

# Modernization Program Contract Management Plan

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## Program Overview

The Employment Department's Modernization Program is a multi-year initiative focused on transforming the agency's business processes and core technology systems. Computer systems supporting receipt of unemployment insurance taxes, payment of unemployment insurance benefits and delivery of employment services will be replaced and expanded to support the implementation of the Paid Family Medical Leave Insurance program. Further, business processes will be transformed to take advantage of opportunities and benefits available through new system capabilities.

## Document Purpose

This plan describes the processes that will be used to guide contract management activities to ensure both vendor and state compliance for each executed contract under the Modernization Program. This plan describes all roles and responsibilities of individuals and entities involved with contract administration, as well as processes for deliverable review and acceptance, payment of invoices, vendor performance management, and contract amendments. This plan is intended to ensure that the program manages contracts in accordance with statutes, rules, policies, and best practices and to accomplish agency need.

## Document Audience

This document is intended for these primary audiences:

- **Program sponsors and steering committee members** – to understand processes that will be followed. They also have a responsibility to ensure processes are appropriate and enforced.
- **Internal and external oversight entities** – to monitor whether appropriate processes are in place and continue to be followed.
- **Program and project team members and vendor staff** – to understand processes that will be followed.
- **Agency employees** – to reference for general awareness.

## Document Relationships

This plan is an extension of the Modernization Program's Program Management Plan. It is expected that all modernization projects will adhere to the processes and details described herein. This plan also relies upon or references these other plans.

- Modernization Program Management Plan – provides the overall framework for the program and the program management plans covering each specific process.
- Modernization Program Risk and Issue Management Plan – this program-level plan describes the risk and issue management process; the risk registry contains risks identified for each project management process.

- Modernization Program Procurement Management Plan – this plan describes the procurement processes pertinent to all procurements; specific procurement plans describe the details for each procurement.
- Modernization Program Change Control Plan – describes the change control process in the event that a contract changes results in change to project scope, schedule, or budget.
- Modernization Program Schedule Management Plan – describes how the program schedule is developed and managed. Contract deliverables and activities are captured within the schedule so that dependent activities and resources can be coordinated.

## Risks, Assumptions, and Constraints

### RISKS

Risks related to contract management process activities are described and managed through the program's risk and issue process. See the program's risk management plan for further details on the risk and issue process. See the Modernization Risk Registry for a current listing of Contract Management risks.

### ASSUMPTIONS

- The contract management processes developed to support modernization projects will be based upon and adhere to Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK), Oregon statutes and rules governing procurement and contract management, and agency policy.
- The Modernization Program will have dedicated resources on the program and project teams with responsibilities to manage vendor contracts and maintain contract files.
- The Modernization Program will strive to structure all contracts as deliverables-based contracts. In some cases, time and materials efforts will be warranted. All contracts will include not to exceed limitation for the specified deliverable or service provided.

### CONSTRAINTS

- Contract management processes will abide by Oregon contracting statutes and rules, and Department of Administrative (DAS) policies. Oregon's Procurement Manual provides resources and links to relevant statutes and rules. This manual is available on the DAS website: <https://www.oregon.gov/das/opm/pages/index.aspx>
- The agency has limited delegated procurement authority, which may change over time. Each procurement planning will include a determination, under the direction of the agency Designated Procurement Officer (DPO), of where procurement authority lies. Information on delegated authority can be found on the DAS website: <https://www.oregon.gov/das/OPM/Pages/authority.aspx>.
- Contracts with a value of \$150,000 or more require approval for legal sufficiency by Department of Justice (DOJ).

- IT Investments with a value of \$150,000 or more require approval by Enterprise Information Services (EIS).

## Roles and Responsibilities

Significant roles and responsibilities involved in the contract management process are described below.

**Table 1 – Roles and Responsibilities**

Role	Responsibilities
DAS Procurement Services	<p>While DAS Procurement Services may be consulted on any contract matter, they are accountable for contracts and contract amendments above the agency’s delegated authority. For contracts above the agency’s delegated authority, responsibilities include:</p> <ul style="list-style-type: none"> <li>Develops contract and contract amendments exceeding the agency’s delegated authority.</li> <li>Provides guidance and support to the agency on contract administration processes, policies, risk mitigation, and best practices.</li> <li>Assists agency in resolution of contract disputes.</li> <li>Maintains the official procurement and contract file.</li> </ul>
DOJ	<p>While DOJ may be consulted on any contract matter, they have the following responsibilities for contracts requiring DOJ review:</p> <ul style="list-style-type: none"> <li>Participates in contract negotiations as requested.</li> <li>Provides legal guidance on contract statutes, rules, risk mitigation, and best practices.</li> <li>Reviews contracts and contract amendments for legal sufficiency when contract or amendment exceed designated threshold (\$150K).</li> <li>Assists agency in resolution of procurement and contract disputes.</li> <li>Represents the state on contract legal matters.</li> </ul>

Role	Responsibilities
Contract Administrator	<p>Administers contracts for the Modernization Program and/or its projects.</p> <p>Conducts final review of deliverables, considering inputs from all deliverable reviewers, and makes final decision on whether to accept or reject deliverables.</p> <p>Collaborates with the Agency Procurement Office and DAS Procurement Services staff regarding vendor performance concerns, and works with vendors to resolve performance issues and invoice errors.</p> <p><i>Note that each contract within the Modernization Program may have a different contract administrator depending on the contract product and/or service. In most cases a member of the Modernization Program’s management team will fulfill this role. However, for the independent quality management services vendor, the Statewide Quality Assurance Program Manager administers the contract.</i></p>
Modernization Sponsor (Modernization Director)	<p>Provides direction on contract management decisions.</p> <p>Approves contracts and contract amendments on behalf of the Program.</p> <p>Approves funding decisions.</p> <p>Authorizes payment for validated invoices and accepted deliverables.</p> <p>Serves as the Contract Administrator and authorized representative for most <sup>1</sup>modernization contracts.</p>
Modernization Program Manager	<p>Develops the contract management strategy, and works with the agency’s procurement office and the Modernization Contract Project Manager to develop sufficient management processes that adhere to PMBOK best practices, Oregon statutes and rules, and agency policy.</p> <p>Provides guidance on contract decisions and vendor management related issues.</p> <p>Participates in review of all contract deliverables.</p> <p>Participates in regular process assessments to evaluate whether processes are effective, efficient, and are being followed.</p>

<sup>1</sup> Exception: The Statewide Quality Assurance Program Manager administers the contract for independent quality management services.

Role	Responsibilities
<p>Modernization Contract Project Manager</p>	<p>Manages contracts in accordance to this plan, Oregon statues and rules, and agency policy.</p> <p>Maintains this contract management plan and conducts regular assessments to identify how processes could be improved.</p> <p>Coordinates vendor onboarding activities, ensuring appropriate accommodations are planned, training is completed, and authorizations are obtained prior to contract staff beginning work.</p> <p>Manages the deliverable schedule, and works with schedulers to ensure deliverable due dates and review timelines are reflected within the program and project schedules.</p> <p>Negotiates agreement of deliverable expectations within the purview of a contract.</p> <p>Receives and evaluates deliverables to ensure completeness and ensure deliverables adhere to contract requirements.</p> <p>Facilitates review of contract deliverables, and works with designated reviewers to complete an assessment and recommendation to accept or reject deliverables.</p> <p>Handles vendor performance issues, manages disputes, and escalates concerns to the Contract Administrator, Agency Procurement Office, and Modernization Program leadership.</p> <p>Works with vendors to correct, adjust, or remedy rejected deliverables or unsatisfactory work according to the contract.</p> <p>Coordinates with contract administrators, DAS Procurement Services, and the Agency Procurement Office to initiate and conduct contract amendments or change orders.</p> <p>Monitors, tracks, and reports on contract performance through regular monthly status reporting to ensure requirements are fulfilled, and terms and conditions are met.</p> <p>Verifies and validates accuracy of invoices for payment approval.</p> <p>Ensures that all contract communications and documentation is properly recorded and maintained within a project file and incorporated into the official procurement and contract file.</p>

Role	Responsibilities
<p>Agency DPO (Agency Procurement and Contract Manager)</p>	<p>Accountable for procurements and contracts within agency delegated authority. These contracts and amendments would be handled through the Agency Procurement Office.</p> <p>Provides signature authority for contracts and amendments within the agency’s delegated authority.</p> <p>Represents the state in addressing contract performance issues.</p> <p><i>Note: Agency director designates the Agency DPO and is a co-signer for contracts and amendments exceeding agency delegated authority. The Agency Chief Financial Officer may act on behalf of the Agency DPO in their absence.</i></p>
<p>Agency Procurement Office – Agency DPO or assigned Agency Procurement and Contract Specialist</p>	<p>For contracts or amendments within the agency’s delegated authority:</p> <ul style="list-style-type: none"> <li>Develops and executes contracts and amendments, ensuring appropriate contracting methods are utilized, risks are mitigated, and contract adheres to rules, policies, or laws.</li> <li>Acts as point of contact for any disputes with vendors.</li> <li>Maintains the official procurement and contract file.</li> </ul> <p>For all contracts:</p> <ul style="list-style-type: none"> <li>Provides guidance and support on contract administration processes, risk mitigation, and best practices.</li> <li>Collaborates with the modernization team in administering contracts and developing amendments or change orders.</li> <li>Drafts amendments and change orders, ensuring compliance with contract rules, policies, or laws.</li> <li>Serves as key liaison with DAS Procurement Services and DOJ on contracts exceeding the agency’s delegated authority.</li> <li>Provides guidance to resolve vendor disputes or performance matters.</li> </ul>
<p>Deliverable reviewers</p>	<p>Reviews deliverables for adherence to deliverable expectation documents, acceptance criteria, and contract requirements.</p> <p>Provides timely, professional analysis and advice in support of rigorous determination of deliverable quality.</p> <p>Recommends acceptance or rejection of deliverables, including reasoning and any proposed remediation.</p>
<p>Vendor</p>	<p>Performs work per the statement of work and submits deliverables and invoices for work completed.</p>

Role	Responsibilities
Modernization Change Control Board	Reviews and decides whether proposed contract changes may impact scope, schedule, or budget thresholds, and whether consideration of proposed changes should be escalated per the program's change control process.
Modernization Senior Quality and Risk Analyst	Monitors and facilitates management of contract related risks. Conducts quality control reviews of contract management processes. Performs the contract project management/administration duties for the independent quality management services vendor contract.
Independent quality management services (iQMS) vendor	Conducts independent quality control reviews of contract management/administration processes. May participate in selected deliverable reviews as a deliverable reviewer.

## Contract Administration

Contract administration begins prior to the execution of a contract and ends once all contract close-out activities are complete.

### CONTRACT DOCUMENTATION

All vendor communications and contract materials are stored and maintained within a procurement and contract file which is the official record for each contract. The office with authority for administering the contract is responsible for maintenance and storage of the procurement and contract file. The procurement and contract file contains information such as:

- Procurement record and all documentation pertaining to the procurement for resulting contract
- Contract, amendments, change orders, and any associated documents (i.e., statement of work, insurance certificates, background checks, etc.)
- Contract Administration Tracking spreadsheet that will contain:
  - Vendor contact information
  - Vendor onboarding checklist
  - Deliverable registry
  - Invoice registry
  - Amendment and Change Order registry
  - Contract administrator and deliverable review team information
  - Vendor departure checklist
  - Contract close-out checklist
  - (A template of the contract administration tracking spreadsheet can be found here: <\\WPOEDFILL04\Modernization\00 Program Management\Contract Management\Administration>)
- Deliverable expectation documents (DED)
- Deliverable work products and/or certificates of completion
- Deliverable feedback logs

- Deliverable acceptance and/or rejection letters
- Invoices
- Any communications or documentation related to the contract, deliverable feedback or acceptance, vendor performance, invoice, and payment

See Appendix A for the Agency Procurement Office contract file checklist.

The Modernization Contract Project Manager will store vendor communications and all deliverable artifacts and contract documentation within the program's file share under the respective contract folder. The contract file may contain confidential, trade secret, or proprietary information for a vendor; therefore, this is a secured location with limited access by modernization and appropriate agency staff.

Once the contract is closed and contract close-out activities are complete, the Modernization Contract Project Manager will coordinate with the Agency Procurement Office or DAS Procurement Services to supply any contract administration materials developed over the life of the contract for long-term recordkeeping within the official procurement and contract file.

In the event of an audit, the agency must be able to provide documentation related to the contract for products or services delivered, vendor performance, and/or financial expenditures. Further, an audit may occur at any time, even years after contract completion. Therefore, the agency must be able to retrieve the contract file, deliverable documentation, or performance and invoice history when requested, in accordance with the state's retention requirements.

## DELIVERABLE REGISTRY

A deliverables registry is maintained within the contract administration spreadsheet for each contract. The deliverable registry is used to track and report information related to deliverable submissions, review cycles and acceptance, as well as invoicing and payment information once deliverables are accepted. The deliverable registry is updated regularly for each contract. See Appendix H for the deliverable registry section within the contract administration spreadsheet. Below is a summary of the information tracked within the deliverable registry:

- Deliverable (task/artifact) name and number
- Deliverable due date
- Date deliverable was first submitted
- Review and feedback due date
- Due date if deliverable revision is required after a review (there may be multiple entries for iterations of deliverable revision submissions)<sup>2</sup>
- Due date of revised deliverable actually received (there may be multiple entries for iterations of deliverable revision submissions)
- Review and feedback due date of a revised deliverable (there may be multiple entries for iterations of revised deliverable reviews)
- Date deliverable accepted or ultimately rejected
- Deliverable amount (not to exceed per contract)

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<sup>2</sup> The number of deliverable review cycles will be determined by the contract terms. The delivery registry for each contract will be revised to reflect the number of deliverable review cycles specified in the contract.

- Related invoice number
- Amount retained
- Date retainage released

The deliverable registry, along with the comment logs, and acceptance or rejection documentation, ensures that sufficient documentation is maintained on vendor performance and timeliness, along with timeliness of agency review, feedback, and acceptance. Together with the invoice registry, the deliverable registry tracks dollar and NTE amounts to ensure the contract stays within allocated budget amounts.

The Modernization Contract Project Manager regularly reviews the deliverable registry with the Contract Administrator to assess vendor and agency performance. Any concerns will be escalated to the Contract Administrator.

## VENDOR ARRIVAL AND DEPARTURE

Before the vendor arrives to begin work, a number of items must be planned and completed. A vendor onboarding checklist is maintained to ensure items are prepared for the vendor's arrival and initial activities are planned. The vendor onboarding checklist is a part of the contract administration spreadsheet. See Appendix B for the vendor onboarding checklist section within the contract administration spreadsheet.

The Contract Administrator, or designee, will meet with the vendor(s) on their first day for an orientation. Vendors will receive foundational program and project documents, and will review new vendor orientation, security, and access packets required by the agency.

When a vendor leaves or the contract ends, there are activities that must be completed. A vendor departure checklist is part of the contract administration spreadsheet. See Appendix C for the vendor departure checklist section within the contract administration spreadsheet.

## Deliverables Expectation Document

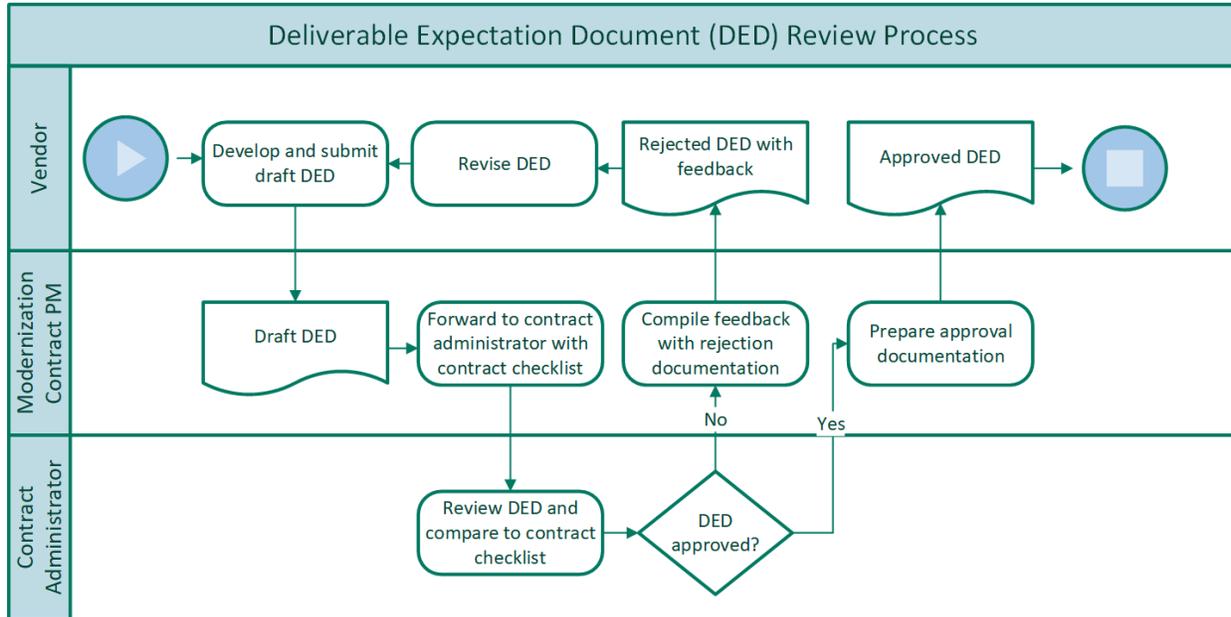
In addition to adherence to deliverable characteristics outlined within the contract, a deliverables expectation document (DED) will be used to obtain agreement on deliverable content, format, and any additional identified acceptance criteria. See Appendix D for the DED template. Use of DEDs will be a requirement included within each contract.

If required by the contract, the vendor shall be required to complete and submit a DED for each discrete deliverable. The DED must be completed and approved by the Contract Administrator or other designee before the deliverable may be submitted. Vendors are encouraged to seek DED approval before or soon after beginning work on any deliverable. While the specified DED template is not required, any other format used must be approved by the Contract Administrator. The content and depth of detail contained within the DED may vary depending on the size and complexity of each deliverable. For complex deliverables multiple stages of DED may be required (for example: a large deliverable that must be completed in stages, delivered as part of a larger system component, or large deliverables that may be assessed in stages but cannot be fully evaluated until complete). In these cases the DED should outline the stages where the deliverable will require review.

The DED will be reviewed and approved by the Contract Administrator and any other designated reviewers. The DED is compared to the statement of work within the contract and any quality checklist

applicable to the deliverable in order to identify any gaps that need to be addressed prior to accepting the DED. The DED goes through the same acceptance process as deliverables.

Figure 1 – DED Review Process



## Deliverable Submission

Most deliverables will be submitted electronically to the modernization deliverables email box ([OED\\_Employment\\_Modernization@oregon.gov](mailto:OED_Employment_Modernization@oregon.gov)) and the Modernization Contract Project Manager by close of business on the due date, unless otherwise indicated in the contract.

The deliverable submission process may vary slightly depending on the contract terms and the specific deliverable. Therefore, contracts should be reviewed prior to establishing and finalizing the deliverable submission process for each contract.

## Deliverable Review and Acceptance

Terms of deliverable review and acceptance or rejection will be determined by each negotiated contract. The following describes Modernization’s internal processes in the context of a generic contractual framework. Modernization will negotiate specific provisions with each vendor that are generally consistent with the process described here, and may construct per-contract processes optimized for each contract while supporting the state’s objectives for rigorous contract management.

The Modernization Contract Project Manager will work with the Contract Administrator to identify appropriate reviewers for each contract deliverable. Reviewers will be drawn from those outlined in the contract as well as any appropriate additional subject matter experts. Reviewers will be listed within the contract administration tracking spreadsheet.

Once a vendor completes and submits a deliverable, the deliverable moves through the review and acceptance process. The Modernization Contract Project Manager will review the deliverable to ensure

compliance with contract requirements and approved DED criteria and work with the vendor to ensure the submission meets these basic requirements. The Modernization Contract Project Manager will then begin facilitation of the review process with designated reviewers. Reviewers are key sources of expertise and are expected to provide significant input so that the Contract Administrator can make a determination.

Assigned reviewers will review the deliverable for accuracy and quality, and compare the deliverable to the contractual acceptance criteria. Reviewers will record their feedback and comments within the deliverable comment log. See Appendix E for the deliverable comment log. The Modernization Contract Project Manager will consolidate the reviewer feedback in to one deliverable comment log and submit to the Contract Administrator for a review and determination. The deliverable comment log will be shared with the vendor as appropriate at the end of each review cycle until the deliverable is approved and accepted by the Contract Administrator.

Acceptance of the deliverable will be based on the following:

- A review of the contract to see whether the deliverable meets contractual acceptance criteria thresholds.
- A review of the deliverable to determine accuracy and level of conformity to business, functional, and technical requirements.
- A review of the deliverable and the degree to which the deliverable meets users' expectations for usability, functionality, and maintainability.
- A review of the deliverable and degree to which the deliverable meets relevant quality criteria.
- A review of the deliverable to see whether the deliverable meets criteria set forth in the related DED.

Work products or deliverables developed by a vendor or firm will not be reviewed by the same vendor or firm.

Once the deliverable passes through the review process and is approved by the Contract Administrator, the Modernization Contract Project Manager notifies the vendor in writing of approval in accordance with the acceptance process defined in the contract. A deliverable acceptance letter along with any accompanying documentation will be sent to the vendor as part of the acceptance process. See Appendix F for the deliverable acceptance letter template.

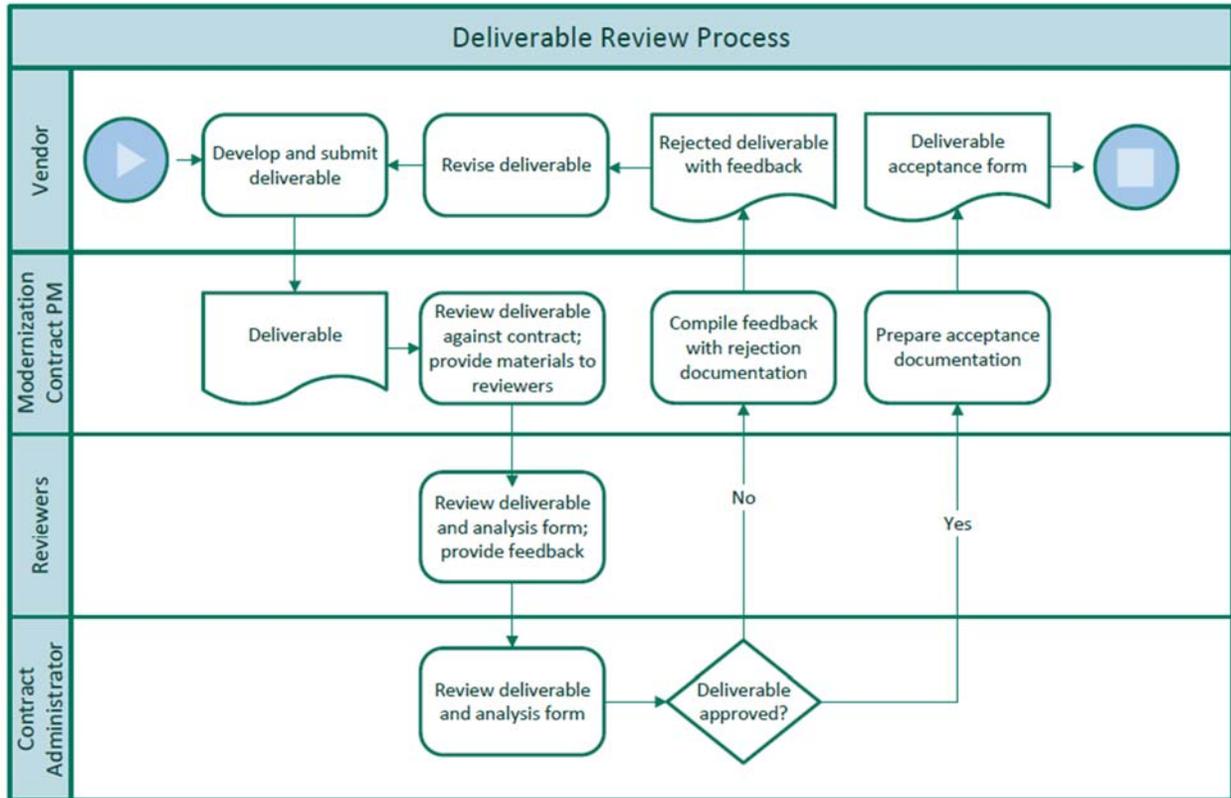
In the event a deliverable is determined to be unacceptable, the Contract Administrator and Modernization Contract Project Manager will work with the vendor to seek a mutually agreeable remedy for resubmission that is in accordance with the respective contract.

Deliverables should be of high quality upon first or second submission. Deliverable submissions, reviews, and feedbacks will be tracked (see deliverable registry section below) and vendor's quality will be measured by the number of iterative submissions required before deliverable acceptance.

If a resubmitted deliverable is ultimately deemed unacceptable, the Contract Administrator and Contract Project Manager will contact the agency procurement and contract specialist and/or the Agency DPO to identify the next steps and determine the best approach for remediation. This will be guided by the terms of the contract and may include an informal meeting with the vendor to address a minor defect in a deliverable. In the event more formal intervention is needed, the Agency DPO may request DOJ or DAS Procurement Services provide additional assistance and guidance on remedy

options. If necessary, a deliverable rejection letter will be drafted by a procurement professional with consent of DOJ and the Contract Administrator, and sent to the vendor along with any accompanying feedback and documentation supporting rejection of the deliverable. See Appendix G for the deliverable rejection letter template.

Figure 2 – Deliverable Review Process



## Deliverable Invoicing and Payment

An invoice registry is maintained within the contract administration spreadsheet that tracks and records all invoicing and payments made related to the contract. The invoice registry contains the following:

- Invoice date
- Invoice number and description
- Associated deliverable
- Invoice amount
- Date invoice approved and submitted for payment
- Actual paid date

See Appendix I for the invoice registry section within the contract administration spreadsheet.

Vendor invoices should be submitted to the Modernization Contract Project Manager and accounts payable at [accountpayable.OED\\_ACCT\\_PAY@oregon.gov](mailto:accountpayable.OED_ACCT_PAY@oregon.gov), with copies to others specified within the contract. The Modernization Contract Project Manager documents the invoice within the invoice registry and reviews the invoice against contract terms and conditions for completeness, deliverable

acceptance, and ensures the amount invoiced is appropriate for the work performed. This review and payment process is intended to ensure that the following questions are answered in the affirmative prior to payment:

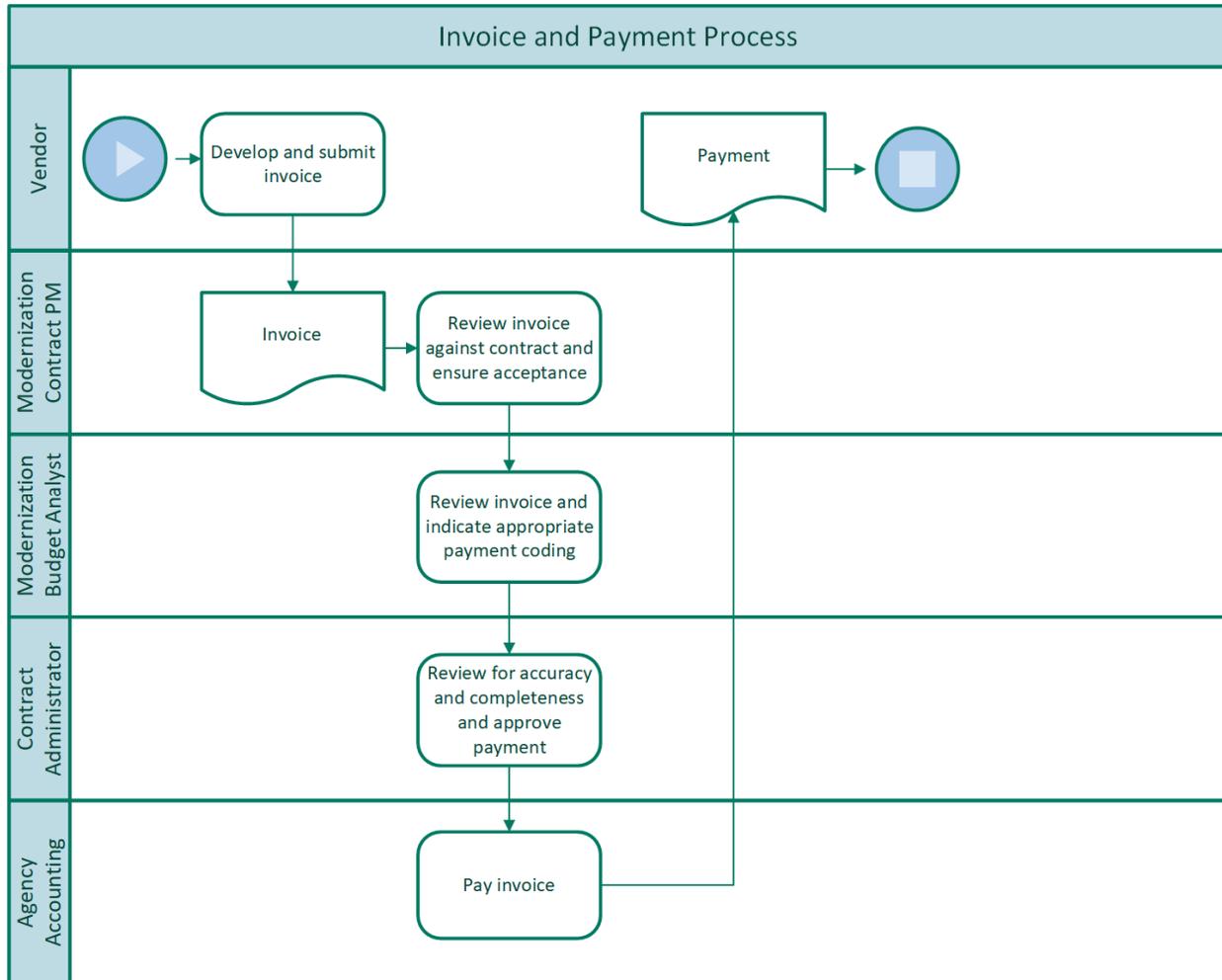
- Did the vendor actually perform the work and has the deliverable been accepted?
- Was the work performed consistent with the terms of the contract?
- Are the hours, rate per hour charged, and/or the deliverable consistent with the terms of the contract and statement of work, and hours commensurate in relation to the work and deliverable being invoiced for?
- Has retainage been withheld and noted on the invoice according to contract terms?

It is expected that most modernization contracts will include a retainage clause. In these cases, the retainage amount is expected to be 10% per deliverable, but this may vary according to each contract. The Modernization Contract Project Manager tracks the amount withheld from each invoice or deliverable within the deliverable and invoice registry and will work with the agency's accounting department to ensure retainage is paid in accordance with the contract.

The Modernization Contract Project Manager will work with the vendor to resolve any invoicing errors. Once review of the invoice is complete, the Modernization Contract Project Manager routes the invoice to the Modernization Budget Analyst for proper coding, and then the Contract Administrator or Modernization Sponsor (depending on the contract) for signature authority approval.

Once the invoice is approved for payment, the invoice and approval documentation is submitted to the agency's accounting department for payment processing. Any retainage that should be withheld will be indicated when the invoice is routed. The Modernization Contract Project Manager matches up invoices with the deliverable acceptance letter, comment logs, email communications, and approvals for filing within the contract file.

Figure 3 – Invoice and Payment Process



## Contract Change Management

When the need arises to make contract changes, a written request should be submitted to the Contract Administrator describing the change requested. The request will be reviewed with the Modernization Sponsor, Modernization Program Manager, and Contract Administrator to determine the affect the change could have on scope, schedule, budget or other terms of the contract, and determine whether the change must be reviewed by the Modernization Change Control Board before proceeding. The program’s change control process is described within the Modernization Program Change Control Plan.

If it is determined that a contract change is appropriate and should proceed, the Contract Administrator will work with the vendor to come to mutual agreement on the change prior to moving forward with the amendment process. If an amendment or change order is recommended, the Modernization Contract Project Manager will engage with the agency’s designated contract and procurement specialist assigned to the contract to develop the contract amendment. Information describing proposed changes to the statement of work should be provided, including adjustments to specific deliverables, costs, timelines, new products or services, and/or terms and conditions. If changes impact the overall cost, the

cumulative contract cost should be evaluated to determine if delegated authority thresholds are exceeded, requiring engagement with DAS Procurement Services and/or DOJ.

No services will be performed related to any amendment, and no payment will be made for any new products or services, until the amendment is fully approved and executed.

## Contract Closure

As the contract nears completion, a close-out checklist will be used to ensure that contract close-out activities are conducted and remaining administration tasks are complete. See Appendix J for the contract close-out checklist section within the contract administration file.

## Performance Issues and Escalation Process

Vendor performance will be measured against metrics that will be included within the specific contract. Vendors will be contractually obligated to comply with processes and rigor required to manage modernization projects, including oversight requirements. Issues with specific vendor staff will be raised to vendor leadership by the Contract Administrator or modernization leadership. Vendor staff will be managed by their firms, who will ensure their staff remains in compliance with contractual agreements. Specific vendor metrics will also be captured within the contract administration tracking spreadsheet.

In the event an issue is not resolved or a vendor's performance requires escalation, it is the responsibility of the Contract Administrator and Modernization Contract Project Manager to escalate to modernization sponsors, Agency Procurement and Contract Specialist, and Agency DPO, who will direct the process. As necessary, the Agency Procurement and Contract Specialist and/or the Agency DPO will review the remediation and recourse process and options outlined within the contract and assist the modernization sponsors in identifying next steps. In the event more formal intervention is needed, the Agency's DPO may request DOJ or DAS Procurement Services provide additional assistance and guidance on remedy options.

## Document Maintenance

This document is maintained by the modernization team, specifically the Modernization Contract Project Manager, and will be reviewed semi-annually to determine whether revisions are necessary. Periodic process reviews assess the effectiveness of program plans and processes. Any identified changes or improvements are incorporated in program processes and reflected within revisions to these program plans. All program plans are stored within the program's file share located here:

<\\WPOEDFILL04\Modernization\00 Program Management\Program Plans>

Version	Date	Author	Change Description
V1.0	12/2018	Jenny King, Modernization Contract Project Manager	Initial version of the document.
V2.0	7/2019	Jennifer Hannan, Modernization Program Manager	Added document relationship section, added additional assumptions, included link to Oregon procurement statutes statues and rules, added clarification under some responsibilities, made adjustments throughout to address editorial changes and corrections to accurately reflect current process, refreshed and added process diagrams to reflect current process, refreshed all appendices to reflect current templates.
V3.0	4/2020	Jenny King, Contract Project Manager	Multiple updates made to the plan that are recorded in the respective change log. Most updates made address CSG's feedback from their QC review.

## Approving Authorities

*Ethan Benatan*

Ethan Benatan (May 29, 2020 15:30 PDT)

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Ethan Benatan, Modernization Sponsor  
Modernization Director

Date

*Keith Shribbs*

Keith Shribbs (May 29, 2020 08:45 PDT)

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Keith Shribbs, Modernization Program Manager

Date

*Jenny King*

Jenny King (May 29, 2020 15:17 PDT)

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Jenny King, Modernization Contract Project Manager

Date

*Heather Wyland*

Heather Wyland (Jun 4, 2020 09:21 PDT)

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Heather Wyland, Agency DPO  
Agency Procurement and Contract Manager

Date

## Appendix A – Agency Procurement Office Contract Checklist



### *Contract File Checklist*

According to OAR 125-246-0556, agencies must ensure procurement files contain the following items.  
This checklist helps maintain complete procurement files.

**CONTRACT REFERENCE:** [Click here to enter text.](#)

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- All Written documents delivered to an Agency from DAS Procurement Services, whether the documents relate to approvals, revocations, orders, modifications, or other actions, related to the documents' subject matter and Action
- An executed Contract, if awarded, and any Ordering Instruments and Amendments
- The record of the actions used to develop and administer the Contract
- A copy of the Solicitation, if any
- The Contract Administrator and any delegates
- Any required findings or statement of justification for the selection of the Provider and sourcing method according to ORS 279A.200 through 279A.220 (Cooperative Procurement); 279B.055 through 085 (seven methods for Supplies and Services); 279C.100 through 279C.125 (Architectural, Engineering, Photogrammetric Mapping, Transportation Planning or Land Surveying Services or Related Services); or ORS 279C.300 through 279C.450 (Public Improvements);
- Documentation of Contract Administration according to OAR 125-246-0555 and if required by the selected procurement method:
  - A list of prospective Providers notified of any Solicitation;
  - The method used to advertise or notify prospective Providers;
  - A copy of each Offer that resulted in the Award of a Contract;
  - The record of any Negotiation of the Statement of Work and results;
  - A record of all material Communications regarding the Solicitation by interested Providers according to OAR 125-246-0635;
  - All information describing how the Provider was selected, including the method and basis for awarding the Contract;
  - A copy of the Request for Special Procurement, if any;
  - Documentation for a Federal Program purchase according to OAR 125-246-0360; and
  - Documentation related to Cooperative Procurements according to OAR 125-246-0400.

## Appendix B – Vendor Onboarding Checklist

Vendor Onboarding Checklist	
<input type="checkbox"/>	Background checks completed
<input type="checkbox"/>	Workspace set-up
<input type="checkbox"/>	Computer or laptop ordered and set up with necessary software
<input type="checkbox"/>	Network and/or system access request submitted
<input type="checkbox"/>	Badge(s) for building access
<input type="checkbox"/>	Provide parking and local area information
<input type="checkbox"/>	Provide evacuation procedures and collect an emergency contact form for each key person
<input type="checkbox"/>	Confidentiality agreements signed by all key persons
<input type="checkbox"/>	Provide the leave process to vendor manager
<input type="checkbox"/>	Provide a contact list for program/project team
<input type="checkbox"/>	Orientation documents supplied including plans or other program/project artifacts as relevant
<input type="checkbox"/>	First day activities outlined including any mandatory Agency related orientation activities or trainings
<input type="checkbox"/>	Conduct introductions to all program, project, and Agency staff as relevant to contract activities

## Appendix C – Vendor Departure Checklist

Vendor Departure Checklist	
<input type="checkbox"/>	Badge(s) returned
<input type="checkbox"/>	Network and/or system access revoked
<input type="checkbox"/>	State issued equipment including computers returned
<input type="checkbox"/>	Any proprietary documents or artifacts received and stored in appropriate repository
<input type="checkbox"/>	All knowledge transfers completed and documented
<input type="checkbox"/>	Exit interview conducted as deemed appropriate

## Appendix D – Deliverable Expectation Document

											
<h3>Deliverable Expectation Document (DED)</h3>											
<p>&lt;CONTRACT NUMBER&gt; &lt;Deliverable Name/Number&gt;</p>											
<p>&lt;MONTH DD, YYYY&gt;</p>											
<p>&lt;CONTRACTOR NAME&gt; &lt;Contractor Contact&gt; &lt;Contractor Contact Info&gt;</p>											
<p><b>CHANGE LOG</b> [Note: Version number must match version in project repository.]</p> <table border="1"> <thead> <tr> <th>Version</th> <th>Date</th> <th>Summary of Changes</th> <th>Authors</th> <th>Reviewers</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>mm/dd/yy</td> <td>Initial Draft</td> <td></td> <td></td> </tr> </tbody> </table>		Version	Date	Summary of Changes	Authors	Reviewers	1	mm/dd/yy	Initial Draft		
Version	Date	Summary of Changes	Authors	Reviewers							
1	mm/dd/yy	Initial Draft									
<p><b>DELIVERABLE EXPECTATION DOCUMENT INTRODUCTION</b> A Deliverable Expectation Document (DED) describes a deliverable or an artifact for the Modernization Program. This document contains the purpose, scope, organization, content, and review schedule for the deliverable. Reviewers determine whether to approve and accept the deliverable by evaluating it against the acceptance criteria within this document for the deliverable.</p>											
<p><b>OVERVIEW OF THE DELIVERABLE</b> For artifact deliverables, this section outlines and describes the proposed Table of Contents or format (e.g., MS Word or Excel) of the deliverable.</p> <table border="1"> <thead> <tr> <th>Section</th> <th>Title/Description</th> </tr> </thead> <tbody> <tr> <td>1</td> <td> <p>&lt;section name&gt; [Description of section] The subsections are: 1.1 &lt;subsection name&gt; 1.2 &lt;subsection name&gt;</p> </td> </tr> <tr> <td>2</td> <td> <p>&lt;section name&gt; [Description of section] The subsections are: 2.1 &lt;subsection name&gt; 2.2 &lt;subsection name&gt;</p> </td> </tr> </tbody> </table>		Section	Title/Description	1	<p>&lt;section name&gt; [Description of section] The subsections are: 1.1 &lt;subsection name&gt; 1.2 &lt;subsection name&gt;</p>	2	<p>&lt;section name&gt; [Description of section] The subsections are: 2.1 &lt;subsection name&gt; 2.2 &lt;subsection name&gt;</p>				
Section	Title/Description										
1	<p>&lt;section name&gt; [Description of section] The subsections are: 1.1 &lt;subsection name&gt; 1.2 &lt;subsection name&gt;</p>										
2	<p>&lt;section name&gt; [Description of section] The subsections are: 2.1 &lt;subsection name&gt; 2.2 &lt;subsection name&gt;</p>										
<p>S:\00 Program Management\Contract\DED Process\DED Template 2018-10-01.docx Last revised: 10/1/18 12:17 AM</p>											
<p>Page 1 of 2</p>											



**SAMPLE CONTENTS**

[Include screen shots, sample graphics, or sample sections from the deliverable, if applicable; e.g., screen shot of spreadsheet column headers]

**PROPOSED ACCEPTANCE CRITERIA**

The Modernization Program will approve and accept the deliverable if it meets the following criteria, derived in part from the statement of work and other contract requirements as stated in Contract No. <Number>:

[Guidelines:

- ✓ Each criterion is a question; e.g., “Does the document contain numerous spelling errors?”
- ✓ Criteria reflect the requirements and standards as listed from the statement of work.]

Acceptance Criteria	Source (e.g., SOW, p. 50)
Does the deliverable contain numerous spelling errors?	
Does the deliverable include agreed upon table of contents?	SOW, p. 48

**DELIVERABLE REVIEW CYCLE**

DAS contract No. <Number> specifies that the Modernization Program has five (5) days to review this deliverable, unless otherwise agreed to by both parties. If the Modernization Program does not accept the initial or revised deliverable, the vendor has two (2) days to make revisions and resubmit to the Modernization Program. The deliverable review cycle will be repeated until the deliverable is accepted at Vendor’s expense.

**DED APPROVAL**

The signatures following indicate this DED has been reviewed by all necessary project stakeholders and that the authorized signers reviewed, accept, and approve the content herein.

Approver Name and Title	Approver Signature	Date
<Name, Title>		mm/dd/yy

## Appendix E – Deliverable Comment Log Template

State of Oregon Employment Department				Modernization Program	
Deliverable Comment Log					
<b>Agency Name:</b> Oregon Employment Department					
<b>Project Name:</b> OED Modernization Program					
<b>Deliverable Name:</b>					
<b>Version:</b> DED, Draft or Final					
<b>Date Deliverable Submitted:</b>					
<b>Instructions</b>					
1. State reviewers use columns A through E and G.					
2. State will number each comment with a Comment ID number.					
3. Adjust column widths as needed.					
Initial Submission (DED)					
Comment ID #	Section	Page #	Para. #, Line #	State Reviewer Name	Comment or Requested Change
1	4	9-11	Table 14		
Comment Log					



## Appendix G – Deliverable Rejection Letter Template

	
<h3>Deliverable Rejection</h3> <hr/>	
Deliverable <#, Name>	
<b>Date:</b>	<Month DD, YYYY>
<b>To:</b>	<Contact Name, Vendor Name>
<b>Subject:</b>	<b>Rejection</b> of Deliverable <#, Name>
The Modernization Program has reviewed and <b>rejects</b> Deliverable <#, Name> based on the feedback accompanying this letter. The attached feedback must be addressed prior to resubmission of this deliverable.	
Sincerely,	
<Name>	
Contract Administrator	
Cc: Modernization Contract Project Manager	
Attachments: Deliverable <#, Name> feedback	
<small>S:\00 Program Management\Contracts\Contract Administration\Deliverable &amp; DED Process\Deliverable Approval Letter Template.docx Last revised: 3/12/19 11:50 AM</small>	
<small>Page 1 of 1</small>	





## Appendix J – Contract Closure Checklist

Contract Closure Checklist	
<input type="checkbox"/>	Vendor departure activities and checklist are completed
<input type="checkbox"/>	Ensure all deliverables have been submitted and approved, and included in final contract file
<input type="checkbox"/>	Ensure all related review and approval documentation is included in final contract file
<input type="checkbox"/>	Ensure all work and deliverables have been appropriately invoiced
<input type="checkbox"/>	Ensure there are no outstanding invoices and all paid in accordance with the contract including retainage amounts
<input type="checkbox"/>	Ensure copies of all the contract file content is signed as appropriate and included in the final contract file
<input type="checkbox"/>	Ensure all change orders, amendments, and related documentation is included in the final contract file
<input type="checkbox"/>	Ensure any issues have been appropriately remedied and no outstanding issues remain
<input type="checkbox"/>	If a warranty period applies, ensure related documentation is retained and maintained
<input type="checkbox"/>	Conduct performance reviews and provide feedback regarding vendor performance to appropriate procurement offices
<input type="checkbox"/>	Conduct lessons learned related to contract and vendor management processes as related to the specific contract
<input type="checkbox"/>	Identify and record areas for improvement for future procurement, contract, and vendor management activities
<input type="checkbox"/>	Meet with procurement staff to complete closeout documentation
<input type="checkbox"/>	Validate the entire contract file is complete and all contract close-out activities have been completed

# Modernization Contract Management Plan V3.0

Final Audit Report

2020-06-04

Created:	2020-05-29
By:	Lynn Kneeland (lynn.kneeland@oregon.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAJdc-kXujjkCtMDin-4hDr5JNBxKL7_-f

## "Modernization Contract Management Plan V3.0" History

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-  Document emailed to Ethan Benatan (ethan.benatan@oregon.gov) for signature  
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-  Document emailed to Jennifer King (jennifer.king@oregon.gov) for signature  
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 Signed document emailed to Ethan Benatan (ethan.benatan@oregon.gov), Keith Shribbs (keith.a.shribbs@oregon.gov), Lynn Kneeland (lynn.kneeland@oregon.gov), Jennifer King (jennifer.king@oregon.gov), and 1 more

2020-06-04 - 4:21:13 PM GMT