



Registration No: 1998/009584/06

THE SOUTH AFRICAN NATIONAL ROADS AGENCY LIMITED

STANDARD SPECIFICATIONS FOR OPERATIONS AND MAINTENANCE OF CTROM PROJECTS: PERFORMANCE MEASUREMENT

OCTOBER 2010

VOLUME 2 BOOK 6a

ISSUED BY:

**THE CHIEF EXECUTIVE OFFICER
SOUTH AFRICAN NATIONAL ROADS AGENCY LIMITED
P O BOX 415
PRETORIA
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SECTION 1. DOCUMENT OVERVIEW

1.1 DOCUMENT OVERVIEW

1.1.1 Purpose of Document

1.1.1.1 The purpose of this document is to describe the approach to measuring the performance of toll related services provided by the Contractors in terms that can be directly mapped to the key objectives of the Employer as included in the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a). The toll-related service performance is calculated in terms of a score which is used as an input into performance related payment certificate adjustments, as described in the Standard Specifications for Operations and Maintenance of CTROM Projects: Payment Methodology and Description of Payment Items (Volume 2 Book 7a).

1.1.2 Structure of the Document

1.1.2.1 Any requirement, obligation or responsibility in relation to such a reference shall be deemed to be a requirement, obligation or responsibility to be complied with by the Contractor, unless specifically stated otherwise in the context thereof.

1.1.2.2 SECTION 2 of this document provides an overview of performance measurement and how it is aligned with the Employer's objectives.

1.1.2.3 SECTION 3 provides more detail on the principles and explain how the performance score for each KPI is calculated.

1.1.2.4 SECTION 4 lists all the KPIs together with the target values, measurement commencement dates, and service level bands. This section also provides a more detailed explanation on how each KPI is measured.

1.1.2.5 SECTION 5 describes the scorecards to be used.

1.1.2.6 SECTION 6 describes the penalties and incentives to the CTROM Projects.

SECTION 2. PERFORMANCE MEASUREMENT OVERVIEW

2.1 PERFORMANCE MEASUREMENT

2.1.1 General remarks

2.1.1.1 The objective of the approach to performance measurement (“**Contract Performance Measurement Regime**”) described herein, aims to incentivise the Contractor to deliver a level of performance which is of a consistently high quality to achieve the Employer’s objectives and the service level expectations of the public.

2.1.1.2 This document deals with the performance measurement elements and:

- (a) Identifies Critical Success Factors (“**Critical Success Factors**”) that both support and underpin the Employer’s objectives
- (b) Identifies the “**Performance Area**”, as components of the Critical Success Factors within which the measurements will be made;
- (c) Within each Performance Area, identifies what shall be derived (each a “**Key Performance Indicator**” or KPI), from measurements made, and reported to allow the Employer to assess the service levels (“**Service Levels**”) being achieved;
- (d) Specifies who shall be responsible to measure the Service Levels, i.e. either the Contractor or the Employer
- (e) Specifies the desired service levels (“**Target Service Levels**”) that should be achieved by the Contractor;
- (f) Specifies the relationship between the Target Service Levels and Service Levels to calculate a score (“**Performance Score**”) recorded in points (or pts.), which is weighted according to the relative contribution to meeting the Employer’s objectives; and
- (g) Specifies how the Performance Scores are grouped into Performance Areas, aggregated, limited and the other conditions that may be applied to derive a final performance-related score.

2.1.1.3 The performance-related score, as described here, is then used as an input to calculate the performance-related adjustments to the payment certificate, if any, as described in broad terms in the Standard Specifications for Operations and Maintenance of CTROM Projects: Payment Methodology and Description of Payment Items (Volume 2 Book 7a). A positive score generally reflects performance above the Target Service Levels and a negative score reflects performance below Target Service Levels.

2.1.1.4 In some instances positive scores, associated with incentives, can be used to offset negative scores, associated with penalties, within a performance area and across some

specific performance areas. An overall negative score can result in a penalty as described in the Standard Specifications for Operations and Maintenance of CTROM Projects: Payment Methodology and Description of Payment Items (Volume 2 Book 7a).

2.1.2 Relationship between the Employer's objectives, Critical Success Factors and Performance Areas

2.1.2.1 The relationship between the Employer's objectives, Critical Success Factors and Performance Areas is shown in Figure 2-1 below. This mapping highlights how the Employer's objectives are to be achieved and is for reference purposes only.

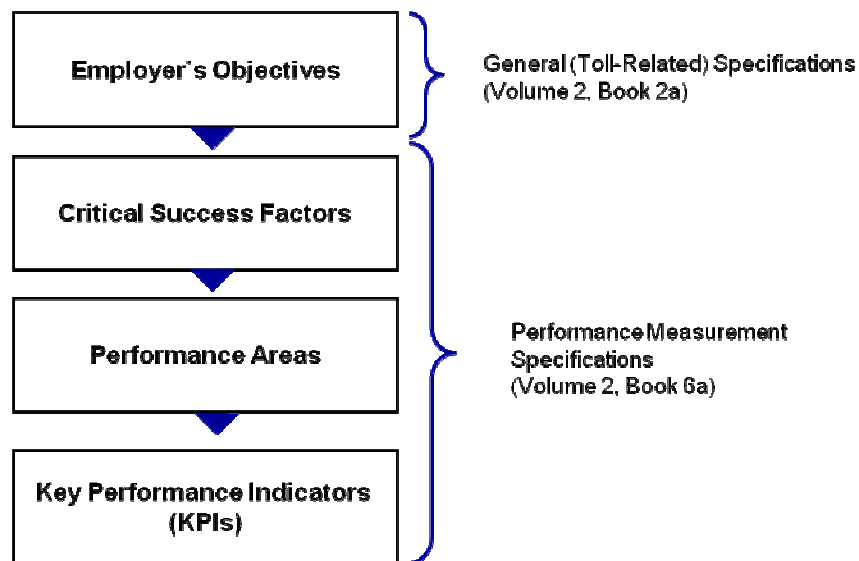


FIGURE 2-1: RELATIONSHIP BETWEEN THE EMPLOYER'S OBJECTIVES, CRITICAL SUCCESS FACTORS, PERFORMANCE AREAS AND KPIS

2.1.2.2 The Employer's key operational objectives, as described in the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a), are the basis for this performance measurement specification. The Critical Success Factors, Performance Areas and KPIs flow from these objectives.

2.1.3 Critical Success Factors

2.1.3.1 The Critical Success Factors are used to group together the Performance Areas in which Service Levels are assessed, regardless of the source.

2.1.3.2 In general, the total score achieved by the Contractor is the sum of the scores applicable to each Critical Success Factor. In order to ensure that the Contractor focus on performance in all Critical Success Factors and not only in areas with a high scoring potential, the scoring mechanism encourage a positive score in each Critical Success Factor. The maximum attainable score in relation to a Critical Success Factor is derived solely from the maximum

attainable scores derived from its constituent KPIs after applying any conditions relating to scores below a minimum desirable level.

2.1.3.3 The five Critical Success Factors relating to CTROM projects are:

- (a) High levels of public awareness and understanding;
- (b) High levels of operational performance;
- (c) Revenue maximisation;
- (d) High levels of system health; and
- (e) Highly cooperative relationships with the Employer, the Customers, the Road Users, the TCH, the VPC and with other third parties.

2.1.3.4 Performance requirements and their interrelationships are adequately expressed through these Critical Success Factors. If high levels of public compliance are achieved, the Contractor delivers a high level of operational performance, individual entities collaborate well with each other and with third parties, and the system is well-maintained, available for use and able to cope seamlessly with other Contracts, then the project will be deemed a success.

2.1.3.5 Generally, a high level of customer service is a contributory factor to securing high levels of public awareness, understanding and satisfaction. In addition, the Contractor has an obligation to work collaboratively to safeguard the Employer's reputation with relevant third. Public compliance is also enhanced by the development and maintenance of the perception of reliability and integrity in which all users have trust and confidence.

2.1.3.6 Having identified the main project objectives and expressed them as Critical Success Factors, it is necessary to enhance the definition of each Factor as shown in Table 2-1 below by defining secondary Performance Areas that represent a finer granularity of the Critical Success Factors and within which the performance of the Contractor will be assessed by the Employer.

TABLE 2-1: MAPPING OF CRITICAL SUCCESS FACTORS TO PERFORMANCE AREAS

Critical Success Factor	Performance Areas	Explanatory Notes
Public Awareness and Understanding	Channel Availability Customer Relations Enforcement Marketing Support	Public awareness and understanding has to do with all aspects of the project which impact on public perception, behaviour, and interaction with the scheme. Channels for enquiries, account registration and payments must be easily accessible and readily available by means of services that have a negligible downtime. Enquiries are to be handled timeously and concluded satisfactorily. Tactical marketing executed by the Contractor must align with the Employer's corresponding strategic marketing plans and should aim to increase the market share of ETC users.
Revenue Maximisation	Charging Effectiveness Charging Accuracy	<p>The "user pays" principle requires eligible road users to pay for the use of designated toll roads and tolled facilities in South Africa. The tolls collected help pay for the development and operation of the tolled road network and delivery of related services by the Employer. Revenue Maximisation requires an operation that is able to capture as many vehicle trips on the toll road network and reconcile these against payments, at a low cost to the Employer. Several functions underpin the achievement of this objective, i.e. the Contractor must charge accurately using correct tariff information;</p> <p>If charges cannot be levied to the appropriate party then images captured by the Contractor should be compliant for passing to the TCH - and potentially to the VPC for further prosecution. Enabled by high levels of public compliance, optimising this conversion rate and long-term end-to-end operations cost will, in turn, maximise the net revenue of the operation. For vehicle trips on the tolled road network, if charges can be levied accurately and debt recovery is successful, then the Employer has secured a bankable revenue stream for bond repayment.</p>
Operational Performance	Quality Control Data Management	Operational performance is about activities being done effectively. The performance areas focus on confirming that staff activities and business processes are achieving what is required, timeously and to the required quality standard. Effective implementation of quality control procedures is required as it is essential for ensuring the accuracy and integrity of outputs between the Contractor, the VPC, the TCH and other third parties.
System Health	Service Availability Charging Systems	System health is about providing asset availability and ensuring that the maintenance regime is aligned to meet operational performance demands. It shall provide intelligence on the risk of potential system failures as well as providing forecasts for preventative maintenance measures.

Critical Success Factor	Performance Areas	Explanatory Notes
Cooperative Relationships	Reporting TCH and VPC Governance	<p>Cooperative relationships must exist amongst all parties involved, in order to minimise waste and maximise effectiveness. This relates to the measurable level of cooperation between the Contractor and the Employer, the TCH, and the VPC. Relationships are also defined at the operational interface between the Contractor, the TCH, the VPC, and relevant third parties.</p> <p>Indicators will focus on minimising the number of non-compliant transactions passed to the TCH, and minimising the number of unnecessary rejections by the TCH.</p>

- 2.1.3.7 Where an indicator may be assigned to more than one Critical Success Factor, the predominant area of influence is selected for each indicator of performance described below. For example, whilst “Daily AVC Data Transmission” a contributor to Data Management, its primary objective is to limit possibilities for fraud and to maximise revenue.
- 2.1.3.8 A clear distinction is also made between ‘availability’ and ‘performance’. Availability is about asset health and having the right tools in good condition for the demands placed upon them whereas performance describes how well the relevant business processes and activities are executed using the available tools. Many of the corresponding measurements therefore focus on the outputs and outcomes.

SECTION 3. PERFORMANCE MEASUREMENT REGIME

3.1 KPI OVERVIEW

3.1.1 Overview

3.1.1.1 The Contract requires the Contractor to meet certain defined levels of service and performance in several areas. Performance is defined and measured against specific milestones and benchmarks in order to assess the overall quality, reliability, integrity and value of the delivered goods and services. Performance measurement shall also be used to monitor the improvement of activities where the Contractor is either failing to provide the required standard, or where the input parameters have changed over the duration of the Contract.

3.1.1.2 The management process that supports the performance regime comprises the Key Performance Indicators (KPI), the Service Levels that will be monitored and the Target Service Levels against which the Service Levels will be assessed by means of a Performance Score for each KPI.

3.1.1.3 Performance measurement shall be designed such that the KPIs can be determined on a monthly basis. The scores shall be aggregated for the month to provide the basis for the Monthly Performance Report that contains both absolute and relative measurements of the defined parameters. The process shall also include positive score potential in order to offer appropriate incentives for good performance by the Contractor.

3.1.1.4 The systems provided by the Contractor shall be able to, where required, measure the Service Levels at the required resolution and shall provide reports to the Employer's Representative that reflect the performance of the Contractor within each Performance Area.

3.1.1.5 The Contractor shall contribute to the definition and provision of the methods to measure Service Levels and accurately document all processes for the identification of performance against the KPIs.

3.1.1.6 The source data for the measurement of Service Levels shall be derived by the Contractor from the appropriate operations as well as data from external or independent sources, including customer sampling and user surveys, manual inspections or testing.

3.1.2 Key Performance Indicators

3.1.2.1 The KPIs described herein satisfy several conditions. Each is selected for its potential to be assessed through an administratively effective exercise (many of which can be automated) and related measurements readily obtainable from well-defined and reliable auditable sources. In addition, each is chosen to assess the Contractor's performance

against the Employer's objectives, quantifiable by direct measurement, and at a sufficient resolution to identify potential degradation in performance and consequential adverse outcomes.

- 3.1.2.2 The KPIs should not be viewed in isolation. Apart from the fact that it supports the Employer objectives, it is also aligned with KPIs assigned to the TCH and VPC. The indicators identified in this Volume are selected to ensure that their measurement does not influence the behaviour of one operating entity to the detriment of another.
- 3.1.2.3 The Contractor shall accept that the KPIs listed herein are not exhaustive. For example, if the Contractor suffers from persistent underperformance, the Employer may submit a request to the Change Management Committee to introduce additional KPIs to provide the Employer with the means to more effectively monitor the service levels being delivered.
- 3.1.2.4 A breach of the obligations of the Contractor may not be directly associated with the Performance Measurement Regime. Nevertheless, the Employer reserves the right to introduce additional KPIs and related service levels as part of the remedy.
- 3.1.2.5 The Contractor may propose revisions to the KPIs periodically as a change request that shall be subject to the process of the Performance Review Committee. Similarly, the Employer shall also propose revisions to the KPIs as it deem fit, in the form of a change request that shall also be subject to the process of the Performance Review Committee.
- 3.1.2.6 Unless otherwise mutually agreed between the Parties, this Performance Management Regime shall be reviewed when required, but not more than once in any 12 months period, from Commencement of Operations Services.
- 3.1.2.7 Each KPI is described by the following:
- (a) A unique identifier ("**KPI Reference**" or "**KPI Ref**") that includes the prefix "CT" and an index number is used;
 - (b) The relevant Performance Area and the number of the Critical Success Factor to which the Area relates;
 - (c) The name of KPI ("**KPI Name**"): a short description to be used for reporting;
 - (d) Measurement Commencement Date ("**Measurement Commencement Date**"): the date from which the performance monitoring for the specified KPI shall apply;
 - (e) The Target Service Level from which the measured Service Level will be measured and reported;

- (f) The Service Level bands and applicable scores that shall be accrued for Service Levels within each band: such scores will be positive for measured Service Levels above Target Service Levels and negative for measured Service Levels below Target Service Levels; and,
- (g) The basis of measurement (“**Basis of Measurement**”): what item(s) is/are measured and the relationship between them to calculate the relevant Service Level and listing any exceptions and exclusions due to other entities or external service providers.

3.1.2.8 For each KPI, the measured Service Level is compared with the Target Service level to calculate a Performance Score for the KPI.

3.1.2.9 The derivation of the Performance Scores is a multi-stage process that shall be encoded and/or integrated into the Contractor’s System design and operational processes as far as possible to enable efficient, accurate, complete and timely reporting of Contractor performance to the Employer’s Representative and the Employer at periodic intervals.

3.2 CALCULATION OF KPI SCORES

3.2.1 Calculation

3.2.1.1 The Performance Scores for each KPI shall be calculated to generate an overall Performance Score to reflect the Contractor’s performance for the KPI.

3.2.1.2 If the measured service level is within Service Level Band 1, the score is calculated based on the point relationship shown in Band 1. If the measured service level is within Service Level Band 2, the score is calculated based on the point relationship shown in Band 2 plus the maximum score applicable to Band 1. If the measured service level is within Service Level Band 3, the score is calculated based on the point relationship shown in Band 3 plus the maximum score applicable to Band 1 and 2.

3.2.1.3 The performance of the Contractor in relation to the performance scorecards identified in SECTION 5 shall be assessed by the Employer’s Representative and made available to the Contractor and the Employer at the same time for the review and comment.

3.2.1.4 Where one KPI includes multiple observations, a KPI score will be calculated for each observation before it is aggregated for the KPI. Refer to Section 3.2.3 for the rounding of KPI scores per observation. KPIs shall be aggregated separately for each Control Centre. Where the association of a specific element, such as a single Call Centre associated with multiple Control Centres, the Contractor, Employers Representative and Employer will agree on the proportional assignment of performance scores to the respective Control Centres.

- 3.2.1.5 The Performance Scores for each of the KPIs shall be allocated to the relevant Performance Area and aggregated within the same Performance Area, per Control Centre, for every month.
- 3.2.2 Aggregation of Performance Scores
 - 3.2.2.1 The total Performance Scores within a Performance Area in relation to a Critical Success Factor shall be aggregated to determine the total score per Control Centre for each Critical Success Factor per month.
 - 3.2.2.2 The total Performance Scores for all Critical Success Factor shall be summed to derive the total Performance Score per Control Centre per month. However, if any of the accumulated monthly scores per Critical Success Factor for a Control Centre is below the minimum desirable scores as specified in the Project Document (Volume 3), only the Critical Success Factors with negative scores shall be accumulated to represent the monthly performance score for the Control Centre.
 - 3.2.2.3 The total monthly score per Control Centre shall be used as input into the Toll Operations Services Performance Evaluation described in the Standard Specifications for Operations and Maintenance of CTROM Projects: Payment Methodology and Description of Payment Items (Volume 2 Book 7a).
- 3.2.3 Rounding
 - 3.2.3.1 Measured performance values shall be based on rounding up to the nearest whole increments as used in KPI tables. For example, if the minimum increment is 0.01% then a percentile that is calculated as 99.525% shall be rounded up to 99.53% for the purposes of scoring.
- 3.2.4 Example of Calculating KPI Score
 - 3.2.4.1 The following paragraph serves as an example to calculate the score for a KPI.
 - 3.2.4.2 As an example, consider KPI CT3d as described in SECTION 4. This KPI shall be active from Commencement of Operations services. The period of assessment is one month.
 - 3.2.4.3 Assuming the target service level for the Monthly Axle-based count accuracy of the AVCs will be 99.0%, scores will be negative for measured accuracy below 99.0% and positive for measure accuracy above 99.0%.
 - 3.2.4.4 The Service Levels are calculated monthly (as the KPI requires).

3.2.4.5 Assume the following accuracies were measured at two lanes groupings associated with the same Control Centre:

- Lane Grouping A with accuracy of 99.00% and Lane Grouping B with an accuracy of 99.93% for the month.
- The Target Service Level for KPI 3d is 99.9% (see Standard Specifications for Operations and Maintenance of CTROM Projects: Toll Systems (Volume 2 Book 4).

3.2.4.6 According to Section 0, Service Level Bands for KPI 3d is specified as follows

Ref	Area	Name	Measurement Commencement Date	Service Level Bands and Scores			
				Target Service Level	Band 1	Band 2	Band 3
CT3d	Charging Accuracy	AVC Count	Commencement of Operations services	As specified in Volume 2 Book 4a or more accurate ('r' pts per 0.01% more accurate)	>0.0% to 0.5% less accurate ('x' pts per 0.01%)	>0.5% to 1.0% less accurate ('y' pts per 0.01%)	>1.0% less accurate ('z' pts per 0.01%)

3.2.4.7 Assume the scores per band are defined as follows (Volume 3):

Ref	Name	Score weighting, target service levels and other specifications					
		Specifications, target service levels and calculation procedures		Scores per increment for Service Level Bands			
				Above target ('r')	Band 1 ('x')	Band 2 ('y')	Band 3 ('z')
CT3d	AVC Count	-		0.3	-1.5	-3.0	-15.0

3.2.4.8 The monthly score for Lane Grouping A is calculated as follows:

- The measure service level is 99.3%, which is 0.6% less accurate than specified and subsequently in Band 2
- The maximum score in Band 1 is: $(0.5\% - 0.0\%)/0.01\% \times (-1.5) = -75$ points
- The score in Band 2 is: $(0.6\% - 0.5\%)/0.01\% \times (-3.0) = -30$ points
- The total score for Lane Grouping A is: $-75 - 30 = -105$

3.2.4.9 The monthly score for Lane Grouping B is calculated as follows:

- The measure service level is 99.99%, which is 0.09% more accurate than specified and subsequently in the incentive band.
- The incentive is calculated as: $(0.09\%)/0.01\% \times (0.3) = 2.7$ points
- The total score for Lane Grouping B is: = 2.7 points

3.2.4.10 The Total Score for Control Centre is $-105 + 2.7 = 102.3$ points.

3.2.4.11 Example of Calculating Total KPI Score Assume the total score per KPI has been calculated as shown in Section 3.2.4. Assume the scores are as follows:

Critical Success Factor	Performance Areas	KPI Number	KPI Name	SCORE
Public Awareness and Understanding	Customer Relations	CT5	Uninterrupted Electricity Supply	0.0
		CT6b	Call abandon rate, including IVR calls held pending transfer to a Call centre Operator	0.0
		CT6c	Call queuing time, including IVR calls held pending transfer o an Operator	-10.0
		CT6d	Call Centre Level of Service (LOS) - Proportion of calls blocked in peak demand period	-20.0
		CT10	Charging and charge reconciliation processes - accuracy	0.0
		CT11	Customer Satisfaction	20.0
		CT13	ETC Transaction Records submitted to TCH – timeliness	50.0
		CT14	Account Registration Processing - accuracy	0.0
			SUB-TOTAL FOR CUSTOMER RELATIONS:	40.0
	Marketing Support	CT18	Tactical marketing programme Level of Service (LOS)	10.0
			SUB-TOTAL FOR MARKETING SUPPORT:	10.0
	Channel Availability	CT6a	Call Centre service availability, including IVR services	-10.0
		CT9	POP Customer Services Facilities - availability	0.0
			SUB-TOTAL FOR CHANNEL AVAILABILITY:	120.0

Critical Success Factor	Performance Areas	KPI Number	KPI Name	SCORE
			TOTAL FOR PUBLIC AWARENESS AND UNDERSTANDING:	170.0
Revenue Maximisation	Charging Effectiveness	CT4a	Daily AVC Data Transmission – Un-validated	-15.0
		CT4b	Daily AVC Data Transmission – Validated	-20.0
		CT4c	Daily MIS Data Transmission	-40.0
		CT4d	Monthly MIS Data Transmission	-10.0
		CT4e	Monthly MIS Income Data Transmission	-100.0
			SUB-TOTAL FOR CHARGING EFFECTIVENESS:	-185.0
	Charging Accuracy	CT3c	Automatic Vehicle Classification Accuracy – Axle-based	2.0
		CT3d	AVC Count	4.0
			SUB-TOTAL FOR CHARGING ACCURACY:	6.0
			TOTAL FOR REVENUE MAXIMISATION:	-179.0
Operational Performance	Quality Control	CT16	Maintenance	-40.0
		CT17	Transactions acceptable to TCH and VPC - proportion	0.0
			SUB-TOTAL FOR QUALITY CONTROL:	-40.0
	Effectiveness	CT1a	Repair Time Compliance – Severity Level 1 Fixed Assets	0.0
		CT1b	Repair Time Compliance – Severity Level 2 Fixed Assets	0.0
		CT1c	Repair Time Compliance – AVC	-20.0
		CT1d	Repair Time Compliance – Severity Level 1 Semi-Fixed Assets	0.0
		CT1e	Repair Time Compliance – Severity Level 2 Semi-Fixed Assets	0.0
			SUB-TOTAL FOR EFFECTIVENESS:	-20.0
			TOTAL FOR OPERATIONAL PERFORMANCE:	-60.0

Critical Success Factor	Performance Areas	KPI Number	KPI Name	SCORE
System Health	Service Availability	CT2	SCADA Service Availability	0.0
		CT3a	AVC Availability – (Critical Errors)	0.0
		CT3b	AVC Availability – (Serious Errors)	0.0
		CT12	ETC lane availability	-50.0
		CT15	QLS –availability	0.0
			SUB-TOTAL FOR SERVICE AVAILABILITY:	-50.0
			TOTAL FOR SYSTEM HEALT:	-50.0
Cooperative Relationships	Reporting	CT8a	Compliance with Employer’s reporting requirements – Critical Reports	0.0
		CT8b	Compliance with Employer’s reporting requirements – Non-Critical Reports	0.0
			SUB-TOTAL FOR REPORTING:	0.0
	Governance	CT19	Contract Performance Management	10.0
			SUB-TOTAL FOR GOVERNANCE:	10.0
			TOTAL FOR COOPERATIVE RELATIONSHIPS:	10.0
		GRAND TOTAL:	-229.0	

3.2.4.12 A score of zero can either mean that measurement of the KPI has not commenced yet, or that the measured service level is on or better than the Target Service Level.

3.2.4.13 The total score for the Control Centre in the example is -229 points. Since the total score for each Critical Success Factor is above the minimum desirable score per Critical Success Factor, the positive score for Public Awareness and Understanding and Cooperative Relationships are including in the calculation of the total score.

3.3 REPORTING

3.3.1 Background

3.3.1.1 The Employer's visibility of Service Levels being delivered is critically dependent on timely, accurate and complete reporting by the Contractor. Therefore, if the Contractor fails to provide sufficient data to enable the Employer to assess the Contractor's performance against any Service Levels (including an agreed remedy period), then the

Employer will assess the Contractor as not having met the Target Service Level and any related Performance Score shall be determined.

3.3.2 Reporting Requirement

3.3.2.1 From Commencement of Operations Services, unless otherwise stated, the Contractor shall measure and provide such data as is reasonably required by the Employer for the purposes of monitoring the performance of the Contractor in meeting the Service Levels for all KPIs. The performance shall be monitored continuously and reported monthly by the Contractor to a resolution of one day, unless otherwise specified.

3.3.2.2 As a minimum the Contractor shall include the following in the Performance Report:

- (a) Service Levels for KPIs the measurement of which the Contractor is responsible;
- (b) resulting Performance Scores grouped into the appropriate Performance Areas, and;
- (c) a summary of any significant trends that suggest degradation or improvement in performance.

3.3.2.3 In addition to the Contractor's representative, the Contractor shall appoint a person who has the responsibility for the Contractor's provision of the requirements included in this specification, the management of the performance measurement and reporting, for generating performance related change requests and representing the Contractor, and providing the necessary information and support to the Performance Review Committee.

3.3.2.4 To ensure that the provision of services by the Contractor are managed effectively from the Commencement of Operations Services, performance review meetings, held as the Performance Review Committee, shall be convened by Employer's Representative on a frequency as specified in the Project Document (Volume 3). Either Party, subject to the agreement of the other, may vary the date of such meetings but in no case shall such meetings be held at a frequency less than the specified frequency.

3.3.2.5 The Contractor shall provide the performance report each month, to the level of detail required and shall present such reports in a format that the Employer shall reasonably require, including hard and soft copies. The periods for capturing, collating and publishing the Performance Report to the Employer shall not exceed the time specified in the Project Document (Volume 3).

3.3.2.6 The Employer shall review the Performance Reports provided to assess the performance-related adjustments as described in the Standard Specifications for Operations and Maintenance of CTROM Projects: Payment Methodology and Description of Payment Items (Volume 2 Book 7a).

- 3.3.2.7 If, following the review of the Contractor's performance against the KPI Regime and against Operation and Maintenance specifications, the Employer reasonably forms the view that the Contractor's performance was unsatisfactory, the Contractor must, within the time specified in the Project Document (Volume 3) of notification in writing by the Employer, provide an agreed action plan to the Employer's Representative and the Employer having considered the following:
- (a) The performance result achieved and a plan and methodology to improve performance;
 - (b) A program for the deployment of this plan and methodology; and
 - (c) A program to review such plan and methodology.
 - (d) The Contractor must implement and monitor such action plan as agreed with the Employer.
- 3.3.2.8 For the purposes of performance measurement the Performance Review Committee will include the following:
- (a) The Employer's Executive (or delegated senior individual) (2 persons);
 - (b) Employer's Representative;
 - (c) The Contractor (2 persons); and,
 - (d) Auditing Body, as and when required by the Employer (to provide benchmarking and advice on performance issues)

3.4 BUSINESS CONTINUITY

3.4.1 Business Continuity

- 3.4.1.1 The requirements for, contents of, and execution of the Business Continuity Plan in relation to the occurrence of a Disastrous Event is set out in the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a) and the Standard Specifications for Operations and Maintenance of CTROM Projects: Toll Systems (Volume 2 Book 4a).
- 3.4.1.2 The Contractor shall ensure that the services are provided by it or by its Sub-contractors are in accordance with the Business Continuity Plan and the requirements of this specification. The Contractor shall ensure that Disaster Recovery Services are integrated into the Business Continuity Plan to ensure visibility and reporting of Service Levels and assessment by means of the processes described herein against Target Service Levels.
- 3.4.1.3 Availability, for the purposes of assessing Service Levels, shall take into account the Contractor's delivery of services according to the Business Continuity Plan.

- 3.4.1.4 The means of delivering a service shall be considered to be 'available' as set out in the KPIs in SECTION 4 below, to the extent that the failure is not attributable to a failure of the Contractor to comply with the Business Continuity Plan and other applicable provisions. Otherwise, the means of delivering a service shall be regarded as available for the purposes of assessing Service Levels against Target Service Levels.

SECTION 4. KEY PERFORMANCE INDICATORS (KPI)

TABLE 4-1: KEY PERFORMANCE INDICATORS

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
CT1a	Effectiveness	Repair Time Compliance – Severity Level 1 - Employer Facilities	<p>The deviation in the maximum specified time which was required to repair and restore functionality of Severity Level 1 Employer Facilities.</p> <p>The Repair Time is measured from when the damage have incurrent until it has been repaired, including the time the supplier have been instructed to proceed with repairs, but excluding time required by Employer's Representative to give approval.</p> <p>The repair time for Severity Level 1 Employer Facility repairs is specified in Volume 2 Book 2a.</p> <p>The performance shall be measured separately for each occurrence where Severity Level 1 Employer Facilities have been repaired, aggregated over a month per Control Centre.</p>	Commencement of Operations services	Repair time specified in Volume 2 Book 2a, or less (‘r’ pts per 2% less than maximum specified time)	> 0% to 50% more than repair time (‘x’ pts per 2%)	>50% to 100% more than repair time (‘y’ pts per 2%)	>100% more than repair time (‘z’ pts flat rate)	<p>Confirm defined terminology and specifications. CTROM refers to “urgent” – KPI refer to “Critical”. Project document specify value for “critical”</p> <p>Do not propose incentives for repair time</p> <p>Should third party (high value) repairs be included in the KPI [2% of 32 hours is 38 min]</p>
CT1b	Effectiveness	Repair Time Compliance – Severity Level 2 - Employer Facilities	<p>The deviation in the maximum specified time which was required to repair and restore functionality of Severity Level 2 Employer Facilities.</p>	Commencement of Operations services	Repair time specified in Volume 2 Book 2a, or less	> 0% to 50% more than repair	>50% to 100% more than repair time	>100% more than repair time (‘z’ pts flat	[2% of 60 hours is 72 min]

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			<p>The Repair Time is measured from when the damage have incurrent until it has been repaired, including the time the supplier have been instructed to proceed with repairs, but excluding time required by Employer's Representative to give approval.</p> <p>The repair time for Severity Level 2 Employer Facility repairs is specified in Volume 2 Book 2a.</p> <p>The performance shall be measured separately for each occurrence where Severity Level 2 Employer Facilities have been repaired, aggregated over a month per Control Centre.</p>		('r' pts per 2% less than maximum specified time)	time ('x' pts per 2%)	('y' pts per 2%)	rate)	
CT1c	Effectiveness	Repair Time Compliance – AVC and TCC ?	<p>The deviation in the maximum specified time which was required to repair and restore functionality of the AVC..</p> <p>The Repair Time is measured from when the damage have incurrent until it has been repaired, excluding the time required by the Employer's Representative to give approval.</p> <p>The repair time for AVC repairs is specified in Volume 2 Book 2a.</p>	Commencement of Operations services	Repair time specified in Volume 2 Book 2a, or less ('r' pts per 2% less than maximum specified time)	> 0% to 50% more than repair time ('x' pts per 2%)	>50% to 100% more than repair time ('y' pts per 2%)	>100% more than repair time ('z' pts flat rate)	2% of 24 hours is 29 min]

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			The performance will be measured separately for each occurrence where an AVC have been repaired, aggregated over a month per Control Centre.						
CT1d	Effectiveness	Repair Time Compliance – Severity Level 1 Permanent Design Built Assets	<p>The deviation in the maximum specified time which was required to repair and restore functionality of Severity Level 1 Permanent Design Built Assets, excluding AVC.</p> <p>The Repair Time is measured from when the damage have incurrent until the repair is completed.</p> <p>The repair time for Severity Level 1 Permanent Design Built Asset repairs is specified in Volume 2 Book 2a.</p> <p>The performance will be measured separately for each occurrence where a Severity Level 1 Permanent Design Built Asset have been repaired, aggregated over a month.</p>	Commencement of Operations services	Repair time specified in Volume 2 Book 2a, or less (‘r’ pts per 2% less than maximum specified time)	> 0% to 50% more than repair time (‘x’ pts per 2%)	>50% to 100% more than repair time (‘y’ pts per 2%)	>100% more than repair time (‘z’ pts flat rate)	2% of 14 days is 6.7 hrs]
CT1e	Effectiveness	Repair Time Compliance – Severity Level 2 Permanent Design Built Assets	The deviation in the maximum specified time which was required to repair and restore functionality of Severity Level 2 Permanent Design Built Assets.	Commencement of Operations services	Repair time specified in Volume 2 Book 2a, or less	> 0% to 50% more than repair	>50% to 100% more than repair time (‘y’ pts per	>100% more than repair time (‘z’ pts flat rate)	2% of 21 days is 10.1 hrs

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			<p>The Repair Time is measured from when the damage have incurrent until the repair is completed.</p> <p>The repair time for Severity Level 2 Permanent Design Built Asset repairs is specified in Volume 2 Book 2a.</p> <p>The performance will be measured separately for each occurrence where a Severity Level 2 Permanent Design Built Asset have been repaired, aggregated over a month.</p>		('r' pts per 2% less than maximum specified time)	time ('x' pts per 2%)	2%)		
CT2	Service Availability	SCADA Availability	The deviation in the minimum time the SCADA system shall be available to operate as specified.	Commencement of Operations Services	Proportion of time specified in Volume 3 or more ('r' pts per 0.1% of the time more available)	>0.0% to 2.0% less available ('x' pts per 0.1%)	>2.0% to 5.0% less available ('y' pts per 0.1%)	>5.0% less available ('z' pts per 0.1%)	New KPI requested by Jannie [0.1% of 720 hrs is 43 mins] Are they force to changed to SCADA
CT3a	Service Availability	AVC Availability – (Critical Errors)	<p>The number of occurrences that the AVC downtime, related to Critical Error Mode, in a Lane exceeds the time specified in Volume 2 Book 4a during a month.</p> <p>The performance will be measured</p>	Commencement of Operations services	Zero occurrences	1 to 5 ('x' pts per occurrence)	6 to 10 ('y' pts per occurrence)	More than 10 ('z' pts flat rate)	Discuss meaning of "continues 4 hours"

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			for the total number of occurrences across all Virtual Plazas associated with a Control Centre over a month. The measurement shall be applied once for every continuous period specified that the AVC remained in critical error mode.						
CT3b	Service Availability	AVC Availability – (Serious Errors)	The number of events that the AVC downtime, related to Serious Error Mode, in a Lane exceeds the time specified in Volume 2 Book 4a during a calendar month. The performance will be measured for the total number of occurrences across all Virtual Plazas associated with a Control Centre over a calendar month. The measurement shall be applied once for every continuous period specified, that the AVC remained in serious error mode.	Commencement of Operations services	Zero occurrences	1 to 10 ('x' pts per occurrence)	11 to 20 ('y' pts per occurrence)	More than 20 ('z' pts flat rate)	CTROM limits 20 occurrences
CT3c	Charging Accuracy	Automatic Vehicle Classification Accuracy – Axle-based	The monthly classification accuracy of axle -based AVCs per lane or lane grouping as specified in Volume 3 should meet the accuracy per class as specified in Volume 2 Book 4a. The performance shall be based on the	Post initial certification	As specified in Volume 2 Book 4a or more accurate ('r' pts per 0.01% more	> 0% to 2.5% less accurate ('x' pts per	> 2.5% to 5.0% less accurate ('y' pts per 0.1%)	> 5.0% less accurate ('z' pts per 0.1%)	Should we still refer to plaza group. Comment on weighted average Can this be done with the measurement and sampling regime?

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			deviation from the specified accuracy per class. It will be measured by means of the specified sampling regime. The score per class and lane/lane grouping shall be aggregated per Control Centre.		accurate)	0.1%)			
CT3d	Charging Accuracy	AVC Count	The monthly count accuracy of axle-based AVCs per lane or lane grouping as specified in Volume 3 should meet the accuracy as specified in Volume 2 Book 4a. The performance shall be based on the deviation from the specified accuracy per lane/lane grouping. It will be measured by means of the specified sampling regime. The score per lane/lane grouping shall be aggregated per Control Centre.	Commencement of Operations services	As specified in Volume 2 Book 4a or more accurate ('r' pts per 0.01% more accurate)	>0.0% to 0.5% less accurate ('x' pts per 0.01%)	>0.5% to 1.0% less accurate ('y' pts per 0.01%)	>1.0% less accurate ('z' pts per 0.01%)	
CT4a	Charging Effectiveness	Daily AVC Data Transmission – Un-validated	The number of days in a month that the Contractor did not transfer un-validated AVC traffic and incident/ fault log data for all AVCs to the Employer within the time specified in Volume 4 Book 2a.	Commencement of Operations services	0 days	1 to 5 day('x' pts per day)	6 to 10 days ('y' pts per day)	>10 days ('z' pts flat rate)	Check consistence with CTROM 42.3.1 wrt "per month"

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
CT4b	Charging Effectiveness	Daily AVC Data Transmission – Validated	The number of days in a month that the Contractor did not transfer validated AVC traffic and incident/fault log data for all AVCs to the Employer within the time specified in Volume 2 Book 4a.	Commencement of Operations services	0 days	1 to 5 day('x' pts per day)	6 to 10 days ('y' pts per day)	>10 days ('z' pts flat rate)	
CT4c	Charging Effectiveness	Daily Back-Office Data Transmission	The number of days in a month that the Contractor did not transfer validated Back-Office traffic data to the Employer within the time specified Volume 2 Book 4a.	Commencement of Operations services	0 days	1 to 5 day('x' pts per day)	6 to 10 days ('y' pts per day)	>10 days ('z' pts flat rate)	Should we include the re-transmit of monthly data as a KPI as well
CT4d	Charging Effectiveness	Monthly Back-Office Data Transmission	The Contractor should re- transmit validated Back-Office traffic data for all lanes and all days to the Employer within the time specified in Volume 2 Book 4a.	Commencement of Operations services	0 days late ('r' pts per day early)	1 to 5 days late ('x' pts per day)	6 to 10 days late ('y' pts per day)	>10 days late ('z' pts flat rate)	Should we include the re-transmit of monthly data as a KPI as well
CT4e	Charging Effectiveness	Monthly Back-Office Income Data Transmission	The contractors should transmit validated Back-Office Income data for the month to the Employer within the time specified in Volume 2 Book 4a.	Commencement of Operations services	0 days late ('r' pts per day early)	1 to 5 days late ('x' pts per day)	6 to 10 days late ('y' pts per day)	>10 days late ('z' pts flat rate)	
CT5	Customer Relations	Uninterrupted Electricity Supply	This KPI measures the extent of interruptions in the electric supply to a Virtual Toll Plaza. This KPI shall apply to every interruption separately, and the scores are aggregated across all Virtual Toll Plazas associated with a Control	Commencement of Operations services	0 hrs (no interruptions)	>0 to 1 hrs ('x' pts per 0.1 hr)	>1 to 5 hrs ('y' pts per 0.1 hr)	>5 hrs ('z' pts flat rate)	

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			Centre for the month. The performance measure applies to the time duration of the interruption. This KPI applies in addition to penalties also applicable to electricity interruptions.						
CT6a	Channel Availability	Route Call Centre service availability, including IVR services	The deviation in the minimum time the Call Centre services should be fully available to Customers for all services, including payments, complaints and account registration for all account products made available through the Call Centre. The daily score shall be aggregated per Route Call Centre for all days in a month and assigned per Control Centre as specified in Volume 3. Note that the Employer will impose a minimum capacity requirement for the instances of expected high demand.	Commencement of Operations Services	Availability specified in Volume 2 Book 2a, or more (‘r’ pts per 0.1% of time more than specified)	>0.0% to 2.0% less (‘x’ pts per 0.1%)	>.2.0% to 5.0% less (‘y’ pts per 0.1%)	>5.0% less (‘z’ pts per 0.1%)	Awaiting guidance from Paul [0.1% is 36 seconds of a 10 hour business day]
CT6c	Customer Relations	Route Call Centre call queuing time, including IVR calls held pending transfer to an	The deviation in the minimum proportion of calls answered by a Call Centre Operator within the specified time, as a proportion of all calls received by the Call Centre	Commencement of Operations services	Specified proportion of calls within specified	>0.0% to 10.0% less than	>10.0% to 20.0% less than	>20.0% less than specified calls within	Need to clarify to which Control Centres the Call Centre is assigned.

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
		operator	[switch] less calls that were abandoned, in a month. The time shall be measured for callers wishing to connect to a Call Centre Operator, from time of the incoming call event to the time of connecting with the Call Centre Operator, including the automated welcome and information message, caller navigation through menus, and the Call Centre Operator waiting time. The scores relating to the Route Call Centre(s) shall be assigned to the respective Control Centres as specified in Volume 3.		time, Volume 2 Book 2a, or more (‘r’ pts per 0.1% of calls more within specified time)	specified calls within specified time (‘x’ pts per 0.1% of calls)	specified calls within specified time (‘y’ pts per 0.1% of calls)	specified time (‘z’ pts flat rate)	
CT8a	Reporting	Compliance with Employer’s reporting requirements – Critical Reports	Inaccurate, late, incorrect and otherwise incomplete reports and response to queries and ad-hoc requests from the Employer, relating to critical reporting matters in a month.	Commencement of Operations Services	No delayed reports	Next day delivery (‘x’ pts per report)	From 2 to 5 days late (‘y’ pts per day per report)	More than 5 days (‘z’ pts flat per report)	
CT8b	Reporting	Compliance with Employer’s reporting requirements – Non-Critical Reports	Inaccurate, late, incorrect and otherwise incomplete reports and response to queries and ad-hoc requests from the Employer, relating to non-critical reporting matters in a month.	Commencement of Operations Services	No delayed reports	Next day delivery (‘x’ pts per report)	From 2 to 5 days late (‘y’ pts per day per report)	More than 5 days (‘z’ pts flat per report)	

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
CT9	Channel Availability	POP Customer Service Facilities - availability	The deviation in the minimum proportion of time which each POP Customer Service Facility and personnel shall be available to fully process account registrations, enquiries and other standardised customer interface requests relating to account products, within business hours per day, aggregated over a month. The score per POP CSF shall be assigned to respective Control Centres as specified in Volume 3.	Commencement of ETC Operations Services	Availability specified in Volume 2 Book 2a, or more (‘r’ pts per 0.01% of time more than minimum specified)	>0% to 2.0% less (‘x’ pts per 0.01% of time)	>2.0% to 4.0% less available (‘y’ pts per 0.01% of time)	>4.0% less available (‘z’ pts flat rate)	Assign POP centre to Control centre
CT10	Customer Relations	Charging and charge reconciliation processes - accuracy	The deviation in the maximum percentage of ETC TRs generated in a month, issued by the TCH or VPC, which directly cause over- and under-charging cause by incorrect data provided by die Contractor. The method of detection shall be based on the number of TRs during a month where the charge to the customer is amended due to erroneous charging, as a proportion of all TRs generated by the Contractor in the month. The method of detection can also include audits by the Employer	Commencement of Tolling	Proportion of TRs specified in Volume 3 , or less (‘r’ pts per 0.001% of TR less than maximum specified)	>0% to 0.1% more (‘x’ pts per 0.001% of TRs)	>0.1% to 0.2% more (‘y’ pts per 0.001% of TRs)	>0.2% more (‘z’ pts flat rate)	

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			when required. The score shall be assigned to respective Control Centres as specified in Volume 3.						
CT11	Customer Relations	Customer Satisfaction	Index of Satisfaction, excluding perceptions of scheme policy, measured every 3 months by an independent 3 rd party. The performance for this KPI shall be determined through application of the Index of Customer Satisfaction scorecard. The score shall be assigned to respective Control Centres as specified in Volume 3.	Commencement of ETC Operations Services	65% ('r' pts per 1%)	50% to <65% ('x' pts per 1% per facility type)	35% to <50% ('y' pts per 1% per facility type)	<35% ('z' pts flat rate per facility type)	
CT12	Service Availability	ETC lane availability	The availability of ETC lanes, based on the ability of toll lanes accessible to road users to successfully process ETC transactions. This KPI is measured and expressed as the proportion of total daily accessible toll lanes-hours which was available for ETC Transactions per Virtual Toll Plaza. The required ETC lane availability is specified in Volume 3. The daily scores per Virtual Toll Plaza shall be aggregated to determine a total score per Control	Commencement of ETC tolling	Proportion of the time specified in Volume 3 or more ('r' pts per 0.1% lane-hrs more than the specified proportion)	>0% to 1.5% lane-hrs less ('x' pts per 0.1% lane-hr)	>1.5% to 3.0% lane-hrs less ('y' pts per 0.1% lane-hr)	>3.0% lane-hrs less ('z' pts flat rate)	[0.1% of 24 lane hrs is 1.4 minutes]

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			Centre.						
CT13	Charging Effectiveness	ETC Transaction Records submitted to TCH – timeliness.	The deviation on the minimum proportion of all ETC Transaction Records (TR) generated in a month at a Toll Plaza, reconciled fully and completely against prevailing tariffs, submitted to the TCH, within 'n' hours of the time at which the related vehicle passage was logged by a Toll Plaza. This is measured for all ETC TRs submitted to the TCH or VPC over a month per Control Centre. The proportion of transactions and time limits for the purpose of this KPI is specified in Volume 3.	Commencement as specified in Volume 3.	Proportion of TRs specified in Volume 3, or more ('r' pts per 0.1% of TRs more than specified)	>0% to 5.0% less ('x' pts per 0.1%)	>5.0% to 10.0% less ('y' pts per 0.1%)	>10.0% less ('z' pts flat rate)	Indirect penalty if submitted after 24 hrs due to no guarantee. The KPI is thus only applicable to a part of the business rule
CT14	Customer Relations	Account Registration Processing - accuracy	The deviation from the specified proportion of account applications that is accurate and complete of all account registrations that are generated by the Contractor from the Customer Service Facilities Points of Presence and made available to the TCH, in a month. This shall be determined by the quantity of registered accounts	Commencement of Operations Services	Proportion of TRs specified in Volume 3, or more ('r' pts per 0.1% of TRs more than specified)	>0% to 2.5% less ('x' pts per 0.1%)	>2.5% to 5.0% less ('y' pts per 0.1%)	>5.0% less ('z' pts flat rate)	

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			<p>which one or more field needs amending arising from capture error in a Contractor managed facility.</p> <p>The score shall be assigned to respective Control Centres as specified in Volume 3.</p>						
CT15	Service Availability	QLS –availability	The extent to which all QLSs are fully available to monitor and report queue lengths, measured separately for each Virtual Toll Plaza and aggregated per Control Centre for a month.	Commencement of tolling	Proportion of time specified in Volume 3, or more ('r' pts per 0.1% of the time more than specified)	>0.0% to 10.0% less ('x' pts per 0.1%)	>10.0% to 20.0% less ('y' pts per 0.1%)	>20.0% less ('z' pts per 0.1%)	[0.1% of 720 hrs is 43 minutes, 10% of 720 hrs is 7.2 hrs]
CT16	Quality Control	Maintenance	The Contractor's performance in relation to maintenance service levels will be assessed against Employer's requirements. The performance for this KPI shall be determined through application of the Facilities Maintenance Scorecard contained in Volume 4 Book 1.	Commencement of Operations services	More than 75.0% ('r' pts per 1.0%)	50.0% to <75.0% ('x' pts per 1.0%)	25.0% to <50.0% ('y' pts per 1.0%)	<25.0% ('z' pts flat rate)	Check most appropriate score TSL

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
CT18	Marketing Support	Tactical marketing programme Level of Service (LOS)	Index of quality of service measured every 3 months by an independent 3 rd party to assess, amongst other things, the level of knowledge of customer service representatives, availability of tactical marketing material, conformance to brand specification agreed between the Contractor and Employer. The audit may also include a survey of feedback from holders of accounts registered by the Contract POP Customer Service Facilities. The score shall be assigned to respective Control Centres as specified in Volume 3.	Commencement of Operations services	More than 80.0% ('r' pts per 1.0%)	60.0% to <80.0% ('x' pts per 1.0%)	40.0% to <60.0% ('y' pts per 1.0%)	<40.0% ('z' pts flat rate)	
CT19	Governance	Contract Performance Management	The extent to which the Contractor demonstrates ownership of the performance management cycle through planning, monitoring and action as determined through application of the Contractor Performance Management scorecard (Section 5.2). The scorecard shall be employed monthly and assessed every 3 months. The score shall be assigned to	Commencement of Operations	More than 80.0% ('r' pts per 1.0%)	60.0% to <80.0% ('x' pts per 1.0%)	40.0% to <60.0% ('y' pts per 1.0%)	<40.0% ('z' pts flat rate)	

Ref	Area	Name	Basis of Measurement	Measurement Commencement Date	Service Level Bands and Scores				Author Comments (to be deleted before publishing)
					Target Service Level	Band 1	Band 2	Band 3	
			respective Control Centres as specified in Volume 3.						

4.1 ADDITIONAL DETAIL RELATING TO KPIS

[Author note applicable to this section: reference to actual target services levels will be removed from this section with reference to the Project Document (Volume 3) or otherwise. This is already reflected in the KPI table.]

4.1.1 1a to 1b: Repair Time Compliance – Severity Level 1 and 2 Employer Facility Repairs

4.1.1.1 This KPIs measures the Contractor's performance in terms of the required time to repair and restore functionality of Severity Level 1 and 2 Employer Facilities. Critical repair relates to repair that is required when the damage could impact on the safety of Users, the Contractor's personnel and Revenue and could result in consequential damage.

4.1.1.2 The Repair Time is measured from when the damage have incurrent until it has been repaired, including the time the supplier have been instructed to proceed with repairs, but excluding time required by Employer's Representative to give approval.

4.1.1.3 The performance will be measured separately for each occurrence where Employer Facilities have been repaired, and aggregated separately over a month for Severity Level 1 and 2 repairs.

4.1.1.4 The Contractor shall notify the Employer's Representative and provide motivation in the event that it is unable to meet the time periods as specified in the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a). In cases of mutual agreement on deviation from specified repair times, the Employer's Representative and the Employer shall specify how the occurrence will be measured in terms of the respective KPIs.

4.1.2 1c, 1d and 1e: Repair Time Compliance – AVC, Severity Level 1 and 2 Permanent Design Built Asset Repairs

4.1.2.1 This KPIs measures the Contractor's performance in terms of the required time to repair and restore functionality of Permanent Design Built Assets, including the AVC system. Severity Level 1 repairs relates to repairs that are required when the damage could impact on the safety of Users, the Contractor's personnel and Revenue and could result in consequential damage.

4.1.2.2 The Repair Time is measured from the time the damage have incurrent until the repair is completed, excluding time required by the Employer's Representative for approval.

4.1.2.3 The performance will be measured separately for each occurrence where an AVC system, Severity Level 1 or 2 Permanent Design Built Asset have been repaired, and then

aggregated separately for AVCs, Severity Level 1 and 2 Permanent Design Built Asset repairs over a month.

- 4.1.2.4 The Contractor shall notify the Employer's Representative and provide motivation in the event that it is unable to meet these time periods. In cases of mutual agreement on deviation from specified repair times, the Employer's Representative and the Employer shall specify how the occurrence will be measured in terms of the respective KPIs.

4.1.3 2: Availability of SCADA

- 4.1.3.1 This KPI is based on the minimum time the SCADA system should be availability to operate as specified. The time required for scheduled maintenance can be excluded from the calculation if the Employer's Representative pre-approved the extent of the downtime.

4.1.4 3a: AVC Availability – (Critical Errors)

- 4.1.4.1 This KPI shall be applied in the event that the AVC downtime, related to Critical Error Mode, in a Lane exceeds the maximum time limit as specified. This KPI shall be applied for every continuous maximum specified period that the AVC remained in critical error mode.

- 4.1.4.2 The Contractor shall apply to the Employer's Representative for approval for planned AVC downtime due to maintenance which will exceed the above periods.

- 4.1.4.3 Downtime due to loop failure or other failures which will exceed the above periods shall be excluded from the performance measurement if the AVC downtime was pre-approved by the Employer's Representative.

4.1.5 3b: AVC Availability – (Serious Errors)

- 4.1.5.1 This KPI shall be applied each event that the AVC downtime, related to Critical Error Mode, in a Lane exceeds the maximum time limit as specified. This penalty may be applied for every continuous maximum specified period that the AVC remained in serious error mode.

- 4.1.5.2 The Contractor shall apply to the Employer's Representative for approval for planned AVC downtime due to maintenance which will exceed the above periods.

- 4.1.5.3 Downtime due to loop failure or other failures which will exceed the above periods shall be excluded from the performance measurement, if the AVC downtime was pre-approved by the Employer's Representative.

- 4.1.6 3c: AVC Accuracy
 - 4.1.6.1 This KPI measures the axle-based AVC classification accuracy requirement for the post initial certification period. The accuracy of axle -based AVCs classification per lane or lane grouping should meet the specified accuracy over a month. It will be measured by means of the specified sampling regime, and the measured accuracy shall be adjusted as specified for the actual sample size.
 - 4.1.6.2 The KPI shall be applied for each vehicle class and lane/lane grouping separately, and then aggregated per Control Centre.
 - 4.1.6.3 Refer to the Standard Specifications for Operations and Maintenance of Concession Projects: Toll Systems (Volume 2 Book 4a) for the required sampling procedure.
- 4.1.7 3d: AVC Count
 - 4.1.7.1 This KPI measures the performance of the AVC overall count accuracy for the post initial accuracy certification process. The accuracy should be monitored per lane or grouping over the specified Sample Space for the specified count accuracy monitoring period.
 - 4.1.7.2 The KPI shall be applied to each lane/lane grouping per month, and then aggregated per Control Centre.
- 4.1.8 4a: Daily AVC Data Transmission – Un-Validated
 - 4.1.8.1 This KPI shall apply in the event that the Contractor does not transfer un-validated AVC traffic data for each calendar day for all AVCs to the Employer on a daily basis, within the specified time. The KPI is based on the number of days this specification is not met.
- 4.1.9 4b: Daily AVC Data Transmission – Validated
 - 4.1.9.1 This KPI shall apply in the event that the Contractor does not transfer validated AVC traffic data for each calendar day for all AVCs to the Employer on a daily basis, within the specified time. The KPI is based on the number of days this specification is not met.
- 4.1.10 4c: Daily Back-Office Data Transmission – Validated
 - 4.1.10.1 This KPI shall apply in the event that the Contractor does not transfer validated Back-Office traffic data for each day for all Lanes to the Employer on a daily basis, within the specified time. The KPI is based on the number of days this specification is not met.

- 4.1.11 4d: Data Transmission – validated monthly Back-Office data
 - 4.1.11.1 This KPI shall apply in the event that the Contractor does not re-transmit validated Back-Office traffic data for all Lanes for all days for such month to the Employer, within the specified time.
- 4.1.12 4e: Data Transmission – validated Back-Office income data
 - 4.1.12.1 This KPI shall apply in the event that the Contractor does not transfer validated Back-Office income data for all calendar days in a month per Control Centre to the Employer within the specified time.
- 4.1.13 5: Uninterrupted Electricity Supply
 - 4.1.13.1 This KPI, together with other supporting penalties, is based on any interruption in electricity supply to a Virtual Toll Plaza, including failure of the main supply, UPS or emergency backup generators.
 - 4.1.13.2 A score shall be calculated for each interruption in a month and the score shall be aggregated per Control Centre.
- 4.1.14 6a: Route Call Centre Service Availability
 - 4.1.14.1 This KPI is based on the proportion of Call Centre business hours in a day during which the call centre services are fully available to Customers for all services, including payments, complaints and account registration for all account products made available through the Call Centre. The KPI is applied on a daily basis and scores are aggregated over a month.
 - 4.1.14.2 Note that the Employer can impose a minimum capacity requirement for occasional expected periods of high demand.
- 4.1.15 6c: Call Queuing Time
 - 4.1.15.1 This KPI is based on the proportion of calls answered by a Route Call Centre Operator within the time specified in the Project Document (Volume 3), as a proportion of all calls received by the Call Centre [switch] less calls that were abandoned, in a month.
 - 4.1.15.2 The time shall be measured for callers wishing to connect to a Call Centre Operator, from time of the incoming call event to the time of connecting with the Call Centre Operator, including the automated welcome and information message, caller navigation through menus, and the Call Centre Operator waiting time.

- 4.1.16 8a and b: Reporting Requirements- Critical and Non-Critical Reports
- 4.1.16.1 These KPIs relates to inaccurate, late, incorrect and otherwise incomplete performance reports and response to queries and ad-hoc requests from the Employer, in a month. The Register of Reports and associated frequency are contained in the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a).
- 4.1.16.2 The Contractor shall publish reports in a form to be agreed with the Employer, that are timely, complete and accurate.
- 4.1.16.3 The quantity, scope and response time of any ad-hoc performance reports requested by the Employer to be published by the Contractor shall be mutually agreed between the Contractor and the Employer for subsequent measurement periods.
- 4.1.16.4 Where a report is late, incomplete or inaccurate the applicable scores shall accumulate for such report until remedied by the Contractor. The Employer shall agree dates by when any amended reports requested by the Employer should be returned to the Employer.
- 4.1.16.5 The KPI is applicable on all reports and queries that are submitted in a particular month under review.
- 4.1.16.6 Reports and queries relating to the following matters shall be consider as Critical reports for the purpose of performance measurement (applicable to KPI 8a), while the remainder shall be considered as Non-Critical (applicable to KPI 8b):
- (a) Performance reports
 - (b) Audit trails reports
 - (c) Accounting and contractual reports
- 4.1.16.7 The Employer might at any time assign any other reports as Critical Reports when required. For example, if a Contractor consistently submits particular reports late.
- 4.1.17 9: POP Customer Service Facilities - availability
- 4.1.17.1 A score will be calculated for each POP Customer Service Facility by comparing business hours applicable to POP Customer Service Facilities with the recorded time during which the POP Customer Service Facility is fully available to deliver standardised services. The calculation of the availability period shall include any periods where the POP Customer Service Facility has exhausted any consumables, when staff required to deliver such services is/are not available, power outages, and the like that are required to deliver a complete service.

- 4.1.17.2 The Contractor shall record and report outstanding service calls or 'trouble tickets' as appropriate, that report that a POP Customer Service Facility is not fully in service, including inability to provide some functions due to lack of consumables.
- 4.1.17.3 The Contractor shall contribute to the definition and provision of the method to measure the Service Level of this KPIs.
- 4.1.17.4 The Account Management system shall be configured to provide the source of the data to enable the measurement and reporting to determine the start and end times (and total time) of when the system was unable to provide the POP Customer Service Facility with the required access.
- 4.1.18 10: Charging and charge reconciliation processes – accuracy
- 4.1.18.1 Statements and invoices that over-charge the Customer will adversely impact customer perception of the tolling scheme. This KPI and its scoring aims to encourage the Contractor to ensure that the individual charging transactions generated from ETC transactions do not contribute to either over- or under- charging.
- 4.1.18.2 Any under or overcharging event that is traceable to the incorrect application of the toll tariff, or the duplication or omission of Transaction Records or the like, shall be attributable to the ETC process and applied to determine this KPI. Under or overcharging events due to circumstances outside of the Contractor's control shall be excluded from the calculation.
- 4.1.18.3 Performance shall be assessed from discrepancies detected by the TCH, VPC or valid customer complaints. The method of detection can include audits by the Employer when required.
- 4.1.19 11: Customer Satisfaction
- 4.1.19.1 This KPI is based on an Index of Satisfaction, excluding perceptions of scheme policy, measured every 3 months by an independent 3rd party of Customers who have registered accounts via the POP Customer Service Facilities for which the Contractor is responsible, raised queries, made complaints relating to the Contractor's operation.
- 4.1.19.2 The resulting score shall be applied for 3 months until the index has been reassessed. The performance for this KPI shall be determined through application of the Index of Customer Satisfaction scorecard. The method of measurement and scorecard is described in SECTION 5.

- 4.1.20 12: ETC lane availability
- 4.1.20.1 This KPI measures the ETC lane availability as specified in the Project Document (Volume 3). The aim of this KPI is to measure if toll lanes which are required to be equipped as specified are available to process ETC transactions.
- 4.1.20.2 The KPI is measured in lane-hours per Virtual Toll Plaza and is measure for lanes accessible to road users at any time. An accessible toll lane is a lane that is supported by the necessary signage to direct road users to use it for payment purposes. The basis of measurement is the proportion of lane-hours that ETC measures should be available to road users.
- 4.1.20.3 If the Contractor can motivate that the unavailability of an ETC lane(s) for a certain period of time was due to factors not under his control, that time will be excluded from the calculation.
- 4.1.20.4 The Tolling System shall be configured to provide the source of the data to enable the measurement and reporting to determine the exact times the ETC lanes were working properly and available to roads users.
- 4.1.21 13: ETC Transaction Records submitted to TCH – timeliness.
- 4.1.21.1 The aim of this KPI is the measurement and control of the timeframe which is used for processing of a transaction record from the RSS to the accounting at TCH. This timeframe is important with respect to the communication of low balances. This KPI and its associated scores aims to ensure timely reconciliation of charges levied by the TCH, a timely update of accounts maintained by the TCH and to allow any debt collection or subsequent enforcement processes to commence expeditiously.
- 4.1.21.2 The start time of measurement is when the vehicle passage was detected at a Toll Plaza.
- 4.1.22 14: Account Registration Processing – accuracy
- 4.1.22.1 The proportion of account applications that is accurate and complete of all account registrations that are generated by the Contractor from the Customer Service Facilities Points of Presence and made available to the TCH, in a month.
- 4.1.22.2 This shall be determined by the quantity of registered accounts which one or more field needs amending arising from capture error in a Contractor managed facilities.

- 4.1.23 15: QLS –availability
- 4.1.23.1 This KPI is based on the extent to which all Queue Length Monitoring Systems (QLSs) are fully available to monitor and report queue lengths in a month, for each Virtual Toll Plaza.
- 4.1.23.2 The time required to do scheduled maintenance on the QLS is excluded from the calculations. The time when the system will be unavailable for scheduled maintenance shall be approved by the Employer’s Representative and shall be in off-peak periods.
- 4.1.24 16: Maintenance
- 4.1.24.1 The Contractor’s performance in relation to maintenance service levels will be assessed against Employer’s requirements. The performance for this KPI shall be determined through application of the Facilities Maintenance Scorecard.
- 4.1.24.2 The Scorecard and KPI shall be applied for each Control Centre.
- 4.1.25 18: Tactical marketing programme Level of Service (LOS)
- 4.1.25.1 This KPI is based on the quality of service measured every 3 months by an independent 3rd party to assess, amongst other things, the level of knowledge of customer service representatives, the availability of tactical marketing material, and the conformance to brand specification agreed between the Contractor and Employer. The audit will also include a survey of feedback from holders of accounts registered by the Contractor’s POP Customer Service Facilities.
- 4.1.25.2 The index of the Tactical Marketing Scorecard shall be determined by the Employer to evaluate the extent to which the Contractor demonstrates ownership of its marketing obligations, including, amongst other things, the level of knowledge of customer service representatives, availability of tactical marketing material, conformance to brand specification agreed between the Contractor and Employer.
- 4.1.25.3 The Tactical Marketing Scorecard shall be jointly developed by the Employer, Employer-selected 3rd party and the Contractor. The resulting score shall relate to a percentage value depending on the Contractor’s performance. The resulting score shall be applied for the three months until a reassessment was carried out.
- 4.1.26 19: Contract Performance Management
- 4.1.26.1 This KPI is based on the extent to which the Main Contractor demonstrates ownership of the performance management cycle through planning, monitoring, recommendation and action

as determined through application of the Contractor Performance Management scorecard (section 5.2).

4.1.26.2 It is noted that while this is somewhat subjective the Contractor should be encouraged to have substantive information and data available during the evaluation. The scorecard will be employed monthly and assessed every 3 months.

4.1.26.3 The resulting score shall be applied across the measurement period.

SECTION 5. SCORECARDS FOR PURPOSE OF PERFORMANCE MEASUREMENT

5.1 SCORING AND REVIEW OF MAINTENANCE SCORECARD

5.1.1 Reference to KPIs

- 5.1.1.1 The score calculated from the Maintenance scorecard is used to determine the performance level of KPI 16. The Maintenance Scorecard is included in Project Information Document (Volume 4 Book 1).

5.2 SCORING AND REVIEW OF CONTRACT PERFORMANCE SCORECARD

5.2.1 Introduction

- 5.2.1.1 The score calculated from the Contract Performance Scorecard is used to determine the performance level of KPI 19.

- 5.2.1.2 The purpose of the Contract Performance Scorecard is to determine the extent to which the Contractor demonstrates ownership of the performance management cycle. The three basic stages are:

- (a) Planning;
- (b) Monitoring; and
- (c) Action.

- 5.2.1.3 The first item requires a demonstration of proactive behaviour and strategic thinking, anticipating issues before they become serious. The second item is well described throughout Sections 3 and 4, and should be punctually and accurately discharged. The third item is the level of responsiveness to remedial action plans, and will also feed back into the planning stage.

- 5.2.1.4 The rationale behind the Contract Performance Scorecard is that when the Contractor performs well in these areas, there is a direct benefit to both the Contractor and the Employer through minimisation of waste in the relationship. Poor performance which leads to wasted time for the Employer might be demonstrated (*inter alia*) by the following events:

- (a) Simple administrative failures;
- (b) Lack of co-operation or communication;
- (c) Verification, validation, testing, inspection or similar not undertaken as required;
- (d) Failure to remedy a Management System non-conformity in the relevant time period;
- (e) Lack of openness and honesty, or other hindrance to the monitoring process; and

- (f) Resource of process not in place.

Hence, the focus is on ability to forecast and plan, transparency in monitoring and reporting, and effectiveness at defining and implementing remedial actions.

5.2.2 The Principles of Proactive Management

5.2.2.1 Understanding the Employer's Objectives

5.2.2.1.1 This area focuses on assessing how well the Contractor understands the operation of the Contract and the interaction with the National Transaction Clearing House, knowing where the existing improvement needs are and anticipating future needs by communicating with customers and stakeholders and using robust data and methodology to forecast future conditions.

5.2.2.1.2 This area will assess the following performance statements:

- (a) The Contractor understands its statutory and contractual requirements and the impacts that these have on the operation of Contract;
- (b) The Contractor's processes reflect the needs of its customers and stakeholders; and
- (c) The Contractor anticipates future needs based on sound local knowledge of the network and robust forecasting methods.

5.2.2.2 Understanding the Employer's Environment

5.2.2.2.1 This area considers how well the Contractor understands the Employer Objectives as they develop, taking account of the budgetary and technical influences and constraints on the Employer. This are focuses on the degree to which the following performance statements are satisfied:

- (a) The Contractor understands the Employer's need to effectively managing the network and delivering a continuously improving service and how its actions impact on the strategy. It is responsive to changes in emphasis.
- (b) The Contractor understands the Employer's knowledge and information needs and ensures that it provides appropriate access for stakeholders.
- (c) The Contractor understands the constraints on the Employer and works to identify improvements that recognise those constraints.

5.2.2.3 Proposing Effective Solutions

5.2.2.3.1 This area focuses on assessing how well the Contractor strives to put forward effective solutions to the identified needs of the Employer and other project stakeholders. It ensures

proposals are technically sound and represent best industry practice, employing innovation where appropriate. Specifically, the assessment considers the degree to which the following performance statements are satisfied:

- (a) The Contractor makes available appropriate resources to develop improvements and proposals that meet time and quality needs;
- (b) The Contractor works proactively with the Employer to identify innovative improvements;
- (c) The Contractor's proposals are managed such that it ensures they are delivered to least cost (i.e. maximising value) and in a timely manner;
- (d) The Contractor quickly and efficiently develops and implements the solutions and innovations it puts forward. Wherever possible, solutions are developed and implemented without requiring additional funding; and
- (e) The Contractor is proactive in proposing remedial measures and efficient in delivering them once agreed.

5.2.2.4 Demonstrating Added Value

5.2.2.4.1 This area considers how well the Contractor is able to ensure that a sound business case is put forward for each proposal to the Change Review Committee or other mechanisms permitted by the Contract, with due regard for the requirements of Employer processes and the need to demonstrate sound stewardship of both the Contract and the public purse. In this area, two performance statements will be assessed:

- (a) The Contractor effectively demonstrates the added value of its proposals to the Employer; and
- (b) The Contractor reviews its proposals after implementation, verifies whether goals have been achieved and feeds the findings into future proposals.

5.2.3 Scoring

5.2.3.1 The statements in the previous section reflect the core components of the scorecard, and assessment is based on the degree of proactive behaviour evidenced against each one.

5.2.3.2 The scorecard is used in the context of the Performance Review Committee, and will be completed on a quarterly basis (i.e. on every third meeting of that Committee).

5.2.3.3 The Contractor shall generate the scorecard by assessing the degree to which the Contractor's performance agrees with each of 13 statements. Each statement results in a unit score from 0 to 3.

TABLE 5-1: SCORING OF EACH STATEMENT

Units	Degree to which the statement is correct
0	Employer is generally leading the Contractor through the process, no evidence of proactive behaviour from Contractor.
1	Contractor is demonstrating minimal engagement, doing what is necessary to comply with the letter of the Contract and no further.
2	Contractor is demonstrating initiative and aligning closely with Employer's own objectives, but performance may be inconsistent.
3	Contractor is consistently demonstrating excellence in approach, aligned closely with Employer's own objectives, working in partnership and consolidating this through systems and processes where appropriate.

5.2.3.4 The maximum number of units is $13 \times 3 = 39$. Based on this maximum score, the measured score is converted to a percentage to be used in the KPI. The resulting score may be zero or positive depending on the Contractor's Performance.

5.2.3.5 The Contract Performance Scorecard is presented in Section 5.2.4 below.

5.2.4 Contract Performance Scorecard

5.2.4.1 Understanding the Employer's Objectives

5.2.4.1.1 How well does the Contractor understand the operation of the Contract and interaction with the National Transaction Clearing House, knowing where the existing improvement needs are and anticipating future needs by communicating with customers and stakeholders and using robust data and methodology to forecast future conditions?

Statement 1 - The Contractor understands its statutory and contractual requirements and the impacts that these have on the operation of the Contract as whole.			
0 The Contractor has a general awareness of its statutory and contractual obligations to collect and store network data.	1 The Contractor has a working knowledge of its statutory and contractual obligations and this is demonstrated in the way that it operates.	2 The Contractor fully understands its statutory and contractual obligations and carries out its processes in accordance with minimum requirements.	3 The Contractor fully understands its statutory and contractual obligations and the underlying reasons for them, which is evidenced in the way it manages and carries out its processes.
Your score:	Key considerations when scoring:		

Statement 2 – The Contractor's processes reflect the needs of its customers and stakeholders.			
0 The Contractor has a general awareness of who its customers and stakeholders are and what their needs are.	1 The Contractor makes ad-hoc efforts to understand and review the needs of customers and stakeholders. The Contractor has an awareness of the impacts of their needs on its processes.	2 The Contractor identifies the needs of its customers and stakeholders and reviews them at regular intervals. Its processes take their needs into account.	3 The Contractor fully understands the needs of its customers and stakeholders and reviews them on a regular basis through planned consultation. This is evidenced in the way it manages and carries out its processes.
Your score:	Key considerations when scoring:		

Statement 3 - The Contractor anticipates future needs based on robust forecasting methods and sound local knowledge (including traffic demands, system constraints and other factors).			
0 The Contractor has incorporated the information provided by the Employer at the start of the contract into its system and uses this to plan its processes.	1 The Contractor has reviewed information provided by the Employer and updated it where possible.	2 The Contractor has carried out a complete check and understood the issues arising from the information received at the start of the contract. It uses this information to plan its processes. It is reviewed and updated regularly.	3 The Contractor regularly updates its local knowledge of the network using its own skills and experience and through consultation with local stakeholders on a regular and planned basis. The Contractor understands both hard and soft interfaces.
Your score:	Key considerations when scoring:		
Potential actions to improve this cluster that the Contractor can take		Potential actions to improve this area that can be taken by others	

5.2.4.2 Understanding Employer's Environment

5.2.4.2.1 How well does the Contractor understand the Employer's objectives for the Contract, as they develop, taking account of the political, budgetary and technical influences and constraints of the Employer?

Statement 4 – The Contractor understands the Employer's strategy for the Contract as a whole, the need to deliver a continuously improving service and how its actions impact on the strategy. It is responsive to changes in emphasis.			
0 The Contractor takes account of the Employer's strategy and does what it can to help meet targets within the contractual framework. The Contractor's work is consistent with the right and obligations afforded by the Contract and the Contractor aims to meet minimum requirements under the contract.	1 The Contractor understands the project objectives for this scheme, and plans to help meet those objectives. The Contractor is aware of the need to adapt to changing needs and will change its working practices when asked to do so.	2 The Contractor understands the scope and objectives defined by the Contract, the needs to meet contractual performance targets and keeping within budgeted forecasts, and works proactively with the Employer to ensure these targets are met. It also demonstrates clear awareness of the high profile nature of this project in the decisions and actions it takes.	3 The Contractor works in partnership to develop strategy and agree additional objectives for the scheme. It aligns its own objectives with those of the Employer and seeks continual improvement in process. It understands how the Employer works and is trusted to provide solutions that meet the Employer's needs.
Your score:	Key considerations when scoring:		

Statement 5 – The Contractor understands the Employer's knowledge and information needs and ensures that it provides appropriate access for the Employer and the Employer's Representative.			
0 The Contractor has some understanding of the Employer's information needs and provides relatively easy access to Employer IT systems for the people that need it, but interface with the Employer's systems and processes remains time consuming and frustrating for staff	1 The Contractor understands and attempts to deliver the Employer's information needs, including the need for analysed and summarised information to assist with policy formulation and performance review. The Contractor provides easy access to Employer IT	2 The Contractor fully understands and delivers the Employer's information needs, including the need for timely and appropriate analysis to feed into policy formulation and performance review. The Contractor's and Employer IT systems are fully integrated and do not	3 The Contractor fully understands and delivers the Employer's information needs, including the need for timely and appropriate analysis to feed into policy formulation and performance review. The Contractor's and Employer's IT systems are fully integrated and do not require any manual intervention to transfer data to and from each

	systems and (where appropriate) its own staff are made familiar with the Employer's systems and procedures	require excessive manual operation to transfer data to and from each other. The Contractor is able to draw evidence to show that this adds value to the business.	other. The Contractor is able to draw evidence to show that this adds value to the business
Your score:	Key considerations when scoring:		

Statement 6 - The Contractor understands the constraints on the Employer and works to identify improvements that recognise those constraints.

0 Employer has to point out constraints to the Contractor and has to suggest amendments to proposals to mitigate effects.	1 Constraints are recognised by the Contractor, but the Employer still has to propose amendments to proposals to meet the Employer's requirements.	2 Constraints are considered by the Contractor at development stage and mitigation measures taken on board by the Contractor where there is an easy way of doing so.	3 The Contractor works in partnership to ensure that constraints are recognised from an early stage in development and proposals are developed to minimise any adverse affects on the Employer's business.
Your score:	Key considerations when scoring:		
Potential actions to improve this cluster that the Contractor can take 		Potential actions to improve this area that can be taken by others 	

5.2.4.3 Proposing Effective Solutions

5.2.4.3.1 The Contractor strives to put forward effective solutions to the identified needs of the Employer, the Contract and its stakeholders. It ensures proposals are technically sound and represent best industry practice, employing innovation where appropriate.

Statement 7 – The Contractor makes available appropriate resources to develop improvements and proposals that meet time and quality needs.			
0 The Contractor resourcing of staff is not predicted and is carried out as a reactive process.	1 The Contractor ensures that it has appropriate resources available for the task.	2 The Contractor identifies future staff needs and carries out staff training to suit these requirements.	3 The Contractor uses processes to actively identify and manage its future resource needs. It has a programme of staff training that is aligned such that it best meets the predicted requirements of the Employer
Your score:	Key considerations when scoring:		

Statement 8 – The Contractor works proactively with the Employer to identify innovative improvements.			
0 Most ideas for improvement are proposed by the Client and the impetus for change comes mainly from the Client rather than from the Contractor.	1 The Contractor is open to new ideas and will work with the Client when asked to do so. It proposes ideas when these are to its advantage.	2 The Contractor draws on ideas from other sources and proposes improvement actions to the Employer when advantageous to both parties. Contractor staff take an active interest in the improvement process and regularly propose new ideas	3 The Contractor's systems are designed to ensure that its staff keeps abreast of developments in open road tolling. It assesses new ideas systematically. Its planning takes account of future needs and looks to improve service. It looks forward to anticipate future problems.
Your score:	Key considerations when scoring:		

Statement 9 – The Contractor's proposals are managed such that it ensures they are delivered to least cost and in a timely manner.

0 Delivery of proposals is based upon information that is available at the time.	1 The Contractor uses modern programming techniques to assist in delivery on time and to budget.	3 The Contractor uses modern programming techniques to assist in its delivery on time and to budget. It forecasts needs and ensures this is reflected in its management of the programme.	4 The Contractor uses modern programming techniques and constantly monitors them to ensure they are up to date. Sound data is consistently used in forecasting and the forecasting techniques are robust.
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Your score:	Key considerations when scoring:
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Statement 10 – The Contractor quickly and efficiently develops and implements the solutions and innovations it puts forward. Wherever possible, solutions are developed and implemented without requiring additional funding from the Employer.

0 Few solutions and innovations are put forward, and those that are put forward require additional funding from the Employer to develop and implement.	1 The Contractor occasionally proposes solutions and innovations that it proceeds to implement without calling on additional funding, but more usually its proposals are submitted to the Employer for funding of development and implementation.	2 The Contractor generally proposes solutions and innovations (including small changes and continuous improvement) that it proceeds to implement quickly and efficiently, often without calling on additional funding from the Employer.	3 The Contractor is totally proactive, producing solutions and innovations that it proceeds to implement quickly and efficiently. Additional funding is only sought from the Employer as an exception, and then only with a robust business case in hand.
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Your score:	Key considerations when scoring:
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Statement 11 - The Contractor is proactive in proposing remedial measures and efficient in delivering them once agreed.

0 The Contractor shows little understanding of solutions to problems identified by the Performance Review Committee. Most ideas for improvement are proposed by the Client.	1 The Contractor is involved in the process of developing solutions to problems identified. Implementation of remedial measures is mostly behind programme.	2 The Contractor is proactive in proposing robust solutions to problems identified. Implementation of remedial measures is mostly on time and of sufficient quality to minimise recurrence.	3 The Contractor is proactive in proposing robust solutions to problems identified and takes full ownership of delivery to time, quality and budget. Additional measures in place to ensure solution is preventative not just reactive.
Your score:	Key considerations when scoring:		
Potential actions to improve this cluster that the Contractor can take		Potential actions to improve this cluster that can be taken by others	

5.2.4.4 Demonstrating Added Value

5.2.4.4.1 The Contractor ensures that a sound business case is put forward for each proposal, with due regard for the requirements of the Employer processes and the need to demonstrate sound stewardship of both the Contract and the public purse”

Statement 12 – The Contractor effectively communicates the added value of its proposals to its stakeholders and to the Employer.			
0 Communication is only reactive. Most ideas for improvement are proposed by the Employer and the impetus for change comes mainly from the Employer.	1 The Contractor ensures a summary of its schemes and initiatives is communicated to stakeholders and the Employer when it considers this a benefit to do so.	2 The Contractor ensures its proposals are widely explained to all stakeholders and the Employer.	4 The Contractor always ensures its proposals are fully explained to all stakeholders and the Employer via a number of different media to ensure the added value of the proposals is fully understood by those it affects.
Your score:	Key considerations when scoring:		

Statement 13 - The Contractor reviews its proposals after implementation, verifies whether goals have been achieved and feeds the findings into future proposals.			
0 The Contractor process reviews are largely ad hoc and there is little or no evidence of a systematic tool for recording and utilising any lessons learnt.	1 The Contractor maintains a review process although it is based on subjective judgements. Lessons learnt are not systematically fed back.	2 The Contractor systematically reviews its proposals post-implementation. Lessons learnt are not always used in the development of new proposals.	3 The Contractor has a process of systematically reviewing and auditing its proposals to identify whether goals have been achieved. The data obtained from these reviews are always considered in the development of future proposals.
Your score:	Key considerations when scoring:		
Potential actions to improve this cluster that the Contractor can take		Potential actions to improve this cluster that can be taken by others	

5.3 SCORING AND REVIEW OF CUSTOMER SATISFACTION SCORECARD

5.3.1 Reference to KPIs

5.3.1.1 The score calculated from the Customer Satisfaction Scorecard is used to determine the performance level of KPI 11.

5.3.2 Index of Customer Satisfaction Scorecard

5.3.2.1 The Index of Customer Satisfaction Scorecard will be used by the Employer to determine the extent to which the Contractor demonstrates ownership of customer interfaces or any other process that has a direct or indirect influence on the customer perception of the services provided by the Contractor relating to this Contract.

5.3.2.2 The approach to scoring considers how well the Contractor interacts with Customers relating to account registration, handling enquiries and complaints, at all customer interfaces. This includes:

- (a) Customer Service facilities,
- (b) Toll Plazas, and
- (c) Customer Service Kiosks.

for each phase of the account lifecycle, including account registration, payments, enquiry and complaint handling.

5.3.2.3 The general areas on which the assessment will focus include:

- (a) Adherence to the Employer's brand and values,
- (b) The Contractor's level of knowledge,
- (c) Availability of information to Customers,
- (d) Responsiveness to Customer queries, and;
- (e) Overall Customer experience.

5.3.2.4 The score resulting from the application of the Index of Customer Satisfaction scorecard may generate a positive, zero or negative score. Positive scores will apply if, for example, the Contractor introduces additional measures to improve the perception of the quality of interaction with Customers and otherwise present an enhanced service to Customers via the

many channels within the direct scope of the Contractor. For example, positive scores will apply if Customers are treated efficiently and courteously in response to enquiries and complaints.

5.3.2.5 Overall, high levels of performance will contribute positively to customer perception of the project, thus benefiting the project and the Employer. Hence the focus is on the ability of the Contractor to meet Customer expectations, ensuring transparency in monitoring and reporting, and being effective at defining and implementing feedback and other measures to improve service delivery.

5.3.3 Proactive Customer services delivery

5.3.3.1 This area will assess the performance of the Contractor according to the following statements:

- (a) The Contractor's customer service facilities are available and adequately resourced,
- (b) The Customer waiting time is not onerous on Customers and, whilst this may vary depending on time of day and location (for physical Points of Presence), then aiming for less than 10 minutes maximum,
- (c) The Contractor is polite and helpful at all times, showing interest in Customer issues even when Customers may not always be able to fully vocalise their needs,
- (d) The Contractor is knowledgeable on products and services offered, has access to supporting information,
- (e) Relevant information is provided to Customers on the most suitable products to meet Customer needs, including use of Tags,
- (f) The Contractor operates an efficient enquiry handling service and is able to escalate enquiries where necessary, and;
- (g) The Contractor demonstrates a willingness to request and disseminate feedback from Customers and, where possible, suggest related service improvements to the Employer.

5.3.4 Scoring

5.3.4.1 The statements in the previous section reflect the core components of the scorecard, and assessment is based on the degree of proactive behaviour evidenced against each one.

5.3.4.2 The scorecard is used in the context of the Performance Review Committee, and will be completed quarterly.

- 5.3.4.3 An assessment will be made for each customer contact channel listed in section 5.3.2.2 above.
- 5.3.4.4 An independent 3rd party shall be appointed by the Contractor with approval from the independent Engineer to conduct one or more user response surveys focused on 7 areas of performance.
- 5.3.4.5 The results of this will be used to generate the scorecard by assessing the Contractor's performance in each of the areas relative to the 4 statements listed for each area. Each statement results in a unit score from 0 to 3 being allocated to that area.
- 5.3.4.6 The diversity of feedback that may be generated through such surveys may result in spread of results. For this reason, and to ensure that any polarisation is properly captured in the final scoring, a two stage scoring process will be used.
- 5.3.4.7 Firstly, the band selected in each statement will represent the lowest band, above which, 60% of the survey responses (by individual or organisation) are represented. However, if more than 10% of views are in the lowest band (unit score = 0) then the band shall be set to this band for the purposes of scoring and the Contractor shall prepare a Recovery Plan that addresses prioritised issues raised by the survey. The Recovery Plan shall be presented within 10 days of the first Performance Review Committee following publication of the survey results to the Contractor. The process for implementing the Recovery Plan shall be agreed between the parties prior to Commencement of Operations.
- 5.3.4.8 The maximum unit score is 21 against which the total score is calculated then mapped into the appropriate band in the respective KPI to determine the applicable score.

TABLE 5-2: SCORING OF EACH STATEMENT

Units	Degree to which the statement is correct
0	The Employer is generally leading the Contractor through the process, with little evidence of compliant behaviour from Contractor, placing the reputation of the Employer at risk due to poor quality delivery of Customer services and providing a poor project image.
1	Contractor is demonstrating minimal engagement, failing to continuously do what is necessary to comply with the Contract and generally working in a reactive, inconsistent and unplanned environment. Customer service suffers from variable quality and inconsistency between channels.
2	Contractor is carrying out the requirements of the Contract, demonstrating initiative and good order. The quality of service delivery is generally satisfactory.
3	Contractor is consistently demonstrating excellence in approach, demonstrating proactive behaviour to customer services, and consolidating this through regular improvement to the services delivery and overall Customer perception.

- 5.3.4.9 A summary of comments offered by Customers during the survey stage may be provided to the Contractor at scheduled Performance Review Committee meetings to inform service quality improvements and to assess the Contractor's progress against previously agreed remedial actions.
- 5.3.4.10 The Index of Customer Satisfaction Scorecard is presented in Section 5.3.5 below.

5.3.5 Index of Customer Satisfaction

5.3.5.1 Availability and capacity of Customer Service facilities

5.3.5.2 It is important that the customer contact channels deliver a high quality and efficient service. These channels should be available when needed; the quality of the interaction should be predictable and consistent whilst respecting the varied needs of different customer segments. Finally, the Customer's perception of interactions with services provided by the Contractor for the purposes of account registration, enquiries and complaints should be of a high quality and meet Customer expectations.

Statement 1 - The Contractor's customer service facilities are available, functional and adequately resourced during the advertised hours of operation			
0	1	2	3
<p>The customer service facilities provided by the Contractor show no evidence that availability and accessibility targets are being met consistently across sites and when available, Contractor resourcing of staff and IT support systems is inadequate, thereby adversely impacting the perception of the operation and potentially damaging the reputation of the Employer.</p> <p>No meaningful evidence of record keeping or reporting.</p>	<p>The Contractor's working procedures result in a measurable variation in service quality as perceived by Customers amongst Customer Service facilities. Resourcing of staff and IT support systems does not enable consistency of service delivery between sites and between survey measurement periods.</p> <p>Little meaningful evidence of record keeping or reporting in evidence.</p>	<p>The Contractor demonstrates a good understanding of high quality customer service, its facilities are adequately resourced and to meet agreed plans, staff are available when required and at a level required to meet the Contractor's obligations to maintain Customer Service facilities.</p> <p>Sound record keeping and reporting practises are demonstrated and adhered to.</p>	<p>The Contractor fully understands its obligations to ensure that its customer contact channels deliver high quality services consistently at each point of interaction with Customers and between such channels, the appropriate quantity and grade of staff are available to meet demands and Customer expectations of service quality, there is a high understanding of the importance of quality customer service to enhance public perception and the reputation of the Employer.</p> <p>Predictive reporting and record keeping in place.</p>
Your score:	Key considerations when scoring:		

Statement 2 - The Contractor endeavours to ensure that Customer waiting time is no longer than [ten] minutes from the point at which Customers access the Contractor's telephone service or enter the Contractor's customer service facility until a representative attends to the Customer's needs.			
0	1	2	3
<p>Waiting time is consistently long (often in excess of 10 minutes), there is no evidence that attempts are being made to provide sufficient capacity to meet demand thus severely impacting on perceived service quality and potentially damaging the reputation of the Employer.</p> <p>There is little or no evidence that Feedback from surveys and Customers relating to queuing time is being used where needed to remedy related deficiencies.</p>	<p>Waiting times are mostly less than 10 minutes but vary markedly between customer contact channels and between times of day creating adverse impact on Customer perception of service quality.</p> <p>Feedback from surveys and Customers is used in a measurable but limited way to reduce queuing time experienced by the majority of Customers.</p>	<p>Waiting times are short, and mostly less than 10 minutes and resulting Customer perceptions of service availability and accessibility are satisfactory.</p> <p>Feedback from surveys and Customers is mostly used to maintain rather than improve service quality relating to queuing.</p>	<p>Waiting times appear to be consistently short, regardless of the time of day and measurable efforts are being made by the Contractor to reduce the waiting time further to meet Customer expectations, for all Customer categories.</p> <p>Feedback from surveys or directly from Customers informs suggestions by the Contractor to ensure continuous improvement in waiting time for all categories of Customer and value of time measures are often used to consider the cost to Customers of such interactions.</p>
Your score:	Key considerations when scoring:		
Potential actions to improve this cluster that the Contractor can take		Potential actions to improve this area that can be taken by others	

5.3.5.3 Politeness and Helpfulness

- (a) How well does the Contractor demonstrate politeness, helpfulness and interest in dealing with Customer issues? Customers may not be able to properly formulate or explain their needs so a meaningful interaction may be required, facilitated by Contractor insight. Being responsive also often requires an understanding of the historic needs of specific Customer market segments.

Statement 3 - The Contractor is polite and helpful at all times, showing concern and interest in Customers' specific issues			
<p>0</p> <p>The Contractor is often regarded as being unhelpful, impolite and lacks sensitivity to Customer needs. Customers are given little support to help vocalise their issues, concern is seldom demonstrated and the interaction across most channels is invariably driven by Customers themselves. Overall Customer perception of the helpfulness, politeness and responsiveness of the Contractor is poor.</p> <p>There is no evidence to suggest that feedback from surveys and Customers is used selectively to improve the ability of each channel to properly deal with Customer issues.</p>	<p>1</p> <p>The Contractor's performance across channels is variable although in most cases delivers a polite, helpful and responsive service.</p> <p>Customer needs are usually fulfilled although there is a significant majority of events where the Contractor has not demonstrated a high quality service.</p> <p>Feedback from surveys and Customers is used periodically although its effect remains limited and selective.</p>	<p>2</p> <p>In its contacts with Customers, the Contractor is generally regarded as being polite, helpful and shows an interest in dealing with Customer issues.</p> <p>Customer needs are mostly fulfilled and on the whole the Contractor is meeting Customer expectations and Contract obligations.</p> <p>Feedback from surveys and Customers is used selectively to improve the ability of each channel to properly deal with Customer issues.</p>	<p>3</p> <p>In its contacts with Customers, the Contractor is consistently regarded as being polite, helpful and shows an interest in dealing with Customer issues.</p> <p>The Contractor proactively seeks to assist Customers and uses historic information for Customer market segments, feedback from surveys and, where available, historic information on a specific Customer to deliver superior levels of Customer service.</p> <p>Customer needs are anticipated and Customer Services workflow is enhanced accordingly.</p>
Your score:	Key considerations when scoring:		
Potential actions to improve this area that the Contractor can take		Potential actions to improve this area that can be taken by others	

5.3.5.4 Contractor level of knowledge, availability of information and use of feedback

- (a) The Contractor has many opportunities to interact with Customers and many queries can often be categorised to ensure an efficient and relevant responses are presented. However, non-standard enquiries may require a greater knowledge of the products and services offered to Customers or alternatively escalation within the Contractor's organisation. Enquiries that do not relate to the scope of the Concession Contract may require

the Contractor staff to refer the Customer to an external party. So, overall does the Contractor demonstrate sufficient knowledge and availability of information to efficiently address Customer enquiries, demonstrates sensitivity to Customer needs, uses feedback where given, escalates enquiries when appropriate or, when an enquiry is clearly out-of scope of the Concession, provide references to other external parties?

Statement 4 – The Contractor is knowledgeable in addressing Customer queries, having access to relevant information and making clear recommendations on what to do next.			
0	1	2	3
<p>Interactions with the Contractor by Customers invariably reveal poorly trained Customer Service Representatives with limited knowledge of the products and services that underpin the Concession. The response to many Customer enquiries show a similar lack of understanding and, by default, require Customers to seek other sources of information.</p> <p>There is no evidence to suggest that feedback from surveys and Customers is used selectively to trigger the level of training or knowledge held by Representatives.</p>	<p>Customers experience marked variations between channels apparently resulting from variation in capability and knowledge between Customer Service Representatives. In a significant minority of cases, escalation where needed, is not possible and follow-up is usually needed thus occupying additional Contractor resources and inevitably consuming Customer goodwill.</p> <p>Feedback on service delivery is used selectively.</p>	<p>In most cases Customer enquiries are managed effectively using standardised responses where possible and escalation where not.</p> <p>Overall, the Contractor is able to deal with enquiries with infrequent need for follow-up by Customers or the Contractor. Overall, Customers are generally satisfied with the knowledge shown by Customer Service Representatives.</p> <p>Feedback from surveys and Customers is used where needed to maintain consistency in service quality.</p>	<p>Customer interactions exceed Customer expectations, the knowledge demonstrated by Customer Services Representatives permits an efficient interaction and, on the whole, Customer enquiries are dealt with in one event. Enquiries and other issues are escalated efficiently and Customers perceive attentiveness and responsiveness. Where enquiries are outside of the remit of the Contractor, Customers are sufficiently informed to look elsewhere.</p> <p>Feedback triggers service improvements.</p>
Your score:	Key considerations when scoring:		
		

Statement 5 - The Contractor provides information appropriate to Customer needs, including tariffs and applicable discounts, benefits of registration, personalised account information and specific support on the Customers' use of their Tags.

0	1	2	3
<p>The Contractor shows little evidence that Customers preferences and/or their road usage patterns were taken into account in the selection of the most suitable account type and mis-selling is common. The availability of discounts, where appropriate, was not promoted and Customers were given no (or very limited) additional information on use or management of their Tags.</p> <p>There is little or no evidence that Feedback from surveys and Customers relating to Customer profiles and product matching is being used.</p>	<p>There is measurable evidence that services and products have been inappropriate resulting in further interactions between the Contractor and Customers. In many cases discounts have not been made available or not properly represented even when Customers claim to have stated their eligibility. Tag support has not always been made available when needed.</p> <p>Feedback on service delivery is used selectively.</p>	<p>The majority of Customers receive service and account products that are appropriate to their expressed preferences and road usage patterns. Overall, Customers are satisfied and the account types fairly match Customer needs. Discounts are made available to Customers and the majority of Customers receive the appropriate discounted product.</p> <p>Feedback from surveys and Customers is used where needed to maintain consistency in product matching with needs.</p>	<p>The Contractor demonstrates pro-active behaviour to ensure that Customers register for the most appropriate accounts. Overall services are delivered in a personalised manner and Customer's individual needs are met regardless of Customer market segment or contact channel. Advice of the use of Tags is offered resulting in low levels of Tag-related Customer follow-up.</p> <p>Customer needs are anticipated and Customer Services workflow is enhanced accordingly.</p>
Your score:	Key considerations when scoring:		

Statement 6 –The Contractor endeavours to refer any general queries relating to scheme and its operation to the most appropriate person or party.

0	1	2	3
<p>The Contractor frequently demonstrates a reluctance or inability to escalate general enquiries. Customers are dissatisfied and often, several interactions are needed to fully resolve Customer enquiries to the cost of both the Contractor and Customers.</p> <p>There is no evidence to suggest that feedback from surveys and Customers is used to improve the ability of the Contractor to refer enquiries within its organisation.</p>	<p>A measurable minority of Customers are left with an incomplete response to general enquiries or feel the need to drive the interaction with the Contractor to reach a satisfactory resolution. There is some evidence that escalation is used although this depends on the time-of-day and channel, suggesting some knowledge and/or resource limitations.</p> <p>Feedback on enquiry handling and use of referral or escalation is used selectively.</p>	<p>Overall the Contractor delivers satisfactory performance and most enquiries, despite variation in complexity, are handled effectively. Escalation is used strictly when needed.</p> <p>Feedback from surveys and Customers is used where needed to maintain consistency in enquiry handling services.</p>	<p>Invariably, the Contractor is responsive to the needs of Customers in choosing the appropriate person or party to help conclude the enquiry. The Contractor rapidly understands the subject matter and ensures a rapid and efficient referral across contact channels, if needed, to ensure Customer satisfaction.</p> <p>Feedback triggers service improvements.</p>

Your score:	Key considerations when scoring:

Statement 7 – The Contractor asks for Customer views and, if Customers offer constructive feedback, then the Contractor informs Customers of what it will do with such feedback.			
<p>0</p> <p>The Contractor rarely, if at all, requests feedback from Customers. In turn, Customers comments or feedback from any of the Contractor's contact channels do not result in any externally visible improvement in performance.</p> <p>There is no evidence that the results of surveys conducted by the Employer are used to augment its own performance measurement processes.</p>	<p>1</p> <p>The Contractor requests feedback with little evidence of it being used to maintain or enhance service quality or feedback is not requested at all from some channels. Customers are frequently dissatisfied and believe that feedback provided is not been used</p>	<p>2</p> <p>Customers are frequently asked for their views by a variety of media and methods and the Contractor incorporates the results of its findings to maintain general service delivery quality across relevant channels. Generally, Customers believe that feedback provided is being used to their benefit.</p> <p>Additional feedback provided by the Employer from its surveys is integrated by the Contractor into its own findings.</p>	<p>3</p> <p>The Contractor facilities Customers to provide feedback, requests feedback where appropriate, conducts independent measurements of performance from the perspective of Customers. The Contractor shows transparency in reporting results of its surveys (or similar) and directly links these to service improvements.</p> <p>Feedback provided by the Employer is integrated into an continuous service quality development regime that is visible to Customers and to their direct benefit</p>
Your score:	Key considerations when scoring:		
Potential actions to improve this area that the Contractor can take		Potential actions to improve this area that can be taken by others	

SECTION 6. PENALTIES

6.1 GENERAL

- 6.1.1 The Contractor must use the Clause numbers in this section in the Project Document (Volume 3) for the amount of each penalty listed in this section.
- 6.1.2 The Contractor is to note that the penalty and Incentive amounts for each Clause in this section will be calculated as percentage (%) of the monthly Operations and Maintenance fee (excluding capital expenditure) per Control Centre as Specified in the Project Document (Volume 3).

6.2 PROJECT COMMENCEMENT: HANDOVER AND PROVISIONS OF DOCUMENTS

- 6.2.1 In the event that the Contractor does not fully comply with its obligations relating to maintenance of documents, drawings and Software in terms of Clauses 2 of the Standard Specifications of the Operations and Maintenance for CTROM Projects: General (Volume 2 Book 2a) herein, the Contractor shall pay a penalty for the following:

- 6.2.1.1.1 for the initial event of non-compliance and for each month of non-compliance thereafter.
- 6.2.1.1.2 for the annual event of non-compliance and for each month of non-compliance thereafter

6.3 OPERATIONS PERIOD - FINANCIAL MANAGEMENT

- 6.3.1 In the event that the Contractor does not provide for and accept all specified Methods of Payment as specified in Clause 7 of the Standard Specifications of Operations and Maintenance for CTROM Projects: General (Volume 2 Book 2a) from the Commencement Date of the Operations Service Period or such other date as may be stipulated by the Employer Representative, the Employer shall be entitled to terminate this Agreement. Alternatively, the Contractor shall pay a penalty for the initial event of non-compliance and for each month of non-compliance thereafter.
- 6.3.2 In the event that the Contractor does not comply with the VAT business rules contained in the Standard Specifications for Operations and Maintenance of CTROM Projects: Toll Systems (Volume 2 Book 4a) from the Commencement Date of the Operation Service Period or such other date as stipulated by the Employers Representative, the Employer shall be entitled to terminate this Agreement. Alternatively, the Contractor shall pay a penalty for the initial event of non-compliance and for each month of non-compliance thereafter.

6.4 OPERATIONS PERIOD – TRAFFIC MANAGEMENT

- 6.4.1 In the event that the Contractor does not meet the Queue Length Specification in terms of Clause 10.3 of the Standard Specification for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a) during any 15 (fifteen) minute period of monitoring done by the Contractor or the Employer's Representative, the Contractor shall pay a penalty for each 15 (fifteen) minute period of non-compliance.
- 6.4.2 In the event that the Contractor meets the Queue Length Specification in terms of Clause 10.3 of the Standard Specifications for Operations and Maintenance for CTROM Projects: General (Volume 2 Book 2a) during any 15 (fifteen) minute period of monitoring done by the Contractor or Employer Representative for a period, as specified in the Project Document (Volume 3), the Employer shall pay an incentive to the Contractor.
- 6.4.3 In the event that the Contractor does not meet the Average Service Time Specification in terms of Clause 10.5 of the Standard Specifications of Operations and Maintenance for CTROM Projects: General (Volume 2 Book 2a) the Contractor shall pay the penalty for each event of non-compliance.
- 6.4.4 In the event that the Contractor meets the Average Service Time Specification in terms of Clause 10.5 of the Standard Specifications of Operations and Maintenance for CTROM Projects: General (Volume 2 Book 2a) for a period, as specified in the Project Document (Volume 3), the Employer shall pay an incentive to the Contractor.
- 6.5 EQUIPMENT FUNCTIONALITY**
- 6.5.1 In the event of an MIS failure, the Contractor shall pay a penalty for each day that such failure was recorded or for each day or part thereof that data loss occurred.
- 6.5.2 In the event that the Contractor process more than ten (10) vehicles in a lane where the AVC is in Critical Error Mode, the Contractor shall pay a penalty for each event of non-compliance. This penalty shall be applied per event of non-compliance up to a maximum of twenty (20) events per lane per calendar month.
- 6.5.3 In the event the Contractor has not submitted the complete results of the initial AVC accuracy certification process (including all requisite corroboratory information) as indicated in the Standard Specifications for Operations and Maintenance of CTROM Projects: Toll Systems (Volume 2 Book 4a) within forty five (45) days after the completion of the initial AVC monitoring period, the Contractor shall pay a penalty per week until such time as these results have been submitted to the Employer Representative.
- 6.5.4 In the event that the Contractor operates the lanes in Manual Mode, the Contractor shall pay the following penalties –

- 6.5.4.1 Operation in Manual Mode for a period of less than 1 (one) hour for each event of non-compliance.
- 6.5.5 In the event that the Contractor does not comply with the AVC system/the Employer interface requirements of the Standard Specifications for Operations and Maintenance for CTROM Projects: Toll Systems (Volume 2 Book 4a), from the Commencement Date or such other date as stipulated by the Employers Representative, such non-compliance, the Contractor shall pay a penalty per equipment type for each event of non-compliance. This penalty shall be applied once per calendar month, for each calendar month of non-compliance.
- 6.5.6 In the event that the Contractor's Toll Collection Lane Equipment does not comply with the requirements for User Fare Displays, Receipts and/or Lane Tax Invoices issued in the Lanes, Tariff boards, Lane mode boards, Overhead Lane Signs and Traffic Lights (User interface), as contained in the Standard Specifications for Operations and Maintenance for CTROM Projects: Toll Systems (Volume 2 Book 4a), the Contractor shall pay a penalty per equipment type for each event of non-compliance. This penalty shall only be applied once per month, for each month of non-compliance.
- 6.5.7 In the event that the Contractor does not comply with the interface requirements between all other systems excluding the AVC, and the Employer, as contained in the Standard Specifications for Operations and Maintenance for CTROM Projects: Toll Systems (Volume 2 Book 4a) from the Commencement Date or such other date as stipulated by the Employers Representative, the Contractor shall pay a penalty for each month of non-compliance.
- 6.5.8 In the event that the Contractor does not fully comply with the requirements of the Standard Specifications for Operations and Maintenance for CTROM Projects: Electronic Toll Collection (ETC) (Volume 2 Book 5), the Contractor shall pay a penalty for each month of non-compliance and for each month of non-compliance thereafter.
- 6.5.9 In the event that the Contractor does not provide a detailed program for the complete Toll System upgrade/replacement activities within 45 (forty-five) days after the commencement date, the Contractor shall pay a penalty as specified in the Project Document (Volume 3) per day for each day or part thereof, that the program is submitted late.
- 6.5.10 In the event that the Contractor does not meet the dates for the milestone targets (listed below), as indicated on the approved Toll System upgrade/replacement program, the Contractor shall pay a penalty. This penalty shall be applied per event where milestone target dates have not been met by the Contractor:
- 6.5.10.1 10% of the penalty indicated in Clause 6.8.6 shall be paid by the Contractor upon failure to submit the functional specifications by the approved program date.

- 6.5.10.2 30% of the penalty indicated in Clause 6.8.6 shall be paid by the Contractor if the Contractor fails to successfully complete the hardware and software factory acceptance tests, as per the requirements of the Agreement, by the approved program date.
- 6.5.10.3 30% of the penalty indicated in Clause 6.8.6 shall be paid by the Contractor if the Contractor fails to successfully complete the software factory acceptance tests, as per the requirements of the Agreement, by the approved program date.
- 6.5.10.4 40% of the penalty indicated in Clause 6.8.6 shall be paid by the Contractor if the Contractor fails to successfully complete functional compliance as per the requirements of the Agreement, by the approved program date.
- 6.5.10.5 45% of the penalty indicated in Clause 6.8.6 shall be paid by the Contractor if the Contractor fails to successfully complete Site Acceptance Tests, as per the requirements of the Agreement, by the approved program date.
- 6.5.10.6 50% of the penalty indicated in Clause 6.8.6 shall be paid by the Contractor if the Contractor fails to successfully complete Provisional Compliance, as per the requirements of the Agreement, by the approved program date.
- 6.5.10.7 55% of the penalty indicated in Clause 6.8.6 shall be paid by the Contractor if the Contractor fails to successfully complete the Final System Testing, as per the requirements of the Agreement, by the approved program date.
- 6.5.10.8 In the event that the Contractor fails to achieve full system compliance for the toll system upgrades/replacements by the deadline indicated in the Project Document (Volume 3), the Contractor shall pay a penalty of R5000 (Five Thousand Rand) per day for each day that the full system compliance is not achieved for the tolls system and certified by the Employer Representative to be compliant in terms of the agreement.
- 6.5.10.9 In the event that the Contractor does achieve full System Compliance on the Toll System, and is certified by the Employers Representative as compliant with the conditions of the agreement, prior to the deadline indicated in the Project Document (Volume 3). The Contractor shall receive an incentive payment of R75 000,00 (Seventy Five Thousand Rand) for each month or part thereof that the full system compliance has been achieved prior to the deadline indicated in the Project Document (Volume 3) up to a maximum of 3 (three) months.

6.6 DAMAGE TO ASSETS

- 6.6.1 In the event that the Contractor does not comply with its obligations relating to recording and reporting of damage in terms of Clause 13.2.5 of the Standard Specifications of

Operations and Maintenance for CTROM Projects: General – (Volume 2 Book 2a), the Contractor shall pay a penalty for each occurrence.

6.7 ASSET MANAGEMENT – ASSET MANAGEMENT SYSTEM

6.7.1 In the event that the Contractor does not comply with its obligations relating to Asset Management System as detailed in Clause 14.4 of the Standard Specifications of the Operations and Maintenance for CTROM Projects: General (Volume 2 Book 2a), the Contractor shall pay a penalty for the following:

6.7.1.1.1 for the initial event of non-compliance and for each month of non-compliance thereafter.

6.7.1.1.2 for the annual event of non-compliance and for each month of non-compliance thereafter.

6.8 ASSET MANAGEMENT – ELECTRICAL AND MECHANICAL MAINTENANCE

6.8.1 In the event that more than 10% (ten percent) of the canopy luminaires are not functional at any Toll Plaza, the Contractor shall pay a penalty for each event of non-compliance.

6.8.2 In the event that more than 10% (ten percent) of the lighting mast luminaires are not functional at any Toll Plaza, the Contractor shall pay a penalty for each event of non-compliance.

6.8.3 In the event that the Contractor does not submit a 3 (three) yearly corrosion status reports on all assets, in accordance with the Standard Specifications of the Operations and Maintenance for CTROM Projects: General (Volume 2 book 2a), within 5 (five) Business Days after the last day of each 2 (two) month period commencing from the Commencement Date, the Contractor shall pay a penalty for each event of non-compliance, and every subsequent month thereafter.

6.8.4 In the event that the Contractor does not submit a monthly handyman, HVAC or equipment failure report, in accordance with the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 book 2a), Contractor shall pay a penalty for each event of non-compliance, and every subsequent month thereafter.

6.9 GENERAL - UTILITIES, SERVICES AND LEVIES

6.9.1 In the event if an interruption of electricity supply to any Toll Plaza as a result of the Clause 15.1 of the Standard Specifications of the Operations and Maintenance for CTROM Projects: General (Volume 2 Book 2a) the Contractor shall pay a penalty. Without prejudice to any other remedy which the Employer may have either in terms of this Agreement or in law, the Employer shall be entitled to call on the Performance security.

6.9.2 In the event of non-compliance by the Contractor of its obligations pursuant to Clauses .15.1 of the Standard Specifications for Operations and Maintenance for CTROM Projects: General – Volume 2 Book 2(a), (save in respect of electricity supply), the Contractor shall pay for each event of non-compliance.

6.9.3 In the event of an interruption in the UPS or emergency electricity supply to the Toll Plaza, the Contractor shall pay the following penalty:

6.9.3.1 For interruptions of less than 1 (one) hour, a penalty for each event of non-compliance, and

6.9.3.2 for interruptions of more than 1 (one) hour, a penalty for each event of non-compliance.

6.10 GENERAL - SAFETY AND SECURITY

6.10.1 In the event that the Contractor does not comply with its obligations specified in Clauses 15.4 of the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a), the Contractor shall pay a penalty for the each event of non-compliance.

6.10.2 In the event that the Contractor achieves any type of safety rating, i.e. NOSA-5star or similar, during the duration of this agreement, an incentive for the safety ratings obtained during a twelve (12) month period will be paid to the Contractor.

6.11 GENERAL - QUALITY ASSURANCE

6.11.1 In the event that the Contractor does not comply with its obligations specified in Clause 15.5 of the Standard specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a), the Contractor shall pay a penalty for each event of non-compliance.

6.12 PROJECT COMPLETION AND HANDBACK

6.12.1 In the event that the Contractor does not comply with its obligations relating to the handover of documents to the Next Contractor pursuant to the provisions of this Agreement, the Employer shall without prejudice to any other remedy which the Employer may have pursuant to this Agreement and in law, be entitled to call on the Performance Security, if any.

6.13 TOLL ROAD SERVICES INCIDENT MANAGEMENT SYSTEM

6.13.1 In the event the Contractor does not comply with all the requirements related to the participation of Incident Management System specifications as specified in Clause 19.2

of the Standard Specifications of Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a), then the Contractor shall pay a penalty for each event of non-compliance.

6.14 TOLL ROAD SERVICES – ROUTE PATROL SERVICES

6.14.1 In the event that the Contractor does not meet the following route service patrol specifications. The following penalties shall apply:

6.14.1.1 If the Contractor does not comply to the frequency of Route Service Patrols and the number of Patrol Vehicles as specified in the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a) then the Contractor pay a penalty for each day of non-compliance.

6.14.1.2 If the Contractor does not comply with activities listed in Clause 19.4 of the Standard Specifications for Operations and Maintenance CTROM Projects: General (Volume 2 Book 2a) then the Contractor pay a penalty for each day of non-compliance.

6.14.1.3 If the Contractor does not comply with the verification of incidents listed in Clause 19.4 of the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a) then the Contractor pay a penalty for each day of non-compliance.

6.14.1.4 If the Contractor does not comply with the minimum required equipment specified in Clause 19.4 of the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a) then the Contractor pay a penalty for each day of non-compliance.

6.15 TOLL ROAD SERVICES – CUSTOMER CALL CENTRE

6.15.1 In the event that the Contractor does not meet the requirements related to the Customer Call Centre as specified in Clause 19.3 of the Standard Specifications for Operations and Maintenance of CTROM Projects: General (Volume 2 Book 2a). The Contractor shall pay a penalty for each day of non-compliance.