MSR ChecklisT

1. Identification: MSR-CHECKLIST-SAA-V5.3
2. TITLE: System ACCEPTANCE AUDIT Checklist
3. DESCRIPTION and intended use

Note: In this MSR Checklist, a reference to the Contract (Acquisition) is a reference to the Contract, a reference to the Contractor (Acquisition) is a reference to the Contractor, and a reference to the Subcontractors (Acquisition) is a reference to the Subcontractors.

The objectives of the System Acceptance Audit (SAA) are to:

demonstrate that each Mission System and, where applicable, associated Support System elements (eg, delivered Support Resources and Training and, if applicable, any Defence-Required Australian Industry Capability (DRAICs) or DRAIC Elements required for support) meet the required criteria to enable Mission System Acceptance to be achieved;

confirm that, prior to Acceptance, each Mission System has been assessed as safe and suitable for service, and satisfactorily meets the specified requirements, including, where applicable, those requirements in relation to technical and operational regulation;

if applicable, confirm that, as part of Mission System Acceptance, sufficient elements of the Support System are in place to enable the Mission System(s) to be effectively operated, and that these elements are safe, suitable, and meet requirements;

confirm that all requirements of the Contract (Acquisition) in relation to Mission System Acceptance have been satisfied; and

confirm that all requirements of any associated Contract (Support) in relation to Mission System Acceptance have been satisfied.

The SAA audits each of the Mission Systems being submitted for Acceptance as well as any accompanying Support Resources and Training and any DRAICs and/or DRAIC Elements required for support that are being submitted for Acceptance at the same time (‘**SAA Supplies**’). The principal outcome of a successful SAA is the signing of the Supplies Acceptance Certificate for the SAA Supplies by the Commonwealth Representative, to formally certify that the SAA Supplies have been Accepted. While each Mission System (or set of Mission Systems) is the primary item of Supplies being assessed during the SAA, the audit is also assessing the total ability of the Commonwealth to effectively and safely operate and support the Mission System(s), but only to the extent that the Contractor (Acquisition) is responsible for these aspects. Multiple Mission Systems may progress through an SAA at the same time, and this would typically be the case for production deliveries of Mission Systems.

The SAA applies whenever a Mission System (or set of Mission Systems) is being submitted for Acceptance under the Contract (Acquisition), which may include:

the first Mission System (ie, the First Article);

production versions of the Mission System; or

updates or upgrades to a Mission System, which has already been Accepted under the Contract (Acquisition), for which the updates / upgrades are now being submitted for Acceptance.

This MSR Checklist sets out the Commonwealth’s requirements and minimum expectations for the conduct of an SAA. This MSR Checklist does not apply to Final Acceptance.

1. INTER-RELATIONSHIPS

SAA shall be conducted in accordance with the Approved System Review Plan (SRP), and shall include the relevant requirements of the following data items, where these data items are required under the Contract:

Project Management Plan (PMP);

Systems Engineering Management Plan (SEMP);

Integrated Support Plan (ISP);

Configuration Management Plan (CMP);

Verification and Validation Plan (V&VP);

all data items derived from the Master Technical Data Index (eg, Mission System Technical Documentation Tree (MSTDT), Support System Technical Data List (SSTDL) and Publications Tree);

Australia and New Zealand Subcontractor Technical Data List (ASTDL);

Recommended Spares Provisioning List (RSPL);

all data items that identify Support System Components (eg, Support and Test Equipment (S&TE) Provisioning List (S&TEPL) and Training Equipment List (TEL));

Australian Industry Capability (AIC) Plan;

Defence-Required Australian Industry Capability Plan (DRAICP); and

Quality Plan (QP).

Note: Unlike other MSR Checklists, this SAA Checklist is not able to be tailored by the Contractor (Acquisition) in its SRP.

Note to drafters: The SAA Checklist is intended to be modified by drafters to suit the circumstances of the particular Contract (Acquisition). The Status column in the following tables indicates whether or not the associated Checklist items are able to be either tailored or deleted. Drafters may insert additional line items into the Checklist, but should ensure that any work associated with these additional line items is appropriately captured in the SOW.

The Status column is to be removed before the SAA Checklist is incorporated into the draft Contract (Acquisition).

1. Review Entry Criteria

| Item | Entry Criteria | Status |
| --- | --- | --- |
|  | 1. All data items required to be delivered before, and linked to, the System Acceptance Audit (SAA), including those identified in both the CDRL and other data items (eg, SSTDL, MSTDT and Publications Tree), have been delivered to the Commonwealth and the Commonwealth Representative considers the data items to be suitable for the purposes of conducting the SAA. 2. To avoid doubt, this entry criterion includes all Technical Data (including Publications / Interactive Electronic Technical Publications and engineering drawings including 3-D computer-aided design data, as applicable) that are required to be delivered to the Commonwealth to enable the operation and support of the SAA Supplies. | Not Tailorable |
|  | 1. The SAA includes the requirements from all of the applicable plans that impact upon the SAA (eg, PMP). | Not Tailorable |
|  | 1. Where the SAA Supplies have previously undergone Acceptance Verification and Acceptance Validation (AV&V), the configuration of the SAA Supplies has not changed since the completion of the AV&V activities, except where otherwise agreed by the Commonwealth Representative. | Not Tailorable |
|  | 1. All Support System Components, Spares and DRAIC Elements being provided by the Contractor (Acquisition), which are required for the operation and support of the SAA Supplies (including, where applicable, any Support System Components, Spares and DRAIC Elements required to operate and support any previously-delivered Supplies), have been delivered to the required delivery points in accordance with the Contract (Acquisition). | Not Tailorable |
|  | 1. All Facilities works being undertaken by the Contractor (Acquisition), including those of a temporary nature, which are required for the operation and support of the SAA Supplies, have been completed to the satisfaction of the Commonwealth Representative. | Not Tailorable |
|  | 1. Operator and support (eg, Maintenance) Training has been provided to Defence Personnel, as required under the Contract (Acquisition), and the Commonwealth Representative assesses that these Personnel are competent to safely operate and support the SAA Supplies. | Tailorable: May need to be modified to align with the Training requirements of the Contract (Acquisition). |
|  | 1. AV&V activities, as required under the Contract (Acquisition), have been completed for the SAA Supplies. | Not Tailorable |
|  | 1. Where a Functional Configuration Audit (FCA) was conducted for any of the SAA Supplies, the exit criteria for that FCA have been satisfied. | Not Tailorable |
|  | 1. Where a Physical Configuration Audit (PCA) was conducted for any of the SAA Supplies, the exit criteria for that PCA have been satisfied. | Not Tailorable |
|  | 1. Where a DRAIC Readiness Review (DRAICRR) was conducted for any of the SAA Supplies, the exit criteria for that DRAICRR have been satisfied. | Not Tailorable |
|  | 1. Each required Design Certificate / Designer’s Certificate for the SAA Supplies has been signed by the applicable Contractor (Acquisition) personnel and delivered to the Commonwealth Representative. | Tailorable: Adjust the terminology to accord with the applicable ADF regulatory / assurance framework. |
|  | 1. Each required Supplies Acceptance Certificate for the SAA Supplies has been signed by the applicable Contractor (Acquisition) personnel and delivered to the Commonwealth Representative. These Supplies Acceptance Certificates (or accompanying attachments) identify all of the minor omissions and defects in the Supplies, as required by the COC.   Note: These Supplies Acceptance Certificates will not be signed by the Commonwealth Representative until all other elements of the SAA have been successfully completed. | Not Tailorable |
|  | 1. Suitable receipt documentation has been provided to the Commonwealth Representative for all SAA Supplies, including, where applicable, appropriate certificates of conformance. | Not Tailorable |
|  | 1. Suitable evidence of receipt documentation from the Contractor (Support) has been provided to the Commonwealth Representative for any items that are being provided by the Contractor (Acquisition) to the Contractor (Support). | Tailorable: Delete if there is no Contract (Support) |
|  | 1. Action items from any previous System Reviews affecting SAA have been successfully addressed or action plans agreed with the Commonwealth Representative. | Not Tailorable |

1. Review Checklist

| Item | Checklist Item | Status |
| --- | --- | --- |
|  | 1. Were all entry criteria satisfied before starting the SAA? | Not Tailorable |
|  | 1. Has the impact of any Approved CCPs on the SAA Supplies been assessed? | Not Tailorable |
|  | 1. Have all Commonwealth Representative review comments against data items applicable to the SAA been adequately addressed? | Not Tailorable |
|  | 1. Have all elements of the SOW that affect the SAA Supplies been addressed? | Not Tailorable |
|  | 1. Have all appropriate regulatory and certification issues been addressed for the SAA Supplies to enable Acceptance to occur? For example, consider:    1. Australian Communications and Media Authority (ACMA) regulatory requirements,    2. environmental requirements,    3. EMI/EMC regulatory requirements,    4. safety requirements,    5. security requirements,    6. technical integrity requirements, and    7. operational regulatory requirements. | Not Tailorable |
|  | 1. Have all of the outstanding issues from the set of FCA activities conducted on the SAA Supplies been reviewed to ensure that all of the issues have been addressed to the satisfaction of the Commonwealth Representative? Have all deviations, waivers and configuration changes been incorporated into the FCA outcomes? | Not Tailorable |
|  | 1. Have all of the outstanding issues from the set of PCA activities conducted on the SAA Supplies been reviewed to ensure that all of the issues have been addressed to the satisfaction of the Commonwealth Representative? Have all deviations, waivers and configuration changes been incorporated into the PCA outcomes? | Not Tailorable |
|  | 1. Have all of the outstanding issues from the set of DRAICRR activities conducted on the SAA Supplies been reviewed to ensure that all of the issues have been addressed to the satisfaction of the Commonwealth Representative? | Not Tailorable |
|  | 1. Have the range and quantity of Support System Components, Spares and, if applicable, DRAIC Elements delivered to Defence operational and support elements and the Contractor (Support) been checked to confirm that sufficient and appropriate support is in place to enable the safe and effective operation and support of the SAA Supplies, as defined in the Operational Concept Document (OCD) and any accompanying Contract (Support)? 2. Are the delivered Spares consistent with the Spares-modelling outcomes developed by the Contractor (Acquisition) (if required under the Contract (Acquisition)), thereby enabling sufficient support to be available for the Materiel System elements that are already in operation as well as the SAA Supplies? | Tailorable: Should be modified if there is no Contract (Support) |
|  | 1. Have all shelf-life restrictions or special storage and handling requirements for the SAA Supplies been advised to the Commonwealth Representative? | Not Tailorable |
|  | 1. Have all Technical Data (particularly Publications), which will be used by Defence Personnel to operate and support the SAA Supplies, been Accepted or Approved, as required under the Contract (Acquisition)? | Not Tailorable |
|  | 1. Has the Technical Data included in the SAA Supplies been checked to confirm that it complies with the format requirements of the Contract (Acquisition)? | Not Tailorable |
|  | 1. Has all necessary Codification Data for the SAA Supplies been provided to the Commonwealth? 2. This Checklist item only applies to those SAA Supplies that either will be accounted for, or managed on, an authorised Defence inventory-management system or will need to travel through the Defence supply chain to support operational requirements. | Tailorable: Delete if Codification is not applicable. |
|  | 1. Has all necessary maintenance-management data (including calibration data) for the SAA Supplies been provided to the Commonwealth Representative? 2. This Checklist item only applies to those SAA Supplies that either will be managed on an authorised Defence maintenance-management system or will require the maintenance-planning parameters to be monitored and, possibly, adjusted by Defence Personnel to enable Supportability to be maintained and enhanced over the Life-of-Type. | Tailorable: May need to be either deleted or modified to accord with the maintenance concept. |
|  | 1. Have all storage requirements for the SAA Supplies (excluding any DRAIC Elements) been advised to the Commonwealth Representative to enable these storage requirements to be implemented? 2. Have the storage requirements, which are required to be implemented by the Contractor (Acquisition), for the SAA Supplies actually been implemented? | Not Tailorable |
|  | Note to drafters: Select the first clause if the ASDEFCON Linkages Module (Strategic) has been employed or the second clause if not.   |  | | --- | | Option 1:   1. If applicable to the SAA Supplies, have the Phase In activities for any linked Contract (Support) been checked to confirm that appropriate contractually-provided support will be in place, as required, when the relevant SAA Supplies are required to be employed by Defence operational elements? |  |  | | --- | | Option 2:   1. If applicable to the SAA Supplies, has the Contractor (Acquisition) done everything reasonably required under the Contract (Acquisition) to facilitate the Phase In activities of any linked Contract (Support) to ensure that appropriate contractually-provided support will be in place, as required, when the relevant SAA Supplies are required to be employed by Defence operational elements? | | Tailorable: Should be deleted if there is no Contract (Support) and the appropriate option selected otherwise. |
|  | Note to drafters: Select the first clause if the ASDEFCON Linkages Module (Strategic) has been employed or the second clause if not.   |  | | --- | | Option 1:   1. If applicable to the SAA Supplies, have the ramp-up activities for any linked Contract (Support) been checked to confirm that appropriate contractually-provided support will be in place, as required, when the relevant SAA Supplies are required to be employed by Defence operational elements? |  |  | | --- | | Option 2:   1. If applicable to the SAA Supplies, has the Contractor (Acquisition) done everything reasonably required under the Contract (Acquisition) to facilitate the ramp‑up activities of any linked Contract (Support) to ensure that appropriate contractually-provided support will be in place, as required, when the relevant SAA Supplies are required to be employed by Defence operational elements? | | Tailorable: Should be deleted if there is no Contract (Support) and the appropriate option selected otherwise. |
|  | 1. Have the applicable AIC Obligations, which are linked to the Acceptance of the SAA Supplies (excluding any DRAICs or DRAIC Elements that form part of the SAA Supplies), been checked to confirm that these AIC Obligations have been achieved? | Tailorable: Should be deleted if AIC does not apply |
|  | 1. Has the Life Cycle Cost Report and Model (LCCRM) been checked to confirm that it is up-to-date and consistent with the configuration(s) of the SAA Supplies. | Tailorable: Should be modified to align with the LCC req’ts of the Contract (Acquisition) |
|  | 1. Have all risks identified prior to the SAA been reported against? | Not Tailorable |
|  | 1. Are Contract plans and schedules consistent with the activities post‑SAA under the Contract (Acquisition) and, if applicable, the Contract (Support), including the activities to address any minor omissions and defects in the SAA Supplies? | Not Tailorable |

1. Review Exit Criteria

| Item | Exit Criteria | Status |
| --- | --- | --- |
|  | 1. The Acceptance Verification activities have confirmed that the SAA Supplies have no failures that are categorised as either Failure Severity 1 or Failure Severity 2. 2. To avoid doubt, Failure Severity 1 and Failure Severity 2 include those failures that, by themselves, would otherwise be classified at a lower level of severity; however, the number of failures at the lower levels of severity or the frequency of occurrence causes them to be classified at this higher level. | Not Tailorable. |
|  | 1. The Acceptance Verification activities have confirmed that the SAA Supplies have no more than [...DRAFTER TO INSERT...] failures, which are categorised as Failure Severity 3, per Configuration Item. 2. To avoid doubt, Failure Severity 3 include those failures that, by themselves, would otherwise be classified at a lower level of severity; however, the number of failures at the lower levels of severity or the frequency of occurrence causes them to be classified at this higher level. | Tailorable, but only to the extent defined. |
|  | 1. The Acceptance Verification activities have confirmed that the SAA Supplies have no more than [...DRAFTER TO INSERT...] failures, which are categorised as Failure Severity 4, per Configuration Item. 2. To avoid doubt, Failure Severity 4 include those failures that, by themselves, would otherwise be classified at a lower level of severity; however, the number of failures at the lower levels of severity or the frequency of occurrence causes them to be classified at this higher level. | Tailorable, but only to the extent defined. |
|  | 1. The Acceptance Verification activities have confirmed that the SAA Supplies have no more than [...DRAFTER TO INSERT...] failures, which are categorised as Failure Severity 5, per Configuration Item. | Tailorable, but only to the extent defined. |
|  | 1. The Acceptance Validation activities have confirmed that the SAA Supplies are fit for purpose when these SAA Supplies are operated and supported in accordance with the OCD and any accompanying Contract (Support). | Tailorable: Delete if there are no Acceptance Validation activities. |
|  | 1. Any third-party certifications, which are required under the Contract (Acquisition) for the SAA Supplies, have been delivered to the Commonwealth Representative and these third-party certifications are assessed as acceptable by the Commonwealth Representative. | Not Tailorable |
|  | 1. The Commonwealth Representative has Approved each required Design Certificate for the SAA Supplies. | Tailorable: Amend terminology to align with the applicable ADF regulatory / assurance framework. |
|  | 1. All Integrated Logistic Support (ILS) Assurance requirements applicable to the SAA Supplies, which are the responsibility of the Contractor (Acquisition), have been satisfied, except where otherwise agreed by the Commonwealth Representative. | Tailorable: Delete if ILS Assurance is not applicable to the Contract (Acquisition). |
|  | Note to drafters: If this element is included, the SOW will need to be checked to ensure that the Contractor (Acquisition)’s scope of work associated with achieving certification from the applicable regulatory authority representative is clearly defined.   1. The [… INSERT APPLICABLE REGULATORY AUTHORITY REPRESENTATIVE …] has certified that the SAA Supplies are operationally suitable and able to be fielded for operational use. | Tailorable: Should be deleted if not applicable to the Contract (Acquisition) and modified accordingly otherwise. |
|  | 1. Where Acceptance of the SAA Supplies will enable the Commonwealth to perform specified functions or achieve a level of Capability defined in the Contract (Acquisition) (eg, in a Milestone description), the Commonwealth Representative assesses that the elements being provided by the Contractor (Acquisition) are satisfactory and sufficient for these purposes. | Not Tailorable |
|  | 1. Where, in conjunction with the Acceptance of the SAA Supplies, operational and support services also need to be provided by Defence Personnel to perform specified functions or achieve a level of Capability defined in the Contract (Acquisition), the Commonwealth Representative assesses that the Contractor (Acquisition) has done everything reasonably required under the Contract (Acquisition) to ensure that the services provided by these Defence Personnel are satisfactory and sufficient for these purposes. | Not Tailorable |
|  | 1. Where, in conjunction with the Acceptance of the SAA Supplies, support services also need to be provided through an accompanying Contract (Support) to perform specified functions or achieve a level of Capability defined in the Contract (Acquisition), the Commonwealth Representative assesses that the services, which are either being provided through the Contract (Support) or will be provided after the Operative Date under the Contract (Support), are satisfactory and sufficient for these purposes. 2. Where Acceptance of the SAA Supplies are part of the Operative Date provisions under the Contract (Support), all other requirements of the Operative Date clause have been achieved, except where otherwise agreed by the Commonwealth Representative. 3. Where Acceptance of the SAA Supplies also requires a change to the Contract (Support) to include these SAA Supplies within the scope of that contract, the applicable CCP has been approved by the Commonwealth, except where otherwise agreed by the Commonwealth Representative. | Tailorable: Delete if there is no linked Contract (Support). |
|  | 1. Where AIC Obligations are linked to Acceptance of the SAA Supplies (excluding any DRAICs or DRAIC Elements that form part of the SAA Supplies), including the transfer, creation or upgrade of skills, resources and Intellectual Property, as applicable, the Commonwealth Representative assesses that these AIC Obligations have been achieved. | Not Tailorable |
|  | 1. The Safety Case Report (SCR) and the associated hazard log are up-to-date and consistent with the SAA Supplies. 2. To avoid doubt, this exit criterion includes the Mission System and the Support Resources included in the SAA Supplies as well as the services associated with operating and supporting the SAA Supplies (eg, operating and maintaining equipment), but excludes any DRAICs or DRAIC Elements. | Tailorable: May need to be tailored to accord with the safety req’ts of the Contract (Acquisition). |
|  | 1. Where applicable, all Certifications and Accreditations for physical security, emanations security and cyber security have been provided by the applicable Certification and Accreditation authorities, including in relation to Cyberworthiness. | Not Tailorable |
|  | 1. For all substances in the SAA Supplies, which are either hazardous to personnel or the environment (or both), the applicable Safety Data Sheets (SDSs) have been delivered to the Commonwealth Representative and these SDSs are assessed as acceptable by the Commonwealth Representative. | Not Tailorable |
|  | 1. The Approved Disposal Plan is up-to-date and consistent with the configuration of the SAA Supplies. | Not Tailorable |
|  | 1. The Technical Data and Software Rights Schedule is up-to-date and consistent with the configuration of the SAA Supplies and the configuration of all previously Accepted Supplies, except where otherwise agreed by the Commonwealth Representative. | Not Tailorable |
|  | 1. The Configuration Status Account (CSA), including any related data items that define the configuration (in full or in part) of the SAA Supplies (eg, CSA Report, Logistic Support Analysis Record (LSAR), and MSTDT), have been updated to reflect any required changes identified through the SAA. | Not Tailorable |
|  | 1. The SSTDL and, where applicable, the ASTDL are up-to-date and consistent with the configuration of the SAA Supplies and the configuration of all previously Accepted Supplies, except where otherwise agreed by the Commonwealth Representative. | Not Tailorable |
|  | 1. The Technical Data identified in the Approved SSTDL and the ASTDL for delivery to all of the respective parties identified in the SSTDL and the ASTDL (except the Commonwealth, but including, for example, the Approved escrow account and in‑country support contractors and subcontractors), which is required for the operation and support of the SAA Supplies, has been delivered to those respective parties. | Not Tailorable |
|  | 1. The required Supplies Acceptance Certificates (including any attachments) for the SAA Supplies have been updated to incorporate any additional minor omissions and defects in these Supplies, which have been identified through this SAA. | Not Tailorable |
|  | 1. The required Supplies Acceptance Certificates for the SAA Supplies have been signed by the Commonwealth Representative. | Not Tailorable |
|  | 1. All checklist items have been addressed to the satisfaction of the Contractor (Acquisition) and the Commonwealth Representative. | Not Tailorable |
|  | 1. All major problem and risk areas relating to both the SAA Supplies and the development and delivery of future equivalent Supplies have been identified and resolved and, for minor problems and risks, corrective action plans have been recorded and agreed by the Commonwealth Representative. | Not Tailorable |
|  | 1. Plans for the next phase, if applicable, are deemed to be realistic and achievable by both the Contractor (Acquisition) and the Commonwealth Representative. | Not Tailorable |
|  | 1. Plans for the measurement and analysis program for the next phase, if applicable, have been agreed by the Commonwealth Representative, including the measures to be collected, associated collection methods, and analysis techniques. | Not Tailorable |
|  | 1. All risks identified during the course of the SAA have been documented and analysed. | Not Tailorable |
|  | 1. The risks with proceeding to the next phase, if applicable, are acceptable to the Commonwealth Representative. | Not Tailorable |
|  | 1. All major action items have been closed. | Not Tailorable |
|  | 1. All minor action items have been documented and assigned with agreed closure dates. 2. To avoid doubt, these minor action items include:    1. any minor omissions or defects in the SAA Supplies, as documented on the Supplies Acceptance Certificate(s); and    2. any open problem reports or trouble reports (or equivalent reports used by the Contractor (Acquisition)) that have been assessed as minor by the Commonwealth Representative, where these types of reports are not covered under the minor omissions and defects in the SAA Supplies. | Not Tailorable |
|  | 1. Review Minutes have been prepared, Approved and distributed in accordance with the Contract (Acquisition). | Not Tailorable |