
Performance Answer Scale

| | | | | | |
|----------------------|---|---|---|----------------|---|
| 0 | 1 | 2 | 3 | 4 | 5 |
| Not at all satisfied | | | | Very Satisfied | |

Fit for Work Customer Satisfaction Questions

Employee Questions – Evaluation

These questions are for evaluation purposes only and will not be used to measure SLA 4. The answers are offered at the end of the questions and the employee will select one or more depending on the question asked. Although the questions are individually numbered the wording may be repeated. This is to show all the questions in the appropriate stream for the answers given and will support IT development by HML and SG.



Fit for Work Customer Satisfaction Questions

Employee Questions – Evaluation

These questions are for evaluation purposes only and will not be used to measure SLA 4. The answers are offered at the end of the questions and the employee will select one or more depending on the question asked. Although the questions are individually numbered the wording may be repeated. This is to show all the questions in the appropriate stream for the answers given and will support IT development by HML and SG.

