

ANNEX 3 - Tool 1 Key Performance Indicators for UPSS Provider Performance

Key Performance Indicators		
KPI 1	Manning: All posts specified in the contract to be manned at all times.	
	Method of measurement	UPSS provider to report immediately on any unmanned positions, which will be captured on monthly reports. Facilitation of random checks.
	Frequency of measurement and reporting	Performance is reported monthly. KPI scoring monthly.
	Source data	Daily manning reports and time sheets, monthly reports, incident reporting and random inspections by the organization.
	Calculation	Number of positions manned during the period / number of positions x 100
	Definition of KPI elements	All manned posts to be fully resourced as set out in the contract. Replacement personnel provided by UPSS provider immediately for guarding posts.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	100% of self-reported compliance AND zero deviations from contractual requirements found in any inspection during the month.
	Amber	95-99% of self-reported compliance OR 1-3 deviations from contractual requirements found in any inspection during the month.
	Red	<95% of self-reported compliance OR more than 3 deviations from contractual requirements found in any inspection during the month.
KPI 2	Manning: All staff are vetted, trained, equipped and hold work permits and licenses in accordance with contract requirements.	
	Method of measurement	Personnel fully compliant with contract requirements.
	Frequency of measurement and reporting	Performance reported monthly. KPI scoring monthly.
	Source data	Personnel and training records. Training records must be available for inspection 2 hours after the request.
	Calculation	Compliant staff members / total staff members x 100
	Definition of KPI elements	Staff compliant with contract requirements, including those specific to role.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	100% of self-reported compliance AND zero deviations from contractual requirements found in any inspection during the month.
	Amber	95-99% of self-reported compliance OR 1-3 deviations from contractual requirements found in any inspection during the month.

	Red	< 95% of self-reported compliance OR more than 3 deviations from contractual requirements found in any inspection during the month.
	Additional information	Personnel and training records available to the Contract Officer upon request.
KPI 3	Manning: Requests for emergency and additional personnel are addressed immediately by UPSS provider's management and accommodated within contract requirements.	
	Frequency of measurement and reporting	Discrepancies reported to the Contract Officer. KPI scoring monthly.
	Source data	Reported discrepancies.
	Calculation	Number of discrepancies reported by the Contract Officer.
	Definition of KPI elements	Individual discrepancies reported.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	No discrepancies.
	Amber	1 reported discrepancy.
	Red	2 or more reported discrepancies.
KPI 4	Compliance: UPSS provider performance does not deviate from contract requirements and established procedures without proper authorization from the Contract Officer(s).	
	Method of measurement	Reported unauthorized deviations from contract requirements and procedures.
	Frequency of measurement and reporting	Deviations reported to the Contract Officer. KPI scoring monthly.
	Source data	Reported deviations.
	Calculation	Number of deviations reported by the Contract Officer.
	Definition of KPI elements	Individual deviations reported.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	No deviations.
	Amber	1 reported deviation.
	Red	2 or more reported deviations.
	Additional information	Proper authorization includes a written memo, modification, change in local standard operating procedures, etc., unless it is an emergency situation.
KPI 5	Compliance: Professional appearance of guards and their uniforms/equipment; attitude/behaviour of guards.	
	Method of measurement	Lapses in compliance with professional appearance and behavioural standards.
	Frequency of measurement and reporting	Discrepancies immediately corrected and documented, and Contract Officer to be informed of anything more than an on-the-spot correction.

		KPI scoring monthly.
	Source data	Discipline or performance counselling documentation. Reports to the Contract Officer.
	Calculation	Number of discrepancies reported by the Contract Officer.
	Definition of KPI elements	Individual discrepancies reported.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis. Complaints subject to reasonableness and assessed by the Contract Officer.
	Target performance - Green	No incidents.
	Amber	1 reported incident.
	Red	2 or more reported incidents.
KPI 6	Compliance: Complaints investigated and dealt with in a timely manner.	
	Method of measurement	All complaints received by the UPSS highlighted and initially reported to the organization within 24 hours.
	Frequency of measurement and reporting	A full report on the investigation into the complaint received by the organization within 5 working days. KPI scoring monthly.
	Source data	Complaint reporting.
	Calculation	Number of complaints not investigated and dealt with in a timely manner.
	Definition of KPI elements	Reporting to include any findings, resultant disciplinary actions and preventative measures, within specified timelines.
	Exceptions to KPI (data not included in measurement of KPI)	No exceptions.
	Target performance - Green	100% - All complaints appropriately addressed.
	Amber	1 complaint not highlighted to the Contract Officer or inappropriately investigated within specified timelines.
	Red	2 or more complaints not highlighted to the Contract Officer or inappropriately investigated within specified timelines.
KPI 7	Operations: Entry control	
	Method of measurement	No unauthorized personnel are admitted to Organization properties/facilities.
	Frequency of measurement and reporting	As per Serious Incident Reporting timelines. Incidents must initially be reported within 30 minutes of the incident being discovered, with a written report provided within 24 hours. KPI scoring monthly.
	Source data	Serious Incident Reports.

	Calculation	Number of incidents reported.
	Definition of KPI elements	Total incidents reported.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	No incidents.
	Amber	N/A
	Red	1 or more incidents.
KPI 8	Operations: All emergency alarms are responded to immediately in accordance with established procedures and contract requirements.	
	Method of measurement	Reported discrepancies relating to emergency alarms.
	Frequency of measurement and reporting	Discrepancies reported to the Contract Officer. KPI scoring monthly.
	Source data	Reported discrepancies.
	Calculation	Number of discrepancies reported by the Contract Officer.
	Definition of KPI elements	Individual discrepancies reported.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	No discrepancies.
	Amber	N/A
	Red	1 or more reported discrepancies.
KPI 9	Operations: Serious Incident Reports must be submitted to the organization in a timely manner.	
	Method of measurement	Submission by way of written reports within 24 hours.
	Frequency of measurement and reporting	On occurrence of a serious incident the organization must initially be informed as soon as possible, but no later than 30 minutes after the occurrence. Serious incidents include those resulting in fatalities, serious injuries, equipment theft / loss or incidents that have the potential to impact the reputation or operating capability of the organization. The outcome of any investigation related to the Serious Incident Report must be submitted to the UNSMS organization within 5 working days. KPI scoring monthly.
	Source data	Written incident reports.
	Calculation	Report production.
	Definition of KPI elements	Reports must include a full description of the incident. Investigation reports must include causal factors and any corrective action.
	Exceptions to KPI (Data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	All timelines are met.

	Amber	N/A
	Red	Timelines are not met.
KPI 10	Training: All staff to achieve training requirements as stipulated in the contract.	
	Method of measurement	Pre-contract initial deployment and ongoing monthly checks to ensure role relevant qualifications are up-to-date.
	Frequency of measurement and reporting	Performance reported monthly. KPI scoring monthly.
	Source data	Training records.
	Calculation	Staff members meeting training requirements / total staff members x 100
	Definition of KPI elements	All staff members will have passed mandatory tests, as outlined in the contract, within the timelines specified.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	100%
	Amber	95-99%
	Red	<95%
	Additional information	Failure will lead to retraining or subsequent removal from contract.
KPI 11	Training: Guard communication skills	
	Method of measurement	Guards are able to communicate with the organization personnel in routine and emergency situations, as appropriate to their assigned posts and duties. Guards meet language requirements stipulated in the contract
	Frequency of measurement and reporting	Discrepancies reported to the Contract Officer. KPI scoring monthly.
	Source data	Reported discrepancies. Training records.
	Calculation	Number of discrepancies reported by the Contract Officer. Guards meeting contractual language testing standards / total guards x 100
	Definition of KPI elements	Individual discrepancies reported and non-compliant guards
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS—case-by-case basis. Complaints subject to reasonableness and assessed by the Contract Officer.
	Target performance - Green	No incidents and 100% compliance with contract language standards.
	Amber	1 reported incident and 95-99% compliance with contract language standards.
	Red	2 or more reported incidents and < 95% compliance with contract language

		standards.
KPI 12	Equipment: Critical equipment to be accounted for on a regular basis.	
	Method of measurement	Monthly equipment returns and random inspection/audit of the organization-owned assets and UPSS assets assigned to the contract.
	Frequency of measurement and reporting	Monthly equipment checks along with confirmation checks of radios, tracking devices, personal protective equipment (PPE), all other serial numbered operational equipment and government registered or otherwise sensitive equipment. KPI scoring monthly.
	Source data	Equipment registers and accountancy checks.
	Calculation	Serviceable and accounted for items / Full item list x 100
	Definition of KPI elements	The theft, loss or damage of mission critical assets, defined as: vehicles, communications equipment, trackers and GPS systems, body armour and helmets, weapon systems and ammunition, and high value and attractive items are to be recorded and investigated in full.
	Exceptions to KPI (data not included in measurement of KPI)	Considerations not under the control of UPSS provider—case-by-case basis.
	Target performance - Green	All Equipment accounted for 100% of the time.
	Amber	1 - 5% of equipment unaccounted for 95-99% of the time.
	Red	> 5% of equipment unaccounted for < 95% of the time.
Method of calculation of applicable performance credits on the monthly invoice:		
<p>KPIs 1 - 12 to be reviewed jointly by the Contract Officer and UPSS provider at the end of the month</p> <p>For each KPI evaluated as RED: 1% deduction of the monthly invoice as performance credit</p> <p>For each KPI evaluated as Amber: 0.5% reduction of the monthly invoice as performance credit</p> <p>Maximum deduction: 12%</p> <p>NOTE: this list of KPIs may be customized by each organization to fit specific needs</p>		