

Contract Administration Plan (CAP)

**Contract/Project name**

Contract number

Contract type

Contractor name

Published by:

Agency name

Contract administrator name

Version

Date

[Text in blue brackets are notes to the contract administrator to aid in completing the plan sections. **Delete this and all other blue notes when finalizing.**]

[Highlighted text are examples only. Replace the text with agency information and remove highlighting.]

Introduction

The Contract Administration Plan (CAP) strengthens an agency’s ability to monitor and act on the contract and, if applicable, a project related to the contract. CAP topics may include:

* Performance
* Work progress as it relates to schedule
* Deliverables
* Compliance with requirements
* Test results

Contract Administration Plan Overview

Purpose of the Plan

[This section should address the purpose of the CAP as it directly relates to the contract.]

Summary Products and Services Scope

[This section should provide a summary of the products or services provided by the contractor. It should include the type of work being done, significant features, and goals of the agency and contract.]

Intended Audience

[Tailor the following table to reflect the intended audience or users of the CAP. The table should list the CAP sections most relevant to the user type and the purpose for which a user may reference the information.]

[Include agency, state-level and contractor roles that are contract stakeholders.]

| **Intended Audience and Document Purpose** | | |
| --- | --- | --- |
| **Users** | **Relevant Sections** | **Purpose** |
| *Agency Executive Sponsor(s)* |  |  |
| *Agency Project Manager* |  |  |
| *Agency Contract Administrator* |  |  |
| *Agency Designated Procurement Officer* |  |  |
| *Risk Management Team* |  |  |
| *Contractor Key Personnel* |  |  |
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Roles and Responsibilities

[The key to building a strong contract administration team is finding members with the right skill sets and schedule availability to support contract administration activities. Team members should be the final product or service stakeholders and should have the knowledge and skills to fill particular areas of expertise. Team members must have clear roles and responsibilities and established communication channels to work together effectively. The team should include three to five members and should leverage the knowledge of Subject Matter Experts (SMEs) as needed throughout the contract term.]

Contract Administration Team

The following table lists individuals who have direct oversight responsibility to ensure the agency receives and accepts the deliverables and services identified in the contract.

[The team may include, and should distinguish between agency-specific and state-level contract personnel.]

| **Administration Team’s Roles and Responsibilities** | | |
| --- | --- | --- |
| **Name** | **Role** | **Responsibilities** |
|  | *Agency Sponsor* |  |
|  | *Agency Contract Administrator* |  |
|  | *Agency Project Manager* |  |
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Contract Support Team

The following table identifies the individuals responsible for supporting contract administration through provision of subject matter expertise, designing, implementing, and testing the requirements, deliverables and services identified in the contract.

[The team may include, and should distinguish between agency-specific and state-level contract personnel.]

| **Support Team’s Roles and Responsibilities** | | |
| --- | --- | --- |
| **Name** | **Role** | **Responsibilities** |
|  | *Technical SME* |  |
|  | *Finance SME* |  |
|  | *Procurement SME* |  |
|  | *Legal SME* |  |
|  | *Program SME* |  |
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Communication Plan

[The following table provides an example of the elements to document in a communication plan.]

[Proactive communication is critical to the success of the contract. Be sure that communications are timely, constructive and include relevant feedback. Use a variety of communication methods such as e‑mail alerts, status reports, watch lists, risk reports, and formal or informal reviews.

Communication may be formal or informal. Communications required by the contract are formal communication. Non-binding or informal communication does not constitute contract direction and does not change the scope or terms and conditions of the contract.

This section should detail the team’s plan to communicate both internally and externally with the contractor, including who is responsible for initiating each type of communication.]

| **Communication Register** | | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| **What** | **Who** | | **When** | **How** | | |
| Information Requirement Description/Title | Provider/ Stakeholder | Recipient/ Stakeholder | Timeframe/ Frequency/Trigger | Format | Distribution Method | Disposition Method |
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Schedule and Deliverables

[If the information in this section of the CAP exists elsewhere (e.g., MS Project) simply attach a copy of the existing information and skip ahead.]

Schedule

The following table contains a high-level schedule organized by the tasks that comprise the work specified in the contract.

| **Schedule** | | | | |
| --- | --- | --- | --- | --- |
| **Task Identifier / Name** | **Responsible Party** | **Duration** | **Start** | **Finish** |
| *1.0 Parent Task* | *Name* | *No. Days* | *Start Date* | *Finish Date* |
| *1.0.1 Sub Task* | *Name* | *No. Days* | *Start Date* | *Finish Date* |
| *1.0.2 Sub Task* | *Name* | *No. Days* | *Start Date* | *Finish Date* |
|  |  |  |  |  |
| *1.1 Parent Task* | *Name* | *No. Days* | *Start Date* | *Finish Date* |
| *1.1.1 Sub Task* | *Name* | *No. Days* | *Start Date* | *Finish Date* |
| *1.1.2 Sub Task* | *Name* | *No. Days* | *Start Date* | *Finish Date* |
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Deliverables

The following table identifies all deliverables related to the contract. These items include:

* Deliverables related to products or services specified in the contract. For technical projects, this table should also include any deliverables related to functionality or overall implementation of the solution.
* Deliverables related to reports or other contractor submittals specified in the contract.

| **Contract Deliverables** | | | | |
| --- | --- | --- | --- | --- |
| **Contract Clause/**  **Task** | **Deliverable** | **Responsible Party** | **Action Required** | **Due Date/**  **Frequency** |
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Risk/Issue Management Plan

[This section documents the agency’s risk response strategy for a major high-risk contract or project. Keep the strategy updated as the project progresses and as new risks or issues arise. The risk response strategy focuses on contractual items and not project items unless the project item has a potential impact on the contract (i.e. deliverables, budget, schedules, etc.).]

Risk management is a three-part process involving:

1. Identifying risks
2. Quantifying and analyzing the likelihood of and the potential impact of identified risks
3. Determining how to manage, mitigate or eliminate identified risks

The following table contains a list of project risks that require management.

| **Risk Management** | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Risk Id** | **Description** | **P** | **I** | **S** | **Risk Response** | **Action** | **Responsible Party** | **Target Completion** | **Status** |
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| **Risk Management Legend** | | | |
| --- | --- | --- | --- |
| **P - Probability** | **I - Impact** | **S - Severity** | **Risk Response** |
| 1 – Improbable  2 – Probable  3 – Very likely | 1 – Negligible  2 – Marginal  3 – Critical  4 – Catastrophic | 1 – Low  2 – Medium  3 - High | **Avoid** – take action up front to reduce the probability, or impact (or both), to zero.  **Transfer** - make someone else responsible for particularly risky portions of the project.  **Mitigate** - take actions to lessen the impact or the probability that the risk will occur.  **Accept** - the risk may be small enough (in impact or probability) such that the cost and effort of any preventative measures are out of proportion of the risk itself. |

Contract Performance Monitoring Plan

[This section should address contract elements relating to contractor oversight.]

Contract Meetings

The following table outlines the schedule of meetings required in the contract and other meetings needed to monitor the contract and contractor performance.

| **Scheduled Meetings** | | |
| --- | --- | --- |
| **Meeting** | **Date/Frequency** | **Facilitator** |
| Contract Initiation/Kickoff | Once |  |
| Weekly Section Team Meeting | Weekly |  |
| Weekly Team Leads Meeting | Weekly |  |
| Monthly Executive Meeting | Monthly |  |
| Quarterly Executive Meeting | Quarterly |  |

Contract Monitoring and Reporting

The following table contains a list of required documents, reporting frequency, and the approver or approving group that is associated with internal monitoring and reporting of contract and contractor performance.

| **Contract Performance Reporting** | | |
| --- | --- | --- |
| **Document Name** | **Frequency** | **Approver** |
| Weekly Status Report | Weekly |  |
| Monthly Executive Status Report | Monthly |  |
| Requirements Traceability Matrix | Monthly |  |
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Risk/Issues Management Reporting

The following table contains a list of required reports, reporting frequency or due date, and the approver or approving group that is associated with internal risk and issue management activities.

| **Risk/Issue Management Reporting** | | |
| --- | --- | --- |
| **Report Name** | **Due Date/**  **Frequency** | **Approver** |
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Performance Measures/Tracking

The following table lists the performance measures or required performance items to track according to the contract.

| **Performance Measures** | | | |
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| **Performance Measure** | **Contract Reference** | **Method of Measure** | **Frequency of Measurement** |
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Inspection and Acceptance Process

[Describe the strategy for ensuring contract requirements conforms to quality assurance provisions and address the roles and responsibilities of the individuals involved in this process. Also, reference the sections in the contract that address inspection and acceptance.]

Invoice and Payment Process

[Describe the plan or process (e.g. instructions, certifications, documentation, etc.) for reviewing and approving invoices; and reference the invoice requirements addressed in the contract. Also, discuss the roles and responsibilities of those individuals that have direct involvement in the process.]

Contract Change Control Process

[Describe the strategy and procedures for managing the formal change control process to scope, cost and schedule as well as mitigating variances to approved scope, cost or schedule. If the contract includes a process, include the requirements of that process here. This paragraph should include the individuals responsible for the review and approval of baseline changes and variances.]

Contractor Management

[Describe the contractor management process and include contract references to remedies. Also, identify individuals responsible for controlling and overseeing this process.]

Other Contract Administration

State/Agency Obligations

The following table describes any applicable state or agency assets, including property, services or information, furnished to the contractor to fulfill the requirements of the contract. Identify the contract requirement and specific state- or agency-furnished asset, the procedure to furnish and ensure accountability of the asset and the responsible party for controlling the asset.

| **State/Agency Obligations** | | | |
| --- | --- | --- | --- |
| **Requirement** | **Asset Type** | **Controls and Management** | **Responsible Party** |
| Agency shall ensure government controlled data systems can be securely accessed by contractor as needed to provide infrastructure support as described in section. | Agency will ensure the following systems are available to the contractor throughout the period of performance of this contract:<> | Agency will perform reviews of system utilization through:<> | Agency Project Manager |
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Contract Closeout

[Describe the procedures or processes used to ensure fulfillment of the contract requirements at closeout.]