

Network Delivery and Development Directorate

Asset Management Office

ASC Performance Management Manual

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1. Introduction

This document covers the requirements, roles, responsibilities and timelines specific to the ASC Performance Management Framework. For background on the PMF, how it operates, generic roles and responsibilities and an outline of the six-step scoring process, please refer to the Performance Management Framework Methodology document.

In 2010/11 the previous methods for monitoring our Service Provider performance were developed into a more useful performance management tool in the form of the MAC Performance Management Framework (PMF).

The Asset Management Office (AMO) has applied the same PMF methodology to the ASC.

The ASC PMF covers a number of Aspects previously included in the MAC PMF. However, it also includes new Aspects in relation to performance measures in the ASC Asset Maintenance and Operational Requirements (AMOR). Furthermore, 16 of the Aspects relate to the ASC Contract Extension Metrics, as used in the ASC Operational Performance Index (OPI) to determine whether a contract gains or loses an extension (or stays the same).

2. ASC PMF Requirements

Below are the requirements specific to the ASC PMF.

2.1 Documentation

The following documents are required in order to use the ASC PMF (Table 1).

Table 1. PMF documents

Document	Purpose	Appendix Ref
Performance Hierarchy Poster with Weightings	Sets out the structure of the PMF	A1
PMF Scoring Guidance	Details the criteria for obtaining Green, Amber or Red Aspect scores	A2
Weightings 2013-14 Apr Release	Describes the relative weightings of the Levers and Aspects	A3
Performance Hierarchy Poster with Weightings - Mobilisation	Sets out the structure of the PMF for mobilisation	A4
PMF Scoring Guidance - Mobilisation	Details the criteria for obtaining Green, Amber or Red Aspect scores for mobilisation	A5
Operational Metrics Handbook	Details how operational data metrics for Incidents, Schemes and Asset Defects are calculated	B1
Constructed Provider (CP) Metrics Handbook	Details: <ul style="list-style-type: none"> - Definitions of terms where required - What data will need to be entered into the spreadsheet - How metrics are calculated 	B2
Constructed Highways (CH) Metrics Handbook	<ul style="list-style-type: none"> - What the data sources are - Definitions of terms where required - What data will need to be entered into the spreadsheet - How metrics are calculated 	B3
Scheme Data Standard	Sets out the format by which ASCs must send the AMO their operational data in relation to Schemes	C1
Incident Data Standard for ASC (IDSA)	Sets out the format by which ASCs must send the AMO their	C2

Document	Purpose	Appendix Ref
	operational data in relation to Incidents for Part 3 of AMOR	
Asset Defect Data Standard for ASC (ADDS)	Sets out the format by which ASCs must send the AMO their operational data in relation to asset defects for Parts 5-16 of AMOR	C3
Data Quality Guide	Explains the data quality flags used when loading operational data into the PMF-Plus validation database	C4
ASC PMF Data Entry Sheet	Template used to input monthly evidence-based PMF scores	D1
ASC Constructed Provider (CP) Spreadsheet	Template used to input monthly constructor provided PMF scores	D2
ASC Constructed Highways (CH) Spreadsheet	Template used to input monthly Highways provided PMF scores	D3
ASC PMF Data Entry Sheet – Mobilisation	Template used to input monthly evidence-based PMF scores for mobilisation period	D4
ASC Contract Extension Metrics and OPI	Sets out the calculation for determining whether extensions are gained, lost or neither and the underlying metrics	E1
ASC CEM Service Manager Guidance	Provides guidance on the CEM calculations	E2

2.2 ASC Mobilisation PMF

A separate ASC Mobilisation PMF has been created to address the requirements specific to the mobilisation period. This should be scored monthly and scores submitted to the AMO Performance Team by COP WD5 of the relevant months. Submissions should be sent to NPU@highways.gsi.gov.uk.

2.3 Categorisation of Aspects

The Aspects in the PMF have been re-categorised using the following abbreviations which can be found on the Performance Hierarchy Poster and Scoring Guidance:

O – Operational Data collected through use of data standards

CP – Constructed Provider data e.g. Customer Complaints

CH – Constructed Highways data e.g. SRW

EC&ES – Scores determined by agreement between provider and Service Manager based on evidence provided

2.4 Operational Data (O)

Operational data to support a number of the Aspects is to be 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 these Aspects are included in the Operational Data Definitions document (Appendix B1).

To reduce the burden for manual data quality checks by the Service Provider, the Agency provides to the Service Provider a Data Validation Tool, by which he is then able to check the data to be submitted to the Agency meets. The Service Provider can use this tool to assure the quality of data being submitted and to compliance to latest data standards.

Note if operational data is not received such that it can be loaded into PMF-Plus without error at the first attempt then the related Aspect shall be scored No Data.

Note for operational data PMF-Plus will calculate the related Aspect WRAGMP score so therefore these do not need to be entered on the Data Entry Sheet.

2.5 Constructed Provider data (CP)

All Aspects that are marked CP will be scored by ASCs entering constructed data into one spreadsheet. This is to extend the number of Aspects that are scored through hard data. The spreadsheet will be used to gather summary data which will be entered onto the spreadsheet and then PMF-Plus will calculate the related metric and Aspect scores.

2.6 Constructed Highways data (CH)

All Aspects that are marked CH will be scored by the AMO Performance Team entering constructed data into one spreadsheet and then PMF-Plus will calculate the related metric and Aspect scores.

2.7 Evidence-based scores

All Aspects that are marked EC or ES will be scored by agreement between the provider and Service Manager based on evidence provided

These Aspects will be scored through the Data Entry Sheet (Appendix D1). The Data Entry Sheet will only include those Aspects that are scored through this evidence-based process.

2.8 Roles and Responsibilities

Please refer to the Performance Management Framework Methodology document.

2.9 Reports to aid further analysis

After all Areas' monthly scores have been imported into the PMF-Plus database, the AMO will export data back into four sets of reports and distribute to Regional Contract & Performance Teams:

- ASC PMF Analysis Master FY 2013-14 – Shows all Aspects' scores and commentary for all Areas to enable other Regional Contract & Performance Teams to understand how performance differs across the Areas. Note: Due to the commercial sensitivity of some comments included in the Data Entry Sheet this spreadsheet should not be sent to Service Providers.
- ASC MST Scores 2013-14 – Shows all Aspects' scores (no commentary) for all Areas to enable other Regional Contract & Performance Teams and Service Providers to understand how performance differs across the Areas. Also sets out the monthly MST scores by Area of Measure for each Area

- Area Operational Performance Report – Shows detailed breakdown of scores, operational and constructed data analysis, trend analysis and other information.
- National Operational Performance Report – Shows performance at a national level, including comparison of performance.

2.10 Timetable

The timetable for monthly submissions and reporting is shown below (Table 2). Submissions should be sent to NPU@highways.gsi.gov.uk.

Table 2. PMF Timetable

WD	ASC Contracts
1	Operational Data available
2	Operational Data submitted to AMO.
3	
4	CP and Evidence-based scores compiled and agreed
5	Data Entry Sheets and CP Spreadsheet submitted to AMO.
6	
7	
8	
9	
10	MST scores, Area and National PMF reports sent to Regional Contract & Performance Teams
11	
12	
13	Reports Reviewed
14	
15	Deadline for Areas and Regions to add commentary and context to results (if required)
16	
17	
18	
19	Performance discussed at NDDPG
20	
21	
22	

2.11 Non-Conformity Reports (NCRs)

2.11.1 General

- Any element of performance that does not fulfil the Highways Agency's requirements is a Non-conformity.
- Non-conformities may be highlighted as a result of any or all of the following:
 - (1) Monthly recording of performance using the PMF
 - (2) Failure to meet any target set
 - (3) Routine audits carried out by either the *Employer* or the *Provider*
 - (4) Additional audits carried out by the *Employer*
 - (5) Supplementary audits carried out by either the *Service Manager* or the *Provider*.

- The *Provider* maintains an up to date register recording all Non-conformities as described in [Annex 19](#).
- For each Non-conformity, the *Provider* prepares a statement and corrective action report as described in [Annex 19](#). Should any corrective action be deemed by the *Service Manager* to be urgent then this should be carried out immediately. The *Provider* takes the actions described in the corrective action report and eliminates the cause(s) of the Non-conformity within the stated timescale, returning performance to the required level, and agrees this with the *Service Manager*.
- The *Service Manager* reviews the *Provider's* management of performance and continual improvement, and produces an annual report on the *Provider's* performance based upon the monthly performance reports.

2.11.2 In relation to PMF

An NCR should be raised for each Aspect scored Red or White (assuming an NCR has not already been raised for the same issue). Furthermore, an NCR should be raised for any Aspect scored Amber for three months in a row. (An NCR could be raised for an Amber 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 feel a non-Green PMF 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 HA 'requirement' is not being fulfilled (which is the definition of a non-conformity) and the Service Provider should immediately place that issue on its NCR register.

The list of Aspects should not be considered exhaustive, i.e. if there is a non-conformity under the general heading of the Lever, that is not covered by an Aspect listed under that Lever, that should not prevent it from being raised as a non-conformity – the list of Aspects could never cover every eventuality in terms of the HA's requirements.

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 ASC's control.

2.12 Clarifications to the PMF Scoring Guidance

The latest version of the Scoring Guidance will be held on the Supply Chain Portal. The PMF Q&A will be used to inform ASCs of any changes to the scoring guidance.

2.13 Calculating MST scores

Note we have Aspects related to different MST Areas of Measure within the same Lever, and as such we can not calculate MST scores at the Lever level. Therefore we produce MST scores for each of the Areas of Measure – this is done by averaging the related Aspect MST scores and then rounding them to the nearest official MST score (0,2,4,5,6,8,10).

2.14 Aspects where related processes do not exist or are under dispute

In the event that processes related to an Aspect are not in place (but should be) or under dispute then the relevant Aspect shall be scored WHITE (No Data).

Appendix A – Primary PMF Documentation

This section relates to the current ASC Service Provider PMF in use from 1 April 2013. The PMF is scheduled to be updated twice a year and the next update would therefore take effect from 1 October 2013.

Appendix A covers the following documents:

Appendix Ref	Document	Version / Date
A1	ASC Performance Hierarchy Poster with Weightings	v2, April 2013
A2	ASC PMF Scoring Guidance	V2, April 2013
A3	ASC PMF Weightings 2013-14 Apr Release	V1.1, April 2013
A4	ASC Performance Hierarchy Poster with Weightings – Mobilisation	V1.0, April 2012
A5	ASC PMF Scoring Guidance - Mobilisation	V1.0, April 2012

Appendix B – Performance Metrics Information

This section relates to documents about the various performance metrics.

Appendix Ref	Document	Version / Date
B1	Operational Metrics Handbook	V1.1 April 2013
B2	Constructed Provider (CP) Metrics Handbook	V1,2 April 2013
B3	Constructed Highways (CH) Metrics Handbook	V1.2 April 2013

Appendix C – Data Standards

The following Data Standards have been published.

Appendix Ref	Data Standard	Version / Date
C1	Scheme Data Standard for ASC	V1.5 April 2012
C2	Incident Data Standard for ASC (IDSA)	V1.4 April 2013
C3	Asset Defect Data Standard for ASC (ADDS)	V1.0 April 2012
C4	Data Quality Guide	V1.2 January 2012

Appendix D – PMF Scores Data Entry Sheet Template

The Data Entry Sheet records the monthly evidence-based WRAGMP scores of the Service Provider. The current Data Entry Sheet is version 1.0. This is supplemented by the ASC Constructed Provider Spreadsheet and the ASC Constructed Highways Spreadsheet.

Appendix Ref	Document	Version / Date
D1	ASC PMF Data Entry Sheet	V2.0 April 2013
D2	ASC Constructed Provider (CP) Spreadsheet	Area-specific spreadsheets provided as required
D3	ASC Constructed Highways (CH) Spreadsheet	Area-specific spreadsheets produced as required
D4	ASC PMF Data Entry Sheet – Mobilisation	V1.0 April 2012

Appendix E – ASC Contract Extension Metrics and OPI

The current ASC Contract Extension Metrics and OPI is Issue 2.0 dated April 2013.

The following documents will be published.

Appendix Ref	Data Standard	Version / Date
E1	ASC Contract Extension Metrics and OPI	V2.0 April 2013
E2	ASC CEM Service Manager Guidance	V1.1 April 2013

Appendix F – Related Documents

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

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

Table E1. References to Performance Management

Topic	Document	Description
PMF Documents	Performance Management Framework Methodology	Background on the PMF, 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 the Highways Agency's key business deliverables and the activities controlled by the Provider, together with the HA Regional Contract & Performance Team.
Contract Documents	Service Information Annex 19 Reports	Identifies reports which are to be submitted by the Provider to the Agency.
Contract Documents	Service Information Annex 24, Quality Plan Structure	This Annex represents a Framework which the Highways Agency requires the Provider to adopt in preparing, implementing and updating its Quality Plan.
Contract Documents	ASC Asset Maintenance and Operational Requirements (AMOR)	Sets out the Agency's requirements in relation to the carrying out of maintenance and operational services on the Area Network under the ASC.

Appendix G – Glossary

Term	Meaning
AMO	Asset Management Office
AMOR	Asset Maintenance and Operational Requirements
API	Area Performance Indicator (now discontinued)
ASC	Asset Support Contract
CEM	Contract Extension Metric
HA	The Highways Agency, sometimes shortened to the Agency
KPI	Key Performance Indicator
MAC	Managing Agent Contract
MCD	Model Contract Documents
NCR	Non-Conformity Report
NDD	Network Delivery and Development Directorate
NDDPG	NDD Performance Group (chaired by the NDD Director)
OPI	Operational Performance Index (covering ASC Contract Extension Metrics)
PAF	Performance Audit Function
PMAG	Performance Management Advisory Group
PMF	Performance Management Framework
RCPT	Regional Contract & Performance Team
SHARE	The Agency's electronic document filing system
WD	Working Day
WRAGMP	White/Red/Amber/Green/Mauve/ Plum scoring system