Supplier Performance Evaluation Framework

NZ TRANSPORT AGENCY WAKA KOTAHI

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More information

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1. Introduction

The Minimum Standard Z/12 provides a comprehensive approach and framework for Supplier Performance Evaluation, applicable to all Professional Services and Physical Works contracts relating to Consultants, Non-Engineering and Capital projects.

This Minimum Standard provides a robust set of Key Result Areas (KRA) and Key Performance Indicators (KPI) which will be used for the evaluation of Supplier Performance. It also provides clear guidance on the expectations and behaviours NZTA is encouraging across each KRA from the Supplier and how NZTA will collaboratively support and engage the Supplier to effectively manage performance. From this Minimum Standard, a Supplier participating in a contract for which the Performance Evaluation process applies, can obtain insight to where focus should be targeted to enable greater delivery success against the contract, as well as a record of the Supplier's performance across the full contract upon completion.

Evaluation Outcomes from iPACE will be recorded in the Supplier Track Record, used by NZTA Procurement to assess Supplier suitability for future allocation of tendered work.

1.1. Glossary of Terms used in this Minimum Standard

Term	Description
NZTA Suppliers	Organisations directly engaged with NZTA to perform work across Professional Services and Physical Works contracts.
Professional Services Contract	Contracted work that does not require build or physical works (e.g. design, investigation, consultancy, etc)
Physical Works Contract	Contracted work that requires build and/or physical works (e.g. contractors)
Key Result Area (KRA)	Areas of outcomes necessary for delivery excellence that must be accomplished to consider the contract successfully fulfilled.
KRA Min/Max Ranges	The minimum and maximum weightings that can be applied to a KRA
Key Performance Indicator (KPI)	Measurable metrics that enable the evaluation of performance against predetermined outcomes to evaluate the success or effectiveness of actions taken within a KRA.
Mandatory KPIs	KPIs that are mandated as applicable to every contract: - Delivery to Agreed Cost (Cost) - On Time Delivery (Time) - Quality Work (Quality) - Health, Safety & Wellbeing - Collaborative Behaviour
Critical KPIs	An overall evaluation score of "Meets Few Requirements" will be given if one of the following Critical KPIs are rated the same: - Delivery to Agreed Cost (Cost) - On Time Delivery (Time) - Quality Work (Quality) - Health, Safety & Wellbeing
Performance Evaluation	Process of reviewing Supplier actions/activities against a predetermined metric (KPI).

Full Contract Evaluation	The last performance evaluation for a contract. This evaluation assesses performance over the entire contract lifecycle, not just the previous evaluation period.
Evaluation Option	A list of 5 options selectable against each KPI.
Evaluation Outcome	Overall rating achieved through the individual Performance Evaluation process.
iPACE	Digital system used to capture the evaluation metrics of the Performance Evaluation.
Supplier Track Record	Historic record of all Performance Evaluations and Evaluation Outcomes conducted for a Supplier, accessible by NZTA Procurement and used to support evaluation of Supplier tender responses to Market RFPs.
Performance Rating	Different outcome levels that can be achieved by Suppliers as measured and assessed through the Performance Evaluation process.

2. Purpose and Objectives of Supplier Performance Evaluation

The purpose of this Supplier Performance Framework is to support delivery excellence and lift capability across the sector by enabling and documenting better conversations with suppliers about performance and improvement opportunities and feeding this into future procurement.

This purpose is enabled by three main objectives of the Framework:

- To provide a means of systematically monitoring performance of NZTA Suppliers against contractual obligations.

- To enable continuous dialogue between NZTA and Suppliers to drive high levels of engagement, fostering collaboration and increasing performance by encouraging Suppliers to consider and deliver against the Key Performance Indicators within the Key Results Areas.

- To enable a historical database of Performance Evaluation outcomes that assist NZTA in understanding Supplier track record for future tender evaluations.

3. Frequency of PACE Evaluations

The frequency of Performance Evaluations shall be as set out in the table below:

Contract Type	Contract Size	Frequency of Evaluations
Professional Services	Any single engagement that exceeds $250,000 unless by exception from Head of Procurement	All contracts that meet the Contract Size threshold shall have a Full Contract Evaluation completed with iPACE. Any contract that meets the Contract Size threshold and operates longer than 3 months, shall undertake Interim Evaluations with iPACE at least once every 3 months, as decided by the NZTA Project Manager.
Physical Works		Interim Evaluations can be extended to every 6 months by exception with appropriate justification e.g. in the

		post-construction project phase during the defect liability period if no progress is expected within a 3-month period.

Evaluations can be completed against lower value contracts upon agreement with PM and Supplier.

The NZTA Project Manager is responsible for ensuring performance evaluations are carried out at the agreed frequencies. The NZTA Project Manager is also responsible for ensuring that the Supplier receives sufficient notice of a pending performance evaluation of the Supplier, in order to be able to arrange participation in the evaluation. If the Supplier is unable to attend, they may nominate a delegate to attend, or request that the evaluation proceeds without them.

4.   Evaluation Status

The NZTA Project Manager and Supplier shall determine and agree the status of the supplier's Performance Evaluation, classified as either Interim or Full Contract Evaluation.

4.1. Interim Evaluations

Interim Evaluations are undertaken to provide feedback on a Supplier's performance during the contract period, with the objective of measuring performance during the contract to identify early on where service improvements may be required to meet KPIs and KRAs.

Interim Evaluations should be used to facilitate a performance related discussion that flushes out performance issues or barriers to improving performance, gives objective and real time feedback, and aids the resolution of differences. As such, they may vary from evaluation to evaluation, depending on a Supplier's performance in that period and represents only the performance of the Supplier in the period since the last evaluation.

The Evaluation Outcome should not come as a surprise to either party to the evaluation, due to the level of interaction and constructive engagement that the NZTA Project Manager and Supplier will have between evaluation periods. The Evaluation Outcome will also provide a baseline for forward planning and proactive performance management between the NZTA Project Manager and Supplier, with the period leading into the next Interim Evaluation used to collaboratively address considerations that may impact the next Evaluation Outcome.

4.2. Full Contract Evaluations

The Full Contract Evaluation is the final performance evaluation for a contract. The Full Contract Evaluation for a particular contract will be assessed upon completion of the contract.

Each Full Contract Evaluation requires comments to be entered into the final comment box. Such comments shall amplify features of the Supplier's performance, and any significant issues and/or successes that arose during the contract period.

It is expected that the Full Contract Evaluation will be completed shortly after practical completion of the contract. For contracts with a defect liability period or where a major incident occurs after the Full Contract Evaluation is completed, the Full Contract Evaluation may be revisited. Examples include where the number of, or attention to, defects has had a materially positive or negative effect on the overall evaluation of the Supplier's performance as determined by the NZTA Project Manager.

The Full Contract Evaluation will be acknowledged electronically by the relevant NZTA Representative (who would typically be the Project Manager's manager) and the Supplier representative prior to being entered into the iPACE database. This is to ensure a greater degree of consistency is achieved in the rating of Full Contract Evaluations. In the event that this Full Contract Evaluation is subject to amendment

by the NZTA's Consistency Review process, the outcome will be reviewed and acknowledged electronically by NZTA and the Supplier. In the event of any disagreement, the rating assessed by the Consistency Review process will be the final rating entered into the iPACE database.

Full Contract Evaluations will be used as an input into the determination of Track Record 'non-price' attribute grades for subsequent tenders.

5. Evaluation Process

5.1. Performance Evaluation Process

5.1.1. High-Level Process Flow
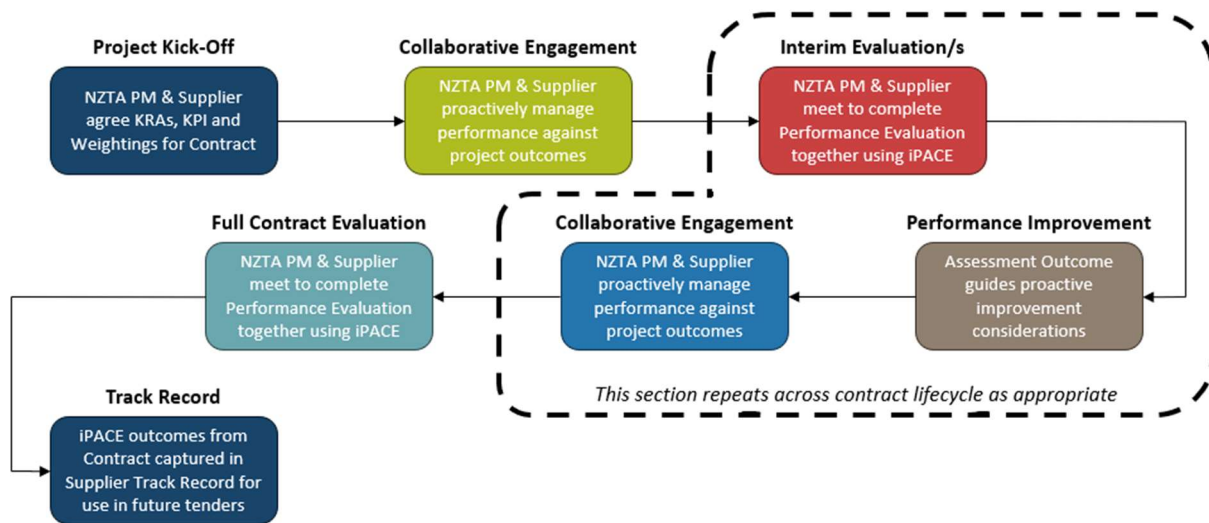
5.1.2. Allocation and Weightings

During the project initiation process between the NZTA Project Manager and the Supplier (often called a kick-off meeting), consideration will be made to identify applicable Key Results Areas (KRA) from a predefined list. Within each selected KRA, a range of Key Performance Indicators (KPI) will also be determined from a predefined list provided in the iPACE system.

Recommended KRA weightings are provided, with discretion for the NZTA Project Manager and Supplier to adjust the recommended weighting within the min/max ranges to support the tendered outcomes for the project, key project focus areas or key project risks. Where justified, the weightings can be adjusted outside the min/max ranges upon written approval from the NZTA Head of Procurement.

While considering the application of the KPIs to the contract, the NZTA Project Manager and Supplier will use guidance material to support understanding of what the different descriptions, scope and Rating criteria of each KPI are. Applicable KPIs will be weighted as appropriate, with those not applicable to the contract recorded at zero percent.

The agreed weightings will be set and recorded in the iPACE system and apply across the entire contract period.

5.1.3. Mandatory KPIs

5 KPIs are Mandatory against each contract:

- Delivery to Agreed Cost (Cost)
- On Time Delivery (Time)
- Quality Work (Quality)
- Health, Safety & Wellbeing

- Collaborative Behaviour

5.1.4. Evaluation Process

The Supplier and NZTA Project Manager will undertake the Performance Evaluation together using the iPACE system. This requires both parties to be interacting in a live scenario, either in person, or via an online meeting function.

5.1.4.1. Evaluation Options

There are 4 possible rating outcomes that can be assigned to each KPI. The list of options is not exhaustive and requires the experience, judgement and discretion of the parties undertaking the evaluation to make a decision about which Evaluation Option is the most appropriate will all considerations made.

Where a KPI has been applied to a contract, but is not relevant for the current evaluation period, the Evaluation Option "This KPI is relevant to the Contract, but Not Applicable in this Evaluation' can be selected which will exclude the KPI from the overall score for the evaluation. Note that this option cannot be selected for the following mandatory KPIs:

- Delivery to Agreed Cost (Cost)
- On Time Delivery (Time)
- Quality Work (Quality)
- Health, Safety and Wellbeing
- Collaborative Behaviour

5.1.4.1. Guidance - Evaluation Option Allocation

The evaluation of Supplier Performance against an agreed KPI is conducted with consideration for the time (stage of project) and the type of Evaluation (Interim / Full Contract). Weightings remain static, as agreed at the initiation of the project.

The requirements/criteria of a KPI are dynamic and respond to the stage/phase of the project and allow for consideration of changes that may have occurred which impact the planned vs actual state of the project.

Interim Evaluations are conducted as required by the Frequency of Evaluations (section 3).

The Full Contract Evaluation is the final Evaluation undertaken at a point when the contract is now (practically) completed. The Full Contract Evaluation considers the requirements across the entire contract period, not just the past few months/final stage/phase and will need to consider the Supplier's performance from the beginning to the end of the contract/project. The NZTA Project Manager should remind themselves of the Interim Evaluations outcomes, particularly for contracts that have had long durations.

It is recommended that iPACE Evaluations are scheduled in alignment with other key contract/project milestones to minimise the administrative requirement on all parties.

Example of how a KPI may be dynamically applied over the life of a project:
Consider an example of a large physical works project where, at the kick-off meeting, the NZTA Project Manager and the Supplier considered the descriptions assigned to the different KPIs and agreed that the 'Local Community In Mind' KPI may be applicable to the contract.

During the Start Up phase, there may be no requirement for engagement and communication with the community, so the NZTA PM and Supplier may agree that the 'This KPI is relevant to the Contract, but Not Applicable in this Evaluation' Option is applicable during the Interim Evaluation.

Then, during the Delivery phase of the project, there may have been multiple, complex requirements that needed to be met and upon the Supplier completing the work, the Client and Supplier may agree that the 'Considering and responding to impacts on neighbours, other stakeholders and Mana Whenua

effectively 'and/or' Acceptable community satisfaction levels' rating is applicable for the Interim Evaluation.

During the Close Down phase of the project, when the contract is (practically) completed, the full range of requirements that have been assessed against the 'Local Community In Mind' KPI across the contracts lifetime will need to be considered, assessing the Supplier's performance from the beginning to the end of the contract/project. In this example, we the Supplier has regularly met requirements when applicable, so the NZTA PM and Supplier may agree that the 'Considering and responding to impacts on neighbours, other stakeholders and Mana Whenua effectively 'and/or' Acceptable community satisfaction levels' rating is applicable for the Full Contract Evaluation.

Every KPI is supported by both a descriptor, a range of evaluation options, as well as some common considerations which could be used to support justification and agreement of the evaluation option between the NZTA Project Manager and Supplier (see Appendix 8.1).

The evaluation option selection is not limited by these support mechanisms though. It is expected that the experience, judgement, and discretion of the parties representing NZTA and the Supplier will make a significant contribution to the agreed evaluation option selected in iPACE.

Every evaluation option (excluding the Not Applicable option) requires enough information to be captured in iPACE to justify and support the assessed outcome. Capturing this information accurately is critical, as it is the only mechanism available to validate the evaluation option applied during the evaluation by the Consistency Review Forum (section 5.6) and may be used to inform future tender processes. Should the information captured not justify the Option selected, the Consistency Review Forum may intervene which could impact the evaluation outcome.

iPACE will use the agreed weighting of each KRA, KPI and the agreed evaluation option to determine the evaluation outcome, which will align to the Performance Rating of the Evaluation. E.g. For the following evaluation:

KRA	Weighting	KPI	Weighting	KRA Level Outcome
VALUE FOR MONEY	50%	Delivery To Agreed Cost (Cost)	25%	Meets Most Requirements
		On Time Delivery (Time)	30%	
		Quality Work (Quality)	30%	
		Scope & Risk Management	10%	
		Digital Engineering & Info Management	5%	
HEALTH, SAFETY & WELLBEING	10%	Health, Safety & Wellbeing	50%	Meets Requirements (BAU)
		Safety In Design	50%	
COLLABORATIVE BEHAVIOUR	10%	Collaborative Behaviour	100%	Meets Requirements (BAU)
COMMUNITY IN MIND	20%	Local Community In Mind	25%	Meets Most Requirements
		Travelling Public In Mind	75%	
INDUSTRY LEGACY	10%	Emissions & Waste Reduction	10%	Meets Requirements (BAU)
		Sustainable Design	40%	
		Local Business & Healthy Markets	30%	
		Workforce Development	20%	
		Innovation	0%	

In this example, the evaluation outcome is 'Meets Most Requirements', which will be recorded in the Supplier Track Record. The outcome would also trigger performance improvement discussion and consideration between the NZTA Project Manager and Supplier. In this way, iPACE provides support to ongoing performance monitoring and conversations.

5.1.5. Acknowledgement between Parties of Evaluation Outcome

Once the Performance Evaluation is completed, the NZTA Project Manager and the Supplier will electronically acknowledge the iPACE outcome. All Suppliers have the right to challenge the outcome by escalating the evaluation outcome to the Consistency Review process (see below).

Despite this, completion of the Performance Evaluation without acknowledgement of each party does not invalidate the evaluation outcome and the resulting evaluation form shall still be considered a bona fide Performance Evaluation. Suppliers will receive a copy of the completed evaluation form.

5.2.   Evaluation Outcome in PACE

The evaluation outcome from the iPACE system uses the same 4-step descriptive rating scale as the Performance Ratings. The evaluation outcome is calculated from the evaluation option assigned to KPIs during the evaluation and the weightings allocated to KPIs and KRAs.

Evaluation Outcome	Action Required
Meets Few Requirements	Performance improvement planning and reporting for the specific causes of this outcome
Meets Most Requirements	Performance improvement consideration and discussion
Meets Requirements (BAU)	None
Exceeds Requirements	None

5.3.   Critical KPI Influence

Should the Evaluation Option 'Meets Few Requirements' be selected against any of the following KPIs:

- Delivery to Agreed Cost (Cost)
- On Time Delivery (Time)
- Quality Work (Quality)
- Health, Safety & Wellbeing

The overall evaluation outcome will be recorded as 'Meets Few Requirements'. Additional commentary will identify that a failure against at least one of these Critical KPIs is the reason for the Outcome.

Should this scenario occur, the Supplier is required to produce performance improvement planning and reporting against the specific causes of the KPI Rating to the NZTA Project Manager (section 5.2).

5.4.   Individual KRA Minimum Expectation

While the evaluation outcome may not align to the 'Meets Few Requirements' rating, should any KRA result in the 'Meets Few Requirements' rating overall, then the Supplier is required to provide the NZTA Project Manager with a written report that addresses the specific actions and timeframe the Supplier will put in place to correct the performance in that area.

Individual KRA results will be a factor that contributes to the Track Record information considered by the NZTA Procurement function when considering Supplier suitability for future allocation of tendered work.

5.5.   Escalation

There are three valid scenarios where the Supplier may exercise their right to Escalation with the Client.

- Agreement between the Client and the Supplier cannot be reached over the application of KRA/KPI or associated Weighting against the contract.
- Agreement between the Client and the Supplier cannot be reached over the Evaluation Option assigned to an individual or multiple KPI/s.
- The Supplier does not agree with the Evaluation Outcome of iPACE.

Should disagreement occur that genuinely cannot be reasonably negotiated between the evaluation parties, the Supplier shall contact pace@nzta.govt.nz to refer the evaluation to the NZTA Head of Procurement, or the NZTA Consistency Review Forum as appropriate.

5.6. Consistency Review

The Consistency Review process operates under authority from the Consistency Review Forum Terms of Reference. It has a focus on achieving national consistency of Evaluation Option application and will review all escalated evaluations, along with a selection of evaluations completed within the current forum meeting period.

The Consistency Review forum has the authority to overrule individual Evaluation Option allocations, whether they were agreed or not, and recorded in the iPACE system. This authority exists to ensure that NZTA Project Managers are applying the Z/12 framework accurately and consistently across all contracts nationally.

The Consistency Review decision may result in a change to the Evaluation Outcome. Should individual Evaluation Options not be supported by commentary that enables understanding or justification of the reasons and validation for the Assessed selection, the forum may require amendment to a different Evaluation Option. Consistency Review may see ratings increase or decrease to achieve national consistency.

Should adjustment to any of the Evaluation Options across occur, the Supplier and NZTA Project Manager will be informed.

6. Evaluation Process

6.1. PACE Database

The iPACE Database records all Performance Evaluations of NZTA's contracts in a central register. Access to the iPACE Database is limited to specific NZTA personnel, however a Supplier may request from NZTA Procurement, their company's overall rating recorded for all Full Contract Evaluations completed. Only NZTA personnel have the ability to view Performance Evaluations in the Database.

6.2. Use of PACE Information in Tender Evaluation

In Tender Evaluations, within the SM021/30/31 processes, a Supplier's performance is evaluated under the Track Record 'non-price' attribute. Tenderers are required to include Full Contract Evaluation ratings for contracts nominated under Track Record as additional pages in their 'non-price' attribute submissions. Tender Evaluation Teams (TETs) use these Full Contract Evaluation outcomes as an input into determining Track Record grades. Where a Full Contract Evaluation has not been completed, TETs in discussion with the NZTA Procurement representative, will utilise Interim Evaluation outcomes to derive and evaluate Track Record outcomes.

6.3. Pre-Qualification Performance Reviews

A Performance Review may be undertaken on any Pre-Qualified Supplier who demonstrates unsatisfactory performance, by receiving the 'Meets Few Requirements' across multiple Evaluation Outcomes (5.1) across the same or different contracts/project within a 12-month period.

Should a Supplier receive multiple iPACE Evaluation Outcomes of 'Meets Few Requirements' across a specific project, or a combination of projects nationally within a 12-month period, NZTA Procurement may require the Supplier to reapply for Prequalified status.

7. Performance Criteria

7.1. Key Result Areas

KRA	Definition	Min Weighting	Max Weighting
Value For Money	Providing value for money project outcomes by delivering within agreed scope, time, cost, and quality parameters.	**50 %**	**80 %**
Health, Safety and Wellbeing	Commitment to positive health, safety and wellbeing outcomes for workers and others on site by focusing on hazard identification, risk assessment and implementation of appropriate control measures.	**10 %**	**30 %**
Collaborative Behaviour	Demonstrating and reinforcing a collaborative working culture between suppliers and with the client.	**10 %**	**30 %**
Community In Mind	Proactive consideration of impacts on neighbours, the travelling public, other stakeholders, and Mana Whenua throughout the course of the project.	**0 %**	**30 %**
Industry Legacy	Making a lasting contribution to lifting the performance of the infrastructure industry.	**0 %**	**30 %**

7.2. Key Performance Indicators

KPI	Definition	Mandatory	Critical
Delivery to Agreed Cost (Cost)	Proactive management of the project budget	**Yes**	**Yes**
On Time Delivery (Time)	Effective management to produce the required outputs on time	**Yes**	**Yes**
Quality Work (Quality)	Standard and quality of output in relation to contractual requirements	**Yes**	**Yes**
Scope & Risk Management	Necessary changes being incorporated effectively and managed satisfactorily as per Z44 Risk Management standard.	**No**	**No**

Digital Engineering & Information Management	Leveraging technology to enhance collaboration and efficiency in project delivery and providing quality asset information.	No	No
Health, Safety & Wellbeing	A risk-based approach to managing health, safety and wellbeing through reporting and continuous improvement	**Yes**	**Yes**
Safety in Design	Integrating control measures early in the design process to eliminate or minimise risks to health and safety throughout the lifecycle of the project	No	No
Collaborative Behaviour	Demonstrating and reinforcing a collaborative working culture between suppliers and with the client.	**Yes**	No
Local Community in Mind	Proactive consideration of impacts on neighbours and Mana Whenua throughout the course of the project	No	No
Travelling Public in Mind	Proactive consideration of impacts on the travelling public (including freight, emergency services and public transport) throughout the course of the project.	No	No
Emissions & Waste Reduction	Commitment to sustainability by minimising environmental footprint and maximising construction efficiency	No	No
Sustainable Design	Embedding value for money environmentally friendly practices into design process	No	No
Local Business & Healthy Markets, incl. Māori-owned and Smaller Businesses	Meaningful creation of environment for businesses to grow their expertise and experience and to thrive	No	No
Workforce Development	Workforce development with a focus on training, equity, diversity and inclusion	No	No
Innovation	Innovative ideas turned into reality in design and delivery; demonstrated culture of continuous improvement	No	No

8. Appendix

8.1. Supplier Performance Evaluation KPI Matrix

KRA	KPI	Definition	Considerations	Meets Few Requirements	Meets Most Requirements	Meets Requirements (BAU)	Exceeds Requirements
VALUE FOR MONEY Providing value for money project outcomes by delivering within agreed scope, time, cost and quality parameters.	Delivery to Agreed Cost (Cost)	Proactive management of the project budget	• Accuracy of invoicing • Change in final forecast cost from last month of invoicing • Value of outstanding work and work in progress • Age of cashflow updates and forecasts • Management of estimated cost to complete	Significant variance from agreed budget 'and/or' Financial reporting inadequate 'and/or' Spend at evaluation date higher than expected	Slight variance from agreed budget 'and/or' Financial reporting ok but some improvement needed 'and/or' Spend at evaluation date lower than expected	Minimal variance to agreed budget 'and/or' Financial reporting meets all requirements 'and/or' Spend at evaluation date as expected	No variance to agreed budget 'and/or' Financial reporting beyond all required concepts 'and/or' Spend at evaluation date exactly as expected
	On Time Delivery (Time)	Effective management to produce the required outputs on time	• Progress delivery of project to the agreed timeline • Develop solutions that aligns with priorities • Delays flagged at the time they occur • Identification of critical path and providing future view of the timeframe	Evaluation period milestone dates are being missed 'and/or' Project requires re-planning of target completion date 'and/or' Delivery significantly behind current schedule	Most agreed evaluation period milestone dates are being achieved 'and/or' Project requires milestone replanning to meet target completion date 'and/or' Delivery slightly behind current schedule	All agreed evaluation period milestone dates are being achieved 'and/or' Project is progressing as planned to meet target completion date 'and/or' Delivery on track to current schedule	All agreed evaluation period milestone dates have been delivered early 'and/or' Project is progressing to deliver early against target completion date
	Quality work (Quality)	Standard and quality of output in relation to contractual requirements	• Quality of output in relation to requirements in contract • Time taken to identify, report and remediate defects or non-conformance • Feedback and summary of audits (including Supplier, Safe System audits, Client audits and any independent audits) are responded to and any remediation work undertaken appropriately and within an acceptable timeframe. • Time taken to close work packs after work is completed • Design errors/omissions leading to changes in design • Completeness of design • Demonstrate proactive consideration of environmental impacts in project design and implementation as per Z19 Environmental and Sustainability Standard.	Outputs delivered have not met the required standards for the type of work undertaken 'and/or' Volume of quality exceptions noted within evaluation period deemed unacceptable and immediate remediation is required	Outputs delivered meet most of the required standards for the type of work undertaken 'and/or' Volume of quality exceptions noted within evaluation period is acceptable but some improvement is required	Outputs delivered meet all required standards for the type of work undertaken 'and/or' Volume of quality exceptions noted within evaluation period is acceptable and no corrective actions required	Outputs delivered go beyond the required standards for the type of work undertaken without increasing Time or Cost
	Scope & Risk Management	Risk management and any necessary changes being incorporated effectively and managed satisfactorily as per Z44 Risk Management standard.	• Variations flagged and resolved in a timely fashion • Time and cost effective solutions to variations giving the Client good value for money • Variations that occur in a contract in the last months • Risks identified and proactively managed as per Z44 Risk Management standard. • Environmental and social risk identified and managed as per Z19 Environmental and Sustainability Standard.	Insufficient identification and management of Risks leading to issue manifestation and impacts to project 'and/or' Unapproved changes to Scope have occurred that are impacting the project	Average identification and management of Risks with mitigations being incorporated 'and/or' Unapproved changes to Scope may have occurred but they have had no impact to project	Sufficient identification and management of Risks with mitigations being incorporated effectively and in a timely fashion 'and/or' No unapproved changes to Scope	Comprehensive and proactive identification, analysis and management of Risks with effective mitigations being built into project planning AND No unapproved changes to Scope
	Digital Engineering & Information Management	Leveraging technology to enhance collaboration and efficiency in project delivery and providing quality asset information.	• Conformance with NZTA's requirements on the management and handover presentation requirements of information, documentation, and records, as well as methods of transition and handover outlined in the z15 standards document • Improvements in project delivery attributed to digital engineering practices • Documentation of cost data for Elemental Cost Database	Inadequate use of technology across the project 'and/or' Does not meet information management requirements in a timely fashion	Some use of technology across the project that enabled efficiencies 'and/or' Generally meets information management requirements with some exceptions noted	Sufficient use of technology across the project to enable more efficient and effective outcomes 'and/or' Meets information management requirements in a timely fashion	Excellent use of technology across the project which enabled significant efficiencies and very effective outcomes 'and/or' Exceeded information management requirements
HEALTH, SAFETY & WELLBEING Commitment to positive health, safety and wellbeing outcomes for workers and others on site by focusing on hazard identification and risk assessment, implementation of appropriate control measures.	Health, Safety & Wellbeing	A risk-based approach to managing health, safety and wellbeing through reporting and continuous improvement	• Health, Safety and Wellbeing Event reporting in NZTA centralised system within required timeframes • Implementation of Health, Safety and Wellbeing actions resulting from audits, inspections and incidents within allocated timeframes • Compliance with NZTA Health, Safety and Wellbeing Contractor Expectations • Implementation of appropriate lead indicators	Significant deficiencies in meeting NZTA health and safety expectations, including: • High rated events often not reported in required timeframe of as soon as practically possible. • All events often not reported in NZTA centralised system by 9th of the following calendar month. • Response to incidents is often poor with limited or no evidence of corrective actions being implemented within allocated timeframes. • Poor compliance with general NZTA Health and Safety Contractor Expectations including risk management, resourcing and monitoring.	Generally compliant with NZTA health and safety expectations, but have some areas for improvement, including: • High rated events sometimes not reported in required timeframe of as soon as practically possible. • All events sometimes not reported in NZTA centralised system by 9th of the following calendar month. • Response to incidents is inconsistent with some evidence of corrective actions being implemented within allocated timeframes. • Inconsistent compliance with general NZTA Health and Safety Contractor Expectations including risk management, resourcing and monitoring.	Consistently meets NZTA's health and safety expectations, including: • High rated events reported in required timeframe of as soon as practically possible. • All events reported in NZTA centralised system by 9th of the following calendar month. • Response to incidents shows a focus on learning and there was consistent evidence of corrective actions being implemented within allocated timeframes. • Consistent compliance with general NZTA Health and Safety Contractor Expectations including risk management, resourcing and monitoring.	Exceptional performance in health and safety that goes beyond regulatory requirements and NZTA health and safety expectations, including: • High rated events reported in required timeframe of as soon as practically possible. • All events reported in NZTA centralised system by 9th of the following calendar month. • Response to incidents is shows a focus on learning and evidence of corrective actions being implemented and monitored for effectiveness. • Demonstrable evidence of technology and innovation being used to deliver improved HSW outcomes for workers and other people impacted by the work. • Demonstrated performance that exceeded the requirements of NZTA Health and Safety Contractor Expectations including risk management, resourcing and monitoring.
	Safety in Design	Integrating control measures early in the design process to eliminate or minimise risks to health and safety throughout the lifecycle of the project	• Adherence to NZTA Health Safety in Design (SiD) Minimum Standards	Does not adhere to NZTA SiD Minimum Standards, including: • SiD reviews were often not undertaken at key project stages to inform design, constructability, operability, maintenance and / or decommissioning. • Actions from SiD reviews were often not implemented within allocated timeframes. • Documentation from SiD reviews was often not made available or often not used to inform design, constructability, operability, maintenance and / or decommissioning.	Generally compliant with the NZTA SiD Minimum Standards but have some areas for improvement, including: • SiD reviews were sometimes not undertaken at project stages to inform design, constructability, operability, maintenance and / or decommissioning. • Actions from SiD reviews were sometimes not implemented within allocated timeframes. • Documentation from SiD reviews was sometimes not made available or sometimes not used to inform design, constructability, operability, maintenance and / or decommissioning.	Consistently meets the requirements of the NZTA SiD Minimum Standards, including: • SiD reviews were consistently undertaken at key project stages to inform design, constructability, operability, maintenance and / or decommissioning. • Actions from SiD reviews were consistently implemented within allocated timeframes. • Documentation from SiD reviews was made available and used to inform design, constructability, operability, maintenance and / or decommissioning.	Goes beyond the requirements in the NZTA SiD Minimum Standards, including: • SiD reviews were undertaken at the key project stages to inform design, constructability, operability, maintenance and / or decommissioning and consistently exceeded NZTA Minimum Standards. • Actions from SiD reviews were implemented within allocated timeframes and monitored for effectiveness. • Documentation from SiD reviews was made available and used to inform design, constructability, operability, maintenance and / or decommissioning with documented evidence of significant design changes to support improved outcomes for constructors, maintainers and road users. • Demonstrable evidence of innovation being used to deliver improved design outcomes for constructors, maintainers and road users.
COLLABORATIVE BEHAVIOUR Demonstrating and reinforcing a collaborative working culture between suppliers, subcontractors and the client.	Collaborative Behaviour	Demonstrating and reinforcing a collaborative working culture between suppliers, subcontractors and the client.	• Effort, focus and proactive management of risks, future issues and opportunities on the project • Provides efficient and timely responses and exception reporting • Documentation of lessons learned • Facilitating and maintaining an open, constructive, trusting relationship • Effective management of subcontractor relationships	Lack of support in collaboration efforts 'and/or' Responses to requests unacceptable 'and/or' Sub-contractor relationships and performance requires immediate improvement	Some support of collaboration efforts 'and/or' Responses to requests require improvement 'and/or' Sub-contractor relationships and performance requires some improvement	Clear effort in supporting collaboration efforts 'and/or' Responding to requests in an acceptable and timely manner 'and/or' Effective management of sub-contract relationships and performance	Supplier driving collaboration efforts and proactive considerations outside of the contract 'and/or' Responding to requests in an acceptable and timely manner 'and/or' Effective management of sub-contract relationships and performance
COMMUNITY IN MIND Proactive consideration of impacts on neighbours, the travelling public, other stakeholders and Mana Whenua throughout the course of the project.	Local Community in Mind	Proactive consideration of impacts on neighbours, other stakeholders and Mana Whenua throughout the course of the project.	• How quickly complaints are managed • % satisfaction with engagement, performance, collaboration and participation • Demonstrate proactive consideration of community impacts in project design and implementation • All timeframes in Comms and Stakeholder Engagement Plan achieved or exceeded	Not adequately considering impacts on neighbours, other stakeholders and Mana Whenua 'and/or' Poor community satisfaction levels	Generally considering impacts on neighbours, other stakeholders and Mana Whenua 'and/or' Reasonable community satisfaction levels with some areas to be improved	Considering and responding to impacts on neighbours, other stakeholders and Mana Whenua effectively 'and/or' Acceptable community satisfaction levels	Exceptional neighbour, other stakeholder and Mana Whenua centric delivery 'and/or' Proactively addressing Community requirements 'and/or' High community satisfaction levels
	Travelling Public in Mind	Proactive consideration of impacts on the travelling public (including freight, emergency services and public transport) throughout the course of the project.	• Demonstrate proactive consideration of community impacts in project design and implementation, including TTM • How quickly complaints are managed • % satisfaction with engagement, performance, collaboration and participation	Not adequately considering impacts on Travelling Public (including freight, emergency services and public transport) 'and/or' Poor Travelling Public satisfaction levels	Generally considering impacts on Travelling Public (including freight, emergency services and public transport) 'and/or' Reasonable satisfaction levels for Travelling Public with some areas to be improved	Considering and responding to the impacts on Travelling Public (including freight, emergency services and public transport) effectively 'and/or' Acceptable satisfaction levels for Travelling Public	Exceptional management of impacts on Travelling Public (including freight, emergency services and public transport) 'and/or' Proactively addressing Travelling Public requirements 'and/or' High Travelling Public satisfaction levels
INDUSTRY LEGACY Making a lasting contribution to lifting the performance of the infrastructure industry.	Emissions & Waste Reduction	Commitment to sustainability by minimising environmental footprint and maximising resource efficiency	• Determine baseline and measure progress against resource efficiency (emissions) and waste minimisation (consider the project tiers in the resource efficiency policy) • Document sustainability initiatives and innovations	Baseline not determined 'and/or' Unacceptable measurement of emission and waste reduction occuring 'and/or' Limited sustainability initiatives an innovation taking place	Baseline inaccurately determined 'and/or' Limited measurement of emission and waste reduction occuring 'and/or' Limited sustainability initiatives an innovation taking place	Baseline effectively determined 'and/or' measurement of emission and waste reduction occuring 'and/or' Good sustainability initiatives an innovation taking place	Baseline effectively determined 'and/or' Excellent progress made across emissions & waste reduction efforts 'and/or' Innovation utilised to address emissions & waste reduction
	Sustainable Design	Embedding value for money environmentally friendly practices into the design process	• Documented sustainability of materials and design • Energy efficiency of designed products	Limited consideration for sustainability in the design process	Shows moderate progress in implementing sustainable (materials and energy efficiency) design practices however there are areas for improvement	Consistently incorporates sustainable (materials and energy efficiency) design practices into process and meets design standards	Goes above and beyond in its implementation of sustainable (materials and energy efficiency) design practices achieving outstanding results in reducing environmental impacts
	Local Business & Healthy Markets, incl. Māori-owned and Smaller Businesses	Meaningful creation of environment for businesses to grow their expertise and experience and to thrive	• Demonstrated meaningful and respectful engagement and support of local and smaller sub-contractors • x% of costs going to Māori, Pasifika and/or local business	Inadequate engagement / support of Local / Maori / Pasifika businesses, 'and/or' Limited costs going to Local / Maori / Pasifika businesses	Some engagement / support of Local / Maori / Pasifika businesses, 'and/or' Some costs going to Local / Maori / Pasifika businesses	Effective and respectful engagement / support of Local / Maori / Pasifika businesses, 'and/or' Reasonable costs going to Local / Maori / Pasifika businesses	Exceptional, meaningful and respectful engagement / support of Local / Maori / Pasifika businesses, 'and/or' Great costs going to Local / Maori / Pasifika businesses
	Workforce Development	Workforce development with a focus on training, equity, diversity and inclusion	• Frequency and effectiveness of training and development • Equity, Diversity & Inclusion (EDI) embedded in process and systems	Limited delivery against planned workforce training and development 'and/or' Equity, Diversity & Inclusion (EDI) ineffective and not considered	Some delivery against planned workforce training and development 'and/or' Equity, Diversity & Inclusion (EDI) considered in processes and systems	Effective delivery against planned workforce training and development 'and/or' Equity, Diversity & Inclusion (EDI) embedded in processes and systems	Exceptional workforce development and EDI promoted through all process and systems
	Innovation	Innovative ideas turned into reality in design and delivery; demonstrated culture of continuous improvement	• Demonstrated culture of seeking and adopting of continuous improvement, including new methodologies, business practices and technologies • Value gained and time saved by innovative ideas, methods and material • Adoption of industry best practice, including transfer from other projects and related industries	Limited identification of continuous improvement across methodologies, practices and technology 'and/or' Minor time savings through innovation and adopton of best practice	Some identification of continuous improvement across methodologies, practices and technology 'and/or' Some time savings through innovation and adopton of best practice	Effectively identifying and seeking continuous improvement across methodologies, practices and technology 'and/or' Demonstrated time savings through innovation and adopton of best practice and lessons learned	Exceptional effort identifying and implementing continuous improvement across methodologies, practices and technology 'and/or' Demonstrated time savings through innovation and adopton of best practice and lessons learned internationally