

Contract Management Checklist

This checklist follows on from the Procurement Checklist and specifically relates to the contract management stage of the procurement process. This checklist is broken down into 3 primary sections – start up, performance and closure, enabling users to easily follow the contract management process through to the end or follow the process of undertaking a contract variation or extension (if required).

Contract Start Up Checklist

Step	Completed	Comments
Ensure your executed contract is attached in s22 and record your contract number	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	The contract number supersedes the Procurement SRC reference on s22 .
Review contract – understand what is being delivered, drivers for value for money, obligations for both parties, rights available to ensure compliance, reporting and KPIs	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Confirm contract management roles and responsibilities from each party	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Develop templates required for other contract management information such as report templates, meeting agendas, communication emails etc.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Keep up-to-date details contacts, preferred methods of communication, agreed response times and how to escalate issues, set up meetings	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Finalise your Contract Management Plan: Finalise a risk assessment and mitigation plan, establish a transition in plan (if required), identify stakeholders and develop a communication plan (including informing stakeholders of obligations in relation to the Contract), establish	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

payment and validation processes and establish contract monitoring processes.		
Review and update any relevant plans (e.g. probity plan or communications plan).	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Ensure any documentation required under the contract is provided to the AEC (e.g. Insurance Certificates of Currency, Confidentiality Deeds, Risk mitigation plans).	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Provide the supplier with agreed access, assets, facilities, information and security and applicable AEC policies. Where relevant terminate access of outgoing supplier.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Provide supplier with Work Health and Safety (WHS) and incident management guidance.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Conduct contract start up meeting to establish a working relationship with the supplier.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
File Contract Management Plan (including the Risk Assessment) in Objective and attach to the Contract in s22 in My Procurement	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

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Contract Performance Checklist

Procurement/Contract reference number: _____

Step	Link to document template	Check	Comments
Utilise/consult specialist advisors within AEC (Strategic Sourcing, technical or operation advisors) if required		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

<p>Contract Variations/Extensions – See Contract Variation Checklist</p> <p>If discussing a possible contract variation with a supplier, do not imply agreement until all aspects have been finalised, including any internal approvals from relevant delegates.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Note: depending on the original scope of work, a new procurement may be required.</p>
<p>Maintain effective personal working relationships with the supplier.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Review the requirements identified in the original Business Case for the procurement and the original approach. Has the contract achieved the activity identified in the approach to market?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Ensure goods/services are received on time, within budget and are fully compliant with contract specifications.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Subcontractors – will approving a subcontractor for use raise any risks? If yes, are the risks acceptable to manage?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Keep up-to-date records, update documents and currency of insurances, performance reviews, maintain meeting minutes and use expenditure tracking functionality in s22 (refer to the Contract Activity tab)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Continue to review and update your risk assessment in line with the Agency's risk management framework</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Compare planned and actual milestones and activities completed under the contract. Did the contract achieve its objectives, and did the contract deliver quality outcomes?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Were the stakeholders' requirements met?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Has the Contractor met all their contractual obligations?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Review performance against standards and indicators in the contract. How well did the performance regime work?		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Did the AEC Contract Management arrangement facilitate the achievement of the contract outcomes?		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
How was the relationship managed? Was this adequate?		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Seek immediate advice from the Strategic Sourcing team and your delegate if you receive a complaint.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Were there adequate skills/resources allocated to manage the contract?		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

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Contract Closure Checklist

Procurement/Contract reference number: _____

Step	Link to document template	Check	Comments
Verify all work has been completed and all deliverables have been received to an acceptable standard.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Check all defects have been identified and rectified.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Obtain all final reports, documentation and certifications from supplier.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Confirm all final invoices have been received and processes for the final payments payable for the contract are in order.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Once end date has arrived, complete contract in s22 .		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Arrange to cancel access passes, system access and return any materials provided to supplier.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Arrange return or safe destruction of information or data provided to, or created by the supplier under the contract.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Finalise outstanding claims and disputes.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Arrange to transfer any Intellectual Property (IP) to the Commonwealth.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Document information on warranties under the contract.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Document contract provisions that may continue to operate after the completion of contract (confidentiality obligations).		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
AFTER COMPLETING ALL OF THE ABOVE: Pay final invoices, return or terminate any performance securities, refund retention moneys (if any) in accordance with the contracted timeframes in s22 .		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Advise users that the contract has finished and provide them with advice about future arrangements.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Advise other stakeholders, the contract has finished and providing them with relevant reports or other information they need to finalise their involvement.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Ensure all documents are filed in accordance with the AEC Record keeping Policy.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Review and update the Contract Management Plan (CMP) and Risk Assessment to reflect contract completion.		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Document and share any lessons learned as an attachment in the final update to your Contract Management Plan. May include: <ul style="list-style-type: none"> • Whether the contract achieved its objectives, considering timeliness, quality and cost; and • Analysis of whether value for money was achieved, including a comparison against the original value for money assessment. 		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Prepared by:

Contract Variation and Extension Checklist

Procurement/Contract (SRC) reference number: _____

Task	Check	Comment	s22 (variations)
STEP 1: Identify if a Variation or Amendment is required (s22 User Guide 39 - 47)			
Review the contract to determine: <ul style="list-style-type: none"> Whether the variation is simple or complex; If complex, whether a variation is suitable given the original scope of work or whether a new procurement is necessary. For material changes in scope you should consult Strategic Sourcing; legal advice may be required and the contract risk assessment should be updated. The correct variation process to be followed, this is usually covered in the contract or work order by way of predefined options; Ensure that you are using the correct proformas to vary the contract, where a Panel has been used this usually includes a Panel specific change order. 	<input type="checkbox"/> Yes (mandatory)		Attach to Variation
For complex variations, assess the impact of the proposed variation or extension on the Agreement, Deliverables and pricing and document in your Variation Request form .	<input type="checkbox"/> Yes (mandatory)		Attach to Variation
Ensure you have identified the correct delegate. Note: Where an option to extend the contract means that funds are now being committed into future years but are not yet appropriated, approval from the CFO or a First Assistant Commissioner or higher level officer must be obtained. Where the value of the contract is being increased by variation, the delegate approves the total of the	<input type="checkbox"/> Yes (mandatory)		

initial contract term and the new proposed amount.			
<p>Consult with Senior Management and internal stakeholders on rationale for the variation/extension. Ensure that the proposed variation/extension reflects value for money and that the reasons for the variation/extension are clearly captured for consideration by the delegate.</p> <p>Note: material changes to the original scope of work will typically require a new procurement in order to be compliant with the Commonwealth Procurement Rules unless provision was made in the original contract.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No		<p>Enter into s22 fields</p> <ul style="list-style-type: none"> - Variation Details - Summary - Services Schedules (if \$ increasing) - Dates (extensions/date changes)
STEP 2: Request a Variation/Extension			
Complete and submit documents in My Contracts. Strategic Sourcing will then review the draft paperwork.	<input type="checkbox"/> Yes <input type="checkbox"/> No		Attach to Variation
Following Strategic Sourcing review, the Variation Request will workflow to the AEC Financial Delegate for approval.	<input type="checkbox"/> Yes <input type="checkbox"/> No		Submit to Strategic Sourcing for review and delegate for approval.
<p>Once the variation is approved by the AEC Financial Delegate, you can send to the other party to execute.</p> <p>You will need to attach your executed variation document, (the Deed of variation, change order or letter of extension) to My Contracts within 2 weeks of execution.</p> <p>Note: the AEC must report contract variations on AusTender within 42 calendar days of varying the contract if valued at or above the CPRs reporting threshold of \$10,000.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No		Attach executed variation within 14 days to enable AusTender reporting.
STEP 3: Update documentation			
Document and file relevant details of the variation/extension and its impact - executed contract should be filed on Objective with a copy in My Contracts.	<input type="checkbox"/> Yes <input type="checkbox"/> No		

Update the Contract Management Plan and Risk Assessment	<input type="checkbox"/> Yes <input type="checkbox"/> No		
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