	NRSWA Performance Information	Version 1.0 March 2007
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1. Objective


- 1.1. The objective of this process is to provide a standard format for presentation of Statutory Undertakers (SU's) and Highway Authorities (HA's) NRSWA/TMA performance data in the Anlian HAUC (AHAUC) area, and to establish a standard procedure to be used by all members of AHAUC

2. Scope

- 2.1. This process has been developed as part of an AHAUC plan to monitor regional performance matters of both SUs and HAs for works carried out on public highways
- 2.2. It will use the individual SU figures and ratings for monitoring purposes as measured by HAs in accordance with 2.1.1 and 4.1.1 of the Code of Practice for Inspections. These figures will be combined to provide a regional performance level, and will not be shown by individual HA area as part of this process.
- 2.3. In due course it will include the individual HA's ratings for monitoring purposes as well. When HAs have implemented their monitoring procedures this process will be updated to report on the additional information to be provided
- 2.4. Performance Information will be an Agenda item at each AHAUC meeting
- 2.5. The information contained on the form will be collated with other information received on similar forms to report on HA and SU performance on a regional basis
- 2.6. This information will be kept in a password protected section of the AHAUC website

3. References and Definitions

- 3.1. Code of Practice for Inspections

	NRSWA Performance Information	Version 1.0 March 2007
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4. Procedures

4.1. Form 1 - Capture of Sample Performance Information

- 4.1.1. Form 1 will be used by HAs and SUs to capture individual performance information
- 4.1.2. The form shall only include data collected from the randomly sampled street works inspections carried out in accordance with Sections 2.2.1 and 2.3 of the Code of Practice for Inspections
- 4.1.3. SUs can include data collected from their own inspections sampled in accordance with Sections 2.1.1 and 4.1.1. These results shall be on a regional performance basis only
- 4.1.4. Performance information relating to Section 74 overruns on each HA or SU may be added at a later date should this be agreed by AHAUC members.
- 4.1.5. Details of any current Improvement Notices that HAs have served at any of the three stages, Category A, B or C. This is in addition to the formal recording of such notices by the HA to HAUC(UK) and the AHAUC Secretary
- 4.1.6. The HA should enter N/A on the form if the SU does not carry out works in their area. If works have been carried out, but no inspections done, then the HA should enter a nil return
- 4.1.7. To assist in compiling the results it is important not to alter the layout and order of Form 1. If information is to be provided on an SU not shown on Form 1, this information should be added to the bottom of the form in the blank spaces provided

4.2. Form 2 – Capture of Supplementary Performance information

- 4.2.1. Form 2 will be used by HAs and SUs to capture supplementary performance information

4.2.2. The form will contain the following:

- Results of investigatory inspections (coring) in accordance with Section 3.2 of the Code of Practice for Inspections
- Results of all investigatory inspections (third party) in accordance with Section 3.1 These reports shall be collated to show the number of SLG inadequacies or defective reinstatements (Failed) and will also record those inspections resulted with no inadequacy or defects (Passed)
- The number of Section 81 defects issued and results of performance
- Details of any current legal proceedings at a magistrates court undertaken by an HA. This is in addition to the formal recording of such notices by the HA to HAUC(UK) and the AHAUC Secretary

4.2.3. Subjective performance information on each HA or SU may be added at a later date should this be agreed by AHAUC members

4.2.4. Performance information relating to FPN's for each HA or SU may be added at a later date should this be agreed by AHAUC members.

4.3. Reports A & B - Regional Performance Information

4.3.1. Report A will be used by the AHUAC PRO to collate performance information from Forms 1 and 2, and may be shared with other AHAUC members by agreement.

4.3.2. Report B will be used to present a summarized regional view of performance information from Forms 1 and 2

4.3.3. To manage the overall process, the AHAUC Performance Review Officer (PRO) will be responsible for the collation and distribution of the information from Forms 1 & 2. They will also be responsible for providing the collated information on Report B to AHAUC meetings, as well as providing it to National HAUC

4.3.4. Background data from individual HAs and SUs will be maintained by the AHAUC PRO on Report A, and be available for review by all

4.3.5. Information regarding any other TMA requirements will be added at a later date.

4.3.6. Subjective performance information on each HA or SU may be added at a later date should this be agreed by AHAUC members.

4.3.7. Performance information relating to Section 74's & FPN's for each HA or SU may be added at a later date should this be agreed by AHAUC members.

4.4. Compilation of Reports

4.4.1. Forms 1 and 2 are to be sent to each nominated AHAUC representative by the AHAUC PRO by e-mail on the 1st working day of the quarter..

4.4.2. Forms 1 and 2 must be returned to the AHAUC PRO by close of play on the 10th working day of the quarter. They should also be copied to all relevant Utility contacts for validation and information

4.4.3. The AHAUC PRO will combine the data sent from the nominated representatives into one summary format as shown on Reports A & B.

4.4.4. Any challenges to data by Utilities must be with the AHAUC PRO by the end of the 15th working day, while at the same time attempting to resolve with the relevant Highway Authority.

4.4.5. If the AHAUC PRO does not receive the requested information by the agreed date it will not be included in the summary report and a note recorded to show this

4.4.6 The AHAUC PRO will provide a regular report to AHAUC meetings on the timely provision of the performance data

4.4.7 Where data is not resolved by any party this information will be shown highlighted in the appropriate section of the summary report. A dispute process to ensure that correct data is provided will be put into place as soon as practicable5.

5. Distribution

- 5.1. Reports A & B will be provided to all AHAUC representatives by the AHAUC PRO at least three days prior to any AHAUC meeting
- 5.2. These performance reports should not be distributed or discussed at Coordination or HAUC meetings unless agreed by all parties

6. Forms and Reports

- 6.1. Copies of Forms A and B, and Reports A and B, are included overleaf for reference only.



FORM 1															Sample Inspections - Performance Data (to populate Reports A and B)															
Highway Authority area																														
Reporting Period															Improvement Notice?															
															Cat A					Cat B					Cat C					B+C
															No.	Abortive visits	Failures		% failure	No.	Failures		% failure	No.	Failures		% failure	% failure		
																	High	Low			High	Low			High	Low				
Utility performance																														
Anglian Water																														
BT Openreach																														
Cable and Wireless																														
Central Networks																														
EDF Energy																														
Energis																														
Essex and Suffolk Water																														
National Grid Gas																														
National Grid Electricity																														
NTL/Telewest																														
Thames Water																														
Three Valleys Water																														
THUS																														
Highway Authority performance																														



FORM 2 Additional Performance Data (to populate Reports A and B)											
Highway Authority area											
Reporting Period	Court action?	Section 81			Coring			Third party			
		No.	Fail	% failure	No.	Fail	% failure	No.	SLG	Reinst	Pass
Utility performance											
Anglian Water											
BT Openreach											
Cable and Wireless											
Central Networks											
EDF Energy											
Energis											
Essex and Suffolk Water											
National Grid Gas											
National Grid Electricity											
NTL/Telewest											
Thames Water											
Three Valleys Water											
THUS											
Highway Authority performance											



NRSA Performance Information

Version 1.0
March 2007

REPORT A																									
Sample Inspections - Performance Data																									
Reporting Period	Improvement Notice?	Cat A					Cat B				Cat C			B+C	Court action?	Section 81			Coring			Third party			
		No.	Abortive visits	Failures		% failure	No.	Failures		% failure	No.	Failures				% failure	No.	Failures	% failure	No.	Failures	% failure	No.	SLG	Reinst
				High	Low		High	Low		High	Low														
Anglian Water																									
Bedfordshire																									
Buckinghamshire																									
Cambridgeshire																									
Essex																									
Hertfordshire																									
Highways Agency																									
Luton																									
Milton Keynes																									
Norfolk																									
Peterborough																									
Southend-on-Sea																									
Suffolk																									
Thurrock																									
Regional Performance																									
Utility self assessment																									
BT Openreach																									
Bedfordshire																									
Buckinghamshire																									
Cambridgeshire																									
Essex																									
Hertfordshire																									
Highways Agency																									
Luton																									
Milton Keynes																									
Norfolk																									
Peterborough																									
Southend-on-Sea																									
Suffolk																									
Thurrock																									
Regional Performance																									
Utility self assessment																									

This is a sample only - to show the full form with all utilities included would be too large for the document

