

Appendix 21 - Service Levels and Key Performance Indicators.

SERVICE LEVEL/KPI: 1			
Specification Reference	4.1	Service Area / Output	Opening Hours
Service Levels/KPIs		Libraries are open for the Minimum Opening Hours, except where planned closures are agreed at least 28 days in advance with the Client	
Monitoring Arrangements		<p>The Service Provider will maintain a daily record of the opening hours achieved and will report any unplanned closures to the Client Unit on a monthly basis. The Client Unit must be able to request the latest version of these records at any time and the Service Provider must provide it no later than the next working day.</p> <p>The Authority's Client Unit should be notified immediately verbally (or by email), and then formally in writing within 24 hours, where any unplanned closures occur. This includes failure to open on time, early closure or any other kind of unplanned variation to opening hours. For the avoidance of doubt an unplanned closure is defined as failure to open the library fully, including incidents in which there are insufficient staff to deliver all library services as outlined in the Specification, regardless of whether public access is maintained.</p>	
Monitoring frequency		Monthly	
Priority Rating		A	
Sanction		<p>Where a library fails to open in accordance with the agreed Minimum Opening Hours, except where planned closures are agreed, the Service Provider will accept the following default points which are measured per day: (i.e. a 2hr closure on 2 different days of the month for a library would equate to 30 default points)</p> <p>10 minutes - 2 hours 59 minutes - 15 default points</p> <p>3 hours – 5 hours 59 minutes - 30 default points</p> <p>6 hours – a full day for that library - 60 default points</p>	

SERVICE LEVEL/KPI: 2			
Specification Reference	4.2	Service Area / Output	Frontline Services
Service Levels/KPIs		<p>The Service Provider will collect and provide to the Client Unit the following statistical indicators, including total figures and breakdowns by library branch</p> <ul style="list-style-type: none"> • Number of visits • Number of issues and renewals • Number of active users • Number of new members • Number of transactions through self-service technology • Response time for requests • Benchmarking the Authority's relative position in relation to other regional Authority's in relation to the above statistics • CIPFA Annual Public Library Statistics 	
Monitoring Arrangements		<p>The Service Provider will submit a quarterly update on these statistics that have been collected for each of the areas, except where these statistics are collected less frequently in line with CIPFA best practice.</p> <p>The Client Unit will use this update to assess progress.</p> <p>The Authority expects that the Service Provider will drive for continuous monthly improvement but accepts that this may be affected by regional or national trends that are outside the control of the Service Provider and therefore the Service Provider will not incur financial sanctions in relation to statistical improvement. The Client Unit and Authority will however use this data to inform their overall assessment of the Service Provider's performance and to analyse how improvements may be made.</p> <p>In the event that the Service Provider is able to increase annual performance in either or both of the following indicators by a minimum of 1%, a <u>credit</u> will be made to the Service Provider to the value of 30 default points:</p> <ul style="list-style-type: none"> • Number of visits • Number of issues 	
Monitoring frequency		Quarterly	
Priority Rating		C	
Sanction		The Service Provider will accept 5 default points for each day late that	

	these statistics are provided after the specified deadline.
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SERVICE LEVEL/KPI: 3			
Specification Reference	4.2	Service Area / Output	Frontline Services
Service Levels/KPIs		<p>The Service Provider will measure customer satisfaction through:</p> <ul style="list-style-type: none"> • Participation in the CIPFA surveys (or any equivalent replacement surveys or schemes) • An annual customer satisfaction survey to be carried out in all libraries that will provide a clear indication of customer satisfaction by a wide range of customers from a variety of ages and backgrounds • Evaluation of events and activities in libraries 	
Monitoring Arrangements		<p>The Service Provider will keep a record of the evaluation feedback and outcome of customer satisfaction surveys and will provide copies to the Client Unit on the working day following any request.</p> <p>The Service Provider will supply an annual report on customer satisfaction levels.</p> <p>The Client Unit and Authority will use this data to inform their overall assessment of the Service Provider's performance and to analyse how improvements may be made.</p>	
Monitoring frequency		Annually	
Priority Rating		C	
Sanction		<p>The Service Provider will accept the following default points for non-performance:</p> <ul style="list-style-type: none"> • 5 default points for each day late that the annual customer satisfaction report, based on the results of the annual customer satisfaction survey, is provided to the Client Unit • 30 default points for a decrease in customer satisfaction of more than 5% as an average of the total outcome of the annual customer satisfaction survey in each borough. • 30 default points for a decrease in customer satisfaction of more than 20% in any individual library (per library) • 50 default points for a decrease in customer satisfaction of more than 5% in any indicator recorded in the CIPFA Plus survey or CIPFA Children's Plus survey 	

SERVICE LEVEL/KPI: 4			
Specification Reference	5.1	Service Area / Output	Strategic Management
Service Levels/KPIs	<p>The Service Provider will produce development plan/s that aim to increase use of libraries and in particular to achieve increases in the number of visitors to libraries and the number of stock issues.</p> <p>The actions identified in annual development, action and implementation plan for targeted services, including the number and range of activities, are to be delivered in accordance with the programme identified in the plan. There will be a plan for each of the following areas:</p> <ul style="list-style-type: none"> • Children and Families • IT support & Development (Internal) • Reader Development • Information and Learning • Bibliographic Services • Universal Offers • Stock management Plan • Web Access to Library Services • Improvement, Training and Marketing 		
Monitoring Arrangements	<p>All plans will be agreed annually with the Client Unit to the timetable specified. Quarterly progress reports against annual aims identified in these plans will be submitted to the Client Unit for review. Any proposed amendments to the aims/actions for the following quarters, including the programme of activities, should be submitted as part of this report and must be agreed by the Client Unit.</p> <p>Amendments should be based on clear evidence of a change in local need.</p> <p>The reports should demonstrate the percentage of activities identified in the service plans that were delivered in that quarter against the programme.</p>		
Monitoring frequency	Quarterly progress reports with an annual assessment		
Priority Rating	A		
Sanction	90% of annual aims/actions identified for completion in each quarter in each plan should be delivered each quarter (Unless the Client Unit		

	<p>agrees in writing that an aim can be removed or transferred to another quarter). This must include 100% of priority 1 items as identified in the plans.</p> <p>The following number of default points will be received by the Service Provider for the percentage of actions performed in accordance with the table below</p> <table><tr><td>90% - 100%</td><td>0 default points</td></tr><tr><td>76% - 90%</td><td>45 default points</td></tr><tr><td>51% - 75%</td><td>60 default points</td></tr><tr><td>26% - 50%</td><td>100 default points</td></tr><tr><td>0% - 25%</td><td>200 default points</td></tr></table> <p>For every incomplete Priority 1 10 default points item (additionally)</p>	90% - 100%	0 default points	76% - 90%	45 default points	51% - 75%	60 default points	26% - 50%	100 default points	0% - 25%	200 default points
90% - 100%	0 default points										
76% - 90%	45 default points										
51% - 75%	60 default points										
26% - 50%	100 default points										
0% - 25%	200 default points										

SERVICE LEVEL/KPI: 5			
Specification Reference	4.3	Service Area / Output	IT Support: Web Based Services
Service Levels/KPIs	The Service Provider provides 24/7 access to web services, except where services are suspended for planned maintenance or as required and as agreed with the Client Unit in writing 24 hours prior to the event. Web services are deemed to include (but are not limited to) the public interfaces with the Library Management System and e-subscriptions.		
Monitoring Arrangements	The Service Provider will maintain record of the availability of web services and will notify the Client Unit of any failure to meet the required service level. Any unplanned outage should be reported to the Authority's Client Unit in writing and within 24 hours of the unplanned outage having occurred.		
Monitoring frequency	Monthly		
Priority Rating	A		
Sanction	<p>Where web services are not available 24/7, except where services are suspended as agreed with the Client Unit in writing and in advance, the Service Provider will accept the following default points for unavailability:</p> <p>1 hour – 2 hours 59 minutes 5 default points</p> <p>3 hours – 5 hours 59 minutes 15 default points</p> <p>6 hours – 11 hours 59 minutes 20 default points</p> <p>12 hours – 24 hours 30 default points</p>		

SERVICE LEVEL/KPI: 6			
Specification Reference	4.3	Service Area / Output	Back Office
Service Levels/KPIs	Public IT facilities (such as People's Network terminals, public WiFi and self-service kiosks) are working and available for use during Minimum Opening Hours except where planned maintenance is agreed at least 24 hours in advance with the Client Unit.		
Monitoring Arrangements	<p>The Service Provider will notify the Authority of any failure to make public IT facilities available during library opening hours. The Service Provider will log all IT issues, including any loss of availability. The Client Unit may request the latest version of these logs at any time and the Service Provider must provide it no later than the next working day.</p> <p>When notifying the Client Unit of any loss of service availability, the Service Provider will provide information relating to:</p> <ul style="list-style-type: none"> • The reason for the lack of availability • The number of sites affected • The quantity of time for which facilities are not available • The number of People's Network or self-service terminals affected (if applicable) • What action was taken to resolve the issue and what action the Service Provider will take to prevent a similar occurrence in the future 		
Monitoring frequency	Monthly		
Priority Rating	A		
Sanction	<p>For each site affected, the following number of default points will apply:</p> <ul style="list-style-type: none"> • For every full business day (or 2 half days within a one month period) that public WiFi is consistently not available in one library, for any reason other than the reasons established in the Specification paragraph 9.3.6, the Service Provider will receive 10 points per library affected • For every full business day that there is more than one Public Network terminal that is not available (per library), the Service Provider will receive 1 point for each terminal not available • Alternatively, for every full business day (or 2 half days) where all Public Network terminals are unavailable for any reason other than the reasons established in paragraph 3.6, the Service Provider will receive 10 points for each library affected • Please note that the above penalties are not applied where the Service Provider accrues points in conjunction with KPI 1 (library 		

		closures)											
SERVICE LEVEL/KPI: 7													
Specification Reference	4.3	Service Area / Output	Back Office										
Service Levels/KPIs		The Service Provider will develop an innovative Marketing Plan for the Authority's Library Service which is approved by the Client Unit in accordance with the Specification. Actions identified in the Marketing Plan are delivered in accordance with the submitted programme. The Marketing Plan will clarify the marketing channels to be used and will specify how quality marketing outputs will be achieved.											
Monitoring Arrangements		Quarterly progress reports against actions identified in the marketing plans are submitted to the Client Unit for review. Any proposed amendments to the actions for the following quarters should be submitted as part of this report and must be agreed by the Client Unit. Amendments should be based on clear evidence of changing circumstances. The report should demonstrate the percentage of activities identified in the Marketing Plans that were delivered in that quarter against the programme.											
Monitoring frequency		Quarterly											
Priority Rating		C											
Sanction		At least 90% of actions identified should be delivered each quarter to the agreed quality output standard (unless the Client Unit agrees in writing that an action can be removed or transferred to another quarter). Default points will be accrued by the Service Provider for the percentage of actions delivered in accordance with the table below: <table><tr><td>90% - 100%</td><td>0 default points</td></tr><tr><td>76% - 90%</td><td>5 default points</td></tr><tr><td>51% - 75%</td><td>10 default points</td></tr><tr><td>26% - 50%</td><td>25 default points</td></tr><tr><td>0% - 25%</td><td>50 default points</td></tr></table>		90% - 100%	0 default points	76% - 90%	5 default points	51% - 75%	10 default points	26% - 50%	25 default points	0% - 25%	50 default points
90% - 100%	0 default points												
76% - 90%	5 default points												
51% - 75%	10 default points												
26% - 50%	25 default points												
0% - 25%	50 default points												

SERVICE LEVEL/KPI: 8			
Specification Reference	4.3	Service Area / Output	Back Office
Service Levels/KPIs	<p>The Service Provider will manage the hire of space in libraries according to the conditions of hire, which are to be agreed annually by the Client Unit as set out in the Specification. All events will be managed and booked according to the conditions of hire as agreed by the Client Unit. No space or venue hire arrangements shall impact on normal library operations or the availability of library space and facilities to all customers, unless agreed in writing with the Client Unit in advance. The granting of such permission will be solely at the discretion of the Client Unit</p>		
Monitoring Arrangements	<p>The Service Provider will keep a record of all hire of library premises, including the reason for hire, date, duration, space occupied and a log of any issues arising. A log of complaints received shall also be maintained, including the times complaints were received, or issues were identified, action taken to manage those complaints/issues and the time at which the complaint/issue was resolved</p> <p>The Client Unit may request a copy of these records at any time and the Service Provider must provide these on the next working day.</p> <p>The Service Provider will notify the Client Unit of any failure to comply with this KPI within 24 hours, and must report the failure formally within that month.</p> <p>The Service Provider must rectify any breach of the conditions of hire, or any adverse impact caused by space or venue hire on normal library operations, during any event, within 15 minutes.</p>		
Monitoring frequency	Monthly		
Priority Rating	B		
Sanction	<p>The Service Provider will accept 10 default points for any of the following:</p> <ul style="list-style-type: none"> • If the Service Provider is found to have booked events that fall outside the scope of the conditions of hire • If the Service Provider fails to rectify breaches of the conditions of hire during events within 15 minutes of any breach being identified • The Service Provider allows space/room hire to have an adverse impact on library operations and fails to rectify this within 15 minutes of the impact being identified 		

SERVICE LEVEL/KPI: 9			
Specification Reference	4.4	Service Area / Output	Local Studies (Heritage)
Service Levels/KPIs	<p>Local Studies services are available to the public during library opening hours, except where planned closures are agreed in writing and at least 28 days in advance with the Client Unit.</p> <p>Online Local Studies services are updated and available 24/7 except where they are suspended for planned maintenance or as required and is agreed at least 24 hours in advance by the Client Unit.</p>		
Monitoring Arrangements	<p>The Service Provider will maintain a record of the availability of Local Studies Services (both in Libraries and online) and will notify the Client Unit of any failure to meet the required service level within 24 hours.</p> <p>The Client Unit may request the latest version of these records at any time and the Service Provider must provide it on the next working day.</p>		
Monitoring frequency	Quarterly		
Priority Rating	B		
Sanction	<p>Where online Local and family Studies services are not available, the Service Provider will receive the following default points:</p> <p>1 hour – 2hours 59 minutes 5 default points</p> <p>3 hours – 5 hours 59 minutes 15 default points</p> <p>6 hours – 11 hours 59 minutes 20 default points</p> <p>12 hours – 24 hours 30 default points</p> <p>Where the Local Studies Centres are not available to the public during library opening hours, the Service Provider will receive the following default points:</p> <p>10 minutes - 2 hours 59 minutes - 5 default points</p> <p>3 hours – 5 hours 59 minutes - 15 default points</p> <p>6 hours – a full day for that library - 30 default points</p> <p>Please note – this penalty WILL be applied in conjunction with KPI 1 (library closures), should closures at Central Libraries affect the availability of Local Studies and Archives services.</p>		

SERVICE LEVEL/KPI: 10													
Specification Reference	4.4	Service Area / Output	Local Studies (Heritage)										
Service Levels/KPIs		The Service Provider will develop a Local Studies Development Plan which will be agreed with the Client Unit in accordance with the Specification. The Service Provider will deliver the actions identified in this plan.											
Monitoring Arrangements		Quarterly progress reports against actions identified in the Local Studies Plan are submitted to the Client Unit for review. Any proposed amendments to the actions for the following quarters should be submitted as part of this report and must be agreed by the Client Unit. Amendments should be based on clear evidence of changing local need. The report should demonstrate the percentage of activities identified in the Plan that were delivered in that quarter against the programme.											
Monitoring frequency		Quarterly											
Priority Rating		B											
Sanction		At least 90% of actions identified should be delivered each quarter. This must include 100% of priority 1 items as identified in the plans. Default points will be accrued by the Service Provider for the percentage of actions delivered in accordance with the table below: <table><tr><td>91% - 100%</td><td>0 default points</td></tr><tr><td>76% - 90%</td><td>20 default points</td></tr><tr><td>51% - 75%</td><td>40 default points</td></tr><tr><td>26% - 50%</td><td>60 default points</td></tr><tr><td>0% - 25%</td><td>100 default points</td></tr></table> For each incomplete Priority 1 5 default points item (additionally)		91% - 100%	0 default points	76% - 90%	20 default points	51% - 75%	40 default points	26% - 50%	60 default points	0% - 25%	100 default points
91% - 100%	0 default points												
76% - 90%	20 default points												
51% - 75%	40 default points												
26% - 50%	60 default points												
0% - 25%	100 default points												

SERVICE LEVEL/KPI: 11											
Specification Reference	4.5	Service Area / Output	Residential and Home Library Service								
Service Levels/KPIs		The Service Provider will deliver the Residential and Home Library Service to ensure that: <ul style="list-style-type: none">A user should not wait more than one month from the date of their registration for an initial visit from the Home Library ServiceAll beneficiaries of the service receive monthly visits									
Monitoring Arrangements		The Service Provider will report monthly on: <ul style="list-style-type: none">New registered users for the Home Library Service, including date of registrationThe date that newly registered users receive their first visitTotal number of users of the Home Library ServiceNumber of users who received a monthly visit from the Home Library Service									
Monitoring frequency		Quarterly									
Priority Rating		B									
Sanction		If the number of beneficiaries who receives a monthly visit falls below 95%, including new clients receiving their first visit within 1 month of registering, the following default points for the percentage of beneficiaries receiving a visit will apply: <table><tr><td>76% - 95%</td><td>10 default points</td></tr><tr><td>51% - 75%</td><td>20 default points</td></tr><tr><td>26% - 50%</td><td>35 default points</td></tr><tr><td>0% - 25%</td><td>75 default points</td></tr></table>		76% - 95%	10 default points	51% - 75%	20 default points	26% - 50%	35 default points	0% - 25%	75 default points
76% - 95%	10 default points										
51% - 75%	20 default points										
26% - 50%	35 default points										
0% - 25%	75 default points										

SERVICE LEVEL/KPI: 12			
Specification Reference	5.1	Service Area / Output	Service Management
Service Levels/KPIs		<p>The Service Provider will produce:</p> <ul style="list-style-type: none"> • Library Strategies • Medium Term Priorities • Annual Service Plans <p>in accordance with section 5.1 of the Specification. These documents should be produced to a good standard and submitted to the Authority in accordance with the identified timescales.</p>	
Monitoring Arrangements		The Service Provider will submit the relevant documents to the Client Unit within the specified timeframe.	
Monitoring frequency		Annually, or as agreed between the Service Provider and the Client Unit depending on the document.	
Priority Rating		A	
Sanction		The Service Provider will accept 2 default points for every day that the documents are submitted after the specified deadlines, including any deadlines set by the Client Unit for re-drafting of documents that do not meet the required quality standards.	

SERVICE LEVEL/KPI: 13													
Specification Reference	5.3	Service Area / Output	Customer Service and Complaints										
Service Levels/KPIs		Complaints are dealt with in accordance with timeframes identified in the Service Provider’s tender submission. 98% of complaints that are received are responded to and resolved to the Authority’s satisfaction within the specified timescales.											
Monitoring Arrangements		The Service Provider will maintain a log of all complaints received and a separate log of all comments received by the public. The Service Provider will log the stage at which each complaint in the Complaints Log is within their complaint’s resolution process. Where a complaint has been through all stages in the Service Provider’s complaint’s resolution process, but has not been resolved and has therefore been referred to the Authority, the complaints will be treated as unresolved until the Client Unit advise the Service Provider that they have been resolved. The Service Provider will submit a monthly report which summarises feedback from customers and which includes the main complaints received. The Client Unit may request the latest version of the complaints log and comments log and the Service Provider must provide it on the next working day.											
Monitoring frequency		Monthly											
Priority Rating		A											
Sanction		At least 98% of complaints should be responded to within the specified timeframe. The Service Provider will receive the following number of default points for the percentage of complaints responded to within the specified timeframes: <table><tr><td>98% - 100%</td><td>0 default points</td></tr><tr><td>76% – 97%</td><td>10 default points</td></tr><tr><td>51% - 75%</td><td>20 default points</td></tr><tr><td>26% - 50%</td><td>50 default points</td></tr><tr><td>0% - 25%</td><td>75 default points</td></tr></table>		98% - 100%	0 default points	76% – 97%	10 default points	51% - 75%	20 default points	26% - 50%	50 default points	0% - 25%	75 default points
98% - 100%	0 default points												
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51% - 75%	20 default points												
26% - 50%	50 default points												
0% - 25%	75 default points												

SERVICE LEVEL/KPI: 14			
Specification Reference	5.5	Service Area / Output	Library Management System (LMS)
Service Levels/KPIs		The Library Management System (LMS) is available for staff and back office transactions during the Minimum Opening Hours, except where there is planned outage which is agreed with the Client Unit at least 24 hours in advance.	
Monitoring Arrangements		<p>The Service Provider will maintain record of the availability of the systems and will notify the Client Unit of any failure to meet the required service level. The Client Unit must be able to request the latest version of these records at any time and the Service Provider must provide it no later than the next working day.</p> <p>Any unplanned outage should be reported to the Authority's Client Unit immediately by telephone or by email and formally in writing and within 24 hours of the unplanned outage having occurred.</p>	
Monitoring frequency		Monthly	
Priority Rating		A	
Sanction		<p>Where the systems are not available within the Minimum Opening Hours except where services are suspended as agreed with the Client Unit in writing and in advance, the Service Provider will accept the following default points:</p> <p>1 hour – 3 hours 29 minutes 5 default points</p> <p>3 hours 30 minutes – 6 hours 59 10 default points minutes</p> <p>Full day (7 hours or more) 20 default points.</p>	

SERVICE LEVEL/KPI: 15			
Specification Reference	5.6	Service Area / Output	Stock Purchasing
Service Levels/KPIs		The Service Provider will produce an annual Stock Plan which demonstrates how they will deliver the Stock Policy for the relevant year. This plan should identify the budget for stock purchasing, the Service Provider's intended providers, the timeframe for the supply chain to get stock to libraries and make it shelf ready, and their specification for stock purchasing, based on clear evidence that identifies how the stock purchase will meet the needs of service users.	
Monitoring Arrangements		The Service Provider will provide a monthly update on annual Stock Plan, indicating how it is delivering the implementation of the Stock Policy including the amount that they have spent on stock, the quantity of items purchased, what they have purchased and how they have purchased it.	
Monitoring frequency		Monthly	
Priority Rating		B	
Sanction		Where the Service Provider deviates from the Stock Plan without the prior written consent of the Client Unit, the Service Provider will incur 10 default points for each deviation.	

SERVICE LEVEL/KPI: 16			
Specification Reference	5.8	Service Area / Output	Business Continuity
Service Levels/KPIs		The Service Provider shall update their Business Continuity Plan on an annual basis or when required by any significant change that impacts on operations, and supply a copy to the Client Unit.	
Monitoring Arrangements		The Service Provider will provide the Client Unit with an electronic copy of their Business Continuity Plan by the agreed submission date.	
Monitoring frequency		Annually	
Priority Rating		C	
Sanction		The Service Provider will receive 5 default points for every week that the plan is not submitted after the specified deadline.	

SERVICE LEVEL/KPI: 17			
Specification Reference	5.9	Service Area / Output	Mobilisation and Exit Planning
Service Levels/KPIs		The Service Provider shall update their Exit Plan on an annual basis and supply a copy to the Client Unit.	
Monitoring Arrangements		The Service Provider will provide the Client Unit with an electronic copy of their Exit Plan by the stated date.	
Monitoring frequency		Annually	
Priority Rating		C	
Sanction		The Service Provider will receive 5 default points for every week that the Exit Plan is not submitted after the specified deadline.	

SERVICE LEVEL/KPI: 18			
Specification Reference	6.3 and 6.10	Service Area / Output	Cleaning and Housekeeping
Service Levels/KPIs		<p>The level of cleanliness must be visibly acceptable:</p> <ul style="list-style-type: none"> Floors should be litter and dust free, and free from spillages, spoilages, stains and scuff marks Furniture, fixtures and fittings should be mark, stain, graffiti and smear free and should have a polished appearance Walls should be kept mark and stain free Windows and glass partitions should be cleaned so that there are no marks or smears Chewing gum should be removed from floors, fixtures and fittings Toilets should be cleaned appropriately and with germicidal detergent solutions. Waste bins and containers should be regularly emptied and disposal should be hygienic Kitchen areas should be cleaned so that all dirt, debris, spillages, grease and timescale is removed using appropriate agents 	
Monitoring Arrangements		<p>It is the Service Providers responsibility to manage the cleaning contracts supplied by the TDA FM Service to ensure an adequate level of cleanliness is provided in all Libraries.</p> <p>The Client Unit reserve the right to inspect the libraries at any moment in time and without giving notice, but will undertake a quarterly check of cleanliness at each library via a planned monitoring tour. The Client Unit will spot check libraries in response to complaints and reserve the right to undertake mystery shopper exercises in this respect.</p> <p>The Service Provider will keep a daily log of any issues with cleanliness and the cleaning undertaken, including the period within which issues were rectified which must be available to the Client Unit within 24 hours of their request.</p>	
		<p>The Service Provider will maintain up to date risk assessments, including COSHH sheets relating to cleaning and make these available to the Client Unit within 24 hours of their request.</p>	
Monitoring frequency		Quarterly	
Priority Rating		B	
Sanction		Where the level of cleanliness is deemed to be unsatisfactory at a	

	<p>library, the Service Provider will accept 30 default points in relation to any issue that is not resolved in the specified rectification period as detailed in the Monitoring Notice issued.</p> <p>The Service Provider will accept an additional sanction of 30 default points where any service area (including toilets, kitchen facilities, or significant public space) is not available due to the level of cleanliness.</p> <p>The Service Provider will accept a sanction of 30 default points if they do not maintain up to date risk assessments or COSHH sheets relating to cleaning.</p>
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SERVICE LEVEL/KPI: 19			
Specification Reference	8.1	Service Area / Output	Health and Safety and Safeguarding
Service Levels/KPIs		The Service Provider will fulfill its duties in relation to health and safety, safeguarding and community safety, as defined in the Specification, contract terms and leases.	
Monitoring Arrangements		<p>The Service Provider will keep a record of all incidents</p> <p>The Service Provider will maintain a record of all procedures and processes relating to Health and Safety and will review these quarterly.</p> <p>The Service Provider will ensure that all staff are appropriately trained in all relevant matters relating to Health and Safety, safeguarding and community safety.</p> <p>The Client Team may request the above information at any time and it will be supplied no later than the next working day.</p>	
Monitoring frequency		Quarterly	
Priority Rating		A	
Sanction		The Service Provider will accept 100 default points for any breach of the contract terms or lease terms relating to Health and Safety. (Please note that this penalty does not replace the contract or lease terms in relation to the Authority's right to take action in relation to Health and Safety, safeguarding community safety issues).	

SERVICE LEVEL/KPI: 20			
Specification Reference	5.4	Service Area / Output	Staff management
Service Levels/KPIs		The Service Provider will train and manage staff, including the application of disciplinary procedures, in accordance with the Specification and the contract terms.	
Monitoring Arrangements		<p>The Service Provider will maintain a record of all staff training and all disciplinary action taken against staff.</p> <p>The Client Unit may request this information at any time and it is to be provided no later than the next working day.</p>	
Monitoring frequency		Monthly	
Priority Rating		C	
Sanction		The Service Provider will accept 10 default points for each identified incident in which it has failed to properly train or manage staff, as set out in the contract terms (This KPI is in addition to the contract terms).	

SERVICE LEVEL/KPI: 21			
Specification Reference	5.7	Service Area / Output	Managing the Authority's reputations
Service Levels/KPIs		The Service Provider will manage the Authority's reputation in accordance with the Specification.	
Monitoring Arrangements		<p>The Service Provider will liaise with the Client Unit regarding all external communications.</p> <p>The Service Provider will manage the display of materials in libraries.</p> <p>The Service Provider will manage staff use of social media in accordance with the duty to manage the Authority's reputations and in accordance with its policy on social media use (which is to be agreed annually with the Client Unit)</p>	
Monitoring frequency		Monthly	
Priority Rating		A	
Sanction		<p>The Service Provider will accept 30 default points for each incident in which it engages in external communications (including entering into discussions with the press) without the prior consent of the Client Unit</p> <p>The Service Provider will accept 15 default points for each incident of misuse of social media by staff or other representatives of the Service Provider, in accordance with its policy on social media.</p> <p>The Service Provider will accept 15 default points for each incident of the display of materials in a library that is outside of the agreed notice display policy and that is deemed to pose a reputational risk to the Authority.</p>	

SERVICE LEVEL/KPI: 22			
Specification Reference	N/A	Service Area / Output	Responding to information requests
Service Levels/KPIs		The Service Provider will respond to information requests by the Client Unit as set out in this document.	
Monitoring Arrangements		<p>The Service Provider will maintain a log of information requests from the Client Unit, including response times.</p> <p>Where a deadline for responding to a request is not set out in the log document (i.e. ad-hoc requests for information not recorded as standard monitoring), the Client Unit and the Service Provider will agree a deadline for providing the requested information within 1 working day of the request being received.</p>	
Monitoring frequency		Monthly	
Priority Rating		C	
Sanction		The Service Provider will accept 5 default points for each day that it is late in providing information requested by the Client Unit.	

SERVICE LEVEL/KPI: 23			
Specification Reference	N/A	Service Area / Output	Quality Systems
Service Levels/KPIs		The Service Provider will implement the quality systems as set out in their submitted method statement(s).	
Monitoring Arrangements		<p>The Service Provider will provide evidence that it has implemented its quality systems including the provision of any certificates of accreditation.</p> <p>The Client Unit may audit the quality systems upon giving reasonable notice in writing.</p>	
Monitoring frequency		Annually	
Priority Rating		B	
Sanction		The Service Provider will accept 50 default points for each instance that they fail to follow the agreed processes and strategies in implementing their quality systems.	

Worked Example of Default Points

This worked example is to demonstrate how default points might be accrued, and the financial consequences they might have, over the course of one contract year.

This worked example is based on an annual contract price of £1million – fixed monthly price of £83,333 (which is being used for illustrative purposes only).

A financial sanction for non-performance is levied for every point that is accrued. Each point has a value of 0.001% of the annual contract price. For this worked example, 0.001% of £1million is £10.

Month 1

Service Level/KPI Reference	1
Description of performance failure	Failure to meet the minimum opening hours: <ul style="list-style-type: none">• Library A closed for 1 hour between <times> on <date>• Libraries B, C and D fail to open for 10 minutes on <dates>
Default points assigned	<ul style="list-style-type: none">• 15 default points• 45 default points TOTAL: 60 default points

Service Level/KPI Reference	5
Description of performance failure	Web services are not available for 3 hours on <date>
Default points assigned	15 default points

Service Level/KPI Reference	14
Description of performance failure	Library Management System is not available for back office functions for 3 hours on <date>
Default points assigned	5 points

Service Level/KPI Reference	13
Description of performance failure	78% of complaints are managed within the agreed timeframe.
Default points assigned	10 points

Total Default Points

A	Total default points accrued in Month 1	90
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Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£900
Amount payable (fixed monthly price less the financial sanctions applied)	£82,433

Month 2

Service Level/KPI Reference	6
Description of performance failure	Public WiFi is not available in libraries A, B and C for a day.
Default points assigned	30

Service Level/KPI Reference	6
Description of performance failure	2 Public Network Terminals are not available in Library E for 10 days
Default points assigned	20

Total Default Points

A	Total default points accrued in Month 2	50
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£500

Amount payable (fixed monthly price less the financial sanctions applied)	£82,833
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Month 3

Service Level/KPI Reference	4
Description of performance failure	68% of actions identified in the Service Plan for Children and Families are delivered in Quarter 1 70% of actions identified in the Service Plan for Stock and Reader Development are delivered in Quarter 1
Default points assigned	120

Service Level/KPI Reference	18
Description of performance failure	Unsatisfactory cleaning inspection in Library F
Default points assigned	30

Total Default Points

A	Total default points accrued in Month 3	150
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£1,500
Amount payable (fixed monthly price less the financial sanctions applied)	£81,833

Month 4

Service Level/KPI Reference	18
Description of performance failure	Unsatisfactory cleaning inspection in Library F
Default points assigned	30

Service Level/KPI Reference	11
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Description of performance failure	Number of users of the Home Library Services receiving a visit in the month was 80%
Default points assigned	10

Total Default Points

A	Total default points accrued in Month 4	40
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£400
Amount payable (fixed monthly price less the financial sanctions applied)	£82,933

Month 5

Service Level/KPI Reference	11
Description of performance failure	Number of users of the Home Library Services receiving a visit in the month was 75%.
Default points assigned	20

Total Default Points

A	Total default points accrued in Month 5	20
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£200
Amount payable (fixed monthly price less the financial sanctions applied)	£83,133

Month 6

Service Level/KPI Reference	14
Description of performance failure	The Library management System is not available for back office functions for one day
Default points assigned	20

Service Level/KPI Reference	4/10
Description of performance failure	57% of actions identified in the Service Plan for IT are delivered in Quarter 2 72% of actions identified in the Service Plan for Local Studies are delivered in Quarter 2
Default points assigned	100

Service Level/KPI Reference	1
Description of performance failure	Library B failed to open for 20 minutes on <date>
Default points assigned	15

Total Default Points

A	Total default points accrued in Month 6	135
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£1,350
Amount payable (fixed monthly price less the financial sanctions applied)	£81,983

Month 7

Service Level/KPI Reference	9
Description of performance failure	Local studies services are not available for 8 hours.
Default points assigned	20

Total Default Points

A	Total default points accrued in Month 7	20
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£200
Amount payable (fixed monthly price less the financial sanctions applied)	£83,133

Month 8

Service Level/KPI Reference	12
Description of performance failure	The Service Provider submits their Annual Service Plans to the Authority 5 days after the specified deadline
Default points assigned	10

Total Default Points

A	Total default points accrued in Month 8	10
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£100
Amount payable (fixed monthly price less the financial	£83,233

sanctions applied)	
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Month 9

Service Level/KPI Reference	4
Description of performance failure	79% of actions identified in the Service Plan for Information and Learning are delivered in Quarter 3
Default points assigned	45

Service Level/KPI Reference	13
Description of performance failure	73% of complaints are managed within the specified timeframe
Default points assigned	20

Service Level/KPI Reference	6
Description of performance failure	2 Public Network terminals are not available for 3 days in Library B
Default points assigned	6

Total Default Points

A	Total default points accrued in Month 9	71
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£710
Amount payable (fixed monthly price less the financial sanctions applied)	£82,623

Month 10

Service Level/KPI Reference	1
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Description of performance failure	Library C fails to open for 7 hours on <date>
Default points assigned	60

Total Default Points

A	Total default points accrued in Month 10	60
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£600
Amount payable (fixed monthly price less the financial sanctions applied)	£82,733

Month 11

Service Level/KPI Reference	5
Description of performance failure	Web services are not available for 2 hours on <date>
Default points assigned	5

Service Level/KPI Reference	18
Description of performance failure	The level of cleanliness at Library C is unsatisfactory
Default points assigned	30

Total Default Points

A	Total default points accrued in Month 11	35
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£350

Amount payable (fixed monthly price less the financial sanctions applied)	£82,983
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Month 12

Service Level/KPI Reference	17
Description of performance failure	The Exit Plan is submitted 2 weeks later than the specified deadline
Default points assigned	10

Total Default Points

A	Total default points accrued in Month 12	10
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Impact on monthly invoice

Fixed monthly price (1/12 of annual contract value)	£83,333
Financial sanctions to be applied (A x 0.001% of the annual contract value)	£100
Amount payable (fixed monthly price less the financial sanctions applied)	£83,233

Summary of Annual Performance

Annual Contract Price	£1,000,000
Total number of default point accrued	691
Total value of sanctions (total number of sanctions x value per sanction)	£6,910
Total contract price paid (annual contract price – total value of sanctions)	£993,090

The threshold for the Authority to consider termination of the contract is 10,000 points.