

## **Contract Administration System Manual: Procedure – CAP004M**

### **Reports**

**September 2020**

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## 1 Introduction

### 1.1 Purpose

The purpose of this procedure is to obtain a consistent approach to the provision of reports required under a Transport Infrastructure Contract (TIC).

### 1.2 Scope

The scope of this procedure is to provide the framework necessary to allow the Administrator and the surveillance team to complete the required reports to the necessary standard and on time.

### 1.3 Definitions, abbreviations and acronyms

Abbreviation	Description
Administrator	The person appointed as the Administrator by the Principal
CAR	Corrective Action Request
Contractor	Is the person identified as the Contractor in the Contract
Date for Practical Completion	Where the Annexure provides a date for Practical Completion that date, where the Annexure provides a period of time for Practical Completion, the last day of the period
Date of Practical Completion	The date certified by the Administrator in a Certificate of Practical Completion issued pursuant to Clause 42.5 of the GCoC to be the date upon which Practical Completion was reached
Department / Departmental	Department of Transport and Main Roads
Designer / Design Consultant	Person or firm who undertakes the design (for Transport Infrastructure Contract, the design is prepared by the Principal who may have a firm undertaking this work). Designer also has a specific meaning under WHS legislation.
DRR	Design Review Request (where there is some design by the Contractor)
EMP (P) / EMP (C)	Environmental Management Plan which may include the EMP – Planning or the EMP – Construction, depending upon the context of the text
EOT	Extension of Time
LD	Liquidated Damages
NCR	Non-conformance Report
PM	Project Manager – appointed by the Principal to manage the overall project of which the TIC may be one of a number of separate contracts under the project
Practical Completion	Is that stage in the execution of the work under the Contract where the Works are able to be handed over to the Principal
Principal	Is the Principal stated in the Annexure (State of Queensland acting through the department)
PUP	Public Utility Plant
TIC	Transport Infrastructure Contract
TIPDS	Transport Infrastructure Project Delivery System

## **1.4 General**

This procedure is mandatory for all TICs to the extent that the reports detailed are applicable to the specific Contract. Sections of this procedure may also be useful for other types of contracts such as sole invitation Minor Infrastructure Contracts.

During the administration of a Contract, the Administrator is required to prepare and forward monthly and finalisation reports. In addition to the reports listed following, there may be other reports required for regional requirements or for a specific Contract; for example, where this department may be involved with another department in the delivery of a project with separate or different reporting processes.

Monthly reports include the following:

- *Administrator's Monthly Report* (CAF007M)
- *Environmental Monthly Report*<sup>1</sup>(CAF008M)
- TIPDS, Volume 3 *Contractor Performance Report* (Form C7901), and
- TIPDS, Volume 3 *Contract Administrator Performance Reports* (Form C7903).

Milestone reports which should be forwarded after reaching different stages of the project include:

- TIPDS, Volume 3 *Contractor Performance Reports* (Form C7902)
- *Performance Report – Consultant on Engineering Projects* (C7563)
- *Maintenance Report* (CAF009M), and
- *Administrator's Report* (CAF010M).

The following two reports should be prepared by the Project Manager with input by the Administrator and are included here for information for the Administrator:

- *Post Construction Report* (CAF012M), and
- *Principal's Quarterly Report* (CAF011M).

## **2 Monthly reports**

### **2.1 Administrator's Monthly Report**

The *Administrator's Monthly Report* (CAF007M) provides the Project Manager with information on developments within the Contract. It is recommended that this report is prepared after the monthly site conferences.

The report should include the following information:

- safety issues – summarise any safety issues occurring in the reporting month in traffic, construction, work practices, site offices and interfacing with the community

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<sup>1</sup> Includes Cultural Heritage Report (it is expected that in the future this will likely to be separate to the Environmental Report).

- Contract costs – summarise the current costs against programmed costs, link to anticipated and actual claims, link to Variation Orders issued (attach copy of the current Variation Order (CAF027M))
- Milestones completed – scheduled and actual dates, summarise reasons for meeting and not meeting, summarise forecasts of the status of future Milestones
- forecast of the critical or key programmed work (either on or likely to affect the programmed critical path) for the next month with an estimate of the likelihood of completion
- construction program – summary of the critical path work items and any potential time delays likely to affect work items on the critical path or items which may become critical and change the current critical path
- summarise any significant changes to the Contract risk profile (including the reduction or increases in known risks and newly identified risks (refer to the Contractor's risk register and *Administrator's Surveillance Plan*, Appendix C Surveillance Risk Register (CAF001M))
- summarise mitigation measures proposed for new or increased risks and whether these are Contractor's or Principal's risks (refer to the Contractor's and Administrator's risk registers)
- summary of Contractor's quality assurance system – NCR issued, closed, outstanding, time outstanding, repeat NCR, CAR issued by the Administrator (refer to the Contractor's NCR register and the *Corrective Action Request Register* (CAF022M))
- status of DDR (refer to the *Design Review Request Register* (CAF023M))
- if applicable, summarise the outcomes of the scoring for partnering for the month and proposed actions to keep on target or improve where needed, and
- any other project specific issues regarding the Contract.

## **2.2 Environmental report**

The Contractor shall monitor, update and control its EMP – Construction.

The Contractor shall report environmental monitoring results, and analysis, incidents of environmental nuisance, non-conformance list and corrective actions to the Administrator at the frequency detailed in the Contract.

## **2.3 Cultural heritage report**

The Contractor will complete a cultural heritage report every month and submit to the Administrator for review. The report will, as a minimum, detail the cultural heritage related activities that have been completed that month, including any incidents or discoveries and how they have been addressed.

## **2.4 Contract performance report**

The Administrator, in collaboration with the Contractor, completes TIPDS, Volume 3 *Contractor Performance Report* (Form C7901) every month. The report evaluates the performance of the Contractor for consideration by the prequalification committee as a check to confirm a Contractor's prequalification entitlement and provides data on a Contractor's performance history.

The final TIPDS, Volume 3 *Contractor Performance Report* (Form C7902) is to be completed within eight weeks of the issue of the *Certificate of Practical Completion* (Form C7881).

### **2.4.1 Information required for the monthly report**

The information for the report is normally collected during monthly meetings with the Contractor and includes the following criteria:

- application of systems such as construction safety, quality, traffic management, environment, cultural heritage and community liaison plans
- Contractor's team capability and experience – management (of staff, plant, correspondence and reports), technical skill levels appropriate to the construction of the Contract, cooperation
- Administrator's team capability and experience – management (of staff, correspondence and reports), technical skill levels appropriate to the administration of the Contract, cooperation
- Claims / Variations – refer to *Claims and Variations* (CAP007M), *Claims Register* (CAF024M) and *Variation Register* (CAF026M), and
- external considerations.

All completed and approved reports are sent to the Principal, Contractor and Principal Manager (Contracts) within one week of the monthly site conference.

For more information regarding Contract performance reports refer to *Transport Infrastructure Project Delivery System* (TIPDS) Volume 3.

## **3 Terminal reports**

### **3.1 Performance report on design consultant**

The purpose of this report is to inform the Project Manager about the performance of the design consultant and learnings from the design consultant Contract. Reporting on the performance of the design consultant is a two-stage process, including:

1. Part A report – after completion of the actual design phase of the consultant services, and
2. Part B report – after implementation of the design as at completion of construction.

This procedure relates to *Performance Report – Consultant on Engineering Projects*, Part B, Post Construction (C7563).

The purpose of the Part B report is to assess the constructability of the design as well as the performance and cooperation of the design consultant in providing responses to Requests for Information and DRR.

This report is to be completed by the officer delegated to manage and review the performance of the design consultant but the input of the Administrator into Part B is required. The report is to be discussed with the consultant who is given the opportunity to respond in writing. The consultant's response should form part of the report.

The report should be completed within four weeks of Practical Completion as mentioned in Clause 8.3.4 of the *Manual - Consultants for Engineering Projects*. This report should be made available for discussion during the post construction conference.

### **3.2 Performance report on contract administrators**

Where an external Administrator has been appointed as Contract Administrator, a performance report is required to be completed by the Principal (Refer to *Manual – Consultants for Engineering Projects*, Part B – Performance Reports).<sup>2</sup>

### **3.3 Maintenance Report**

The *Maintenance Report* (CAF009M) outlines issues on the project which are significant to the ongoing maintenance of the Works following the issue of the *Final Certificate* (Form C7882) at the end of the Defects Liability Period.

The landscaping works may have a separate Defects Liability Period to the main Contract works and that section of the Works may have to be reported on at a different time to that of the main Contract works.

The Administrator is requested to forward this report to the Project Manager within two weeks of the issue of the *Final Certificate* (Form C7882). The report includes information on the following aspects:

- erosion and sediment control – all temporary works for construction removed, all permanent works installed as per the Contract (or as varied) and operating as designed, any failures outside the Contract noted
- drainage – all excess construction materials removed, inlets, outlets and culverts clear of debris, surface drainage lines clear of debris, evidence of subsidence over culverts, evidence of scour around culverts or other drainage structures, sub-soil drainage outlets clear, table drains to the correct profile, grade and clear
- earthworks – formation works to the proper profile in width and batter slope (no scouring or damage), no evidence of slips in cut or fill batters, no unplanned vegetation in formation or clearance areas, no loose fill or rocks in the surface of cut and fill batters, batter protection to the required standard taking fair wear and tear into consideration
- subgrade and pavements – pavement to the proper profile in width, crossfall and in the longitudinal direction (no apparent frittering of edges, localised depressions or subsidence)
- landscaping – to the required standard, taking into account fair wear and tear

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<sup>2</sup> For more information regarding this report see *Manual – Consultants for Engineering Projects*.



- structures – to the required standard, taking into account fair wear and tear (including the vehicle running surface), no concrete spalling, no signs of structural cracks, no signs of rust stains in concrete or steel components
- road furniture – signs, guide posts, guardrail and similar systems, pavement marking
- street and intersection lighting, traffic signals – all parts of the systems working including pedestrian and vehicle actuation for signals, certification as per department's standards and requirements.
- PUP (where part of the Contract) – completed to the satisfaction of the relevant owner of the public utility
- NCR and CAR – all reports closed out, and
- any other Contract specific issues.

### **3.4 Administrator's Final Report**

Unless either the Principal or the Contractor serves a notice of dispute under Clause 47 Dispute Resolution, of the *General Conditions of Contract* within 15 days of the issue of the *Final Certificate* (Form C7882) the Administrator prepares the *Administrator's Report* (CAF010M).

This report is to be completed within four weeks of the issue of the *Final Certificate* (Form C7882) and includes the following information:

- details of the Contract summary of the key aspects from the *Administrator's Surveillance Plan* (CAF001M)
- details of the design consultant: refer to *Performance Report – Consultant on Engineering Projects, Part B, After Completion of Construction* (C7563)
- summary of all audits carried out by the Superintendent on the Contractors
- summary of the Contractor's quality assurance (NCR issued and closed out, rate of close out, statistical calculations for results for embankment and pavement compactions, concrete and asphalt tests and so on), Administrator's surveillance results (CAR issued and closed out, rate of close out)
- outstanding maintenance issues from the *Maintenance Report* (CAF009M)
- any outstanding issues such as safety audit issues
- recommendations and learnings for future projects, and
- Surveillance Audit Summary.

### **3.5 Road Safety Audit Report**

As required, the Road Safety Audit Report, which is arranged by the Project Manager, is to be completed within four weeks of the anticipated Date for Practical Completion.

It is essential that this audit be conducted on the basis of the approved design and the original scope of work in the approved business case. An audit which records a design safety issue must be referred back to the Project Manager for further instruction. Any audit findings that impact upon the Works shall be considered by the Administrator.

The issues raised in the Road Safety Audit Report will be prioritised by the auditor based on risk. The aim is to close out the highest priority issues raised in the report. Sometimes this is not possible in the timeframe given and outstanding actions (generally design matters) need to be documented and actioned for closure by others; for example, an audit which records a design safety issue needs to be referred back to the Project Manager and possibly the design engineers for action and later remediation.

The Administrator needs to consider the recommendations carefully and either arrange for them to be implemented or provide a report back stating why the finding of the audit is not in the scope of the works. It is likely that some corrective Works could be part of the original scope of Works but not completed satisfactorily. In this instance, the Administrator needs to issue an instruction to the Contractor defining the requirements. Examples are line of sight at intersections hindered by vegetation not yet cleared or guardrail heights not to specification.

Where the audit findings are considered to be necessary for safety reasons not originally foreseen during the design, then the matter needs to be resolved. An example is a finding that a school bus stop should be provided on a newly widened road Contract. The matter needs to be resolved by the Project Manager and the Principal.

Even though not originally foreseen during design, there is nevertheless a professional indemnity matter at stake in that the auditor, having become aware of an issue which is considered unsafe, is bound to record it. The consequences really lie with the Principal funding the improvements whenever possible. The Administrator's response is to acknowledge the report and refer their findings<sup>3</sup> back to the Principal.

Where corrective Works may have to be requested to be completed by the Contractor, care needs to be taken to ensure it is possible to issue a *Variation Order* (CAF027M) in the remaining timeframe while the Contractor still has a presence on site. The pricing of this *Variation Order* (CAF027M) is likely to be of an order higher than if the *Variation Order* (CAF027M) was priced during the Contract period.

As the potential for the results of a Road Safety Audit Report to cause last minute havoc are reasonable, the earliest start and completion of the report is recommended to minimise its impact.

## **4 Other reports**

The following two reports should be prepared by the Project Manager with input by the Administrator and are included here for information for the Administrator.

### **4.1 Post-construction report**

This is the first terminal report due after completing the construction. It needs to be completed and forwarded before the issue of the *Final Certificate* (Form C7882). The post-construction report should be prepared by the Project Manager with the assistance of the Administrator and forwarded to the Principal's Representative. It allows the Principal's Representative to get a complete understanding of all aspects of the construction before the issue of the *Final Certificate* (Form C7882).

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<sup>3</sup> This may include the potential for variations, remedial works, time and cost implications and so on.

The report should include information on the following:

- project details including project description and the Contract type
- project resources including the departmental and Contract staff
- details of the Contract, such as possession of site, date for and of completion, Contract duration, Extension of Time (EOT) for Practical Completion – project costs should be given
- construction aspects such as working platform, wearing course, pavement configuration and screening sizes should be included
- program and progress: this should include the performance of the Contractor, design issues, public relations and consultations, material resources, quality and financial performance, and
- areas requiring improvement: the areas that should be discussed should include environment, drainage, and revegetation, provision for traffic, service issues, geotechnical and specifications.

The report should include the following attachments:

- performance reports
- as-constructed drawings
- financial data
- monitor registers, and
- any other relevant information.

The post-construction report should be prepared in accordance with the template *Post-Construction Report* (CAF012M).

#### **4.2 Principal's quarterly report**

This report is to be prepared by the Project Manager with the assistance of the Administrator and forwarded to the Principal's Representative. It will provide information for the Principal's Representative to assess the progress of the project and understand project issues. The report is required to be submitted on quarterly intervals.

The report should include the following information:

1. project costs should include information on progress payments to date, approved variations, LD, costs of Principal supplied material and Works (by Project Manager) and departmental costs by Project Manager
2. project status should include information such as Date of Letter of Acceptance, period for construction, Date for Practical Completion, EOT for Practical Completion granted, Date of Practical Completion, details of LD applied
3. construction program and progress with reasons for any delays
4. project issues including claims, quality issues, design issues and weather information – weather information helps to deal with EOT due to wet weather and any associated claims
5. traffic matters including information on traffic incidents and actions taken to deal with them
6. environmental matters including environmental incidents and actions taken to deal with them

7. safety matters including WHS incidents and actions taken to deal with them
8. community liaison and external communication issues
9. any other issues such as internal communication, staffing issues and records of community and stakeholder contact.

The following appendices (if relevant) should be included with the report:

- EOT for Practical Completion Register
- Variation Register
- Corrective Action Request Register
- Contractor's Cost Forecast, and
- Contractor's Construction Program.

The *Principal's Quarterly Report* (CAF011M) template should be used for this report.

## **5 Surveillance reporting**

### **5.1 Review and reporting – general**

Details of the surveillance reporting are contained in the monthly and final reports by the Administrator.

### **5.2 Performance measurement of surveillance**

While Contractor assessments are carried out as part of the department's requirements, it is also recommended that the Project Manager undertake a review of the performance of the *Administrator's Surveillance Plan* (CAF001M) and its implementation.

Success criteria listed in the template target the roles of the Administrator in relation to development of a surveillance plan and its effective implementation (refer to *Administrator's Surveillance Plan* (CAF001M) and *Implementation of the Administrator's Surveillance Plan* (CAP006M)). Additional criteria may include:

- timely review of Contract and variations
- timely and appropriate response to Contractor enquiry and variations, and
- community (or other) project specific items (if applicable).

## **6 Reference documents**

- *Certificate of Practical Completion* (Form C7881)
- *Claims and Variations* (CAP007M)
- *Claims Register* (CAF024M)
- *Corrective Action Request Register* (CAF022M)
- *Design Review Request Register* (CAF023M)
- *Environmental Monthly Report* (CAF008M)
- *Final Certificate* (Form C7882)
- *Implementation of the Administrator's Surveillance Plan* (CAP006M)

- *Transport Infrastructure Project Delivery System (TIPDS) – Volume 3*
- *Maintenance Report (CAF009M)*
- *Manual – Consultants for Engineering Projects*
- TIPDS, Volume 3, Contractor Performance Report (Form C7901 and C7902)
- *Consultant Performance Report – Consultant on Engineering Projects (C7561, C7562 and C7563)*
- *Post-Construction Report (CAF012M)*
- *Principal's Quarterly Report (CAF011M)*
- *Administrator's Final Report (CAF010M)*
- *Administrator's Monthly Report (CAF007M)*
- *Administrator's Surveillance Plan (CAF001M)*
- *Variation Order (CAF027M)*
- *Variation Register (CAF026M)*

