

National Prequalification System for Non-residential Building (NPS)

Contractor Performance Report

The National Prequalification System for Non-residential Building (NPS) aims to create certainty and consistency, and streamline the process of prequalification for contractors working in multiple jurisdictions. It applies to non-residential government building projects where the construction cost estimate is \$50 million and above in Participating Jurisdictions.

This seamless process for mutual recognition of prequalification status for contractors across all jurisdictions commenced on 1 January 2011.

Participating Jurisdictions and Participating Agencies

New South Wales	NSW Procurement, Department of Finance and Services
Western Australia	Building Management and Works, Department of Finance
South Australia	Building Management, Department for Transport, Energy and Infrastructure
Victoria	Construction Supplier Register, Department of Transport
Queensland	Works Division, Department of Public Works
Tasmania	Procurement and Property Branch, Department of Treasury and Finance
Northern Territory	Procurement Policy, Department of Business and Employment
Australian Capital Territory	ACT Procurement Solutions, Department of Treasury
Commonwealth	Various agencies that may undertake non-residential building construction

NOTE: Commonwealth agencies are unlikely to process prequalification applications. Where a Commonwealth agency decides to seek tenders from prequalified contractors, it will recognise relevant prequalification status awarded by States and Territories under the APCC National Prequalification System.

NPS Documents

Applicants should access the full set of NPS documents before undertaking their applications.

1. NPS Guidelines (explaining the NPS system)
2. NPS Application Form and Referee Report (application for prequalification)
3. NPS Registration for Mutual Recognition Form (for recognition in multiple jurisdictions)
4. NPS Contractor Performance Report (this document)

All documents can be downloaded from www.apcc.gov.au

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Privacy Notice

The _____ is collecting the information on this National Prequalification System (NPS) Contractor Performance Report for the purpose of reviewing the Contractor's technical and management performance, and compliance with contractual, statutory and prequalification requirements.

In accordance with the NPS, contractors undertaking any non-residential building project with a construction value of \$50 million and above are required to contribute to the completion of performance reports on the service they provide.

In assessing each Contractor's performance, information on this form will usually be given to:

- Specify entities – (to be completed by the Participating Agency)
 -
 -
 -
 -
 -
 -
 -
 -

The _____ may also provide this information to other relevant Participating Agencies or government entities of Participating Jurisdictions for the purpose of reviewing the Contractor's performance.

This information will not be disclosed to any other third party without the Contractor's consent, unless authorised or required by law.

Contractor Performance Reporting (CPR) System Guidelines

Objectives of Performance Reporting

The objectives of performance reporting are to:

- encourage contractors to implement a business culture of continuous improvement to benefit themselves and their clients
- provide jurisdictions with performance data from past and current contracts
- share information with other jurisdictions on contractor performance on current and past contracts.

Completing CPRs – Measuring the Contractor’s performance

Note that clarity, completeness and timely response in submitting Contractor Performance Reports are essential.

Informing Contractors

The contractor performance management policies and processes of the contracting agency, including reporting and this document, should be conveyed to contractors as part of contract commencement processes.

1. Steps for completing a Contractor Performance Report

Reporting Officer’s responsibilities

The process for completing a Contractor Performance Report needs to reflect the applicable contractor performance management policies and processes of the contracting agency.

In the absence of specific jurisdictional performance management policies and processes, the following actions are provided as a guide.

1. If possible meet face to face with the Contractor’s Representative to discuss the Contractor’s performance.
2. Welcome and encourage proactive communications with the Contractor’s Representative in promoting the scheduling of meetings to meet CPR reporting requirements.
3. Discuss the Contractor’s performance with the Contractor’s Representative including each criteria item and the reasons for any differences in views on performance.
4. Consult with the Contractor’s representative and attempt to reach an agreement on the rating of each criterion in a manner that accurately reflects performance on the contract.
5. Complete the CPR in consultation with the Contractor’s Representative and preferably during the face-to-face meeting.
6. Provide the Contract Details including the full identification of all contact persons.
7. Grade the Contractor’s performance for each criterion.
 - Tick boxes in NA (not applicable) column of matrix when it is too early in the project to assess Performance Evaluation Criteria, or, when the criteria do not apply to the specific contract.
 - Tick all applicable Performance Evaluation Criteria boxes. Nominate only one grading against each evaluation criteria after taking into account matters beyond the Contractor’s reasonable control.
8. Clearly describe aspects of Unsatisfactory, Marginal and Superior performance. Good and Acceptable performance are also to be noted. Comments are congruent with the ratings given for each criterion. Additional detailed comments and information may be attached.
9. Advise whether further information has been attached.
10. Insert date when a copy of the report was sent to the Contractor.
11. Sign the report.

12. Validation by the Reporting Officer's supervisor as appropriate.
13. Provide contact details in full.
14. The Reporting Officer is to provide a completed report to the Contractor for review and seek a documented response from the Contractor on whether the report is accepted or not accepted by the Contractor.

CPR Attachments

15. Attachments to Contractor Performance Reports are encouraged to clarify any key issues related to performance. Attachments may consist of typewritten text including extracts of relevant documents and correspondences.

Contractor's Non-Acceptance of the CPR

16. In the first instance, the Contractor should try to resolve any disagreement that arises regarding the CPR report with the Reporting Officer.
17. Following an unsuccessful attempt to resolve a disagreement, the Contractor may elect to raise the matter through the applicable contracting agency performance management process for resolution.

2. Performance Scoring Methodology

The following performance scoring methodology is based on the acceptable standard of performance by the Contractor in meeting the requirements of the contract.

Definition of Gradings

Grading	Definition	Rating*
Superior	Standard well above the acceptable standard of performance	10
Good	Standard often exceeds the acceptable standard of performance	7
Acceptable	Meets the acceptable standard of performance required by the contract	5
Marginal	Mostly meets the acceptable standard of performance but has some weakness.	3
Unsatisfactory	Well below the acceptable standard of performance	0

The CPR performance score for a report on a Contractor on a contract is based on the weighted ratings from the report.

Example of weighted performance from a report

Evaluation Criteria	Weight (a)	Grading	Rating (b)	Weighted Rating (a) x (b)	Max. possible weighted rating (a) x 10
Time management	5	Good	7	35	50
Standard of work	5	Acceptable	5	25	50
Quality mgmt systems	2	Acceptable	5	10	20
Personnel	3	Good	7	21	30
Subcontractors etc	3	Good	7	21	30
Contract admin	3	Good	7	21	30
Co-operative relations	3	Good	7	21	30
OH&S	5	Acceptable	5	25	50
Industrial relations	3	Good	7	21	30
Environmental mgmt	4	Good	7	28	40
Training management	3	Good	7	21	30
Contractor's design	3	Good	7	21	30
Social/Indigenous/ Aboriginal/Other Participation	5	Good	7	35	50
Totals				305 (c)	470 (d)

$$\text{CPR score} = 100 \times (c)/(d) = 100 \times (305/470) = \mathbf{64.9\%}$$

3. Performance Evaluation Criteria

The Performance Evaluation Criteria include:

Time Management

- ability to achieve milestones and completion of the works
- timely allocation of appropriate resources
- management of delays due to inclement weather
- management of industrial conditions
- fair consideration of delays caused by the Principal or other parties, outside the Contractor's control

Standard of Work

- standard of work as measured against the specification and any non-price criteria undertakings
- remedial work required
- conformance with specified performance criteria
- compliance with specified tolerances and finishes
- rectification of defects

Quality Management

- the extent of the Contractor's compliance with the specified quality management system standard and with the project quality management plan
- the results of quality audits
- the number of repetitions of the same non-conformance
- success in using the quality system in identifying and dealing with non-conformances and conditions adverse to quality

Management and Suitability of Contractor's Personnel

- adequacy of the number of site personnel engaged by the Contractor in terms of efficient use of resources for the work
- control of personnel
- payment to workers of all monies due in respect of their employment
- establishment of site protocols
- observance of site rules and procedures
- suitability of staff

Management of Subcontractors, Consultants and Suppliers

- ability to manage both off-site and on-site subcontractors, consultants and suppliers
- compliance with contractual and legal obligations with respect to subcontractors, consultants and suppliers
- effective coordination and flow of trades on site
- payment to all subcontractors, consultants and suppliers in accordance with legislation and contract conditions

Contract Administration

- ability to plan, record, and administer the contract
- timeliness of requests for information or the provision of submissions or information such as drawings, reports or other documentation
- timeliness of submission of claims for payment including the adequacy of supporting evidence
- proportion of claims approved for extensions of time
- proportion of variation orders approved (including value) without revalidation
- site conditions

Co-operative Relationships

- co-operation in all matters relating to the contract
- promptly informing of anything that is likely to adversely affect the timing, cost or quality of the works
- commitment to a co-operative non-adversarial approach through open and effective communication with litigation reserved as a last resort
- evidence of a co-operative culture

Occupational Health and Safety Management

- where specified, compliance with the requirements for occupational, health, safety and rehabilitation
- where specified, compliance with project OH&S Management Plan or site-specific Safety Management Plan
- compliance with safety issues specifically nominated in the contract and/or the Contractor's OH&S Management System for the contract
- quality of, and compliance with, Safe Work Method Statements
- OH&S risk identification, assessment and management
- the number of infringement notices and directions issued to the Contractor concerning safety
- results of OH&S audits
- fulfilling the Contractor's obligations for subcontractor OH&S management
- accidents and/or serious incidents
- evidence of a safety culture

Management of Industrial Relations

- implementation of a strategy for the management of industrial relations issues
- where specified, implementation of the Project Industrial Relations Plan or Evidence of Compliance with Employment Obligations as appropriate to the project
- results of review of the Project Industrial Relations Plan implemented or review of project industrial relations performance, as appropriate

Environmental Management

- where specified, compliance with the environmental requirements set out in the contract and other environmental obligations
- evidence of an environmentally-aware culture
- where specified, compliance with the project Environmental Management Plan, including audit results
- where specified, compliance with Environmental Impact Statement requirements

Training Management

- compliance with the specified requirements for apprentice/trainee/Indigenous employment, skills development and any non-price criteria undertakings
- where specified, development and implementation of training or skills plans
- results of review on workplace or skills development initiatives

Contractor's Design Documents

(Mandatory for the following contract strategies: Construct – also known as design development and construct; and Design and Construct.)

- adequacy of documentation in meeting the requirements of the contract

Social/Indigenous/Aboriginal/Other Participation

This indicator is only relevant where local jurisdictional policy is applicable and/or was a requirement under the contract.

- implementation of a strategy for Social/Indigenous/Aboriginal/Other Participation
- where specified, implementation of the Social/Indigenous/Aboriginal/Other Participation Plan
- results of the Social/Indigenous/Aboriginal/Other Participation Plan implemented as appropriate

Contractor Performance Report (CPR)

CONFIDENTIAL

Contract No:

Contract Details

Contract Title			
Contract type			
Original Contract Price	\$		
Date of Contract		Original Date for Completion	

Contractor Details

Name and address			
Contractor's Representative	Name		
	Position		
	Tel	Mobile	
	Email		

Client1 Details

Client contact person	Name		
	Position		
	Tel	Mobile	
	Email		

Principal2 Details

Name and address			
Principal contact person	Name		
	Position		
	Tel	Mobile	
	Email		

Reporting

Report Date		Percentage work complete for this report	%
Report Reason	3 monthly Completion	Unsatisfactory performance Termination	

Cost

Contract Price as Varied	\$		
Predicted Final Contract Price	\$	Actual Final Contract Price	\$

Time

Total extensions of time approved	days	Adjusted Contractual Completion Date	
Predicted Date for Completion		Actual Date of Completion	

Client¹: The term 'Client' refers to the organisation for which the Contractor has undertaken the building work.
 Principal²: The term 'Principal' refers to the Client who awards the contract to the contractor.

Contractor's Performance

Contract No:

Refer to the Performance Evaluation Criteria elements

Evaluation Criteria	N/A	Unsat	Marginal	Acceptable	Good	Superior	Weight
Time management							5
Standard of work							5
Quality mgmt systems							2
Personnel							3
Subcontractors etc							3
Contract admin.							3
Co-operative relations							3
OH&S							5
Industrial relations							3
Environmental mgmt							4
Training management							3
Contractor's design							3
Indigenous/Aboriginal Participation							5

Overall Comments on Performance

In my opinion:

I have attached further information

Yes

No

Reporting Officer Signature Block

Name:	Signature:		
Title:	Organisation:		
Email:	Telephone:	Mobile	

Consultation with Contractor

I, the report writer, confirm that I have consulted with the Contractor in the preparation of this report and that a copy of this completed report was sent to the Contractor on

The Contractor has advised that this report is:

	Accepted	Not Accepted
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Validating Officer Signature Block

Name	Signature		
Title	Organisation		
Email	Telephone	Mobile	