DATA ITEM DESCRIPTION

1. DID NUMBER: -V5.2
2. TITLE: CONTRACT status report
3. DESCRIPTION and intended use

The Contract Status Report (CSR) is the Contractor’s principal statement and explanation of the status of the Contract at the end of each reporting period.

The Contractor uses the CSR to inform the Commonwealth and to provide regular updates on:

progress;

planned activities; and

problems, risks and Issues.

The Commonwealth uses the CSR:

to assist with monitoring the performance of the Contractor; and

as a document that forms part of the historical record of contractual performance.

1. INTER-RELATIONSHIPS

The CSR is subordinate to the following data items, where these data items are required under the Contract:

Project Management Plan (PMP);

Australian Industry Capability (AIC) Plan; and

all other plans for which there is a reporting requirement identified in this DID.

The CSR inter-relates with the following data items, where these data items are required under the Contract:

Contract Master Schedule (CMS);

Support System Technical Data List (SSTDL);

Software List (SWLIST); and

all other reports and minutes of meetings required under the Contract.

The CSR inter-relates with the Technical Data and Software Rights (TDSR) Schedule.

1. APPLICABLE DOCUMENTS

The following documents form a part of this DID to the extent specified herein:

|  |  |
| --- | --- |
| Nil |  |

1. Preparation Instructions
   1. Generic Format and Content

The data item shall comply with the general format, content and preparation instructions contained in the CDRL clause entitled ‘General Requirements for Data Items’.

When the Contract has specified delivery of another data item (eg, schedule or register) that contains aspects of the required information (including for the same reporting period), the CSR shall summarise these aspects and refer to the other data item.

The data item shall include a traceability matrix that defines how each specific content requirement, as contained in this DID, is addressed by sections within the data item.

* 1. Specific Content
     1. Contract Progress
        1. The CSR shall identify the date at which the CSR is statused and the time period since the status date of the previous CSR (the ‘reporting period’).

The CSR shall include the following information:

a summary of significant work activities (including those undertaken by Approved Subcontractors) undertaken during the reporting period, cross-referring to the Risk Report and the Problem Report as applicable;

a summary of significant work activities (including those to be undertaken by Approved Subcontractors) expected to be undertaken in the next reporting period;

an engineering and Verification and Validation (V&V) report, giving the status of engineering and V&V activities;

a summary of the Contractor's Configuration Control Board (CCB) minutes, including documentation of the major decisions of the Contractor CCB meetings;

an Integrated Logistic Support (ILS) report, giving the status of ILS activity;

a report identifying the status of all outstanding data items, the data items delivered during the reporting period and the data items to be delivered in the next reporting period, including delivered / due dates (as applicable), review cycles and results;

a report providing a list of those data items that have been reviewed for accuracy in accordance with the maintenance requirements of the CDRL, and found not to need updating;

a list of all progress meeting action items and their status;

a financial report, including payments envisaged during the next three months;

a report on progress of any required Export Approvals (if applicable);

a list of correspondence that requires a response from the Commonwealth, but for which no response has been received; and

a list of Commonwealth correspondence to the Contractor for which a response is outstanding, and an estimate of the response date.

The CSR shall include one of the two following statements from the Contractor (along with any additional information required by the statement) pursuant to COC clause 11.2:

‘During the reporting period, there has been no event or series of events that has triggered any of the Contractor's reporting obligations pursuant to COC clause 11.2’; and

‘During the reporting period, there has been an event or series of events that has triggered one or more of the Contractor's reporting obligations pursuant to COC clause 11.2. A summary of those events is set out below.’ [… Contractor to insert details of non-conformance(s) / trigger event(s) …].

* + 1. Risk Report

The CSR shall include a Risk Report, which reflects the current status of risk for the Contract.

The Risk Report shall include the 10 most significant Contract risks, including all of the details required in the Risk Register for those risks.

The Risk Report shall include highlights of progress in risk mitigation activities and any changes in risk status since the previous CSR.

* + 1. Problem Report

The CSR shall include a Problem Report, which describes the significant problems experienced during the reporting period and any potential problems. For each problem, the description shall include:

an account of the problem;

the effect of the problem on the Contract to date;

the proposed resolution;

any requested Commonwealth Representative actions to overcome or mitigate the problem;

the effect on the Contract if the proposed actions are put into effect; and

the effect on the Contract if the proposed actions are not taken or fail.

* + 1. Configuration Change Register

The CSR shall include a Configuration Change Register (CCR), which records all activities relating to Contract Change Proposals (CCPs), Engineering Change Proposals (ECPs) and Deviations (including variances) during the reporting period. The first section of the CCR shall contain active items and the second section shall contain brief details of closed and completed items.

The active items section of the CCR shall include information such as reference number, title, abstract, date raised, date approved, affected Contract clause number, responsible party, cost/savings involved, date of last action, status at last action, target date for completion of next action, target status at completion of next action, and target date for completion of the CCP, ECP or Deviation.

The closed and completed section of the CCR shall include information such as reference number, title, abstract, affected Contract clause number, cost/savings involved, and closure/completion date.

* + 1. Quality Assurance Report

If an accredited Quality Management System (QMS) is required under the Contract, the CSR shall include a Quality Assurance Report, which addresses:

Certification status and external audit results;

a summary of Subcontractor audits performed and details of non-conformances detected; and

a summary of the actions taken to resolve non-conformances and any outstanding actions that are still pending.

* + 1. Personnel Report

For those Contracts with a Contract Price greater than AUD20m (GST inclusive), the CSR shall include a Personnel Report, which provides the following information:

the number of Full-Time Equivalent (FTE) personnel being employed by the Contractor and each Approved Subcontractor for the purposes of the Contract, including the location (by country and within Australia by the postcode of the place of employment);

details of the actual versus planned FTE (both total and by skill category) for the Contractor, including any issues with respect to fulfilling the personnel requirements in relation to numbers, skills and experience);

any issues with respect to Key Persons, including any proposed changes to Key Persons or Key Staff Positions;

a statement as to whether or not the Contractor’s obligations in regard to current and future contracts / work has any implications for the Contract in relation to fulfilling the personnel requirements; and

a brief description as to how any identified issues are being addressed.

* + 1. Australian Industry Capability Management Report

Note: The CDRL may specify a delivery schedule for this element of the CSR that is different from the remainder of the CSR.

If an AIC Plan or an AIC Schedule is required under the Contract, the CSR shall include an AIC Management Report that describes the implementation of the AIC Plan and the overall achievements of the AIC program.

The AIC Management Report shall include the following information for the reporting period:

1. a description of the activities undertaken to provide assurance that AIC Obligations were met and AIC Objectives were pursued, in accordance with the Approved AIC Plan;
2. an explanation for over- or under-performance in relation to the AIC Plan, including what actions will be taken to address any under-performance;
3. identify any emerging risks (eg, skills shortages for Industrial Capabilities) that could prevent full achievement of the AIC Plan and the proposed mitigation;
4. if the CDRL requires the AIC Management Report to be delivered at a different time to the remainder of the CSR, the AIC Management Report shall include:

the Subcontractor Report in accordance with clause 6.2.11; and

the Personnel Report in accordance with clause 6.2.6;

1. details of any specific activities to engage with Small-to-Medium Enterprises (SMEs) during the reporting period and any forecast engagement activities for the next reporting period;
2. details of any specific activities or commitments by the Contractor and Approved Subcontractors to provide further support to the Indigenous Procurement Policy or the engagement and employment of ANZ veterans;
3. identification of any achievements, suitable for publication, that demonstrate the benefits of the AIC program to Defence and/or to promote the value of the Contract to the Australian economy; and

any other the reporting requirements specified in the AIC Plan.

If Supply Chain Management is required by the SOW, the AIC Management Report shall include a summary of any new Subcontracts planned to be tendered by the Contractor, in respect of the next reporting period, including:

tenders for which Australian Entities are expected to be competitive; and

tenders that will not be open to Australian Entities or for which Australian Entities are not expected to compete, the reason for that conclusion and, when applicable, the limitations to be overcome that would enable Australian Industry to participate.

If AIC Subcontractors are applicable to the Contract, the AIC Management Report shall include the following information for each AIC Subcontractor in relation to implementing their Subcontractor AIC Plan:

any opportunities being pursued by the AIC Subcontractor, or being promoted to their Subcontractors, which will enhance Australian Industry participation; and

details of any risks or Issues, including in relation to IP rights, Technical Data, skills transfer or other factors, that could hinder continued and enhanced Australian Industry participation by the AIC Subcontractor and their Subcontractors.

* + 1. Australian Industry Activity Report

Note: The CDRL may specify a delivery schedule for this element of the CSR that is different from the remainder of the CSR.

Where Australian Industry Activities (AIAs) are applicable to the Contract, the CSR shall include an AIA Report, which provides the following information for the reporting period:

a summary of the activities undertaken, outcomes achieved, any difficulties experienced, any emerging risks identified, and the activities for the next reporting period to address the identified difficulties and/or risks, including reference to any associated AIC Remediation Plan; and

where Defence-Required Australian Industrial Capabilities (DRAICs) are applicable to the Contract, the following information for each DRAIC in addition to the information provided in response to paragraph a above:

identification of the funds expended (in AUD) over the reporting period and to date against the total planned expenditure for the DRAIC; and

where a DRAIC has progressed through Acceptance, an assessment of the ongoing viability and sustainability of the DRAIC, particularly to ensure that it is available when required, in the form required and with the capability required, either under the Contract or the Contract (Support).

* + 1. Australian Contract Expenditure Progress Report

Note: The CDRL may specify a delivery schedule for this element of the CSR that is different from the remainder of the CSR.

The CSR shall include an Australian Contract Expenditure (ACE) Progress Report, which provides the following information:

the ACE and Imported Contract Expenditure (ICE), both in numerical form and as a graphical representation, including:

Note: Planned ACE and ICE only include those elements that form part of the Contract Price.

the total values of ACE and ICE planned for the Contract;

the values of ACE and ICE for the current reporting period;

the cumulative values of ACE and ICE to the end of the reporting period;

the Achieved ACE Percentage versus the Prescribed ACE Percentage for the last ACE Measurement Point prior to the end of the reporting period;

the forecast values of ACE and ICE for the next reporting period;

the forecast values of ACE and ICE for the next ACE Measurement Point;

the Achieved ACE Percentage forecast for the next ACE Measurement Point; and

the forecast cumulative value of ACE and ICE for the remainder of the Contract;

a report on the progress towards achieving the Prescribed ACE Percentages up until the end of the reporting period, which:

in respect of the cumulative ACE value that had been budgeted by the Contractor to the end of the reporting period, provides an explanation for any over- or under-expenditure of the ACE, where over- or under-performance is defined as a variance from the cumulative baseline plan to the end of the reporting period by greater than the following amounts:

* + - * 1. where the Contract Price is less than, or equal to, AUD100m, +/- 5% or +/- AUD1m (whichever is greater);
        2. where the Contract Price is greater than AUD100m but less than, or equal to, AUD500m, +/- 1% or +/- AUD2.5m (whichever is greater); and
        3. where the Contract Price is greater than AUD500m, +/- 0.5% or +/- AUD5m (whichever is greater);

provides an explanation for over- or under-performance achieved in relation to the Prescribed ACE Percentage at the last ACE Measurement Point prior to the end of the reporting period and that is expected to be achieved at the next ACE Measurement Point;

describes what actions will be or are being taken to address under-performance of ACE, including reference to any AIC Remediation Plan; and

identifies any emerging risks that could prevent full achievement of ACE; and

a breakdown of the ACE by postcode, including for each postcode:

the cumulative value of ACE achieved to the end of the reporting period; and

the forecast cumulative value of ACE for the remainder of the Contract.

* + 1. Technical Data and Software Rights Report

The CSR shall include a Technical Data and Software Rights Report (TDSRR), which facilitates a review of the activities to manage Technical Data and Software rights under the Contract, undertaken during the reporting period.

The TDSRR shall:

summarise any significant events (eg, completing a development stage) during the reporting period, and any significant events expected in the next reporting period, that affect Technical Data and Software rights, identifying the scope of Technical Data and Software affected;

report on the progress made to grant, or have granted, rights to Technical Data and Software in accordance with the Contract, including rights to enable the delivery of Technical Data and Software in accordance with the Approved SSTDL and the Approved SWLIST, as applicable;

identify the risks and any Issues in relation to obtaining Intellectual Property licences or any other Authorisations required for Technical Data and Software; and

describe and justify any proposed changes to the assignment of the Commonwealth’s rights to items of Technical Data and Software, including:

identification of the relevant items of Technical Data and Software;

the effect of the change on the value of Technical Data and Software deliverables to the Commonwealth (eg, LCC increase from a monopolistic supply or a reduction in work accessible by Australian Industry);

any effect on the Contract schedule;

changes to claims pending (eg, reductions for reduced rights); and

any effect on the performance of the Mission System, or limitations applicable to the implementation of the Support System.

The TDSRR shall cross-reference other data items, the TDSR Schedule, and other Attachments, as appropriate.

* + 1. Subcontractor Report

Note: The CDRL may specify a delivery schedule for this element of the CSR that is different from the remainder of the CSR.

The CSR shall include a Subcontractor Report, which shall report on ANZ and overseas Subcontractors in separate sections, and provides the following information for both the reporting period and cumulatively for the Contract:

number by the location (by country and within Australia by postcode where the Subcontract is placed) and value (in AUD) of all Subcontracts signed or to be signed by the Contractor:

prior to the reporting period;

in the reporting period;

forecast for the next reporting period; and

any significant Issues or risks associated with establishing the Subcontract; and

a summary for each Approved Subcontractor of:

significant work activities undertaken during the reporting period;

significant work activities expected to be undertaken in the next reporting period;

progress against the Subcontract elements of the Approved CMS; and

any significant Issues or risks associated with the subcontracted work, including the status of key deliverables that are either overdue or non-compliant to requirements or likely to become so.

The Subcontractor Report shall provide an overview of any activities conducted with contracted SMEs during the reporting period, particularly any activities that are assisting the SMEs with building or enhancing their capabilities.

* + 1. Health Safety and Environment Report

The CSR shall include a Health Safety and Environment (HSE) Report applicable to the work performed under the Contract during the reporting period.

The HSE Report shall, in relation to work performed under the Contract to which the WHS Legislation and environmental legislation applies, include where applicable:

for the statistical measures related to WHS that are routinely collected by the Contractor and Approved Subcontractors for the measurement period(s) ending within the CSR reporting period (eg, lost-time injuries, incident rates (per 100 workers), frequency rates (per hours worked) and average time lost rate (per occurrence) by company and/or relevant work location):

a summary of the results; and

a comparison with previous results to enable the identification of trends;

for Notifiable Incidents, a tabulated summary of Notifiable Incidents, including cause, effect, remedial actions completed and those yet to be completed, if applicable;

a summary of:

the formal notices, written communications and written undertakings required to be provided under clause 12.4.5b of the COC; and

any legal proceedings and prosecutions related to applicable legislation, including the WHS Legislation;

where environmental management is required under the Contract, a summary of Environmental Incidents, including cause, effect, remedial actions completed and those yet to be completed, if applicable;

information concerning events related to WHS and the Environment that may affect work performed under the Contract (eg, changes to legislation or directions by a regulator) and, if applicable, activities to address those events; and

where a WHSMS and/or ENVMS are required under the Contract to be certified, the certification status of the WHSMS and/or ENVMS.

* + 1. Commonwealth Assets Stocktaking Report

Note: The CDRL may specify a delivery schedule for this element of the CSR that is different from the remainder of the CSR.

The CSR shall include a Commonwealth Assets Stocktaking Report (CASR), which provides:

the current version of the Assets Register for the Contractor Managed Commonwealth Assets;

a summary of all stocktakes completed in the last reporting period detailing:

the stocktake number;

the storage location of all goods included in the stocktake;

all stocktake codes;

stocktake start and end dates; and

statistical data, including the quantity and value of all discrepancies, shelf stock held, shelf stock stocktaked, surpluses and deficiencies;

a summary of all stocktakes programmed for the next reporting period;

the percentage of completed stocktakes as a percentage of the total number of stocktakes programmed to meet the Contractor Assets Stocktaking Plan (CASP) requirements of the PMP; and

if the CASP requirements are not being achieved, a description of actions taken to ensure the CASP requirements are achieved in future.