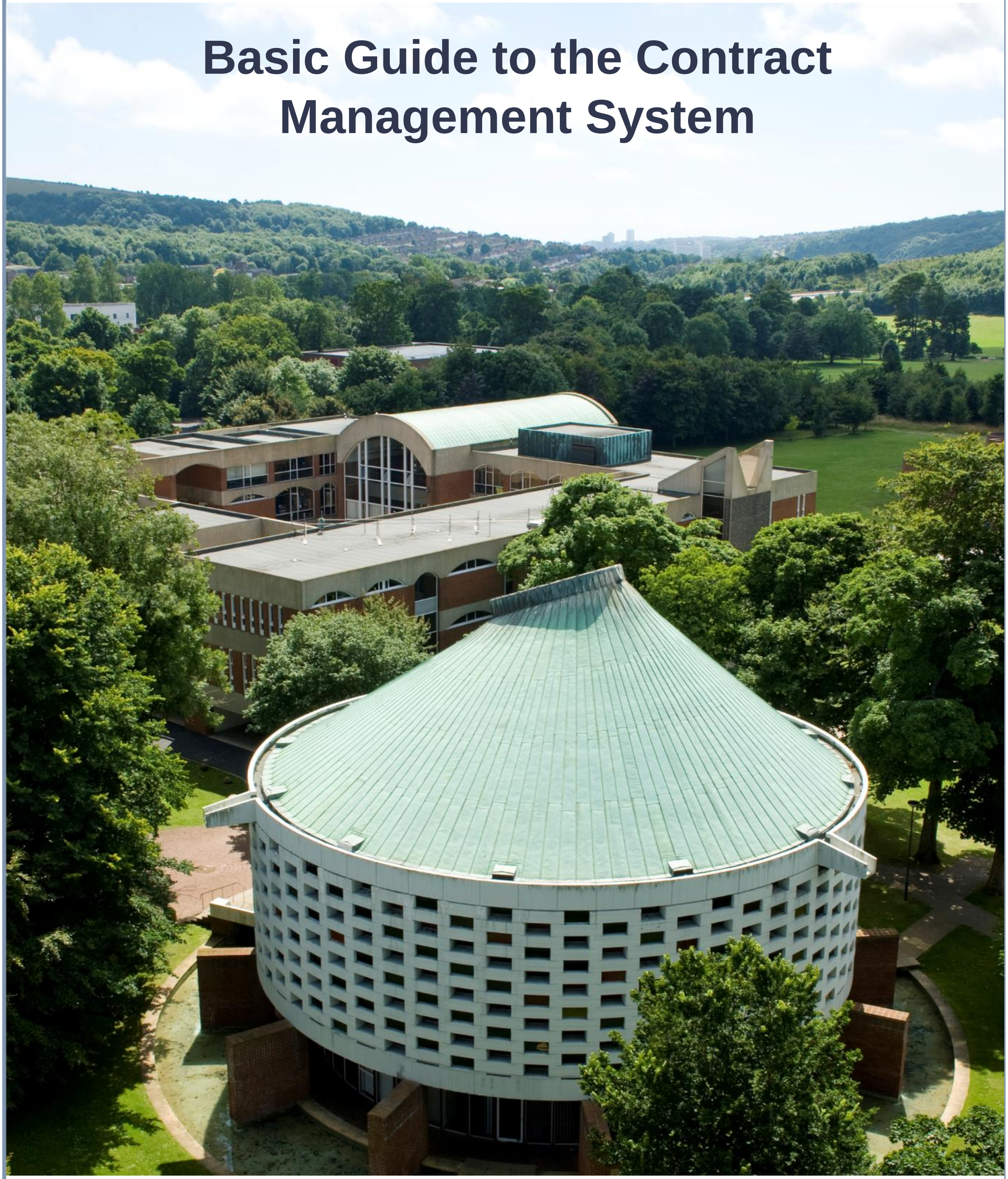
UNIVERSITY OF SUSSEX

# Basic Guide to the Contract Management System



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# Policy & Guidance

### Context & Purpose

The Contract Management Policy defines University-wide minimum best practice for managing contracts, in order to reduce risk and ensure value for money throughout the lifespan of the University's contracts.

### Scope

This guide covers the basic tools for managing contracts via the Contract Management System. It does not provide a framework for managing contractual obligations, or minimum best practice contract management, this can be found in the Contract Management Policy on the Procurement & Commercial Services webpage https://bit.ly/2WLCjRj.

### Principles of Contract Management

A contract describes a relationship between two parties and defines what each party commits to doing throughout the term of that agreement. Contract Management refers to a number of practices that exist to optimise that relationship and manage any risks and issues to ensure that both parties are able to perform their obligations under the agreement. It concerns all aspects of the contract's lifecycle, both pre-award (planning, formation, review, drafting, negotiation) and post-award (monitoring performance, renewal, exit, close-out). It is important that both parties should be in no doubt as to their respective obligations throughout the contract lifecycle, and that the contract remains a live document which is updated to reflect the most current status of the relationship.

### System Use

Contracts should be recorded on the system at their outset. As a minimum, the documents, including the original signed copy, should be uploaded immediately following signature. Key dates and milestones should also be recorded. The system should be used to pro-actively manage the contract, as appropriate to the level of value/risk profile of the contract, using the tiered approach below. Guidance on how to quantify risk can be found in the Contract Management Policy, and Tools available here: https://bit.ly/2WLCjRj

# Set-up

## 1 Access

If you do not already have an account, you will need to complete the Contract Management Access Request form and send this to the Finance Service Desk at rt-finance-servicedesk@sussex.ac.uk. The form can be found on the Finance page here: http://www.sussex.ac.uk/finance/forms

### Web address Link

Please paste the following link into your browser, and save to your bookmarks https://www.proactisplaza.com/BuyerPortal/ Before using the system, please make sure pop-ups are enabled in your browser.

### Training and Assistance

Please contact rt-finance-servicedesk@sussex.ac.uk who will direct your request.
Initial training on the system will be carried out by Procurement & Commercial Services. Systems queries or issues are handled by the Finance Service Desk.

### Additional Resources

Additional resources, including Tools for Best Practice Contract Management, and detailed and extended guides to using the system, can be found here: https://bit.ly/2WLCjRj. Reports on your school's/division's contracts can be generated by Procurement & Commercial Services.

## 2 Who do I contact for further help?

Contact the Finance Service Desk at rt-finance-servicedesk@sussex.ac.uk

## 3 Feedback and comments

We value your feedback and would be grateful for any comments on how to improve this guide. Please email rt-finance-servicedesk@sussex.ac.uk with your comments and feedback.

# 4 Login

1. Follow the website address link to the Login Screen.

2. Enter 'Sussexuni' as the Organisation ID.

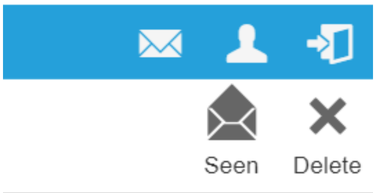
3. Enter your Username and system assigned Password from your Welcome Email. You will be prompted to change your password at this stage. If you have forgotten your login details, contact rt-finance-servicedesk@sussex.ac.uk.

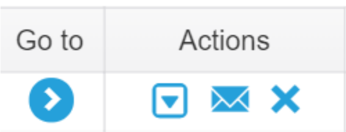
4. Click '**Sign In'**.

# 5 Navigating the Module

## Home Page

The homepage displays any activity relevant to your account, including any reminders from Tasks.
You can navigate directly from each listed action to the relevant task or contract, by clicking the blue arrow to the far right of the message, under 'Go to'.




## Navigate to contracts

1. Go to the menu at the top of the screen and select **Contracts – Contracts.** Double clicking on a contract will allow you to view the contract data relevant to your account access rights.

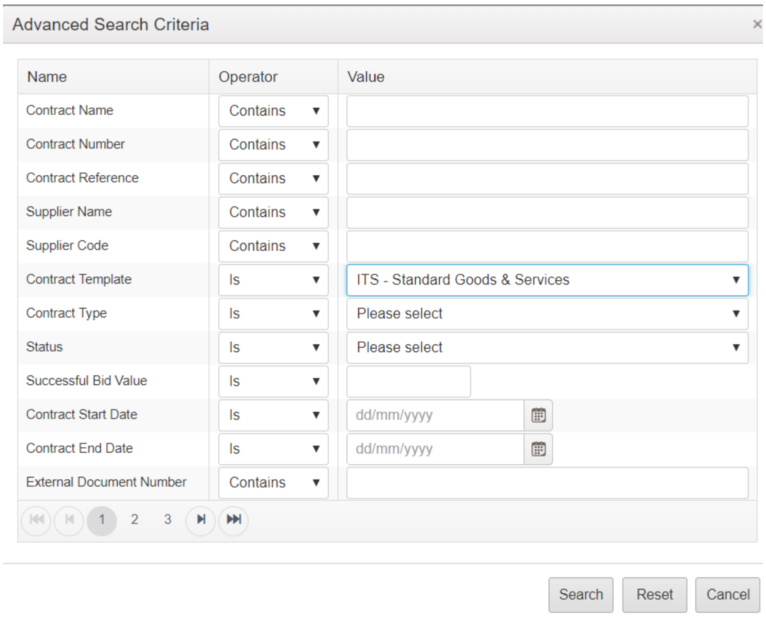
# Search Options

1. You can use any of the below options to search for a contract:

   - **‘Search Where’** bar – A quick search based on drop-downs options like the Supplier’s Name.
   - **‘Contains’** bar– Search on a contract title.


2. After entering your search criteria in either bar, click the magnifying glass on the far right of the ‘Contains’ bar, or hit enter on your keyboard.

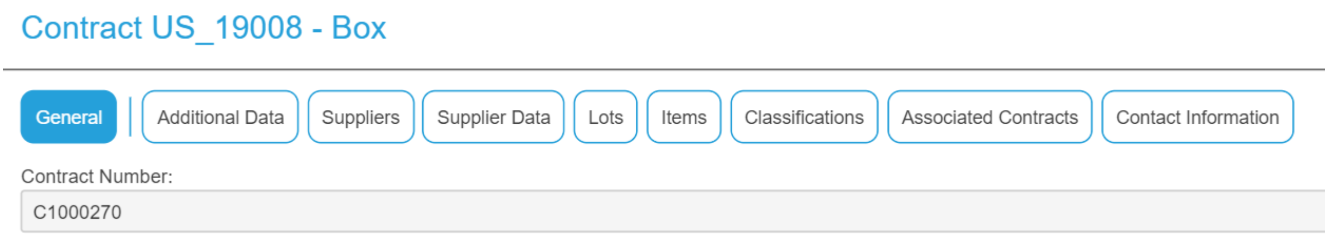
3. You can use the Binoculars, on the far right of the ‘Search Where’ bar (see image above) for a more detailed search. A box will appear (see image below) where you can narrow your search criteria. See the below example, the search is on Contract Template, and ‘ITS – Standard Goods & Services’. Clicking ‘Search’ on this will pull up all contracts for Goods & Services within ITS.



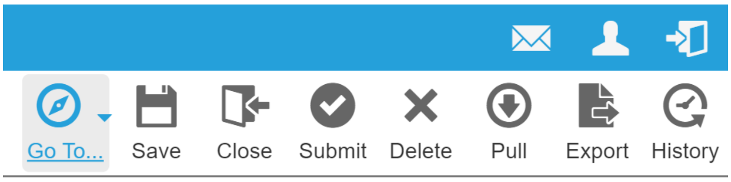
# 6 Viewing Contracts (*Navigate from: Contracts tab*)

1. Double click on a contract to view the contents (the contents will be based on your access permissions).

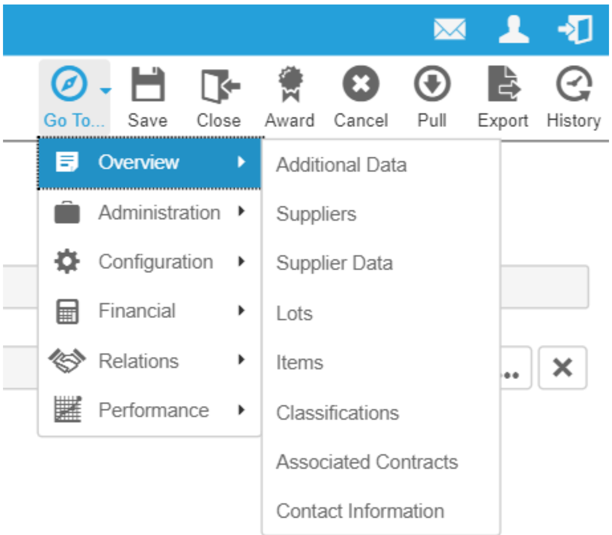
2. Click into each tab displayed. If you cannot gain access, or can only see three tabs, this is because the contract data has been restricted by the contract owner. You will find their details under the ‘Contact Information’ tab.




3. Navigate into other tabs using the ‘Go-To’ icon on the far right of the screen (see image below).




4. Navigate through each of the drop-down tabs (see image below). The purpose of each function within each of these tabs is detailed in the Summary of Tabs & Functions table at this link: https://bit.ly/2WLCjRj

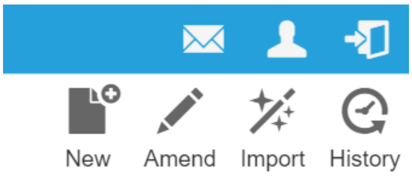


# 7 Adding a Contract (*Navigate from: Contracts into New*)

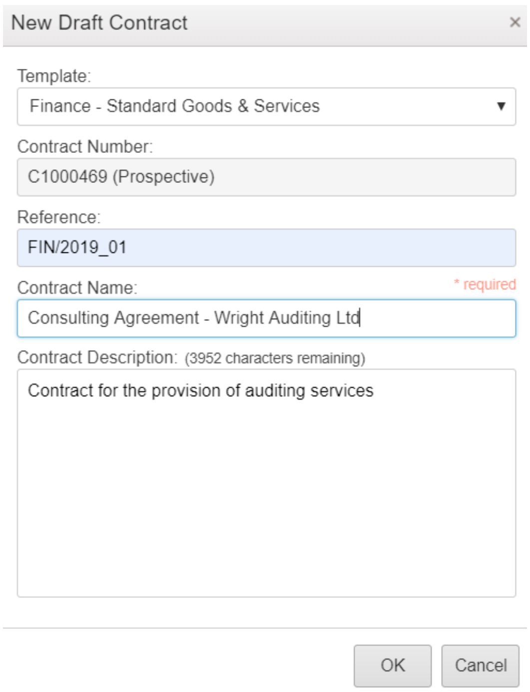
Contract can be added by either bulk upload using a spreadsheet, or individually:

**Individual Contracts**

1. To add an individual contract, click on 'Contracts' – 'Contracts' – 'New' icon (far right, see image below).




2. A pop-up should appear (see image below). Select a Template. This contains pre-determined access permissions, based on the school/division requirements. Select the template relevant to your school/division. If you cannot find a relevant template, contact the finance service desk rt-finance-servicedesk@sussex.ac.uk.

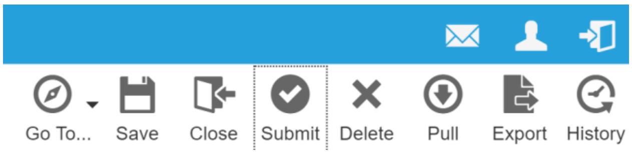



3. Next, enter a Contract Reference, Contract Name, and Contract Description. Schools/Divisions should use their own contract reference systems. If the contract has been through a tender process, the contract document may already contain a reference set by the Finance Department. This is one of multiple reportable fields.

4. Click 'OK' to create the contract.

5. Fill in any tab information, and click ‘Save’. This will save the contract in draft form.

6. On the right, there is now an option to ‘Submit’. You can now submit, approve, award, and activate the contract. Users are authorised to complete each of these actions, unless otherwise agreed within your school/division. A key to these contract statuses is provided below.  ONLY ‘ACTIVE’ status contract data can be recovered if a Contract is deleted.

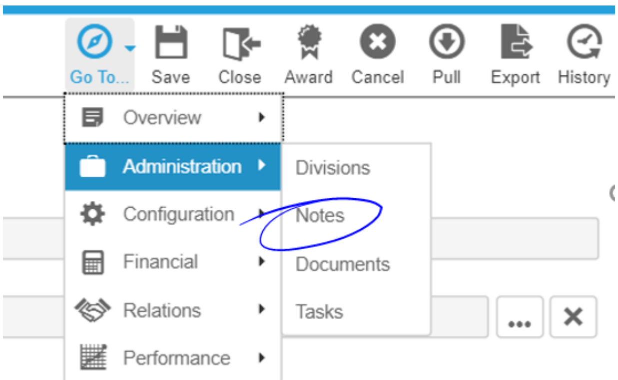



| Contract Status | Use |
|---|---|
| **Submit** | Can be used within your school/division to create structure around approvals |
| **Approve** | As above |
| **Award** | This should be used at the point when a supplier has been awarded the contract. Pre-existing contracts/historic contracts will already be awarded to a supplier |
| **Activate** | Live contracts should be moved to ‘active’ status |
| **Complete** | To be used when a contract has ended, terminated, or expired |

After the submission is approved, the contract can then be ‘Awarded’ to the supplier in the system, and then ‘Activated’. The system will only allow a Contract to be set to Activated if content is complete, including the addition of a supplier under the ‘Supplier’ tab (a supplier must exist in the Supplier Relationship Management system before it can be added to the Contract Management System. For guidance around adding a supplier, contact rt-finance-servicedesk@sussex.ac.uk).

# 8 Notes (Navigate from: *Go-To into Administration - Notes*)

Notes can be used to capture notes around management and performance. This is a useful way to keep track of 'to-do' lists, and leave a record for others to understand the agreement/relationship – e.g. at contract handover, or when legal issues arise.



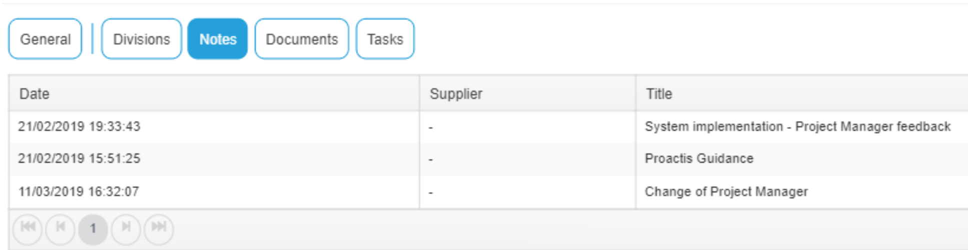
## Viewing a Note

1. To view a note, click on 'Go-to' – 'Administration' – 'Notes'. Double-click the Note. Click 'OK' to close the note.

## Adding Notes

1. To add a note, click on 'Go-to' – 'Administration' – 'Notes', and click the 'Add' icon, on the bottom right of the screen.

   Clicking 'OK' creates the Note, which then appears in a list. Double-clicking on a listed note will allow you to read the contents.




# 9 Documents (Navigate from: *Go-To into Administration - Documents*)

Documents can be used to store signed contracts, and any other pertinent or useful documentation, such as warranties, escalation hierarchies, or extracts from schedules, should be attached in this section.

## Viewing Documents

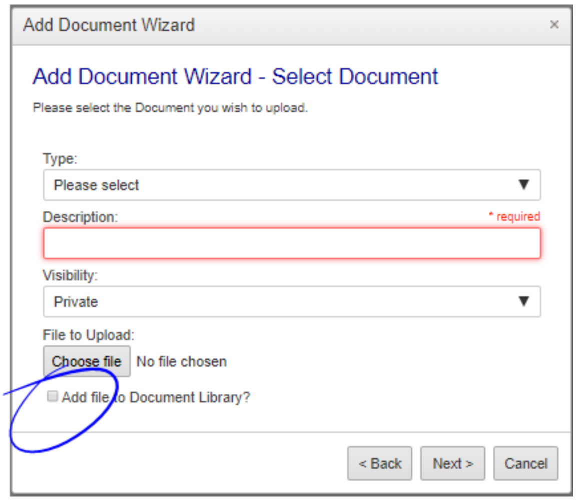
1. Navigate into the Documents tab (Go-To – Administration – Documents) and double-click on the document. You should see a 'Download' option.  Click download to retrieve a copy of the document.

## Adding Documents

1. To add documents, navigate into the Documents tab (Go-To – Administration – Documents) and click the 'Add' icon on the bottom right of the screen. A pop-up will appear.

2. Click 'Upload a new document', then click 'Next'.

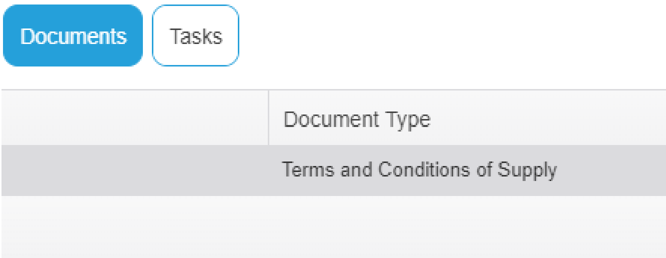
3. A second pop-up will appear (see below). Select the relevant Template Type, and add a description. Leave the file visibility on 'Private', and click 'Choose File' to upload the document. **Do not tick the box**, circled in the image below.




4. Click ‘Next’, and enter a date. If you do not have the option to enter a date, this is because you have selected a document type that does not require a date. Click ‘Finish’.

5. Your document should now appear on the Documents tab for the contract (see image below).

6. To change the order of the documents, you can click on any of the headings. Try clicking on ‘Document Type’:



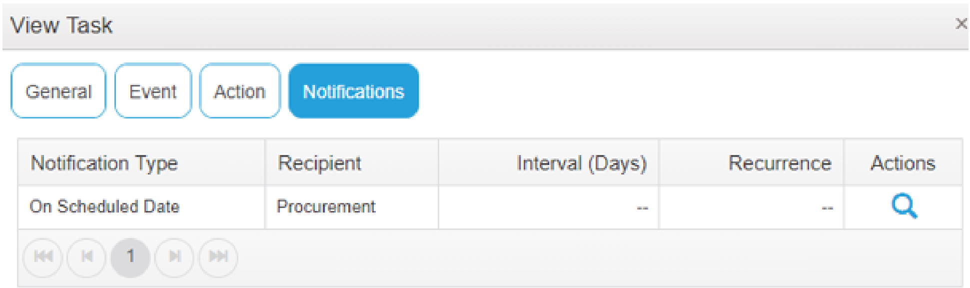

# 10 Tasks (Navigate from: *Go-To into Administration - Tasks*)

Tasks can be set to send reminders to both email and the home page of the User's account. Reminders can relate to expiring contracts, upcoming meetings, etc, and can be set to remind multiple users. Tasks can also be used to prompt users to carry out an action, such as holding a performance review if the supplier's performance score (under Defects) hits a set level.

## Viewing Tasks

1. To view a task, navigate into Go-To – Administration – Tasks, and double click on the task. A window will pop-up (see image below).

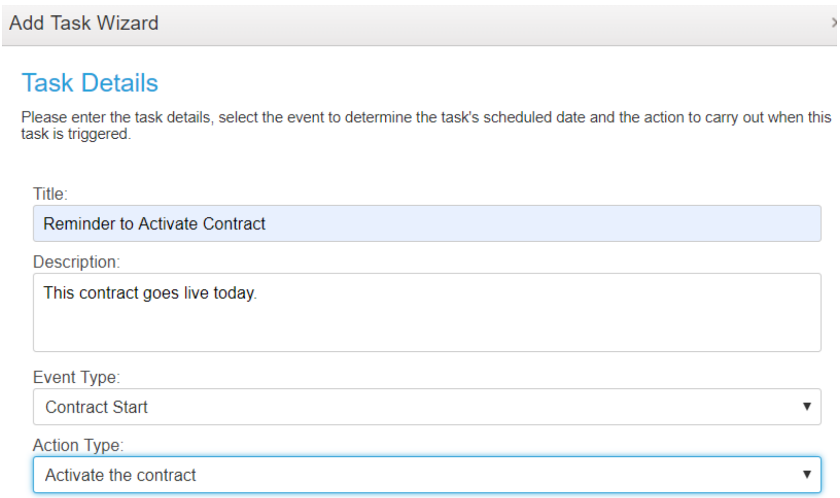
2. To see the recipients for the notice, navigate to ‘Notifications’, the fourth tab across (see image below, highlighted in blue). The ‘Recipient’ column shows which individual or group will receive the notification.




## Adding Tasks

1. To add a task, navigate into Go-To – Administration – Tasks, and click ‘Add’ on the bottom right of the screen. A pop-up will appear.

2. Add a ‘Title’ and a ‘Description’. Then select the Event Type ‘Contract Start’, and the Action Type ‘Activate the Contract’. Then click ‘Next’.

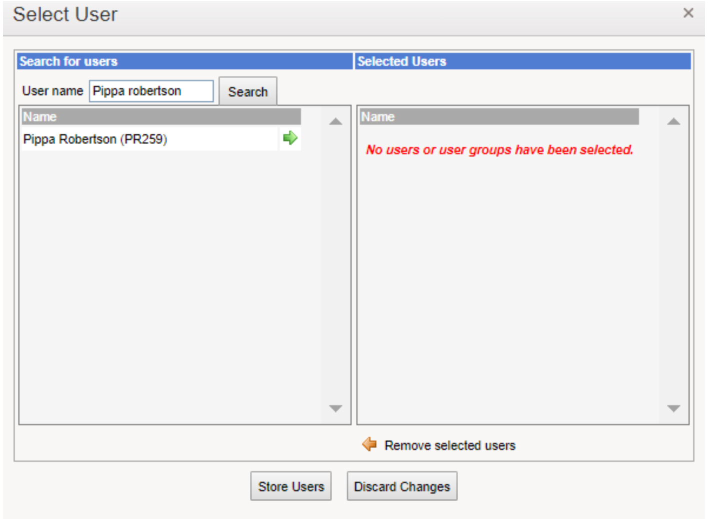



3. Enter a number to represent the number of days you wish the reminder to go out in advance of the start date, or leave as ‘0’ and the reminder will go out on the day the contract starts. Click ‘Next’.

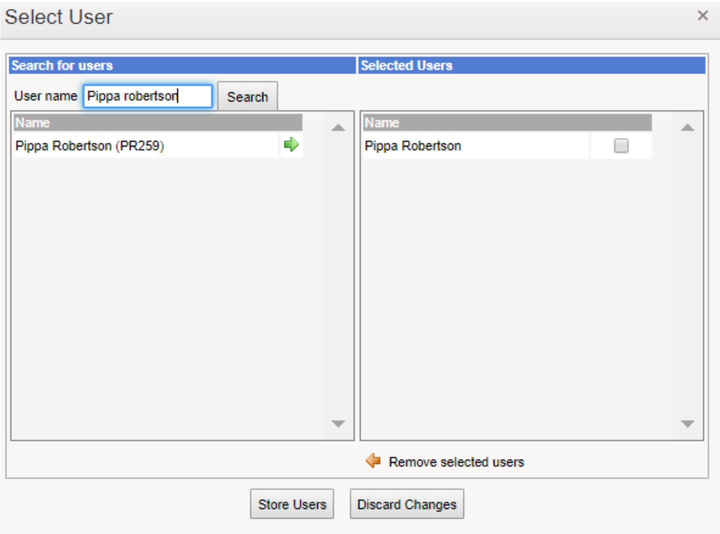
4. On the next page, click ‘Add’ to add Users who will receive the reminder.

5. Search for the user in the top left search box.

6. Click the green arrow next to the user’s name to select them. The User will move into the column on the right.



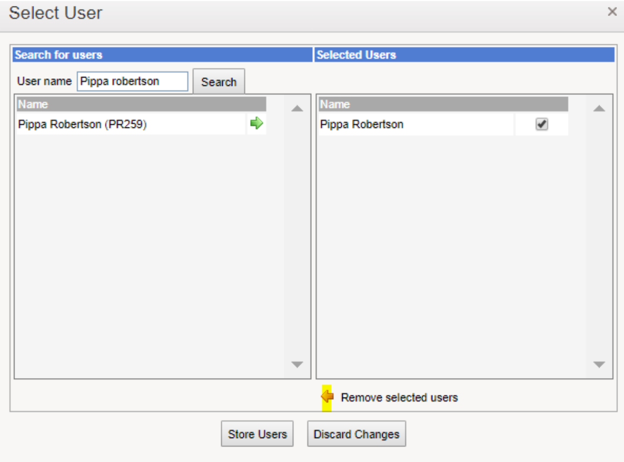

Now the User appears in the column on the right:




7. Click ‘Store Users’ and ‘OK’ (you must do this before trying to add another User).

8. To add another User, click ‘Add’, and repeat the same steps.

9. To remove a User, tick the box next to their name (righthand column) and then select ‘Remove User’ (at the bottom of the righthand column, arrow highlighted yellow on the image below).



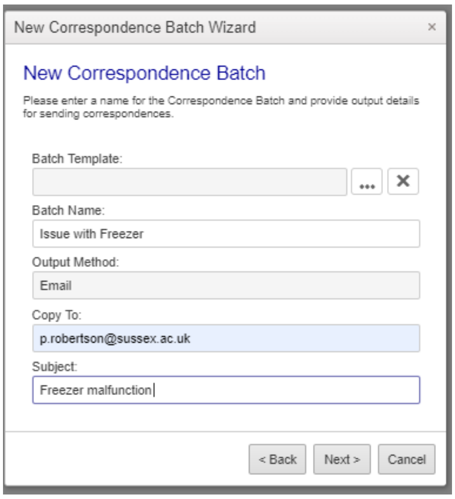

10. Click 'Next', and then review the final page to check your set-up details are correct (see below). Click 'Finish'.

**For more detail on creating other types of Tasks, including tasks that repeat, and tasks linked to Defects, see the 'Detailed Guide to the Contract Management System', at this link:**
https://bit.ly/2WLCjRj

# 11 Correspondence (Navigate from: *Go-To into Relations – Correspondence*)

Pertinent correspondence can be sent to an email address using the system, which then logs the correspondence. The supplier's reply does not come into the system, but could be saved from Outlook and attached under 'Documents'. Alternatively, 'Dialogues' allows supplier responses.

1. To add Correspondence, navigate into Go-To – Relations– Correspondence, and click 'Add' in the bottom right of the screen. A window will pop-up (see image below). Enter a 'Batch Name' and a Subject, and click 'Next'.



2. In the next window, select ‘Suppliers’, and click ‘Finish’.

3. Click through the tabs, and enter detail into the Correspondence tab. This will form the body of the email.

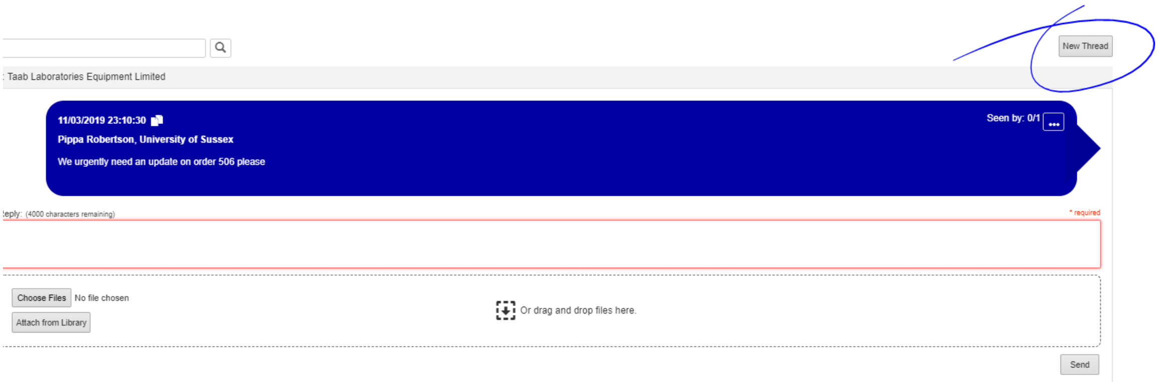
4. Click ‘Issue’ to send the correspondence.

# 12 Dialogues (Navigate from: *Go-To into Relations– Dialogues*)

Conversations can be had with the suppliers through the system. The differences between Dialogue and Correspondence is that Dialogue allows the supplier to respond into the system, whereas Correspondence only logs mail sent by the University in the system.

1. To create Dialogue, navigate into Go-To – Relations– Dialogue, and click ‘New Thread’ in the top right of the screen. A window will appear. Enter a subject, and message content.

2. Click ‘OK’. This creates the message thread, as per the below image. When the Supplier replies, the User will receive an email notification.

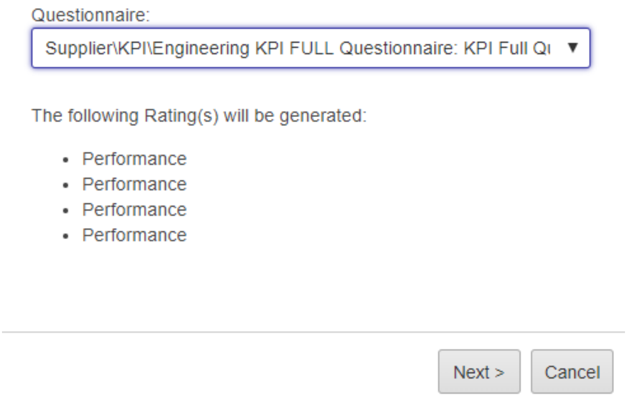



# 13 Ratings (Navigate from: *Go-To into Performance – Ratings*)

Feedback relating to contracts, goods and services can be recorded here, via a questionnaire, with a traffic light/percentage score allocated based on the level of impact. You will need to contact Procurement & Commercial Services and provide your requirements to build the initial questionnaire. You can then answer this yourself in the module, request completion by other Users with access, or work with Procurement & Commercial Services to send questionnaires out in batches to service users. The supplier can also be asked to complete questionnaires.

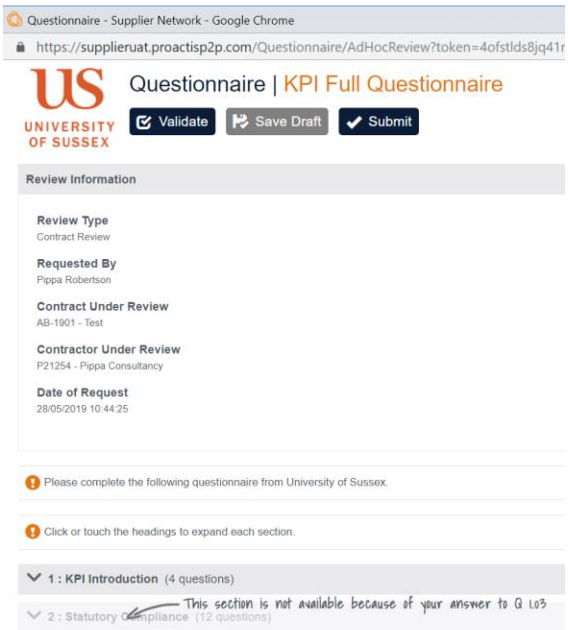
1. To complete a questionnaire and rate performance, navigate into Go-To – Performance– Ratings, and click ‘Add’ in the bottom right of the screen. A window will pop-up, asking you to select a Questionnaire.

2. Click the down arrow on the Questionnaire tab, and select the relevant questionnaire. You will need to have created this with Procurement & Commercial Services in advance for it to appear here.

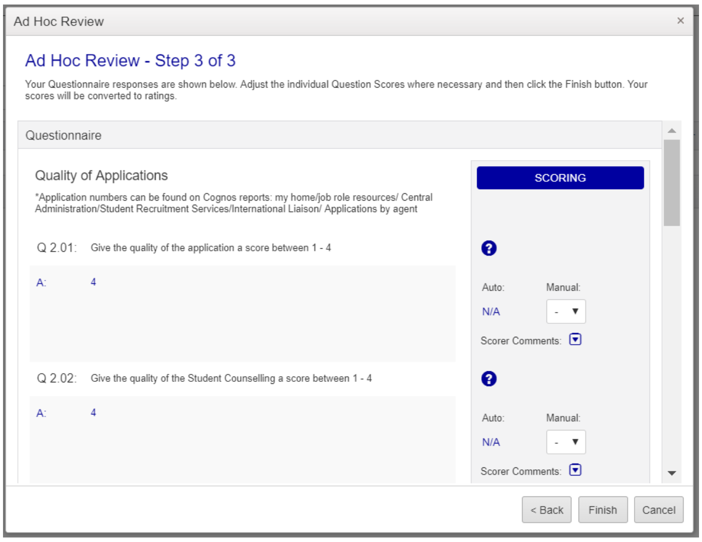



3. Click ‘Next’, and then select the ‘Complete Questionnaire’ link

4. A new screen will open:




5. Answer the questions, and click ‘Validate’ to check for any errors. Click ‘Submit’. The following page will appear:




6. On the left you can view the scores given for each question. On the right, you can either confirm, by re-entering the score, or manually over-ride the scores, by typing a new score. Scroll to the bottom of the page and click ‘Finish’ (on the right). Clicking ‘Finish’ will produce a confirmation message.

7. Click ‘OK’ to input the scoring onto the contract Rating’s section. Submitting multiple questionnaires will build up a history of scores, that can be viewed by clicking the magnifying glass under the ‘Actions’ section (far right on the image below).


Score History:


Ratings Included In Calculations

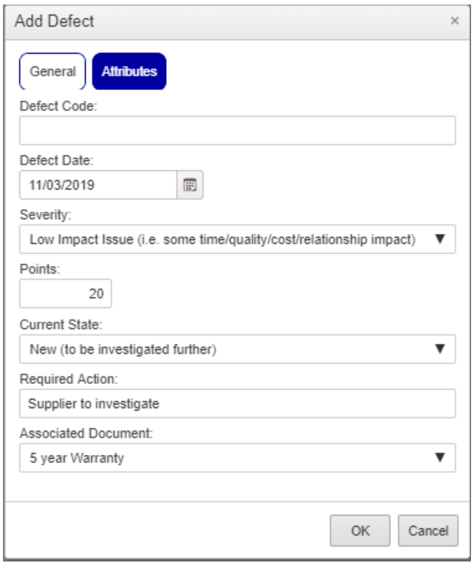
| Date | Band | Rating | Score | |
|---|---|---|---|---|
| 17/06/2019 14:09:54 | EX | Excellent | 70.00% | |
| 02/04/2019 09:19:15 | EX | Excellent | 100.00% | |

# 14 Defects (Navigate from: *Go-To into Performance – Defects*)

Complaints and issues relating to contracts, goods and services can be recorded here, with points allocated based on the level of impact. A limit can be set, i.e. '180 defect points logged', and a Tasks created so that an email alert is sent when the limit is reached.

1. To add a Defect, navigate into Go-To – Performance– Defects, and click 'New' in the bottom right of the screen. A window will pop-up.

2. Enter a 'Defect Type' and a 'Description', then navigate into the Attributes tab (see image below).




3. Enter the required information. The selected 'Severity' will determine the points awarded in the 'Points' box. The higher the severity, the higher the points allocated.

4. Select a 'Current State', enter a 'Required Action' and select any 'Associated Documentation'. Click 'OK' to log the Defect.

**To learn more about how to set automated warnings when Defaults reach a set limit, see the 'Detailed Guide to the Contract Management System' at this link:** https://bit.ly/2WLCjRj

## Appendix One – Minimum Good Practice Checklist

| Good Practice Contract Management Checklist | | | Contract Type | | |
|---|---|---|---|---|---|
| | | | HIGH RISK CONTRACT | MEDIUM RISK CONTRACT | LOW/NO RISK CONTRACT |
| **Minimum Good Practice Activities** | **Tool on Contract Management System** | **Example** | **Active Management** *(Complex services, high risk & impact)* | **Focused Management** *(flex to suit contract type, complexity & risk)* | **Basic/Administrative Tasks** *(One of purchases, low risk & low impact & low value services)* |
| Minimum contract information should be logged | General Tab | Contract Name, Contract Description, Start & End Date, internal contact details, supplier name | ✓ | ✓ | ✓ |
| A copy of the signed Contract document must be kept | Documents Tab | Upload the hardcopy contract and any related documentation to the Contract Management System | ✓ | ✓ | ✓ |
| Documents relevant to the contract should be logged | Documents Tab | Upload any related documentation, e.g. insurance policy, warranties, key Contract Management information, like contact lists and escalation hierarchies. Use the correct document type, this allows you to set expiry dates, where relevant, i.e. for insurance policies etc. The system will then notify you when the documents need to be updated. You can upload zip files, and files to a maximum size of 25Mb. Anything bigger will need to be split into separate files, or for PDF documents use a PDF splitter, like Adobe DC | ✓ | ✓ | |

| **Good Practice Contract Management Checklist** | | | **Contract Type** | | |
|---|---|---|---|---|---|
| | | | HIGH RISK CONTRACT | MEDIUM RISK CONTRACT | LOW/NO RISK CONTRACT |
| **Minimum Good Practice Activities** | **Tool on Contract Management System** | **Example** | **Active Management** *(Complex services, high risk & impact)* | **Focused Management** *(flex to suit contract type, complexity & risk)* | **Basic/Administrative Tasks** *(One of purchases, low risk & low impact & low value services)* |
| Contract renewals and expiries should be tracked | Tasks Function | In tasks you can set a reminder of the key date, and decide how long in advance you wish to be notified, you can add in other key people to these notifications using their email addresses. Schedule a task, i.e. Contract expiry reminder, reminder to begin a re-tender project, reminder to check progress on a key milestone. | ✓ | ✓ | ✓ |
| Contract Management activities should be proactively planned for (i.e. upcoming terminations or renewals, re-negotiation of pricing). Related information should then be updated | Tasks/Notes | In tasks set a reminder of the key date, adding in any relevant users to receive the reminder using their email addresses. You can use the Notes section to capture the relevant information, and sign-post users here in the reminder notice. | ✓ | ✓ | |

| **Good Practice Contract Management Checklist** | | | **Contract Type** | | |
|---|---|---|---|---|---|
| | | | HIGH RISK CONTRACT | MEDIUM RISK CONTRACT | LOW/NO RISK CONTRACT |
| **Minimum Good Practice Activities** | **Tool on Contract Management System** | **Example** | **Active Management** *(Complex services, high risk & impact)* | **Focused Management** *(flex to suit contract type, complexity & risk)* | **Basic/Administrative Tasks** *(One of purchases, low risk & low impact & low value services)* |
| Key contract/project milestones should be logged, with notes on the supplier's performance captured on the system | Tasks/Notes | You can use the Tasks and Notes section for both Contract and Project Management activities around key milestones. I.e. Set a task to remind the relevant users of an upcoming contract/project milestone, sign-posting them to the Notes section where you capture notes on the contracts/project's performance against any set timeline. | ✓ | | |
| Notes should be made to show where key decisions have been made, reviews have taken place etc | Notes | Log relevant notes with an automatic timestamp, including amendments, key decisions, agreements with the supplier etc. If these are already in document form, you might prefer to attach them in the Documents tab | ✓ | ✓ | |
| Minutes should be taken and logged on the system | Documents Tab | i.e. Performance Review minutes. This way they are available for you to plan any renegotiation, or contract renewals, or for General Council to review if there are legal issues going forward. They are also available for any handovers. | ✓ | | |

| Good Practice Contract Management Checklist | | | Contract Type | | |
|---|---|---|---|---|---|
| | | | HIGH RISK CONTRACT | MEDIUM RISK CONTRACT | LOW/NO RISK CONTRACT |
| **Minimum Good Practice Activities** | **Tool on Contract Management System** | **Example** | **Active Management** *(Complex services, high risk & impact)* | **Focused Management** *(flex to suit contract type, complexity & risk)* | **Basic/Administrative Tasks** *(One of purchases, low risk & low impact & low value services)* |
| Minimum data should be in place for handover, such as the name of the supplier's Contract Manager and their contact information | Suppliers | Add the supplier in the Supplier tab. They will need to exist in our supplier database already before you can search and add them here (i.e. be a university approved supplier, onboarded through our official process (contact RT@sussex.ac.uk to onboard a supplier). Log the supplier's contact information under this tab | ✓ | ✓ | ✓ |
| It should be clear what Items/service the Supplier should be providing | Items | Add items with descriptions, i.e. 'lift maintenance' | ✓ | ✓ | ✓ |
| Variations (changes) to the service, should be captured in writing and kept on record with the contract | Variations | Log & track contract variations, i.e. changes to milestones, project timelines, payments etc | ✓ | ✓ | ✓ |
| Supplier performance review meetings should be held. | Tasks | Schedule a task, i.e. reminder to arrange a meeting. Then add key users to the tasks, i.e. the Procurement Category Manager, or key service users. These users will receive the reminder notices | ✓ | ✓ | |

| Good Practice Contract Management Checklist | | | Contract Type | | |
|---|---|---|---|---|---|
| | | | HIGH RISK CONTRACT | MEDIUM RISK CONTRACT | LOW/NO RISK CONTRACT |
| **Minimum Good Practice Activities** | **Tool on Contract Management System** | **Example** | **Active Management** *(Complex services, high risk & impact)* | **Focused Management** *(flex to suit contract type, complexity & risk)* | **Basic/Administrative Tasks** *(One of purchases, low risk & low impact & low value services)* |
| Important correspondence should be kept on the supplier record with the contract | Correspondence | Correspondence can be sent out to your supplier through the system. This then logs the email directly on the system under the Correspondence tab | ✓ | | |
| Issues with the product or service should be recorded and kept with the contract | Defects | Points can be assigned to issues/defects related to a service, depending on the level of the severity. Actions can be logged against defects, i.e. 'to discuss at next contract review meeting' | ✓ | ✓ | |
| Pertinent written discussions about the contract should be kept on record with the contract | Dialogues | A logged conversation with a specific supplier about the contract | ✓ | | |
| A system should be in place to track the performance of the supplier | Ratings | Using a straightforward traffic light system, you can give suppliers ratings via a feedback form. You can send this out from the system to key users | ✓ | | |
| There should be an awareness of how this contract relates to other contracts (including those with other suppliers) | Associated Contracts | Log associated contracts under the Associated Contracts tab, i.e. a construction agreement might require us to give notice to a utility provider under a separate contract. | ✓ | | |