

ANNEXES

Annex A Decision Matrix

Note that the following list of decisions is not exhaustive and the *conditions of contract* should be referred to for further detail on Alliance-related decisions.

Subject matter of decision or direction	Client decision (SRO)	Unanimous decision of the Alliance Board	Majority decision of the Alliance Board*
Funding and allocation of work			
Award of Schemes to Partners – Initial Package	✓		
Award of Schemes to Partners – Subsequent Packages	✓		
DfT confirmation of funding	✓		
Removal / replacement of original Schemes and/or addition of new Schemes not within original Delivery Plan - either RIS4 development or Schemes outside SMP	✓		
Major optimisation proposed by the Alliance Board	✓		
Minor optimisation proposed by the Alliance Manager		✓	
Proceed with RIS3 delivery		✓	
Progression of work through PCF			
Completion / recommend progression of PCF Stage Gate Process		✓	

Subject matter of decision or direction	Client decision (SRO)	Unanimous decision of the Alliance Board	Majority decision of the Alliance Board*
Approve PCF stage progression	✓		
Performance Management			
Initial determination of balanced scorecard and key objectives at contract commencement	✓		
Annual review cycle of the balanced scorecard and key objectives		✓	
Approval of incentive payment	✓		
Project Bank Account - authorisation of payments out	✓		
Reallocation of resources to address shortcomings in performance (with exception of the Partner whose performance is under review)			✓
Approval of Partner performance measures		✓	
Trigger Partner performance improvement process (with exception of the Partner whose performance is under review)		✓	
Timing			
Timing of Schemes to be delivered described in delivery plans at the point of release of each Package, where there is a committed date for start of <i>works</i> / open for traffic	✓		
Resolution of conflict with other (non SMP) schemes in similar region		✓	

Subject matter of decision or direction	Client decision (SRO)	Unanimous decision of the Alliance Board	Majority decision of the Alliance Board*
Programme planning within contract duration		✓	
Innovation and investment			
Pursue innovation and investment opportunities made to deliver benefits to the <i>Client</i> and the Alliance within the contract duration		✓	
Alliance participation and composition			
Removal of a Partner for serious default	✓		
Removal of a Partner for poor performance (with exception of the Partner whose performance is under review)		✓	
Following a Partner exit, decision to initiate procurement exercise for appointment of a replacement Partner	✓		
Progression of procurement exercise for appointment of a replacement Partner	✓		
Pending procurement of a new Partner, temporary reallocation of work across existing Partners		✓	
If a decision is taken not to procure a new Partner, permanent reallocation of work across existing Partners	✓		
Evaluation, selection and appointment of new Partner (decided in consultation with Alliance)	✓		
Termination (note that the full termination descriptions are in the termination document)			

Subject matter of decision or direction	<i>Client</i> decision (SRO)	Unanimous decision of the Alliance Board	Majority decision of the Alliance Board*
Termination of the Alliance at will	✓		
Termination of a Partner at will	✓		
Termination of the Alliance for poor performance	✓		

*in the event that there is no clear majority, the *Client* will have a casting vote.

Annex B Behavioural Maturity Framework

Behavioural maturity approach

The Behavioural Maturity Framework (BMF) is a key tool to support teams to embed and continuously improve the desired collaborative behaviours.

The BMF is an approach that

- has been built on industry experience and best practice from ISO44001
- provides a team-based behavioural maturity assessment tool to gain understanding of the impacts of personal and collective behaviours on performance and the ability to work collaboratively,
- uses a common language for people across the industry to discuss behaviours and the impact this has on performance, and
- provides a neutral, facilitated environment for teams to discuss priority behavioural areas and continuously improve.

Behavioural maturity framework overview

Within the BMF, the Alliance is assessed against the seven behaviours outlined in the scope and assigned one of the three levels of maturity against each behaviour

- leading – where the behaviour is demonstrated regularly by all and supports collaborative performance,
- contributing – where there is inconsistency in the behaviours demonstrated. When difficulty arises, damaging behaviours tend to emerge as any leading behaviours and practices are not sustainably embedded, and
- damaging – the behaviours which actively prevent collaboration, damage the relationship and hinder effective performance.

Behavioural improvement plan development

An initial six step process is undertaken to

- determine the initial level of behavioural maturity within the Alliance, and
- establish a behavioural improvement plan to develop the behaviours identified as being less mature during the review.

The six step process is as follows

- a) introductory session (one hour) – the members of the Alliance are engaged in the BMF to ensure a common understanding and commitment to the process,
- b) scoping session (two hours) – meeting with the Alliance leadership to agree scope of the behavioural maturity assessment addressing questions such as
 - Who will be involved?
 - What are the priority areas?
 - What are the targets for improvement?
 - What are the collective commitments to timescales?

- c) data collection – an agreed population of the team complete a 10 to 15 minute online survey providing evidence-based data,
- d) findings feedback (one hour) – facilitated exploration into findings and agreement of priority areas moving forward,
- e) behavioural workshop (three hours) – facilitated workshop to explore specific behaviours and their impacts on performance. Behavioural improvement plan created to set out clear steps to improve maturity across the behavioural areas identified, and
- f) behavioural improvement plan review – ongoing reviews of progress against commitments in the behavioural improvement plan to ensure the agreed behavioural changes are achieving the desired Alliance outcomes.

Annex C Performance metric detail

Accident frequency rate

Ownership			
Owner:	Jeremy Bird	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	Yes
<p>The AFR metric is the ratio of the number of RIDDOR reportable injuries and diseases in a population, to the hours worked by that population, and is expressed per 100,000 hours (expressed as a formula below):</p> <p>M-01 = No. of RIDDOR reportable accidents and diseases per quarter / (No. of hours worked in the quarter * 100,000)</p> <p>This metric uses the number of Reportable accidents, Reportable Diseases (M-01) and hours worked by Suppliers, including their (sub)contractors and any site office staff, working on behalf of Highways England. The incident and hours worked data is recorded onto AIRSWeb.</p> <p>This metric includes the following RIDDOR reportable injuries; deaths, specified injuries to workers, over 7 day injuries to workers and RIDDOR reportable occupational diseases. Highways England do not include RIDDOR reportable dangerous occurrences in their AFR calculation.</p> <p>The hours that are to be used in the calculation are those that relate to time spent on or in transit to site (including associated site accommodation, site offices and site car parks) and/or within the Area, by Suppliers, including their (sub)contractors and any site office staff. Other functions being carried out on site such as delivery drivers and photocopier service / repair technicians are also to be included. In relation to designers; the hours and incidents should be recorded where they are specifically working out of a Highways England office or the work they are undertaking away from site is specifically on behalf of Highways England.</p>			
Performance Expectations			
Score	Description		
0	Nod data provided by supplier before the deadline		
2	AFR > 0.12		
4	AFR > 0.06 and AFR <= 0.12		
6	AFR > 0.03 and AFR <= 0.06		
8	AFR > 0.00 and AFR <= 0.03		
10	AFR = 0.00		

Killed and seriously injured

Ownership			
Owner:	Richard Leonard	Live / In dev. / To be dev.	In development
Methodology		Inform Termination?	Yes
<ul style="list-style-type: none">• Road accidents on the public highway in Great Britain, reported to the police and which involve human injury or death, are recorded by police officers onto a STATS19 report form. The form collects a wide variety of information about the accident (such as time, date, location, road conditions) together with the vehicles and casualties involved and contributory factors to the accident (as interpreted by the police). The form is completed at either the scene of the accident, or when the accident is reported to the police.• The number of KSIs are calculated on an annual basis from the SRN data extracted from the DfT validated data. The number of KSIs is the sum of the number of fatal and seriously injured casualties. This information is compared to that of the previous years to monitor progress against the target.• Once the national data is released (annually), Highways England extracts the data for the SRN and plots it against the referenced network, enabling any discrepancies to be identified. In addition, the metric for each individual scheme is calculated on the basis of KSI within the geographical coverage defined by the Traffic Management layout.• The number of KSIs is calculated on an annual basis from the SRN data extracted from the DfT validated data. This information is sense checked and compared to that of the previous years.• Changes in levels of traffic and road speeds on the network, and developments within the automotive industry, could influence KSI numbers and therefore influence the ability to meet the target.• The number of KSIs is reported retrospectively on an annual basis via the validated STATS19 data which is released by the Department for Transport (DfT) at the end of June each year.			
Performance Expectations			
Score	Description		
0	Overall reduction of 10% reported KSIs		
2	Overall reduction of 20% reported KSIs		
4	Overall reduction of 30% reported KSIs		
6	Overall reduction of 40% reported KSIs		
8	Overall reduction of 50% reported KSIs		
10	Overall reduction of 60% reported KSIs		

Average delay in works

Ownership			
Owner:		Chris Cottell	Live / In dev. / To be dev. In development
Methodology		Inform Termination?	Yes
<ul style="list-style-type: none">• The work is being undertaken by the Performance Analysis Unit (PAU). The 'Additional Delay' is taken as the difference between the 'Profile Journey Time' and the 'Actual Journey Time'. This is then multiplied by the 'Traffic Flow' to determine the 'Total Additional Delay'. This 'Total Additional Delay' can be aggregated across time and geography and equated to a financial impact on UKPLC.• Delays are calculated on one additional road link upstream of the roadworks to account for delays caused when entering and leaving roadwork boundaries• Roadworks were stored as events in the Schedule of RoadWorks (SRW) and now in the Network Occupancy Management System (NOMS) and transferred daily to the Roads Information Framework (RIF).• The works event data is described against the HAPMS Network, a description of where sections of road start and end, and needs to be transposed to the NTIS Network, a different network description.• Other work supporting information such as the location and timing of Major Project schemes are to be determined and maintained through the Regional Programme Map.• Scoring for schemes is planned to be based on percentage of journey exceeding an additional delay per mile threshold. This metric work is in development and further of the scheme specific impacts can not be undertaken until the RIS2 metric is developed.• Analysis into the relationship between scheme spend and the impact of works is expected to be strong therefore with the planned increases in spend delay is also expected to increase. Further work in the development of the Delay in Works Outcome model will drill into this relationship as well as highlight nuances between Divisions and types of schemes.			
Performance Expectations			
Score		Description	
0		Motorway Schemes - More than 8.9% of journeys >30s additional delay per mile, or more than 5.9% of journeys >60s additional delay per mile A-Road and Junction Schemes - More than 69% of journeys >30s additional delay per mile, or more than 57.7% of journeys >60s additional delay per mile	
2		Motorway Schemes - More than 6.5% of journeys >30s additional delay per mile, or more than 3.8% of journeys >60s additional delay per mile A-Road and Junction Schemes - More than 21.2% of journeys >30s additional delay per mile, or more than 27.7% of journeys >60s additional delay per mile	
4		Motorway Schemes - More than 4.1% of journeys >30s additional delay per mile, or more than 2.4% of journeys >60s additional delay per mile A-Road and Junction Schemes - More than 8.4% of journeys >30s additional delay per mile, or more than 9.5% of journeys >60s additional delay per mile	
6		Motorway Schemes - More than 1.8% of journeys >30s additional delay per mile, or more than 0.9% of journeys >60s additional delay per mile A-Road and Junction Schemes - More than 3% of journeys >30s additional delay per mile, or more than 2.4% of journeys >60s additional delay per mile	
8		Motorway Schemes - More than 1% of journeys >30s additional delay per mile, or more than 0.4% of journeys >60s additional delay per mile A-Road and Junction Schemes - More than 1% of journeys >30s additional delay per mile, or more than 0.48% of journeys >60s additional delay per mile	
10		Motorway Schemes - 1% or less of journeys >30s additional delay per mile, or 0.4% or less of journeys >60s additional delay per mile A-Road and Junction Schemes - 1% or less of journeys >30s additional delay per mile, or 0.48% or less of journeys >60s additional delay per mile	

Network availability - reduction in construction duration

Ownership			
Owner:	Rebecca Fuller	Live / In dev. / To be dev.	In development
Methodology		Inform Termination?	Yes
<ul style="list-style-type: none"> At Day 0 of a scheme the duration of the works is confirmed by the Supplier/Alliance with the approval of the Highways England project manager The start date and end date are then confirmed in NOMS (based on the agreed duration) The supplier is assessed against the agreed duration achieving a higher score for the early completion of the works Extensions may be granted to suppliers/the alliance when factors out of the control of the suppliers/alliance affect the timescales of the programme. Extensions must be approved by the HE project manager. Once approved, the deadline in NOMS is updated with the agreed extension period When an extension is granted the calculation of construction duration against planned includes the extension % construction duration efficiency = $\frac{[Days\ Planned\ (inc.\ extension) - Days\ Taken]}{Days\ Planned\ (inc.\ extension)}$ 			
Performance Expectations			
Score	Description		
0	TBC		
2	TBC		
4	TBC		
6	TBC		
8	TBC		
10	TBC		

Percentage of motorway incidents cleared within one hour

Ownership			
Owner:	Andrew Eade	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	Yes
<p>i) Network availability is a Highways England KPI. This metric measures the percentage of incidents that have been cleared within the supplier's contractual requirements.. Any exceptions to these requirements based on size and scope of the task are to be agreed with Supplier Performance.</p> <p>ii) Recovery time is the time from the Project team receiving the call from the local control centre to the time when the vehicle has been cleared from blocking a live lane. Where Police or other relevant authority are leading on the incident, measurement commences from the time responsibility is handed over to the Supplier. Where no recovery time is stipulated in the contract, the figures for incident clearance within one hour will be reported.</p> <p>iii) Any vehicle providing a blockage to a network live lane should be included in this metric.</p>			
Performance Expectations			
Score	Description		
0	No data		
2	Incident Clearance % < 80%		
4	Incident Clearance % >= 80% and Incident Clearance % < 85%		
6	Incident Clearance % >= 85% and Incident Clearance % < 90%		
8	Incident Clearance % >= 90% and Incident Clearance % < 95%		
10	Incident Clearance % >= 95%		

EVM Variance

Ownership			
Owner:	David Drake	Live / In dev. / To be dev.	In development
Methodology		Inform Termination?	Yes
<ul style="list-style-type: none">The principal data is collected via a monthly commercial reporting and monitoring system (CRaMS) produced by the supplier and project manager. The earned value scope covers all costs (excluding programme risk, lands and salaries) for the major improvement programme in construction. It covers performance throughout the construction phase. A change control procedure applies to the baselines and budgets. Both CPI and SPI are frozen at the point at which a scheme opens for traffic.The variance for SPI and CPI are multiplied together to provide a final EVM variance scoreCalculation: Critical Ratio = (CPI x SPI) x 100 = %			
Performance Expectations			
Score	Description (Percentage accuracy against Critical Ratio (CR) = SPI x CPI)		
0	No Data or Critical Ratio <90%		
2	Critical Ratio >= 90% and < 95%		
4	Critical Ratio >= 95% and < 98%		
6	Critical Ratio >= 98% and < 100%		
8	Critical Ratio of 100%		
10	Critical Ratio >100%		

Performance against programme efficiency targets

Ownership			
Owner:	Colin Capon	Live / In dev. / To be dev.	Live
Methodology	Inform Termination?		Yes
<p>Suppliers are expected to provide input into scheme design and construction which satisfies Highways England Licence and Delivery Plan requirements. The Efficiency and Inflation Monitoring Manual (EIMM), available via GOV.UK, lays out Highways England's approach to measuring, recording and monitoring efficiencies.</p> <p>i) Targets - Scheme/Area-specific efficiency targets are set by the SRO/Sponsor or Programme Management Office in collaboration with SRO/Sponsor. Where an efficiency target has not been set this should be scored n/a.</p> <p>ii) Preparation - Once the target is set:</p> <ul style="list-style-type: none">As part of the next CPF submission the supplier must provide a profile of the target which shows a set of milestones for assessing performance at each CPF reporting period. An example is provided in the CPF guidance to show what is expected.<i>Note that this is reported a month in arrears and the profile should reflect this.</i>The profile should follow a similar trend to spend forecasts for the project/Area during the target time period. However it is accepted within reason that the target profile can climb more sharply over time as the confidence in delivering efficiencies increases.The Performance team in liaison with the Efficiency team will assess the profile and either accept or provide feedback if it is not deemed to satisfy the criteria above. If not resolved before the next reporting period then a lower score will be awarded. <p>iii) Scoring - Scores are assessed as follows:</p> <ul style="list-style-type: none">Part 1 - Only recognised to date savings count towards achievement of the milestone targets. These are efficiencies with Level 2 assurance status (assured by Programme Management Office and Commercial) that are apportioned either in line with project spend forecast or assured efficiency dates. Recognised to date savings figures are calculated monthly by the Central Efficiency Group (CEG) from the latest submitted registers and issued as part of the monthly internal Highways England reporting cycle.Part 2 - The supplier is also expected to have a plan to show how the overall project target will be met. This will be shown via the Efficiency Register where the value of efficiencies categorised as 'potential' and 'assured' must at least equal the target. Otherwise a lower score will be awarded.Part 3 - For the Smart Motorway Programme (SMP) only, recognised efficiency savings are generated through the 'top-down' model. Thus, there is no formal L2 assured values within efficiency registers. Recognised to date savings will be taken from the model which is generated on a quarterly basis and used as part of the Highways England Efficiency KPI reporting process.Part 4 - For Regional Delivery Partnership (RDP) projects, the efficiency score is measured against the overspend, achievement or gain of the post-efficient Budget. Forecast figures will be taken from the Efficiency Registers as a prediction of the suppliers ability to create a Budget share - this will be case studied centrally. <p>iv) Additional notes:</p> <ul style="list-style-type: none">Metric should be scored a month in arrears to ensure that the official recognised to date figure issued by CEG is used.All efficiency savings must be supported by scheme efficiency registers.Any efficiency that is categorised as 'out of scope' within the register will be excluded from the calculations.Percentage of efficiency target achieved will be rounded to the nearest 1 decimal place.If more than one supplier is scored on a project they will each use the project level position and be awarded equivalent scores.This metric is scored n/a in the period where an efficiency target is set.Any challenges to assigned efficiency targets must be escalated to the SRO/Sponsor for review. Corresponding impacts on the CPF scoring process for that period will be reviewed on a case by case basis.If the supplier has submitted a sufficient level of efficiency claims to meet the milestone target but these are pending an assurance decision from Highways England then a score of 6 will be awarded, subject to Part 2 of the scoring being satisfied.			
Performance Expectations			
Score	Description		
0	No data		
2	Recognised efficiency savings (to date) are less than 90% of target (to date).		
4	Recognised efficiency savings (to date) are 90-99.9% of target (to date), OR Savings to date are meeting or exceeding target but there is no plan/forecast to meet the overall target that is compatible with EIMM.		
6	Recognised efficiency savings (to date) are between 100% and 104.9% of target (to date), AND there is a plan/forecast to meet or exceed the overall target that is compatible with EIMM.		
8	Recognised efficiency savings (to date) between 105% and 109.9% of target (to date), AND there is a plan/forecast to meet or exceed the overall target that is compatible with EIMM.		
10	Recognised efficiency savings (to date) are greater than 110% of target (to date), AND there is a plan/forecast to meet or exceed the overall target that is compatible with EIMM.		

Productivity target (£ per km / km per month)

Ownership			
Owner:		Live / In dev. / To be dev.	To be developed
Methodology		Inform Termination?	Yes
To be developed			
Performance Expectations			
Score	Description		
0			
2			
4			
6			
8			
10			

Cost management target (% of investment retained in asset)

Ownership			
Owner:		Live / In dev. / To be dev.	To be developed
Methodology		Inform Termination?	Yes
To be developed			
Performance Expectations			
Score	Description		
0			
2			
4			
6			
8			
10			

Technology asset availability

Ownership			
Owner:		Live / In dev. / To be dev.	To be developed
Methodology		Inform Termination?	Yes
To be developed			
Performance Expectations			
Score	Description		
0			
2			
4			
6			
8			
10			

Customer assurance framework

Ownership			
Owner:	Matt Cox	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	No
<p>The aim of this metric is to ensure that customers' needs are being considered and an adequate level of engagement is taking place, so that appropriate steps are taken to improve the experience for customers at a scheme level. This measure aims to improve customer satisfaction by ensuring consistency in supplier performance and development. The MP Customer Service Division (CSD) will carry out sample checks of the scores every 6 months, to ensure scoring parity across all schemes. This metric incorporates several elements for action, such as the proposed traffic management approach and the expected customer impacts, including journey times, delays and on-road/off-road communications.</p> <p>The Customer Performance Assurance Assessment form (CPAA) is to be completed by suppliers every quarter and submitted back to the Highways England Project Manager on that scheme for review.</p> <p>The supplier will then be scored against each requirement, which will contribute towards an overall assessment score for measurement. The metric covers all PCF stages from 1-7, engaging suppliers involved with both the design and construction phase. All suppliers should provide evidence alongside their self-assessment and only respond to the project stage that they are involved with (Please refer to CPAA Audit document as part of the supporting guidance). Suppliers in PCF stages 1-4 should ONLY respond to requirements in column E on the Design Phase Audit Sheet tab of the audit document, whereas suppliers involved in PCF stages 5-7 should ONLY respond to the requirements in column E of the Construction Phase Audit Sheet tab.</p> <p>All suppliers must illustrate:</p> <p>a) What has been achieved so far?</p> <p>b) What approach will the supplier take to meet each requirement?</p> <p>c) What are the potential barriers to achieving the best practice?</p> <p>d) What strategies are in place to mitigate these barriers?</p> <p>Suppliers are only required to fill out either the 'Construction Phase Audit Sheet' or the 'Design Phase Audit Sheet' tabs, relating to the PCF Stage the scheme is in.</p>			
Performance Expectations			
Score	Description		
0	No plan provided		
2	(PCF Stage 1-7) 0% < CPAA score <= 23%		
4	(PCF Stage 1-7) 23% < CPAA score <= 59%		
6	(PCF Stage 1-7) 59% < CPAA score <= 75%		
8	(PCF Stage 1-7) 75% < CPAA score <= 89%		
10	(PCF Stage 1-7) 89% < CPAA score <= 100%		

Customer audit

Ownership					
Owner:	David McCann	Signed off:	Yes	Date signed off:	
Methodology				Inform Termination?	No
<p>The Customer Audits will be undertaken by customers who regularly use the scheme and will be based on a questionnaire of circa 35 questions mirroring the 'Customer Focused Roadworks Checklist' used by Traffic Officers to provide major schemes with regular feedback.</p> <p>The performance measure is computed from satisfaction ratings for three key aspects; these key aspects are (a) Planning and designing of traffic management, (b) Information provision, and (c) Engaging and communicating with customers.</p> <p>The customer experience will be collected by external and independent suppliers on a continuous basis and reported on a monthly basis.</p> <p>Since the performance measure might not be within the control of the individual project teams delivering the schemes, this will be supported by a programme of CDD run by the Customer Service Division in Major Projects and Operations.</p>					
Performance Expectations					
Score	Description				
0	No data OR Customer Audit score > 0 and Customer Audit score <= 20				
2	Customer Audit score > 20 and Customer Audit score <= 40				
4	Customer Audit score > 40 and Customer Audit score <= 70				
6	Customer Audit score > 70 and Customer Audit score <= 80				
8	Customer Audit score > 80 and Customer Audit score <= 90				
10	Customer Audit score > 90 and Customer Audit score <= 100				

Percentage of value spend to SMEs and average supplier payment timescales

Ownership			
Owner:	Nick Sharman	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	No
<ul style="list-style-type: none"> SMEs are defined by the European Commission as having < 250 FTE staff and either an annual turnover of ≤ £50m or an annual balance sheet total of ≤ £43m. If there is no sub-contractor spend within the period or phase (as applicable) this will be scored n/a subject to evidence being provided. Suppliers should demonstrate that a Project Bank Account (PBA) is being operated effectively, with view-only access enabled for Highways England, and is being used to pay the supply chain promptly in accordance with the Highways England Fair Payment Charter. Suppliers should also ensure the secondary suppliers they contract also have PBAs. Should the Tier 1 contractor go into insolvency, the monies in the PBA account due for payment to the signed up supply chain is secure and can only be paid to them. Suppliers are measured against the full application amount, except Technical Advisors and Collaborative Delivery Framework Lot 1 Designers who are measured against the subcontracted spend for SME calculation. This metric monitors the length of time in calendar days that it takes for the Supplier to pay its supply chain (including Tier 2 and Tier 3+) joined to the PBA, following Highways England deposit of cleared funds into the PBA. Payment is defined as cleared funds being available to the Supplier. Monthly management reports from the Supplier (incl. PBA Tracker, which includes detailed guidance on evidence requirements) are issued to commercialcostintelligenceinbox@highwaysengland.co.uk on Working Day 7 (Major Projects) or on Working Day 3 (Operations) 			
Performance Expectations			
Score	Description		
0	No data or no spend through SMEs		
2	< 10% SME spend and > 9 calendar days for PBA payments to be made to supply chain		
4	≥ 10% SME spend and < 25% and ≤ 9 calendar days for PBA payments to be made to supply chain		
6	≥ 25% SME spend ≤ 33% and ≤ 7 calendar days for PBA payments to be made to supply chain		
8	≥ 34% SME spend ≤ 49% and ≤ 3 calendar days for PBA payments to be made to supply chain		
10	≥ 50% SME spend and ≤ 2 calendar days for PBA payments to be made to supply chain		

Employment and development

Ownership			
Owner:	Nicky Ensert	Live / In dev. / To be dev.	In development
Methodology	Inform Termination?		No
<p>Regional Delivery Partners within each region work together to develop a Regional Employment and Skills plan (RESP) for that region to deliver on the employment and skills objectives. The RESP includes an Employment and Skills Plan for each RDP demonstrating how each RDP (including its partners, contractors, suppliers throughout the tiers) contributes to the RESP.</p> <p>The RESP process comprises :</p> <p>Q1 - By the end of mobilisation, a RESP will be in place which is based on an aggregation and analysis of workforce planning and development data from all RDPs, an agreed methodology, statement of outputs, agreed implementation plan plus proposals for national collaborative initiatives.</p> <p>Q2 onwards – delivery of and reporting on agreed actions and outputs in RESP, maintenance of the RESP, sharing of data and learning from RESP implementation to inform continual improvement.</p>			
Performance Expectations			
Score	Description		
0	No plan in place. Data and intelligence limited. No collaboration occurring. Ad hoc initiatives being delivered. No evidence of this delivering outputs and outcomes in line with requirements		
2	Plan in place. Data and intelligence being gathered. Some collaboration occurring. Some planned activities being delivered. Limited evidence of this delivering outputs and outcomes in line with requirements		
4	Plan in place. Data and intelligence gathered and analysed in collaboration with partners. Collaboration occurring across most tiers. Most planned activities being delivered. Reasonable evidence of this delivering outputs and outcomes in line with requirements.		
6	Up to date plan in place, informed by data, intelligence and insight from all partners. Collaboration occurring across all tiers. All planned activities being delivered. Clear evidence of this delivering outputs and outcomes in line with requirements.		
8	Up to date plan in place, informed by rich data, intelligence and insight from all partners. Collaboration occurring across all tiers and with other RDPs. All planned activities being delivered. Clear evidence of this delivering outputs and outcomes beyond requirements.		
10	Up to date plan in place, informed by rich data, intelligence and insight from all partners. Collaboration occurring across all tiers and with other RDPs. All planned activities being delivered. Clear evidence of this delivering outputs and outcomes that are recognised as exemplary sector wide performance.		

Employee engagement

Ownership			
Owner:	Ron Duncan-Calderwood	Live / In dev. / To be dev.	In development
Methodology		Inform Termination?	No
<ul style="list-style-type: none">The assessment is conducted by an external supplier Korn Ferry Hay Group. Every employee is asked to fill out a 86 question survey addressing various aspects of employee engagement and employee enablement. For each question, employees answer on a sliding scale of Strongly Agree/Agree/Neither/Disagree/Strongly Disagree this results in a quadrant profile of detached, frustrated, least effective and most effective.Korn Ferry Hay Group collate and analyse survey results and provide a percentage figure for level of employee engagement and enablement (on a scale of 0% to 100%)In addition, Korn Ferry Hay Group provide feedback across 11 sub-dimensions including authority & empowerment and development opportunities. They also provide 4 days of consulting support to explain results and offer recommendations for improvement.			
Performance Expectations			
Score	Description		
0	No data or Employee Engagement < 30%		
2	Employee Engagement <= 30% and Employee Engagement < 40%		
4	Employee Engagement >= 40% and Employee Engagement < 50%		
6	Employee Engagement >= 50% and Employee Engagement < 60%		
8	Employee Engagement >= 60% and Employee Engagement < 73%		
10	Employee Engagement >= 73%		

Equality, diversity and inclusion

Ownership			
Owner:	Belinda Blake	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	No
<p>Throughout the life of the contract an evidence based Inclusion Action Plan (IAP) is developed and will include steps and actions to create a working environment that enables everyone to perform to their full potential, retaining a greater diversity of talent in the sector and deliver a more socially sensitive SRN that is a better neighbour to diverse groups and neighbouring communities impacted by the contract. There will be clear governance and accountability including monitoring and measurement of the difference made.</p> <p>The IAP is developed and will include identified steps and actions to take to;</p> <p>(1) identify opportunities to improve the inclusiveness of the working culture and the diversity of the workforce across pay quartiles and occupational groups and/or</p> <p>(2) deliver a more socially sensitive Strategic Road Network (SRN) and be a better neighbour to communities impacted by the contract - particularly those who are vulnerable as a result of a protected characteristic.</p> <p>The IAP will set out the specific actions that will be taken to make a difference in the practice and performance across the contract and / or company (including sub contracted tiers) and how these will be governed and measured. Outputs from the IAP will be produced, collected and reported on a quarterly basis.</p> <p>The supporting Guidance Document is available on the Supply Chain Portal for more detail on this metric. Criteria of applicability and requirements for each level will be set out within the guidance document.</p> <p>A governance framework is defined as an internal organisational mechanism where the EDI evidence and inclusion action plans are used and reviewed on a regular basis. The use of the EDI evidence and IAP is defined in relation to meeting the requirements of the Equality Duty and those activities described in the metric description.</p> <p>Evidence and IAP should be available to the Highways England Subject Matter Expert (Belinda Blake) to evidence scoring if required.</p> <p>Where Suppliers believe that their actions warrant a score of Blue or Blue+, submissions must be sent to Belinda.Blake@highwaysengland.co.uk by the final day of the second month of the Supplier's CPF quarter that the Blue / Blue+ score is wanted for. Where the evidence is only available in the third month of the Supplier's CPF quarter, the submission can still be made however the Blue / Blue+ score can only be awarded for the Supplier's subsequent CPF quarter. As a minimum the submission must contain the IAP, full evidence that supports the Supplier's belief that a score of Blue / Blue+ is warranted, company name, contract(s) that the IAP relates to and contact details.</p>			
Performance Expectations			
Score	Description		
0	No evidence of intelligence gathered or Inclusion Action Plan (IAP) in place.		
2	Limited evidence of intelligence gathered to identify opportunities to improve, but IAP and actions being prepared with implementation date provided.		
4	Evidence of IAP in place but only partially implemented; - Intelligence not being used to identify improvement opportunities but actions are in place to address this; Actions outstanding beyond target date; No evidence of action review or limited actions being carried out.		
6	Fully implemented and formally monitored evidence based IAP in place; - Intelligence is being analysed to identify opportunities; Plan is linked to priorities for action; Demonstrable activity shows progress against expected timescales with IAP outcomes being noted..		
8	In addition to the criteria for a score of 6 above; - Evidence that ongoing actions arising from the IAP are driving change and making a difference (confirmed by HE subject matter expert).		
10	In addition to the criteria for a score of 8 above; - Evidence showing the difference made has led to legacy or the development of a case study and/or good practice being shared widely with peers and down the supply chain (confirmed by HE subject matter expert).		

Carbon Dioxide equivalents in tonnes associated with Highways England and its supply chain

Ownership			
Owner:	Dean Kerwick-Chrisp	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	No
<ul style="list-style-type: none"> The Highways England supply chain carbon footprint comprises construction and maintenance activities expressed as embodied CO₂e in energy use, materials, transportation and waste removal. The Highways England Carbon Tool is used to assess the cumulative amount of CO₂e that has been used in the delivery of a construction or maintenance project/contract. Carbon Tools are completed by the supply chain and the output, the 'Carbon Return', provided to Highways England. The tonnes of CO₂e is divided by £m to provide 'carbon intensity'. The figure to be used for this metric is the 'Total carbon dioxide equivalent emissions CO₂e produced per £m spent' generated on the Carbon Tool Summary Report based on the latest Carbon Return. For pre-Construction Phases, this metric is to be scored if enabling/advance works are underway on site. Score as n/a otherwise, or if the only site work is surveying. Any exceptions to these requirements based on size and scope of the task are to be agreed with Commercial Performance. Failure to submit a Carbon Return in line with the guidance will result in a score of zero. 			
Performance Expectations			
Score	Description		
0	No Data		
2	CO ₂ e > 200t/£m		
4	CO ₂ e > 150t/£m and CO ₂ e ≤ 200t/£m		
6	CO ₂ e > 100t/£m and CO ₂ e ≤ 150t/£m		
8	CO ₂ e ≤ 100t/£m		
10	CO ₂ e ≤ 100t/£m and reduce the 12 month rolling average of CO ₂ e t/£m by ≥ 10% (alternatively carbon emissions are zero)		

Natural, built and historic environment: biodiversity

Ownership			
Owner:	Stuart Wilson	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	No
<p>Service Providers are required to measure biodiversity in line with the methodology outlined within the CHE Memorandum 422/18, published in March 2018.</p> <p>All maintenance, renewal and/or improvement projects where environmental assessments and survey activities are undertaken, will be expected to establish an ecological baseline and calculate the likely biodiversity units associated with the implementation of any proposed scheme. Biodiversity Units are based on established industry practice and are calculated as follows:</p> <p>Distinctiveness Score x Condition Score x Area = Biodiversity Units</p> <p>Where: Distinctiveness Score - (high, medium, or low) based on broad habitat types. Condition Score – (good, moderate, or poor) assumption based for baseline, based on established condition assessment for project data. Area - hectares of habitat type</p> <p>Service Providers will calculate existing biodiversity assets within the scheme boundary, establishing a baseline. Subsequent changes to existing assets as a result of any scheme interventions should then be assessed and compared with the Highways England Forecast of Project Performance for that specific scheme.</p>			
Performance Expectations			
Score	Description		
0	No data		
2	<p>Options (PCF Stages 1-2) All options forecast >5% below the Highways England forecast of project performance (biodiversity units); and Pre-works biodiversity unit data submitted.</p> <p>Development (PCF Stages 3-5) Forecast >5% below the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p> <p>Within Construction phase Deliver >5% below the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p>		
4	<p>Options (PCF Stages 1-2) All options forecast 1-5% below the Highways England forecast of project performance (biodiversity units); and Pre-works biodiversity unit data submitted.</p> <p>Development (PCF Stages 3-5) Forecast 1-5% below the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p> <p>Within Construction phase Deliver 1-5% below the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p>		
6	<p>Options (PCF Stages 1-2) All options forecast are ≤5% above the Highways England forecast of project performance (biodiversity units); and Pre-works biodiversity unit data submitted.</p> <p>Development (PCF Stages 3-5) Forecast is ≤5% above the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p> <p>Within Construction phase Delivery of biodiversity ≤5% above the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p>		
8	<p>Options (Stages 1-2) All options forecast >5 and ≤10% above the Highways England forecast of project performance (biodiversity units); and Pre-works biodiversity unit data submitted.</p> <p>Development (Stages 3-5) Forecast >5 and ≤10% above the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p> <p>Within Construction phase Deliver >5 and ≤10% above the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p>		
10	<p>Options (PCF Stages 1-2) All options forecast >10% above the Highways England forecast of project performance (biodiversity units); and Pre-works biodiversity unit data submitted.</p> <p>Development (PCF Stages 3-5) Forecast >10% above the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p> <p>Within Construction phase Deliver >10% above the Highways England forecast of project performance (biodiversity units); and Stage biodiversity unit data submitted.</p>		

Human wellbeing: water quality

Ownership			
Owner:	Michael Whitehead	Live / In dev. / To be dev.	Live
Methodology		Inform Termination?	No
<p>This metric assesses the level of interaction between the proposed scheme and the surrounding water environment. The metric will require service providers to identify all interactions with surface water features and groundwater, cross-checking with DDMS for outfalls, culverts, soakaways and flooding hotspots, making updates to records where necessary.</p> <p>Service providers are required to assess potential interactions of the scheme with affected surface water and groundwater features and propose sustainable drainage solutions, which would result in environmental enhancement for the water environment.</p> <p>The reported metric is focused on the verification of all outfalls, culverts, soakaways and flooding hotspots within the scheme boundary, which should then be reported against the forecast position (where available). Mitigation measures and enhancements should be proposed and subsequently implemented for identified drainage assets and flood hotspots, implementing sustainable drainage solutions where possible.</p> <p>The reporting of the metric is reliant on Major Projects teams updating DDMS with the outfalls, culverts, soakaways and flooding hotspots that have been verified and mitigated. This will be done at periodic stages throughout the Scheme programme in co-ordination with the Operations Drainage Liaison Engineer.</p>			
Performance Expectations			
Score	Description		
0	<p>Options (PCF Stages 1-2) No evidence of confirmation of contribution to PI.</p> <p>Development (PCF Stages 3-5) None of the below have been demonstrated:</p> <ul style="list-style-type: none"> The existing risks and impacts from all drainage assets and flood hotspots within the scheme boundary have been verified and DDMS has been updated. Update forecast and report contribution to the corporate PIs for the water environment. Confirm all existing and potential risks to water environment from the scheme will be addressed. <p>Construction (PCF Stages 6-7) No forecast contributions to corporate PIs, identified at Stages 3-5, have been delivered and reported.</p>		
2	<p>Options (PCF Stages 1-2) Not applicable (score either 0 or 4).</p> <p>Development (PCF Stages 3-5) Two of the below have not been demonstrated:</p> <ul style="list-style-type: none"> The existing risks and impacts from all drainage assets and flood hotspots within the scheme boundary have been verified and DDMS has been updated. Update forecast and report contribution to the corporate PIs for the water environment. Confirm all existing and potential risks to water environment from the scheme will be addressed. <p>Construction (PCF Stages 6-7) 50% or less than all forecast contributions to corporate PIs, identified at Stages 3-5, have been delivered and reported.</p>		
4	<p>Options (PCF Stages 1-2) Limited evidence of confirmation of contribution to PI.</p> <p>Development (PCF Stages 3-5) One of the below has not been demonstrated:</p> <ul style="list-style-type: none"> The existing risks and impacts from all drainage assets and flood hotspots within the scheme boundary have been verified and DDMS has been updated. Update forecast and report contribution to the corporate PIs for the water environment. Confirm all existing and potential risks to water environment from the scheme will be addressed. <p>Construction (PCF Stages 6-7) More than 50%, but less than all forecast contributions to corporate PIs, identified at Stages 3-5, have been delivered and reported.</p>		
6	<p>Options (Stages 1-2) Have identified and reported all existing and potential contributions to corporate PIs within the highway boundary.</p> <p>Development (Stages 3-5) ALL of the below shall be achieved to score 6:</p> <ul style="list-style-type: none"> The existing risks and impacts from all drainage assets and flood hotspots within the scheme boundary have been verified and DDMS has been updated. Update forecast and report contribution to the corporate PIs for the water environment. Confirm all existing and potential risks to water environment from the scheme will be addressed. <p>Construction (Stages 6-7) All forecast contributions to corporate PIs, identified at Stages 3-5, have been delivered and reported on DDMS.</p>		
8	<p>Options (PCF Stages 1-2) Requirements for a score of 6 are met and, in addition, a register of enhancement opportunities for the water environment/flood risk has been identified.</p> <p>Development (PCF Stages 3-5) The drainage design, once constructed, will meet the requirements to score 6 and in addition will meet at least one of the following conditions:</p> <ul style="list-style-type: none"> Decreases the peak flood level of the 1% Annual Exceedance Probability event by 50 mm or more. 20% to 50% of the scheme's impermeable catchment area treated and/or attenuated using vegetated SuDS. <p>Construction (PCF Stages 6-7) The drainage solution meets ALL of the requirements to score 6 and delivers at least one of the additional items listed above under 'Development (Stages 3-5)'.</p>		
10	<p>Options (PCF Stages 1-2) Requirements for a score of 6 are met and, in addition, a register of enhancement opportunities for the water environment/flood risk has been identified, and these have been agreed with stakeholders with contributions identified for development in subsequent phases.</p> <p>Development (PCF Stages 3-5) The drainage design, once constructed, will meet the requirements to score 6 and in addition will meet at least one of the following conditions:</p> <ul style="list-style-type: none"> Supports wider enhancements to the water environment beyond the highway boundary. Decreases the peak flood level of the 1% Annual Exceedance Probability event by 100 mm or more. More than 50% of the scheme's impermeable catchment area treated and/or attenuated using vegetated SuDS. <p>Construction (PCF Stages 6-7) The drainage solution meets ALL of the requirements to score 6 and delivers at least one of the additional items listed above under 'Development (Stages 3-5)'.</p>		

Annex D Optimisation business case template

Part One: Business Case Template

Optimisation Business Case		For Alliance to populate
Summary of optimisation opportunity		
<ul style="list-style-type: none"> Overview of the opportunity identified The options considered How the Alliance arrived at the final recommendation 		
Budgetary Impact		
<ul style="list-style-type: none"> Cost of implementing the optimisation Amount of benefit delivered (to be logged line-by-line in a register) Net-benefit 		
Impact on Time		
<ul style="list-style-type: none"> Plan for delivering opportunity Timescales for realising benefits 		
Impact on our imperatives		
Safety	Customer	Delivery
<ul style="list-style-type: none"> What are the implications on the safety of customers and the workforce? 	<ul style="list-style-type: none"> What are the direct and indirect impacts on the customer? E.g. Journey time and experience 	<ul style="list-style-type: none"> Wider impacts of the optimisation on delivery. For example: <ul style="list-style-type: none"> How does it engage SMEs? What efficiencies are delivered? What are the environmental implications?
Adjustments to HE standards and policies		
Policy	Proposed Change	
Changes to Alliance Partner Fee Structure		
Partner	Current Fee	Proposed Fee
Production Management Partner		
On-site Assembly #1		
On-site Assembly #2		
On-site Assembly #3		
Digitally-enabled Design #1		
Digitally-enabled Design #2		

Part Two: Business case evaluation criteria

Evaluation Criteria

For Client to populate

Criteria	Weighting	Weak (0 Points)	Moderate (1 Point)	Strong (2 Point)	Exceptional (3 Point)
Budgetary / Time Impact	25%				
Safety	25%				
Customer	25%				
Delivery	25%				
Total Score					
Agreement of change in fee (Y/N)					
Agreement on proposed changes to HE standards (Y/N)					
Approve optimisation recommendation (Y/N)					Yes

Definition of scoring criteria

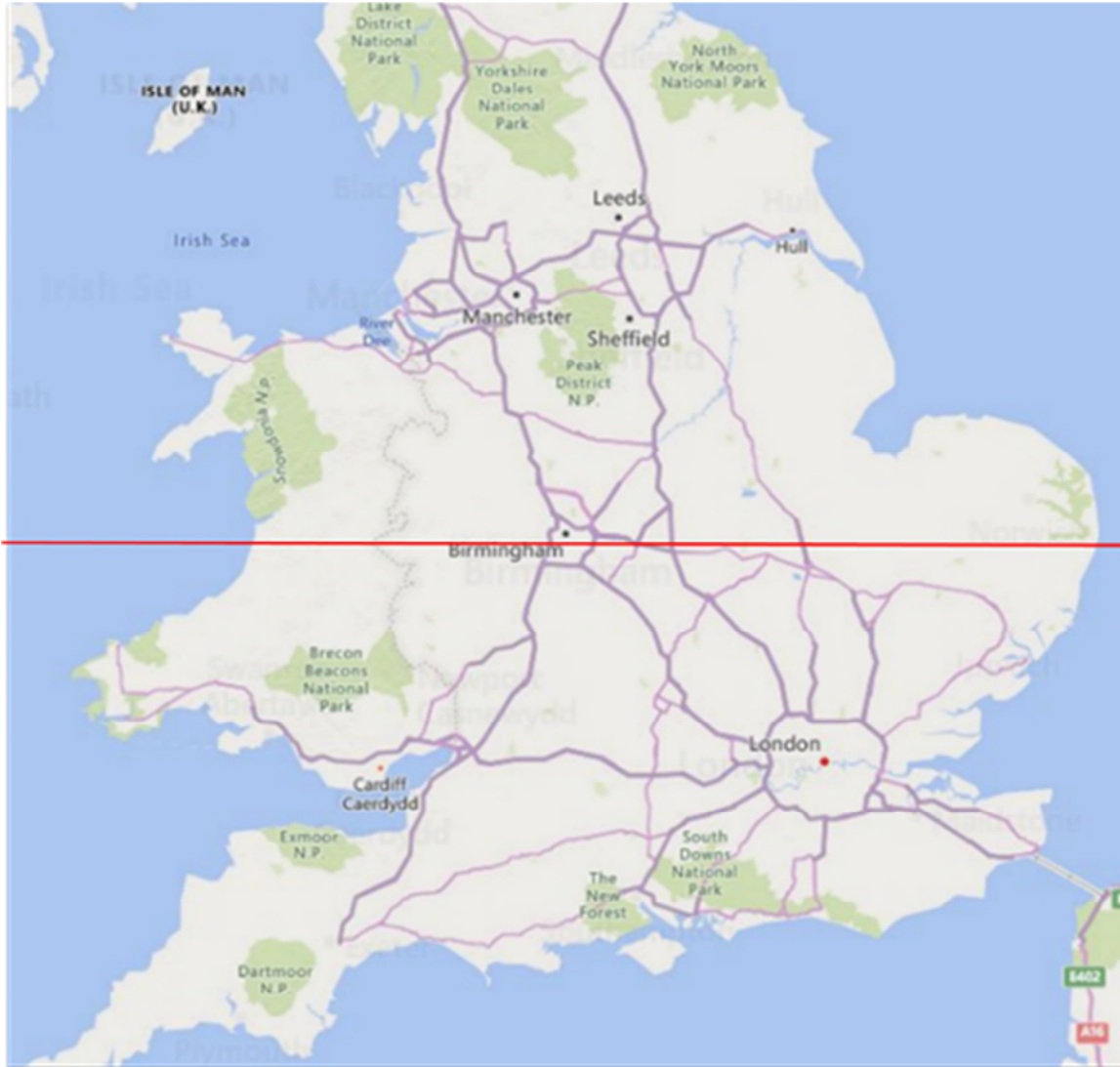
Criteria	Weak (0 Points)	Moderate (1 Point)	Strong (2 Point)	Exceptional (3 Point)
Budgetary / Time Impact	0% - 1.5% risk-weighted* budgeted outturn cost / time improvement	1.5% - 3% risk-weighted* budgeted outturn cost / time improvement	3%-5% risk-weighted* budgeted outturn cost / time improvement	>5% risk-weighted* budgeted outturn cost / time improvement
Safety	<ul style="list-style-type: none"> Little to no consideration of the implications on optimisation. Little to no feasibility of realising benefits identified. 	<ul style="list-style-type: none"> Some consideration of the implications on optimisation. Some feasibility of realising benefits identified. 	<ul style="list-style-type: none"> Comprehensive consideration of the implications on optimisation. Comprehensive feasibility of realising benefits identified. 	<ul style="list-style-type: none"> Complete consideration of the implications on optimisation. Robust feasibility of realising benefits identified.
Customer				
Delivery				

* During the evaluation of the optimisation recommendation, the Client will assess the likelihood of achieving the cost reduction and weight the cost/time savings accordingly. The scoring will then be determined based on this.

Annex E Lot regional boundaries

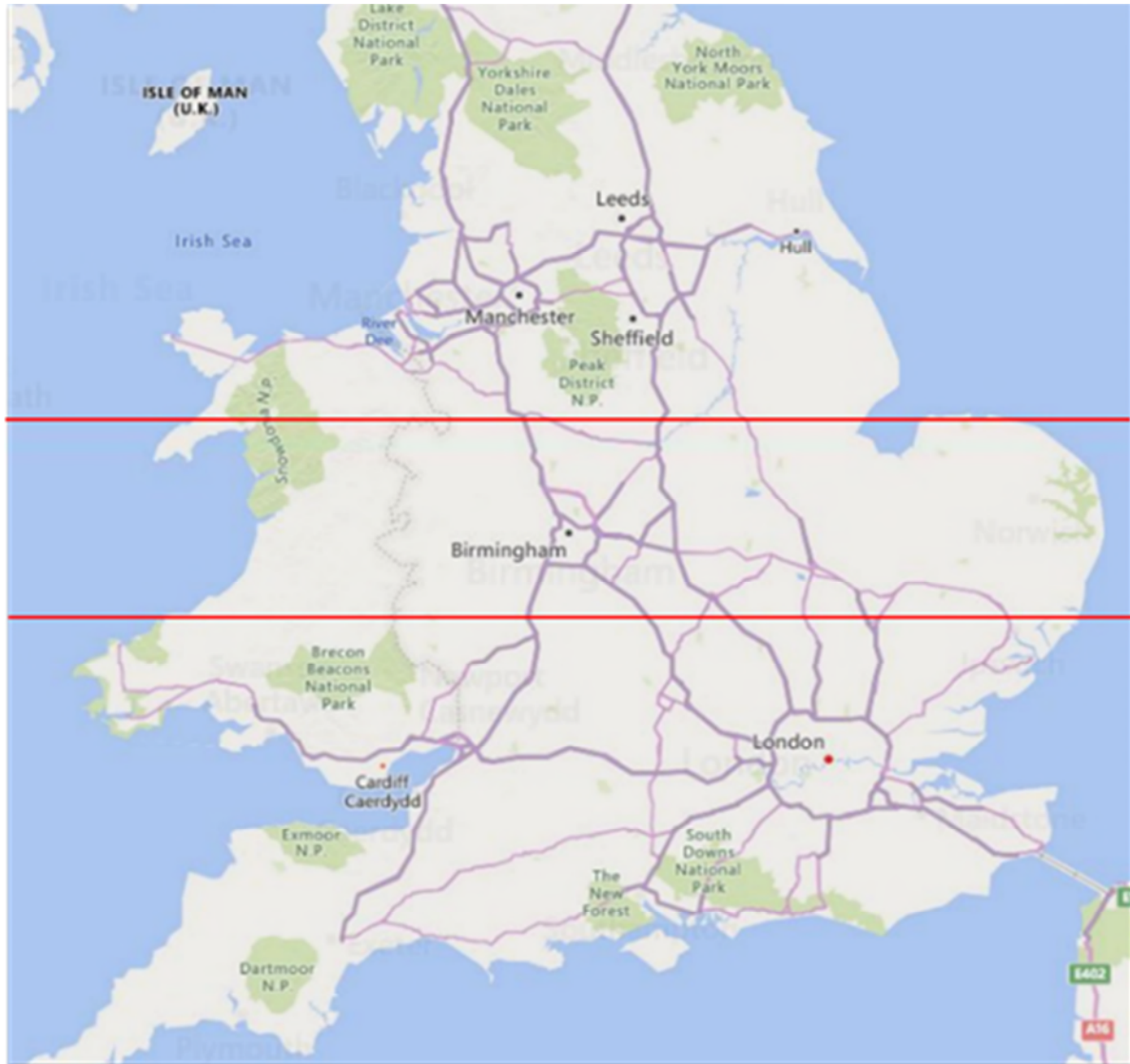
Part One: Lot 2 Digitally Enabled Design Partner

Lot 2 line of demarcation between North and South. The line of demarcation between North and South is centred on the town of Meriden in central England.



Part Two: Lot 3 Onsite Assembly Partners

Lot 3 line of demarcation between North, Midlands and South. The line of demarcation between North and Midlands is defined as M1 Junction 25 and Midlands and South is defined as M1 Junction 14.



Annex F Alliance Scope and Scheme Scope

Part One: Default allocation of Alliance Scope activities between Lots

KEY:

- **Responsible** – The Lot Partner(s) responsible for delivering the activities as defined in the Alliance Scope
- **Support** – The Lot Partner(s) support the delivery of the requirements as defined in the Alliance Scope

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
SECTION A: LOT SCOPE				
S100 Description of the works				
S105 Introduction to Highways England				
S110 Introduction to the Smart Motorways Programme				
S115 The structure of the Alliance	R	R	R	R
S116 Alliance Objectives	R	R	R	R
S120 Core responsibilities of the members of the Alliance	S	R	R	R
S120A Production Management Partner		R		
S120B Digitally Enabled Design Partner			R	
S120C On-site Assembly Partner				R
S120D The Client as a member of the Alliance	R			
S130 Agile responsibilities of the members of Alliance				
Scoping of surveys				
Asbestos	S	S	R	S
Communications	S	S	R	S
Condition	S	S	R	S

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
Drainage and ducting	S	S	R	S
Environmental and ecology (e.g. protected species)	S	S	R	S
Lighting	S	S	R	S
Noise	S	S	R	S
Pavement	S	S	R	S
Structures and geotechnical	S	S	R	S
Topographical	S	S	R	S
Carrying out of surveys				
Asbestos	S	S	S	R
Communications	S	S	S	R
Condition	S	S	S	R
Drainage and ducting	S	S	S	R
Environmental and ecology (e.g. protected species)	S	S	S	R
Lighting	S	S	S	R
Noise	S	S	S	R
Pavement	S	S	S	R
Structures and geotechnical	S	S	S	R
Topographical	S	S	S	R
Preliminary design				
Gantries, structures and bridges	S	S	R	S
Noises and environmental barriers	S	S	R	S
Piling and foundations	S	S	R	S
Power and lighting	S	S	R	S
Retaining walls	S	S	R	S
Technology and	S	S	R	S

REFERENCE	The <i>Client</i> (as a member of the <i>Alliance</i>)	Lot 1	Lot 2	Lot 3
communications				
Detailed design				
Gantries, structures and bridges	S	S	R	S
Noises and environmental barriers	S	S	R	S
Piling and foundations	S	S	S	R
Power and lighting	S	S	R	S
Retaining walls	S	S	S	R
Technology and communications	S	S	R	S
Traffic management	S	S	S	R
Development of as-built records	S	S	S	R
Purchase and provision of				
Technology	R	S	S	S
Traffic management	R	S	S	S
Any other products and services called off from CCS and other <i>Client</i> framework contracts	R	S	S	S
Consent and administrative activities				
Statutory and consent management (e.g. Statutory instruments, Statutory Undertakers, Distribution Network Operators (DNOs))	S	S	R	S
Environmental assessment	S	S	R	S
Customer service and external stakeholder management	S	S	S	R
Setting up and administering of PBAs	S	R	S	S

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
Supporting SMP delivery (e.g. Red-X campaign)	S	R	S	S
Production activities				
Logistics	S	S	S	R
Promoting use of off-site manufacture and standardisation	S	S	S	R
Continuous improvement and innovation	S	R	R	R
SECTION B: GENERAL REQUIREMENTS				
S200 General constraints				
S201 Alliance behaviours	R	R	R	R
S202 Parent Company Guarantee	S	R	R	R
S203 Conflict of interest	S	R	R	R
S204 Anti Bribery and Anti-Fraud	S	R	R	R
S205 Data Protection	S	R	R	R
S208 Official Secrets Acts	S	R	R	R
S210 Confidentiality	S	R	R	R
S211 Insurance	S	R	R	R
S215 Security and protection of the Site	S	S	S	R
S220 Security and identification of people	S	R	R	R
S225 Protection of existing structures	S	S	S	R
S230 Cleanliness of roads	S	S	S	R
S240 Network occupancy	S	S	S	R
S241 Recovery services	S	S	S	R
S245 Condition survey	S	S	R	S

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
S250 Considerate Constructor Scheme	S	S	S	R
S251 Customer service	S	R	R	R
S256 Project Control Framework	S	R	R	R
S266 Energy Efficiency Directive	S	R	R	R
S267 Environmental requirements	S	S	S	R
S268 Aftercare / Management of landscape works	S	S	S	R
S269 Site Waste Management plan	S	S	S	R
S270 Sustainable development requirements	S	S	S	R
S272 Air Quality Strategy	S	S	S	R
S274 Discrimination, bullying and harassment	S	R	R	R
S275 Equality, diversity and inclusion	S	R	R	R
S276 Employment and skills	S	R	R	R
S300 Design	S	S	R	S
S305 Design responsibilities	S	S	R	S
S310 Design criteria	S	S	R	S
S320 Design submission procedures and acceptance criteria	S	S	R	S
S325 Design approval from Others	S	S	R	S
S400 Scheme handover				
S405 Scheme Open for Traffic	S	S	S	R
S410 Scheme handover	S	S	S	R

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
S415 Scheme Completion	S	S	S	R
S445 Documents	S	S	S	R
S450 Access to information following Completion	S	S	S	R
S500 Programme				
S501 Alliance programme requirements	S	R	R	R
S502 Scheme programme requirements	S	R	R	R
S515 Scheme programme quality	S	R	R	R
S520 Methodology statement	S	R	R	R
S525 Revised Alliance programme	S	R	R	R
S535 Earned value management and reporting	S	R	R	R
S600 Quality Management	S	R	R	R
S605 Alliance aligned/integrated management system	S	R	R	R
S610 Lean	S	R	R	R
S615 Quality planning	S	R	R	R
S620 Authorised persons with adequate skills, knowledge, experience and training	S	R	R	R
S625 Quality reviews	S	R	R	R
S626 Audits	S	R	R	R
S630 Registers	S	R	R	R
S640 Non-conformity corrective action reports	S	R	R	R
S645 Quality indicators	S	R	R	R

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
S650 Deliverables	S	R	R	R
S655 Alliance management review	S	R	R	R
S660 Quality Management Points	S	R	R	R
S665 Risk management	S	R	R	R
S700 Tests and inspections	S	S	S	R
S800 Management of the works				
S810 Communications	S	S	S	R
S820 Disclosure requests	S	R	R	R
S825 Information security	S	R	R	R
S835 Business Continuity	S	R	R	R
S900 Working with Others	S			
S905 Requirements of Others	S	R	R	R
S920 Utilities providers	S	R	R	R
S1000 Services and other things provided				
S1010 Services and other things to be provided by the <i>Client</i> as a member of the Alliance	R	S	S	S
S1100 Health and Safety				
S1105 Supply chain health and safety maturity matrix	S	R	R	R
S1107 Alliance's health and safety management system	S	R	R	R
S1108 Subcontractor's health and safety management systems	S	R	R	R
S1111 Action to rectify breaches	S	R	R	R

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
S1112 Health and safety culture	S	R	R	R
S1113 Health and safety – exchange of information	S	R	R	R
S1114 Asbestos	S	S	S	R
S1115 Health and safety advice	S	R	R	R
S1116 Health and safety inspections	S	R	R	R
S1117 Health and safety in construction	S	S	S	R
S1118 Incident investigation, reporting and follow-up	S	R	R	R
S1119 Incident statistics	S	R	R	R
S1121 Health and safety management audit	S	R	R	R
S1122 CDM compliance	S	S	R	R
S1123 Health and safety – charity-based incentive schemes	S	R	R	R
S1125 Management of road risk	S	S	S	R
S1127 Substance abuse	S	R	R	R
S1128 Security	S	R	R	R
S1129 Employee safety	S	R	R	R
S1130 Fleet Operator Recognition Standard (FORS) Accreditation	S	S	S	R
S1131 Driving for better business	R	R	R	R
S1200 Subcontracting	S	R	R	R
S1205 Restrictions or requirements for subcontracting	S	R	R	R
S1210 Acceptance	S	R	R	R

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
procedures				
S1300 Title				
S1305 Marking	S	S	S	R
S1400 Accounts and records	S	R	R	R
S1415 Form of documents to be retained	S	R	R	R
S1420 Records and audit access	S	R	R	R
S1425 Retention of records	S	R	R	R
S1500 Commercial Management				
S1505 Provision of cost information	S	R	R	R
S1510 Provision of price information	S	R	R	R
S1515 Cost verification	S	R	R	R
S1520 Invoicing	S	R	S	S
S1525 Forecasting	S	R	S	S
S1530 Earned value for assessment	S	R	S	S
S1600 Transfer of Rights				
S1605 Alliance rights over material prepared for the design of the works	S	R	R	R
S1610 Other rights to be obtained by the Alliance	S	R	R	R
S1700 Information management (Option X10)	S	R	R	R
S1705 Information management requirements	S	R	R	R
1S2000 Project Bank Account (Option Y(UK)1)				

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2	Lot 3
S2010 Project Bank Account tracker	S	R	R	R
S2100 Client's work specification	S	R	R	R
S2110 Drawings	S	R	R	R
Annex A Reference documents				
Annex B Form of Parent Company Guarantee	S	R	R	R
Annex C Insurance Tables	S	R	R	R
Annex D Alliance Inclusion Action Plan	S	R	R	R
Annex E Alliance Employment and Skills Plan	S	R	R	R
Annex F Special activities and requirements	S	S	R	S
Annex G Continuous improvement/lean minimum requirements	S	R	R	R
Annex H Quality improvement process	S	R	R	R
Annex I Subcontractor Warranty	S	R	R	R
Annex J Information management requirements				

Part Two: Project Control Framework (PCF) product ownership breakdown by Lot

Key: **All** **Amber denotes a critical product**

All
Client
PMP
DED
OSA

SINGLE OPTION PROJECTS PRODUCT MATRIX		Pre-project	Development		Construction	
		0	3	5	6	7
		Strategy, Shaping & Prioritisation	Preliminary Design	Construction Preparation	Construction, Commissioning & Handover	Closeout
Scope	<i>Client</i> Scheme Requirements	Produced	Reviewed	Reviewed	Reviewed	
	Analytical Requirements Report	Produced	Refined			
	Appraisal Specification Report	Produced	Refined			
Cost Estimating	Order of Magnitude Estimate	Produced				
	Options Estimate		Produced			
	Developing Estimate		Produced			
	Final Estimate			Produced		
Risk	Risk Management Plan	Produced	Updated	Updated	Updated	Updated
	Risk Register	Produced	Refined	Refined	Refined	Refined
Business Case and Funding	Transport Data Package	Produced	Refined	Refined		
	Transport Model Package	Produced	Refined	Refined		
	Transport Forecasting Package	Produced	Refined	Refined		
	Economic Appraisal Package	Produced	Refined	Refined		
	Appraisal Summary Table	Produced	Refined	Refined		
	Combined Modelling and Appraisal (ComMA) Report	Produced	Refined	Refined		
	Business Case	Produced	Refined	Refined	Reviewed	
	Investment Submission	Produced	Produced	Produced		
	Option Assessment Report	Produced*				
Value	Value Management Delivery Plan	Produced	Updated	Updated	Updated	Updated

SINGLE OPTION PROJECTS PRODUCT MATRIX		Pre-project	Development		Construction	
		0	3	5	6	7
		Strategy, Shaping & Prioritisation	Preliminary Design	Construction Preparation	Construction, Commissioning & Handover	Closeout
Management	Efficiency Register		Produced	Refined	Refined	Refined
	Value Management Workshop Report	Produced	Produced	Produced	Reviewed	Produced
Specs, Requirements & Design	Scheme Assessment Report (could combine with TAR and RoPC)		Produced	Updated		
	Scheme Assessment Report (could combine with TAR and RoPC)		Produced	Updated		
	Technical Appraisal Report (could combine with SAR and RoPC)		Produced			
	Report on Public Consultation (could combine with SAR and TAR)		Produced			
	Preliminary Design		Produced			
	Pre-construction Design			Produced		
	Tunnel Design Authority Report (Tunnel Only)		Produced	Reviewed	Reviewed	Reviewed
	As-Built Documentation				Produced	Refined
	Safety Plan		Produced	Updated	Reviewed	Reviewed
	Combined Safety and Hazard Log Report		Produced	Updated	Updated	Updated
	Combined Operations		Produced	Refined	Refined	
	Telecommunications Requirements		Produced	Refined	Refined	Updated
	RCC Technology and Capacity Implications Report		Produced	Updated	Updated	
	Traffic Officer Service Training Requirements			Produced	Updated	
	Site Data Change Request			Produced	Updated	Updated
	Code of Connection			Produced	Updated	
	Application for Roadside Electricity Connections (Exit Points)		Produced	Refined	Reviewed	
Managing change	Portfolio Change Request Form		Produced	Produced	Produced	Produced
Project Management	POPE Scheme Evaluation Plan			Produced		Reviewed
	End of Stage Report	Produced	Produced	Produced	Produced	
	Stage Management Plan	Produced	Produced	Produced	Produced	Reviewed
	Product Checklist	Produced	Produced	Produced	Produced	Produced
	Project Management Plan		Produced	Updated	Updated	Updated
	Project Schedule	Produced	Refined	Refined	Refined	Refined
	Regular Reporting		Produced	Produced	Produced	Produced

SINGLE OPTION PROJECTS PRODUCT MATRIX		Pre-project	Development		Construction	
		0	3	5	6	7
		Strategy, Shaping & Prioritisation	Preliminary Design	Construction Preparation	Construction, Commissioning & Handover	Closeout
	Stage Gate Assessment Review Certificate	Produced	Produced	Produced	Produced	Produced
	Certificate of Compliance with the Operations Technical Leadership Group		Produced	Produced		Produced
	Project Closeout Report					Produced
	Lessons Learnt Log		Produced	Updated	Updated	Updated
	Lessons Learnt Report					Produced
	Equality Impact Assessment Screening, Analysis and Monitoring		Produced	Refined	Refined	Refined
	Integrated Assurance and Approvals Plan	Produced	Updated	Updated	Updated	Updated
Procurement	Project Level Procurement Strategy		Produced	Reviewed	Reviewed	
	Technology Procurement Strategy Incl. Bulk Purchase		Produced	Refined	Refined	
Health & Safety	Pre-construction Information		Produced			
	F10 Notification of Construction Project		Produced	Updated		
	Construction Phase Plan			Produced	Updated	
	Health & Safety File		Produced	Updated	Updated	Updated
	Maintenance and Repair Strategy Statement		Produced	Refined	Reviewed	
SES Approvals	Statement of Intent (Geotechnical)	Produced				
	Preliminary Sources Study		Produced			
	Ground Investigation Report		Produced			
	Geotechnical Design Report			Produced		
	Geotechnical Feedback Report					Produced
	Early Structures Notification Form Checklist		Produced			
	Structures Options Report Checklist		Produced	Reviewed		
	Approvals in Principle Checklist		Produced	Updated	Updated	
	Design & Check Certificates Checklist			Produced	Updated	
	Residual Non-conformance Schedule Checklist				Produced	
	Construction Compliance Certificate Checklist				Produced	
Public Consultation	Public Consultation Strategy		Produced	Produced		
	Public Consultation Brochure		Produced	Produced		

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		0	3	5	6	7
		Strategy, Shaping & Prioritisation	Preliminary Design	Construction Preparation	Construction, Commissioning & Handover	Closeout
	Public Consultation Exhibition Checklist		Produced	Produced		
	Preferred Route Announcement Leaflet and Press Notice		Produced			
	Notification of Development		Produced	Reviewed		Reviewed
	Section 85 Notice		Produced			
	Impact Assessment (Controlled Motorways Only)		Produced	Refined		
	Consultation Document for the introduction of Variable Mandatory Speed Limits Statutory Instrument (SM Only)		Produced	Refined		
	Statutory Instrument and Explanatory Memorandum (SM Only)				Produced	
Other Notices	Part 1, Noise and Road Opening Notices				Produced	Produced
Standards & Spec	Road Safety Audit		Produced	Produced	Produced	Produced
	Departures from Standards Checklist		Produced	Produced	Produced	
	Implementation Report For New Standards		Produced	Produced	Produced	
Comms	Communication Planning for Major Projects		Produced	Updated	Updated	
Works Procurement	Contract Documents			Produced		
	Statutory Undertakers Diversions		Produced	Refined	Refined	
Handover	Civils Maintenance (MAC) Handover Documentation & Certificate				Produced	Reviewed
	Technology Maintenance (Technology Maintainers) Handover Documentation & Certificate				Produced	Reviewed
	Operational (RCC) Handover Documentation & Certificate				Produced	Reviewed
	Handover Schedule			Produced	Refined	
	Technology Commissioning Plan			Produced	Refined	Updated
	Permit to Connect				Produced	Updated
	Plan for Monitoring Operations and Monitoring Output			Produced	Refined	Produced
	Detailed Local Operating Agreement		Produced	Refined	Reviewed	
Traffic Mgmt	Traffic Management Plan		Produced	Refined	Refined	
Environmental	EIA Screening (Determination)		Produced			
	Habitat Regulations Assessment		Produced			

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	0	3	5	6	7
	Strategy, Shaping & Prioritisation	Preliminary Design	Construction Preparation	Construction, Commissioning & Handover	Closeout
Environmental Scoping Report		Produced			
Environmental Assessment Report / Environmental Statement		Produced			
Preliminary Environmental Information					
Environmental Management Plans		Produced	Refined	Refined	Refined
Evaluation of Change Register			Produced	Refined	Refined
Preliminary Environmental Risk Assessment	Produced				
Project Design Report		Produced	Refined		

Part Three: Scheme Scope Template

[To be populated for each Scheme. If there is no optimisation, the default allocation of responsibilities outlined in the Implementation Plan applies]

Section A: Scheme Client Requirements

Smart Motorway upgrade on the <insert motorway> between junction <insert junction number> and junction <insert junction number>.

The Smart Motorway shall include <insert SMP solution (All Lane Running, Through Junction Running)> between junction <insert junction number> and junction <insert junction number>. (junctions / parameters to be detailed where a Scheme requires multiple solutions)

The Scheme will be provided in accordance with Interim Advice Note 161/15 (Smart Motorways) and revised by Major Projects Instruction 66 (updated requirements to IAN161/15).

Section B: Description of the works

S100 Description of the works

[Additional Scheme information to the Scheme *Client* requirements]

S100 – S2100 General constraints

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
SECTION A: LOT SCOPE							
S100 Description of the works							
S105 Introduction to Highways England							
S110 Introduction to the Smart Motorways Programme							
S115 The structure of the Alliance							
S116 Alliance Objectives							
S120 Core responsibilities of the members of the Alliance							
S120A Production Management Partner							
S120B Digitally Enabled Design Partner							
S120C On-site Assembly Partner							

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S120D The <i>Client</i> as a member of the Alliance							
S125 Agile responsibilities of the members of Alliance							
Scoping of surveys							
Asbestos							
Communications							
Condition							
Drainage and ducting							
Environmental and ecology (e.g. protected species)							
Lighting							
Noise							
Pavement							
Structures and geotechnical							
Topographical							
Carrying out of surveys							
Asbestos							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
Communications							
Condition							
Drainage and ducting							
Environmental and ecology (e.g. protected species)							
Lighting							
Noise							
Pavement							
Structures and geotechnical							
Topographical							
Design							
Gantries, structures and bridges							
Noises and environmental barriers							
Piling and foundations							
Power and lighting							
Retaining walls							

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
Technology and communications							
Traffic management							
Development of as-built records							
Purchase and provision of							
Technology							
Traffic management							
Any other products and services called off from CCS and other <i>Client</i> framework contracts							
Consent and administrative activities							
Statutory and consent management (e.g. Statutory instruments, Statutory Undertakers, Distribution Network Operators (DNOs))							
Environmental assessment							
Customer service and external stakeholder							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
management							
Setting up and administering of PBAs							
Supporting SMP delivery (e.g. Red-X campaign)							
Production activities							
Logistics							
Promoting use of off-site manufacture and standardisation							
Continuous improvement and innovation							
SECTION B: GENERAL REQUIREMENTS							
S200 General constraints							
S201 Alliance behaviours							
S202 Parent Company Guarantee							
S203 Conflict of interest							
S204 Anti Bribery and Anti- Fraud							
S205 Data Protection							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S208 Official Secrets Acts							
S210 Confidentiality							
S211 Insurance							
S215 Security and protection of the Site							
S220 Security and identification of people							
S225 Protection of existing structures							
S230 Cleanliness of roads							
S240 Network occupancy							
S241 Recovery services							
S245 Condition survey							
S250 Considerate Constructor Scheme							
S251 Customer service							
S256 Project Control Framework							
S266 Energy Efficiency Directive							
S267 Environmental							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
requirements							
S268 Aftercare / Management of landscape works							
S269 Site Waste Management plan							
S270 Sustainable development requirements							
S272 Air Quality Strategy							
S274 Discrimination, bullying and harassment							
S275 Equality, diversity and inclusion							
S276 Employment and skills							
S300 Design							
S305 Design responsibilities							
S310 Design criteria							
S320 Design submission procedures and acceptance criteria							
S325 Design approval from Others							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S400 Scheme handover							
S405 Scheme Open for Traffic							
S410 Scheme handover							
S415 Scheme Completion							
S445 Documents							
S450 Access to information following Completion							
S500 Programme							
S501 Alliance programme requirements							
S502 Scheme programme requirements							
S515 Scheme programme quality							
S520 Methodology statement							
S525 Revised Alliance programme							
S535 Earned value management and reporting							
S600 Quality Management							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S605 Alliance aligned/integrated management system							
S610 Lean							
S615 Quality planning							
S620 Authorised persons with adequate skills, knowledge, experience and training							
S625 Quality reviews							
S626 Audits							
S630 Registers							
S640 Non-conformity corrective action reports							
S645 Quality indicators							
S650 Deliverables							
S655 Alliance management review							
S660 Quality Management Points							
S665 Risk management							
S700 Tests and inspections							

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2			Lot 3	
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S800 Management of the works							
S810 Communications							
S820 Disclosure requests							
S825 Information security							
S835 Business Continuity							
S900 Working with Others							
S905 Requirements of Others							
S920 Utilities providers							
S1000 Services and other things provided							
S1010 Services and other things to be provided by the <i>Client</i> as a member of the Alliance							
S1100 Health and Safety							
S1105 Supply chain health and safety maturity matrix							
S1107 Alliance's health and safety management system							
S1108 Subcontractor's							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
health and safety management systems							
S1111 Action to rectify breaches							
S1112 Health and safety culture							
S1113 Health and safety – exchange of information							
S1114 Asbestos							
S1115 Health and safety advice							
S1116 Health and safety inspections							
S1117 Health and safety in construction							
S1118 Incident investigation, reporting and follow-up							
S1119 Incident statistics							
S1121 Health and safety management audit							
S1122 CDM compliance							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S1123 Health and safety – charity-based incentive schemes							
S1125 Management of road risk							
S1127 Substance abuse							
S1128 Security							
S1129 Employee safety							
S1130 Fleet Operator Recognition Standard (FORS) Accreditation							
S1131 Driving for better business							
S1200 Subcontracting							
S1205 Restrictions or requirements for subcontracting							
S1210 Acceptance procedures							
S1300 Title							
S1305 Marking							
S1400 Accounts and records							

REFERENCE	The Client (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S1415 Form of documents to be retained							
S1420 Records and audit access							
S1425 Retention of records							
S1500 Commercial Management							
S1505 Provision of cost information							
S1510 Provision of price information							
S1515 Cost verification							
S1520 Invoicing							
S1525 Forecasting							
S1530 Earned value for assessment							
S1600 Transfer of Rights							
S1605 Alliance rights over material prepared for the design of the works							
S1610 Other rights to be obtained by the Alliance							

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
S1700 Information management (Option X10)							
S1705 Information management requirements							
1S2000 Project Bank Account (Option Y(UK)1)							
S2010 Project Bank Account tracker							
S2100 <i>Client's</i> work specification							
S2110 Drawings							
Annex A Reference documents							
Annex B Form of Parent Company Guarantee							
Annex C Insurance Tables							
Annex D Alliance Inclusion Action Plan							
Annex E Alliance Employment and Skills Plan							
Annex F Special activities and requirements							

REFERENCE	The <i>Client</i> (as a member of the Alliance)	Lot 1	Lot 2		Lot 3		
		Partner A	Partner B	Partner C	Partner D	Partner E	Partner F
Annex G Continuous improvement/lean minimum requirements							
Annex H Quality improvement process							
Annex I Subcontractor Warranty							
Annex J Information management requirements							