

Performance Evaluation Examples - Contractor - Asset Construction

Criteria	Measure	Consider	Rating Scale Examples						
Management			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent	
Skill Level and Competency	Competency of management team to effectively manage the project and its progress	<ul style="list-style-type: none"> Technical skills Inter personal skills and management skills Environmental Management 	Significant skills or competency issues noted in the management team, requiring immediate attention.	Some deficiencies noted in the skills and competencies of management, or areas where improvement are needed.	Overall have demonstrated the required skills and competencies in management, or are working well to develop in some areas to the required standard	Have demonstrated the required skills and competencies in management at all levels.	Easily meets all the skills and competency requirements in management for the contract, and exceeds at some levels	Skills and competencies in management demonstrated well in excess of the requirements, at all levels.	
Risk Management	Effort, focus and proactive management of risks on the project	<ul style="list-style-type: none"> Number of new risks identified, quantified and planned for. Accurate identification of risk consequence and outcomes. Proactive risk management and mitigating measures. Speedy mitigation or management of high risks. 	Irresponsible risk management adversely affecting the project and Auckland Transport's reputation	Several key risks not identified or appropriately managed, adversely affecting the project	Most key risks are identified and managed appropriately with minor effects on the project	All key risks are identified and managed appropriately	All key risks are efficiently managed improving the project quality. A number of opportunities proactively identified to the benefit of the project.	Superior risk management processes developed and managed, improving the project quality, and raising the bar in terms of the risk management standards. Great efforts taken to identify and progress opportunities to the benefit of the project.	
Responsiveness	Provides efficient and timely responses and reporting	<ul style="list-style-type: none"> Turnaround of queries and completeness of responses. Achieving documentation and reporting deliverable dates. 	Response and deliverables more than five days late	Response and deliverables two to five days late	Majority of responses and deliverables on time	All responses and deliverables on time	Response and deliverables between two days early and on time	All Response and deliverables more than two days early	
Production			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent	
Ability to meet Programme	Effort and Proactive management of the programme together with accuracy in relation to on site production	<ul style="list-style-type: none"> Current completion date with that originally forecast. Resources made available as required. Flexibility in resourcing. Quantum and number of changes from last review. Progress in relation to programme. 	Delivery significantly behind target completion date.	Delivery behind target completion date.	Delivery on target completion date with some minor exceptions.	Delivery on target completion date.	Delivery ahead of target completion date.	Delivery significantly ahead of target completion date.	
Achieves the Specified Standard	Standard and quality of output in relation to contractual requirements	<ul style="list-style-type: none"> Quality of output in relation to requirements. Test results to prove quality of outputs. Number of "Notices to Contractor" (NTC's) issued relating to quality of completed work not being of an acceptable standard. Supervision with emphasis on quality. Training of staff. Certification of materials corresponding with requirements. 	Products disfigured and/or in a poor state of operation. Overall site looks like a tip, unloved and presents a safety hazard	Products in poor state and/or potential to be blamed for operational issues. Overall site untidy, no pride in the look of the site and potential for safety issues to arise	Defects to products or operational requirements not hard to find. Overall site tidy but frequent occasions of litter, detritus, spoil etc. Site team unaware of look	Occasional defect to products and/or isolated operational problems corrected in timely fashion. Site very tidy, but odd area needs improvement and/or response time has not been meet. Good pride in overall look	No defects to products and/or isolated operational problems. Site very tidy and/or response times being meet. Good pride in overall look	Products exceed standard specified and in excellent operational condition. Site clean, tidy, ordered and a pleasure to the eye. Site team happy to point out the performance	
Defect Management System	Ability to identify and rectify non compliances	<ul style="list-style-type: none"> Number of Non Conformances and number not rectified. Self monitoring and ability to identify non conformances. Early detection of non conformances. Number of non conformances originally identified externally. Speedy rectification of errors. 	30+% non conformances outstanding more than one month	20% non conformances outstanding more than one month	10% non conformances outstanding more than one month	5% non conformances outstanding	No non conformances	Pro-active Defect Management System ensuring all standards exceed specification	
Health and Safety			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent	
Safe Work Practices	Effort focus and proactive management of safety on site	<ul style="list-style-type: none"> Reporting and action on incidents. Work practices agreeing with Health and Safety (OSH) requirements. Number of lost time Injuries (LTI's) during the month. Number of repeated near miss incidents or subsequent LTI's. Company Safety Plan. Site Safety Plan. Number of near misses identified. 	Significant deficiencies from required standard	A number of deficiencies from required standard.	Evidence of good implementation of Contractor's OSH management information on site.	Contractor's OSH management information has been fully implemented on site.	A number of enhancements from required standard	In addition to meeting the required standard significant enhancements have been deployed	
Traffic Management Control	Effort and Proactive management of traffic flows and public safety	<ul style="list-style-type: none"> Disruption to traffic flows Public safety Public perception Complaints Traffic Management Plan: Development and updating Traffic Management Plan: Implementation 	Development of Site Specific Traffic Management Plans (TMP's): TMP's completed and implemented without any prior consultation with outside parties.						All TMP's proactively completed well in advance and implemented with full and proper consultation with outside parties.
			Implementation of Site Specific Traffic Management Plans (TMP): Dangerous. Poor level of traffic control set-out.						All TMP's proactively completed well in advance and implemented with full and proper consultation with outside parties.
			Average Audit score greater than or equal to 51.	Average Audit score 26-50.	Average Audit score 11-25.	Average Audit score 5-10.	Average Audit score 1-5.	Average Audit score 0.	
Administration			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent	
OA Documentation	Level of proactive effort applied to the quality system	<ul style="list-style-type: none"> Level of innovation and management of the system. Paper trail functional and accessible through the system. Availability of test results. Availability of material certificates. 	Significant deficiencies from required standard.	A number of deficiencies from the required standard.	Minimal deficiencies from the required standard.	No deficiencies from the required standard and some enhancements noted.	A number of enhancements above the required standard	A significant number of enhancements to the required standard	
Financial	Effort and proactive management of the project budget, cashflow and its accuracy	<ul style="list-style-type: none"> Variations between forecast for the month and financial year based on original forecast and current forecast. Accuracy of invoicing. Change in final forecast cost from last month 	Delivery significantly above target budget and limited financial information provided in required reports.	Delivery above target budget and incomplete or inaccurate financial information provided in required reports.	Slight variance from target budget and reasonable financial information provided in reports.	Delivery on target budget and good financial information provided in reports.	Delivery below target budget, and excellent financial information provided in reports.	Delivery significantly below target budget, and first class financial information consistently provided at all times.	
Handling of Variations	Necessary changes being incorporated effectively and managed satisfactorily	<ul style="list-style-type: none"> Keeping up with contract changes. Awareness of current documents. Documents and drawings kept up to date. Time and cost effective solutions to variations giving Auckland Transport good value for money 	Approach to pricing and signalling variations lacks proactiveness, with limited if any forward visibility of pending claims. Dispute about handling and/or pricing of variation(s) requiring Client intervention to resolve.	Approach to pricing and signalling variations lacks proactiveness. Dispute about handling and/or pricing of variation(s) requiring Client intervention to resolve.	Variations priced, approved and recorded in a reasonably timely fashion.	Variations efficiently priced, approved and recorded in timely fashion and remain within forecast. All parties keep informed and generally working collaboratively.	Variations efficiently and proactively priced, approved and recorded in timely fashion. All parties keep well informed throughout and working collaboratively to reduce Client costs.	Variations highly efficiently and proactively priced, approved and recorded in timely fashion. Significant proactive steps taken to avoid variations. All parties keep well informed throughout and working collaboratively to reduce Client costs.	

Performance Evaluation Examples - Consultant - Professional Services

Criteria	Measure	Consider	Rating Scale Examples					
Management			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent
Competency	Competency of management team to effectively manage the project and its progress on all necessary tasks	<ul style="list-style-type: none"> Technical skills. Inter personal skills and management skills. Ability to plan for forward works and make resources available. Environmental Management. Stakeholders' view of consultant's performance, including Auckland Transport and monitoring number of complaints received. 	Significant skills or competency issues noted in the management team, requiring immediate attention. Numerous complaints from Stakeholders.	Some deficiencies noted in the skills and competencies of management, or areas where improvement are needed. Several complains from received from stakeholders.	Overall have demonstrated the required skills and competencies in management, or are working well to develop in some areas to the required standard. Limited complaints from received stakeholders, or any complaints received have been appropriately handled.	Have demonstrated the required skills and competencies in management at all levels. Few complaints from stakeholders.	Easily meets all the skills and competency requirements in management for the contract, at all levels. Few or no complaints from stakeholders.	Skills and competencies in management demonstrated well in excess of the requirements, at all levels. All stakeholders satisfied
Creating "No Surprises" Environment	Ability to keep Auckland Transport informed on all relevant issues	<ul style="list-style-type: none"> Flow of information and its accuracy and relevance. Highlighting and informing on potential problems. Highlighting and informing on potential costs. 	Limited and / or inaccurate updates to Auckland Transport provided leading to serious or significant issues.	Few updates to Auckland Transport on potential changes leading to some issues	Auckland Transport is informed on a regular basis, although some minor inaccuracies in information noted.	Auckland Transport is keep well informed and updated on any changes or issues.	Auckland Transport is keep well informed and updated on any changes or issues, with highly accurate information provided at all times, and solutions proactively provided as necessary.	Auckland Transport is keep well informed and updated on any changes or issues well in advance, with highly accurate information provided at all times, and highly effective solutions proactively
Creating Innovation	Innovative ideas turned into reality in design and management	<ul style="list-style-type: none"> New methods New materials Value gained by the innovative ideas. Time saved by innovative ideas. New initiatives that better serve customers 	Very little innovation seen. Many opportunities to innovate missed or unexplored.	Some innovation seen but several opportunities missed.	Some value adding innovation seen in some areas	Good levels of innovation provided in critical areas, including good consideration of improved customer satisfaction techniques.	High levels of innovation provided in many areas, including good consideration of improved customer satisfaction techniques.	Extremely innovative across the full range of services provided. Excellent positive customer satisfaction initiatives identified.
Proactiveness	Effort, focus and proactive management of risks and future issues on the project	<ul style="list-style-type: none"> Number of new risks identified, quantified and planned for. Early detection of issues which may cause problems. Accurate identification of issues, risk consequence and outcomes. Proactive risk management and speedy identification of mitigating measures. Puts customers first and deals quickly with customer issues 	Irresponsible risk management adversely affecting the project and Auckland Transport's reputation	Several key risks not identified or managed, adversely affecting the contract.	Most key risks are identified and managed appropriately with minor effects on the contract.	All key risks are identified and managed appropriately .	Risks and opportunities very efficiently managed, significant improving outcomes.	Risks and opportunities very efficiently managed at all times, great customer service initiatives developed, and outstanding outcomes achieved.
Responsiveness	Provides efficient and timely responses and exception reporting	<ul style="list-style-type: none"> Turnaround of queries and completeness of responses. Level of service provided to Auckland Transport. Mitigate the effect of environmental issues. 	Response more than five days late	Response two to five days late	Majority of responses on time	All responses on time	Response between two days early and on time	Response more than two days early
Production			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent
Timely outputs	Effective management and resourcing to produce the required outputs on time	<ul style="list-style-type: none"> Current completion dates (outputs may be incremental) relating to those originally Resources made available as required. Flexibility in resourcing. Number of changes from last review. Progress in relation to programme. 	Output delivery significantly behind target completion date.	Output delivery behind target completion date.	Output delivery on target completion date with some minor exceptions.	Output delivery on target completion date.	Output delivery ahead of target completion date.	Output delivery significantly ahead of target completion date.
Accurate outputs to Required Standard	Standard and quality of output in relation to contractual obligations	<ul style="list-style-type: none"> Quality of output in relation to requirements in contract. Reports and documents agreeing with the scope. Management of outputs with emphasis on quality. Accurate RAMM updates. 	Outputs consistently provided to a standard less than required.	Some outputs provided to the required standard, but with several exceptions noted.	Outputs generally provided to the required standard	Outputs consistently provided to the required or higher standard	Outputs consistently provided to a higher than required standard	All outputs provided to a higher than required standard, with numerous outputs significantly between than required.
Defect Management System	Ability to identify and rectify non compliances and errors	<ul style="list-style-type: none"> Self monitoring and ability to identify non conformances. Early detection of non conformances. Number of non conformances originally identified externally. Speedy rectification of errors. 	20+% non conformances outstanding more than one month	Less than 20% non conformances outstanding more than one month	Less than 10% non conformances outstanding more than one month	Less than 5% non conformances outstanding	No non conformances	Pro-active Defect Management System ensuring all standards exceed specification
Health and Safety			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent
Safe Work Practices	Effort focus and proactive management of safety	<ul style="list-style-type: none"> Reporting and action on incidents. Work practices agreeing with OSH requirements. Company Safety Plan. 	Significant deficiencies from required standard	A number of deficiencies from required standard.	Evidence of good implementation of Contractor's OSH management information on site.	Contractor's OSH management information has been fully implemented on site,	A number of enhancements from required standard	In addition to meeting the required standard significant enhancements have been deployed
Administration			Unacceptable	Serious reservations	Minor reservations	Good	Very good	Excellent
Quality Assurance Documentation	Level of proactive effort applied to the quality system	<ul style="list-style-type: none"> Level of innovation and management of the system. Paper trail functional and accessible through the system. Availability of self auditing and self monitoring documentation. Certification of personnel capabilities. 	Significant deficiencies from required standard.	A number of deficiencies from the required standard.	Minimal deficiencies from the required standard.	No deficiencies from the required standard and some enhancements noted.	A number of enhancements above the required standard	A significant number of enhancements to the required standard
Monthly Report	Accuracy and relevance of Monthly Report	<ul style="list-style-type: none"> Quality of contents. Relevance of contents with reference to the scope. Timeliness of availability of report. 	Report delivered to a poor standard, inaccurate information or/and with late delivery	Report delivered to a low standard, some with inaccurate information or/and with late delivery	Reports generally delivered to an acceptable standard and quality, and on time.	All reports delivered to an acceptable standard and quality, and on time.	All reports delivered to an high standard and quality, and on time. Often delivered significantly ahead of time, or with numerous additional value adding information.	All reports delivered to a very high standard and quality, and always ahead of time. All report contain significant additional value adding or insightful information.
Financial	Effort and proactive management of the project budget, cashflow and its accuracy (professional services and physical works contrasts)	<ul style="list-style-type: none"> Variations between forecast for the month and financial year based on original forecast and current forecast. Accuracy of invoicing. Accuracy of forecasting physical works expenditure for the month and financial year. 	Delivery significantly above target Budget.	Delivery above target budget.	Slight variance from target budget.	Delivery on target budget.	Delivery below target budget.	Delivery significantly below target budget.
Handling of Variations	Necessary changes being incorporated effectively and managed satisfactorily.	<ul style="list-style-type: none"> Keeping up with contract, and project changes. Awareness of current documents. Documents and drawings updated and distributed 	Approach to pricing and signalling variations lacks proactiveness, with limited if any forward visibility of pending claims. Dispute about handling and/or pricing of variation(s) requiring Auckland Transport intervention to resolve.	Approach to pricing and signalling variations lacks proactiveness. Dispute about handling and/or pricing of variation(s) requiring Auckland Transport intervention to resolve.	Variations priced, approved and recorded in a reasonably timely fashion.	Variations efficiently priced, approved and recorded in timely fashion and remain within forecast. All parties keep informed and generally working collaboratively.	Variations efficiently and proactively priced, approved and recorded in timely fashion. All parties keep well informed throughout and working collaboratively to reduce Auckland Transport costs.	Variations highly efficiently and proactively priced, approved and recorded in timely fashion. Significant proactive steps taken to avoid variations. All parties keep well informed throughout and working collaboratively to reduce Auckland Transport costs.

Supplier's Performance Evaluation Form for Asset Construction Contracts

Once completed and signed, scan and email to Procurement, ATPace@[aucklandtransport.govt.nz](mailto:ATPace@aucklandtransport.govt.nz), with a subject line **Supplier Performance Evaluation**

Procurement Number	
Contract Name	
Supplier	
Supplier's Representative	
Work Type	
Evaluation Status (Interim / Final*)	▼

Criteria	Weakness → Strength								Rating	Comments
Management (25%)									Drop down ▼	
Skill Level and Competency	N/A	0	2	4	6	8	10		▼	
Risk Management	N/A	0	2	4	6	8	10		▼	
Responsiveness	N/A	0	1	2	3	4	5		▼	
Production (40%)										
Ability to Meet Programme	N/A	0	3	6	9	12	15		▼	
Achieves the Specified Standard	N/A	0	3	6	9	12	15		▼	
Defect Management System	N/A	0	2	4	6	8	10		▼	
Health and Safety (20%)										
Safe Work Practices	N/A	0	2	4	6	8	10		▼	
Traffic Management Control	N/A	0	2	4	6	8	10		▼	
Administration (15%)										
QA Documentation	N/A	0	1	2	3	4	5		▼	
Financial	N/A	0	1	2	3	4	5		▼	
Handling of Variations	N/A	0	1	2	3	4	5		▼	
								Total		
								Out of		

Overall % Rating	Overall Comment
Overall Rating <input style="width: 50px;" type="text"/>	Mandatory for all Final Evaluations and if an Interim Evaluation's Overall Rating is < 40 or > 80
<i>Unacceptable</i> ≤5 <input style="width: 50px;" type="text"/>	
<i>Serious Reservation</i> 5-20 <input style="width: 50px;" type="text"/>	
<i>Minor Reservation</i> 20-40 <input style="width: 50px;" type="text"/>	
<i>Good</i> 40-60 <input style="width: 50px;" type="text"/>	
<i>Very Good</i> 60-80 <input style="width: 50px;" type="text"/>	
<i>Excellent</i> 80-100 <input style="width: 50px;" type="text"/>	

AT Representative

Supplier's Representative

Group Manager

* Final Evaluation must be signed by AT Group Manager



Supplier's Performance Evaluation Form for Professional Services Contracts

Once completed and signed, scan and email to Procurement, ATPace@aucklandtransport.govt.nz, with a subject line **Supplier Performance Evaluation**

Procurement Number	
Contract Name	
Supplier	
Supplier's Representative	
Work Type (e.g. Project management, design, geotechnical)	
Evaluation Status (Interim / Final*)	▼

Criteria	Weakness → Strength							Rating	Comments (optional)
Management (30%)								Drop down ▼	
Competency	N/A	0	2	4	6	8	10	▼	asdfjkl
Creating "No Surprises" Environment	N/A	0	1	2	3	4	5	▼	
Creating Innovation	N/A	0	1	2	3	4	5	▼	
Proactiveness	N/A	0	1	2	3	4	5	▼	
Responsiveness	N/A	0	1	2	3	4	5	▼	
Production (40%)									
Timely Outputs	N/A	0	3	6	9	12	15	▼	
Accurate Outputs to Required Standard	N/A	0	3	6	9	12	15	▼	
Defect Management System	N/A	0	2	4	6	8	10	▼	
Health and Safety (5%)									
Safe Work Practices	N/A	0	1	2	3	4	5	▼	
Administration (25%)									
QA Documentation	N/A	0	2	4	6	8	10	▼	
Monthly Report	N/A	0	1	2	3	4	5	▼	
Financial	N/A	0	1	2	3	4	5	▼	
Handling of Variations	N/A	0	1	2	3	4	5	▼	
Total									
Out of									

Overall % Rating	Overall Comment
Overall Rating <input style="width: 50px;" type="text"/>	<p style="font-size: small; color: blue;">Mandatory for all Final Evaluations and if an Interim Evaluation's Overall Rating is < 40 or > 80</p>
<i>Unacceptable</i> ≤5 <input style="width: 50px;" type="text"/>	
<i>Serious Reservation</i> 5-20 <input style="width: 50px;" type="text"/>	
<i>Minor Reservation</i> 20-40 <input style="width: 50px;" type="text"/>	
<i>Good</i> 40-60 <input style="width: 50px;" type="text"/>	
<i>Very Good</i> 60-80 <input style="width: 50px;" type="text"/>	
<i>Excellent</i> 80-100 <input style="width: 50px;" type="text"/>	

AT Representative

* Final Evaluation must be signed by AT Group Manager

Supplier's Representative

Group Manager

