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Online CONTRACT MANAGEMENT Course

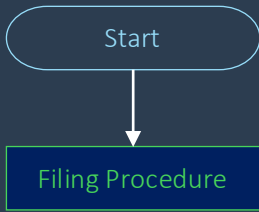


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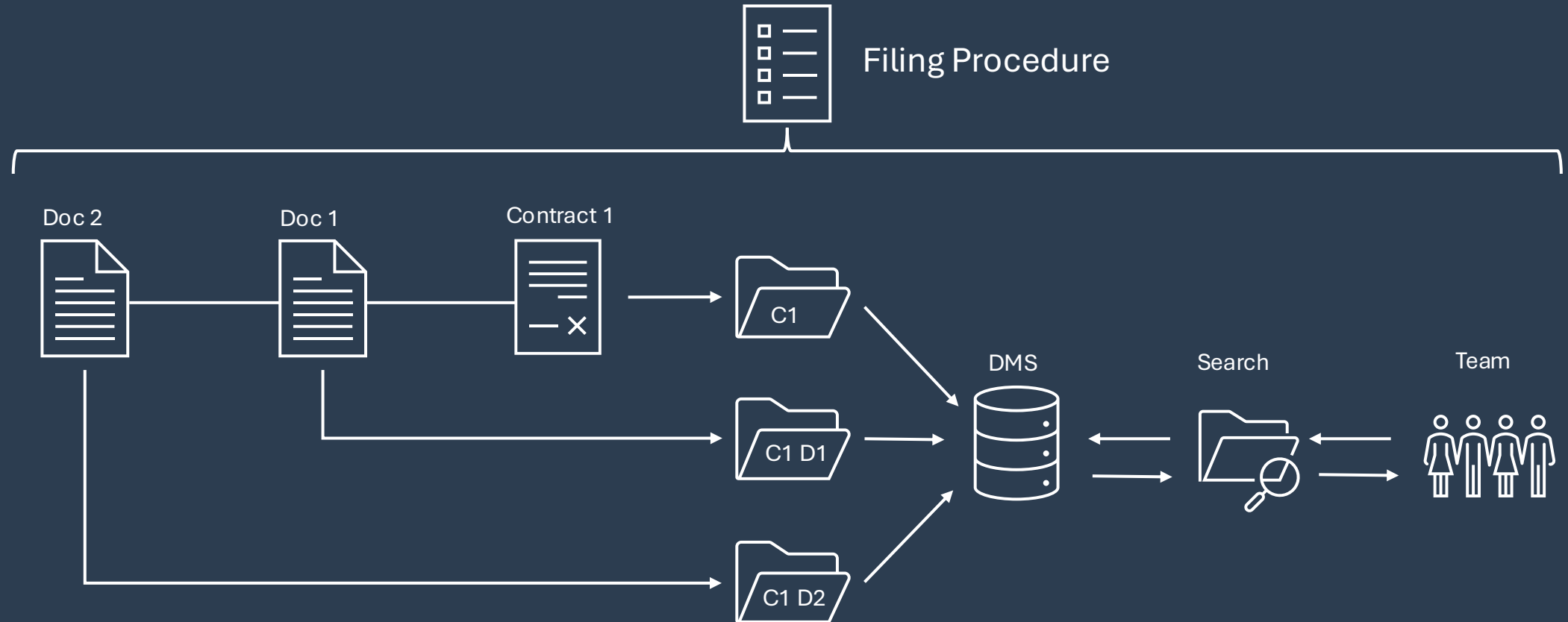


Filing Procedure

CONTRACT MANAGEMENT COURSE

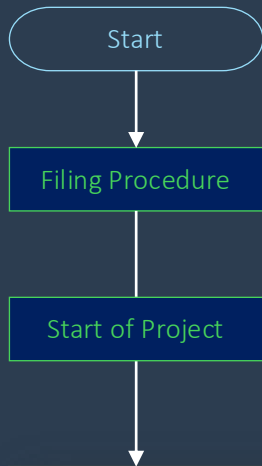


In this session you will learn why you need a **CONTRACT FILING PROCEDURE** and how to use it.





CONTRACT MANAGEMENT COURSE



Procedure		Document Number
CONTRACT FILING		[●]
Project: [●]	Date: [●]	
Owner / Employer: [●]	Revision: [●]	

CONTRACT MANAGEMENT CHANNEL

CONTRACT FILING PROCEDURE

[●] PROJECT

AT

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IN

[●]

Rev.	Date	Change history	Prepared by	Review by	Approved by
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So, the **number 1 success factor** for contract management is that every team member **can find** the contract documents!

To do this you have to make a Contract Filing Procedure and provide instructions and training to each team member!

The Filing Procedure must have a **General Contracts Filing section**, a **Pre-Award section** and Post-Award section. Sometimes also a **Contract Close-Out Section** is included.

The Filing Procedure shall support your Document Storage Solution like SharePoint and shall also be aligned with your Document Management System.

To download see the description



CONTRACT MANAGEMENT COURSE



So, let's start with the **Pre-Award Phase filing**.

The Contract Management Team shall have access to all the contract and tendering information after the contract is signed.

The Pre-Award Contracting Team shall prepare a handover document and explain the key contract terms to the Contract Management Team.

Certain contract files shall be retained for a long time like 10 years; these shall be clearly marked and securely stored.

Pay special attention to how qualifications & deviations are incorporated in the Contract.

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5 Pre-Award Contracts Filing Index

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TP	104	Correspondence to Candidates (prequalification)	
TP	105	Correspondence from Candidates (prequalification)	
TP	106	Minutes of Meeting - Pre-Qualification Process	
TP	107	Pre-Qualification Evaluation Procedure	yes
TP	108	Pre-Qualification Evaluation Report & Short List	yes
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TP	117	Tenders of Tenderers / Proposal(s) of Bidders	
TP	118	Tender / Bid Opening Report	yes
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TP	120	Correspondence from Tenderers after Closing Date	
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TP	125	Letters of Regret to unsuccessful Tenderers / Bidders	
TP	126	Miscellaneous	
TP	127	[...]	

TP = Tender Phase

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Procedure CONTRACT FILING

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After the Contract is signed the final set of contract documents are placed in the **Post Award Contract file** folder in PDF Format.

For all the key contract management topics a separate file folder shall be created to store the working copies and final versions.

Maintaining such filing system may seem to be a duplication with other systems however this **is needed for possible dispute resolution.**

Certain contract files shall be retained for a long time like 10 years; these shall be clearly marked and securely stored.

Procedure CONTRACT FILING

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6 Post-Award Contracts Filing

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EP	200	Contract Documents	yes
EP	201	Approval to Vary (ATV) – Contracts Board	yes
EP	202	Insurance Certificates (received from contractor after renewal)	yes
EP	203	Signature Authorization Form(s) (incl. Power of Attorney)	
EP	204	Parent Company Guarantee	yes
EP	205	Performance Securities (e.g., Bank Guarantee(s))	yes
EP	206	Update Programme(s) from Contractor (Planning/Schedule)	
EP	207	Updated Contractor's Plans (after commencement date)	
EP	208	Contractor's Monthly Progress Reports (incl. attachments)	
EP	209	Instructions + Instruction Register (working files)	
EP	210	Variation Requests + Register (working files)	yes
EP	211	Variations + Register (working files/signed PDF + Variation Proposal)	yes
EP	212	Contract Amendments (including Claim Settlement Agreements)	yes
EP	213	Technical Queries (working files) + TQ Register	
EP	214	Invoice Statements + Interim Payment Approvals (IPCs)	yes
EP	215	Claims (Claim Notifications, Claim Details) + Claim Register	
EP	216	Meeting Minutes – Commercial / Contractual	
EP	217	Meeting Minutes - Technical	
EP	218	Observation Reports	
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EP	220	Daily Progress Reports / Daily Site Reports	
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EP	223	Personnel Authorization Forms (PAF) / Register (e.g., for EPCM)	
EP	224	Audit Reports	
EP	225	Dispute Resolution (e.g., Case Files for Mediation/Arbitration)	
EP	226	Project Finance (e.g., Project Finance, ECA related documents)	
EP	227	Miscellaneous	
EP	228	[...]	

EP = Execution Phase

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CONTRACT MANAGEMENT COURSE



Depending on the form of contract that you are using, create sub-folders within the Contract Documents folder in line with the contract structure. See the highlighted section as example.

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EP	210	Variation Requests + Register (working files)	yes
EP	211	Variations + Register (working files/signed PDF + Variation Proposal)	yes
EP	212	Contract Amendments (including Claim Settlement Agreements)	yes
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EP	214	Invoice Statements + Interim Payment Approvals (IPCs)	yes
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EP = Execution Phase



EPC Contract documents – FIDIC Silver Book EPC/Turnkey

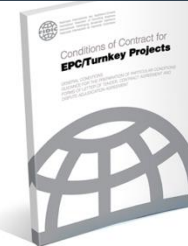
Sub-folders titles:

- A Contract Agreement
- A1 Master Document List (MDL)
- B Particular Conditions - Part A - Contract Data
- C Particular Conditions - Part B - Special Provisions
- D General Conditions
- E Employer Requirements
- F Schedules
- G Contractor's Proposal
- H Joint Venture Undertaking (if applicable)
- I Other documents

- PCB FEED/EPC Bridging clauses
- PCB Lenders clauses
- PCB ECA clauses (if any)
- PCB Performance Guarantee
- PCB Performance Testing & LDs
- PCB Local Law clauses
- PCB Local Tax clauses
- PCB IP special clauses
- PCB Payment Special Clauses
- PCB DAB & Dispute Resolution

OTHER DOCUMENTS

- 11.0 Performance Security (Bank Guarantee)
- 12.0 Advance Payment Bond (Bank Guarantee)
- 13.0 Draft CAR Insurance Policy
- 14.0 Parent Company Guarantee (If applicable)
- 15.0 Direct Agreement (If applicable)
- 16.0 Confidentiality Agreement
- 17.0 Mutual Hold Harmless Agreement (if required)
- 18.0 Company Registration & POAs
- 19.0 Collateral Warranty



EMPLOYER REQUIREMENTS

- E0.0 Abbreviations
- E1.0 HSE Requirements
- E1.1 HSE Policy
- E1.2 Life Saving Rules
- E1.3 HSE Site Rules and Regulations
- E2.1 Scope of Work
- E2.2 Scope Split List
- E2.3 Engineering Requirements
- E2.4 Procurement and Subcontracting
- E2.5 Construction Requirements
- E2.6 Commissioning and Start-up
- E2.7 Quality Assurance and Control
- E2.8 Risk Management
- E2.9 Interface Management
- E2.9 AT1 Interface Register Template
- E2.9 AT2 Interface Log Template
- E2.9 AT3 Interface Query Form IFQ
- E2.10 IM & IT Requirements
- E2.11 Document Management Requirements
- E2.12 Permitting Requirements
- E2.13 Free-Issue Items
- E2.14 Nominated Subcontractors
- E2.15 Operations and Maintenance
- E2.16 Handover
- E2.17 Contract Completion
- E3.1 Project Management
- E3.2 Schedule Management
- E3.3 Cost Control
- E3.4 Contract Administration (including forms)
- E3.5 Project Information Management System
- E3.6 Verification and Validation Requirements
- E3.7 Stakeholder Management Requirements
- E4.1 FEED Package (Index of FEED Documents)
- E5.0 Other Requirements

SCHEDULES [RETURNABLE SCHEDULES BY CONTRACTOR]

- F1.0 Key Dates & Milestone Schedule
- F2.0 Pricing Schedules & Pricing Basis [OBE to LS]
- F3.0 Payment Schedule & Invoicing
- F4.0 Rates for Variations
- F5.0 Day Rate Schedule
- F6.0 Insurance Schedule (Contractor)
- F7.0 Schedule of Proposed Subcontractors
- F8.0 Schedule of major construction equipment
- F9.0 Key Personnel Schedule
- F10.0 Module Prefabrication Schedule (if any)

CONTRACTOR'S PROPOSAL

- G1.0 Preliminary Programme of the Works
- G1.1 Planned Progress & Man-hours Curves
- G1.2 Preliminary Progress Measure System/BIM
- G2.0 Preliminary Project Execution Plan
- G2.1 Project Organisation Charts
- G2.3 Method Statements
- G4.0 Preliminary HSE Plan
- G5.0 Preliminary QA / QC Plan
- G6.0 Preliminary Engineering Plan
- G6.0 Preliminary Interface Management Plan
- G7.0 Preliminary Procurement Plan
- G8.0 Preliminary Subcontracting Plan
- G9.0 Preliminary Construction Management Plan
- G10.0 Preliminary Commissioning & Start-Up Plan
- G11.0 Preliminary Project Procedure Manual
- G12.0 Estimated Monthly Cashflow (incl. curves)
- G13.0 OBE LS Conversion Procedure & Systems
- G12.0 [Joint Venture Confirmations / Undertakings]



CONTRACT MANAGEMENT COURSE

Start

Filing Procedure

So, to wrap this up; ensure that you have a contract filing procedure which is structured per contracting phase with all relevant subfolders that you need. Include the Contract Filing Procedure in an **on-boarding package** and explain how to use it in your contract management training sessions.

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EP = Execution Phase

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7 Contract Close-Out Filing

File	No.	File Folder Description	Retention
CO	001	Mechanical Completion Notice	yes
CO	002	Mechanical Completion Confirmation Notice	yes
CO	003	Mechanical Completion Rejection Notice	yes
CO	004	Ready For Start-up (RFSU) Notice	yes
CO	005	RFSU Rejection Notice	yes
CO	006	RFSU Confirmation Notice	yes
CO	007	Notice of Completion (Works)	yes
CO	008	Notice of Rejection (Works)	yes
CO	009	Contract Completion Checklist	yes
CO	010	Taking Over Certificate(s) (start of Defect Notification Period)	yes
CO	011	Performance Test Notice	yes
CO	012	Performance Test Failure Notice	yes
CO	013	Performance Test Certificate	yes
CO	014	Deemed Performance Test Certificate	yes
CO	015	Performance Certificate (after expiry of Defects Notification Period)	yes
CO	016	Final Statement and Final Payment Certificate	yes
CO	017	Certificate of Discharge	yes
CO	018	Return of Performance Security (confirmation notice)	yes
CO	019	Miscellaneous	
CO	020	[...]	

CO = Close-Out Phase

[●]

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