



Ops Supply Chain Performance

Collaborative Performance Framework (CPF) Methodology



Document Control

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Name	Title	Date of Issue	Version
Chris Bethel, Angelica Rice	Team Leader - Ops Supply Chain Performance	01/04/2018	201804

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Foreword

CPF is the primary tool for monitoring the effectiveness of service levels across operational contracts; reporting monthly to senior management to provide an in-depth assessment of how well the supplier is meeting requirements, where interventions are necessary and sharing best practice.

Highways England aims to achieve consistent performance measurement on all contracts using the Collaborative Performance Framework (CPF) system. All new Highways England contracts will implement performance measurement in accordance with the principles established through CPF and existing ones will move on to, to:

- Determine level of achievement of pre-defined outcomes, within known timeframes and cost
- Ensure appropriate supplier conduct and drive improved performance

CPF gives us a standard approach to capturing performance data to achieve:

- Visibility of supplier performance
- Consistency in the data we capture on supplier performance
- Benchmarking of supplier performance results

Much of the metric scoring in CPF is based on objective quantitative data to remove subjectivity from the assessment of performance.

The metrics are focused on the key performance elements of the contracts and have been developed with consideration for the reporting requirements that are placed on suppliers.

The Department for Transport Roads Investment Strategy (RIS) includes Performance Specification for: -

- Safety
- User Satisfaction
- Traffic Flow
- Economic Growth
- Environment Outcomes
- Cyclists, Walkers and Vulnerable Users
- Efficiency
- Network Condition

CPF will support Ops Supply Chain Performance in the reporting of its performance against the Roads Investment Strategy and the greater visibility of the performance of the business will lead to better, more informed decision making.

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1. Purpose

What it does

This document describes the process for measurement and management of supplier performance

Who it is for

This document is to be used by the following groups of people involved in performance management:

- Ops Supply Chain Performance Team
- Regional Contract & Performance Teams
- Project Managers
- Framework Managers
- Service Providers/Suppliers
- Asset Delivery Managers

It provides a wider context for Highways England performance contract managers and suppliers involved in performance management and submission of the performance scores to Ops Supply Chain Performance.

Key elements of the CPF process

The process builds on current best practice in performance management and delivers visibility of supplier performance in delivering their contractual requirements.

The CPF framework provides a link between RIS, the Supplier, and the performance metrics that monitor these outcomes.

The CPF supports the consistent production of performance scores by providing clear scoring guidance and measurement tools.

Regular reviews of the CPF are undertaken to capture lessons learned and support continuous improvement of the process. It is intended that periodic updates to the CPF will take place. These are likely to occur April and October. Reviews may refocus CPF to align with wider Highways England changes or adapt scoring to reflect changes in Highways England objectives.

Why it is important

The benefits of the CPF process include:

- Increased visibility of supplier performance
- Reduced subjectivity of scoring supplier performance
- Ability for us to benchmark supplier performance
- Evidence-based decision making to target improvement actions

All of the above are helping to drive improved effectiveness, efficiency and accountability in the delivery of our supplier contracts.

2. Contacts

For further information on the CPF please contact:

Name	Role	Location	Tel	Email
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3. Background

The Department for Transport Roads Investment Strategy (RIS) sets out its approach to the strategic road network up to 2020.

To achieve this strategy, it is essential to drive business improvement and strengthen our contribution to a sustainable transport system. Operating our network more effectively lies at the heart of greater sustainability. Our road network must function smoothly to support national economic recovery; we must meet the diverse needs of all our customers to promote national wellbeing; and we must continue to develop our sustainable approach.

To monitor our progress and achievements toward this strategy we have determined the measures that support our goals and selected performance metrics that provide suitable monitoring of the performance of our organisation and the suppliers that support delivery of our strategy.

Maximising performance against performance metrics that are closely aligned to our objectives will help to ensure that the RIS is delivered. Performance management will be used to underpin best value, efficiency and accountability within our organisation and our supply chain.

As part of monitoring these objectives we need to measure the performance of all our contracts and that of our supply chain. This CPF Methodology document describes the measurement of performance for maintenance and renewals contracts.

The Collaborative Performance Framework (CPF) described herein allows performance to be measured consistently, the results can then be analysed in a variety of ways and action taken to drive continual improvement. The primary goal of CPF is to allow us to monitor the performance of these contracts and to improve it to meet best value and efficiency targets.

CPF will be subject to regular reviews to ensure that it reflects the current requirements of Highways England. As we focus on different aspects of our overall delivery, the indicators used, and measurements taken will change and evolve.

4. Collaborative Performance Framework

4.1 Areas of measurement

CPF is set out with standard themes of measure which are essential to the Supplier enabling Highways England to achieve its required business objectives. Each theme has several measures within it and these measures are supported by several metrics.

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

Further details of the measures and metrics that comprise CPF are included in an appendix to the Performance Management Manual (PMM).

4.2 Data Standards

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

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

4.3 Performance Scoring

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

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

Additionally, a Black (0) score may be given if the data provided does not meet the required standard, by the submission deadline, for the metric.

Black (0) Red (2), Amber (4), Green (6), Blue (8) and Blue+ (10) are defined within the Scoring Guidance’s (Appendix A in the PMM) but typically:

- Black – No data provided by the supplier or Totally dissatisfied
- Red – Highly unacceptable or Highly dissatisfied
- Amber – Unacceptable or dissatisfied
- Green – Acceptable or Satisfied
- Blue – High or sustained performance

- Blue+ - Driving best practice

White represents “Not Applicable” (N/A), Light Grey represents “Not on the Network” (Construction Works Framework in Asset Delivery only) and Dark Grey represents “Doesn’t apply to the contract”. A score of N/A is awarded when a metric is not scored for legitimate reasons, for example, Precautionary Treatments which are not measured outside of the winter period.

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

Construction Works Framework (CWF) – Not on the network this period

Where CWF suppliers are not on the network in month a scorecard is still required to be submitted. The MetricResult column should be scored as 999 to identify that the supplier was not on the network in month. There are some metrics, however, that are still required to be scored even when the supplier is not on the network. These are as follows:

Metric	When to score the metric if not on the network that month	Reasoning
1.1d) Effective and timely completion of H&S files to support delivery projects.	Where health and safety files are due or submitted in a month where the supplier is not on the network.	
1.2a) RIDDOR Accident Frequency Rate (AFR)	Every submission, regardless of if on the network.	Ensures continuous visibility of health and safety data. An incident may occur at the end of the month and is not recorded in time for the scoring round where the supplier was on the metric.
1.2b) Severity-weighted Accident Frequency Rate (SWAFR) of the supply chain.	Every submission, regardless of if on the network.	
3.3i) Workforce Understanding of Customer Service	Where the supplier was on the network in the quarter being scored against. E.g. was on the network in January to March and the current scoring round is April.	

Metric	When to score the metric if not on the network that month	Reasoning
3.3l) Customer Feedback	Where the supplier was on the network in the quarter being scored against. E.g. was on the network in January to March and the current scoring round is April.	
4.1a) Measure carbon emissions	Where the supplier was on the network in the quarter being scored against. E.g. was on the network in January to March and the current scoring round is April.	
5.2a) The number of Quality Management Points or valid Quality Warning Notice.	Every submission, regardless of if on the network.	Quality management points or a quality warning notice may be applied when the supplier is not on the network.
5.2c) Establishing Collaboration Principles, Processes and Plans	Where the supplier was on the network in the quarter being scored against. E.g. was on the network in January to March and the current scoring round is April.	
5.4f) Planned work is defect-free or service is fit for purpose	Every submission, regardless of if on the network.	Defects may be identified in a month where the supplier is not on the network.
7.1e) Delivery of schemes within the target cost	Every submission, regardless of if on the network.	Final accounts may complete in months where the supplier is not on the network.

4.4 Performance Overview

In Month Area Pack – ASC

Each ASC is to be provided with an In-Month Area Pack on a monthly basis, which provides the scoring outputs and backup data for that specific Area.

The pack is provided in Excel format to enable feedback and commentary on a series of tabs.

- The 'Headline' tab provides a high-level overview of the scores achieved for each of the CPF themes (Health and Safety, Customer Service, Sustainability, Quality, Time, Cost, and Client Feedback) for the current reporting period.

- Scores are presented at the bottom of the sheet in a 'score to time' matrix, outlining the number of scores for each reporting period in the current financial year.
- In the 'Full Metric View' tab the scores are again presented by CPF theme, however here we can compare the scores achieved from the current reporting period to the previous reporting period.
- At the bottom of the sheet the scores achieved for the current month vs the previous month are broken down to the lowest metric level, to provide visibility of the individual elements that have been scored.
- The 'Reduced Metric View' tab is an exact replica of the 'Full Metric View', however here the metric breakdown is focused on only those scores where the current period has either a Black, red or amber score, i.e. those that require action for improvement. Additionally, scores which have shown change are included – comments on change in scores, both positive and negative, should be included in the commentary.
- The 'Operational Metrics' tab focuses on the scoring detail for only those metrics that have been calculated by 'Operational Data' sources, i.e. SfM, Incidents, QMPs and DCPs.
- For each metric the low-level detail score is provided for each reporting period in the financial year up to and including the current reporting period, in order to analyse scoring trend at a low level of granularity.
- The 'Operational Data' or back up data is entered into the In-Month Area pack for ease of use and clear visibility between the scores provided and the data that has attributed to them.
- Each of the 'Operational Data' sources used within the CPF will be given a separate tab and will display the detail rows provided that have been used to contribute toward the overall metric score, for the Area and reporting period.
- Provided data – Defect tab shows the defect rectification percentage completed within the required times of each asset type included in metric 6.4a) All asset rectification activities completed within the required timescales.

In Month Area Pack (Dashboard) - AD

Each AD area to provide Scorecard on a monthly basis which provides the scoring outputs and backup data for that specific Area.

- A graph to show the overall score in the period for all individual suppliers within each specific area (and any movement from the prior month) plotted against an Area Average line and a National Benchmark line.
- A table that shows the overall score for each supplier across each area on the network.
- A graph and table that show the trend of overall scores for each specific area for the last three periods.
- Area score by Theme (wheel) and the overall Imperative scores for each specific area.
- Lowest (or under) performing and highest performing theme for the area for the current period compared to the same theme's score from the prior period (also showing the National Benchmark score of the particular theme for the current period). This is also

broken down into the score per supplier that contribute to the overall area theme score for the current and prior months.

- All individual metric scores for each Areas suppliers for the current month and compared to the previous month.

Quarterly Reporting Packs – RTMC and PAVEMENTS

The packs for the RTMC's and Pavements are yet to be formalised

5. Roles and Responsibilities

Responsibility for Performance Intelligence lies primarily with the Ops Supply Chain Performance team and its suppliers. The Service Manager/Project Sponsor/Asset Delivery Manager and related performance teams (e.g. Regional Contract & Performance Teams, Project Managers, etc.) are responsible for monitoring and managing the performance of suppliers. The Ops Supply Chain Performance team is responsible for managing the CPF process, including continual improvement of the process itself.

Everyone involved must work together to score, agree and report performance, plan and implement improvement actions, and provide visible evidence at each stage of the process.

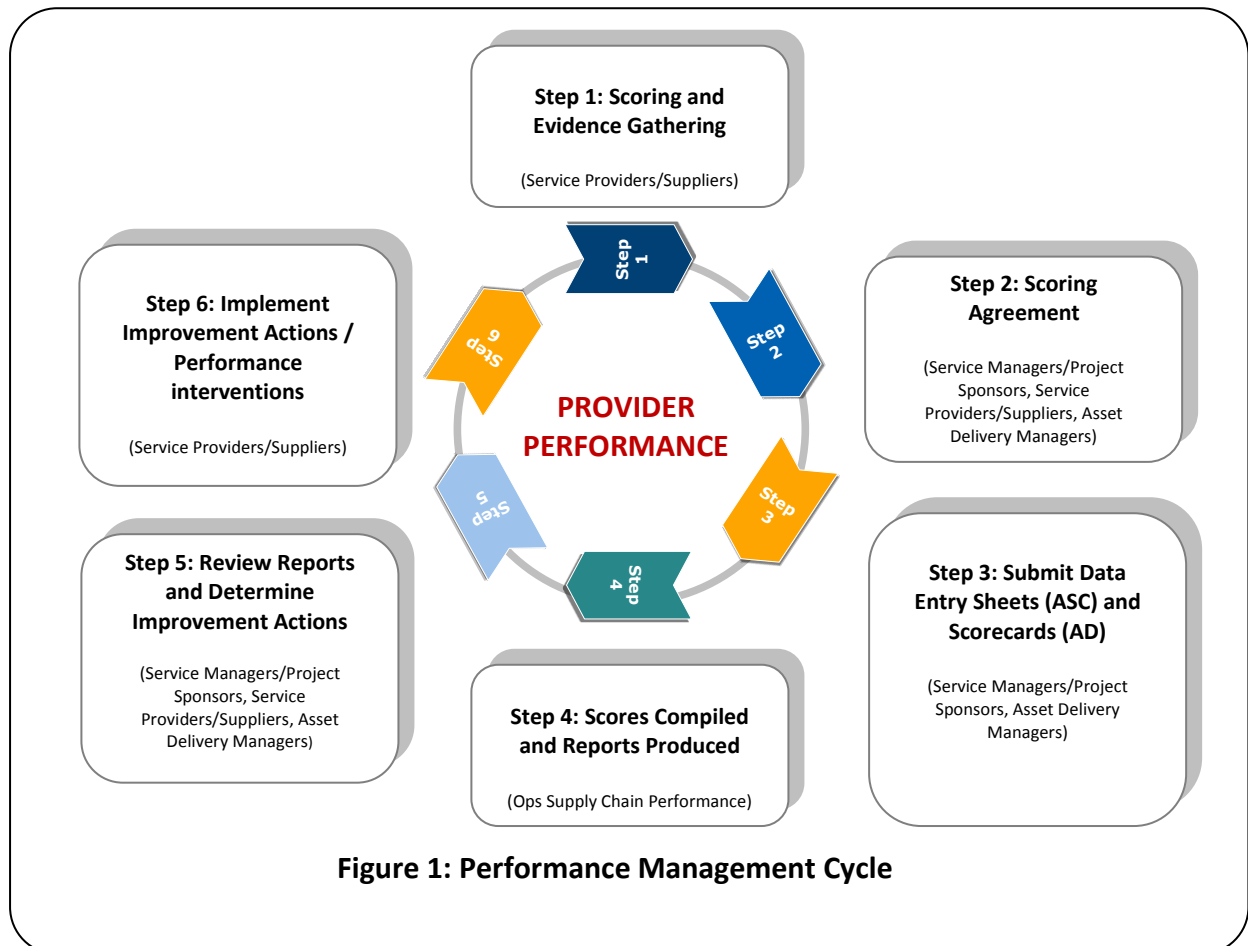
- Suppliers are responsible for:
 - Self-Scoring their performance against the scoring guidance in accordance with the timelines as set out in the Performance Management Manual (PMM).
 - Providing evidence to justify their scores.
 - Submission of scoring to Highways England.
 - Agreeing the scores with the relevant Service Manager/Project Sponsor/Asset Delivery Manager.
 - Submission of 'Operational Data' to the specified timescales as set out in the PMM (if applicable).
 - Reviewing the performance reports and determining improvement actions with the relevant Service Manager/Project Sponsor/Asset Delivery Manager.
 - Implementing improvement actions.
 - Providing input and feedback for the continual improvement of the CPF.
- The Service Manager/Project Sponsor/Asset Delivery Managers and related performance teams are responsible for:
 - Agreeing the performance scores with suppliers to the specified timescales as set out in the PMM.
 - Ensuring that the evidence is provided to justify the scores.
 - Reviewing the performance reports and determining improvement actions with the suppliers.
 - Providing input and feedback for the continual improvement of CPF.
 - Undertaking periodic reviews and checks of the scores provided by suppliers (for example to check that the evidence required to obtain a Green score is indeed in place).

- Ops Supply Chain Performance is responsible for:
 - Collating the performance scores for all contracts (ASC, AD, RTMC, PAVEMENTS) to the specified timescales as set out in the PMM.
 - Producing the performance reports and circulating them to the relevant Service Manager/Project Sponsor and performance team (who forward to suppliers).
 - Producing reports and circulating them to the relevant stakeholders.
 - Co-ordinating feedback on the process and incorporating improvement actions in future versions of the process.
 - Data loading and performance reporting.

6. Measurement and Management

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

The following sections describe each of these steps in turn.



The process provides Highways England with regular visibility of Supplier performance, framed within a Performance Hierarchy. It comprises:

- A Performance Hierarchy that informs the Roads Investment Strategy and the activities controlled by the Supplier.
- A Black/Red/Amber/Green/Blue/Blue+ for metrics. The score is based on the detailed scoring guidance included in the PMM (Appendix A).
- A Performance Report indicating Supplier performance at theme, measure and metric level, is included in the Performance Hierarchy for all Service Providers/Suppliers.

6.1 Scoring and Evidence Gathering

Scoring Performance

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

The scoring of performance is conducted at metric level and all relevant metrics should be scored. Each metric (at its lowest level) will be given a score (Section 4.3).

Overall Approach to Scoring

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



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

Matters outside the control of the Provider

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

Rolling 12-month measures

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

Scoring Guidance

The associated guidance documents “CPF Scoring Guidance”, “RTMC Scoring Guidance” and “Pavements Scoring Guidance” provide detailed scoring guidance for each metric– these are included as appendices

(Appendix A) to the PMM. The metrics in the scoring guidance's are classified in groups by theme and measure.

Evidence Gathering

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

6.2 Scoring Agreement

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

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



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

6.3 Submit Operational Data Entry Sheets into CPF

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

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6.4 Producing the Performance Reports

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

Review Reports and Determine Improvement Actions

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

The suppliers then develop action plans to incorporate those improvement actions.

Implement Improvement Actions

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

7. Audit and Review

CPF will be subject to audit and review by Highways England.

8. Change Control

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

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

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

Glossary

Term	Meaning
AD	Asset Delivery
ASC	Asset Support Contract
CPF	Collaborative Performance Framework
DFT	Department for Transport
OPCG	Operations Performance Community Group
OPs	Operations
PMM	Performance Management Manual
QMP	Quality Management Points
RIS	Road Investment Strategy
RTMC	Regional Technology Maintenance Contract
Oracle Fusion	Oracle Fusion is the financial database that has replaced System for Managing (SfM)