



Ops Supply Chain Performance

CPF Performance Management Manual



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Chris Bethel, Angelica Rice	Team Leader – Ops Supply Chain Performance	01/04/2018	201804

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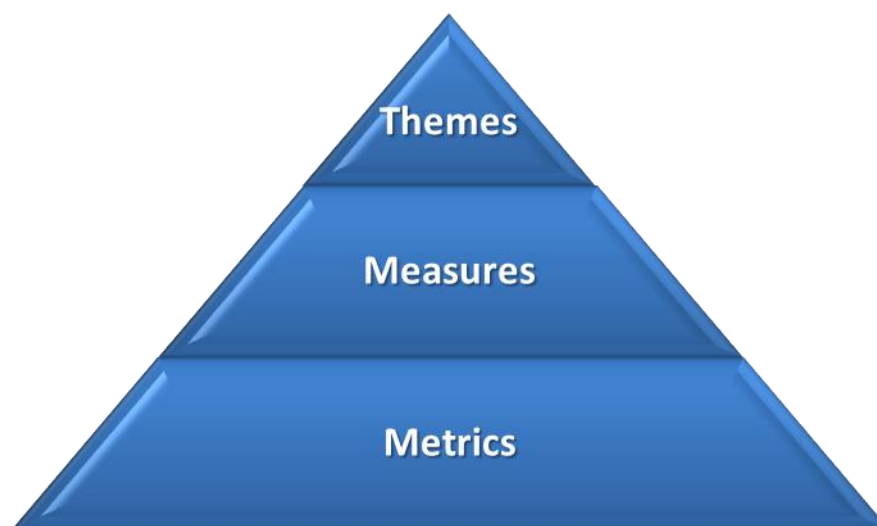
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1. Introduction

This document covers the requirements, roles, responsibilities, and timelines specific to the Collaborative Performance Framework (CPF). For background on the CPF, how it operates, generic roles and responsibilities and an outline of the six-step scoring process, please refer to the Collaborative Performance Framework Methodology document. (Appendix B).

The latest version of the CPF seeks to align the reporting hierarchies across all contracts (ASC, AD, RTMC, Pavements) to enable better comparison of performance and support consistency. The system comprises of three layers of performance reporting:



Regardless of whether the contract being delivered is a major scheme or a smaller design package in Asset Delivery, a single suite of CPF performance metrics is applied. Variances between contracts (ASC, AD, RTMC, Pavements) are captured at the lowest reporting level (metrics) and are rolled-up to *Measure* or *Theme* level to provide representative benchmarking intelligence.

CPF comprises a combination of quantitative metrics based on hard data and some qualitative measurements where evidence needs to be presented to support performance scoring. Service Providers/Suppliers are contractually required to evaluate their service levels, identifying where performance can be improved or sharing emerging best practice to enhance national delivery. CPF also encourages client feedback, where perceptions are shared of where Highways England could also get better.

This manual sets out how CPF is used to drive improved performance across Highways England's supply chain, delivering better outcomes for our customers.

2. CPF Requirements

Below are the requirements specific to the CPF.

2.1 Documentation

The following documents are required to use the CPF (Table 1).

Table 1 CPF documents

Document	Purpose	Appendix Ref
ASC/AD Scoring Guidance	Details the criteria for obtaining Black (0), Red (2), Amber (4), Green (6), Blue (8) and Blue+ (10) scores and gives an overview of each metric.	A1
RTMC Scoring Guidance	Details the criteria for obtaining Black (0), Red (2), Amber (4), Green (6), Blue (8) and Blue+ (10) scores and gives an overview of each metric.	A2
Pavements Scoring Guidance	Details the criteria for obtaining Black (0), Red (2), Amber (4), Green (6), Blue (8) and Blue+ (10) scores and gives an overview of each metric.	A3
CPF Metrics Handbook	Details how the themes, measures and metrics are calculated.	B1
CPF Methodology	Details the background of the CPF, how it operates, generic roles and responsibilities and an outline of the six-step scoring process	B2
CPF Performance Management Manual	Details the roles, responsibilities and timelines specific to the CPF	B3
HD Data Standard for CPF	Sets out the format by which data will be formulated from Highways England source systems and processes	C1
DCP Data Standard for CPF	Sets out the format by which Service Providers must submit their operational data in relation to Third-Party Claims	C2
Incident Data Standard for CPF (IDSA)	Sets out the format by which Service Providers must submit their operational data in relation to Incidents for Part 3 of AMOR	C3
PD Data Standard for CPF	Sets out the format by which data will be formulated and reported from Service Provider source systems and processes	C4

Document	Purpose	Appendix Ref
QMP Data Standard for CPF	Sets out the format by which Service Providers must submit data in relation to Quality Management Points	C5
Scheme Data Standard for CPF	Sets out the format by which Service Providers must submit their operational data in relation to Schemes	C6
SfM Data Standard	Sets out the format that data will be collected and reported for each Scheme from SfM.	C7
AD Scorecard Data Standard	Sets out the format by which Suppliers must submit their operational data	C8
Highways Data (HD) spreadsheet	Template used to input Highways Data	D1
DCP Spreadsheet	Template used to input DCP data	D2
Incident Spreadsheet	Template used to input Incident data	D3
Provider Data (PD) Spreadsheet	Template used to input Service Provider Data	D4
QMP Spreadsheet	Template used to input QMP data	D5
Scheme spreadsheet	Template used to input Scheme data	D6
Client Feedback Spreadsheet	Template used to collate scores from Service Provider on Highways England	D7
AD Scorecard	Template used to input Supplier Data	D8

2.2 Data Standards

Operational data is required to support several metrics, these need to be provided in the form of a data feed. Data standards define the format of these data feeds. The calculations and definitions that support these metrics are included in appendices to the CPF Metrics Handbook.

Operational data includes: Incident, Scheme, SfM, Quality Management Points/Quality Warning Notice and Third-Party Claims (Damage to Crown Property).

2.3 Performance Scoring

The scoring of performance in CPF is carried out at metric level. Every metric receives a Black (0), Red (2), Amber (4), Green (6), Blue (8), Blue+ (10) score, depending on the relative performance of the Service Provider/Supplier. The value indicated in brackets appartiions a corresponding numeric score.

Black (0), or “No Data”, means that the required information has not been supplied by the Service Provider/Supplier by the required deadline, unless agreement to extend the deadline has been agreed with the Ops Supply Chain Performance team. This is the worst possible score as it means that Highways England has no visibility of performance and no evidence has been provided.

Additionally, a Black score may be given if the data provided does not meet the required standard by the submission deadline for the metric. Black (0) Red (2), Amber (4), Green (6) Blue (8) and Blue+ (10) are defined within the Scoring Guidance’s (Appendix A in the PMM) but typically:

- Black – Totally unacceptable or Totally dissatisfied
- Red – Very unacceptable or very dissatisfied
- Amber – Unacceptable or dissatisfied
- Green – Acceptable or satisfied
- Blue – High or sustained performance
- Blue+ - Industry leading and driving best practice.

White represents “Not Applicable” (N/A), Light Grey represents “Not on the Network” and Dark Grey represents “doesn’t apply to the contract”. A score of N/A is awarded when a metric is not scored for legitimate reasons; for example, Precautionary Treatments which are not measured outside of the winter period. N/A may be used if a metric has no meaning within the specific Service Provider/Supplier contract.

Doesn't apply to contract	Not on the Network this period (CWF Only)	N/A (for this period)	Supplier didn't provide required data	Unacceptable Performance	Below Performance Expectations	Meeting Performance Expectations	High Performance	Driving Best Practice
Score Range:			0.00	2.00-3.99	4.00-.5.99	6.00-7.99	8.00-9.99	10.00

2.4 Categorisation of Metrics

There standard themes of measure are Health and Safety, Customer Service, Sustainability, Quality, Time, Cost, and Client Feedback.

At the next level, a range of measures sit under each theme; in turn; each containing more detailed performance metrics.

All metrics have one or more data sources identified within the CPF Metrics Handbook. These consist of:

- OD – Operational Data which is collected through use of specific data standards
- PD – Provider Data E.g. Project Bank Account (where applicable)
- HD – Highways Data E.g. Accident Frequency Rate (AFR).
- AD – Supplier Data which is collected through use of AD Scorecard

2.5 Operational Data

Operational Data (OD) supports a number of the metrics and is provided in the form of a data feed. Data Standards (Appendix C) define the format of these data feeds. The calculations and definitions that support the metrics are included in the Metrics Handbook (Appendix B1).

****Note: if operational data is not received such that it can be loaded into CPF without error at the first attempt then the related metric shall be scored Black or 'No Data' (0).***

2.6 Provider Data (ASC)

All metrics with a data standard indicated as Provider Data (PD) is to be scored by the Service Provider entering constructed data into a spreadsheet from which CPF will then calculate the related metric scores. The data standard template is included in [Appendix D](#).

2.7 Highways Data (ASC)

All metrics with a data standard indicated as Highways Data (HD) is to be scored by the Ops Supply Chain Performance Team entering constructed data into a spreadsheet from which CPF will then calculate the related metric scores. The data standard template is included in [Appendix D](#).

2.8 AD Scorecard Data

All metrics with a data standard indicated as AD Scorecard (AD) is to be scored by the Supplier entering constructed data into a spreadsheet from which CPF will then calculate the related metric scores. The data standard template is included in [Appendix D](#).

2.9 Roles and Responsibilities

Please refer to the Collaborative Performance Framework Methodology document in [Appendix B](#).

2.10 Reports to aid further analysis

After all contracts (ASC, AD, RTMC, Pavements) have submitted their monthly scores into CPF, Ops Supply Chain Performance will then export data back in a series of reports and distribute to Regional Contract & Performance Teams as appropriate:

- In Month Area Pack (**ASC**) – Shows detailed breakdown of CPF performance scores, data analysis, trend analysis, supporting commentary and backup data for that specific ASC
- National Operational Performance Report – Shows performance at a national level, including comparison of performance.
- AD Dashboard – Shows detailed breakdown of CPF performance scores, data analysis and trend analysis for that specific AD area
- RTMC – Yet to be formalised
- Pavements – Yet to be formalised

2.11 Timetable

The timetable for ASC/AD monthly submissions and reporting is shown below.

	ASC Contracts
1	Operational Data available
2	Operational Data submitted
3	
4	
5	PD Spreadsheets submitted
6	Data is processed and reports then built by Ops Supply Chain Performance
7	
8	
9	
10	In Month Area Packs and commentary reports are produced by Ops Supply Chain Performance and sent to Regional Contract & Performance teams
11	Commentary provided by Regional Contract and Performance teams
12	Commentary Reviewed by Ops Supply Chain Performance
13	National Report uploaded to SHARE
14	Performance discussed at OPCG / OPDDG / SCG meeting.
15	
16	
17	
18	
19	
20	

WD	AD Contracts
1	
2	
3	
4	
5	Suppliers must send their AD scorecards to the area reps by WD5
6	
7	
8	
9	
10	AD scorecards to be forwarded to Supply Chain Performance from the reps after being authorised by WD10.
11	
12	Reports issued to Contractors
13	
14	Performance discussed at OPCG / OPDDG / SCG meeting.
15	
16	
17	
18	
19	
20	

The timetable for RTMC and Pavements Quarterly submissions and reporting is shown below.

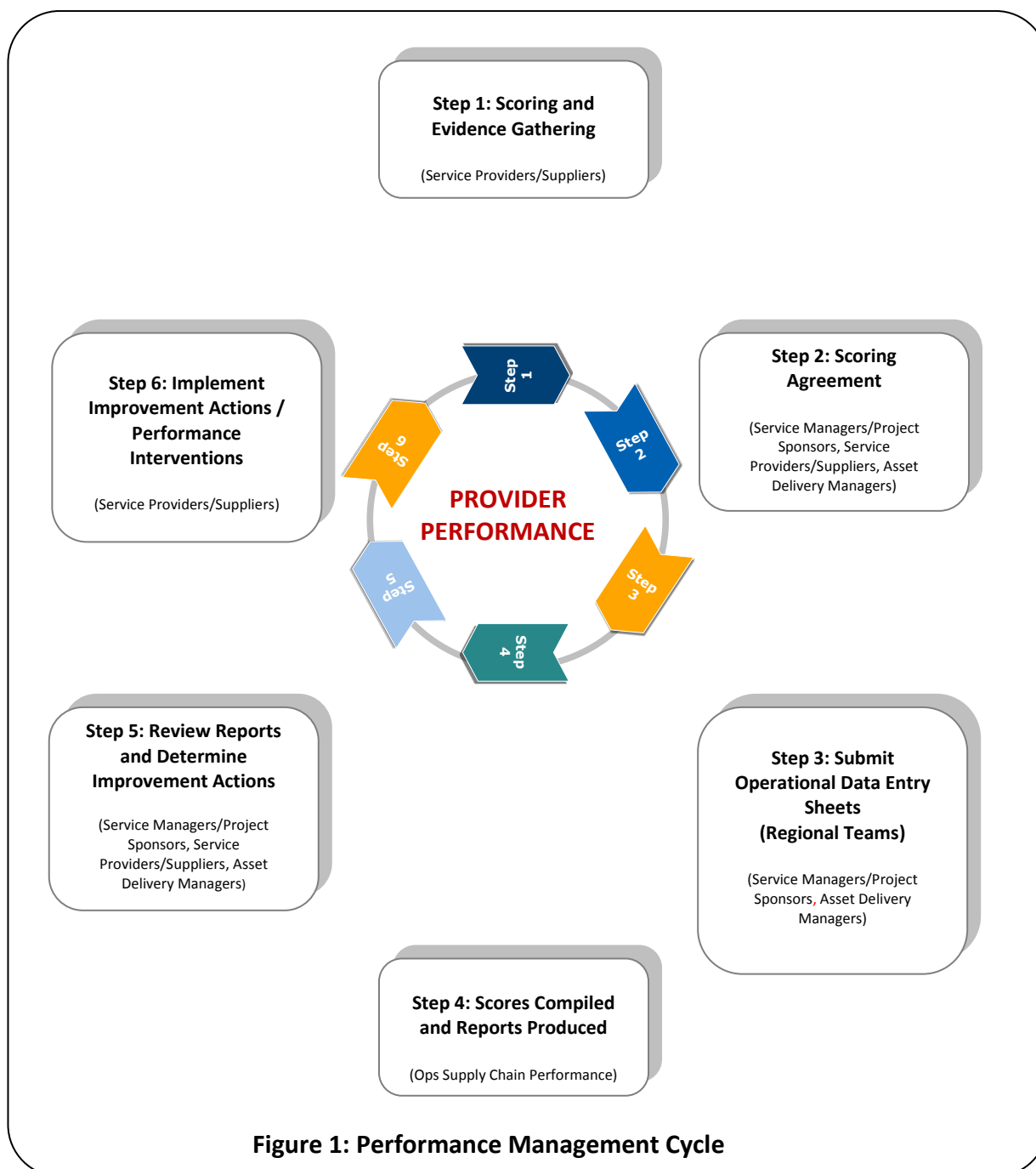
RTMC Contracts	
Period to be reported on	Report due
April, May, June	WD5 July
July, August September	WD5 October
October, November, December	WD5 January
January, February, March	WD5 April
Regional Technology Maintenance Contract CPF Timetable	
WD1-4	Scores compiled and agreed
WD5	RTMC Sheets submitted to Ops Supply Chain Performance (via RCPTs)
WD9	Report sent by Ops Supply Chain Performance to RCPTs

Pavements Contracts	
Period to be reported on	Report due
April, May, June	WD5 July
July, August September	WD5 October
October, November, December	WD5 January
January, February, March	WD5 April
Pavements Contract CPF Timetable	
WD1-4	Scores compiled and agreed
WD5	Pavements Sheets submitted to Ops Supply Chain Performance (via RCPTs)
WD9	Report sent by Ops Supply Chain Performance to RCPTs

3. Measurement and Management

The performance reporting process is a regular cycle, split into six steps, all of which are subject to audit and review. The process sits within the context of performance management and continuous improvement activities undertaken for each contract.

The following sections describe each of these steps in turn.



3.1 Scoring and Evidence Gathering

Scoring Performance

The first stage in the performance cycle is the self-scoring of performance by Service Providers/Suppliers and the gathering of associated evidence to justify their scores in advance of Step 2: Scoring Agreement.

The scoring of performance is conducted at metric level and all relevant metrics should be scored. Each metric (at its lowest level) will be given a score (Section 2.3).

Overall Approach to Scoring

Scoring Service Provider/Supplier performance consistently will enable compliance/good performance to be demonstrated and improvement effort to be focused on where it is needed. Scoring should be conducted and agreed based upon the specific guidance outlined in each section of the Scoring Guidance but in general Green (6) represents acceptable performance against a specific metric whilst Amber (4) and Red (2) signify that improvement is needed. Blue (8) and Blue+ (10) represents a level of performance that is higher than the target or more sustained. Outlying performance scores require evidencing through robust narrative to support either improvement action or best practice.

Matters outside the control of the Contractor

If matters are outside the control of the Service Provider/Supplier, such that Green (6) level of performance cannot be achieved, then these should still be scored Amber (4) or Red (2) (as appropriate) but relevant comments should be added to the Operational Data Entry Sheets and the report. Also, the matter should be discussed with Ops Supply chain performance to obtain clarification - this communication can be facilitated by the Regional Contract and Performance Team. On the face of it this is unfair but if all Service Providers/Suppliers are scoring themselves this way then it highlights a national issue and provides an escalation route.

Rolling 12-month measures

For any metric where the score is dependent on a rolling 12-month measure, unless otherwise stated in the Scoring Guidance and Metrics Handbook this should be pro-rated for any contract that is less than 12 months old, only applying to the current suppliers' data.



Comments are required for all metrics to explain the reasoning behind the allocated score, including Green (6), Blue (8), Blue+ (10) and N/A scores. These should be instructive and allow the reader to understand why a score was given and what actions are required to improve the score (or maintain the score at Blue (8) / Blue+ (10)) for next time.

Scoring Guidance

The associated guidance document “CPF Scoring Guidance”, RTMC Scoring Guidance” and “Pavements Scoring Guidance” provides detailed scoring guidance for each metric –these are included as appendices (Appendix A) to this PMM.

The metrics in the scoring guidance are classified in groups by theme and measure.

Evidence Gathering

To justify their scores the Service Providers/Suppliers should ensure all associated evidence is in place in advance of the scoring agreement meeting with Highways England in Step 2. The relevant Scoring Guidance details the associated evidence that Service Providers/Suppliers may need to demonstrate their scores.

3.2 Scoring Agreement

Agreement on the scoring should be reached between the Service Providers/Suppliers performance manager and the relevant Service Manager/Project Sponsor/Asset Delivery Manager.

At this meeting, the Service Provider/Supplier should be able to provide the evidence to justify the scores to aid prompt agreement.



Ops Supply Chain Performance do not wish to prescribe exactly how each contract should conduct its scoring and who should submit the monthly scores. However, whatever the process, the relevant Service Manager/Project Sponsor /Asset Delivery Manager should take responsibility for it to ensure that the scores submitted have been agreed and are, as far as is known, correct.

3.3 Submit Operational Data Entry Sheets into CPF

Following the agreement of the scores, and by the agreed date as set out in the PMM, the Operational Data Entry Sheets are sent to the Ops Supply Chain Performance team before being submitted into CPF.

Ops_supply_chain_performance@highwaysengland.co.uk

3.4 Producing the Performance Reports

Once the data has been submitted into CPF, Ops Supply Chain Performance are then responsible for producing the performance reports for Asset Support Contracts (ASCs), Asset Delivery Contracts (AD), Regional Technology Maintenance Contracts (RTMC) and Pavements then sending them out to the relevant Service Managers/Project Sponsors, Ops Performance Community and the wider business within the agreed timescales.

Review Reports and Determine Improvement Actions

The relevant Service Manager/Project Sponsor/Asset Delivery Manager and Service Providers/Suppliers determine targeted improvement actions informed by the performance reports.

The Service Providers/Suppliers then develop action plans to incorporate those improvement actions.

Implement Improvement Actions

The Service Providers/Suppliers implement the improvement actions as incorporated in the action plans.

3.5 Non-Conformity Reports (NCRs)

An NCR should be raised for each metric scored Red (2) or Black (0), assuming an NCR has not already been raised for the same issue. Furthermore, an NCR should be raised for any metric scored Amber (4) for three consecutive assessment periods. Note: an NCR could be raised for an Amber (4) score straight away if it was felt it related to a clear contract non-conformance.

The exception to this is if the Regional Contract & Performance Team and Service Provider/Supplier feel a Black (0), Red (2) or Amber (4) CPF score should not give rise to an NCR – because for example an NCR already exists – then a log should be kept of the decision and its reasons. This should be available for inspection in the event of an audit.

The reason(s) the NCR has been raised should be articulated as a description of what Highways England requirement is not being fulfilled and the Service Provider/Supplier should immediately place that issue on its NCR register.

The correction (closure) of non-conformities should be agreed by the Service Manager in accordance with the contract.

The Exceptions Log should be used where agreed action plans have not been successful and all other options have been exhausted, or if improvement in performance is outside the Service Providers/ Suppliers control.

3.6 Clarifications to the Scoring Guidance's

The latest versions of the Scoring Guidance's will be held on the Supply Chain Portal. The CPF Q&A will be used to inform Service Providers/Suppliers of any changes to the scoring guidance's.

3.7 Metrics where related processes do not exist or are under dispute

If processes related to a metric are not in place (but should be), or are under dispute, then the relevant metric will be scored BLACK "No Data" (0).

4. Change Control

Based on feedback and further research in the area, the CPF will be subject to continual improvement. Changes will be centrally controlled by Ops Supply Chain Performance to maintain consistency and comparability.

Feedback will be invited at periodic intervals of the CPF review cycle. Any changes will then be incorporated into the next planned release of the CPF. The CPF will generally be updated every six months, assuming updates are required.

Version updates will be communicated via a contract management memo which incorporates formal notification to Suppliers and the Service Provider/Supplier in the form of a letter.

Appendix A – Primary CPF Documentation

Appendix A covers the following documents:

Appendix Ref	Document	Version / Date
A1	ASC/AD <u>Scoring Guidance</u>	V.201804 April 2018
A2	RTMC Scoring Guidance	V.201804 April 2018
A3	Pavements Scoring Guidance	V.201804 April 2018

Appendix B – Performance Metrics Information

This section relates to documents about the various performance metrics.

Appendix Ref	Document	Version / Date
B1	CPF Metrics Handbook	V.201804 April 2018
B2	CPF Methodology	V.201804 April 2018
B3	CPF Performance Management Manual	V.201804 April 2018

Appendix C – Data Standards

The following Data Standards have been published.

ASC

Appendix Ref	Data Standard	Version / Date
C1	<u>HD Data Standard for CPF</u>	V.201804 April 2018
C2	<u>DCP Data Standard for CPF</u>	V.201804 April 2018
C3	<u>Incident Data Standard for CPF (IDSA)</u>	V.201804 April 2018
C4	<u>PD Data Standard for CPF</u>	V.201804 April 2018
C5	<u>QMP Data Standard for CPF</u>	V.201804 April 2018
C6	<u>Scheme Data Standard for CPF</u>	V.201804 April 2018
C7	<u>SfM Data Standard</u>	V.201804 April 2018

AD

Appendix Ref	Data Standard	Version / Date
C8	AD Scorecard Data Standard	V.201804 April 2018

Appendix D – Data Templates

The Operational Data Entry Sheets record the monthly evidence-based scores of the Service Provider/Supplier.

Appendix Ref	Document	Version / Date
D1	Highways Data (HD) spreadsheet	V.201804 April 2018
D2	DCP Spreadsheet	V.201804 April 2018
D3	Incident Spreadsheet	V.201804 April 2018
D4	Provider Data (PD) Spreadsheet	V.201804 April 2018
D5	QMP Spreadsheet	V.201804 April 2018
D6	Scheme spreadsheet	V.201804 April 2018
D7	Client Feedback Sheet	V.201804 April 2018
D8	AD Scorecard	V.201804 April 2018

Appendix E – Related Documents

This manual focuses on the performance management and measurement processes. Reference is made to contract documents, guidance documents and other Highways England documents, where they influence or specify aspects of the performance management approach.

A list of key documents that refer to the Collaborative Performance Framework is provided in Table E1.

Table E1. References to Performance Management

Topic	Document	Description
CPF Documents	Collaborative Performance Framework (CPF) Methodology	Background on the CPF, how it operates, generic roles and responsibilities and an outline of the six-step scoring process
Contract Documents	Service Information Annex 1, Vision Goals and Key Objectives	Sets out the context for the required outcomes.
Contract Documents	Service Information Annex 14, Continual Improvement	Describes the required continual improvement processes
Contract Documents	Service Information Annex 15, Performance Management and Measurement Framework	Performance Management Model for the provision of the Services, which facilitates the linkage between Highways England's key business deliverables and the activities controlled by the Service Provider/Supplier, together with the HE Regional Contract & Performance Team.
Contract Documents	Service Information Annex 19 Reports	Identifies reports which are to be submitted by the Service Provider/Supplier to Highways England.
Contract Documents	Service Information Annex 24, Quality Plan Structure	This Annex represents a Framework which Highways England requires the Service Provider/Supplier to adopt in preparing, implementing & updating its Quality Plan.
Contract Documents	Asset Maintenance & Operational Requirements (AMOR), Cyclical and Reactive Maintenance Delivery Plan (CRMDP) or Routine and Winter Service Code (RWSC) as applicable	Sets out Highways England's requirements in relation to the carrying out of maintenance and operational services on the Area Network under the ASC (AMOR), AD (CRMDP).

Appendix F – Glossary

Term	Meaning
AMOR	Asset Maintenance and Operational Requirements
AD	Asset Delivery
ASC	Asset Support Contract
CPF	Collaborative Performance Framework
CRMDP	Cyclical and Reactive Maintenance Plan
DCP	Damage to Crown Property
HD	Highways Data
HE	Highways England
IDSA	Incident Data Standard ASC
NCR	Non-Conformity Report
OPs	Operations
OD	Operational Data
OPCG	Operations Performance Community Group
OPDDG	Operations planning, development and Delivery Group
PD	Provider Data
PMM	Performance Management Manual
QMP	Quality Management Points
RCPT	Regional Contract & Performance Team
RTMC	Regional Technology Maintenance Contract
RWSC	Routine Winter Service Code
SfM	System for Managing
SCG	Supply Chain Group
WD	Working Day