

LOT 2 (FIRE) - MARCH 2017

Schedule 12a - Appendix 2 – Quarterly Contract Scorecard Template

Critical Success Factor (CSF)			Key Performance Indicator (KPI)			Performance Indicator (PI)		Collated Score				
Name	Description	Weighting	Ref	Name	Weighting	Ref	Name	Quarterly PI	Quarterly KPI Pre weighting	Quarterly KPI after weighting	Quarterly CSF	Quarterly Contract Score
Customers	Putting customers and users at the centre of everything we do.	10%	C1	Customer Satisfaction	10%	C1A	Feedback survey - commercial response					
						C1B	Feedback survey - client response					
						C1C	Feedback survey - end user response					
People	Valuing Our People.	10%	P1	Training and Personnel	10%	P1A	Achievement of Agreed SLNT Plan					
						P2A	Key Personnel turnover					
Delivery	Delivering safe, reliable, clean, sustainable and accessible transport.	50%	D1	Planned Maintenance (PM)	10%	D1A	Planned/Periodic maintenance completed against Programme					
						D2A	Emergency faults rectified on time					
			D2	Fault Management	10%	D2B	Standard faults rectified on time					
						D2C	All faults rectified on time					
			D4	Management Information	5%	D4A	Asset Reporting					
						D5A	Number of Suppliers audits completed versus planned					
			D5	Health, Safety, Environmental	10%	D5B	Number of lost time injuries					
D5C	Number of statutory notices / pollution events											
D5D	Number of non compliances attributed to failure to meet a requirement of Schedule 7											
D6	Technical	10%	D6A	Works/fauls/planned maintenace completed in accordance with the Specification								
			D7A	Accuracy of applications for payment								
Value	Providing value for money for fare and tax payers.	30%	V1	Contract Innovation Efficiency (CIE)	25%	V1A	Number of continuous improvement suggestions (Proposed CIE Initiatives)					
						V1B	Value of continuous improvement throughout the duration of the Contract					
			V2	Additional Works	5%	V2A	Applicable products sourced from ECA					
										RAG status is calculated against total achievable percentage		
KEY:								Meets requirements	100%	Greater or equal to 80%		
								Below requirements	50%	Between 60 and 79.99%		
								Unsatisfactory	0%	Below 60%		

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**Schedule 12a - Appendix 3 – Annual Contract Scorecard Template**

Critical Success Factor (CSF)			Quarter 1	Quarter 2	Quarter 3	Quarter 4	Annual	Annual Contact Score
<b>Customers</b>	Putting customers and users at the centre of everything we do.	10%						
<b>People</b>	Valuing Our People.	10%						
<b>Delivery</b>	Delivering safe, reliable, clean, sustainable and accessible transport.	50%						
<b>Value</b>	Providing value for money for fare and tax payers.	30%						
<b>Contract Score</b>		100%						

<b>KEY:</b> Meets requirements	Greater or equal to 80%	<i>RAG status is calculated against total achievable percentage</i>
Below requirements	Between 60 and 79.99%	
Unsatisfactory	Below 60%	



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**Schedule 12a - Appendix 4 - Level 1 Non-Conformance Notice**

<b>Level 1 Non-Conformance Notice</b>	
Notice Number	[Insert Level 1 number number]
Performance Indicator	[Insert PI reference number]
Severity of performance shortfall	[Below requirements/Unsatisfactory]
Date of commencement of performance shortfall	[Insert date]
Number of Periods of performance shortfall at the date of issue of this notice	[Insert number of Periods]
Description of the Company's Representative's understanding of the cause of the performance shortfall	
Date for submission by the Supplier of the Level 1 Non-Conformance Report	[Insert date 10 working date from the date of issue of notice]
The Supplier is required to submit a Recovery Plan	[Yes/No]
The Supplier is required to provide a Root Cause Analysis	[Yes/No]
Issued by	Signed: _____ The Company's Representative  Date: _____



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**Schedule 12a - Appendix 5 - Level 2 Non-Conformance Notice**

<b>Level 2 Non-Conformance Notice</b>	
Level 2 Notice Number	[Insert Level 2 number number]
Level 1 Notice Number	[Insert Level 1 Notice number if applicable]
Performance Indicator	[Insert PI reference number]
Reason for issue of Level 2 Non-Conformance Notice	<p>[The Company determines that the severity of the Non-Conformance is Level 2 and a Level 1 Notice shall not be issued]*</p> <p>[The Supplier has failed to notify the Company of the occurrence of a Level 1 Non-Conformance in accordance with paragraph 4.7.1 of Schedule 12a]*</p> <p>[the Supplier has failed to make available to the Company a Level 1 Non-Conformance Report within 10 Working Days]*</p> <p>[The Supplier has failed to undertake the Level 1 Required Action within the Level 1 Rectification Period]*</p> <p>[Having undertaken the Level 1 Required Action, the Supplier has failed to rectify the Level 1 Non-Conformance within the Level 1 Rectification Period]*</p> <p>[A further Non-Conformance has occurred after the Level 1 Rectification Period but within 2 months of the end of the Level 1 Rectification Period and is a Non-Conformance in relation to the same KPI or PI as the Level 1 Non-Conformance]*</p> <p>[A further Non-Conformance occurs during the Level 1 Rectification Period that is of the Same Type as the Level 1 Non-Conformance and the Supplier has wilfully permitted the occurrence of such further Non-Conformance]*</p> <p>[The Supplier has failed to meet the requirements of Contract Schedule 7 (QUENSH)]*</p> <p>*Select the reason for issue from the above grounds and delete the remainder.</p>
Date of commencement of performance shortfall	[Insert date]
Number of Periods of performance shortfall at the date of issue of this notice	[Insert number of Periods]
Description of the Company's Representative's understanding of the cause of	



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<b>Level 2 Non-Conformance Notice</b>	
the performance shortfall	
The Supplier is required to submit a Recovery Plan	[Yes/No]
The Supplier is required to provide a Root Cause Analysis	[Yes/No]
Issued by	Signed: _____ The Company's Representative  Date: _____



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**Schedule 12a - Appendix 6 – Recovery Plan**

<b>Recovery Plan</b>		
Applicable Non-Conformance Notifications	[List all Level 1, 2 and 3 Non-Conformance Notifications]	
Performance Indicator to which the recovery Plan Relates	[Insert PI reference number]	
Root Cause Analysis has been completed?	[Yes/No]* delete as applicable [Where Root Cause Analysis has been completed insert cross reference to relevant document]	
Planned Action	Description	Date for implementation
Action		
1.		
2.		
3.		
4.		
5.		
	[Insert additional rows as required]	
Issued by	Signed: _____ The Supplier's Representative  Date: _____	



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**Schedule 12a - Appendix 7 – Root Cause Analysis**

<b>Root Cause Analysis (“RCA”) Template</b>	
<p>Guidance Note:                      The template provides the generic key stages of a Root Cause Analysis and the minimum information to be provided by the Supplier. The Supplier shall therefore expand the template as necessary in order to provide a full explanation to the Company of the roots causes of all performance shortfalls.</p>	
Applicable Non-Conformance Notifications	[List all Level 1, 2 and 3 Non-Conformance Notifications]
Performance Indicator to which the RCA relates	[Insert PI reference number]
Recovery Plan to which the RCA relates	[Insert Recovery Plan reference number]
Description of Performance Shortfall	
Time Line	
Date	Sequence of Events
Investigative Team	Methods Used



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Findings	
Identification of Root Cause	
Corrective Action	

