



Contract Management Manual



Contents

Contract Management Manual	1
1. Purpose.....	8
2. Scope	8
3. Authority	8
3.1 Legislative context.....	8
3.2 Whole of Government requirements.....	8
3.3 DCP requirements	8
3.4 Principles	9
4. Access	10
4.1 Navigation	10
4.1.1 Top left navigation bar	10
4.1.2 Top right navigation bar	10
4.1.3 The Parent button	10
4.1.4 Panel overview	11
4.1.5 Allowing pop-ups.....	11
4.1.6 Terminology.....	11
4.2 Record management	12
4.2.1 Hyperlinking documents.....	12
4.2.2 Attaching documents	13
4.3 Reports and extracting data	13
4.3.1 Running a report.....	14
4.4 DCP CMLS Users	15
4.4.1 Add a new DCP CMLS Users	15
4.4.2 Request a temporary replacement	15
4.5 Service provider CMLS users	15
4.5.1 Add a New Service Provider CMLS User	16
4.6 Update service provider user details	17
4.6.1 Temporary replacement for service provider user	18
4.6.2 New DocuSign user.....	18
5. Input into procurement process	19
5.1 Transition in planning.....	19
5.1.1 Stages of development.....	19
5.1.2 Roles and responsibilities.....	20
5.1.3 Templates.....	20
6. Contract handover.....	21



6.1.1	CMLS responsibilities:	21
6.1.2	Contract Handover: Process Flow	21
6.1.3	Contract handover checklist – procurement officer	21
6.1.4	Contract management handover meeting.....	22
6.1.5	Handover acceptance.....	22
7.	Contract management meetings.....	23
7.1	Introduction.....	23
7.2	Contract management kick-off meetings.....	23
7.3	Panel level kick-off meeting agenda items.....	23
7.4	Contract level kick-off meeting agenda items.....	24
7.5	Scheduling and capturing meetings in CMLS	26
7.6	Distribute agendas	27
7.7	Minute and actions (post meeting).....	27
7.8	Distribute minutes.....	28
8.	Performance management	30
8.1	Contract performance management.....	30
8.1.1	CMLS responsibilities:.....	30
8.1.2	Performance Management: Process Flow	31
8.2	KPI data.....	31
8.2.1	View KPI data in CMLS.....	32
8.3	Service provider KPI data entry	33
8.4	Quarterly review of KPI data	33
8.4.1	Review and enter outstanding KPI data	33
8.4.2	Submit KPIs.....	34
8.5	Performance Assessment report.....	35
8.5.1	Populate Performance Assessment report	35
8.5.2	Submit Performance Assessment report	37
8.5.3	Review Performance Assessment report (nominated approver)	37
8.5.4	Update Performance Issue Description (contract manager)	38
8.6	FTE and Acquittal data.....	38
8.6.1	Service provider data entry	39
8.6.2	Review FTE and Acquittal data	39
8.6.3	Reject Acquittal report	40
8.6.4	Endorse the Acquittal report.....	40
9.	Issue management and risk review.....	42



9.1	CMLS responsibilities.....	42
9.2	Review of issues	42
9.2.1	View performance assessment and performance issues.....	42
9.2.2	View contract level operational and performance issues.....	43
9.2.3	View all operational and performance issues assigned to a contract manager	43
9.3	Issue management	44
9.3.1	Agree on action and timeframe	44
9.3.2	Raise issue in CMLS and notify service provider	44
9.3.3	Review progress of treatment actions	44
9.3.4	Actions resulting from status update	44
9.4	Operational issues – service provider level.....	45
9.4.1	Service provider level issues - categories and actions	45
	DCP contract manager adds operational issue at a service provider level	46
9.4.2	Add operational issue (contract manager).....	46
9.4.3	Approve operational issue (contract owner)	47
9.5	Operational issues – contract level	48
9.5.1	Contract level issues - categories and actions.....	48
	DCP contract manager adds operational issue at a contract level	49
9.5.2	Add operational issue (contract manager).....	49
9.5.3	Approve operational issue (contract owner)	50
	Service provider adds operational issue at a contract level	50
9.5.4	Submits an operational issue (service provider)	50
9.5.5	Review and approve operational issue (contract manager)	51
9.5.6	Approve operational issue (contract owner)	51
9.5.7	Mark issue as completed.....	52
9.6	Initiating and closing issue treatments and tasks	52
9.6.1	Add issue treatment.....	52
9.6.2	Add tasks to issue treatment.....	53
9.6.3	Complete tasks	54
9.6.4	Complete treatment.....	54
9.7	Risk review.....	55
9.7.1	Review existing risks.....	55
9.7.2	Review risk controls.....	55
9.7.3	Add new risks and controls	56



10. Financial management	59
10.1 Financial briefings.....	59
10.2 Briefing process	60
10.2.1 Processing Financial Briefings.....	60
10.2.2 Adding a Briefing to the Briefing Workflow System.....	60
10.3 Scheduled payments	61
10.3.1 Initiate scheduled payments	62
10.3.2 Review scheduled payments and create AP batch – financial business advisor.....	65
10.3.3 Endorse scheduled payments – Manager, Service Contracts and Licensing.....	66
10.3.4 Approve scheduled payment – Chief Financial Officer	68
10.3.5 Generate and submit accounts payable batch (financial business advisor)	68
10.3.6 Distribute RCTIs and payment letters – financial business advisor.....	69
10.4 Ad-hoc transactions.....	70
10.4.1 Initiate ad-hoc transaction	71
10.4.2 Ad-Hoc Accounts Payable Transactions	72
10.4.3 Ad-hoc Accounts Receivable transactions.....	72
10.4.4 Ad-hoc transaction batching and review – financial business advisor.....	74
10.4.5 Endorse ad-hoc transactions – Manager, Service Contracts and Licensing	75
10.4.6 Approve ad-hoc transaction – Chief Financial Officer.....	76
10.4.7 Generate and submit batch file (financial business advisor)	77
10.4.8 Distribute RCTIs and payment letters – financial business advisor (AP batches)	79
10.5 Financial coding.....	79
10.5.1 Establishing Financial Coding at Contract Set-up – procurement officers.....	79
10.5.2 Reviewing financial coding – contract manager.....	80
10.6 Equal remuneration order.....	80
10.6.1 ERO statutory declaration	81
10.6.2 Review ERO statutory declaration.....	82
10.7 Work orders.....	82
10.7.1 CMLS functionality.....	82
10.7.2 Creating a work order.....	82
10.8 Review and validation of financials with financial business advisors (FBAs)	83
10.8.1 Collating information and details.....	83
10.8.2 FBA works through costing template with contract manager	84
10.8.3 FBA updates the Contract Financial Management System	85



10.8.4	Contract manager actions costing outcomes.....	85
10.9	Production and Management of RCTIs	85
10.9.1	RCTI created with payment records.....	85
10.9.2	Modifying the word version of the RCTI	86
10.9.3	Managing the distribution of RCTIs to service provider.....	88
10.9.4	Re-sending a PDF RCTI.....	89
11.	Contract related purchase orders	90
11.1	Mandated requirements	90
11.2	Creating contract related purchase orders	91
11.2.1	Creating & Approving a Purchase Order in Basware.....	92
11.2.2	Specific Basware considerations for DCP contract related Purchase Orders.....	92
11.2.3	Updating CMLS with the Basware PO Number	92
11.3	Managing PO related contact invoices.....	94
11.3.1	Invoice submission	94
11.3.2	Purchase order matching and receipting	94
11.3.3	Processing payments via Financial System.....	94
11.3.4	Update CMLS with payment details via DCP Financial Data Warehouse.....	94
11.4	Modifying purchase orders	95
11.4.1	Overview.....	95
11.4.2	Review of request to modify a purchase order	95
11.4.3	Approvals and evidence	96
11.5	Roles and responsibilities.....	96
11.6	Purchase order creation and invoice management workflow and process steps	97
11.7	Purchase order modification workflow and process steps	100
11.8	Contract related POs compliance, monitoring and evaluation	101
11.9	Contract related POs definitions and abbreviations	102
11.10	Contract related POs documents	102
	Appendix 1: Template Email to Request PO Modification.....	103
12.	Contract extensions.....	104
12.1	CMLS responsibilities.....	104
12.2	Contract Extensions: Process Flow.....	105
12.3	Initiate extension process	106
12.4	Reviewing procurement officer.....	106
12.5	Contract extension checklist	106
12.6	Contract review – contract manager.....	107



12.7	Contract review approval – (nominated approver)	110
12.8	Submission to service provider	111
12.9	Update Purchase Order (G&S OOHC Contracts Only).....	111
13.	Contract Variations.....	112
13.1	Web based content variation	112
13.2	Global variation	112
13.2.1	Request a global variation.....	113
13.2.2	Validate a global variation.....	113
13.2.3	Approve global variations.....	113
13.2.4	Issue global variation for execution	113
13.2.5	Create a global variation	113
13.2.6	Review impacts of global variation and approval to proceed.....	114
13.2.7	Generate contract level variations.....	114
13.2.8	Manage and execute contract level variations	114
13.3	Contract specific variation.....	114
13.3.1	Initiate a contract specific variation.....	115
13.3.2	Endorse variation	116
13.3.3	Creating a variation in CMLS	117
13.3.4	Endorsement of draft variation document	117
13.3.5	Variation execution	117
14.	Contract close out	118
14.1	Final Contract Review.....	119
14.1.1	Contract Review in CMLS	119
14.2	Approve/Reject Contract Review	120
14.3	Lessons Learnt	120
14.4	Transition out	120
14.5	Contract close-out checklist	121
14.6	Approve close-out	122
15.	Compliance, monitoring and evaluation	123
	Document control	123



1. Purpose

The Contract Management Manual is a resource for Service Contract and Licensing (SC&L) employees that provides framework around SC&L procedures and the Contract Management and Licensing System (CMLS) processes.

The CMLS is an online program using the Nimblex software platform. It is all online, no download or software is necessary and is linked to your DCP user ID, so no need to remember additional passwords.

CMLS has been moulded around Department for Child Protection (DCP) and Government processes and will integrate with other DCP Information, Communication and Technology (ICT) systems such as:

- digital workspace (Sharepoint) – record management system
- Docusign (electronic signature and workflow)
- finance general ledger, job costing, accounts payable and receivable
- C3MS (flat file import).

Please send any feedback or queries about the Contract Management Manual to DCPFamiliesContractServices@sa.gov.au

2. Scope

The Contract Management Manual is a resource manual to guide contract management operations for Service Contracts and Licensing employees.

3. Authority

3.1 Legislative context

- [Treasurer's Instructions 18 - Procurement](#), issued by the Treasurer under the authority of Section 41 of the [Public Finance and Audit Act 1987](#)
- [State Records Act 1997](#)

3.2 Whole of Government requirements

Not Applicable

3.3 DCP requirements

- [DCP Website - Service provision requirements](#)
- [Contractual web content management framework](#)
- [DCP Website - Service specifications](#)
- [Contract Management Framework](#)
- [DCP Website - Contract Management](#)
- [DCP Website - Contract performance management](#)
- [Contract Performance Management Framework](#)
- [Performance Measurement Specification](#)
- [DCP Intranet - Service Contracts and Licensing team](#)
- [DCP Website - Contract Management Licensing System](#)



3.4 Principles

- The safety of children and young people is the paramount consideration.



4. Access

To access the CMLS live production environment, copy or insert this link into your browser:

<https://dcpcls.sa.gov.au/app/EFormRecord.aspx?EFormType=Home>

Use your DCP ID and password to logon.

4.1 Navigation

4.1.1 Top left navigation bar



- A. Show / hide side panel button = depending on screen will show additional options (for example when on reports will highlight export options).
- B. Home button (will take you back to the CMLS home page).
- C. My records: shows all records that have been assigned to a user.
- D. Quick links: shortcut and document library.
- E. E Forms: provides another way to look at data via the database tables. For example, can search for all variations in the system.

4.1.2 Top right navigation bar



- A. EULA = End user licence agreement for eBMS software (no need to do anything with this).
- B. Search field.
- C. Acting = will only see if you've been set up by the CMLS Support Team to act on someone else's behalf (For example for leave).
- D. Link to Nimblex website = Please seek help from Super user or CMLS Support tea.
- E. Account settings = DO NOT RESET PASSWORD HERE, stick to normal DCP Login ID reset processes via the IT helpdesk.
- F. Log off.

4.1.3 The Parent button

- a) The **Parent button** in the top right-hand corner of every screen will take you back to the parent record of the record you are currently in.





4.1.4 Panel overview


In a panel agreement, a number of suppliers are selected and each are able to supply goods or services to DCP. In CMLS terms, when a panel agreement is input, an additional parent level is created as per the below diagram.

This may affect CMLS functionality when utilising the parent button.




4.1.5 Allowing pop-ups

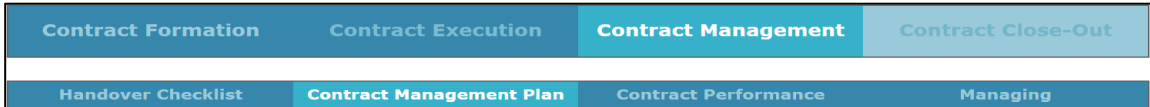
CMLS occasionally uses pop ups to notify users that a task has been successfully completed. You may not receive these pop-ups if your pop-up notifications are blocked for CMLS.

If a pop up has been blocked, you will see a small window with a red cross in the top right corner of your Google Chrome screen .


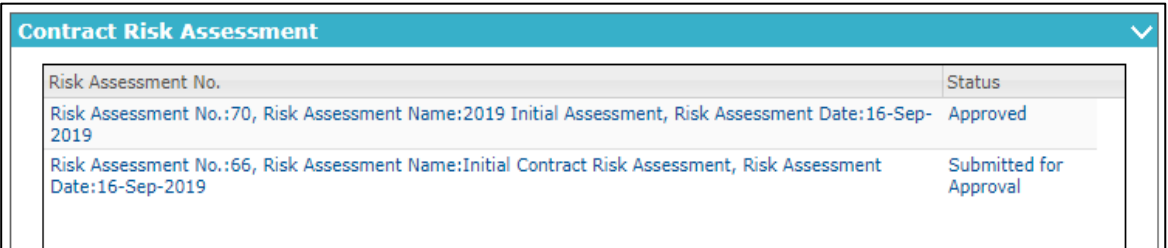
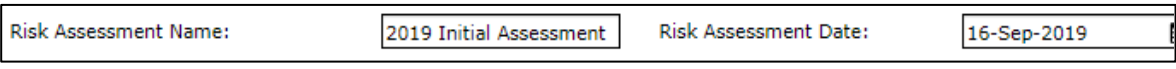

To turn on pop-ups:

- in the top right corner click the More button  and then select Settings
- under Privacy and Security click site settings
- click pop-ups and redirects
- at the top, turn the setting to Allowed.

4.1.6 Terminology

Tabs	Menu across the top of the Home Screens, identifying different parts of the system. Below is the tab menu for Contracts.
	



Record	Data is stored in the system as a Record. Each record is allocated a unique record ID to identify the data within the system. Records can only be allocated by CMLS Support team.
	
Forms	The different areas of data, grouped into various information & action. Below is an example of the Contract Risk Assessment form.
	
Fields	An area where the user / system enters a unit of data. Some fields are display only or are calculated by the system based on logic entered in associated fields. Below are two examples of fields, the Risk Assessment name and the Risk Assessment Date. A field maybe a free text area, drop down menu, or date selection.
	
Buttons	A control element that allows the user to trigger an event. Below are some examples of buttons seen throughout the system.
	

4.2 Record management

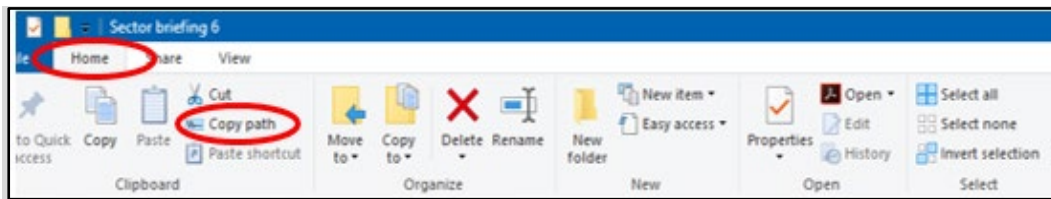
4.2.1 Hyperlinking documents

- a) Some forms will provide the user the opportunity to hyperlink a document.

Control Documents Reference:

- b) Click on the **Pen** button in the **Reference** field and paste the hyperlink.

Note: to copy the file path of a document, open the document folder in windows explorer, click on the document, click on the Home tab, click Copy Path.



Click Ctrl V to paste into the required space.

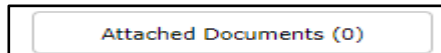
Ensure to delete the quotation marks “ ” at the beginning & end of the pathway. If these are not deleted the document will not open.

- c) The **Reference** field will update to show the hyperlink.

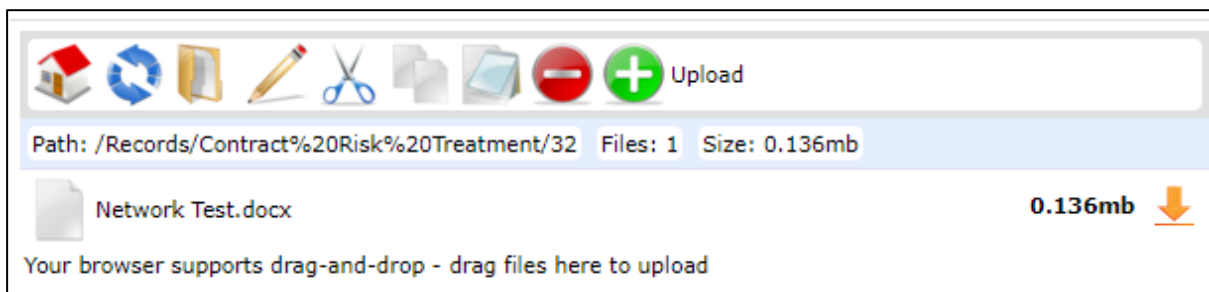
Control Documents Reference: https://www.childprotection.sa.gov.au/_data/assets/pdf_file/0006/113667/general-fbc-

4.2.2 Attaching documents

- a) Some forms will provide the opportunity to attach a document. Click on the **Attached Documents button**.



- b) Users can either drag and drop a file to upload, or click on the **Green Plus + button** to browse and select the file.
- c) Users can click the **Red – button** to remove a file that is no longer required.



- d) Click **Close** to save the document to that form. The **Attached Documents button** will then show the number of documents attached.

4.3 Reports and extracting data

Any data that is entered into the system is able to be grouped, segmented and exported as a PDF or excel file. Different kind of reports can be developed based on your requirements, for example this may include:

- listing of data that meets a criteria for example open contracts
- categorising and flagging at risk parameters for example, overdue and upcoming contract review.

Review the [CMLS Report Register](#) for a list of available standardised reports. If you require additional or edited reports, please contact DCPCMLSSupport@sa.gov.au.



4.3.1 Running a report

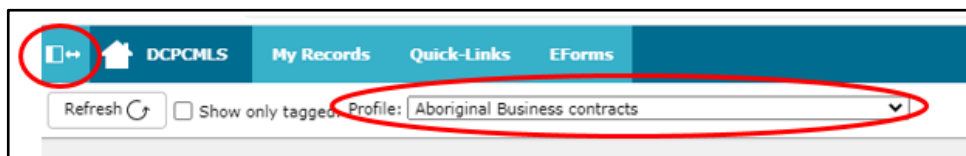
- a) In the CMLS Report Register, identify which report you wish to run. You will need to know:
 - eForm Report linked to
 - Report name.

	eForm Report linked to	Report Name	Details of Report Requirements
1	Contract KPI Result	2019-20 Utilisation numerator and denominator data	Provides a listing by contract of all utilisation data showing numerator and denominator results recorded.
2	Contract	Aboriginal Business Contracts	Provides a listing of contracts by Service Provider and indicates if the Service provider was identified as an Aboriginal business.

- b) In CMLS, click on the E-Forms tab.
- c) In the eForm Type column, select the eForm Report linked to from the CMLS Report Register.
 - For example, to run the Aboriginal Business Contracts report, select Contract.

eForm Type	Description	Count
Tasks	_quickfail	2
Tasks	AR Customer Details	929
Tasks	ATSI	3
Tasks	CALD	3
Tasks	Contract	224
Tasks	Contract Extensions	202

- d) Use the Profile drop down menu to select the Report Name.
- e) Click the show/hide side panel button.

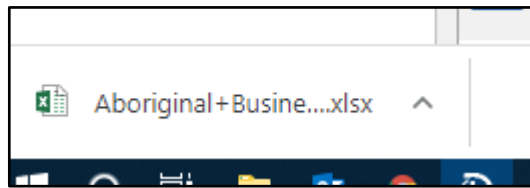


- f) Click Export to Excel.





- g) The report will download into your download folder and on the bottom of your screen.



4.4 DCP CMLS Users

4.4.1 Add a new DCP CMLS Users

New DCP CMLS Users can be created once the employee has a DCP network ID.

Use the [CMLS Support Team online form](#) to request a new DCP CMLS User. All new DCP CMLS User requests must be approved by the Manager of the team (For example, Manager, Service Contracts and Licensing or Manager, Procurement and Contracting).

4.4.2 Request a temporary replacement

CMLS users can temporarily replace another CMLS user due to periods of leave etc.

Use the [CMLS Support Team online form](#) to request a temporary replacement. All temporary replacement requests must be approved by the manager of the team (For example, Manager, Service Contracts and Licensing or Manager, Procurement and Contracting).

You will need the following information:

- Temporary User details:
 - First and Last Name
 - DCP User ID
 - Work email address
 - Replacement start and end date
- Details of person being replaced:
 - First and Last Name
 - DCP User ID.

4.5 Service provider CMLS users

After the kick off meeting, the DCP Contract Manager should have a list of Service Provider CMLS Users. These user profiles will need to be added into CMLS to ensure users have access.

Primary Contract Manager: is the responsible person within the service provider organisation for managing the contract. This person is named in the contract management plan and will receive all notifications from CMLS for that contract.

Secondary contract managers: are additional users within CMLS who may undertake administration functions such as reporting. These users will not receive CMLS notifications.

Both primary and secondary contract managers have the same level of access within CMLS and can edit and submit records.



4.5.1 Add a New Service Provider CMLS User

New users can be added using the below method at any time:

- In CMLS, navigate to the Contract > Contract Formation > Contract Details tab
- scroll down to the Service Provider Roles form
- use the Primary Contract Manager drop down menu to select the Primary Contract Manager from the list of contacts. This user will receive all contract workflows within CMLS.

- If the Primary Contract Manager is not listed, click the **Add a new contact button**:
 - enter the **Name**, **Email**, and **Contact Number** of the Primary Contract Manager
 - use the **Role drop down menu** to select Contract Manager
 - click the **Notify Administrator Button**. This will send a notification to CMLS Support team to create the Service Provider User Profile account.

NOTE: DCP firewalls may block the pop-up that advises users the notification was sent successfully. Do not continue to press the Notify Administrator Button if you do not receive a pop-up. [Check if a pop-up has been blocked](#) and follow the steps to unblock pop-ups.

- Once the CMLS Support team has created the account, a notification will be sent to the Service Provider advising them of their Username and temporary Password. The Service Provider will then have access to CMLS.
- The CMLS Support team will email the DCP Contract Manager and advise them that the user has been created



- e) Return to the Service Provider Roles form and use the Primary Contract Manager drop down menu to select the Primary Contract Manager from the list of contacts.
- f) To create Secondary Contract manager user accounts, use the Contract Manager Name drop down menu to select the user.
- g) Click the Green Plus Button to add additional lines.
- h) Follow step d if the secondary contract manager is not listed and needs to be added to CMLS.

The screenshot shows a form with the following fields:

- Primary Contract Manager: Phoebe Farncomb (dropdown menu)
- Contract Manager Email: DCPServiceProviders@sa.gov.au (text input)
- Contract Manager Name: (dropdown menu, highlighted in yellow)
- Contract Manager Email: (text input)
- Contract Manager Phone: (text input)

4.6 Update service provider user details

User details must be updated through the CMLS Support Team to ensure details are changed through the User Profile and not at the contract level.

Use the [CMLS Support online form](#) to lodge a request to update Service Provider user details.

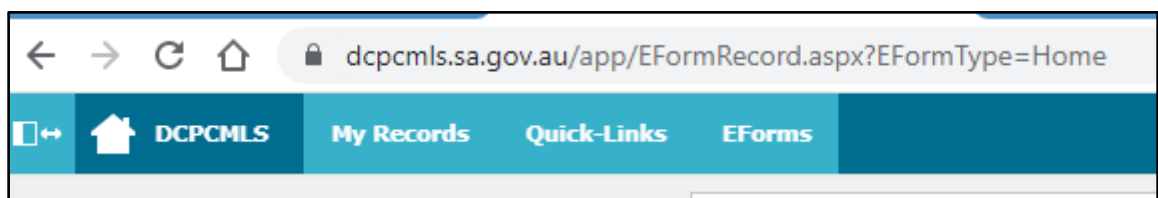
You will need the following information:

- CMLS user name
- First Name
- Last Name
- Work email address
- Organisation
- Phone number.

Ensure that any service provider user details that affect the vendor file in shared services are updated following the [Shared Services SA Create or amend vendor/payee details](#).

Finding a Service Provider CMLS user name

- a) Click on the **EForms button**.



- b) Scroll down and click on the **Service Provider Contact Eform**.
- c) Use the **profile drop down menu** to select SC&L Service Provider User List.
- d) Use the **first or last name fields** to search for your user.



- e) The username will show in the **username column**.

4.6.1 Temporary replacement for service provider user

Service providers can be set up to temporarily replace another user within CMLS using the [CMLS Support online form](#).

- a) Ensure the temporary replacement is set up as a CMLS User.
- b) Use the CMLS Support online form to lodge a request for temporary replacement. You will need the following information:
 - temporary replacement user details:
 - first and last name
 - work email address
 - organisation
 - phone number
 - replacement period start and end date
 - details of the person the service provider is acting as:
 - first and last name
 - CMLS user name.

4.6.2 New DocuSign user

New DocuSign users can be added at any time.

- a) To set up a service provider executor in DocuSign, the contract manager should:
 - complete the [DocuSign User Form](#) to lodge a request for a new DocuSign user. DocuSign users do not need to have a CMLS user account. You will need the following information: first and last name, work email address, organisation, phone number.
- b) CMLS Support team will manage the DocuSign set-up process including generating the account activation email sent to the service provider.
- c) DocuSign support requests from service providers should be escalated to the CMLS Support team DCPCMLSSupport@sa.gov.au through the contract manager. The CMLS Support email address is for internal DCP use only.



5. Input into procurement process

5.1 Transition in planning

Summary: Once a contract is awarded, a plan should commence to implement the contract with minimal issues or disruption. This is referred to as the Transition-in Planning. Transition-in refers to the change over from:

- one contract to another
- the induction of a new contract.

Transition requirements for a contract should be considered during the planning stages of the procurement, with the final transition planning decided prior to the contract execution.

Consideration needs to be given to licensing of the property that the young person will be placed in (i.e. has the licensing been completed and approved, what status is it at) and both the transition in and transition out requirements and the extent of the requirements will depend on the value, complexity, and risk of the contract.

Contract level transition-in planning: A contract level transition-in plan is required to be developed by the service provider and must be agreed upon by all parties. The contract level transition in planning outlines the plan for the transition of services. The contract transition-in plan template will be provided to service providers via the DCP Service Provider website. This will also be contingent on the licensing of the property.

Child/Young Person level: A child level transition plan is completed by the DCP case worker when a child or young person is required to transition between placements. For more information please review [DCP Manual of Practice: Support the child or young person to transition between placements](#)

5.1.1 Stages of development

- a) Contract manager to start planning to draft transition plan upon receipt of advice of procurement approval.
- b) Contract manager to work with service provider to draft transition plan as part of contract negotiations / discussions. This may be included as part of the tender quoting or costing process if relevant.
- c) Contract manager to work with service provider to finalise transition plan upon receipt of notification of purchase recommendation approval and informed by contract negotiation.
- d) The contract manager is responsible for reviewing and approving the transition plan. If the transition is high risk, the contract manager will seek feedback and approval from the Manager of Service Contracts and Licensing.
- e) The transition plan is formalised as part of the contract kick-off meeting.
- f) The service provider is responsible for implementing the transition plan.
- g) Transition in planning meetings to review and monitor implementation are organised by the contract manager.



5.1.2 Roles and responsibilities

Role	Responsibilities
Procurement officer	<ul style="list-style-type: none"> • Advises contract manager when procurement approval and purchase recommendations have been received. • Coordinates procurement activities and supports contract discussion.
DCP contract manager	<ul style="list-style-type: none"> • Provides the transition-in plan template to service provider. • Ensures transition-in plan is developed and monitors implementation. • Facilitates all required parties to come together to develop and implement the plan. • Escalates risk and issues to the transition plan, completion to relevant DCP executive.
Service provider	<ul style="list-style-type: none"> • Develops transition-in plan in conjunction with relevant parties. • Completes transition-in plan within agreed timeframes. • Engages and manages external parties (if required) and provides oversight for them to complete required activities.
DCP case worker	<ul style="list-style-type: none"> • Provides information and requirements of child / young person. • Completes assigned transition-in plan activities within agreed timeframes.

5.1.3 Templates

The following template (as relevant) is to be provided to the service provider during the contract negotiation process. It is for all new providers, if it is a new contract but the service provider is already delivering the service (for example, renewal), this is regarded as business as usual with no transition required.

- [Family based care](#)
- [Residential care \(including PaSP & Individual Packages\)](#)
- [Supported Independent Living Services](#)
- [Reunification](#)
- [Advocacy and Support](#)



6. Contract handover

Summary: Handover of the executed agreement from procurement to contract management.

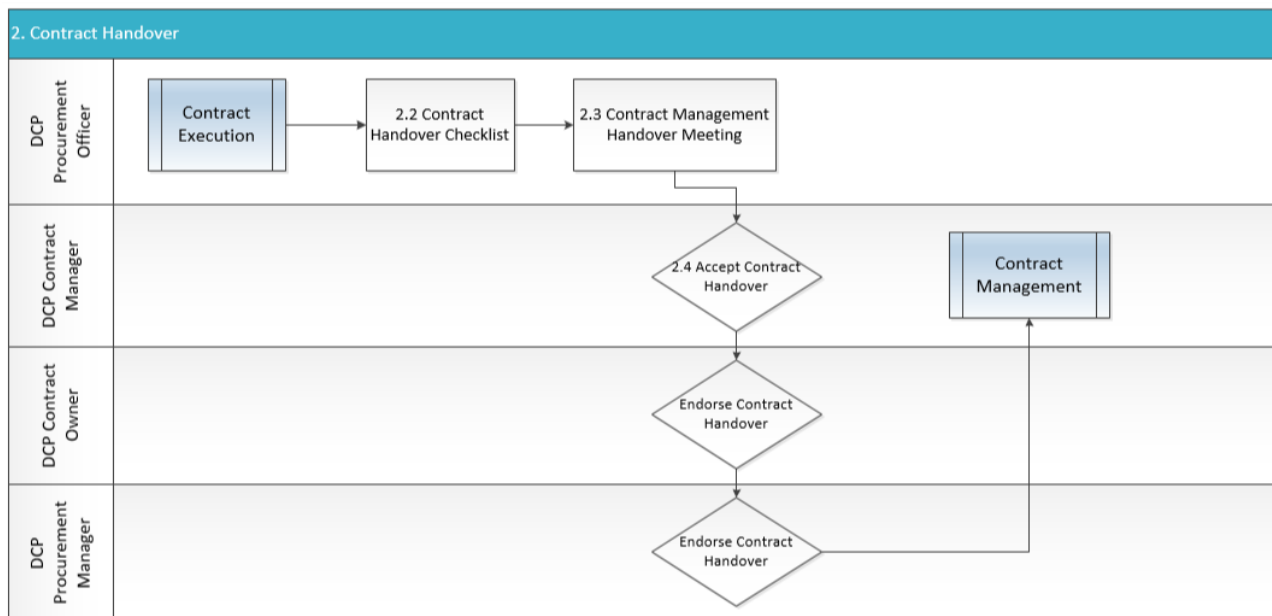
Frequency: Required for every Out of Home Care (OOHC) contract

6.1.1 CMLS responsibilities:

Process Step	Person Responsible
7.1 Contract handover checklist	DCP procurement officer
7.2 Contract management handover meeting	DCP procurement officer
7.3 Contract handover endorsement	DCP contract manager DCP contract owner DCP procurement officer DCP Manager, Procurement

Process Steps: The procurement officer is responsible for ensuring all documentation is attached and arranging the contract management handover meeting. The contract manager is not to endorse the contract handover unless all the documents and checklist are accounted for.

6.1.2 Contract Handover: Process Flow



6.1.3 Contract handover checklist – procurement officer

The procurement officer completes this step. For more information review chapter 8 Contract Handover of the [Procurement Manual](#).



6.1.4 Contract management handover meeting

- a) Procurement officer is responsible for scheduling the handover meeting with the contract manager.
- b) At the meeting, all parties work through the contract management handover meeting checklist.
- c) Once the meeting has finished, the procurement officer is to complete the handover meeting checklist on CMLS.

6.1.5 Handover acceptance

- a) CMLS will flow the handover checklist to the contract manager, contract owner, and procurement manager to endorse and approve.
- b) The contract manager should not accept the contract handover unless the handover checklist has been completed and the contract is ready for contract management.
- c) Once the endorsement/approvals have been completed, the contract manager takes over responsibility for the contract.



7. Contract management meetings

7.1 Introduction

DCP is responsible for ensuring contracted services deliver:

- safe quality care to children and young people, where service, practice and contractual requirements are aligned
- value for money services
- improved partnerships through ethical and fair treatment of all participants
- legislative and statutory compliance
- probity, transparency and accountability.

This is achievable through monitoring and management mechanisms such as financial and performance reporting and contract management meetings.

As per the [Reports and meetings service provision requirements](#), DCP contracted Out of Home Care Service Providers are required to:

- attend DCP quarterly contract management meetings
- attend DCP contract management meetings in the event of a poor performance level triggered
- attend DCP contract management meetings at other times as reasonably requested by the Chief Executive.

7.2 Contract management kick-off meetings

Summary: The kick-off meeting is the initial meeting where both parties meet and come to a mutual understanding of their obligations and responsibilities under the contract.

There are two types of kick-off meetings; Panel Level and Contract Level. For more information please refer to the [Contract Management Framework](#)

7.3 Panel level kick-off meeting agenda items

The panel level kick-off meeting is only required when a panel deed has been entered into with one or more service providers. This meeting provides a high-level overview of the expectations of the panel arrangement and is targeted at an executive level for both DCP and the Service Providers. Facilitated by DCP Executive or delegated manager, the panel level kick-off meeting will involve all service providers under the panel deed in the one meeting.

This meeting aims to set the strategic and tactical direction of the service to be delivered and provides a high-level overview before the contract level meeting is undertaken with each individual service provider.

Key items that should be covered include:

Agenda item	Content that could be covered at the kick-off meeting	Supporting Information
1. Introductions	Room introductions Acknowledgement of Country	



2. Panel Arrangement Overview	How the Panel Arrangement will work Secondary Procurement Processes	Panel Deed
2.1 Program Scope, Roles and Responsibilities	Program Purpose & Scope Introduction of web-based contract content Overview of Roles, obligations and responsibilities of DCP, Service Provider	DCP Service Provider website general overview Service specification (if applicable) Service provision requirements
2.2 Secondary procurement process overview	High level overview: How DCP will draw down on the panel (how will work be allocated)	Relevant operational processes or support fact sheets to explain
2.3 Transition Plans	High level overview: Transition into contract transition plan Who should be involved in developing the plans Timeframe for completion / submission / implementation	
3. Licensing Requirements	Dependent on service contracted For Family based care Foster Care Agency Licence or Kinship Care Agency Licence For Residential care (incl. PaSP) and Supported Independent Living Children’s Residential Facility (CRF) Licence	DCP website - Licensing webpage

7.4 Contract level kick-off meeting agenda items

The contract level kick-off meeting is required for all Out of Home Care Agreements. This meeting provides an operational level overview of how the service is expected to be delivered and how the contract will be managed throughout the term of the agreement. This meeting, facilitated by the contract manager should involve representatives that will manage the contract on a day-to-day basis for example contract owner and contract managers.

Contract level kick-off meetings are for a singular service provider about their specific agreement and work through the requirements of the contract management plan that must be signed off following the meeting. Key items that should be covered include:

Agenda item	Content that could be covered at the kick-off meeting	Supporting or source information
1. Introductions	<ul style="list-style-type: none"> Room introductions Acknowledgement of Country 	
2. Review Contract Management Plan		
2.1 Contract management plan overview	<ul style="list-style-type: none"> Purpose of the contract management plan Advise timeframe for signing of the plan (for example within 1 week of kick-off meeting) applicable for the life of the contract Process to amend the plan 	<ul style="list-style-type: none"> Contract Management Plan
2.2 Contract Scope, Roles and Responsibilities	<ul style="list-style-type: none"> Contract Scope (what service has been contracted) How web-based contract content links to the Agreement Roles, obligations and responsibilities of DCP, Service Provider 	<ul style="list-style-type: none"> NFP Agreement / Goods & Services Agreement DCP Service Provider website general overview <ul style="list-style-type: none"> - Service specification (if applicable) - Service provision requirements
2.3 Key Contract Roles	<ul style="list-style-type: none"> DCP contract owner and manager details Service provider contract manager details 	<ul style="list-style-type: none"> Contract Management Plan
2.4 Contract Management Meetings	<ul style="list-style-type: none"> Contract management meeting requirements Reporting requirements 	<ul style="list-style-type: none"> Meeting requirements (quarterly and other meetings) <ul style="list-style-type: none"> - Contract Management Plan



Agenda item	Content that could be covered at the kick-off meeting	Supporting or source information
	<ul style="list-style-type: none"> Scheduled contract management meeting dates (if known / TBC) 	<ul style="list-style-type: none"> -DCP Service Provider website Service Provision Requirements > Reports and Meetings
<p>2.5 Performance Management, Monitoring & Reporting</p> <p>Contract Performance Management</p> <p>Key Performance Indicators (KPIs)</p> <p>Performance Management and Reporting</p>	<ul style="list-style-type: none"> Describe how DCP will measure performance (Framework) What the service provider performance will be measured against (KPIs) How they will report performance (templates, method of submission) 	<ul style="list-style-type: none"> Contract Performance Management Framework KPIs as per the Agreement If Agreement uses standardised KPIs refer to the Performance Measurement Specification and Performance measures and Information guide If Agreement uses standardised KPIs refer to the reporting template on the website If Agreement uses contract specific KPIs advise how & when template will be sent
<p>2.6 Finance</p> <p>Funding model and payment schedule / method</p>	<p>For Not-for-profit (NFP) Agreements</p> <ul style="list-style-type: none"> Block funded quarterly payment schedule and relationship to acquittals <p>For Not-for-profit (NFP) Family based care Agreements</p> <ul style="list-style-type: none"> Growth and abatement process linked to utilisation Remoteness and Aboriginal loadings <p>For Goods and Services (G&S) Agreements</p> <ul style="list-style-type: none"> Purchase Orders / Standing Orders Invoicing (billing frequency and standards) <p>For Residential care services</p> <ul style="list-style-type: none"> Child incidental payments – who pays for what? 	<ul style="list-style-type: none"> NFP Agreement – Attachment 5 – Block funding and payment details G&S Agreement – Attachment 6 – Pricing and Payment NFP Family based care Agreements Family based care funding service provision requirements Residential Care Agreements Child related costs service provision requirements
<p>2.7 Transition Plans</p>	<ul style="list-style-type: none"> What transition plans are required (for example transition into contract, transition of children and young people into service) Who should be involved in developing the plans Timeframe for completion / submission / implementation 	<ul style="list-style-type: none"> May reference in Panel Deed and/or Agreement timing
<p>2.8 Issue Management and Dispute Resolution</p>	<ul style="list-style-type: none"> Overview of the issue management process Dispute resolution as per the Agreement 	<ul style="list-style-type: none"> Contract Management Manual Part 9. Issue management and risk review Contract management framework - Section 4.2.2 Dispute resolution Agreement (NFP Attachment 2 Clause 21 of the Standard terms and conditions; G&S Attachment 2 Clause 18 of the standard terms and conditions)
<p>2.9 Termination</p>	<ul style="list-style-type: none"> As per the Agreement (grounds for termination & timeframe) 	<ul style="list-style-type: none"> Agreement - Both Attachment 1 – Notice period for termination for convenience and (NFP Attachment 2 Clause 22 of the standard terms and conditions; G&S Attachment 2 Clause



Agenda item	Content that could be covered at the kick-off meeting	Supporting or source information
		19 of the standard terms and conditions) NFP Agreement / Goods & Services Agreement
2.10 Agreement Variations	<ul style="list-style-type: none"> Process for variations when they may be required 	<ul style="list-style-type: none"> Contract Management Plan NFP Agreement / Goods & Services Agreement – standard terms and conditions
2.11 Risk Management	<ul style="list-style-type: none"> Completion of the risk assessment as part of the contract management plan Access to the template Treatments for risks 	<ul style="list-style-type: none"> Contract Management Manual Part 9: Issue management and risk review
3. Licensing	<p>Dependent on service contracted</p> <p>For Family Based Care</p> <ul style="list-style-type: none"> Foster Care Agency Licence or Kinship Care Agency Licence <p>For Residential Care and Supported Independent Living</p> <ul style="list-style-type: none"> Children’s Residential Facility (CRF) Licence 	<ul style="list-style-type: none"> Agreement – Attachment 4 Item 5 Licensing DCP website - Licensing webpage
4. Contract Management and Licensing System (CMLS)	<ul style="list-style-type: none"> What is CMLS and how are service providers expected to utilise it CMLS access and users User Support 	<ul style="list-style-type: none"> DCP CMLS Support Materials webpage CMLS Guide: Portal Introduction CMLS Service Provider User Profile Template

7.5 Scheduling and capturing meetings in CMLS

Phase Two of CMLS will include functionality to remove the meeting type and allow contract managers to establish meetings for any purpose and capture meeting outcomes in free texts.

- Scroll down to the **Contract Meetings** form. At the bottom of the form select **Regular Meetings** from the **Meeting Type** dropdown menu, and then click the **Add Meeting** button. This will create a **Contract Meeting** record.
- In the **Meeting Details** form, complete all data fields.
- Attending:** use free text to type in attendees’ names
- In the **Agenda Items** form, enter the meeting’s **agenda items** and **details**.



Agenda Items	
Agenda Item	Details
1. Performance Measures	Performance Management issues & lessons learned
1.1 Tier 1 KPIs	Review of Tier 1 KPI performance data
1.2 Tier 2 KPIs	Review of Tier 2 KPI performance data. Discussion & feedback on Tier 2 reporting template.

- e) In the **Actions from Previous Minutes** field, enter the **Item, topic, actions required**, and any **outcomes**. Users can also attach the previous minutes document.
- f) Do not complete the **Meeting Minutes** fields at this point.

Note: Do not click the Submit button, as this will lock the **meeting record** making it un-editable.

7.6 Distribute agendas

- a) On the **Contract Meeting** record -
- b) Click on the **down** arrow at the top of the page. Click **Export PDF** to download a PDF version of the agenda.



- c) Email the agenda to the meeting attendees, and direct the Service provider to the CMLS to access attached documents prior to the scheduled meeting.
- d) Each Quarter 3 Contract Management meeting should include ERO agenda item to discuss the ERO requirements for that year. For more information see process **7.6 Equal Remuneration Order under Financial Management**.

7.7 Minute and actions (post meeting)

- a) The person responsible for creating the minutes may use the audio recording of the meeting to assist in the preparation of complete and accurate minutes.
- b) In CMLS, navigate to the **Contract Management > Managing tab** and click on the required meeting.



Contract Formation	Contract Execution	Contract Management	Contract Close-Out
Contract Handover	Contract Management Plan	Contract Performance	Managing

- c) In the **Meeting Minutes** form, complete the **Attendance** field by using the drop-down menu. Add a new line for each attendee / apology by clicking on the **Green Plus** button.
- d) If the attendee's name is not in the drop-down menu, tick the **TF** box (**Text Field**) and manually type in the attendee's name.

Meeting Minutes

Attendance:

Present/ Apologies:	Present	TF:	<input checked="" type="checkbox"/>	Name:	Jessica Brodie
Present/ Apologies:	Apologies	TF:	<input type="checkbox"/>	Name:	Craig Mastersson

- e) Move to the **Previous Minutes** field. Select the **Date** the previous minutes were confirmed and complete the **Minutes Confirmed** notes as required.

Previous Minutes:

Date: 18-Sep-2019 Minutes Confirmed: Minutes confirmed by Jessica Brodie, Seconded by Craig Mastersson

- f) In the **Items Discussed** field, document the items discussed, actions and due dates etc. (Add more data lines as required).
- g) If a child is identified in the meeting, their identifying data must be redacted in the official meeting documents, i.e. refer to child as 'Child A' or 'Jane Doe'.

Item Discussed:

Sr. No.	Item	Topic	Minutes	Actions	TF	Assigned To	Due Date
	1.1	Tier 1 KPIs	ppy no performance managemnt issues	NA.	<input type="checkbox"/>		
	1.2	Tier 2 KPIs	und Tier 2 KPI template. Want changes	make changes to KPI Template.	<input type="checkbox"/>	Jessica Brodie	20-Sep-2019

Submit

7.8 Distribute minutes

- a) When the minutes are complete, click the **Submit** button. This will lock down the **Contract Meeting Record** so it will no longer be editable. It is not possible to change the minutes or agenda once the meeting has been submitted.



Item Discussed:

Sr. No.	Item	Topic	Minutes	Actions	TF Assigned To	Due Date
	1.1	Tier 1 KPIs	ppp no performance managemnt issues	NA.		
	1.2	Tier 2 KPIs	und Tier 2 KPI template. Want changes	make changes to KPI Template.	Jessica Brodie	20-Sep-2019

Submit

- b) To download a PDF version of the minutes, click on the **down** arrow at the top of the page. Click **Export PDF**.

Parent: Contract#333 70 Go Tools

No templates available

70

- Export PDF
- Export image (PNG)
- Mail-merge Export >
- Add calendar event

- c) Email the minutes to the meeting attendees.



8. Performance management

8.1 Contract performance management

Summary: Contract performance management is the process of ensuring both parties to an agreement meet their obligations as effectively as possible in order to achieve agreed contractual outcomes. DCP's [Contract Performance Management Framework](#) provides a consistent approach, methodology and tools to support the [Contract Management Framework](#). These frameworks are available on the [Contract Performance Management](#) section of the Service Provider website.

The [Performance Measurement Specification](#) defines the minimum level of performance and service delivery required throughout the term of service agreement between DCP and the service provider. It also defines the Key Performance Indicators (KPIs) that help determine the extent to which agreed contractual outcomes, outputs, quality of service and compliance with legislative requirements have been achieved.

The KPIs have been grouped into two tiers. Performance against Tier 1 measures will initiate performance management responses. Tier 2 measures provide support and context but are not assessed in the performance measures or assigned a performance level.

Standard Service type KPIs are attached to each contract based on the contract type. CMLS will automatically assign these KPIs to the contract.

Non-standard service type or extra KPIs may be created during the procurement process and are contract specific. These KPIs will need to be assigned to the contract during the procurement set up process.

Frequency: Required for every contract.

Related Documents

DCP website - Contract performance management webpage
Contract Performance Management Framework
Performance Measurement Specification

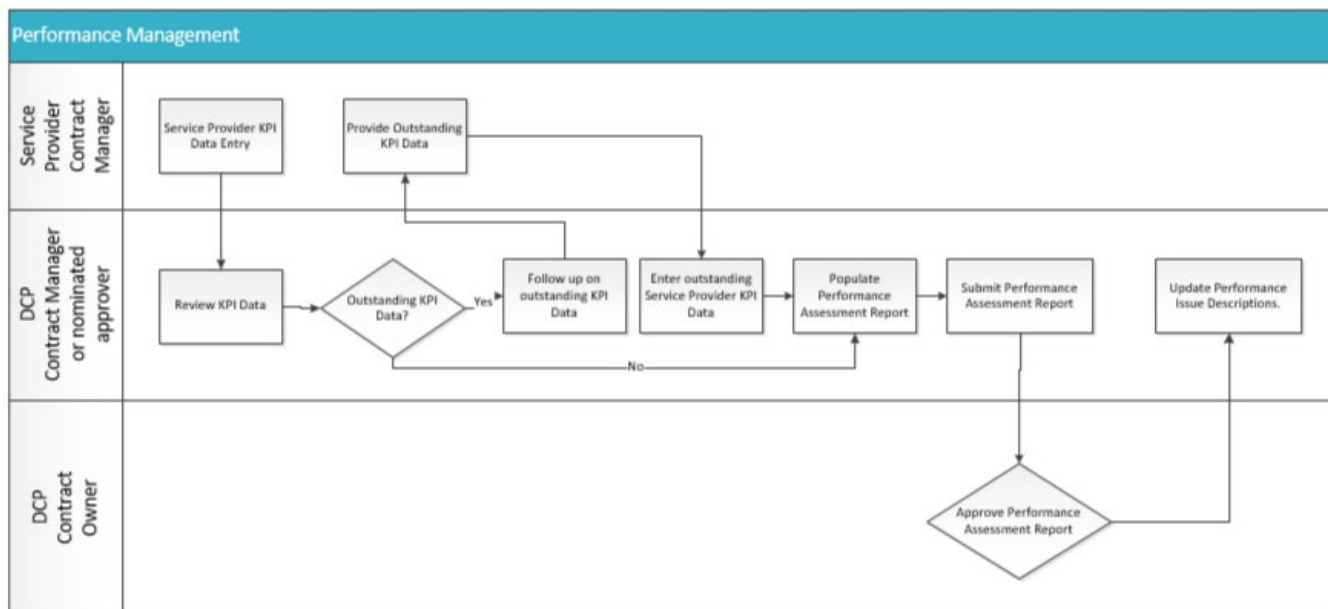
8.1.1 CMLS responsibilities:

Process step	Responsible
8.2 KPI data	Contract manager
8.3 Service provider KPI data entry	Service provider
8.4 Quarterly review of KPI data	Contract manager
8.5 Performance Assessment report	Contract manager
8.5.1 Populate Performance Assessment report	Contract manager
8.5.2 Submit Performance Assessment report	Contract manager



8.5.3 Approve Performance Assessment report	Contract owner
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8.1.2 Performance Management: Process Flow



8.2 KPI data

The [Performance Measurement Specification](#) service provision requirement document defines the minimum level of performance and service delivery required throughout the term of service agreement between DCP and the service provider. The specification defines performance measures via KPIs, as well as the minimum levels of performance. KPIs are quantitative or qualitative measures that help determine the extent to which agreed contractual outcomes, outputs, quality of service, and compliance with legislative requirements have been achieved.

KPIs have been grouped into Tier 1 and Tier 2 measures.

Performance against Tier 1 measures will initiate intervention triggers, known as performance management responses and are outlined in Section 4.2 Performance management response of the [Contract Performance Management Framework](#)

Tier 2 measures may be used as supporting evidence to assist in providing context to Tier 1 measures within a specific performance domain, to assist the service provider to improve the provision of safe quality delivery of service to its clients.

Each Tier 1 KPI will have an established tolerance threshold. Tolerance thresholds will be specific for each measure. Performance against these thresholds will be used to trigger a contract performance management response.

CMLS provides a space to collect and record KPI performance data and will measure the input KPI data against the tolerance threshold and identify any performance issues.

There are three types of KPI data entry in CMLS:

1. Service provider entry (via Service Provider portal / KPI template)
2. DCP user entry – contract manager (via contracts dashboard)
3. DCP system derived (via system feed file).



8.2.1 View KPI data in CMLS

In Contracts Tab (by Contract Number)

- Navigate to the **Contracts Tab**.
- Scroll down to the **Contracts KPIs Reporting form**.
- Enter the Contract Number in the **Contract Number Field**. The data will automatically filter by any information you enter.
- Enter the **Financial Year** and **Financial Period** field using the drop-down menu.
- Information in the Contracts KPIs Reporting:
 - the **KPI Reporting Frequency column** identifies how frequently the KPI should be reported on. This may differ from the Assessment period. For example, many KPIs are reported on monthly, but assessed quarterly
 - the **KPI Identifier column** shows a number unique to that KPI.
- Click on a **KPI** to open the **Contract KPI Result report**.

CONTRACTS KPIS REPORTING

Contract Number: Financial Year: 2021-22
 Contract Title: Financial Period: Qtr1

Contract Number	Contract Title	Financial Year	KPI Reporting Frequency	Financial Period	KPI Identifier	KPI Responsibility	KPI Description
	Family Based Care	2021-22	Quarterly	Qtr1	2	DCP User	% of Carer Household reviews completed and submitted that were required to be undertaken during the reporting period
	Family Based Care	2021-22	Quarterly	Qtr1	16	DCP User	All performance data and financial expenditure data and information requirements are received and complete in FULL within prescribed timeframes
	Family Based Care	2021-22	Quarterly	Qtr1	25	DCP User	Number of carer households on hold by reason on the last day of the reporting period.
	Family Based Care	2021-22	Quarterly	Qtr1	26	DCP User	Length of time carer households have been on hold for reasons other than a care concern on the last day of the reporting period
	Family Based Care	2021-22	Quarterly	Qtr1	27	DCP User	Number of carer households that have been inactive / had no placement by reason that are not "On Hold" on the last day of the reporting period

12 items

- The **Contract KPI Result Report** shows Contract and KPI details:
 - KPI Responsibility:** identifies the person responsible for inputting KPI data
 - KPI Source:** identifies the type of KPI data entry
 - KPI Cut-off date:** identifies the date for data entry cut off. This refers to service providers. If they do not complete their data entry before that date they must advise their contract manager and the contract manager will need to enter the data.



Contract and KPI Details

Service Provider:

Contract Number:

Contract Title:

Financial Year: Financial Period Type:

Financial Period:

KPI Identifier:

KPI Description:

KPI Responsibility:

KPI Source: KPI Tier:

KPI Cut Off Date: KPI Data Entry Reminder Date:

KPI Result Required Date: Placement Utilisation

8.3 Service provider KPI data entry

Service providers are required to provide Tier 1 and Tier 2 KPI data to DCP within a specified timeframe through CMLS. The [CMLS Support Material webpage](#) provides CMLS guides and video tutorials to assist service providers in this process.

If a service provider fails to input data into CMLS before the cut-off date, the contract manager will be responsible for obtaining KPI data from the service provider and entering outstanding KPI data.

For more information on service provider KPI data entry, please see the [CMLS Support Material webpage](#).

8.4 Quarterly review of KPI data

8.4.1 Review and enter outstanding KPI data

- a) In the **Contract Management > Contract Performance tab**, scroll down to the **Review KPI Results form**.
- b) Click on the record for the required financial quarter. Note: All monthly data will be assessed within the quarter it has been reported against.

Review KPI Results

RecordID	Contract Title	Financial Year	Financial Quarter
18	Family Based Care	2020-21	Q3
14	Family Based Care	2021-22	Q1

- c) Use the **KPI Results Responsibility drop down menu** to select All KPI Results, Service Provider Responsibility, or DCP Responsibility.
- d) The report will show only KPIs that have a status of Start or Saved. The status of a KPI refers to:
 - **Start:** KPI data has not been entered or the Save Results button was not clicked
 - **Saved:** KPI data has been entered and the Save Results button clicked.
- e) To input data against an unreported KPI – click on the text within the table to open the KPI Record.

Contract KPI Results								
TIER 1 KPI Results								
KPI Identifier	Financial Period	KPI Responsibility	KPI Source	KPI Description	KPI Target	KPI Result	Status	
12	Mth3	DCP User	System Derived	with Children Check (WWCC) Clearance and Background Check	100%	0%	Start	Select
13	Mth3	Service Provider	User Entered	Percentage (%) of staff employed in execution of a DCP contract with a current satisfactory DHS Working with Children Check (WWCC) Clearance and Background Check	100%	0%	Start	Select
16	Qtr1	DCP User	User Entered	All performance data and financial expenditure data and information requirements are received and complete in FULL within prescribed timeframes	Yes		Start	Select
2	Qtr1	DCP User	System Derived	% of Carer Household reviews completed and submitted that were required to be undertaken during the reporting period	100%	0%	Start	Select

9 items | 1-20 | Export

- f) Enter the KPI data as required.
- g) Click the **Save Result button** at the bottom of the screen. This will update the KPI status to saved and allow the user to submit the record.

Note: If you press the **Save and Close button** at the top of the screen, the data will save but the status of the KPI will not update.

- h) Click the close button at the top of the screen to close the KPI record.



8.4.2 Submit KPIs

- a) Navigate to the **Review KPI Results Screen**.
- b) Select a KPI for submission by click the **Select button** next to the KPI. Users can only select a KPI that has a status of Saved. The KPI line will turn green once it has been selected for submission.
- c) Select all KPIs with a status of Saved by clicking the **Select All button**.
- d) Scroll to the bottom of the screen and click the **Submit Results button**.
- e) Once the KPIs have been submitted they will be removed from the KPI results record.



8.5 Performance Assessment report

A new KPI performance assessment will be performed every quarter by the contract manager and approved by the contract owner. This should be completed before the contract management meeting. Only complete the KPI performance assessment once all the KPIs for that financial period have been entered.

8.5.1 Populate Performance Assessment report

- Select your contract and navigate to the **Contract Management > Contract Performance tab**.
- Scroll down to the **KPI Performance Assessment form**.
- Click on the **Plus button** in the bottom right corner of the form. This will create a new **KPI Performance record**.
- Enter the **Financial Year** and **Financial Quarter fields** using the drop down menus.
- Click on the **Populate Performance Assessment Report button**.

The screenshot shows the 'KPI Performance Assessment' form. At the top left is the Government of South Australia logo and name. The title 'KPI Performance Assessment' is centered, with a page number '116' on the right. Below the title is a section titled 'Performance Assessment Report Details'. This section contains several input fields: 'Service Provider' (text box), 'Status' (dropdown menu with 'Draft' selected), 'Contract Number' (text box), 'Contract Title' (text box with 'Contract set up for Training'), 'Financial Year' (dropdown menu with '2019-20' selected), 'Block Funding Amount (excl GST)' (text box with '\$80,000.00'), and 'Financial Quarter' (dropdown menu with 'Q1' selected). A button labeled 'Populate Performance Assessment Report' is located at the bottom right of the form and is circled in red.

- The report is split into three sections:
 - Tier 1 KPIs form:** shows the level of operation based on performance targets in the **Performance Level column**
 - Tier 2 KPIs form:** shows any data in the performance level column as these KPIs are not included in performance targets
 - Unreported Contract KPIs form:** shows unreported or incomplete contract KPIs and highlighted Tier 1 KPIs in red.
- Click on each KPI to view the **Performance Assessment Data record**.
- If the KPI is reported monthly, the **Quarterly Average field** must be entered in manually.

NOTE: The calculator will automatically calculate the Growth or Abatement value. More information on how this is calculated can be found on the [Family based care funding](#) webpage of the [Service provider resources](#) webpage in the [DCP Out of Home Care Placement Utilisation Funding Policy](#)



KPI Reporting - Numerator Denominator Data

KPI Identifier:

KPI Description: Placement Utilisation

KPI Responsibility:

KPI Information Reporting Frequency:

KPI Numerator User Entry Screen Label:

KPI Denominator User Entry Screen Label:

KPI Financial Period	KPI Numerator Result	KPI Denominator Result	KPI Numerator Denominator Result	KPI Target	Performance Level	Modify	Modification Reason
Qtr2	5	5	100	5.56	Performance Issue Level 1	Modify	
Quarter Average:				100	5.56	Performance Issue Level 1	Modify

Issue Description:

Impact on Services: Do Not Create Issue

SP Comments

Growth or Abatement (KPI Description = Placement Utilisation)

KPI Target:

KPI Result:

Growth/ Abatement:

Growth/ Abatement Value:

Contract Type:

Service Type:

Unit Price:

Daily Average Occupancy:

Minimum Placement:

- i) Enter comments if necessary.
- j) There are multiple options to download this report by clicking the following buttons:
 - **DCP Performance Assessment Summary Report:** High level summary of the Service Delivery form, showing all KPIs
 - **SP Performance Assessment Summary Report:** High level summary of the Service Delivery form, only showing KPIs that the Service Provider are responsible for
 - **DCP Performance Assessment Detail Report:** Detailed report showing every KPI record
 - **SP Performance Assessment Detail Report:** Detailed report showing every Service Provider responsible KPI record.

DCP Performance Assessment Summary Report	DCP Performance Assessment Detail Report
SP Performance Assessment Summary Report	SP Performance Assessment Detail Report

- k) Review report and clarify data if necessary.
- l) The **Populate Performance Assessment Report button** can be clicked multiple times if the report status is draft or rejected. This will refresh the report and pull all changes made to KPI results for selected financial year and quarter. This button will be disabled once the report is submitted for approval to contract owner.
- m) Do not click the **Submit for Approval button** until all data has been reviewed.



8.5.2 Submit Performance Assessment report

- a) Once all KPI data has been reviewed, navigate to the **Performance Assessment Report record** and click the **Submit for Approval button**.
- b) If the **Submit for Approval button** is clicked and there are still outstanding Tier 1 KPIs, a warning message will show asking if you would like to proceed:
 - click **Acknowledge button**
 - click the **Submit for Approval button** again.
- c) The submit process will automatically send an email to the nominated approver for approval:
 - if the nominated approver rejects the Performance Assessment report, they will note the reason in CMLS and discuss with the contract manager. If the report is rejected, it will automatically revert to draft.

8.5.3 Review Performance Assessment report (nominated approver)

- a) Click the link in the Email notification to open the Performance Assessment report.
- b) View the Performance Assessment report.
- c) The nominated approver can modify the performance issue level for each individual KPI:
 - i. click on the **KPI hyperlink text** to open the **KPI Record**
 - ii. click the **Modify button** next to the **Performance Level Issue drop down menu**
 - iii. use the **Performance Level drop down menu** to select the appropriate Performance Level Issue or Service Provider Operational Issue Level
 - iv. the **Service Provider Operational Issue level** should be selected for those performance issues which are common across all contracts for a service provider. However, choosing this option will not create an operational issue for the KPI – the contract manager will need to manually create the Service Provider Operational Issue
 - v. enter a comment in the **Modification Reason**
 - vi. click **Confirm button**
 - vii. the contract owner can also tick the **Do Not Create Issue tick box** if they do not wish a Performance Issue to be created for this KPI result
 - viii. to add a comment to the KPI, type the comment into the **DCP Comments box** and click the **Add button**.



KPI Reporting - Numerator Denominator Data

KPI Identifier:

KPI Description: Placement Utilisation

KPI Responsibility:

KPI Information Reporting Frequency:

KPI Numerator User Entry Screen Label:

KPI Denominator User Entry Screen Label:

KPI Financial Period	KPI Numerator Result	KPI Denominator Result	KPI Numerator Denominator Result	KPI Target	Performance Level	Modify	Modification Reason
Qtr2	5	7	71.4285714286	95	3.3	Performance Issue Level 1	3.5 Confirm Modified 3.4
Quarter Average: 71.4285714286 95						Performance Issue Level 3	3.2 Modify
Issue Description: Not Performing							<input type="checkbox"/> Do Not Create Issue 3.7

- to include a comment on the approval / rejection, type into the **blank field** then click **Add**
- the **approval name, title, and date** will auto populate
- click the **Approve** or **Reject** button.

Note: If rejecting the Performance Assessment report, the contract owner must provide an explanation and instructions on how to fix errors to the contract manager.

8.5.4 Update Performance Issue Description (contract manager)

After the Performance Assessment report has been approved by the contract owner, CMLS will calculate the performance levels based on the KPI data.

CMLS automatically inputs the Performance Issue Description (or name of the issue) as 'Performance Level 2/3'. The contract manager will need to update the text field in each Performance Issue 2 or 3 to describe what it relates to:

- in the **Contract tab**, select your contract
- navigate to the **Contract Management > Contract Performance tab**
- scroll down to the **KPI Performance Assessment form**
- click on an approved performance assessment
- scroll down to the **Issues Created form**
- click on an issue to open the **Issue record**
- the **KPI Details form** will show the **KPI Identifier** and **KPI Description** that the issue relates to
- in the **Issue Details form** update the **Issue Description** to reflect the performance issue
- click the **Save** button.

8.6 FTE and Acquittal data

Service providers are required to report financial information via acquittal templates at the end of each quarter. These requirements are set out in the [Reports and Meetings page](#) of the DCP Service Provider website.

As an interim measure, until service providers receive CMLS training, contract managers will be entering service provider FTE and Acquittal data through the Service Provider portal. Contract managers will be given acting rights to the various service providers in order to complete this.



There are two methods of entering FTE and Acquittal data into CMLS. It is suggested that contract managers utilise both methods to ensure they can answer service provider questions in the future.

1. Direct entry method:
 - a. data entered directly into CMLS
 - b. **recommended for service providers.**
2. Data upload method:
 - a. data is entered into a spreadsheet then uploaded via CMLS
 - b. due to the complexity of this method, this option will be provided to service providers by Contract Reform on an exception only basis if they have specific requirements.

Process step	Responsible
8.6.1 Service provider data entry	Service provider
8.6.2 Review FTE and Acquittal data	Contract manager
8.6.3 Reject Acquittal report	Contract manager
8.6.4 Endorse the Acquittal report	Contract manager

8.6.1 Service provider data entry

Please see the Service Provider guide for information on how to enter FTE and Acquittal data via the [CMLS Service Provider portal - CMLS Support Materials](#).

8.6.2 Review FTE and Acquittal data

At the end of the reporting period, the contract manager will be required to log into CMLS and review the submitted FTE and Acquittal data for each contract. CMLS will email the contract manager when the service provider submits the Acquittal report.

- a) In the **Contract tab**, select your contract.
- b) Navigate to the **Contract Management > Contract Performance tab**.
- c) Scroll down to the **Acquittal Report form**.
- d) The Status column will show Start if the service provider has started to enter data, submitted if the service provider has submitted for review, or Endorsed once the contract manager has endorsed.
- e) Click on the **hyperlinked text** to open the current Acquittal report.

Acquittal Report					
Acquittal Report Number	Service Provider	Financial Year	Total Expenditure	Net Surplus or Deficit	Status
117	Company ZXY	2020-21	\$ 0	\$)	Q1 Submitted



- f) Review the Acquittal data available.
- g) The name and position held of the person who submitted the Acquittal report is shown above the Approval form.

	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Submitted By:	<input type="text"/>	Phoebe Farncomb	<input type="text"/>	<input type="text"/>
Position Held:	<input type="text"/>	Service Provider Contract Manager	<input type="text"/>	<input type="text"/>
Date & Time:	<input type="text"/>	12-May-2021 10:31 AM	<input type="text"/>	<input type="text"/>

- h) If there are errors that need editing – follow the process below to reject the Acquittal report and return to the service provider for editing.
- i) If the data is correct and there is no need for rejection – endorse the Acquittal report.

8.6.3 Reject Acquittal report

- a) Contact the service provider to discuss errors and reason for rejection.
- b) Scroll down to the **Approval form**.
- c) Click on the **hyperlinked text** to open the approval record.

Approval						
#	Status	Date Submitted	Approvals			
1	Start	06-Jan-2021	#	Assignee	Approval Role	Status
			1	JessicaContractMa	Contract Manager	Pending
						Quarter
						Q1

- d) Enter comments into the **endorser comments field** and **click add** to add comments to the report.
- e) Click the **Reject button**. This will return the report to draft status and the service provider will be able to log in and edit.

Endorser Details:

Endorser Name: Endorser Title:

Endorser Comments:

Enter comments here and then click Add Add

Endorser Date:

Status:

Endorse
Reject

8.6.4 Endorse the Acquittal report

- a) If the data is correct and there is no need for rejection – endorse the Acquittal report.
- b) Scroll down to the **Approval form**.
- c) Click on the **hyperlinked text** to open the approval record.



Approval								
#	Status	Date Submitted	Approvals					
1	Start	06-Jan-2021	#	Assignee	Approval Role	Status	Date Actioned	Quarter
			1	JessicaContractMa	Contract Manager	Pending		Q1

- d) Enter comments into the **endorser comments field** and **click add** to add comments to the report.
- e) Click the **Endorse button**.

Endorser Details: ✕

Endorser Name: Endorser Title:

Endorser Comments:

Enter comments here and then click Add

Endorser Date:

Status:



9. Issue management and risk review

Summary: Management, treatment, and review of risks and issues in CMLS.

Frequency: The contract manager should actively compile and manage risks throughout the life of the contract and review the contract risk assessment, existing controls, and treatments regularly (every quarterly operational meeting as a minimum).

Newly identified risks should be added as they are identified.

Output: Updated CMLS risk assessment, risks, treatments and tasks.

Related documents:

[Contract management framework](#)

[Risk Management Framework](#)

9.1 CMLS responsibilities

Process step	Responsible
9.2 Review of issues	Contract manager
9.3 Issue management	Contract manager
9.4 Operational issues – service provider level	Contract manager
9.5 Operational issues – contract level	Contract manager

9.2 Review of issues

Summary: The [Performance Measurement Specification](#) document outlines the minimum levels of performance requirement for each measure. CMLS will calculate the performance levels based on the KPI data. There are multiple ways within CMLS to view performance issue data.

There are three types of issues in CMLS:

1. performance issues: created by CMLS based on KPI data
2. operational issue at contract level: operational issues that affect a specific contract
3. operational issue at service provider level: operational issue that affects the service provider as a whole and includes all of their contracts.

9.2.1 View performance assessment and performance issues

- a) In the **Contract** tab, select your contract.
- b) Navigate to the **Contract Management > Contract Performance** tab.
- c) Scroll down to the **KPI Performance Assessment** form.
- d) Click on an **approved performance assessment**.



- e) This list is of Performance Issues only. Issues will be created for Performance Levels 2 (under performance) and 3 (Non-performance). Performance Level 1 meets or exceeds targets and therefore no issues are created.
- f) Click on any **Performance Issue** to view the related data.

Please note: if the Issue Description has not been renamed (from Performance Level 2 / 3) please follow step [8.4.1](#) and [8.4.2](#) in the Contract Management Manual Part 8: Performance Management.

Issue Description	Issue Date	Severity of Issue	Status	Issue Generated By	Service Provider or Contract Issue
	17-Sep-2019		Approved	Performance	Contract
	17-Sep-2019		Approved	Performance	Contract
Not Performing – Performance Level 3	17-Sep-2019	Performance Issue Level 3	Approved	Performance	Contract
Not Performing – Performance Level 3	17-Sep-2019	Performance Issue Level 3	Approved	Performance	Contract
Performance Level 1 – Performing	17-Sep-2019	Performance Issue Level 1	Approved	Performance	Contract
Performance Level 1 – Performing	17-Sep-2019	Performance Issue Level 1	Approved	Performance	Contract
Performance Level 2	17-Sep-2019	Performance Issue Level 2	Approved	Performance	Contract
Performance Level 2	17-Sep-2019	Performance Issue Level 2	Approved	Performance	Contract
Under Performing	17-Sep-2019	Performance Issue Level 2	Approved	Performance	Contract
Not Performing	17-Sep-2019	Performance Issue Level 3	Approved	Performance	Contract
Performing	17-Sep-2019	Performance Issue Level 1	Approved	Performance	Contract
Not Performing	17-Sep-2019	Performance Issue Level 3	Approved	Performance	Contract

9.2.2 View contract level operational and performance issues

- a) In the **Contract** tab, select your contract.
- b) Navigate to the **Contract Management > Contract Performance** tab.
- c) Scroll down to the **Performance / Operational Issues** form. This form shows all issues against that contract.
- d) Click on the issue to view the reported data and issue treatments and tasks.

Issue ID	Issue Generated By	Service Provider or Contract Issue	Issue Description	Status	Issue Treatment	Issue Treatment Tasks
858	Operational	Service Provider	NFP unable to recruit the number of placement support workers to maintain household ratio.	Approved	Treatment Action Identifier Treatment Action Description	Treatment Task Identifier Treatment Task Description
857	Operational	Contract		Draft	Treatment Action Identifier Treatment Action Description	Treatment Task Identifier Treatment Task Description
834	Operational	Contract	Detailed issue description	Under Review	Treatment Action Identifier Treatment Action Description	Treatment Task Identifier Treatment Task Description

9.2.3 View all operational and performance issues assigned to a contract manager

- a) In the **Contract** Tab, scroll down to the **My Contract Issues** form. This shows all issues for all service providers and contracts.
- b) Use the **search** fields to filter information (i.e. by service provider). Click on an issue to view.

Note: Issue description is currently blank and cannot be entered due to system errors. In the normal function the Issue will link with the KPI / performance measure.



9.3 Issue management

Summary: The management of risks and issues should occur throughout the life of the contract. Implementing and recording risk controls and treatments should occur regularly (every quarterly operational meeting as a minimum).

9.3.1 Agree on action and timeframe

- a) Discuss with the service provider the issue that has been raised and agree on appropriate actions to be undertaken and timeframe.

9.3.2 Raise issue in CMLS and notify service provider

- a) Raise the issue in CMLS:
 - 9.4 Operational issue – service provider level
 - 9.5 Operational issue – contract level
- b) Follow steps 9.4 and 9.5 to initiate issue tasks and treatments in CMLS.
- c) System generated email to service provider with due dates and actions required.

9.3.3 Review progress of treatment actions

As part of the quarterly meeting with the service provider, the contract manager will need to discuss performance and operational issues which are considered standing agenda items.

- a) Use issue report from CMLS to provide a list of outstanding actions and due dates.
- b) Confirm action status with service provider.

9.3.4 Actions resulting from status update

Status	Action	Comment
In progress – on track	No action required.	
Completed	Close issue in CMLS.	Refer to Contract Management Manual: Part 9 Issue management and risk review : <ul style="list-style-type: none"> • attach any required evidence or commentary to substantiate completion.
Overdue	Work through prompting questions to determine appropriate action to take.	Prompting questions: <ul style="list-style-type: none"> • determine if it is a critical issue (for example, legislative requirement, financial implications, child safety) • does it need to be escalated? If so to who? • what actions are needed or may result? (for example, abatement, variation) • does this constitute a breach in Agreement? • can we amend the due date? • are additional tasks, amendments to tasks or people required to complete?

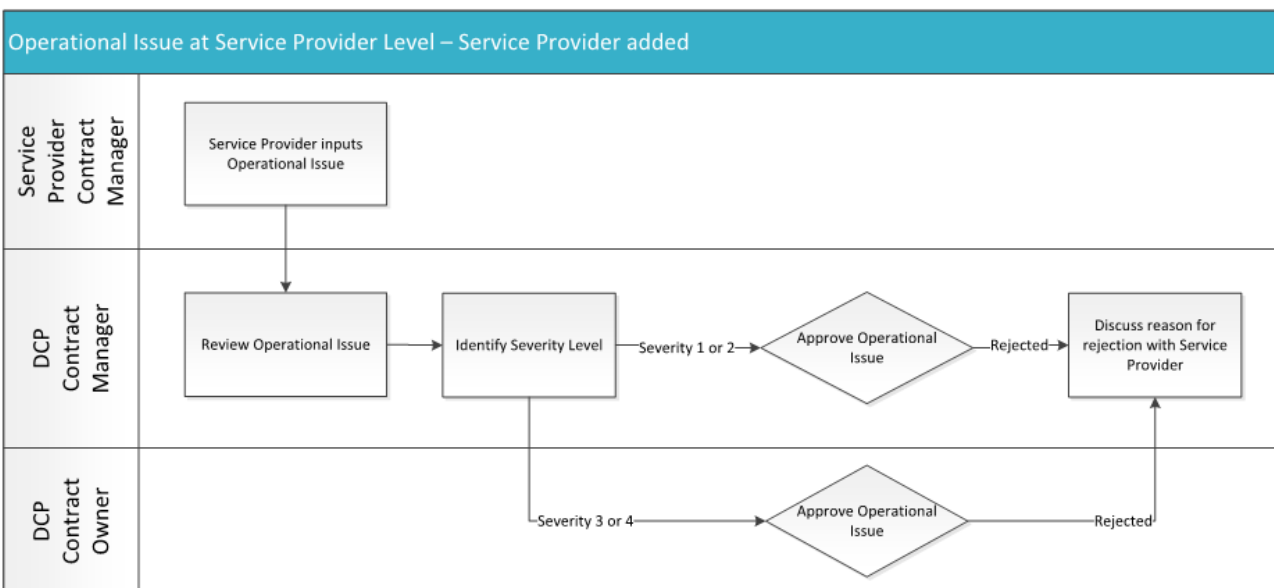
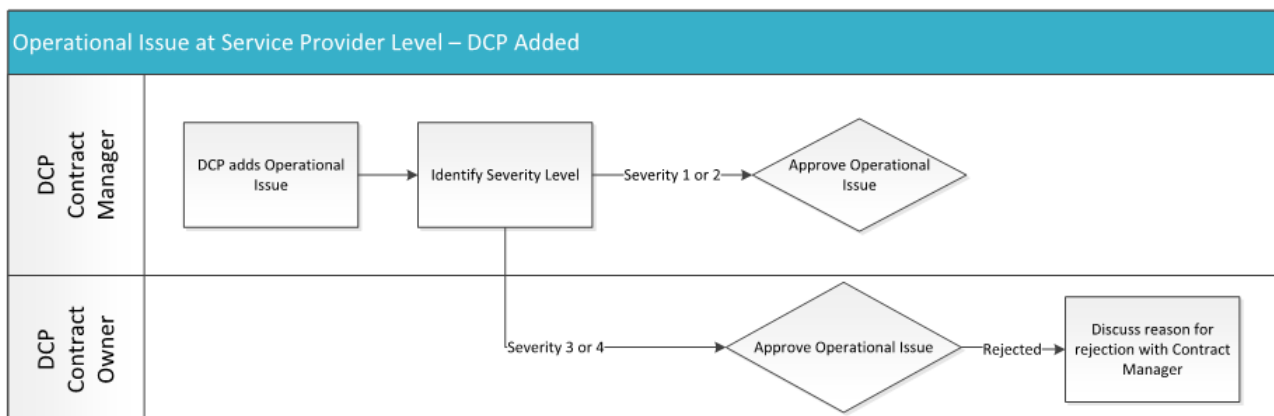


9.4 Operational issues – service provider level

Summary: An operational issue at the service provider level will create an issue record that attaches to every contract under the relevant service provider. An operational issue can be created by the DCP contract manager in CMLS. Outside of what is normally captured in the KPI reporting and performance management process.

Frequency: New operational issues should be added as required.

Process flows:



9.4.1 Service provider level issues - categories and actions

Issue category	Examples	Enter into CMLS	Action
Legislation and quality standards	<ul style="list-style-type: none"> Legislative requirements for example Working with Children Checks. Expired or insufficient quality assurance accreditation and/or systems. Expired insurance. Licensing where it impacts multiple properties for example at the agency level. 	YES	Raise issue and enter to CMLS.



Service provider financials	<ul style="list-style-type: none"> Ongoing financial viability. Insufficient detail on invoice and/or missing account information to allow for payment. 	YES	Raise issue and enter to CMLS.
Planning, strategy and governance	<ul style="list-style-type: none"> Business continuity plan. Other policies and procedures required. Communication approach. Consistent reporting issues (for example not meeting timeframes, data quality integrity or incorrect use of reporting templates that occurs many times or on an ongoing basis). 	YES	Raise issue and enter to CMLS.

DCP contract manager adds operational issue at a service provider level

9.4.2 Add operational issue (contract manager)

- Navigate to the **Contract** tab, scroll down to the **My Contracts Issue** form.
- In the Issue **SP ID** field, use the drop-down menu to select the required service provider.
- Click on the **Add Operational – Service Provider Issue** button to create a new **Issue** record.

The screenshot shows the 'MY CONTRACT ISSUES' interface. It features a table with columns: Contract Number, Contract Title, Issue Identifier, Issue Description, Issue Date, Status, Issue Generated By, Issue Author, and Service Provider. Below the table, there is a form with an 'Issue SP ID' dropdown menu and an 'Add Operational - Service Provider Issue' button, both of which are circled in red.

- Complete the following fields:
 - Issue Description:** description of the issue
 - Issue Date:** date reflecting the issue
 - Performance Domain:** select the performance domain from the drop-down menu. These options are taken directly from the [Performance Measurement Specification](#)
 - Performance Area:** select the performance Area from the drop-down menu. These options are taken directly from the [Performance Measurement Specification](#)
 - Service Delivery Performance Domain Type:**
 - Severity of Issue:** if the performance issue is level 1 or 2 the Operational Issue Approved form will appear for the contract manager to complete. If the performance issue is level 3 or 4, the Submit to Contract Owner form will appear as the contract owner must approve.
 - Impact on Services:** Describe the impact this issue has on services
 - Approver Due Date:** date the issue is required to be approved by (for example date of quarterly meeting)
 - Additional Information:** any additional information or comments on the issue
 - Supporting information / documents/ attachments:** attach any supporting information or documents to the issue.
- Once all information has been entered, complete the **Operational Issue Approval** form, or press the **Submit to Contract Owner** button depending on the performance level.



- f) In the **Operational Approval** form, select the **Approval Status** from the drop-down menu.
- g) If **approved** is selected:
 - enter approval reasons (this is optional for approved issues)
 - click the **Approved** button
- h) If **Modified and Approved** is selected:
 - enter a comment identifying the modifications that were required (this is optional for Approved Issues)
 - click the **Modified and Approved** button
- i) If **Not Approved** is selected:
 - enter the reason for rejection in the Approval Reason box (mandatory)
 - click the **Not Approved** button

9.4.3 Approve operational issue (contract owner)

Performance issues with performance level 3 or 4 are sent to the contract owner for approval.

- a) Click the link in the email notification to open the operational service provider issue.
- b) View the operational service provider issue.
- c) To include a comment on the approval / rejection, type into the **blank field** then click **Add**.
- d) The **approval name**, **title**, and **date** will auto populate.
- e) Click the **Approve** or **Reject** button.

Note: If rejecting the operational service provider issue, the contract owner must provide an explanation and instructions on how to fix errors to the contract manager.

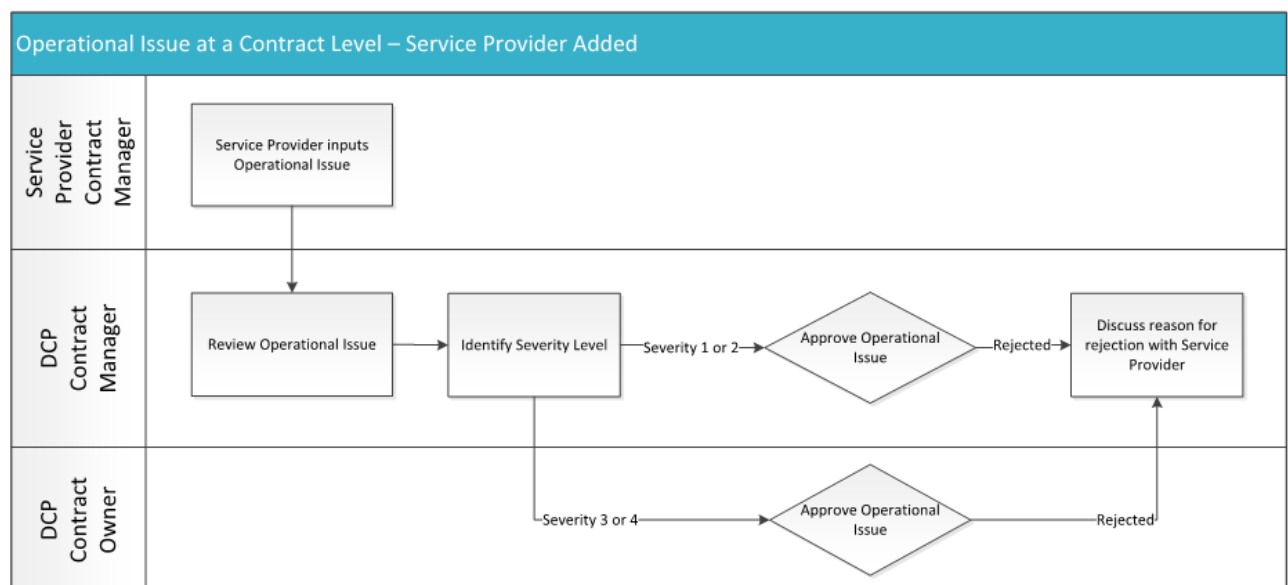
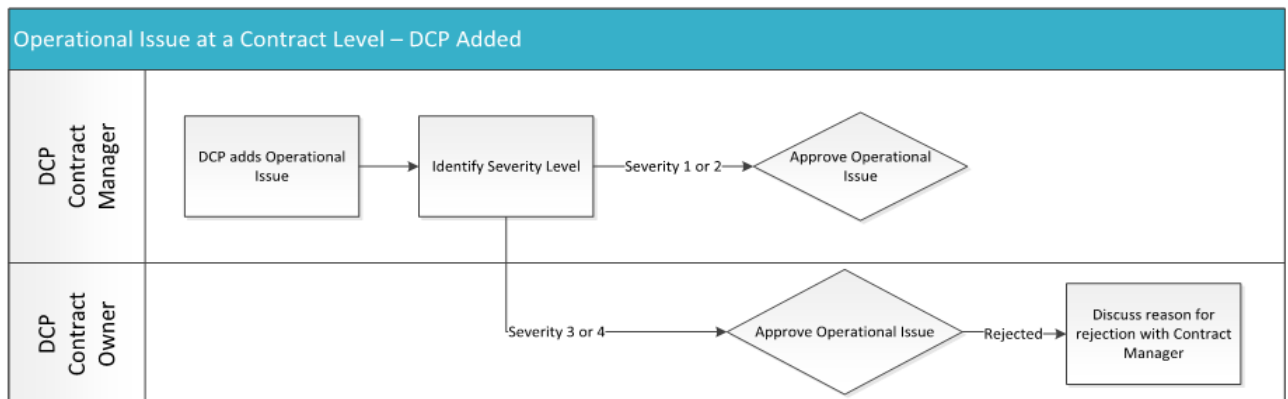


9.5 Operational issues – contract level

Summary: An operational issue at the contract level will create an issue record that attaches to a specific contract. An operational issue at the contract level can be created by the DCP contract manager in CMLS, outside of what is normally captured in the KPI reporting and performance management process.

Frequency: New operational issues should be added as required.

Process flows:



9.5.1 Contract level issues - categories and actions

Issue category	Examples	Enter into CMLS	Action
Planning, strategy and governance	<ul style="list-style-type: none"> Contract management plan. Other policies and procedures required to manage the contract. Contract start up or transition plan not completed or agreed to by the service provider. 	YES	Raise issue and enter to CMLS.
Legislation and quality standards	<ul style="list-style-type: none"> Licensing issues when impacts singular property. 	YES	Raise issue and enter to CMLS.



Contracting	<ul style="list-style-type: none"> Ongoing regular requests for additional care / funding arrangements. 	YES	Raise issue and enter to CMLS.
Financials	<ul style="list-style-type: none"> Financial performance YTD. 	YES	Raise issue and enter to CMLS.
Practice and care concern issues – related to contractual obligations and service specifications	<ul style="list-style-type: none"> Care concerns of carer or child relating to contracted placement outside of actions being completed for example ongoing or regular concerns related to a carer, residential care property. Practice in contradiction to service provision requirements or specification. 	YES	Raise issue and enter to CMLS.
Practice issues – outside of contractual obligations	<ul style="list-style-type: none"> DCP office agrees to support incidental cost via own office budget, and then DCP office did something different 	NO	Refer issue to DCP case worker or office manager dependent on issue.
Carer payment	<ul style="list-style-type: none"> Delayed or incorrect payment. 	NO	Refer to Carer Payments team DCPCarerPayments@sa.gov.au

DCP contract manager adds operational issue at a contract level

9.5.2 Add operational issue (contract manager)

- a) Navigate to the **Contract** tab, select the specific contract.
- b) Navigate to the **Contract Management > Contract Performance** tab.
- c) Scroll down to the **Performance / Operational Issues** tab.
- d) Click the **Add Operational Issue** button.
- e) Complete the following fields:
 - **Issue Description:** description of the issue
 - **Issue Date:** date reflecting the issue
 - **Performance Domain:** select the performance domain from the drop-down menu. These options are taken directly from the [Performance Measurement Specification](#)
 - **Performance Area:** select the performance area from the drop-down menu. These options are taken directly from the [Performance Measurement Specification](#)
 - **Service Delivery Performance Domain Type:**
 - **Severity of Issue:** if the severity is level 1 or 2 the operational issue approved form will appear for the contract manager to complete. If the severity is level 3 or 4, the Submit to Contract Owner form will appear as the contract owner must approve.
 - **Impact on Services:** describe the impact this issue has on services.
 - **Approver Due Date:** date the issue is required to be approved by (for example date of quarterly meeting)
 - **Additional Information:** any additional information or comments on the issue
 - **Supporting information / documents/ attachments:** attach any supporting information or documents to the issue.
- f) Once all information has been entered:
 - if the severity is 3 or 4, press the **Submit to Contract Owner** button.



- if the severity is 1 or 2, the DCP contract manager can complete the **Operational Issue Approve** form below
- g) Select the **Approval Status** from the drop-down menu. This field is mandatory.
- h) If **approved** is selected:
- enter a comment in the **Approval Reason** box (this is optional for approved issues)
 - click the **Approved** button
- i) If **Modified and Approved** is selected:
- enter a comment identifying the modifications that were required (this is optional for approved issues)
 - click the **Modified and Approved** button
- j) If **Not Approved** is selected:
- enter the reason for rejection in the **Approval Reason** box (mandatory)
 - click the **Not Approved** button

9.5.3 Approve operational issue (contract owner)

- a) Click the link in the email notification to open the operational service provider issue.
- b) View the operational service provider issue.
- c) To include a comment on the approval / rejection, type into the **blank field** then click **Add**.
- d) The **approval name, title**, and **date** will auto populate.
- e) Click the **Approve** or **Reject** button.

Note: If rejecting the operational service provider issue, the contract owner must provide an explanation and instructions on how to fix errors to the contract manager.

Service provider adds operational issue at a contract level

9.5.4 Submits an operational issue (service provider)

Service providers can lodge operational issues through the service provider portal. Once they submit the issue, the system will generate an email to the contract manager. The service provider can only enter information into the **Issue Description**, and **Date** fields.



9.5.5 Review and approve operational issue (contract manager)

- a) Click the link in the email notification to open the **Operational Service Provider Issue** record.
- b) Review and complete the information in the **Issue Details** form.
- c) If the severity is entered as a performance issue level 3 or 4, the issue will need to be approved by the contract owner. Issues with a performance issue level of 1 or 2 can be approved by the contract manager.
- d) **Severity of Issue** If the severity is entered as a Level 3 or 4, the issue will need to be approved by the contract owner. Issues with a severity of 1 or 2 can be approved by the contract manager.
- a) Click the link in the Email notification to open the operational service provider issue
- b) View the **Operational Service Provider Issue**
- c) Select the **Approval Status** from the drop-down menu. This field is mandatory.
- d) If **approved** is selected:
 - Enter a comment in the **Approval Reason** box (optional)
 - Click the **Approved** button
- e) If **Modified and Approved** is selected:
 - Enter a comment identifying the modifications that were made (optional)
 - Click the **Modified and Approved** button
- f) If **Not Approved** is selected:
 - Enter the reason for rejection in the **Approval Reason** box (mandatory)
 - Click the **Not Approved** button

9.5.6 Approve operational issue (contract owner)

Performance issues with performance level 3 or 4 are sent to the contract owner for approval.

- g) Click the link in the email notification to open the operational service provider issue.
- h) View the operational service provider issue.
- i) To include a comment on the approval / rejection, type into the **blank field** then click **Add**.
- j) The **approval name, title, and date** will auto populate.
- k) Click the **Approve** or **Reject** button.

Note: If rejecting the operational service provider issue, the contract owner must provide an explanation and instructions on how to fix errors to the contract manager.

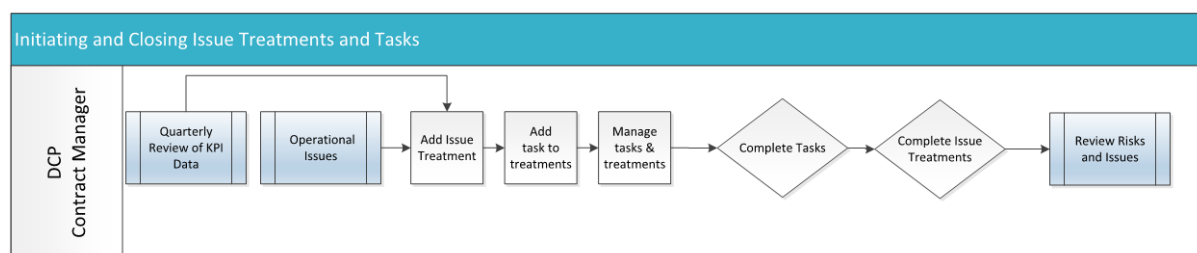
9.5.7 Mark issue as completed

Once the issue (including all treatments and tasks) has been resolved, the contract manager is responsible for marking the issue as completed in CMLS.

- Navigate to the **Contract** tab, select the specific contract.
- Navigate to the **Contract Management > Contract Performance** tab.
- Scroll down to the **Performance / Operational Issues** tab.
- Navigate to an issue and click on it to open the **Issue Record**.
- Scroll down to the **Issue Details** form and click the **Mark Treatment as Completed** button.
- CMLS will automatically input the **Issue Closure Date**.

9.6 Initiating and closing issue treatments and tasks

Summary: The management of risks and issues should occur throughout the life of the contract. Implementing and recording risk controls and treatments should occur regularly (every quarterly operational meeting as a minimum). Issue management - initiating and closing issue treatments and tasks: Process Flow



9.6.1 Add issue treatment

- Navigate to an issue and click on it to open the **Issue** record.
- Review the issue details.
- Scroll down to the **Issue Treatment** form. Click the **Add Issue Treatment** button. This will create an **Issue Treatment** record.
- Enter the following details:
 - **Treatment Action Description:** description of treatment
 - **Treatment Action Critical Response Level:** use the drop-down menu to select level
 - **Treatment Action Responsibility:** use the drop-down menu to select role
 - **Treatment Action start date:** date treatment expected to start
 - **Treatment Action Planned end date:** date treatment expected to end
- Change the **Treatment Action Status** to 'In Progress'.

Note: Do not select Complete in the **Treatment Action Status**. To mark a treatment as complete, click the **Mark Treatment as Completed** button.

- Attach any documents as required. Click **Save**.



Issue Treatment Details ▼

Treatment Action Identifier: Treatment Action Status:

Treatment Action Description:

Treatment Action Critical Response Level:

Treatment Action Responsibility:

Treatment Action Start Date: Treatment Action Actual End Date:

Treatment Action Planned End Date:

9.6.2 Add tasks to issue treatment

If the treatment is detailed and involves numerous tasks, users can enter treatment tasks.

- a) Scroll down to the **Treatment Tasks** form.
- b) Click the **Add Treatment Task button** to create a new **Treatment Task** record. Complete the following fields:
 - **Treatment Task Status:** select from the drop-down menu whether the status is Draft, Active, or Completed
 - **Treatment Task Description:** describe the treatment task
 - **Treatment Task Critical Response Level:** select from the drop-down menu the critical response level
 - **Treatment Task Responsibility:** select the person responsible for the treatment task
 - **Treatment Task Start Date:** select the date the treatment starts
 - **Treatment Task Planned End Date:** select the planned end date of the treatment
 - **Attached documents:** attach any supporting documents
- c) In the **Treatment Task Status field**, select In Progress.

Note: Do not select Complete in the **Treatment Task Status**. To mark a treatment as complete, click the **Mark Task as Completed** button.

- d) Click **Save**



Treatment Task ▼

Treatment Task Identifier: <input style="width: 80%;" type="text" value="37"/>	Treatment Task Status: <input style="width: 80%;" type="text" value="Draft"/>
Treatment Task Description: <div style="border: 1px solid #ccc; height: 30px; margin-top: 5px;"></div>	
Treatment Task Critical Response Level: <input style="width: 80%;" type="text"/>	
Treatment Task Responsibility: <input style="width: 80%;" type="text"/>	
Treatment Task Start Date: <input style="width: 80%;" type="text"/>	Treatment Task Actual End Date: <input style="width: 80%;" type="text"/>
Treatment Task Planned End Date: <input style="width: 80%;" type="text"/>	
Treatment Task Created By: <input style="width: 80%;" type="text" value="JessicaContractManager"/>	Treatment Task Updated By: <input style="width: 80%;" type="text" value="JessicaContractManager"/>
Treatment Task Created Date: <input style="width: 80%;" type="text" value="17-Sep-2019"/>	Treatment Task Updated Date: <input style="width: 80%;" type="text" value="17-Sep-2019"/>

Cancel

Attached Documents (0)

Mark Task as Completed

- e) Use the **Parent** button to return to the Issue record. Some issues may require more than one treatment.
- f) Once all treatments have been entered, click the **Parent** button to return back to the **Contract Performance** tab.

9.6.3 Complete tasks

Once a task has been completed, the contract manager is responsible for marking this task as completed in CMLS.

- a) Navigate to an issue and click on it to open the **Issue Record**.
- b) Scroll down to the **Treatment Task** form.
- c) Click on a treatment to open the **Treatment Task Record**.
- d) Click the **Mark Task as Completed** button.
- e) CMLS will automatically input the **Treatment Task Actual End Date**.

9.6.4 Complete treatment

Once a treatment has been completed, the contract manager is responsible for marking the treatment as completed in CMLS.

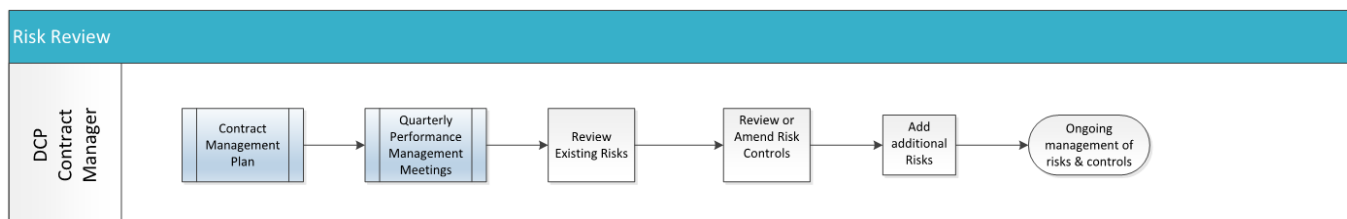
- a) Navigate to an issue and click on it to open the **Issue Record**.
- b) Scroll down to the **Issue Treatment** form.
- c) Click on a treatment to open the **Issue Treatment record**.
- d) Click the **Mark Treatment as Completed** button.
- e) CMLS will automatically input the **Treatment Action Actual End Date**.



9.7 Risk review

Summary: To ensure that risk assessment is up-to-date and reflects the current risk status, the contract manager shall review the risk assessment as part of the quarterly performance management process. During the meeting, all meeting participants are to review the Performance Assessment report and the contract manager is to amend the risk assessment as required.

Review Contract Management Manual Part 8: [Performance management](#) for information on how to complete the Performance Assessment report.



9.7.1 Review existing risks

- Open the **Contract** tab and select your contract. Navigate to the **Contract Management > Contract Management Plan** tab.
- Scroll down to the **Contract Risk Assessment** form and click on the **Risk Assessment** to be reviewed. The **Contract Risk Assessment** record will be displayed.
- Review the **Contract Risk Assessment Details** form and **Objectives** form.
- In the **Contract Risks** form, select the risk that you wish to review or amend.
- Review the **Contract Risk Details** form and make changes as required.

Note: If a new risk assessment is raised, replace the old one. CMLS will mail merge the new risk assessment into the CMP.

9.7.2 Review risk controls

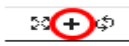
- Following on from 6.4.1, scroll to the **Existing Controls** table and select the **Control** that requires review or amending.
- In the **Contract Risk Control Details** form, review or amend the below information. Enter only controls that are in place, not planned actions.
 - **Name of Control:** enter control name and description here
 - **Control Owner:** the owner of the control (CMLS allows users to pick from DCP or service provider contract managers)
 - **Control Assessment:** enter an assessment of the control, (for example effective, ineffective, partially effective)

Note: It has been identified that there is a need to include another box for **Control Description**. Until this change is included, please enter the control description in the **Name of Control** field.

- If the control links to a document or policy, link this document in the **Control Documents Referenced** field by clicking the pen and enter the hyperlink. This might be to a document on the service provider website, the shared drive, or the DCP intranet.



9.7.3 Add new risks and controls

- d) In the **Contract Risks** form click the **Plus + button** to create a new contract risk.  This will create a new **Contract Risk** record.
- e) In the **Contract Risk Details** form, enter the below fields.
- **Contract risk description:** description of risk
 - **Causes:** key causes of the risk – there may be multiple causes
 - **Risk category:** CMLS allows users to select only one risk category per risk. Some risks may have multiple categories. The user must create a risk for each category.
 - **Risk Owner:** the person responsible for managing risk controls and treatment. If this person is not a CMLS user, select the option ‘Other’ and type their name into the text field.
 - **Relevant objectives:** field not required
 - **Impact:** consequence(s) of the risk.
- f) Move down to **Inherent Risk Rating (IRR)** fields and from the drop-down menu select the inherent consequence and inherent likelihood. The IRR is the consequence and likelihood of the risk without any controls or treatment. The **IRR** field will automatically populate. CMLS will copy the values from IRR to the Current Risk Rating (CRR) and Residual Risk Rating (RRR).

Contract Risk Details ▼

Contract Risk Description:

Causes:

Risk Category:

Risk Owner:

Relevant Objectives:

Impact:

Inherent Risk Rating (IRR)


Inherent Consequence:

Inherent Likelihood:

Inherent Risk Rating:

- g) Scroll down to the **Existing Controls** table and click on the **Plus + button**. This will create a new **Contract Risk Control** record.

#	Name of Control	Control Assessment	Control Owner
0 items			



- h) In the **Contract Risk Control Details** form, enter the below information. Enter only controls that are in place, not planned actions.



- **Name of control:** enter control name
 - **Description of Control:** enter a description of the control
 - **Control Owner:** the owner of the control. If the owner is not a CMLS user, select Other and type their name into the text box
 - **Control Assessment:** select an assessment option from the drop-down men.
- i) If the control links to a document or policy, link this document in the **Control Documents Referenced** field by clicking the pen and enter the hyperlink. This might be to a document on the service provider website, the shared drive, or the DCP intranet.

Contract Risk Control Details ▼

Name of Control:

Description of Control:

Control Assessment: Control Owner:

Control Documents Reference: ✎

- j) Click **Save** and return to the Contract Risk record by clicking the **Parent: Contract Risk** button.
- Parent: Contract Risk#55
- k) Repeat steps e) – g) to enter all control details for this risk.
- l) Once completed, the controls will show under the **Existing Controls** field. Users can edit these controls by clicking on them.

#	Name of Control	Control Assessment	Control Owner
1	Matching and allocation processes in place support appropriate referrals from DCP Placement Services to NFP Service	Current Controls Effective	JessicaContractOv

1 items ⌵ + ⌵

- m) Once all risk controls have been entered, enter the **Overall Control Assessment**. i.e. Controls effective / Additional controls required. Click **Save**.
- n) Scroll down to the **Current Risk Rating (CRR)** field. If the risk rating is expected to change as a result of controls being implemented, use the drop-down menu to enter the **Current Consequence and Current Likelihood** rating. If controls are effective, the CRR should be lower than the IRR.

Current Risk Rating (CRR)

Current Consequence: ▼

Current Likelihood: ▼

Current Risk Rating:



- o) Scroll down to the **Contract Risk Treatment** field and click the **Plus + button**. This will create a new **Contract Risk Treatment** record.
- p) Enter the below fields in the **Contract Risk Treatment Details** form. The risk treatments are strategies that have not yet been approved or implemented. Indicate whether the treatment is proposed or approved.
- **Name of treatment:** short descriptor of the treatment
 - **Treatment owner:** choose from drop down menu. If owner is not a CMLS user, select Other and type their name in the text box
 - **Start Date:** date the treatment is proposed to start
 - **Current Due date:** date the treatment is due to be approved
 - **Description of Treatment:** description of treatment
 - **Comments:** include whether the treatment is proposed or approved

Contract Risk Treatment Details ▼

Name of Treatment:	<input type="text" value="Treatment Name"/>	Treatment Owner:	<input type="text" value="Other"/>	<input type="text" value="Test Name Other"/>
Start Date:	<input type="text" value="01-Feb-2021"/>	Current Due Date:	<input type="text" value="27-Feb-2021"/>	
% Completed:	<input type="text" value="50%"/>			
Description of Treatment:	<input style="height: 40px;" type="text" value="Description of Treatment"/>			
Comments:	<input style="height: 30px;" type="text" value="Comments"/>			

- q) Attach document if required.
- r) Scroll down to the **Residual Risk Rating (RRR)** field. If the risk rating is expected to change after the controls and treatments are implemented, use the drop-down menu to enter the **Residual Consequence and Current Likelihood** rating. If controls and treatments are effective, the RRR should be lower than the IRR. If there are no controls, the RRP will be equal to the CRR.

Residual Risk Rating (RRR)

Residual Consequence:	<input type="text" value="Minor"/>
Residual Likelihood:	<input type="text" value="Unlikely"/>
Residual Risk Rating:	<input type="text" value="Low"/>

- s) Click **Save** to save all fields in the **Contract Risk** record.
- t) Click the **Parent: Contract Risk button** at the top of the screen to return to the Contract Risk Assessment screen.
- u) Repeat steps to enter all risks for the contract.



10. Financial management

Summary: Financial management is a responsibility shared by the procurement officer, service provider, contract managers, financial business advisor, Manager, Service Contracts and Licensing, and Chief Financial Officer. Processes for financial management include:

- financial briefings
- scheduled payments
- ad-hoc transactions
- financial coding
- equal remuneration order.

Related Documents

Briefing Workflow Guides
Contract Performance Management Service Provision Requirements
Contract Performance Management Framework
Performance Measurement Specification

10.1 Financial briefings

Summary: A briefing is a summary of facts pertaining to an issue and often includes a suggested course of action. It consists of a precise statement or set of instructions intended to inform another individual and guide their decision-making.

Financial briefings are required when seeking financial approval for the following three scenarios:

1. new contract
2. varying a contract when there is a financial implication
3. renewing an existing service.

Financial briefings should be prepared by the contract manager.

If the briefing has not been prepared by the contract manager, then the contract manager is to review the briefing prior to being submitted to the Manager, Service Contracts and Licensing for either endorsement or approval.

Briefing Endorsement and Approval Delegation Benchmarks

Financial Delegation	Endorser	Approver
Up to \$55,000	N/A	Manager, Service Contracts and Licensing
\$55,001 up to \$550,000	Manager, Service Contracts and Licensing	Chief Financial Officer
\$550,001 upwards	Manager, Service Contracts and Licensing Chief Financial Officer	Chief Executive



New Contract	Manager, Service Contracts and Licensing Chief Financial Officer	Chief Executive
--------------	--	-----------------

10.2 Briefing process

10.2.1 Processing Financial Briefings

- a) Contract manager prepares the draft financial briefing on the word template within the briefing workflow and relevant attachments and submits to the Manager, Service Contracts and Licensing for review.
- b) Manager, Service Contracts and Licensing reviews content and provides decision to progress for endorsement and approvals.

For approval by Manager, Service Contracts and Licensing

- i. Manager, Service Contracts and Licensing signs hardcopy.
- ii. Email the approved scanned PDF copy to the executive assistant for Chief Financial Officer, who will upload the briefing in the Briefing Workflow System.

For Approval by Chief Financial Officer

- i. Contract manager coordinates the physical signing of briefing by relevant endorsers and approvers.
- ii. Manager, Service Contracts and Licensing and any other required endorsers sign hardcopy.
- iii. Chief Finance Officer signs hardcopy as approver.
- iv. Email the approved scanned PDF copy to the executive assistant for Chief Finance Officer, who will upload the briefing in the Briefing Workflow System.

For approval by Deputy Chief Executive, Chief Executive or Minister for Child Protection

- i. Contract manager coordinates the review of the content to go into the briefing workflow.
 - ii. Manager, Services Contracts and Licensing and Chief Financial Officer reviews content and provides feedback.
 - iii. Contract manager enters finalised content into the briefing workflow and monitors progress of signing. Refer to 10.2.2 Adding a Briefing to the Briefing Workflow System.
 - iv. Manager, Service Contracts and Licensing and Chief Financial Officer endorse in briefing workflow.
 - v. Deputy Chief Executive, Chief Executive or Minister approves in briefing workflow.
 - vi. Contract manager to download approved briefing for localised record management.
- c) The contract manager saves the signed copy in PDF format to the relevant LAN file location.
 - d) The contract manager works with the relevant procurement officer to action any required activities.

10.2.2 Adding a Briefing to the Briefing Workflow System

To create a briefing in the Briefing Workflow System the contract manager completes the steps within the [Briefing Workflow Guide – Department Writer](#).



Attachments in the Briefing Workflow System

Documents in the Briefing Workflow System need to be attached by browsing a folder and uploading a file. The drag and drop functionalities do not work within the system.

Approval by Deputy Chief Executive, Chief Executive or Minister for Child Protection

If a briefing has been completed and endorsed by the Chief Financial Officer in hardcopy, it will need to be included as an attachment and endorsed again in the Briefing Workflow System.

1. Follow steps in the Briefing Workflow Guide – department writer to create a briefing and complete all fields.
2. Upload the approved scanned PDF copy of the briefing in the Attachment tab
3. In the Endorser section of the Briefing Workflow System, select the Chief Financial Officer group from the endorser list.
4. By selecting this endorser group, the executive assistant will be able to endorse on behalf of the Chief Financial Officer upon the condition that the approved PDF copy of the hardcopy briefing is attached in the system.
5. When ready to send the briefing on to the Briefing Unit, click on the submit button.

10.3 Scheduled payments

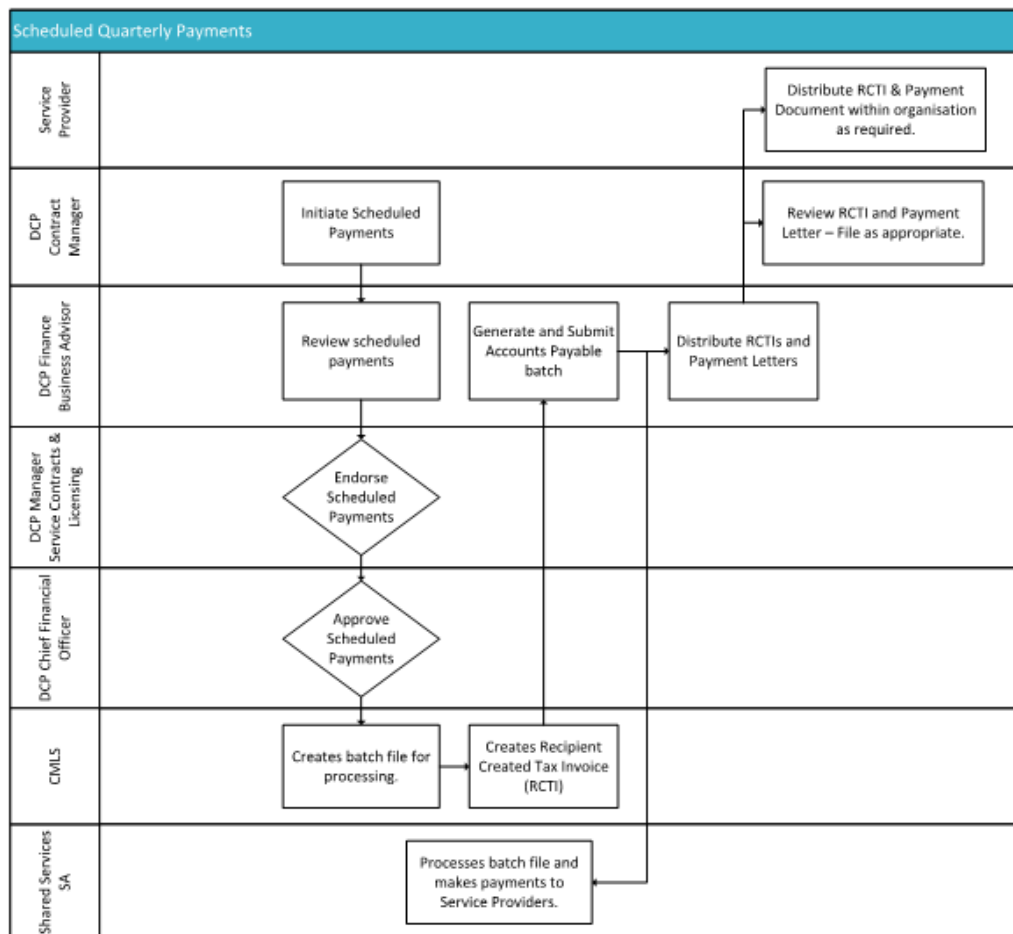
Scheduled payments are compiled by CMLS for all NFP contract types based on contract information. The payment records created are based on the financial information captured in Attachment 5 of the NFP Agreement, or in the case of contract extensions, are created after an extension is exercised.

The following process will enable a contracted quarterly payment to be initiated, reviewed, endorsed, approved, and paid.

Process step	Responsible
Initiate scheduled payments	Contract manager
Review scheduled payments and create AP Batch	Financial business advisor
Endorse scheduled payments (AP Batch)	Manager, Service Contracts and Licensing
Approve scheduled payments (AP Batch)	Chief Financial Officer
Generate and submit payments (AP Batch)	Financial business advisor
Distribute RCTIs and payment letters	Financial business advisor



Scheduled payments: process flow



10.3.1 Initiate scheduled payments

- a) In the **Contracts** tab, select your required contract.
- b) Navigate to the **Contract Management > Managing** tab.
- c) Scroll down to the **Contract Payments** form. This form will display a list of payment records that have been created for the contract. All payment records will initially be shown in a draft status and will identify the payments.
 - The Total Paid + Scheduled Amount shown in the Contract Payments form displays total value of all transactions including Accounts Payable, Accounts Receivable, and Scheduled Payments irrespective of status.
 - The total paid field shows the total of all Accounts Payable, Accounts Receivable, and Scheduled Payments with an Approved status.
 - The Growth Payment column will show Yes for Growth Payments and blank for schedule payments or adhoc payment not related to growth.



Contract Payments

Approved Contract Value: \$ Total Paid+ Scheduled Amount: \$

Total Paid: \$

Financial Year	Quarter	Status	Total Funding (excl GST)	Adjustments	SP/AP/AR	Growth Payment	Recommended Payment	Recommended Amount/ Adhoc Amount Excl GST
2020-21		Approved	\$0.00	\$0.00	AP	Yes	\$0.00	
2020-21		Returned	\$0.00	\$0.00	AR		\$0.00	
2020-21		Returned	\$0.00	\$0.00	AP	Yes	\$0.00	
2020-21		Returned	\$0.00	\$0.00			\$0.00	
2020-21		Returned	\$0.00	\$0.00	AP	Yes	\$0.00	
2020-21		Approved	\$0.00	\$0.00	AP		\$0.00	
2020-21		Approved	\$0.00	\$0.00	AP		\$0.00	

13 items

[Initiate Ad-hoc Transaction](#)

- d) Click on a payment to view the **NFP Contract Payment / Receivable** record.
- e) Review the payment details in the **NFP Payment (Service Contracts Finance Officer View)** form.
- f) The contract manager should review all system derived figures including:
 - **Scheduled block payment:** this figure should be the same as the executed contract
 - **Growth payment based on performance:** any increases in payment for growth (family based NFP contracts only)
 - **Abatement based on performance:** any decreases in payment due to performance.
- g) Determine if any adjustments are required to the payment value proposed by the system. Include this adjustment on the blank line available. Adjustment should only be included if it has been discussed and agreed with the service provider. If adjustments are required, the contract manager should specify:
 - the adjustment amount (positive or negative)
 - the description
 - any additional notes and/or attachments to support the adjustment.
- h) Click **Save**.



NFP Payment (Service Contracts Finance Officer View)

Financial Year: 2019-20 Quarter: Q1

Quarterly Payment Value	Amount Description	Note
\$	Scheduled Block Payment (Total Funding excl GST)	
\$:	Growth Payment based on performance	
\$0.00	Abatement based on performance	
	Surplus Recovered	
	ADJUSTMENT I CAN ADD IN	
\$	Recommended Payment (excl GST)	

Attached Documents (0)

i) In the **Account Payable** field, finalise the payment details required in order to process the quarterly payment. Input the below fields:

- **Invoice ID:** maximum of 22 characters

Note: the list below are characters that cannot be used in the invoice ID field. If these characters are used the RCTI will fail to generate / \ : * < > |

- Invoice Date:
- Tax Code: tax code for the payment
- Grant ID Number: grand code if required
- Line item amount: line amount excluding GST
- Line item GST calculation: GST amount (auto populated based on Ex GST value).
- Expense account or JC account: GL or JC account code

Note: Only GL objects 75219 and 75221 will have grant codes associated with them. If the object code is not one of these two GL Object Codes, the grant code should remain blank.

- **Invoice Description:** description of payment, maximum of 30 characters.

- j) Additional lines can be created if required to split costs across multiple general ledger or job cost accounts.
- k) Contract managers should validate any coding with the financial business advisor where required.
- l) Click **Save**.

Account Payable

Vendor ID	Grant Code	Invoice ID	Invoice Date	Tax Code	Grant ID Number	Line Item Amount Excl GST	Line Item GST Calculation	GL Expense Account # / JC Account #	Invoice Description	Invoice Amount Incl GST
A008070	205	22JLX13QzBlockPymt	04-Sep-2019	720	22JLX	1		205/71198105	Quarter 1 Block funding	
Total Account Payable:						\$23,000.00	\$3,304.00			

Attached Documents (0)

m) In the **Submit Draft for Review** form, click the **Submit Draft for Review** button. The **Drafted by** and **Date Draft Submitted** fields will auto populate. CMLS will send the scheduled payment to



the financial business advisor for review, approval, batching, and submission to the Manager of Service Contracts and Licensing for endorsement. It will then flow to the Chief Financial Officer for approval of payment.

- n) Users can view the status of payments in the **Contract Payment** form within the **Contract Management > Managing** tab.

Contract Payments

Approved Contract Value: \$ 1 Total Paid+ Scheduled Amount: 0

Financial Year	Quarter	Status	Total Funding (excl GST)	Adjustments	SP/AP/AR	Recommended Payment	Recommended Amount/ Adhoc Amount Excl GST
2019-20	Q1	Draft for Review	\$		SP	\$	\$
2019-20	Q2	Draft	\$	\$0.00	SP	\$	\$
2019-20	Q3	Draft	\$	\$0.00	SP	\$	\$
2019-20	Q4	Draft	\$	\$0.00	SP	\$	\$

4 items

Initiate Ad-hoc Transaction

10.3.2 Review scheduled payments and create AP batch – financial business advisor

- a) In the **Finance** tab, under the **Quarterly Scheduled Payments** section, filter the available quarterly scheduled payments by using the **Financial Year** and **Quarter** drop down menus.
- b) Using the **Status** drop down menu, select all payments with a status of 'draft for review'.

QUARTERLY SCHEDULED PAYMENTS

Financial Year: [] Service Provider: []
 Quarter: [] Contract Number: []
 Status: [] Clear

Contract Number	Contract Title	Service Provider	Quarter	Recommended Payment (excl GST)	Status
P247C1	test		Q3		Draft
P247C1	test		Q2		Draft
P227C2	Construction Services		Q4		Draft
P225C2	Residential Services		Q4		Draft
P225C2	Residential Services		Q3		Draft
P225C2	Residential Services		Q2		Draft
P225C2	Residential Services		Q1		Draft
P251C1	NFP Family Based Care		Q4		Draft
P251C1	NFP Family Based Care		Q3		Draft
P251C1	NFP Family Based Care		Q2		Draft

376 items

- c) Scroll down to the **Batched Transactions** field and click the **Raise Batching Form** button to open the **Contract Payment or Receivable Batching** form.
- d) A **batch reference record ID** will be assigned to each batch. This will be the reference number if there is a need to locate this batch at any time. The financial business advisor should maintain a batch register to track payments and batches.
- e) Using the drop-down menu, select the **Contract Payments/Receivables** for review. Select more than one payment by clicking the tick box next to the payment.



- f) Click the **Add** button to generate a list of the payments that will be included in the payment batch. Once a payment has been added to the review list, it will be removed from the **Contract Payments/Receivables for review** dropdown menu.

The screenshot shows the 'Contract Payment or Receivable Batching Form' header with the Government of South Australia logo and 'Department for Child Protection'. Below the header is a dropdown menu labeled 'Select Contract Payment/ Receivable for Review:' and a button labeled 'Add' which is highlighted with a red rectangular box.

- g) Review the **Payment/Receivable for Review** form which will display all of the payments intended to be included in the review and approval process.
- h) Remove payment lines by clicking the **cross-box** button next to the payment line. This will move the payment back to the **Contract Payments /Receivables for review** dropdown menu.
- i) Review each payment by clicking the **View hyperlink** next to the payment. This will load the **NFP Contract Payment/Receivable** record.
- j) If required, make any adjustments to the record and click **Save**. Click the **back** button on the web browser to return to the **Contract Payment or Receivable Batching** form.
- k) Once all payments have been reviewed and modified (where necessary), the AP batch will be ready to be progressed to the Manager, Service Contracts and Licensing for endorsement.
- l) Enter any comments into the **Review Comments** field. Comments will be attached to the batch as it flows through the approval process.
- m) Click the **Submit for Endorsement** button to trigger the next stage in the workflow process. This will send an email to the Manager, Service Contracts and Licensing advising them to review and approve.

The screenshot shows the 'Payment/Receivable for Review' form. It features a table with the following columns: #, Qtr, Financial Year, Contract No., Amount Excl GST, and Reason for Return. The table contains three rows of data. Below the table is a 'Total Amount (excl GST):' field with a currency symbol and a text input box, which is highlighted with a red rectangular box. To the right of the table are checkboxes for 'Select All to Return' and 'Select to Return', each with a 'View' link and a 'cross' button. At the bottom right is a 'Submit for Endorsement' button.

#	Qtr	Financial Year	Contract No.	Amount Excl GST	Reason for Return
1		2019-20	AC123-03	\$	
2	Q4	2020-21	P115C2	\$	
3		2020-21	P115C1	\$	

10.3.3 Endorse scheduled payments – Manager, Service Contracts and Licensing

CMLS will generate an email to the Manager, Service Contracts and Licensing asking them to review payments.

This notification is to inform you to review payments related to list of payments <https://cpsvrnmbxlu/app/EFormRecord.aspx?EFormType=Contract+Payment+or+Receivable+Batching+Form&RecordID=100>

- a) Click on the **hyperlink** in the review email.
- b) Review the payments on the **Payment/Receivable for Review** form.



- c) Review each payment by clicking the **View hyperlink** next to the payment. This will load the **NFP Contract Payment/Receivable** record.
- d) Click the **back** button on the web browser to return to the **Contract Payment or Receivable Batching** form.
- e) Enter any comments into the **Review Comments** field. Comments will be attached to the batch as it flows through the approval process.
- f) Once all payment records have been reviewed and endorsed, click the **Review and Submit for Approval** button. Any payment records selected to return will be removed from the batch. All remaining records will continue in the approval workflow process to the Chief Financial Officer.

Return an individual transaction

- g) The Manager, Service Contracts and Licensing can return an individual transaction if there are errors.
 - Select the **Select to Return** tick box next to the transaction.
 - Input the reason for return into the field next to the transaction.
 - When you submit the batch, these transactions will be returned.

The screenshot shows the 'Payment/Receivable for Review' form. It features a table with columns: #, Qtr, Financial Year, Contract No., Amount Excl GST, Reason for Return, and Select to Return. Three rows are visible, each with a 'View' link and a 'Select to Return' checkbox. A 'Submit for Endorsement' button is at the bottom right. A red box highlights the 'Reason for Return' and 'Select to Return' columns.

#	Qtr	Financial Year	Contract No.	Amount Excl GST	Reason for Return	Select to Return
1		2019-20	AC123-03	\$		<input type="checkbox"/>
2	Q4	2020-21	P115C2	\$		<input checked="" type="checkbox"/>
3		2020-21	P115C1	:		<input checked="" type="checkbox"/>

Return all batch transactions

- h) To return the entire batch of transactions:
 - click the **Select All to Return** check box at the top of the form
 - the **Return Batch Reason** field and **Return Batch** button will appear
 - input a comment into the **Return Batch Reason** field
 - click the **Return Batch** button
 - the batch and transaction status will be set to 'Returned' (which is the same as draft) and comments entered in the Return Batch Reason will be reflected in each payment transaction.

The screenshot shows the 'Payment/Receivable for Review' form with the 'Select All to Return' checkbox checked. A 'Return Batch Reason' field and a 'Return Batch' button have appeared. A red box highlights the 'Return Batch Reason' field and the 'Return Batch' button.

#	Qtr	Financial Year	Contract No.	Amount Excl GST	Reason for Return	Select to Return
1		2019-20	AC123-03	\$		<input checked="" type="checkbox"/>
2	Q4	2020-21	P115C2	\$		<input checked="" type="checkbox"/>
3		2020-21	P115C1	:		<input checked="" type="checkbox"/>



10.3.4 Approve scheduled payment – Chief Financial Officer

CMLS will generate an email to the Chief Financial Officer asking them to approve the scheduled payments.

This notification is to inform you to please review and approve payments related to list of payments <https://cpsvrnmbxlu/app/EFormRecord.aspx?EFormType=Contract+Payment+or+Receivable+Batching+Form&RecordID=100>

- a) Click on the **hyperlink** in the review email.
- b) Review the payments on the **Payment/Receivable for Review** form.
- c) If required, review each payment by clicking the **View hyperlink** next to the payment. This will load the **NFP Contract Payment/Receivable** record.
- d) Click the **back** button on the web browser to return to the **Contract Payment or Receivable Batching** form.
- e) Enter any comments into the **Review Comments** field. Comments will be attached to the batch as it flows through the approval process.
- f) To reject the entire batch payment:
 - click the **Pending** hyperlink on the **Payment/Receivable for Review** form to open to **approval record**
 - type any comments into the space next to the Add button and click the **Add** button to include on the approval
 - click the **Reject** button to return the entire batch payment to the financial business advisor
 - the **Contract Payment or Receivable Batching** form will appear and the **Approval status** will show as rejected. Any payments will be updated with a status of returned.
- g) To approve the batch payment:
 - click the **Pending** hyperlink on the **Payment/Receivable for Review** form to open to **approval record**
 - type any comments into the space next to the Add button and click the **Add** button to include on the approval
 - click the **Approve** button to return the entire batch payment to the financial business advisor
 - the **Contract Payment or Receivable Batching** form will appear and the **Approval status** will show as approved.

10.3.5 Generate and submit accounts payable batch (financial business advisor)

CMLS will create the **Account Payable Payment file** overnight, after the payments have been approved by the Chief Financial Officer. The financial business advisor is then responsible for downloading the **Account Payable Payment file** and submitting to Shared Services SA for processing.

- a) From the home screen of CMLS, click on the **EForms** button at the top of the page.
- b) Click on the **Accounts Payable Batch** report hyperlink.



- c) Click on the **Date Last Updated** column to sort the batches by newest to oldest.
- d) Click the **View hyperlink** (first column) to open the **Accounts Payable Batch** record.

Drag a column header and drop it here to group by that column								
View	Tag	Rec...	LineN...	Description	Assignee	Priority	Status	DateLastUpdated
View		24	1			0-Unassigned	Start	06-Nov-2019
View		23	1			0-Unassigned	Start	13-Sep-2019

- e) Click on the **download** arrow to download the **Account Payable Payment** file (excel document).
- f) To download the RCTIs:
- double click on the RCTI folder icon
 - click the download arrow next to each file to download.
- g) Review the **Account Payable Payment** file against the batch file and the RCTIs generated to ensure that details reconcile.
- h) Review the following details on the **Account Payable Payment** file:
- voucher number / count
 - \$ amount has only 2 decimal points (otherwise Shared Services SA will not process)
 - tax codes are accurate
 - total amount matches what has been approved (reconcile to any briefings created).
- i) For audit purposes, the **Account Payable Payment** file must be signed and filed. CMLS will record a complete audit trail of who prepared and reviewed, endorsed, and approved the batch.
- j) Email the **Account Payable Payment** file to Shared Services SA as per the email below:

'Dear Shared Services

Please find attached ## feed files for DCP FY ##/## Qtr. # Payments.

Batch: ##

Number of vouchers: ##

Total amount: ## (inclusive of GST)

Could these please be loaded to *(include payment run date)*'

10.3.6 Distribute RCTIs and payment letters – financial business advisor

The final step of the Scheduled Payment process is to send the RCTIs and Payment Letters to the contract managers.

RCTIs are generated by CMLS for all account payable transactions.

Payment letters are generated by the financial business advisor outside of CMLS for adjusted payments only.



The RCTIs and payment letters are sent to both the DCP and service provider contract manager for review and distribution as required.

Refer to [Production and Management of RCTIs](#).

10.4 Ad-hoc transactions

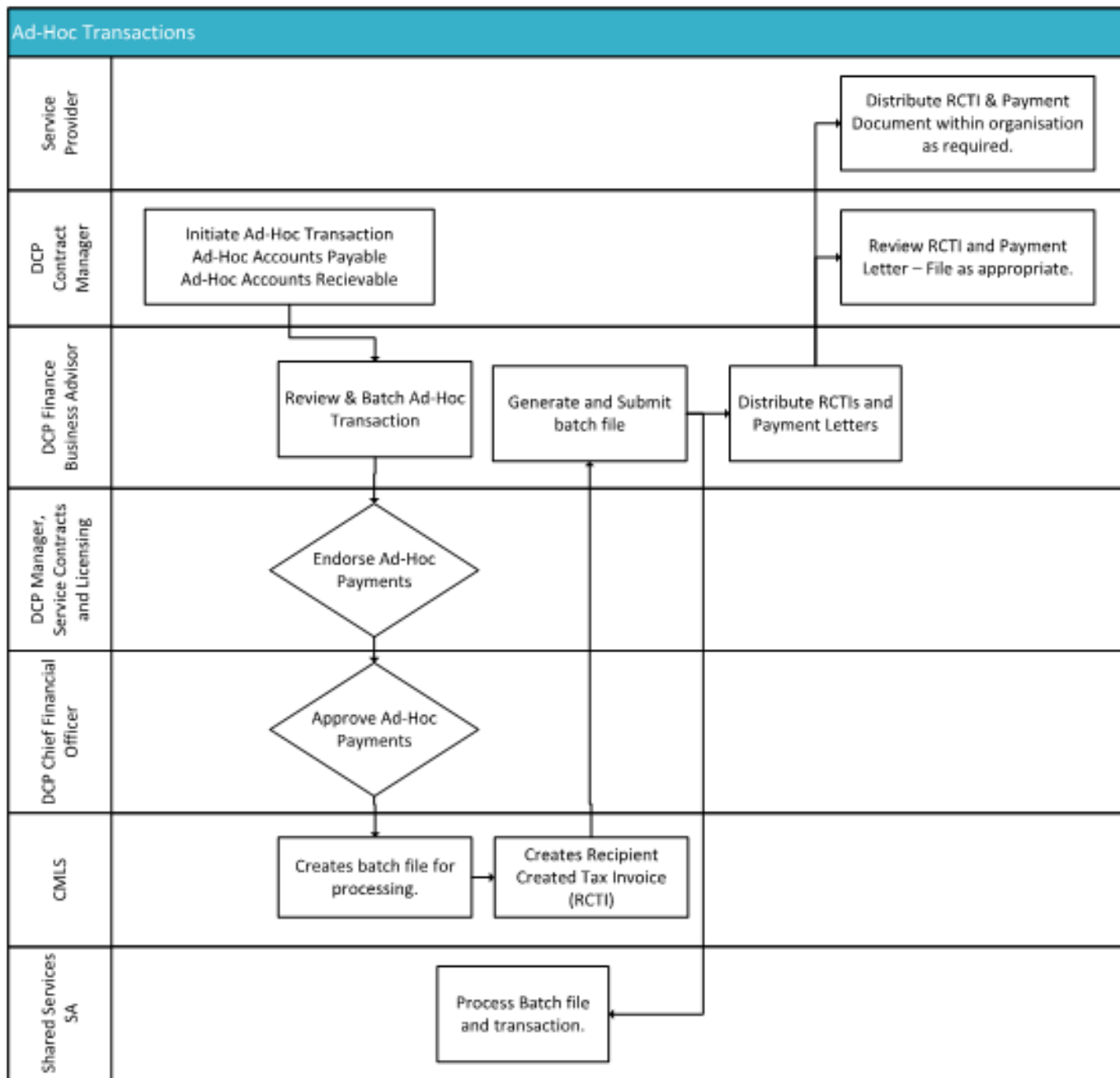
Ad-hoc transactions may be either Accounts Payable (AP) or Accounts Receivable (AR) and are created as required within CMLS. Ad-hoc transactions are not typically reflected in the contract documentation, but are used to make adjustment transactions to support matters such as:

- family based growth payments
- adjustment payments/receivables to support performance management outcomes
- out of cycle payments (quarterly cycles) where required.

Process Step	Responsible
10.4.1 Initiate ad-hoc transaction	Contract manager
10.4.2 Ad-hoc accounts payable transaction	Contract manager
10.4.3 Ad-hoc accounts receivable transaction	Contract manager
10.4.4 Review ad-hoc transaction	Financial business advisor
10.4.5 Endorse ad-hoc transaction	Manager, Service Contracts and Licensing
10.4.6 Approve ad-hoc transaction	Chief Financial Officer
10.4.7 Generate and submit batch file	Financial business advisor
10.4.8 Distribute RCTIs and payment letters	Financial business advisor



Ad-hoc transaction: process flow



10.4.1 Initiate ad-hoc transaction

The contract manager is responsible for initiating an ad-hoc transaction from the financial business advisor.

- a) From the **Finance** tab, navigate to the **Out of Cycle Financial Processes** section.
- b) Click the Initiate **Ad-hoc Transaction** button. CMLS will open a **NFP Contract Payment/Receivable** record.
- c) Select the relevant contract number by typing the contract number into the **Contract Number** field, or using the drop-down menu.



- d) Once a contract has been selected, the contract details will be displayed.
- e) Click on the **Link to Contract** button to connect the ad-hoc transaction record to the relevant contract.
- f) Select the appropriate transaction using the **Account Payable/Receivable** drop down menu. This selection will open the appropriate transaction blocks.
- g) If you have selected Account Payable, a **Growth Payment** tick box will appear. Check this box if the ad-hoc payment relates to a growth payment.

10.4.2 Ad-Hoc Accounts Payable Transactions

- a) Select Accounts Payable using the **Account Payable/Receivable** drop-down menu.
- b) In the **Account Payable** form, enter information into the below fields:
 - **Invoice ID:** 22 characters max

Note: the list below are characters that cannot be used in the invoice ID field. If these characters are used the RCTI will fail to generate / \ : * < > |

- **Invoice Date**
- **Tax Code**
- **Grand Code**
- **Grant ID Number:** auto generates the contract number
- **Invoice Description:** 30 characters max
- **Line item amount:** (auto populated based on Ex GST value)
- **Expense account or JC account:** GL or JC account code

Note: Only GL objects 75219 and 75221 will have grant codes associated with them. If the object code is not one of these two GL Object Codes, the grant code should remain blank.

- additional lines can be created if required to split the costs across multiple general ledger or job cost accounts.
- c) Attach necessary documentation to support ad-hoc payment by clicking the **Attached Documents** button.
 - d) Click **Save**.
 - e) In the **Submit Draft for Review** form, click the Submit Draft for Review button to submit the ad-hoc transaction for batching. This will record the creator's name and date of submission against the payment record and change the payment record status from Draft to Draft for Review.

10.4.3 Ad-hoc Accounts Receivable transactions

- a) Select Accounts Payable using the **Account Payable/Receivable** drop down menu.
- b) In the **Account Receivable** form, enter information into the below fields:



Field	Description	Mandatory/Optional
Customer ID	ID from Masterpiece, select from the dropdown menu	Mandatory
Transaction Type	1 – Invoice, 2 – Debit Memo, 3 – Credit Memo	Mandatory
Apply to Invoice only	Only relevant for transaction type 2 or 3	Mandatory (for type 2 and 3)
Reason field	Only relevant for transaction type 2 or 3	Mandatory (for type 2 and 3)
Invoice Date	Date of invoice	Mandatory
Invoice Amount	Excluding GST	Mandatory
Attention field	Maximum of 30 characters	Mandatory
Tax code 1	Select from dropdown menu	Mandatory
Tax code 2	Select from dropdown menu	Optional
Tax code 3	Select from dropdown menu	Optional
Tax code 4	Select from dropdown menu	Optional

- c) In the **Invoice Detail Lines** form, specific the accounts receivable invoice line details including the following fields:

Field	Description	Mandatory/Optional
Line description	Maximum of 20 characters	Mandatory
Quantity		Mandatory
Price	Excluding GST	Mandatory
Tax Code	Select from dropdown menu	Mandatory
Additional line description	Maximum of 20 characters	Optional
Project	Entered project if GL account is not entered	Optional
Tax	Enter tax if Revenue GL account is not entered	Optional
Cost code	Enter if Revenue GL account is not entered	Optional
Uploaded	Select Yes if additional line text is recorded. Select No if additional line text not recorded.	Mandatory
Additional line text	Maximum of 30 Characters	Mandatory if Uploaded = Yes Not required if Uploaded = No



- d) Additional lines can be created if required to split the revenue across multiple general ledger or job cost accounts.
- e) Click **Save**.
- f) In the **Submit Draft for Review** form, click the **Submit Draft for Review** button to submit the ad-hoc transaction for batching. This will record the creators name and date of submission against the payment record and change the payment record status from Draft to Draft for Review.

10.4.4 Ad-hoc transaction batching and review – financial business advisor

- a) In the **Finance** tab, under the **Out of Cycle Financial Processes** section, filter the available quarterly scheduled payments by using the **Service Provider** or **Contract Number**.
- b) Using the **Status** drop down menu, select all payments with a status of 'draft for review'.
- c) All ad-hoc transactions that meet the filtered criteria will be available for processing through the review and approval process.
- d) Scroll down to the **Batched Transactions** field and click the **Raise Batching Form** button to open the **Contract Payment or Receivable Batching** form.
- e) A **batch reference record ID** will be assigned to each batch. This will be the reference number if there is a need to locate this batch at any time. The financial business advisor should maintain a batch register to track payments and batches.
- f) Using the drop-down menu, select the relevant ad-hoc transactions via the **Contract Payments/Receivables** for review. Select more than one payment by clicking the tick box next to the payment.
- g) Click the **Add** Button to generate a list of the payments that will be included in the payment batch. Once a payment has been added to the review list, it will be removed from the drop-down menu.

The screenshot shows the 'Contract Payment or Receivable Batching Form' interface. At the top left is the Government of South Australia logo and name. The title bar reads 'Contract Payment or Receivable Batching Form' with a '# NEW' button on the right. Below the title bar is a dropdown menu labeled 'Select Contract Payment/ Receivable for Review:' and an 'Add' button, which is highlighted with a red box.

- h) Review the **Payment/Receivable for Review** form which will display all of the payments intended to be included in the review and approval process.
- i) Remove payment lines by clicking the **cross-box** button next to the payment line. This will move the payment back to the **Contract Payments/Receivables for Review** dropdown menu.
- j) Review each payment by clicking the **View hyperlink** next to the payment. This will load the **NFP Contract Payment/Receivable** record.
- k) If required, make any adjustments to the record and click **Save**. Click the **back** button on the web browser to return to the **Contract Payment or Receivable Batching** form.



- l) Once all payments have been reviewed and modified (where necessary), the AP batch will be ready to be progressed to the Manager, Service Contracts and Licensing for endorsement.
- m) Enter any comments into the **Review Comments** field. Comments will be attached to the batch as it flows through the approval process.
- n) Click the **Submit for Endorsement** button to trigger the next stage in the workflow process. This will send an email to the Manager, Service Contracts and Licensing advising them to review and approve.

Payment/Receivable for Review					
#	Qtr	Financial Year	Contract No.	Amount Excl GST	Reason for Return
1		2019-20	AC123-03		
2	Q4	2020-21	P115C2		
3		2020-21	P115C1		

Total Amount (excl GST):

Submit for Endorsement

10.4.5 Endorse ad-hoc transactions – Manager, Service Contracts and Licensing

CMLS will generate an email to the Manager, Service Contracts and Licensing asking them to review payments.

This notification is to inform you to review payments related to list of payments <https://cpsvrnmbxlu/app/EFormRecord.aspx?EFormType=Contract+Payment+or+Receivable+Batching+Form&RecordID=100>

- a) Click on the **hyperlink** in the review email.
- b) Review the payments on the **Payment/Receivable for Review** form.
- c) Review each payment by clicking the **View hyperlink** next to the payment. This will load the **NFP Contract Payment/Receivable** record.
- d) Click the **back button** on the web browser to return to the **Contract Payment or Receivable Batching** form.
- e) If there are any payments that require further amendment, click the **cross-box** button next to that payment line and provide a reason for return. All payment records returned will be given a status of 'returned'.
- f) Enter any comments into the **Review Comments** field. Comments will be attached to the batch as it flows through the approval process.
- g) Once all payment records have been reviewed and endorsed, click the **Review and Submit for Approval** button. Any payment records selected to return will be removed from the batch. All remaining records will continue to progress in the approval workflow process to the Chief Financial Officer.



Return an individual transaction

- h) The Manager, Service Contracts and Licensing can return an individual transaction if there are errors.
- Select the **Select to Return** tick box next to the transaction
 - Input the reason for return into the field next to the transaction
 - When you submit the batch, these transactions will be returned.

#	Qtr	Financial Year	Contract No.	Amount Excl GST	Reason for Return	Select to Return	View	x
1		2019-20	AC123-03			<input checked="" type="checkbox"/>	View	x
2	Q4	2020-21	P115C2	:		<input checked="" type="checkbox"/>	View	x
3		2020-21	P115C1	:		<input checked="" type="checkbox"/>	View	x

Total Amount (excl GST):

Submit for Endorsement

Return all batch transactions

- i) To return the entire batch of transactions:
- click the **Select All to Return** check box at the top of the form
 - the **Return Batch reason** field and **Return Batch** button will appear
 - input a comment into the **Return Batch Reason** field
 - click the **Return Batch** button
 - the batch and transaction status will be set to 'Returned' (which is the same as draft) and comments entered in the Return Batch Reason will be reflected in each payment transaction.

#	Qtr	Financial Year	Contract No.	Amount Excl GST	Reason for Return	Select to Return	View	x
1		2019-20	AC123-03			<input checked="" type="checkbox"/>	View	x
2	Q4	2020-21	P115C2	:		<input checked="" type="checkbox"/>	View	x
3		2020-21	P115C1	:		<input checked="" type="checkbox"/>	View	x

Total Amount (excl GST):

Return Batch Reason:

Return Batch

Submit for Endorsement

10.4.6 Approve ad-hoc transaction – Chief Financial Officer

CMLS will generate an email to the Chief Financial Officer asking them to approve the ad-hoc payments.

This notification is to inform you to please review and approve payments related to list of payments <https://cpsvrnmbxlu/app/EFormRecord.aspx?EFormType=Contract+Payment+or+Receivable+Batching+Form&RecordID=100>

- a) Click on the **hyperlink** in the review email.
- b) Review the payments on the **Payment/Receivable for Review** form.



- c) If required, review each payment by clicking the **View hyperlink** next to the payment. This will load the **NFP Contract Payment/Receivable** record.
- d) Click the **back** button on the web browser to return to the **Contract Payment or Receivable Batching** Form.
- e) Enter any comments into the **Review Comments** field. Comments will be attached to the batch as it flows through the approval process.
- f) To reject the entire batch payment:
 - click the **Pending hyperlink** on the **Payment/Receivable for Review** form to open the **Approval** record
 - type any comments into the space next to the **Add** button and click the **Add** button to include on the approval
 - click the **Reject** button to return the entire batch payment to the financial business advisor
 - the **Contract Payment or Receivable Batching** form will appear and the **Approval** status will show as rejected. All payment records within this batch will be assigned a returned status.
- g) To approve the batch payment:
 - click the Pending hyperlink on the **Payment/Receivable for Review** form to open the **Approval** record
 - type any comments into the space next to the **Add** button and click the **Add** button to include on the approval
 - click the **Approve** button to return the entire batch payment to the financial business advisor
 - the **Contract Payment or Receivable Batching** form will appear and the **Approval status** will show as approved.

10.4.7 Generate and submit batch file (financial business advisor)

CMLS will create the **Account Payable/Receivable Payment** file overnight, after the batch has been approved by the Chief Financial Officer. The financial business advisor is then responsible for downloading the **Account Payable/Receivable Payment** file and submitting to Shared Services SA for processing.

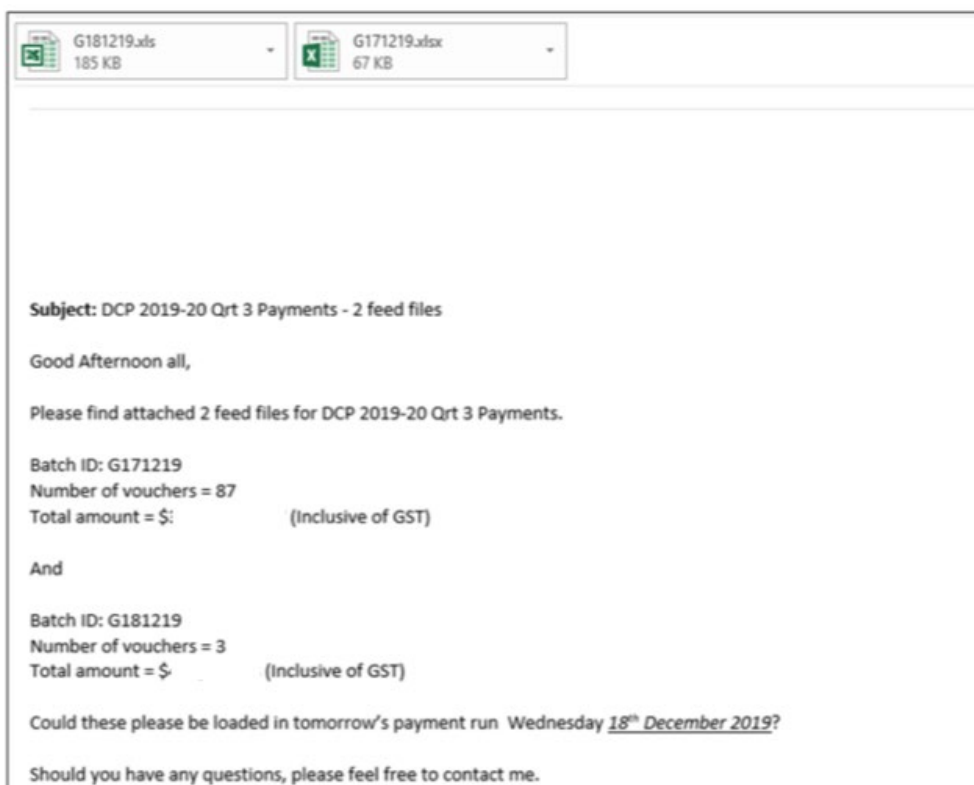
- a) From the home screen of CMLS, click on the **EForms** button at the top of the page.
- b) Click on the **Accounts Payable/Receivable Batch** report hyperlink.
- c) Click on the **DateLastUpdated** column to sort the batches by newest to oldest.
- d) Click the **View hyperlink** (first column) to open the **Accounts Payable/Receivable Batch** record.

Drag a column header and drop it here to group by that column

View	Tag	Rec... ▼	LineN... ▼	Description	Assignee ▼	Priority ▼	Status ▼	DateLastUpdated ▼
View	<input type="checkbox"/>	24	1			0-Unassigned	Start	06-Nov-2019
View	<input type="checkbox"/>	23	1			0-Unassigned	Start	13-Sep-2019



- e) Click on the **download arrow** to download the **Account Payable/Receivable Payment** file.
- f) To download the RCTIs (for AP batches only):
 - double click on the RCTI folder icon
 - click the download arrow next to each file to download.
- g) Review the **Account Payable/Receivable Payment file** against the system batch and the RCTIs (AP only) generated to ensure that details reconcile.
- h) Review the following details on the **Account Payable Payment file**:
 - voucher invoice number / count
 - \$ amount has only 2 decimal points (otherwise Shared Services SA will not process)
 - tax codes are accurate
 - total amount matches what has been approved (reconcile to any briefings created).
- i) Review the following details on the Account Receivable file:
 - relevant invoice header
 - invoice line details are reflected correctly.
- j) For audit purposes, the **Account Payable/Receivable Payment file** must be signed and filed. CMLS will record a complete audit trail of who prepared and reviewed, endorsed, and approved the batch.
- k) AR files will need to be sent to DCPSSARRequests@sa.gov.au for processing.
- l) AP files will need to be sent to SharedServicesSA.APPayments@sharedservices.sa.gov.au for processing. The below email is an Accounts Payable example.





10.4.8 Distribute RCTIs and payment letters – financial business advisor (AP batches)

The final step of the ad-hoc Accounts Payable payment process is to send the RCTIs and payment letters to the contract managers.

RCTIs are generated by CMLS for all account payable transactions.

Payment letters are generated by the financial business advisor outside of CMLS.

The RCTIs and payment letters are sent to both the DCP and service provider contract manager for review and distribution as required.

Refer to [Production and Management of RCTIs](#).

10.5 Financial coding

Summary: Financial management coding of contracts and contract payments is critical to ensuring that financial transactions associated with DCP contracts are posted to the correct general ledger or job cost codes within DCP's financial management system. This is critical to DCP having a robust budget and financial management system.

This process sets out the key areas where the capturing of financial management coding is undertaken and provides guidance on how to manage this within the Contract Management and Licensing System (CMLS).

Frequency: Financial coding of contracts is undertaken at two distinct stages when managing contracts.

1. When setting up the contract details (at the commencement of the contract).
2. When contract payments are made.

Note: In all cases, procurement officers and contract managers should liaise with the financial business advisor to ensure that the correct JC or GL codes are used.

Note: Only GL objects 75219 and 75221 will have grant codes associated with them. If the object code is not one of these two GL Object Codes, the grant code should remain blank.

Process Step	Responsible
10.6.1 Establish Financial Coding at Contract Set-up	Procurement officer
10.6.2 Reviewing Financial Coding	Contract manager

10.5.1 Establishing Financial Coding at Contract Set-up – procurement officers

- a) During contract set-up, critical contract information is captured including the relevant financial coding that any transactions associated with the contract should be assigned to. More information can be found in the Procurement Manual - Section 6 Contract Formation
- b) Financial coding is recorded in the Contract Account Details form of Contract Set-up.
- c) The Contract Account Details provide the ability to record either a JC Account String or a GL Account String against a contract, but not both.



- d) JC and GL account components are pre-loaded into CMLS and are selected via drop down list options.
- e) GL account strings are validated to ensure the combination of codes selected will be accepted by the DCP financial management system. Only GL objects 75219 and 75221 will have grant codes associated with them. If the object code is not one of these two GL Object Codes, the grant code should remain blank.
- f) Additional lines can be added in the case of split costs.

10.5.2 Reviewing financial coding – contract manager

CMLS generates two primary types of contract financial transactions:

1. scheduled payments: associated with system generated draft payment records that are awaiting processing. Refer to process [10.3 Scheduled payments](#)
2. ad-hoc payments or receivables: associated with user created payment or receivable records generated as required. Refer to process [10.4 Ad-hoc transactions](#).
 - a) In each financial transaction, there is an opportunity to review and amend any contract level coding with individual payment/receivable level transaction coding.
 - b) The GL or JC account string can be updated by entering the string into the highlighted field.

For AP Transactions Note: Only GL objects 75219 and 75221 will have grant codes associated with them. If the object code is not one of these two GL Object Codes, the grant code should remain blank.

- c) Contract managers should take this opportunity to review the contract coding and ensure it is correct by liaising with the financial business advisor.

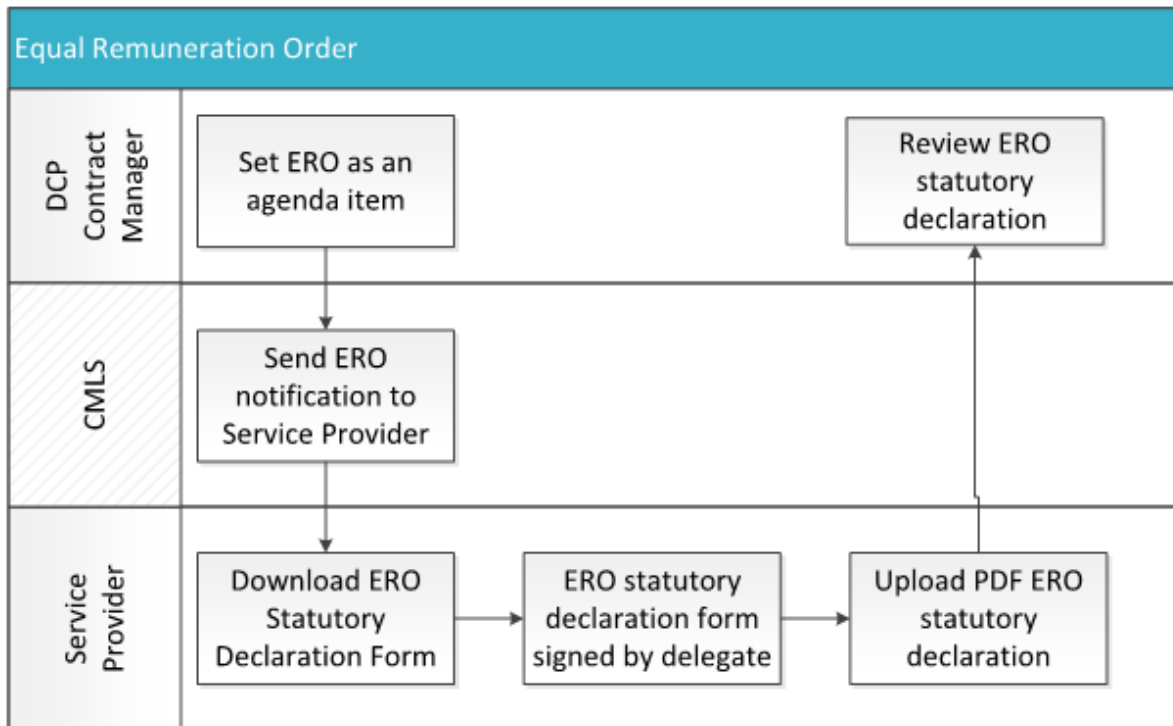
10.6 Equal remuneration order

Summary: Service providers are required to provide DCP with a statutory declaration certifying that the Equal Remuneration Order (ERO) supplementation funding received has been used for the sole purpose of paying higher wages awarded because of the ERO.

The contract manager must ensure the service provider has provided its Statutory Declaration within 6 months of the end of the financial year (31 December).

Frequency: The contract manager is to raise ERO as an operational meeting agenda item to advise the service provider that they will need to access the CMLS, complete the declaration form and attach a copy of the signed ERO form to the CMLS. The contract manager is to confirm that the statutory declaration has been received and is correct.

Process Step	Responsible
10.6.1 ERO Statutory Declaration	Service provider
10.6.2 Review ERO Statutory Declaration	Contract manager



10.6.1 ERO statutory declaration

- a) Contract manager may set up ERO as an agenda item in the Quarter 1 operational meeting to discuss ERO declaration requirements. Please review process outlined in the Contract Management Manual Part 7: [Contract management meetings](#) for more information.
- b) Service provider is required to log on to the Service Provider Portal of CMLS and complete the ERO Statutory Declaration process as below. Service providers should be referred to the CMLS training website for further training materials.
 - In the **CMLS Service Provider** portal, open the **Contract** tab.
 - Choose a contract and click on the hyperlink to open that contract.
 - Scroll to down to the **ERO statutory declaration** form.
 - Click the **Generate ERO Statutory Declaration** button and download the ERO Statutory Declaration document.
 - Edit the declaration if required and have the authorised delegate sign the declaration.
 - Save the Declaration as a PDF.
- c) Service provider is then required to upload the signed PDF document into CMLS.
 - Navigate back to the **ERO statutory declaration** form.
 - Click the **Attached ERO Statutory Declaration** button.
 - Click the **green plus** upload button.
 - Choose the PDF declaration and click **Open**.
 - Click **Close**.
- d) Click the **Notify Contract Managers** button. CMLS will then send an email notification to the DCP contract manager advising them of the upload.



10.6.2 Review ERO statutory declaration

Upon receiving the ERO email notification, contract manager is to review the signed statutory declaration and ensure it is correct.

- a) Click on the **hyperlink** in the email notification.
- b) Navigate to the **Contract Management > Managing** tab and scroll down to the ERO Statutory Declaration form.
- c) Click on the **orange down arrow** button to download the ERO statutory declaration document.
- d) Open the downloaded file and confirm the statutory declaration is completed and signed correctly.

10.7 Work orders

Goods and Services Panels allow the contract managers to create work orders against a contract.

10.7.1 CMLS functionality

The below table outlines what CMLS function occurs at either the Contract or Work Order level.

Function	Work Level
Contract Performance Management	Contract level
Contract Issue Management	Contract level
Contract Meetings	Contract level
Contract Variations	Contract level (Full variation) Work order level (attachment only)
Contract Extensions	Contract level
Contract Financials (payments)	Contract level Work order level

10.7.2 Creating a work order

- a) In the **Contract Management > Managing** tab, scroll down to the **Work Order** form.
- b) Click **Raise Work Order** button.



- c) This will create a **Work Order** record.
- d) Scroll down to the **Work Order** form and complete the following fields:
- **Work Order Status:** should stay as draft until the work order form has been completed
 - **Commencement Date:** the start date of the placement
 - **Work Order Description:** enter the unique work order identifier
 - **Facility Address:** the placement address
 - **End date:** the planned placement end date
 - **Approver:** free text field, enter the position that approved the placement (for examples Executive Director, OOHC)
 - click on the **Attached Documents** button and upload a copy of the executed agreement.
- e) Once the executed agreement is attached, change the **work order status** to open.
- f) Move to the **Work Order Items** form.
- Multiple Item lines and values can be input by clicking the **Green Plus** button.
 - Ensure the **Work Order Total Value** is correct.
 - Click the **Save** button.
- g) Move to the Purchase order details.
- Input the Purchase Order details if known.
 - Please see Contract Management Manual Part 11: [Contract related purchase orders](#) for more information on creating purchase orders.

10.8 Review and validation of financials with financial business advisors (FBAs)

Scope: Any financial changes outside of existing funding arrangements need to go through this process.

Consideration: To ensure that the right logic and considerations inform how costings are calculated, it is important that the financial business advisors (FBAs) are included in this process. FBAs will also ensure that financial outcomes are updated into the financial contract register, ensuring that all financial components are tracked, validated, and captured to ensure accurate audit trails and forecasting.

10.8.1 Collating information and details

The contract manager collates all the details required and books a meeting time with an FBA.



Note: During payment cycles, FBAs ability is limited (refer to quarterly performance review schedule).

Information required:

- purpose: a new contract or variation
- provider
- program / service type
- GL Code – source from FBA
- contracted capacity
- new contract ID
- previous contract ID
- proposed terms
- contract start date
- contract base term expiry date
- contract full term contract (including extensions)
- existing contract – current payment tables
- quote and any other information in determining cost elements
- family based – placement details (number) including relevant loadings.

10.8.2 FBA works through costing template with contract manager

- a) Three individual costing templates that the FBA may use, dependent on the service and contract type:
 - non-family based service NFP agreements – Outer Years template
 - non-family based service G&S Agreement – modified version of Outer Years (does not include funding tables)
 - family based care NFP Agreement (aligned to the example calculator and includes all FBC Agreements, so we can understand all funding and at an individual level, takes into account unit pricing and loadings).
- b) FBA works through populating the template in the meeting with the contract manager.
- c) Some manual adjustments may be required to the template, some considerations that inform amendments to template include:
 - when does it start and how does this impact the funding tables (for example, clean financial year start date or midway through)
 - one-off funding – where are these included in the term of the contract (for example, upfront establishment costs, NDIS reductions, additional funding in 1st year as a result of care or service model amendments – active to passive shifts, step down models)
 - history of the contract and funding table to ensure that Procurement have the whole of contract value
 - ERO adjustments
 - rate adjustments and indexations come out of the system / need to ensure using the right rates.
- d) Once the costing template is finalised by the FBA, the outcome is considered the final result. Any amendments can only be made by the FBA and if adjustments are required the contract manager must go back to the FBA to make these changes, review, and validate costing changes.



10.8.3 FBA updates the Contract Financial Management System

Contract Financial Management System managed by the FBAs which provides the mechanism to validate financials, track payments, and undertake forecast modelling.

10.8.4 Contract manager actions costing outcomes

- a) The FBA will provide a copy of the costing template to the contract manager.
- b) If a financial briefing has not yet been submitted / approved (for example, approved up to an estimate amount), use the information contained in the costing template to populate the relevant sections of the [Financial Briefing](#).
- c) The contract manager is to provide the extract to Procurement to use in contract funding table and variation process.

10.9 Production and Management of RCTIs

Scope: Any accounts payable transaction generated by CMLS must be supported by a Recipient Created Tax invoice (RCTI). This applies to both scheduled and ad-hoc payments.

Consideration: CMLS produces a RCTI for each transaction (payment line) associated with each accounts-payable record. This chapter sets out how those RCTIs are created and managed in order to distribute to Service Providers by the Finance Business Advisors.

10.9.1 RCTI created with payment records

Each CMLS payment record will create a word version of the RCTI as part of the batch process undertaken for any approved payment.

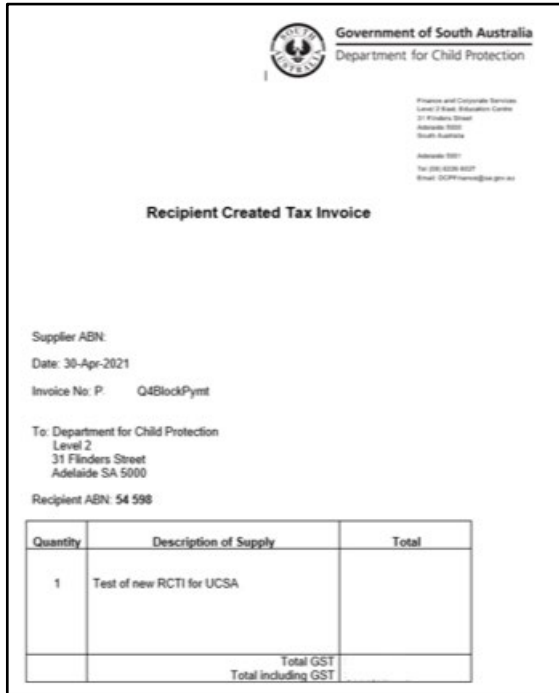
The word version can be accessed via the approved payment record and can be modified (if required) by the financial business advisor prior to issuing.

The word version will appear in the RCTI block at the bottom of the payment record as reflected below.



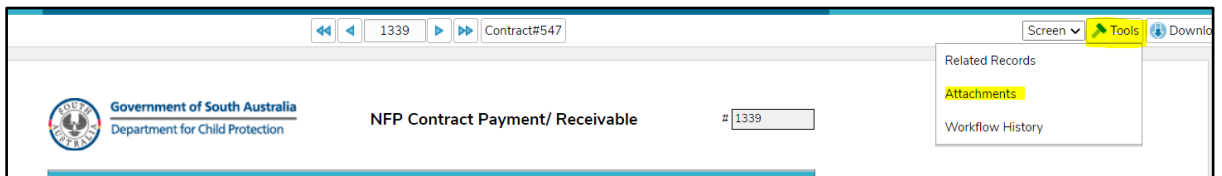


All RCTIs appear in the following standard format with an invoice being produced for each unique transaction line as each line has a unique invoice number.

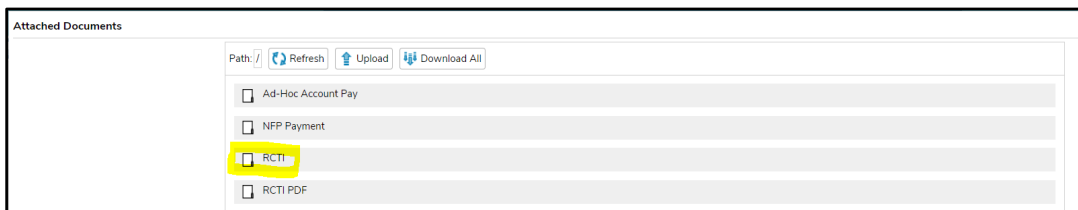


10.9.2 Modifying the word version of the RCTI

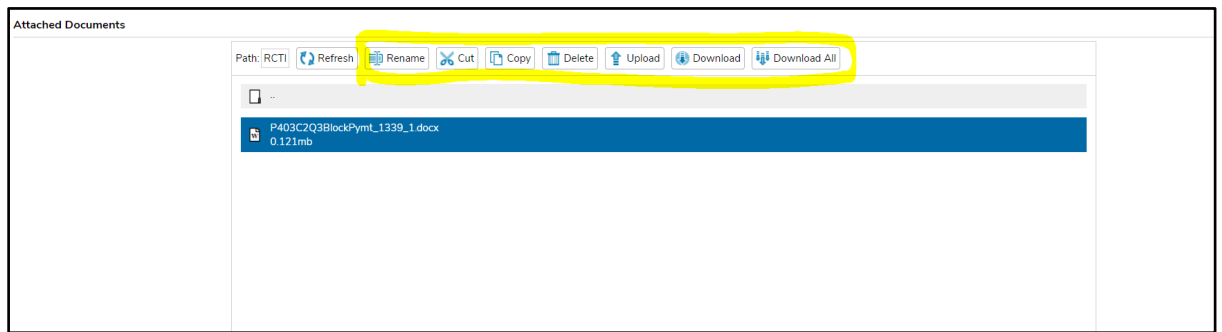
- If there is a need to modify the word version of the RCTI prior to issuing to the service provider the financial business advisor should undertake the following action.
- Identify the payment record that has the RCTI that require modification and open that payment record.
- Locate and click on the **Tools** button on the toolbar and select **Attachments**.



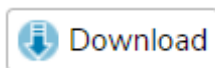
- Select the **RCTI** Folder.



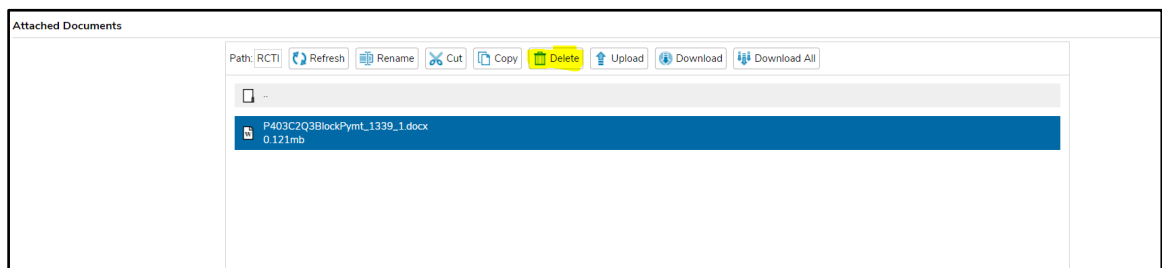
- Select the relevant word document in the folder (noting that there will be a RCTI created for each line associated with a payment record). Selecting the word document will provide a range of options at the top of the screen.



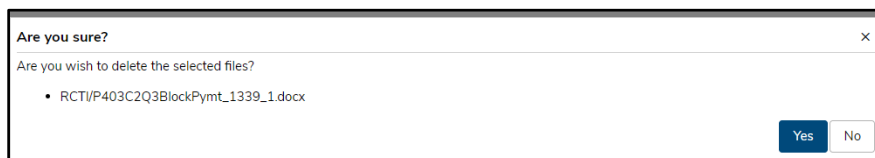
- f) First download the document using the **download** button.



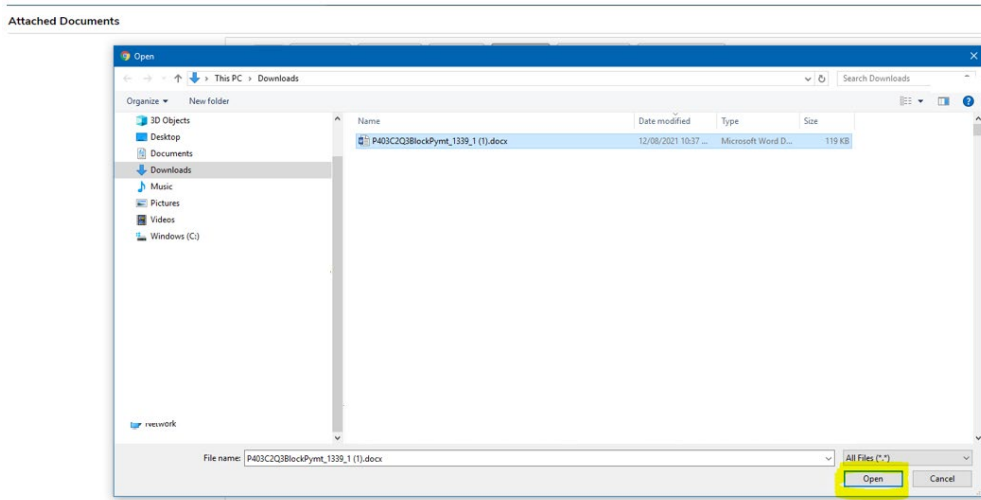
- g) Make the necessary modifications that are required to the RCTI word document (Please note: that values displayed on RCTIs must never be modified in this manner and should be corrected via amending the underlying payment transaction in the system and regenerating the RCTI through the standard approval process).
- h) Save the updated document (with same file name) in a location where you can later locate this document.
- i) Remove the existing RCTI from the payment record by highlighting the document in the RCTI folder and pressing on the **Delete** button.



- j) As this action will remove the document from the payment record (and the system) you will be prompted with the following question:



- k) Press **Yes** to delete the document.
- l) You will receive notification that the document has been successfully deleted and the RCTI folder will no longer show the document that was deleted.
- m) To attach the updated word RCTI click on the **Upload** button.
- n) This will open a file search window where you can navigate to the location where you saved the updated file in step (g). Select the file and press the **open** button.



- o) This will attach the updated file to the payment record and it will appear in the window. Once this is validated close the window.
- p) The updated word version of the RCTI will now be visible to all contract managers at the bottom of the payment record.

10.9.3 Managing the distribution of RCTIs to service provider

- a) On the **Finance dashboard** the Finance Business Advisor can access the **SEND PDF RCTIs** form. This will reflect all approved payments.

SEND PDF RCTIs							
Select Contract Payment/ Receivables:							Send PDF RCTI
Contract Number	Contract Title	Service Provider	Invoice Number	Primary Service Provider Contract Manager	Account Payable Status	RCTI Generated	Date PDF Issued
	Family Based Care - Training		test of adhoc and RCTI	Arthur Fonzarelli	Approved	Yes	
	Test of N5 v N6		test of AP ad-hoc		Approved	Yes	
	Test of N5 v N6		P384C1Q3BlockPymt		Approved	Yes	
	Test of N5 v N6		P384C1Q4BlockPymt		Approved	Yes	
	2 clean NFP contracts for Indexation testing		P383C1Q4BlockPymt	Peter Evans	Approved	Yes	
	2 clean NFP contracts for Indexation testing		P383C2Q2BlockPymt		Approved	Yes	
	2 clean NFP contracts for Indexation testing		P383C2Q3BlockPymt		Approved	Yes	

- b) The financial business advisor can select the transactions that they wish to issue the PDF versions of the RCTI by using the **drop-down window**. This will identify all accounts payable transactions that meet the following criteria:
 - transaction has an approved status
 - the transaction has an RCTI attached to the payment record
 - the RCTI has not already been issued.



The screenshot shows the 'SEND PDF RCTIs' interface. At the top, there is a dropdown menu for 'Select Contract Payment/ Receivables' and a 'Send PDF RCTI' button. Below this is a table with columns for 'Contract Number', 'Contract Title', and 'Invoice Number'. A search bar is positioned above the table with 'Select All' and 'Clear' buttons. The table lists several items, including 'Family Based Care - Training' and 'Test of N5 v N6'. To the right of the table is another table with columns for 'RCTI Generated' and 'Date PDF Issued', showing 'Yes' for 'RCTI Generated' and blank for 'Date PDF Issued'. A 'Next' button is at the bottom right.

Transactions can be selected individually or all can be selected.

- c) Once the transactions are selected the financial business advisor can press the **Send PDF RCTIs** button to schedule the job to issue the PDF RCTIs.

The screenshot shows the 'SEND PDF RCTIs' interface after a transaction has been processed. The 'Send PDF RCTI' button is highlighted in yellow. The table below has columns: 'Contract Number', 'Contract Title', 'Service Provider', 'Invoice Number', 'Primary Service Provider Contract Manager', 'Account Payable Status', 'RCTI Generated', and 'Date PDF Issued'. The data row shows 'Family Based Care - Training', 'test of adhoc and RCTI', 'Arthur Fonzarelli', 'Approved', 'Yes', and a blank 'Date PDF Issued'.

- d) After the scheduled job has run the table will be updated to reflect the date that the PDF RCTI was issued and who the RCTI was issued to. The transaction will also no longer be reflected in the drop-down list.

10.9.4 Re-sending a PDF RCTI

- a) If there is a need to re-issue a PDF RCTI the financial business advisor can do so by scrolling to the far right of the **Send PDF RCTIs** table.
- b) A button will also show at the far right of the table for all transactions – this button will display **Send PDF RCTI** for those payments where the PDF has not yet been sent and **Resend** for those that have been sent.

The screenshot shows the 'SEND PDF RCTIs' interface with a table that includes a 'Select' column. The table has columns: 'Contract Title', 'Service Provider', 'Invoice Number', 'Primary Service Provider Contract Manager', 'Account Payable Status', 'RCTI Generated', 'Date PDF Issued', and 'Select'. The data row shows 'Residential Services', 'Generalist and Specialist Family Based Care Services 2019', 'AC159-01Q1BlockPymt', 'Rohan Feegrade', 'Approved', 'Yes', '17-Jun-2021', and a 'Resend' button.

- c) If the finance officer needs to resend the RCTI for any reason they can use the **Resend** button to do so. This will resend the RCTI to the current primary service provider contract manager and will update the **Primary Service Provider Contract Manager** name (if different to the name previously listed) and update the **Date PDF issued** to the date matching the date the resend button was pressed.



11. Contract related purchase orders

Summary: This user guide sets out the Purchase Order (PO) creation and modification process which supports the DCP [Contract management framework 4.2 Step 2 - Contract administration and performance management](#). Initially, this process will only be applied to 'Fee for Service' OOHC contracts managed by the Department for Child Protection's (DCP) Service Contracts and Licensing Team.

Purpose: This document outlines the process involved to:

- a) create POs associated with executed OOHC Goods and Services Contracts
- b) modify PO dollar values in existing POs linked to contracts in CMLS when contract variations are executed.

Key considerations associated with using purchase orders to track contract spend include:

- section [4.2 of the Contract management framework](#) requires contract managers to track actual spend against contract throughout the contract lifecycle
- DCP's Contract Management and Licensing System (CMLS) has been designed to link contract details with Basware accounts payable transactions via the use of a Basware PO
- Basware POs will be created for all OOHC Goods and Services Contracts
- Basware POs may be created at either a contract level or work order level, as applicable for the relevant contract in order to track expenditure
- Basware POs will be modified where necessary to reflect any contract/work order variations that are approved
- CMLS will import 'Accounts Payable' data drawn from DCP's Financial Data Warehouse reflecting actual transactions processed against contract related POs.

Scope: A contract related PO should be created when:

- an OOHC Goods and Service Agreement is executed through the CMLS
- 'Work Orders' are created for an existing contract (supported by approved work order references such as Individual Client Service Agreements).

Additional considerations before creating a PO:

- c) applies to only '**Fee for Service**' contract types that are invoiced via the Shared Services SA Basware system.
- d) a single PO is to be created for the full contract term/value so that the same reference is maintained throughout the contract period.

11.1 Mandated requirements

There are a number of key processes associated with the management of contract related purchase orders. These include:

- creating contract related purchase orders
- managing PO related contract invoices
- modifying POs when contract values change.



The requirements associated with these processes are outlined over the following pages.

11.2 Creating contract related purchase orders

Information required to create a Purchase Order in Basware

Based on the approved contract (or work order) information entered in CMLS the PO in Basware can be created. The Service Contracts and Licensing Officer will create the purchase requisition for all Out of Home Care Goods & Services related contracts by obtaining the required information from CMLS or the associated supporting documentation.

Table 1 sets out the fields required to be entered into Basware to create a PO.

Table 1: Basware PO Creation Fields

A system generated email alert is sent from CMLS to either the procurement officer or the contract manager to raise a PO in Basware. For all OOHC G&S contracts the Purchase Requisition will be raised by the Service Contracts and Licensing Team (by the relevant contract manager).

The CMLS System Administrator will approve all purchase order requests associated with OOHC contract requirements.

Basware Mandatory Fields	CMLS Field/Information used for Basware Requisition creation	Default to be used
Supplier	Service Provider Name	
Purchasing category		SAG Purchase Request
Product to be ordered	Contract ID & Contract Title i.e. P125C1 – General Family Based Care	
Quantity	Approved Contract Base Term Value	
Quantity unit		UN
Unit Price/Line total		Enter \$1.00
GST Code		T10
Gross unit price (purchasing)	Auto Calculated field	
Project Code	Taken from the funding approval details and contract details associated with the contract.	
Object Code		
Cost Centre Code		
Grant Code		
JC Project Code		
JC Task Code		
JC Cost Code		
Contract Number	Contract ID	
Description	Clearly state the nature of the services being required and the related contract ID	



11.2.1 Creating & Approving a Purchase Order in Basware

To create a purchase order in Basware the following process is followed:

1. A purchase requisition is created following the Basware [PUR01 Creating a Single-Line Purchase Requisition](#) quick reference guide.
2. The purchase requisition is then approved and generated following the Basware [PUR 05 Approving a Purchase](#) quick reference guide.

All Basware documentation is available via the Shared Services SA Extranet and will require a user to sign in using their DCP Microsoft single sign on login details.

11.2.2 Specific Basware considerations for DCP contract related Purchase Orders

Approvals - The Basware PO approval process may be required to be managed via manual Basware workflow to an approved delegate for these contract related POs (due to the values involved). The purchasing authorisation delegation limits held by DCP staff can be found [here](#). The CMLS System Administrator is being established to approve POs that are supported by executed contract evidence. Refer Contract Management Manual Part 11: Contract related purchase orders.

The **Description Field** on the requisition should clearly state the nature of the services being required and the related contract ID.

The **Product to be Ordered Field** should reflect the Contract ID or ICSA (for PaSP related purchase orders).

The **Contract Field** must be completed for all contract related purchase requisitions. This field will support better identification and extraction of financial information from Masterpiece for reporting in CMLS.

Evidence **MUST** be attached to the Basware requisition to support the need to create a PO, this would typically be the signed contract or work order documentation.

The manual ordering option should also be selected to control the recording of the order number and issue of the PO to the Service provider.

11.2.3 Updating CMLS with the Basware PO Number

A PO number is automatically generated from Basware as soon as a purchase requisition is saved (i.e. before sending to an approver).

Once the PO has been approved the PO number will need to be entered against the contract (or work order) in CMLS. For all OOHC G&S contracts this will be done by the Service Contracts & Licensing team (by the relevant contract manager or administrator).

CMLS can hold multiple POs against an individual contract or work order if required. To replicate the purchase order block, use the “plus” sign and enter all relevant PO data in each PO block.



Purchase Order Details

PO Date: PO Number:

PO Value Incl GST: PO Spend:

PO Date: PO Number:

PO Value Incl GST: PO Spend:

PO Date: PO Number:

PO Value Incl GST: PO Spend:

PO Number:

Vendor ID	Invoice ID	Invoice Date	Invoice Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Display Invoice list for selected PO only

0 items

Attached Documents (0)

When PO information is entered against a contract or work order any invoice transactions paid against the orders listed will be reflected against the contract record.

Purchase Order Details

PO Date: PO Number:

PO Value Incl GST: PO Spend:

PO Date: PO Number:

PO Value Incl GST: PO Spend:

PO Number:

Vendor ID	PO ID	Invoice ID	Invoice Date	Invoice Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
A038065	20065400714	A10224	25-Mar-2021	\$35,816.31
A038065	20065400714	A10222	25-Mar-2021	\$32,372.69
A038065	20065400714	A10110	18-Nov-2020	\$66,101.49
A038065	20065400714	A10132	21-Dec-2020	\$101,663.94
A038065	20065400714	A10127	30-Nov-2020	\$104,426.78
A001049	18065415909	01730286	01-Jul-2018	\$742,726.11
				\$1,230,474.55

12 items

Export

The Service Contracts and Licensing Team will notify service providers of the Basware purchase order number relating to their contract and/or work order.

Basware can also automatically send notification of the PO details via the e-mail order method available within Basware that can issue the PO along with supporting documentation (such as the approved contract or ICSA) where appropriate.



11.3 Managing PO related contact invoices

11.3.1 Invoice submission

Service providers are required to submit invoices reflecting the PO details associated with their contract and/or work order. Contract invoices not quoting a PO number should be returned to the service provider for resubmission with the correct details.

Service providers are to ensure they adhere to the invoice submission guidelines and requirements setup by Shared Services SA <http://www.sharedservices.sa.gov.au/ap-streamline-payment#email>.

It is important for contract managers to ensure service providers adhere to the invoice submission guidelines set out by Shared Services SA to ensure payments are processed smoothly and within timeframes. Please note that all PO related invoices will be sent via a link to the PO owner 5 days prior to being placed in the Basware workflow. It is intended that this time is used to receipt the PO for the invoiced services to allow a smoother flow for matching.

11.3.2 Purchase order matching and receipting

A matching process is performed in Basware where each invoice submitted is matched with an associated PO receipt and only if a match is found then the PO is processed for payment.

In the case of a PO related invoice, if the invoice cannot be matched with an available PO receipt, the invoice is work flowed to the user that created the PO (in the case of OOHC fee for service contracts this will be managed by the Service Contracts and Licensing Team).

The Service Contracts and Licensing Team will review the invoice with the relevant parties and arrange the receipting of the PO to allow the invoice to be processed against the PO.

In circumstances where an invoice is incorrect and should not be receipted please refer to the SSSA [INV04 Disputed Invoice](#) quick reference guide.

11.3.3 Processing payments via Financial System

Payments are processed by Basware with payment being made via DCP's primary financial system, Masterpiece.

11.3.4 Update CMLS with payment details via DCP Financial Data Warehouse

In order to track actual, spend against contract for all 'fee for service' contracts the last step in the process will require the PO related AP transaction data to be fed back into the CMLS.

This will populate the actual spend against contract and will help contract owners and contract managers monitor and manage budgets more efficiently.

An incoming Accounts Payable file is loaded from the Finance Data Warehouse to CMLS on a daily basis with the following information. Payment transactions are matched to contract records based on the purchase order number (ID).



Field Name	Data Type	Function
Invoice ID	Textbox	Service Provider Invoice ID
PO ID	Textbox	PO Number
Invoice Amount	Number	Dollar value of invoice inclusive of GST
Invoice Date	Date	Invoice date in dd-m-yyyy

If additional information is required on any invoice the user should review the transaction within Basware.

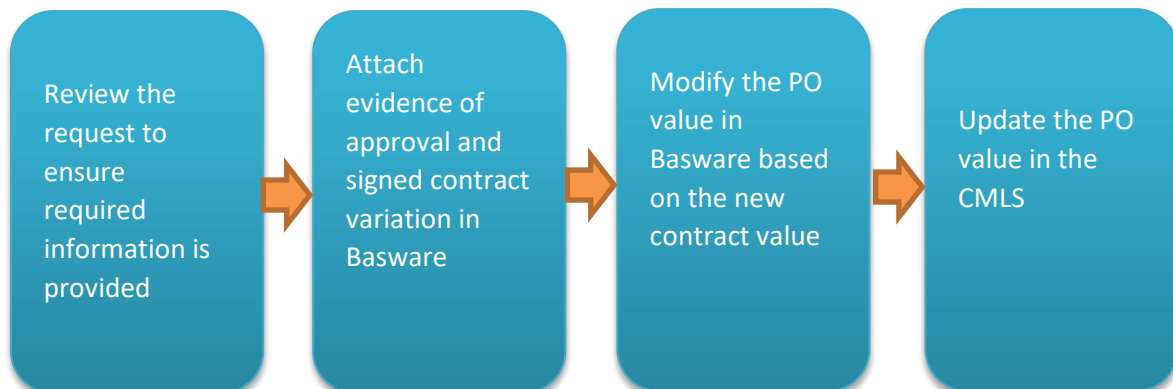
11.4 Modifying purchase orders

11.4.1 Overview

In order to accurately track spend against contract for 'fee for service' contract types it is determined that the ability to modify existing PO values is essential.

Approved variations or extensions to existing contracts that impact contract values will be the main reason for updating PO values linked to contracts.

The high-level process to modify a PO request submitted is set out below.



11.4.2 Review of request to modify a purchase order

Before a request to modify a PO is made the following steps will need to be conducted by the contract manager:

- an assessment to check if the approved contract variation / contract extension has had any impact on the original contract value
- identify the PO linked to the contract or work order
- assess if the PO value requires updating
- if it is determined that a PO modification is required, then ensure an approved and signed copy of the executed contract variation/extension document is available before a request is submitted to the CMLS System Administrator to modify the PO in Basware.



11.4.3 Approvals and evidence

Once the assessment is completed and it is determined that a PO linked to the contract/work order will need to be updated the contract manager should submit a request to modify the PO value.

This is done by sending an email to the CMLS System Administrator with the following details:

- a) approved Contract Variation / Extension Document which clearly highlights the contract approval and contract value. This will typically be a PDF of the Contract Variation / Extension Document generated from CMLS or an approved adjustment to an ICSPA (for PaSP) or a link to that information in CMLS
- b) specify the existing purchase order number that the contract/work order is linked to
- c) specify the new value of the purchase order (this should align with what is reflected in the contract variation / extension document)
- d) specify the date this change is effective from.

A template email is provided in Part 11.10 Appendix 1 - Contract related POs documents.

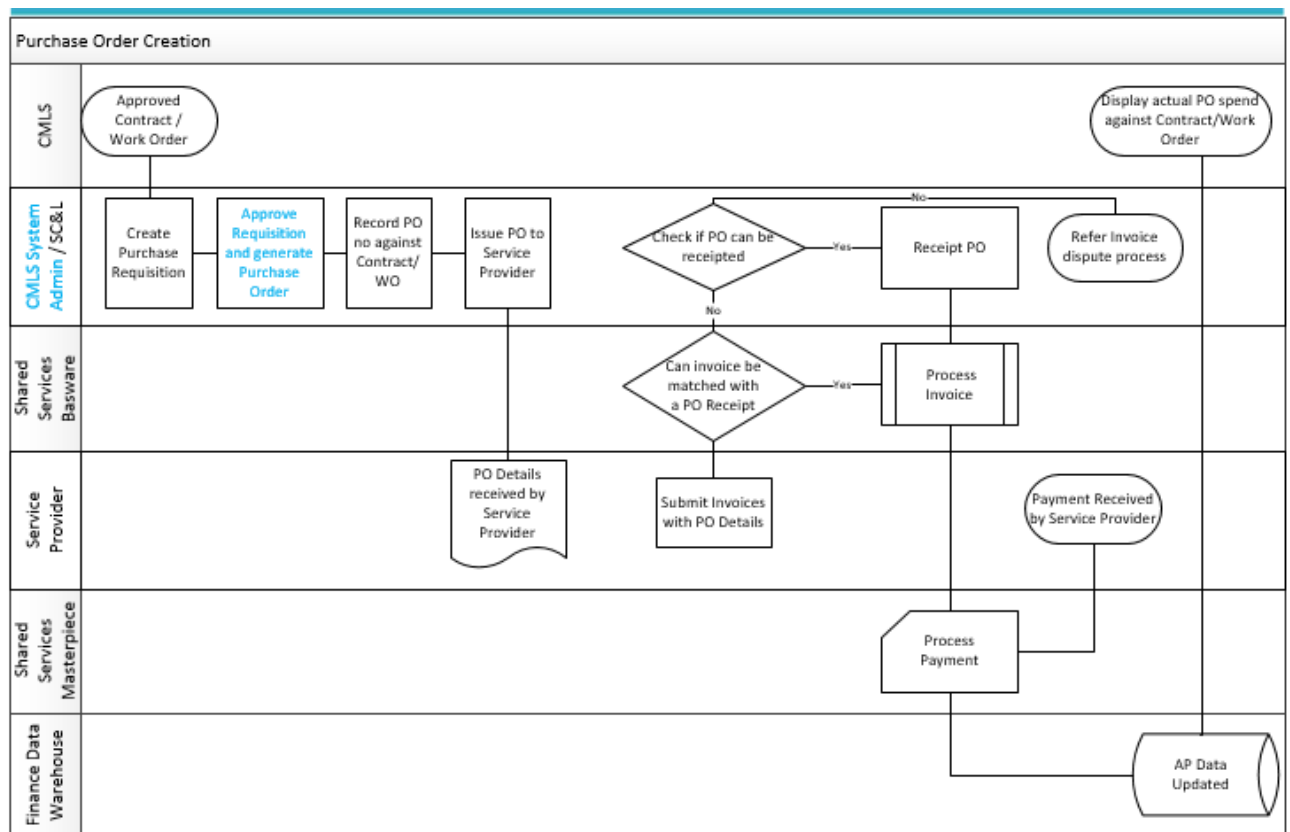
11.5 Roles and responsibilities

FCS Team	Primary Role	Authority/responsibility for
Service Contracts and Licensing	Raise Purchase Requisition to request PO creation.	Create Initial Purchase Requisitions in Basware. Record PO details in CMLS. Advise service provider of PO details.
	Identifying the need to modify a contract related PO.	Identify need for PO during contract creation process. Reviews variation or extension to assess impact on PO requirements. Submit request to CMLS System Administrator to modify PO value in Basware via template email request.
	Manage contract financials.	Manage/monitor PO receipting process in Basware to support invoice payments. Monitor Contract Spend.
CMLS System Administrator	Approve contract related POs – (Existing Basware Role but with NEW Delegation). (Special delegation required for specific contract authorisation on both financial authorisation register and set-up in Basware as a special approver).	Approval of Contract Related POs. Basware approver with delegation to approve the initial contract related PO up to the value of the executed contract. <i>Approval levels will require updates to the delegations of authority to reflect the approval.</i>



	<p>Modify existing POs– (NEW Basware Role and NEW Delegation).</p> <p>Note: anyone who is assigned with this role will be unable to approve payments within Basware to allow for appropriate segregation of duties.</p>	<p>Modify PO Values in Basware.</p> <p><i>This role will have a “special delegation” which must be reflected in the DCP delegations of authority.</i></p>
Financial Systems and Compliance	Reconciliation and Reporting on Contract PO Usage.	<p>Running regular reports on PO usage.</p> <p>Performing reconciliations and spot audits on PO usage.</p>

11.6 Purchase order creation and invoice management workflow and process steps





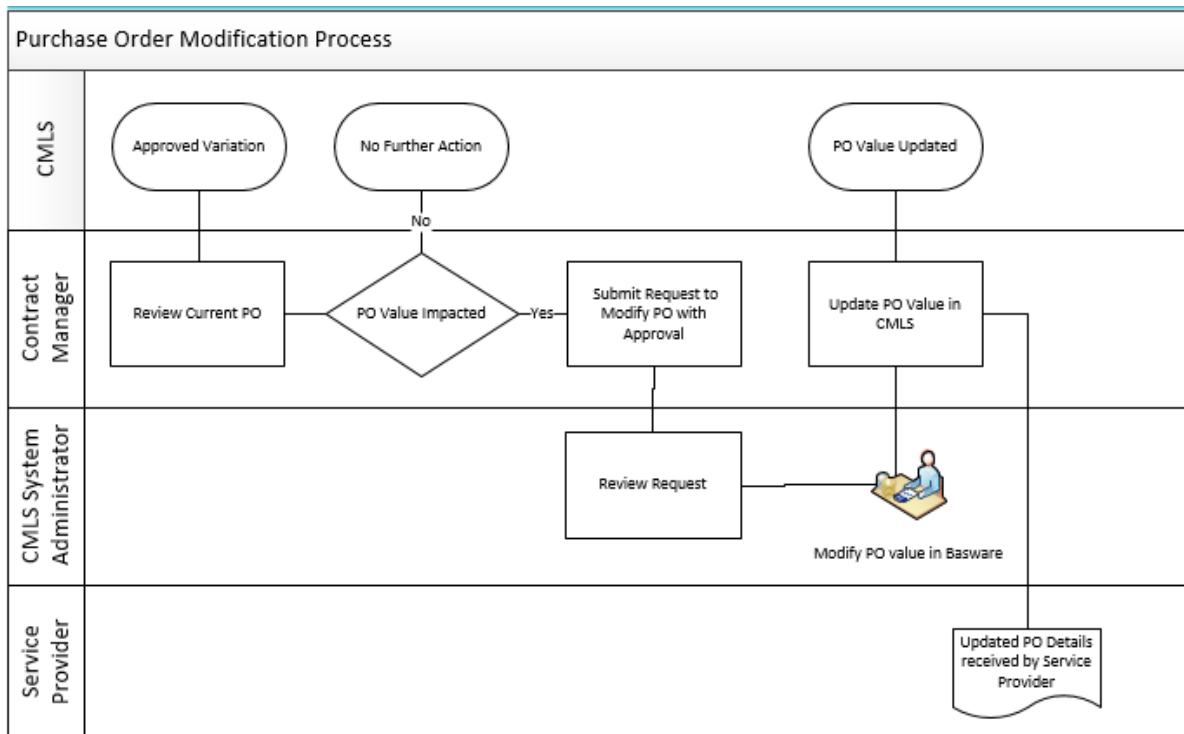
<i>Purchase Order Creation Process Reference Table</i>				
<i>Task / Activity</i>	<i>Description</i>	<i>Who has the primary responsible for the task / activity?</i>	<i>System/Method</i>	<i>Comments</i>
1. Approved Contract / Work Order	Contracts are approved via CMLS by the designated approvers. Work orders are approved in CMLS based on an approved ICSA (for PaSP).	DCP – Contract Delegate. Service Provider Contract Executor.	Contracts approval is done through 'DocuSign' which updates the approval status in the CMLS.	System integration between DocuSign & CMLS.
1.1 Create Purchase Requisition	Using standard Basware functionality and information from CMLS a purchase requisition is created.	SC&L Team (for OOHC Contract and Work order PO creation).	Basware	Access to be setup for SC&L officer to create purchase requisitions in Basware.
1.2 Approve Purchase Requisition	Using standard Basware functionality approve purchase requisition (provided evidence is attached of approved contract/ICSA).	CMLS System Administrator – for approval of OOHC Contract and Work Order PO.	Basware	PO delegate approver to be established. When a PO is created in Basware it is approved via delegate (based on executed contract/work order).
1.3 Record PO details against contract/work order in CMLS	To link POs to associated contracts/ work orders.	SC&L team (for OOHC Contract and Work Order PO).	CMLS	
1.4 Issue PO to service provider	The Basware PO is issued to the service provider along with any necessary supporting documentation.	SC&L team (for OOHC Contract and Work Order PO).	Basware	Contract manager to ensure that service provider is aware of PO details and requirements associated with invoicing against the PO.
1.5 PO Details received by service provider.	Basware PO and supporting documentation received by service provider.	SC&L team (for OOHC Contract and Work Order PO).	Basware	
2 Submit Invoices	When goods/services are delivered the invoice submission process is triggered.	Service providers.	Basware	Service providers to ensure they follow the Invoice Submission Guidelines set up by Shared Services SA.



<i>Purchase Order Creation Process Reference Table</i>				
<i>Task / Activity</i>	<i>Description</i>	<i>Who has the primary responsible for the task / activity?</i>	<i>System/Method</i>	<i>Comments</i>
2.1 Match Invoices with POs	Each invoice is matched with a PO through the system. When a PO is matched with an invoice the payment is processed.	SC&L Team (for OOHC Contract and Work Order PO).	Basware	Contract managers to ensure processes are in place that support validating the appropriateness to receipt any invoices received.
2.2 Check if PO can be Receipted	When a match is not found it flows through to the creator of the PO who is then required to check and receipt Pos. If a PO cannot be receipted, then refer to Invoice Dispute Process.	SC&L team (for OOHC PO and Work Orders).	Basware	SC&L team to liaise with necessary stakeholders or set up relevant models to determine if POs can be receipted.
2.3 Receipt POs	When the goods/services are provided to DCP they must be manually receipted in Basware against the PO.	SC&L officer or nominated business staff under receipting model developed in 2.2 (for OOHC PO and Work Orders).	Basware	
2.4 Process Invoice	For invoices that have POs matched and receipted.	Shared Services officer.	Basware	
3 Process Payments	Through DCP's primary financial system.	Shared Services SA.	Masterpiece	This is an automated process.
3.1 Payment received by service provider	Payments transferred to service provider nominated bank account.	Shared Services SA.	Masterpiece	This is an automated process.
4 AP Data Updated	DCP's internal financial warehouse updated to record all AP transaction data.	DCP Finance System team.	DCP Finance Data Warehouse.	This is an automated process.
5 Display Actual PO Spend against contract / work order	To view the actual spend against a contract / work order.	CMLS System Administrator.	CMLS	Via system integration – transactions matched to contracts and work orders via PO details.



11.7 Purchase order modification workflow and process steps



Purchase Order Modification Process Reference Table				
Task / Activity	Description	Who has the primary responsibility for the task / activity?	System/Method	Comments
1 Approved Contract Variation	Contract Variations are approved by the designated approver.	Approved Delegates.	Approval may occur via the CMLS/DocuSign process for CMLS G&S and NFP contracts or externally to CMLS for "Other" forms of contracts (such as an ICSA for PaSP).	System integration between DocuSign & CMLS.
1.1 Review Current PO	Assess if the variation has led to contract values changing therefore affecting existing PO's against the contract.	Contract manager.	CMLS Basware	
1.2 PO Value Impacted	If no impact to PO value proceed to step 1.3. If PO value impacted proceed to step 1.4.	Contract manager.	N/A	
1.3 No further action	Assessed that no impact to PO value.	N/A	N/A	



<i>Purchase Order Modification Process Reference Table</i>				
<i>Task / Activity</i>	<i>Description</i>	<i>Who has the primary responsibility for the task / activity?</i>	<i>System/Method</i>	<i>Comments</i>
1.4 Submit request to modify PO with approval attached	Based on the changes in the variation submit a request to modify POs and ensure approvals are in place and shared.	Contract manager.	Email Template.	Refer email template in Part 11.10 Appendix 1 - Contract related POs documents.
2 Review Request	Assess the change involved, review approval evidence.	CMLS System Administrator.	Email	
2.1 Modify PO Value against contract or work order	Update to PO using Basware access & provide the Contract Manager with a copy of the updated PO.	CMLS System Administrator.	Basware	
2.2 PO value updated against Contract or Work Order	Manual update of PO details on work order and attach updated PO to work order.	Contract manager.	CMLS	
2.3 Updated PO details received by Service Provider	The updated Basware PO is issued to the Service Provider by the Contract Manager along with any necessary supporting documentation.	Contract manager.	Email	

11.8 Contract related POs compliance, monitoring and evaluation

The following controls will be established to manage and control the use of contract related purchase orders and adjustments to those purchase orders within Basware:

- a) specific dedicated roles will be established to perform the following functions:
 - Role 1: Approver of contract related POs (via a special delegation)
 - Role 2: Ability to modify POs (via a special delegation)

Both of these roles will not have any ability to perform any other functions within Basware.

- b) all approvals – for both creation and modification of POs MUST be supported by evidence of the executed contract and/or variation. All Basware purchase orders will have evidence attached to the PO of that approval.

A new function will be introduced to provide ongoing monitoring of compliance with these requirements. Reports will be run monthly to show all POs approved by role 1 or role 2 and their approved values. This will be reconciled by the Finance Systems and Compliance team to the approved contract values held with CMLS. Reconciliation reports will be filed.



11.9 Contract related POs definitions and abbreviations

Term	Meaning
AP	Accounts Payable
CMLS	Contract Management and Licensing System
DCP	Department for Child Protection
G&S	Goods and Services
NFP	Not for Profit
OOHC	Out of Home Care
PO	Purchase Order
SC&L	Service Contracts and Licensing
SSSA	Shared Services South Australia

11.10 Contract related POs documents

Related forms and templates	Hyperlink
DCP Contract Management Framework	Contract Management Framework
DCP Delegations	Financial authorisation register
SSSA Basware New Generation Support Materials including: INV04 Disputing an Invoice PUR01 Creating a requisition PUR05 Approving a requisition	BASWARE - Support Materials



Appendix 1: Template Email to Request PO Modification

To CMLS System Administrator

Hi,

This is a request to modify an existing Purchase Order value linked to contract {specify contract/work order id}.

This change is because of a recent contract variation / extension [Select appropriate and provide variation or extension reference ID].

Request you to please update the value in Purchase Order Number [Insert PO No] from \$ {Insert Existing PO Value} to \$ {Insert New PO Value}.

Attached you will find a copy of the contract variation / contract extension as evidence to support this change request.

Please reach out if you have any questions.

Regards,

{Insert Signature}



12. Contract extensions

Summary: Generating a contract extension in CMLS.

Frequency: When requested by contract manager.

Output: Contract extension letter to service provider requesting to acknowledge the extension. For NFP agreements, when the service provider acknowledges the extension, the CMLS adds the extension payment records to CMLS (Shown in the Contract/Managing/Contract Payments Form). Updates CMLS showing and executed extension.

For all contracts the exercising of an extension will create additional contract KPI result records for the extension period along with updating current contract end date.

12.1 CMLS responsibilities

Process step	Person responsible
Initiate extension process	Contract manager
Assign a procurement officer	Procurement manager
Contract extension checklist	Procurement officer
Contract review	Contract manager
Contract review approval	Contract owner
Submission to service provider	Procurement manager
Update purchase order	Contract manager

Process steps: The contract manager may extend the contract for the extension periods listed in the Contract Extensions form on CMLS, by providing the service provider written notice before the contract expiry date. For NFP agreements the ideal timeframe is 6 months, Goods and Services agreements may be shorter, usually 3 months.

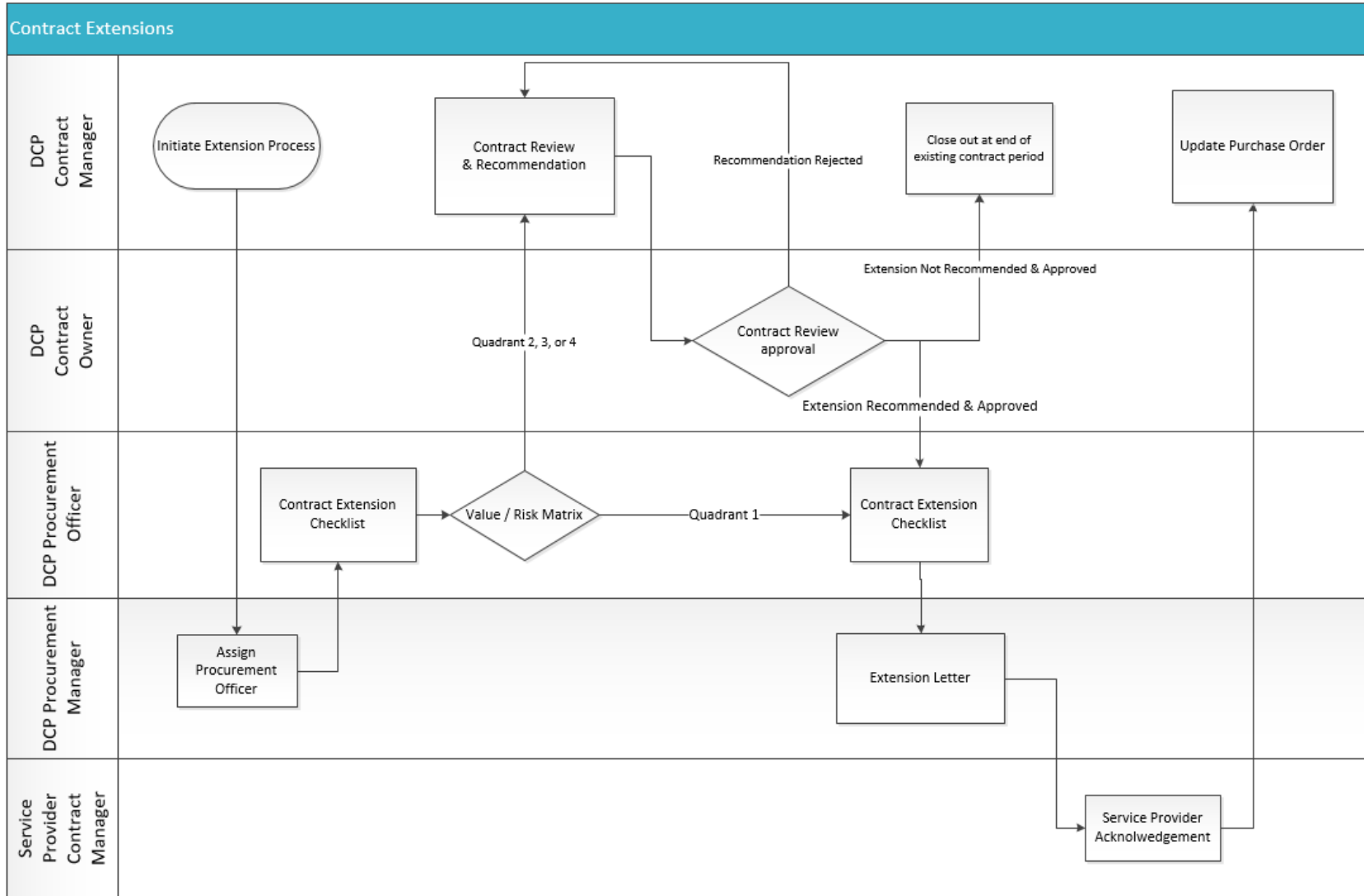
The contract manager will review the current contract by completing the extension checklist. The review includes revisiting the supplier's performance and spend, and the service demand and market.

For contracts of significant value or risk, a contract review report is to be completed that provides a more detailed contract review.

Upon approval of the contract review by the contract owner, the procurement officer is to notify the service provider via a CMLS generated letter advising that DCP is exercising its option to extend the contract. The service provider then acknowledges the extension which updates the relevant contract records.



12.2 Contract Extensions: Process Flow





12.3 Initiate extension process

The contract manager is to send an email to DCPPProcurement@sa.gov.au with the following information to allow the procurement officer to start the contract extension in CMLS. Ensure to allow sufficient time for the completion and approval of contract review to ensure the letter of extension is issued 6 months (for Not for Profits - NFP) or 3 months (Goods and Services - G&S) before the contract end date.

- contract name and number
- extension number to be exercised
- day and date that the extension letter is required to be issued (6 months before contract end date)
- original base term and extension term
- reason for extension request
- details of any previous extensions
- will this extension result in increased costs?
- will this extension result in change to the original scope?
- value/risk of the contract
- has the supplier's performance been satisfactory?
- were the KPI /service levels met?
- any comments about the supplier(s) performance to date
- original contract value
- value of spend under contract to date
- is there a standing offer arrangement planned or in place (either across whole-of-government or selected agencies) for these types of goods/services?
- if so, is the supplier part of that standing offer/panel arrangement?
- what is the anticipated future demand for products or services? has there been change?
- is it consistent with/related to the original scope of work/services?
- if the scope is not related or consistent with the original contract, explain the basis of your decision to extend/renew rather than to go to market for the new scope
- would reapproaching the market result in better value for money?
- does the contract extension/renewal result in value for money?
- what market research have you done?
- explain why/how value for money will be obtained/maintained by extending or renewing the contract
- what opportunities have been identified to improve value for money under the contract?

In Phase 2 of CMLS updates, the contract manager will complete the contract extension checklist.

12.4 Reviewing procurement officer

The procurement manager will review the extension request and the assigned procurement officer. If a change in assigned procurement officer is required, the procurement manager will need to advise CMLS System Admin (DCPCMLSSupport@sa.gov.au).

12.5 Contract extension checklist

This step is to be completed by the procurement officer. See the CMLS Procurement User Guide (Section 9) for more information.

For contract extensions that have a quadrant classification of 2, 3, or 4: The procurement officer will email the contract manager and request that they complete step 8.4 Contract Review. The procurement



officer cannot continue with the checklist until they have received an email from the contract manager advising the contract review is complete.

Contract extensions with a quadrant classification of 1 do not require a contract review.

12.6 Contract review – contract manager

- a) Receive an email from the procurement officer requesting a contract review.
- b) In the **Contracts** tab, select the appropriate contract and navigate to the **Managing** tab.
- c) Scroll down to the **Contract Extensions** form. Click on the current extension. This should have a status of **start**.
- d) Click the **Raise Contract Review** button and the **Contract Extension Review** record will open.

Contract Extension Checklist ▼

Do you wish to extend the contract:

Please explain the reason for the extension request: asdf

Provide Details of any previous extensions: test

Will this extension result in (tick all that apply): Increase in costs (spend) Change to the original scope

Original Base Term: 12

How is this contract classified according to the value/ risk matrix: Quadrant 2 ▼

* (Complete a Contract Review Report for extensions/ renewals that are Quadrant 2,3 or 4)

- e) In the **Manage Contract Review** form, complete the following fields:
 - **Extensions available to execute:** choose Yes or No from the drop-down menu
 - **Number of extensions available:** the number of extensions available on the original contract
 - **Contract Description:** explain if this extension will result in any change to what was approved as part of the original contract approval.

Please note: A contract extension cannot change the contract cost or scope. If the contract cost or scope has changed, consult the contract owner to confirm whether a contract variation is required to formalise any proposed changes.



Manage Contract Review

Contract Number: Extension:

Contract Title:

Commencement Date: Base Term: Months

Extension Available for Execution? Number of Extension Available:

Extension Start Date: Extension Term: Month Extension End Date:

Service Provider:

ABN:

Contract Description

- f) In the **Value / Risk assessment** form and provide a brief explanation of the risks that influenced the assessment of the value/risk. Attach the **risk assessment document**.

Value/ Risk assessment of the Contract

Value/ Risk Assessment of the Contract

- g) The **Contract Value** form fields are automatically populated using the Approved Contract Value and the Estimated total spend under contract to date data.

Contract Value

Approved Contract Value:

Estimated total spend under contract to date:

- h) In the **Performance** form complete the following fields:
- **Service Provider Feedback:** provide a summary of the service provider’s feedback
 - **Stakeholder Feedback:** provide a summary of the stakeholder’s feedback
 - **Key Performance Indicators (KPIs):** provide a summary of the service provider’s KPIs and performance.



Performance
Service Provider Feedback <input style="width: 100%; height: 40px;" type="text"/>
Stakeholder Feedback <input style="width: 100%; height: 40px;" type="text"/>
Key Performance Indicators (KPIs) <input style="width: 100%; height: 40px;" type="text"/>

i) In the **Analysis** form complete the following fields:

- **Demand Analysis:** summary of the ongoing DCP demand for the goods/services
- **Market Analysis:** provide a summary of how the contract provides value for money and that re-approaching the market would not result in better value
- **Benchmarking:** summarise the benchmarking exercise undertaken. Identify any technology improvements, legislation changes, or external price drivers that may affect future costs
- **Value for Money:** summarise how the contract provides value for money.

Analysis
Demand Analysis <input style="width: 100%; height: 40px;" type="text"/>
Market Analysis <input style="width: 100%; height: 40px;" type="text"/>
Benchmarking <input style="width: 100%; height: 40px;" type="text"/>
Value for Money <input style="width: 100%; height: 40px;" type="text"/>

j) In the **Completed Improvement to Date** form list any improvements already incorporated into the contractual arrangements to date and list the benefits to the customer/service provider. Add additional lines as required by clicking the **green plus** button.

Completed Improvements to Date	
Improvements to Date	Benefit to the Customer/ Service Provider
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>



- k) In the **Identified New Improvements** form identify any agreed improvements to be included into the extended contractual term and list the benefits to the customer/service provider. Add additional lines as required. Nominate responsibilities, implementation dates, and outcomes.

Identified New Improvements	
New Improvements	Benefit to the Customer/ Service Provider

- l) In the **Risks and Mitigations Associated with the Extension** form review the risk plan and if any new risks have been identified (or if the risk profile has changed), then explain those changes here, including the risk description, mitigation strategies, and who is responsible.

Risks and Mitigations Associated with the Extension		
Risk	Mitigation	Responsible Party

- m) Add any newly identified risks to the contract risk assessment held within the contract management plan.
- n) In the **Recommendation** form tick the **Extension** or **No Extension** box. In the text box, briefly explain the reason behind the extension request and state the recommendation for which you are seeking approval.
- o) Click the **Generate Review Report** button to review a copy of the report.

Recommendation	
Recommendation for	<input type="radio"/> Extension <input type="radio"/> No Extension
Justification for recommendation 	
<input type="button" value="Generate Review Report"/>	

- p) In the **Submit Contract Review Report for Approval** form, click the **Submit** button and CMLS sends a notification to the nominated approver for approval.

12.7 Contract review approval – (nominated approver)

- a) The nominated approver will receive a CMLS generated email advising that the Contract Review is available for approval. Click on the **hyperlink** in the review email.
- b) View the Contract Review on CMLS or click **Generate Review Report** button to review a copy of the report.
- c) In the **Submit Contract Review Report for Approval** form, click on the **Pending** hyperlink to open the approval record.
- d) Type any comments into the blank field and click the **Add** button to include them on the approval/rejection.



- e) To reject the Contract Review: click the **Reject** button.
- f) A Contract Review with the status of Rejected is similar to a draft status which will allow contract managers to modify content and re-submit for approval.
- g) To approve the Contract Review: click the **Approve** button.
 - If the recommendation was to not extend the contract manager notes this approved outcome and plans for contract closeout at the end of the existing contracted period.
 - If the recommendation was to extend: follow on.

12.8 Submission to service provider

Please note: This process is for service providers who have access to CMLS. If a service provider does not have access to CMLS, extension letters will need to be sent manually and Service providers will have to manually sign/advise of acknowledgement via email.

The procurement manager will complete the following steps:

- a) In the Submission to Provider form, click the **Generate Draft** button.
- b) CMLS will generate a draft extension letter. This will be downloaded as a word document.
- c) Check the letter and amend if required.
- d) Rename the file to Contract Number# Extension# and attach the final letter to CMLS, by clicking the **Attach Extension** button.
- e) To issue the extension letter, click the **Execute Extension** button. CMLS will send an email to the service provider asking them to acknowledge the extension.
- f) **If the service provider has access to CMLS:** The service provider will review the extension letter and may accept the extension by clicking the **Acknowledge** button in CMLS.
- g) **If the service provider does not have access to CMLS:** The service provider will review the extension letter and should advise the contract manager of acceptance. The contract manager should then email DCPCMLSSupport@sa.gov.au and advise the System administration to action the acknowledgement in CMLS.

12.9 Update Purchase Order (G&S OOHG Contracts Only)

Once the service provider has acknowledged the extension, the contract manager is to advise the Service Contracts and Licensing finance officer and ask them to update the Purchase Order to include the cost of the new extension.



13. Contract Variations

There are three types of variations that can occur within a service provider contract.

Web based content variation

A change is made to web-based content referenced (hyperlinked) in the Agreement. These changes do not occur in CMLS as the URLs in the Agreement do not alter. However, any changes made to web-based content must go through Business Improvement. These changes are not a formal contract variation as the executed agreement does not change, there is no impact to CMLS, and no variation record in the system.

Global variation

A change is made across more than one contract for CMLS held content. These changes affect the executed agreements. Some changes that may reflect a global variation include: terms and conditions, and indexation rates.

Contract Specific Variation

A change made to one or more specific contract/s. This change will occur through CMLS and will affect the executed agreement of one contract only. Some changes that may reflect a contract specific variation include: contract specific KPI target, funding amount, minimum placement targets, and contract dates.

Variations of contract types 'Other', are created and executed manually outside of CMLS. When the executed version is received, this should be sent to DCPCMLSSupport@sa.gov.au who will update CMLS.

Related Documents

[Contract Management Framework](#)

13.1 Web based content variation

If a change is required to be made to web-based content that is referenced in the executed agreement:

- a) Email the Business Improvement team (DCPBusinessImprovement@sa.gov.au) outlining the change and advising why the change is required.
- b) The Business Improvement team will conduct an assessment and coordinate the consultation and change process.

13.2 Global variation

CMLS responsibilities:

Process step	Person responsible
Request a global variation	Relevant business unit
Validate a global variation	Procurement officer
Approve a global variation	Chief Financial Officer
Create a global variation	CMLS support team



Review impacts of global variation and approval to proceed	Procurement (with business unit input where required)
Generate contract level variations	CMLS support team
Manage and execute variation	Procurement officer

13.2.1 Request a global variation

Requests for global variations may be generated from any business unit, however typically they will be initiated within procurement due to their nature.

13.2.2 Validate a global variation

Any global variation request received by Procurement must be validated and all impacted stakeholders engaged to understand the impact, prior to a determination being made to progress with the variation. Often global variations will be dictated by broader government policy or directives however it is important to ensure that the impact is understood and there is a clear plan in place for managing the global variation process and the resulting contract level variations.

13.2.3 Approve global variations

The Chief Financial Officer (CFO) is the approver for all global variations, including stakeholder impact and engagement plan.

13.2.4 Issue global variation for execution

The CMLS system administrator will create a new global variation in CMLS and generate a new draft of each new contract as required. The System Administrator will then notify all contract managers to review the variation.

13.2.5 Create a global variation

An email should be sent to DCPCMLSSupport@sa.gov.au requesting a global variation be created. The request should contain the following:

- a) type of global variation
 - indexation rate
 - goods and services terms and conditions
 - goods and services special conditions
 - goods and services glossary of defined term
 - NFP terms and conditions
 - NFP special conditions
 - general foster care unit rate (used to reset standard unit rates each financial year)
 - specialist foster care unit rate (used to reset standard unit rates each financial year).
- b) details of the changes required and the driver for the change. This can also include documents that need to be attached to the global variation record for reference purposes (internal only)



- c) CFO approval (memo or email demonstrating the CFO approval of the global variation and stakeholder engagement and communication plan)

The CMLS support team will create the global variation record in CMLS.

13.2.6 Review impacts of global variation and approval to proceed

The CMLS support team will process the global variation to identify the contracts that will be impacted. This information will be provided to the procurement officer to review and confirm that the impact is in line with expectations.

This data can be viewed in the global variation record or via a report created by CMLS support.

13.2.7 Generate contract level variations

- a) Following the review of the impact, the procurement officer will provide their approval via email to DCPCMLSSupport@sa.gov.au to proceed with the global variation.
- b) Identify any contract records (from the impact list) that are to be excluded from the global variation. CMLS support will mark those records not to proceed.
- c) CMLS support will generate all of the contract level variations arising from the global variation. This will create all of the required contract level variations.

13.2.8 Manage and execute contract level variations

- a) The contract level variation records created will be managed in the same way as a standard contract level variation.
- b) The procurement manager will need to review the contracts to ensure the appropriate procurement officer is assigned to each contract to progress the contract level variation.
- c) The procurement officer will follow the contract specific variation process from **Variation assessment**.

13.3 Contract specific variation

Summary: A change required to one specific contract. This change will occur through CMLS and will affect the executed agreement of one contract only. Some changes that may reflect a contract specific variation include; contract specific KPI target, funding amount, minimum placement targets, and contract dates.

Frequency: When required.

Output: Executed contract variation and updated contract record.

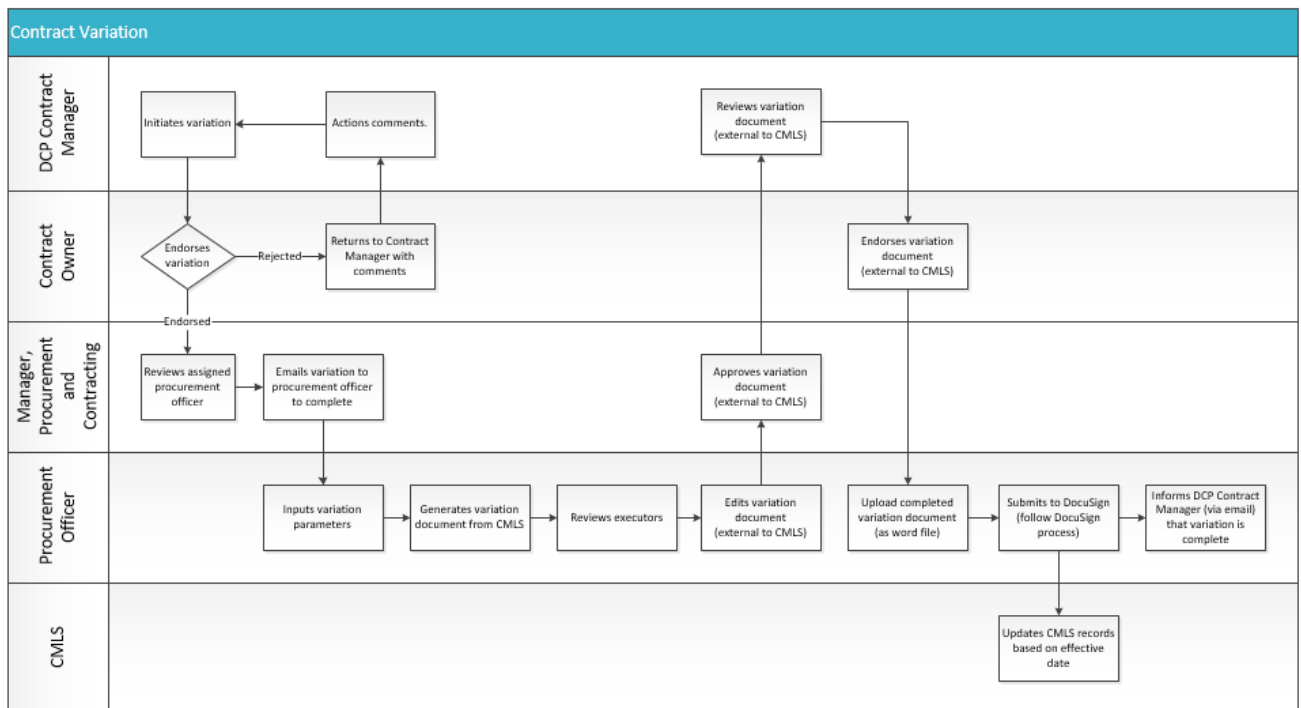
CMLS responsibilities:

Process step	Person responsible
Initiate variation	Contract manager
Endorse variation	Contract owner



Assign procurement officer	Manager, Procurement and Contracting
Variation assessment	Procurement officer
Review executors	Procurement officer
Create variation document	Procurement officer
Upload endorsed variation document	Procurement officer

Process flow



13.3.1 Initiate a contract specific variation

The contract manager is responsible for initiating contract variations within CMLS.

Note: If the contract is not actively managed by the SC&L manager (ie the contract manager is DCP Admin), the procurement officer is responsible for obtaining all necessary variation information from the relevant business group and emailing it to DCPCMLSSupport@sa.gov.au who will initiate the variation process.

- In CMLS, navigate to the **Contract Management > Managing** tab.
- Scroll down to the **Contract Variations** form.
- Review any variations with a status of Draft or a future variation date to identify if these variations will have an impact on the same area of the contract as the current variation.
- If there is an overlapping impact, there are two options:
 - cancel the draft or future variation and incorporate both variations into one



- wait until the draft or future variation is completed (executed and variation date past) then process the current variation.
- e) Click on the **Add Variation** button.

Variation Number	Description	Variation Date	Contract/ Global Variation	Status
0 items				

[Add Variation](#)

- f) In the Variation details form, add a detailed description of the variation requirements in the variation description field. This should provide enough detail for the procurement officer to be able to set up the variation document. This field cannot be viewed by the Service Provider.
- g) Contract managers can choose to attach a document using the Attached Documents button. This may include financial data or other documents which provide further information on the required variation.

Variation Details

Variation Number:

Variation Description:

Date Variation operates on and from: Is this date same as Execution Date?

Variation Status:

[Attached Documents \(0\)](#)

- h) Click the **Save** button to save changes without submitting.
- i) In the Submit to **Contract Owner for Endorsement** form, click the **Submit for Endorsement** button to submit to the Contract Owner.

Submit to Contract Owner for Endorsement

Name:

Date:

[Submit for Endorsement](#)

13.3.2 Endorse variation

The contract owner is responsible for endorsing the variation initiation.



- a) CMLS will send an email notification to the contract owner to endorse the variation request. Click on the **hyperlink** within the email notification to open the variation record.
- b) Review the **Variation Details** input by the Contract Manager.
- c) Click on the **pending status** in the approval box.
- d) Endorse or reject the variation:
 - Endorse – click the **Endorse** button
 - Reject – enter a comment in the comment box and then click the **Reject** button
- e) If the variation is rejected, the contract manager can edit the variation and resubmit for endorsement.

13.3.3 Creating a variation in CMLS

Procurement steps of the contract variation process are detailed in the [Procurement Manual](#).

13.3.4 Endorsement of draft variation document

After the contract variation document has been created from CMLS, the procurement officer will send the draft document to the contract manager for review.

The contract manager should request approval with the contract owner and return the approved document to the procurement officer.

13.3.5 Variation execution

The contract variation will be executed via DocuSign.

Once the variation has been executed, the procurement officer will advise the contract manager.



14. Contract close out

Summary: Contract close-out is the core business process to be used for ending contract obligations and liabilities with suppliers. The contract may have reached its conclusion, could be expiring with all contract extensions utilised, or alternatively the contract may need to be terminated.

Where the need for contracted goods/services continues, the contract manager will need to manage the transition from one service provider to another service provider.

The contract manager is to:

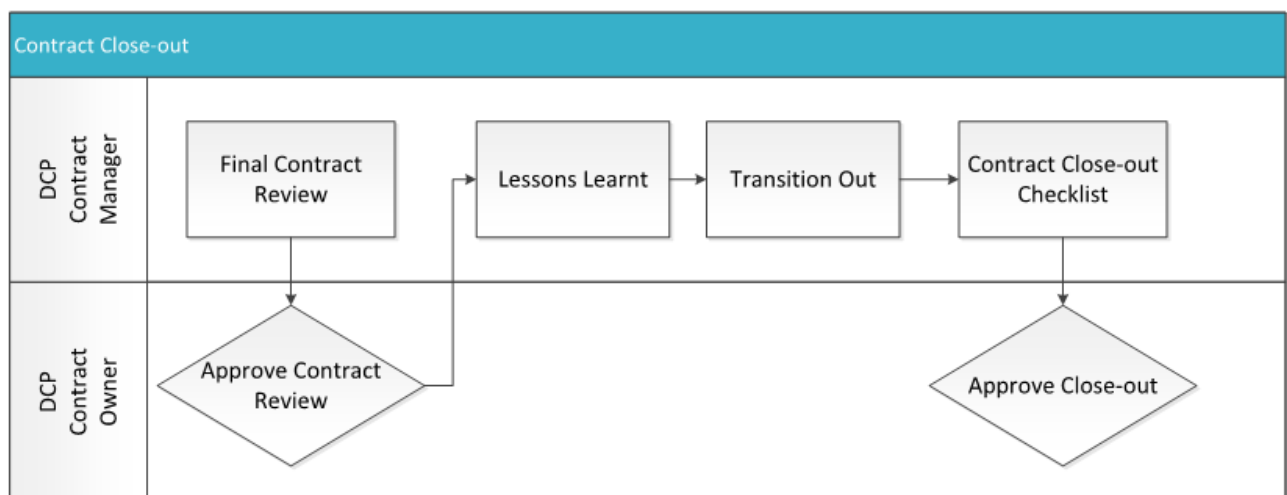
- complete a final contract review of the contract to evaluate supplier performance and provide feedback to inform service improvement or future service design
- document lessons learned throughout the contract
- document any transition out activities
- confirm all close-out activities have been performed
- complete the contract close-out form.

Frequency: At the end of each contract.

Output: Complete contract review and an approved close-out report.

CMLS responsibilities:

Process step	Person responsible
14.1 Final contract review	Contract manager
14.2 Approve contract review	Contract owner
14.3 Lessons learnt	Contract manager
14.4 Transition out	Contract manager
14.5 Contract close-out checklist	Contract manager
14.6 Approve close-out	Contract owner





14.1 Final Contract Review

14.1.1 Contract Review in CMLS

- a) In the **Contract** tab, select the required contract by clicking on the hyperlink.
- b) Navigate to the **Contract Management > Managing** tab and scroll down to the bottom of the page. Click the **Proceed to Close-out / Terminate** button.
- c) This will direct you to the **Contract Close-Out** tab.



- d) In the **Contract Review** form, click the **Raise Contract Review** button. A new **Contract Review** record will be created.
- e) In the **Manage Contract Review** form, select **No** from the **Extension Available for Execution** drop-down menu.
- f) In the **Contract Description** box, enter a description of the services contracted.
- g) In the **Value/Risk Assessment of the Contract** form, provide a summary of the contract risk assessment. Upload the current risk contract assessment by clicking on the **Attach Risk Assessment** button. Click **Save**.
- h) In the **Contract Value** form, the **Approved Contract Value** and **Estimated total spend under contract to date** fields are auto populated.
- i) In the **Performance** form, complete the following fields:
 - **Service Provider Feedback:** provide a summary of feedback received from the service provider
 - **Stakeholder Feedback:** provide a summary of feedback received from stakeholders
 - **Key Performance Indicators (KPIs):** provide a summary of the service provider's performance against the contract KPIs including their overall performance and any particular performance issues. Also verify that all deliverables / work has been completed
- j) In the **Analysis** form, comment on the following fields:
 - **Demand analysis:** Has demand increased, decreased, or changed?
 - **Market analysis:** Has the market changed?
 - **Benchmarking:** How did the Contract perform compared to others?
 - **Value for Money:** Provide feedback on whether value for money was achieved and why or why not. Report savings or additional services achieved during the contract term. Report the main benefits delivered by the Contract. Identify any other relevant issues for future procurements. Provide a summary of any other matters requiring attention. Advise whether it is reasonable to utilise the service provider again in the future.
- k) In the **Completed Improvements to Date** form list the completed service improvements during the contract term. Click the green plus button to add additional improvement.



- l) It is not a requirement to complete details in the **Identified New Improvements** and **Improvements to be completed** forms.
- m) In the **Risk and Mitigations Associated with the extension** form, list all risks associated with closing – out the contract and their associated mitigations. Click the green plus button to add additional improvement.
- n) In the **Recommendation** form, tick the **No Extension** box. Input any additional comments or recommendations into the recommendation text box and click **Generate Review Report** button.
- o) Review the report and make alterations as required. Once completed, click the **Submit** button to send to the nominated approver for approval.

14.2 Approve/Reject Contract Review

- a) The nominated approver will receive a CMLS generated email advising that the Contract Review is available for approval.
- b) Click on the **hyperlink** in the review email.
- c) View the Contract Review on CMLS or click **Generate Review Report** button to review a copy of the report.
- d) In the **Submit Contract Review Report for Approval** form, click on the **Pending** hyperlink to open the **Approval** record.
- e) Type any comments into the blank field and click the **Add** button to include them on the approval/rejection.
- f) To reject the Contract Review: click the **Reject** button.
- g) A Contract Review with the status of Rejected is similar to a draft status which will allow Contract Managers to modify content and re-submit for approval.
- h) To approve the Contract Review: click the **Approve** button.

14.3 Lessons Learnt

Once a contract has concluded, it is important to record all lessons learnt during the contract period.

- a) In the **Contract Close-Out** tab, scroll down to the **Lessons Learnt** form.
- b) Provide a summary of all lessons learnt during the life of the contract.
- c) Use the **Service Provider Performance Category** drop-down menu to provide an overview of the service provider's performance.
- d) Click **Save**.

14.4 Transition out

In certain circumstances, the need for the contracted goods/services will continue. A commercial decision may have been made to engage another service provider to provide a similar set of



goods/services. To ensure a smooth transition, the contract manager is to document a Transition Out plan, listing the actions, responsibilities, and timings of the transition.

- e) In the **Transition Out** form complete the following fields:
- **Communications Plan:** Target communications, messages, actions that are required for each stakeholder
 - **Child Transition Plan:** Provide a summary of the plan to transition children to another service, provider, or home
 - **Asset Transition Plan:** Identify any assets that need to be recovered or transitioned and how this will occur
 - **Transition Funding:** Identify any residue funding that needs to be recovered or transitioned including any outstanding transactions that need to be managed
 - **Provider Human Resource Transition Plan:** Provide a summary of any personnel that are to be transitioned out or across, including information on terminating access etc.
- f) Click **Save**.

14.5 Contract close-out checklist

The Contract Close-out process is completed as part of the next quarterly reporting process following contract expiry unless there are extenuating circumstances which will be dealt with on a case-by-case basis. This timeframe allows the service provider to submit their quarterly reporting requirements as part of the contract management process.

As part of the Contract Close-out a contract review process is undertaken whereby feedback is sought from internal DCP stakeholders and the service provider. Refer to the [Contract Management Framework](#) procedure for information about the Post-contract review process.

- a) In the **Contract Close-out/Terminate Checklist** form; work through the checklist. Use the drop-down menus next to each item to identify whether it has been completed, not completed, or not necessary.
- b) In the **Close-out Activities** box, provide a summary of any additional close-out activities completed or to be completed.
- c) The **Terminate and Closed** tick box is only to be used when a decision has been made to terminate the contract **before the contract end date**. To terminate a contract is an agreed decision between both parties. The **Terminate and Closed** tick box should not be used during the course of a normal contract close out.
- d) If a decision has been made to terminate the contract before the contract end date, please link the termination document in the **Termination Document** field.

Contract Status:	<input type="text" value="Terminated"/>	Termination Document:	<input type="text"/>
<input type="checkbox"/> Revoke Service Provider Portal Access	<input checked="" type="checkbox"/> Terminate and Closed		<input type="button" value="Save"/>



- e) Only tick the **Revoke Service Provider Portal Access** tick box if the service provider does not require Portal Access for any additional contract. If the service provider has other ongoing contracts, this box should remain unticked.
- f) Click **Save**.
- g) Once the Checklist is complete, move to the **Close-out Approval** form and click the **Submit** button to send to the contract owner for approval.

14.6 Approve close-out

- a) The contract owner will receive a CMLS generated email advising that the Contract Close-out is available for approval.
- b) Click on the **hyperlink** in the notification email.
- c) View the Contract Close-out tab on CMLS and review the details and checklist.
- d) In the **Close-out Approval** form, click on the **Pending** hyperlink to open the **Approval** record.
- e) Type any comments into the blank field and click the Add button to include them on the approval/rejection.
- f) To reject the Contract Close-out: click the **Reject** button. If rejected, the contract manager should make any required changes in CMLS and resubmit.
- g) To approve the Contract Close-out: click the **Approve** button.
- h) Upon approval, CMLS will update the Contract status to terminated for contracts terminated or complete for any contracts closed out (not via termination).



15. Compliance, monitoring and evaluation

The Manager, Service Contracts and Licensing is responsible for monitoring compliance with the Contract Management Manual having oversight of and responsibility for management of the work undertaken by the Service Contracts and Licensing team.

Document control

Reference No./ File No.			
Document Owner		Lead Writer (position)	
Directorate/Unit: Out of Home Care		Lead Project Officer, Operational Support, Out of Home Care	
Accountable Director: Executive Director, Out of Home Care			
Commencement date	18 September 2024	Review date	6 September 2027
Risk rating	Consequence Rating	Likelihood	Risk Rating
Risk Assessment Matrix	Minor/Low	Unlikely/Low	Low

REVISION RECORD		
Approval Date	Version	Revision description
06/09/2024	1.0	Review in line with DCP Policy Review Cycle including consolidation of individual documents for chapters 1 to 10 into a single manual.