

ANNEX A TO ATTACHMENT A
DRAFT
SPECIFICATION (CORE)
GENERAL GUIDANCE FOR ANNEX A

- Sponsor: Standardisation Office, DMO
- Status: Core
- Purpose: To specify the technical requirements for the Supplies to be provided under the Contract.
- Guidance: It is essential that the Commonwealth Representative, tenderers and the Contractor have as precise an understanding as possible of the full scope of work to be performed. This depends in part on the Specification.

The Specification will be included as Annex A to the draft SOW in the RFT, and will, after any modifications resulting from source selection and Contract negotiation, become Annex A to the SOW at Attachment A to the conditions of contract.

The Specification sets out the agreed technical requirements for the Supplies required to be delivered under the Contract, including ILS products and training. As this template is only to be used for off-the-shelf acquisitions, the nature of the Specification should tend towards an item-level product specification, as opposed to a system-level function and performance specification. This approach should simplify the tendering process and help to ensure that off-the-shelf solutions are offered; however, the approach requires the Commonwealth procurement team, prior to developing the Specification, to:

- a. determine the purpose underpinning the requirement,
- b. investigate the marketplace to ensure that off-the-shelf solutions exist, and
- c. determine the requirements in due cognizance of the available products to satisfy the Commonwealth's purpose.

In other words, under *ASDEFCON (Complex Materiel) Volume 1*, the Commonwealth determines the form of the required solution, rather than the tenderers in response to a function and performance specification. The tenderers are required to propose specific solutions that accord with the identified solution forms. This approach is one of the more significant aspects of *ASDEFCON (Complex Materiel) Volume 1* that differentiates it from the other ASDEFCON templates.

The Specification may be realised through a number of alternative approaches, including one or more of:

- a. a plain English description of the required Supplies, comprising a statement of the functions and performance of the item(s);
- b. a list of hardware and software required;
- c. one or more specifications, potentially defining mandatory and desirable requirements for the Supplies;
- d. one or more recognised Standards, with which the Supplies are required to comply; and
- e. reference to relevant drawings, specifications and samples (including nominating a known product).

Additionally, the Specification needs to include specific requirements (as opposed to work requirements, which are contained in the SOW) for the ILS elements of the Supplies, including:

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- a. details of any facilities constraints applicable to the equipment elements of the Supplies;
- b. specification of storage, transportation, and/or inspection requirements;
- c. statements of requirements for any specific types of Support Resources, including requirements for:
 - (1) packaging;
 - (2) Training equipment and materials;
 - (3) publications;
 - (4) engineering drawings;
 - (5) other TD;
 - (6) S&TE; and
 - (7) facilities works required.
- d. statements of requirements for initial training (which is a service and not a product), including:
 - (1) types of training (e.g. operator, maintainer, train-the-trainer);
 - (2) types of ADO personnel to be trained; and
 - (3) other technical requirements pertaining to the training.

Note that other support services (e.g. maintenance) should not be included in the Specification because *ASDEFCON (Complex Materiel) Volume 1* is not designed to accommodate these ongoing types of support services.

Specifications for items of equipment may already exist (i.e. DEF(AUST)s, Defence Purchase Descriptions (DPDs), manufacturer's specifications, etc), which may not fully meet the requirements for this annex, particularly with respect to the Support Resources. In these circumstances, drafters should reference the existing standard and include the remaining requirements in this annex. Examples of the remaining requirements include:

- a. for packaging, DEF(AUST) 1000C, "ADF Packaging";
- b. for training materials, refer to ADFP 7.0.2, The Defence Training Model and the single Service training manuals (eg, AAP 2002.001 (Air Force), Army Training Instruction (ATI) 1-9 (Army), and ABR 27 (Navy));
- c. for publications, refer to DEF(AUST) 5647B, "Technical Manuals Acquisition Guidelines Handbook"; and
- d. for engineering drawings, DEF(AUST) 5085B, "Engineering Drawing – Acquisition and Preparation For Defence Equipments".

Extant specifications may also contain mandatory process and product requirements. When referencing these extant specifications from within this Annex, drafters should review their full implications, and where they include inappropriate, excessive or irrelevant requirements, these should be excluded by specific qualifying statements within the Specification.

It may be appropriate to amend the Specification to reflect tendered information into the Specification during Contract negotiations (e.g. the tenderer's product specification(s)), if this will enhance the quality of the description to support Contract management or execution.

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Guidance on the development of specifications that accord with the preceding requirements can be found in:

- a. ASD QMS Procedure 3-3-1-1, "Specification Development";
- b. LSD SOP-ENG-10, "Specifications and Defence Purchase Descriptions";
and
- c. MIL-STD-961E, "Defence Specifications", Appendix A (based on the content for an Item Specification (IS)).

Drafters' Action:

RFT: Drafters must prepare the Specification to be included as Annex A to the Draft SOW to meet the requirements outlined above.

Contract: Drafters must refine the Specification either before or during contract negotiation, in liaison with the preferred tenderer as required, to ensure that the document included in the Contract provides as precise a Specification as practicable, and that it is adequate to support Contract management and execution.

Related Clauses/Documents:

The **Description of Requirement** clause of the **Technical Information to be Provided by Tenderers** Annex of the conditions of tender is used to require tenderers to describe their proposed solution, including recommendations for the ranges and quantities of Support Resources and for training.

The **Price and Delivery Schedule** Attachment to the conditions of contract includes the prices, quantities and delivery details for all items, including the individual Support Resources and training, to be acquired under the Contract.

Optional SOW Clauses:

Nil

ANNEX B
CONTRACT STATUS REPORT CONTENT (CORE)

1. INTRODUCTION

1.1 Description and Intended Use

- 1.1.1** The CSR is the Contractor's principal statement and explanation of the status of the Contract at the end of each reporting period, and will be one of the documents that forms the historical record of contractual performance.
- 1.1.2** The Commonwealth uses the CSRs as the primary means of monitoring the performance of the Contractor under the Contract.
- 1.1.3** The Contractor uses the CSR to inform the Commonwealth and to provide regular updates on:
- a. progress; and
 - b. planned activities.

2. CONTENT

2.1 Progress

- 2.1.1** The CSRs shall include a:
- a. summary of significant work activities undertaken in the period from the date of the last report to the current report;
 - b. summary of significant work activities expected to be undertaken in the period between the current report and the next report;
 - c. summary of progress against meeting all Contract delivery requirements;
 - d. projection of claims for payment envisaged during the next three months;
 - e. report on progress of any export approvals (if required);
 - f. list of all Contract meeting action items and their status;
 - g. list of correspondence for which Commonwealth response is outstanding; and
 - h. list of Commonwealth correspondence to the Contractor for which a response is outstanding, and an estimate of the response date.

2.2 Risk

- 2.2.1** The CSRs shall include descriptions of any perceived risks to the Contract, and the Contractor's proposed strategy for mitigation of those risks.

2.3 Issues

- 2.3.1** The CSRs shall describe any significant issues experienced during the reporting period and any potential issues. For each issue, the description is to include:
- a. an account of the issue;
 - b. the effect of the issue on the Contract to date;
 - c. the action taken or proposed to resolve the issue;
 - d. any requested Commonwealth Representative actions to overcome or mitigate the issue;
 - e. the effect on the Contract if the proposed actions are put into effect; and
 - f. the effect on the Contract if the proposed actions are not taken or fail.

ANNEX B**2.4 Quality Assurance (Optional)**

Note to drafters: This section is to be completed only where the Contractor is required to maintain an accredited QMS in accordance with clause 8.1 of the Statement of Work.

- 2.4.1** The CSRs shall include a report on Contract Quality Assurance, which shall address:
- a. Certification status and any external audit results;
 - b. internal audit non-conformances;
 - c. changes to quality management staff;
 - d. any significant changes to quality management procedures likely to impact the production program; and
 - e. any other quality-related subject on an exception basis nominated by the Commonwealth Representative.

2.5 Intellectual Property

- 2.5.1** The CSRs shall include a report on the IP aspects of the Contract, outlining progress toward the achievement of the IP requirements of the Contract, and on proposed remedies to any difficulties in meeting these requirements.

ANNEX C

HAZARDOUS SUBSTANCES AND OZONE DEPLETING SUBSTANCES (OPTIONAL)

Note to tenderers: Annex C will consist of a list of Approved Hazardous Substances and Ozone Depleting Substances as detailed in the successful tenderer's response.

ANNEX D

CODIFICATION DATA REQUIREMENTS (OPTIONAL)

Reference: STANAG 4177, Codification of Items of Supply – Uniform System of Data Acquisition

1. INTRODUCTION

1.1 Description and Intended Use

- 1.1.1** As a sponsored Nation in the NATO Codification System (NCS), Australia is required to adhere to the policies and principles as published in the NATO Manual of Codification (ACodP-1). NATO Standardisation Agreement (STANAG) 4177 details a standard process for the acquisition of data in support of codification. This Annex details the format, content and preparation instructions for the supply of Codification Data (CDATA), which will be used by the Commonwealth for codification purposes.
- 1.1.2** The Contractor uses this Annex to provide CDATA to the Commonwealth.
- 1.1.3** The Commonwealth uses this Annex to enable it to meet its statutory requirements for asset management and financial reporting under the Chief Executive Instructions issued pursuant to the Financial Management and Accountability Act (FMAA).

2. PREPARATION INSTRUCTIONS

2.1 Data Required for Each Item of Supplies Not Codified in the NATO Codification System

- 2.1.1** For each item of Supplies (that is not data, services or IP), which is not codified in the NCS, the CDATA shall detail the following information:
- a. name and full address of the true manufacturer of the item – a manufacturer is deemed to be that organisation that controls the design specification of the item;
 - b. the NATO Commercial or Government Entity Code (NCAGE Code) of the true manufacturer (where this is known);
 - c. Part/Reference Number assigned to the item by the true manufacturer to uniquely identify the item;
 - d. name and full address of the supplier of the item;
 - e. the NCAGE Code of the supplier (where this is known);
 - f. the supplier's Part/Reference Number for the item;
 - g. the name of the item as it appears in the manufacturer's or supplier's documentation;
 - h. a proposed NATO Stock Number (if appropriate or known);
 - i. a proposed item name if appropriate;
 - j. the Part/Reference number, manufacturer and name of the next higher assembly;
 - k. documents that provide a comprehensive description of the item (ie, the procurement specification) and that define the characteristics or features required for form, fit and function (noting that, as appropriate, this information includes performance, dimensional, physical, electrical, mechanical, material, finishing and construction characteristics; and, as applicable, this sub-clause might require the provision of manuals, tender specifications, procurement specifications and other information); and
 - l. a statement as to whether the particular part identified at clause c. and 2.1.1f above is fully item identifying (noting that a part number is fully item identifying where, without any further definition, any item of production bearing the part number from the associated manufacturer (clause 2.1.1a) or the supplier (clause 2.1.1d), respectively, has the characteristics defined at clause k above).

ANNEX D**2.2 Data Required for Each Item of Supplies Already Codified in the NATO Codification System**

2.2.1 For each item of Supplies (that is not data, services or IP), which is already codified in the NCS, the CDATA shall list the following information:

- a. NSN;
- b. item name;
- c. true manufacturer's name and NCAGE Code; and
- d. item Reference/Part Number.

2.3 Changes to Provided Information

2.3.1 On occasions, it might become necessary to advise changes to previously provided information. For example, it might be subsequently found that the information supplied originally is incorrect or incomplete, the manufacturer/supplier has advised changes or that additional manufacturer's references are found to be applicable. In these cases, an amendment to the CDATA shall be provided to the Commonwealth, which details the changed information, appropriately cross-referenced to the manufacturer and part number originally advised.

ANNEX E
FINAL INSPECTION AND TEST PLAN (OPTIONAL)

Note to tenderers: Annex E will consist of an amalgamation of clause 4 of Annex D to the conditions of tender and the successful tenderer's response.

