




TECHNICAL OFFICER'S RACI MATRIX FOR MANAGEMENT OF SERVICE CONTRACTS AT CERN

Objective

 The objective of this document is to provide guidance to technical officers in managing their service contracts. For the present RACI, the term "technical officer" comprises the person at CERN in charge of the technical aspects of the contract as well as any person helping him to supervise the performance of the services.

Understanding RACI matrix





Letter	Definition	Symbol
R	Responsible / Driver: <ul style="list-style-type: none">Who is responsible for the execution of the task?	
A	Approval / Signature: <ul style="list-style-type: none">Who has the authority to take decision?Who signs the document?	
C	Consulted / Supports: <ul style="list-style-type: none">Who can provide expertise or support?	
I	Informed / Recipient: <ul style="list-style-type: none">Who needs to be updated of the progress?Anyone whose work and/or task depends on this task?	



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BEFORE CONTRACT START




1- Organize contract follow-up

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Read and understand the contract and all applicable documents (technical specification and its annexes, evaluation questionnaire, tender form, General Conditions of CERN Contracts, Working on the CERN site, etc.). Knowing the contract, in particular the contractor's and CERN's obligations, is the best way to apply it accordingly.</p> <p> <i>Tip: Contact the procurement officer if you have any questions or doubts.</i></p>			
<p>Be aware of risks related to "délit de marchandage" and behave in such a way that does not create the impression of "délit de marchandage".</p> <p>Remember:</p> <ul style="list-style-type: none"> -The contractor's personnel shall work under the sole authority of the contractor, not CERN; -The contractor shall provide all the necessary tooling, materials and equipment for the execution of the contract; -CERN procures a complete service instead of hiring specific (identified) members of the contractor's personnel. <p> Warning:</p> <ul style="list-style-type: none"> -Do not provide CERN property / material resources, except if CERN's specific equipment is heavy or costly; -Only refer to applicable law instead of advising the contractor to retain personnel from the previous contractor; -Ask the contractor's personnel to perform tests anonymously instead of approving CVs; -Make requests to the contractor, not to the contractor's personnel; -Do not sign any reference letter or assessment or declaration of work for any contractor's personnel; -Refer to performance of the service instead of performance of the contractor's personnel; -Do not include contractor's personnel in CERN's organizational charts. <p><i>Refer to the procurement officer if you have any questions or doubt.</i></p>			
Read and apply guidelines on integrity at CERN , in particular Code of Conduct (guidelines for gifts, favors and hospitality): "Examples of gifts, favors or hospitality which cannot be accepted include [...] any items, including advertising and promotional items, the market value of which typically exceeds 30CHF".			
Organize the team for the technical and financial supervision of the work, as appropriate.			
Create the structure for document management in EDMS.			












1- Organize contract follow-up

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Present the contract to CERN technical supervisors and make sure that any person helping to supervise the performance of the services is aware of the contractual obligations of the contractor and CERN.			
Set up internal rules, including communication channels (in accordance with CERN procurement rules), for contract follow-up (including RACI matrix, where necessary), and communicate accordingly to the CERN team following-up the contract.			

















2- Kick-off meeting

 The technical and procurement officers shall monitor the implementation of the contract before its start! This section describes the technical and procurement officers' roles and responsibilities from the letter of intent until contract start.

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Prepare kick-off meeting agenda.  Tip: a template "agenda for the contract kick-off-meeting" can be found in procurement templates.			
Send kick-off meeting invitation with agenda to the contractor. The kick-off meeting should be held as soon as the letter of intent is issued or at least three months before contract start.			












2- Kick-off meeting














Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Hold the kick-off meeting:</p> <p> <i>Tip: The technical officer leads discussions related to technical and safety aspects. The procurement officer leads discussions related to commercial, administrative, legal and contractual aspects, including 4P. Make sure that CERN speaks with one voice.</i></p> <p>Participants shall include at least:</p> <ul style="list-style-type: none"> • CERN's technical and procurement officers, • The contractor's technical and commercial representatives in charge of the contract, including the contract manager, accounting officer if necessary, Safety manager. <p>The contractor is requested to present the implementation phase (and all related contractual aspects) that is going to be performed, covering all aspects stated in the technical specification and submitted by the contractor in the evaluation questionnaire. These include in particular:</p> <ul style="list-style-type: none"> • Human resources (organizational chart with names, recruitment plan and training program etc.), <p> <i>Tip: Only refer to applicable law instead of advising the contractor to retain personnel from the previous contractor. The presentation shall be service-oriented.</i></p> <ul style="list-style-type: none"> • Material resources, • Implementation schedule (deliverables dates etc.), • Subcontractors (see section "Approval of a subcontractor" below), • Training Matrix, Etc. 			
<p>Follow the agenda previously communicated, in particular:</p> <ul style="list-style-type: none"> • Nominate CERN's and the contractor's contact persons; <p> <i>Tip: Please refer to section "Organize contract follow-up" above for further details.</i></p>			
<ul style="list-style-type: none"> • Review the main aspects of the contract and technical specification, and make sure that all aspects are understood by the contractor; <p> <i>Tip: Read the contract and stick to it. Do not enter into any further negotiations or arrangements from the contractor.</i></p>			
<ul style="list-style-type: none"> • Check coherence between the implementation plan presented by the contractor and the information included in the evaluation questionnaire (number and qualification of human resources, proposed profiles, organization chart, proposed schedule, milestones agreed and material resources); <p> <i>Tip: Stick to the technical specification and evaluation questionnaire.</i></p>			



2- Kick-off meeting

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<ul style="list-style-type: none"> Cover all administrative aspects such as registration of the contractor's personnel, access needs, declaration of subcontractors etc.; <p> <i>Tips: Ask the contractor to anticipate registration and access as much as possible.</i></p> <p>The instructions for registration of the contractor's personnel can be found in the following link "https://admin-eguide.web.cern.ch/en/procedure/registration-contractors-personnel"</p> <p>In addition, for access to CERN buildings requiring specific access authorisations, if known at the time of the kick-off meeting, the technical officer shall provide the list of such buildings in order for the contractor to identify the training courses necessary, performs them and requests accesses via EDH. More information of access authorisations can be found in section "Access to CERN's buildings.....13" below.</p> <p>See sections "Contract start (T0 + ~6 months)15" and "Administrative follow-up"</p>			
<ul style="list-style-type: none"> Present the procedure and planned provision of CERN property (keys, SIM cards, vehicles); 			
<ul style="list-style-type: none"> Cover Safety aspects, including the prevention plan (PP) to be prepared by the technical officer, completed and re-submitted by the contractor one month before the start of activities (see section "Implementation phase" below) <p> <i>Tip: The PP shall be signed before the start of any work. The one-month deadline is not a legal obligation but should be taken as best practice.</i></p>			
<ul style="list-style-type: none"> Cover financial aspects related to the contract: VAT, ordering procedure, invoicing, bank guarantee etc.; <p> <i>Tip: The contractor can be reminded of the "VAT and invoicing guide" or be put in contact with CERN's VAT expert (Tom Wegelius).</i></p>			
<ul style="list-style-type: none"> Recall the actions decided, deadlines and action owners; 			




<ul style="list-style-type: none"> Set the date of the next meetings before contract start (recommended frequency: weekly or bi-monthly). <p> <i>Tip: Suggest that the contractor refers to the web link detailing general aspects to be considered when signing a contract with CERN: “Running a contract with CERN”</i></p>			
<ul style="list-style-type: none"> Draft the minutes of the kick-off meeting, submit it to the procurement officer. <p> <i>Tip: a template “Contract kick-off meeting report” can be found in procurement templates.</i></p>			
<ul style="list-style-type: none"> Review the minutes of the kick-off meeting and submit commented version to the technical officer. 			
<ul style="list-style-type: none"> Finalise and submit the minutes of the kick-off meeting to the contractor, with copy to the technical officer. 			
<ul style="list-style-type: none"> File the minutes of the kick-off meeting (both paper and electronic format) in the document management system (EDMS is applicable). <p> <i>Tips: Use of EDMS (applicable for all contracts requiring strict document management).</i></p> <p><i>The overall goal and purpose of the EDMS is to provide CERN with leading-edge engineering and equipment data management capabilities. This implies providing a set of advanced information systems but also the development and the formalization of methodologies and procedures for the engineering and equipment data management processes of CERN.</i></p> <p><i>The EDMS ensures that engineering, equipment data as well as documentation for projects and installations are safeguarded, organized, verified and remain retrievable on a long-term basis. For CERN with project lifecycles of the order of 25-40 years it is essential to maintain controlled quality documentation since in many projects one generation of engineers and scientists builds the machine while the succeeding generation operates and maintains it.</i></p> <p><i>Here, the CERN EDMS plays a key role as a tool enabling engineering knowledge transfer between generations - a knowledge transfer that is possible only by imposing standards and common methods of managing engineering and equipment information.</i></p>			


















2- Implementation phase

 The implementation phase starts at the time of notification of award until the date when all actions necessary for the implementation of the contract -including validation of the Quality Assurance Plan, reporting templates, working procedures etc. by CERN - are completed. The implementation phase may then be completed after the contract start date (T0).




a. Prevention plan

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Prepare the Prevention Plan (PP), identifying specific risks, and submit a draft version to the contractor.</p> <div>  Warning: Ideally, the PP should be signed one month before the start of the contract. CERN is responsible of the Safety of every person working on its site. In this respect, CERN has the obligation to ensure the Safety coordination of activities. The technical officer should seek support from HSE Unit when necessary, especially for specific matters such as radiation protection, asbestos etc. or for any help about the preparation of the PP. See HSE Unit website for more information on applicable Safety rules, available trainings etc. Use the template available in CERN's Safety forms website. Each technical officer should have identified and understood the risks related to the performance of the services, and answer the questions "what", "who", "how", "when". This includes consideration of risks related to CERN site, co-activity and the performance of the services. The PP shall be reviewed and updated on a regular basis. Please refer to section "Safety coordination" for further details. </div>			
Complete the PP, including in particular risk mitigation actions, and submit it to the technical officer.			
Review and draft the document, in coordination with CERN's HSE Unit.			
Submit the final version of the PP to the technical officer for approval.			
<p>Approve the PP and upload it in EDMS. The PP shall be signed before the start of activities on the CERN site.</p> <div>  Tip: Legal obligation: the PP shall be signed before the start of any work. </div>			














a. Prevention plan



Action	Roles		
	Tech. officer	Proc. officer	Contractor
Distribute the PP to all members of the CERN team for work supervision, make one (paper) copy available to anyone concerned, request written confirmation from the contractor that the PP has been duly distributed and presented to the contractor's personnel.			
File the PP.			

b. Joint Inspection Visit / Visite d'Inspection Commune










Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Perform the "Joint Inspection Visit" ("VIC") during the preparation of the Prevention Plan (PP). When the contractor is expected to access large / many CERN facilities, the visit should focus on CERN's strategic buildings in terms of Safety. In addition, Specific VICs should be performed during the execution of the contract, before the work starts.</p> <p>The VIC shall involve:</p> <ul style="list-style-type: none"> • The technical officer, • CERN's Technical Safety Officer (TSO), • The contractor's duly appointed representative, • The contractor's Safety officer, • CERN Safety coordination, • CERN radiation protection services, if required. <p> <i>Tips: In principle, the presence of CERN HSE Unit representative is not mandatory but can be decided on a case by case basis.</i></p>			
Draft the VIC report. Submit it to the contractor.			
Sign the VIC report. The VIC can be signed by a CERN representative duly appointed by the technical officer.			
Distribute the VIC to all members of the CERN team for work supervision, make one (paper) copy available to anyone concerned, request written confirmation to the contractor that the VIC has been duly distributed and presented to the contractor's personnel.			



b. Joint Inspection Visit / Visite d'Inspection Commune

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>File the report of VIC in EDMS and include it in the PP.</p> <p>In case of punctual VIC performed before the start of a work, the report of the VIC shall be made with the "IMPACT" tool (use the related "VIC" functionality in the tool and attach it directly to the IMPACT form).</p> <p> <i>Tips: In case the technical officer needs further information on how to use IMPACT, there is a course "IMPACT Fundamentals" available at the learning hub. This course, in English or French, covers the basics for IMPACT.</i></p>			

c. Implementation progress meetings





Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Organize regular progress meetings (weekly or bi-monthly) to:</p> <ul style="list-style-type: none"> -follow-up the actual implementation of the contract until the contract start date, focusing on the actions decided during the kick-off meeting (resources, training etc.), and on the type of documents expected from the contractor (work procedures etc.) including associated deadlines, -define the format and frequency reporting during the implementation phase and execution of the contract. <p> <i>Tip: Participation of the procurement officer is strongly encouraged. The technical officer must raise issues that may have an impact on the contract implementation to the procurement officer as soon as possible.</i></p>			
Draft the minutes of the implementation progress meeting -have it reviewed by the procurement officer if necessary - and issue it to the contractor.			
File the minutes of implementation progress meetings.			





d. Registration and access of the contractor's personnel






i. Registration

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Once the contractor's contact persons have been validated in Qualiact by the procurement officer, register in PRT2 each person (and subcontractor's person) who will need access to CERN's site, with all required supporting documents, with a proposed duration of access rights (not exceeding the contract's duration). Once PRT2 has been completed, the contractor's personnel shall present themselves to CERN's Security service in building 55 <u>before the start of the services to be performed</u>, and show the originals of the supporting documents to get their registration card.</p> <div>  <i>Tip: Please refer to the website http://admin-equide.web.cern.ch/en/procedure/enregistrement-de-personnel-dentreprise-contractante and the document "Working on the CERN site" for additional information.</i> <i>Beware: In case the contractor holds more than one contract with CERN, make sure the right personnel is registered under the right contract. For subcontractors, a formal request shall be made to CERN, please refer to section "Approval of a subcontractor" for further details.</i> <i>Upon expiry of a supporting document (ID, certificate, training etc.), access rights will be automatically withdrawn. The contractor and the technical officer will receive a notification two months in advance – requesting the renewal / extension of the relevant supporting document.</i> </div>			
Check that the overall number of personnel and proposed duration of access to the CERN site matches with the activity performed. If needed, contact Registration service (access.registration@cern.ch) - in particular if proposed duration is not adequate (E.g: request for three years for works lasting 6 months).			











ii. Access to CERN's buildings









Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Provide the list of CERN's buildings requiring specific access authorizations, and to which contractor's personnel (and subcontractor's personnel) will have access during the execution of the contract.</p> <p> <i>Tip: Please refer to the document "Working on the CERN site" for additional information.</i> <i>All accesses shall be requested before the start of the contract.</i> <i>For contracts related to works, the technical officer might provide the list of buildings only during the execution of the contract. In such case, access requests will be made after the start of the contract. See more details in section "Registration and access authorizations".</i> <i>For C contracts, access follow-up can be used as a strong control tool, since the technical officer is responsible to validate access to CERN's premises on a case-by-case basis.</i> <i>Access control is performed with the ADaMS (Access Distribution and Management System) tool, which give details on all CERN zones with an access control system.</i></p>			
<p>Log on to ADaMS, select a CERN zone and the building zone code to which the contractor's personnel (and subcontractor's personnel) will have access.</p> <p>ADaMS will:</p> <ul style="list-style-type: none"> • Provide the links to the list of training courses to be performed; • Provide a confirmation that all necessary training courses have been registered (and then performed) correctly; • Establish whether a dosimeter is necessary; • Give information about minimum Personal Protective Equipment (PPEs) required. <p> <i>Tip: A CERN account is required to access ADaMS.</i> <i>Beware: information provided by ADaMS on PPE do not exempt the contractor from checking and making sure that all necessary PPE are provided for the performance of the services.</i> <i>Please refer to the document Working on the CERN site for more information on dosimeters and double dosimetry. Additional guidelines can be found in the CERN dosimetry website on how to obtain a CERN dosimeter.</i> <i>ADaMS provides information about premises under access control, and gives guidelines about the related minimum requirements. In this respect, ADaMS is not intended to provide guidance about the risks related to the performance of the services.</i></p>			






<p>Complete the requested training courses, and, if applicable, obtain a CERN dosimeter.</p> <p> <i>Tip: Training shall be performed before the date of intervention in CERN's building, otherwise access will be denied.</i></p>			
<p>Once the trainings are performed and, if applicable, upon reception of a CERN dosimeter, request access to CERN's specific buildings for each of the contractor's personnel (and subcontractor's personnel) via EDH (the document is called "Access Request (ACRQ)").</p> <p> <i>Tip: The link to EDH can be found in ADaMS.</i></p>			
<p>Review the proposed list of personnel and duration of access rights, with validation in EDH. The workflow is then redirected to the responsible of the area concerned (Group Leader In Matters Of Safety (GLIMOS), Department Safety Officer (DSO) etc.) of the related building for final approval.</p> <p> <i>Tip: Upon approval, a green check will be visible in ADaMS.</i></p>			

iii. Distribution of CERN property
















Action	Roles		
	Tech. officer	Proc. officer	Contractor
Give specific instructions concerning the provision of the CERN property (keys, SIM cards, ODH detector, vehicle etc.) requesting supporting documents as necessary (e.g. driving license).			
<p>Establish an inventory for such CERN property (keys, SIM cards, ODH detector, vehicle etc.), stating its condition upon handover.</p> <p> <i>Tips: Keep track of all CERN property provided to the contractor.</i></p>			
<p>Sign the CERN inventory (keys, SIM cards, vehicle etc.)</p> <p> <i>Tips: It is advisable to use "Ordre de Service" (OS) to formalise and document the inventory. See section "Correspondence" for further details.</i></p>			



CONTRACT EXECUTION








 It is the technical and procurement officers' responsibility to ensure that the actual services provided by the contractor are in accordance with the contract. This section describes the technical and procurement officers' roles and responsibilities from the contract start until its end.

1- Contract start (T0 + ~6 months)

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Check that all actions agreed as part of the contract and meetings of the implementation phase are actually implemented (number and qualification of resources, organization chart, deadlines, registration and access rights, follow-up of the services already performed, etc.).			
If applicable, retrieve an inventory of CERN's assets, special tools and spares from CERN's database (Infor EAM etc.) and submit it to the contractor.			
If applicable, verify and establish an inventory of CERN's assets, special tools and spares available in CERN's stores and return it to the technical officer within the deadlines set forth in the contract.			
Verify – comparing proposed inventory against information available (in Infor EAM where applicable) - and modify the quantities in Infor EAM, as appropriate.  <i>Tips: This task may be performed by the contractor. Sample checks may be sufficient in case the quantity of items to be checked is high.</i>			
Validate and/or sign the assets and spare parts inventory.			
Collect and accept or approve (see tip) all deliverables (template of monthly/quarterly reports, Quality Assurance Plan (QAP) etc.) due, within the conditions and deadlines set forth in the contract.  <i>Warning: Some documents such as working procedures would require acceptance only as it is the responsibility of the contractor to establish appropriate procedures and to apply them. Approval by CERN means the responsibility of adequacy of the proposed documents is shared between the contractor and CERN. In this respect, the technical officer shall distinguish the concepts of acceptance and approval. All documents prepared by the contractor during the execution of the contract become CERN's property. Should such documents be subject to confidentiality obligations, the technical officer shall comply with contract provisions and take any appropriate measures: ask contractor's approval for the use of the document, etc. The contractor shall not resubmit an existing QAP as such. A new contract requires the preparation of a new QAP. Should the contractor be the incumbent and provided CERN agrees, the QAP may be a revised version of the existing one.</i> <i>Please refer to the guidelines for contractor's quality plan for further details</i>			



















2- Follow-up meetings

a. Operational progress meetings





Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Hold weekly operational meetings, as appropriate.</p> <p>Warning: Should the performance of the contract not be compliant with the contract requirements, the technical officer may decide to increase the frequency of meetings as needed with regards to the situation. For further details on management of issues and dispute settlement, please refer to sections “Day to day issue settlement” and “Dispute settlement” below.</p>			
<p>Send the agenda and invitation to weekly operational meetings. The agenda shall include all aspects related to operational issues, including Safety, schedule of activities etc.</p> <p>Participants shall include at least:</p> <ul style="list-style-type: none"> CERN's technical officer, The contractor's technical supervisor and team leaders. <p>Warning: Should there be important contractual matters to address (non/under performance of the contract, price revision, extension etc.) during the meeting, it is advisable to set up a preparation meeting with the procurement officer. For C contracts, it is advisable to set up a weekly meeting, inviting successively all internal customers involved in ongoing works, with a defined timing for each customer. Safety: ask the contractor to report and document all issues.</p>			
<p>Draft and issue the minutes of the operational progress meeting – preferably via a Service Order / Ordre de Service (OS).</p> <p>Warning: The technical officer –not the contractor- shall draft the minutes of meeting. The minutes of meeting should include a provision such as: “You are kindly requested to return to CERN a signed copy of the present Service Order within five working days of its reception. Without any response from you within this deadline, the Service Order will be considered accepted.” Safety: make sure the subject is covered in the minutes to show that Safety is being followed-up closely, including when no accident or specific issue is reported (ex: mention “no specific Safety issue declared this month/week”).</p>			
File the minutes of the weekly progress meeting in EDMS.			



b. Contract follow-up meetings

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Send contractual meeting invitations with agenda. The contractual meetings should be held on a regular basis (monthly, quarterly, yearly), in accordance with the conditions defined in the contract.</p> <p>Participants shall include at least:</p> <ul style="list-style-type: none"> CERN's technical officer - with group leader and the procurement officer at least for yearly meetings, The contractor's technical and commercial representatives (and management for yearly meetings). <p>The agenda of the contractual meetings shall include all aspects related to administrative, technical and financial follow up, as described in the section below.</p> <div>  Warning: <i>Should there be important contractual matters to address (such as performance of the contract, price revision, extension etc.) during the meeting, organise a preparation meeting with the procurement officer.</i> </div>	 (quarterly)  (yearly)	 (quarterly)  (yearly)	 (quarterly)  (yearly)
Hold preparatory meetings, covering technical, commercial and contractual matters, as appropriate.			
<p>Hold the contractual meetings, following the agenda previously communicated, in particular:</p> <ul style="list-style-type: none"> Status of actions completed / ongoing, Scheduled activities for the month / quarter / year to come (volume of work), Resources (organization chart with names), Safety issues (accidents, incidents or near misses of the period, corrective actions taken etc.), Non-conformities and corrective actions, Key Performance Indicators (KPIs), Administrative situation (extension of contract, declaration of subcontractors etc.), Contractual, commercial, legal aspects (amendments, purchase orders, penalties, invoicing etc.), Proposed optimizations of the contractual organization, Summary of actions decided, deadlines and action owners, Next meeting. 			
<p>Draft the minutes of contractual meetings, send it for review to the procurement officer.</p> <div>  Warning: <i>A template "Contract follow-up meeting report" can be found in procurement templates. The technical officer –not the contractor- shall draft the minutes of meeting. Document the non-conformities.</i> </div>			
Sign and communicate / notify the minutes of contractual meetings to the contractor.			












b. Contract follow-up meetings

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Sign the minutes of contractual meetings and submit it to the technical officer.			
File the minutes of progress meeting (both in paper and electronic format). Technical and procurement officers shall use their own data management system.			

3- Technical follow-up


















a. Performance of services

i. Small work contracts

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Reception of a work request from a CERN customer.			
Request a quotation in compliance with contract terms and deadlines.			
Review the bid (unit prices in accordance with the contract, proposed quantities of material, proposed duration of the works etc.) – iterate with the contractor as necessary to come to an acceptable bid.			
In case of use of GESMAR, upon acceptance of the bid, create the order in GESMAR, and submit it to the contractor. In case GESMAR is not used, please refer to section “financial commitment”.			
Where applicable, two weeks before the start of work, create an “ IMPACT ” request for any new work to be performed (formerly called “avis d’ouverture de chantier”).  <i>Tip: In case the technical officer needs further information on how to use IMPACT, there is a course “IMPACT Fundamentals” available at the learning hub. This course, in English or French, covers the basics for IMPACT.</i>			
Should a “Visite d’Inspection Commune” (VIC) be necessary, the related VIC form should be completed in IMPACT . For further details on VIC, please refer to section “Follow-up of contract implementation – Visite d’inspection commune” above.			
Performance of the work.			









i. Small work contracts

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>If needed, follow-up closely the execution of the work, with the presence of CERN's technical responsible(s) and/or the technical officer.</p> <p> Warning: Should the performance of the contract not be compliant with the contract requirements, the technical officer may decide to set daily meetings, in particular for C contracts, to follow up the performance of the ongoing activities. Refer to section "Follow-up meetings" below for further details.</p>			
<p>Raise "Point d'Alerte" (PAL) for any deviation to the planned work.</p> <p> Tip: Usually, there is a "PAL" referee within the section/team of the technical officer. On the contractor's side, PAL are usually followed up by the QHSE manager.</p>			
<p>Perform the acceptance test on site, with presence or supervision of CERN's representatives.</p> <p> Tips: It is sometimes impossible to verify all the interventions performed. In such case, the technical officer shall perform sample verifications.</p>			
For EN-EL only: once the work is completed, submit the bill of quantity ("métré") of the work performed.			
For EN-EL only: Verify the bill of material, performing a contradictive bill of material ("contre-métré") , with on site visit when necessary.			
For EN-EL only: Update of the bill of quantity in GESMAR (only if duly justified against actual work).			
For EN-EL only: Validate in GESMAR, which authorises the issuance of the invoice.			
<p>Follow up Key Performance Indicators (KPIs), as defined in the contract.</p> <p> Tip: Refer to section "Quality assurance and control" below for further details on KPIs.</p>			



ii. Maintenance contracts

1. Preventive maintenance









Action	Roles		
	Tech. officer	Proc. officer	Contractor
Where applicable, open a Work Order / Ordre de Maintenance (ODM) to instruct the start of a new intervention.			
<p>Perform the intervention and verify compliance of the work, in accordance with the maintenance plan - as foreseen in Infor EAM / ODM, and agreed with the technical officer.</p> <div>  <i>Tips: Use of Infor EAM (applicable for contracts involving asset and spare management)</i> CERN is like most organizations with large installations of equipment using a Computerized Maintenance Management System (CMMS) to streamline, organize and document all our asset tracking and maintenance management efforts. In industry this is today often called Enterprise Asset Management (EAM) indicating that such tools are used to optimize the performance and lifecycle of physical assets across the whole organization. The CMMS at CERN is called Infor EAM (previously known as Datastream7i or D7i) which is a commercial system from Infor. Together with its predecessors it has been used within the organization for over 25 years and contains information about over 1.7 million pieces of equipment and details about 4 million technical interventions carried on the installed equipment. The first interventions logged in Infor EAM are from 1971 and were imported from a legacy system. This makes Infor EAM a centralized asset repository for the whole accelerator complex and thus a vital tool for efficient knowledge transfer which is a must for installations with very long lifecycles. Further information can be found here. </div>			
<p>Verify the interventions performed, based on sample checks, or systematic, as appropriate. Re-open the work order as appropriate if the work performed is not compliant (via Infor EAM where applicable).</p> <div>  <i>Tips: For remuneration based on lump-sum price, it is sometimes impossible to verify all the interventions performed. In such case, the technical officer shall perform sample verifications.</i> Should the performance of the contract not be compliant with the contract requirements, the technical officer may decide to set follow-up meetings more regularly and / or to increase the number of checks. Refer to section “Follow-up meetings” for further details. </div>			
Validation of the work performed (via Infor EAM where applicable).			
















1. Preventive maintenance

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Follow up Key Performance Indicators (KPIs), as defined in the contract.  <i>Tip: Refer to section "Quality assurance and control" below for further details on KPIs.</i>			



2. Corrective maintenance

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Request for an intervention in compliance with contract terms and deadlines.			
Perform the intervention.			
Notify CERN's technical responsible, in writing, of completion of intervention (via Infor EAM where applicable).			
Systematic or sample verification of the work performed, as appropriate. Re-open the work order / ODM when the work performed is not compliant.			
Validation of the work order / ODM.			

iii. Service contracts remunerated on a lump sum basis or time-spent basis










Action	Roles		
	Tech. officer	Proc. officer	Contractor
Perform the work, deliver the service according to the deadlines and content agreed.  <i>Tip: For some contracts, it is important to set a maximum number of hours for each service to avoid low efficiency and/or overcharging from the contractor.</i>			
Check the work performed. Validate it or submit comments, as appropriate.  <i>Tip: It is sometimes impossible to verify all the services performed. In such case, the technical officer shall perform sample verifications.</i>			
Analyse users' complaints, as the case may be.			
Treat users' complaints, as the case may be.			
In case of time-spent remuneration, declare the number of hours / days performed during the month.  <i>Warning:</i> <i>It is important to ask the contractor to set up a system providing visibility on the number of hours performed, in order to avoid any risk of double invoicing.</i>			
Validation of number of hours of work performed by the contractor, authorizing the invoice to be issued.  <i>Tip: Use of JMT:</i> <i>Job Management Application (JMT) is a web based tool used to manage jobs of various natures: CERN internal jobs between departments/groups or jobs outsourced to contractors. The application is mainly addressed to the services/contracts managing many jobs at a time. It helps to follow the job evolution: creation, estimation of the costs, execution, invoicing and electronic transfer of the data to the Finance applications. Estimations are made easy with flexible definitions of activities (with predefined prices lists in EUR or CHF) and, optionally, automatic adds-on referred as a percentage of the overall costs to cover additional expenses. The estimation is validated by an EDH approval process after which the commitment transaction is directly transferred to accounting systems (QUALIAC). Similarly, the invoicing of the job generates a payment.</i>			












Follow up Key Performance Indicators (KPIs), as defined in the contract.			
 <i>Tip: Refer to section “Quality assurance and control” below for further details on KPIs.</i>			

b. Quality assurance and control




i. KPIs / SLA follow-up




Action	Roles		
	Tech. officer	Proc. officer	Contractor
Submit KPIs and / or SLA report in accordance with the Quality Assurance Plan defined in the technical specifications.  <i>Tip: Agree an exact date of extraction and computing of KPIs with the contractor, in order to have comparable values. Please refer to the guidelines for contractor's quality plan for further details.</i>			
Evaluate the contractor's performance via CERN's own system/tools, measuring CERN's monthly KPIs and SLA and in accordance with the Quality Assurance Plan defined in the technical specifications and the Quality Assurance Plan.  <i>Tip: Use follow-up meetings to address the contractor's performance via KPIs and SLA. It is advisable to use CERN's own system/tools to evaluate and check the KPIs declared by the contractor (Infor EAM, excel table etc.).</i>			
Review KPIs / SLA during contractual follow-up meetings (monthly or quarterly).			
Apply penalties as the case may be, deducting the related amount from invoices in accordance with the periodicity defined in the contract (monthly usually).  Warning: <i>If contractual penalties are applicable, you should inform the contractor of their application and deduct them from the monthly invoice. Penalties should be used as an incentive for the contractor to perform services in accordance with the contract.</i>			

ii. Management of non-conformities ("NC")

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Document every NC (for example with pictures, "Ordre de Service" (OS)) at least on a monthly basis.  <i>Tip: Tracking NCs will help monitor the contract and settle possible disputes.</i>			
Inform the contractor about the Non-conformities via an "Ordre de Service" (OS) - requesting management of non-conformities in accordance with the contractual documents (contract, technical specification, evaluation questionnaire, Quality Assurance Plan etc.) - (See section " <i>Correspondence</i> " for further details), with procurement service in copy if related to commercial or contractual issues.			
Apply penalties as the case may be.  <i>Tip: Penalties should be used as an incentive for the contractor to perform services in accordance with the contract.</i>			
Take remedial measures / corrective actions.			
Check the result and efficiency of remedial measures / corrective actions.			







4- Correspondence

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Use Service Order / Ordre de Services (OS) for every communication concerning contractual obligations, defining clearly CERN's instructions, inventories, identified non-conformities, requested deadlines etc.  <i>Warning:</i> <i>Keep all records in writing. Document non-conformities via a NC registry. This will help settle future dispute.</i> <i>The technical officer may decide to use Work Orders through Infor EAM to manage correspondence with the contractor.</i>			

<p>Countersign the OS and submit the document, including answers as requested to the technical officer within the deadline for answer requested in the OS.</p> <div>  Warning: The OS should include a provision such as: “You are kindly requested to return to CERN a signed copy of the present Service Order within five working days of its reception. Without any response from you within this deadline, the Service Order will be considered accepted.” Beware, a confirmation in writing shall be requested for any matters related to Safety. </div>			
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5- Administrative follow-up













a. Registration and access authorizations

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Manage accesses and authorisations in compliance with CERN access and registration procedures.</p> <div>  Tip: Refer to the document “Working on the CERN site” for further details. </div>			
<p>At least once a year, follow-up the contractor’s personnel renewal of registration and access authorisations (in accordance the document “Working on the CERN site”):</p> <ul style="list-style-type: none"> Control that the number of the persons the contractor assigns to the performance of the contract is correct, <div>  Tip: In case of contracts involving a high number of persons assigned by the contractor, the technical officer may request the contractor’s contract manager to confirm the appropriate assignment of its personnel to the related services. Such justification can be attached to the EDH workflow. </div> <ul style="list-style-type: none"> Control that the contractor has requested access deactivation for all members of his personnel not working under the contract anymore. <div>  Warning: Should there be inconsistencies or discrepancies between the Prevention Plan (PP) and the list in “HRT”, the PP shall be updated (see section “Safety coordination” below). Also refer to section “Implementation phase” and section 2 of the document “Working on the CERN site” for further details. </div>			







b. Approval of a subcontractor

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Declare any subcontractor to CERN for approval.</p> <p>The request shall be made in writing, and shall include:</p> <ul style="list-style-type: none"> The contract reference, The name of the subcontractor, Address and contact details of the subcontractor, Description of the services performed, Percentage of services performed by the subcontractor over contract annual turnover, Procurement code concerned. <div style="background-color: #ffe6e6; padding: 10px; margin-top: 10px;"> <p> Warning:</p> <p><i>Beware: the subcontractor shall not enter CERN site nor start any work without CERN's prior approval. In this respect, the procurement officer has to be informed as soon as possible.</i></p> </div>			
Check contractual conditions (subcontracting allowed (Y/N), maximum percentage and type of activities allowed), accept the firm or not and submit the contractor's request of subcontractor registration including name and address to the procurement officer for approval.			
Verify contractual conditions, and confirm whether the subcontractor is blacklisted or not.			
<p>Approve or reject the request and send a confirmation to the contractor.</p> <p>In case of confirmation, the letter shall request the contractor to proceed with all administrative measures (access, authorisations etc.) necessary for the performance of the services by the subcontractor (see section “</p> <p>Registration and access of the contractor's <u>personnel</u>”).</p>			
Update the Prevention Plan (PP) with the subcontractor name to be listed as part of subcontractors declared under the contract.			








c. Work outside normal working hours

Action	Roles		
	Tech. officer	Proc. officer	Contractor
In case of work outside of CERN normal working hours (from 19h00 to 7h00 or during week-ends or bank holidays), where applicable, ask French (DIRECCTE) or Swiss (OCIRT, SECO) authorities, as applicable, authorization to work outside normal working hours.			




 *Tip: Work outside of normal working hours is authorized only for Safety or technical reasons. Delay in contractor's planning is not an acceptable justification for the host states authorities.*












c. Work outside normal working hours

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Submit for approval "work notification" / "avis d'exécution de travaux en dehors de la plage horaire admise comme horaire normal" five working days at the latest before the start of work.  <i>Tip: The template of work notification can be found here.</i> <i>Ask head of Security service (Didier Constant) for further information.</i>			
Approve (and sign) or reject "work notification" / "avis d'exécution de travaux en dehors de la plage horaire admise comme horaire normal".			
When approved, submit the signed "work notification" / "avis d'exécution de travaux en dehors de la plage horaire admise comme horaire normal" to CERN security services with the technical officer and CERN Fire and Rescue service in copy, at the latest 48 hours before the intervention.			









6- Safety coordination

 It is the responsibility of the technical officer to inform the contractor of the risks or hazards related to the performance of the services under the contract. Safety comprises occupational health and Safety (including radiation protection), the protection of the environment and the safe operation of CERN's Installations (including radiation Safety). For further details on Safety responsibilities at CERN, please refer to CERN's [Safety Regulation SR-SO](#).












a. Periodical follow-up

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Iterate regularly (in particular during follow-up meetings) with the contractor about:</p> <ul style="list-style-type: none"> evolution of risks and hazards under the contract, including new ones (linked to CERN's or the contractor's activities, or linked to the areas where services could be performed) accidents, incidents, near-misses occurred, update the contractor's personnel and subcontractors listed in the Prevention Plan (PP). <p> <i>Tip: It is the responsibility of the technical officer to inform the contractor of the risks or hazards related to the performance of the services under the contract. It is also the responsibility of the contractor to inform CERN of new risks/hazards linked to their own operating modes, tools/equipment, products etc.</i></p> <p><i>Technical officer may seek support from HSE Unit, especially for specific matters such as radiation protection, asbestos etc.</i></p> <p><i>See HSE website for more information on applicable Safety rules, available trainings etc.</i></p>			
Submit regularly (at least once a year) the list of contractor's and subcontractor's personnel and the list of subcontractors assigned to the contract.			
Check regularly (at least once a year) the contractor's personnel list and list of subcontractors, in accordance with the list of the contractor's personnel in HRT and according to section "Registration and access authorizations".			
Document all Safety discussions –including when no issue is escalated- in the minutes of meetings.			
<p>Update the PP, as appropriate (see section below).</p> <p> <i>Tip: Ask support from HSE Unit, as necessary.</i></p>			

b. Update of the Prevention Plan

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Update the PP as often as needed, based on issues raised during periodical follow-up meetings. The PP shall be updated at least once per year. <div>  <i>Tip: Beware, irregular or no update of PP may be interpreted as default of Safety management.</i> <i>Check regularly whether a new official template of the PP shall be used: CERN's Safety forms website.</i> </div>			
Update the PP and re-submit it, as appropriate.			
Sign the updated PP.			
File the updated PP in EDMS.			








c. Declaration of accidents

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Declare accidents, incidents and near misses using A2 form, in EDH . Inform both the technical and procurement officers. <div>  <i>Tip: Guidelines and template of A2 form can be found here.</i> </div>			
Review declaration, iterate with HSE Unit and the contractor. Submit CERN comments to the contractor, as necessary. <div>  <i>Tip: The technical officer has no obligation to validate declarations of accidents.</i> </div>			
Modify A2 form as needed.			
If requested by HSE Unit, contribute to the Safety investigation.			
Update the PP, should this be necessary on the basis of conclusions of the Safety investigation.			






d. Joint inspection Visits / Visites d'inspection commune – Work contracts only








Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>For work contracts, upon creation of an “IMPACT” request form, should the technical officer consider that a “Visite d’Inspection Commune” (VICs) is necessary, perform the “Visite d’Inspection Commune” (“VIC”).</p> <p>The VIC shall involve at least:</p> <ul style="list-style-type: none"> • The technical officer, • CERN’s Territorial Safety Officer (TSO), • The contractor’s contractual representative, • The contractor’s Safety officer, • CERN radiation protection services, if required. <div style="background-color: #e6f2ff; padding: 10px; margin-top: 10px;"> <p> <i>Tips: Presence of CERN HSE Unit representative is not mandatory as such, to be decided on a case by case basis.</i></p> <p><i>When the contractor is expected to access a high number of CERN facilities during the performance of the contract, the visit should focus on CERN’s strategic buildings in terms of Safety.</i></p> <p><i>The VICs may be performed during the execution of the contract, before each start of work.</i></p> </div>			
Draft the report of VIC in “ IMPACT ” (refer to the VIC section available in the “ IMPACT ” form). Submit it to the contractor.			
Sign the report of VIC.			

7- Financial follow-up







a. Budget request

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Request budget to the « Department Planification Officer » (DPO) or customer's DPO, with a description of services needed and that are proposed to be performed. In particular for work contracts (type C): request budget code to customer.			

b. Financial commitments (via EDH or JMT)







Action	Roles		
	Tech. officer	Proc. officer	Contractor
Request a quotation for the performance of services under the contract when the budget allocated is confirmed by the DPO.			
Review of quotation submitted by the contractor (in particular for small works contracts).			
Creation of the « Ordre de Service Valant Commande » (OSVC) via EDH.			
Creation and issuing of the order (OV) to the contractor.			

c. Financial commitments (via GESMAR – mainly for EN/EL or EN/CV contracts)







Action	Roles		
	Tech. officer	Proc. officer	Contractor
Order services under the contract when the budget allocated to the contract is confirmed by the DPO.			
Review of quotation submitted by the contractor (in particular for C contracts), on the basis of the conditions defined in the contract.			
Creation of OSVC via GESMAR.			
Creation and issuing of OV to the contractor.			




d. Finance Committee authorization

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Provide IPT department (Stéphanie Blanchard) with estimates of yearly expenses under the contract. Prepare justification in case the estimated annual expenses are expected to exceed the amount authorised by the Finance Committee. Decide whether the contract should be renewed or not.</p> <p> <i>Tip: Should the technical officer decide not to renew the contract, the procurement service shall be informed as soon as possible -12 months in advance- to prepare the re-tendering of the contract.</i></p>			
Submit to Finance Committee (FC) the annual report on industrial service contracts, including requests for contract renewal, estimated yearly expenses and justification for contracts for which authorised amounts are expected to be exceeded.			
During the ongoing financial year, inform the procurement officer when FC's authorized amount is about to be exceeded. Provide justification in case additional amounts are to be resubmitted to FC for approval.			



e. Review of invoices

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Forward invoices to accounts.payable@cern.ch if received by mistake.			
Verify invoices received from accounts payable on the basis of conditions defined in the contract / OV (order).			
<p>Approve or reject discrepancies identified in invoices by accounts payable via EDH. Sign and date invoice if compliant.</p> <p>Submit signed and dated invoice to accounts payable (accounts.payable@cern.ch), with appropriate supporting document – as necessary.</p> <p>In case of rejection, provide appropriate justification to accounts payable.</p> <p> <i>Tip: Check invoices carefully: sign an invoice is an authorisation to pay.</i></p>			







8- Day-to-day issue settlement

 It is the technical officer's responsibility to address day-to-day issues. The procurement officer shall be informed as soon as the performance of the contract is threatened.




a. Quotation price exceeds contractual prices

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Refuse the proposed prices and request the strict application of contractual prices.  <i>Tips: Stick to the contract. Formalize and keep a written record of the answer made to the contractant.</i>			







b. Proposed revision of contractual prices

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Forward any request of revision of prices to the procurement officer.			
In case price revision request does not comply with the contract provision on price revision, refuse the proposed revision and request the strict application of contractual prices. In case revision of prices complies with contract provision on price revision and provided the procurement officer agrees with the request, prepare a contract amendment (see section on amendments for further details).  <i>Tips: Stick to the contract. CERN does not accept price revision with retroactive effect.</i>			



c. Services not compliant with contractual requirements

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Do not approve any acceptance document of the work performed - including as part of minutes of meetings or by email.			
Raise reserves –preferably via a Service Order / Ordre de Service (OS) - as soon as any non-conformity identified, asking for a corrective plan and fixing deadlines.			
Retain payment of the corresponding invoices, notifying accounts payable (accounts.payable@cern.ch), until the remedy of non-compliance.			

d. Invoiced price exceeds contractual prices







Action	Roles		
	Tech. officer	Proc. officer	Contractor
Retain payment of the invoice immediately.  <i>Tips: Please refer to section “Financial follow-up”, “Review of invoices” above.</i>			
Inform the contractor. Ask the contractor to issue a correct invoice, as necessary.  <i>Tips: Formalize your exchanges.</i>			
Apply penalties as appropriate.			

e. Proposed deviation from a provision of the contract

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Refuse any deviation to the contract provisions.  <i>Tips: In principle, the contractor and the technical officer shall strictly apply the contract. Should the deviation be related to a proposed change of scope – where such change is justified and serves CERN’s interests, refer to section “Amendments” below.</i>			





















f. Use of CERN's logo, publication with reference to CERN activities by the contractor

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Check the contractor's proposed press release from a technical point of view and forward the contractor's request to IPT department (Sébastien Sonnerat, with the procurement officer in copy), Legal service (Sofia Intoudi) and the Press Office (James Gillies).</p> <div> <i>Tips: Use of CERN's logo or publication with reference to CERN activities is subject to authorization by procurement service, legal service and press office (as defined in section 7.3 of the Procurement Procedures Manual (PPM)):</i> <i>-the procurement officer will verify whether the information to be published are correct from a procurement point of view</i> <i>-the press office (James Gillies) and the Legal service (Sofia Intoudi) make verifications concerning the use of images, logos and names of CERN.</i></div>			
Approve or reject contractor's request, in collaboration with legal service and Press Office.			







9- Dispute settlement

 A dispute is a disagreement between CERN and the contractor and/or a non-compliance that may have serious consequences on the contract. The technical officer shall inform the procurement officer as soon as the dispute arises, and shall avoid negotiating on his own. Both technical and procurement officers shall seek an amicable settlement and make sure that CERN speaks “with one voice” in front of the contractor.

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Inform the procurement officer as soon as possible.  <i>Tips: Document all non-conformities (pictures, Service Orders (OS), reserves in acceptance reports).</i> <i>Keep all records in writing (emails, correspondence, history of facts etc.).</i>			
Assess the situation: <ul style="list-style-type: none"> • Collect documentation, the history of exchanges and discuss, • Identify options (penalties, withdrawal of bank guarantee, plan B, if any), • Prepare negotiations, if needed, • Review termination terms of the contract, • Etc.  <i>Tips: Stick to the contract. Inform the contractor on a need-to-know basis in due time.</i> <i>Use the contractual tools to settle disputes (penalties, withdrawal of bank guarantee, letter of notice etc.)</i>			
Hold meeting(s) with the contractor, as appropriate.  <i>Tips: Roles and responsibilities between technical and procurement officers shall be decided beforehand. Prepare meetings as appropriate and ensure that CERN “speaks with one voice”.</i>			
Prepare letter of notice ensuring that it: <ul style="list-style-type: none"> • Includes a description of facts, non-conformities, defaults, • Requests the implementation of the remedial measures etc., • Defines clear and reasonable deadlines, • Informs the contractor of the contractual consequences in case of failure to remedy the situation. 			
Send the notice to the contractor by registered letter, with the technical officer and technical and IPT group leaders in copy.			
File the letter of notice (both paper and electronic format).			

















9- Dispute settlement


















Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>After the deadline is reached, assess the situation again. Take a decision:</p> <ul style="list-style-type: none"> Continue the contract; Terminate the contract (refer to section "Termination of the contract"). <p> <i>Tips: Beware: notify the contractor of the decision as soon as the deadline has elapsed, failure to do so may be interpreted by Courts as a decision to continue the contract.</i></p>			

10- Amendments

a. Contract extension

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Ask whether the contract should be extended or not.</p> <p> <i>Tip: The procurement and technical officers should anticipate contract extension as the renewal of a service contract can take up to 12 to 15 months.</i></p>			
<p>Confirm whether the contract needs to be extended.</p> <p> <i>Tip: Should the technical officer decide not to renew the contract, the procurement officer shall be informed as soon as possible -12 months in advance- to prepare the re-tendering of the contract.</i></p>			
Request of formal authorisation of extension to the Finance Committee (FC).			
Prepare the contract amendment in accordance with the contractual notice period.			
Send the signed amendment to the contractor for signature.			
File the contract amendment both in paper and electronic format (using CFU). The original of the amendment is kept by the Procurement service. Both technical and procurement officers shall file the amendment in their own data management system (EDMS for the technical officer).			












b. Change of contract terms

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>In case of need or request of modification of contract terms (name of the contractor, applicable prices, change of scope etc.), inform the procurement officer in any case.</p> <p> Warning: Keep all records in writing. The technical officer shall not enter into negotiations with the contractor without informing the procurement officer. Do not commit CERN orally. Be constructive (distinguish facts and opinions).</p>			
<p>Hold a preparatory meeting as necessary, evaluate the situation based on the conditions defined in the contract:</p> <ul style="list-style-type: none"> Assess the situation, Identify options, Take a decision, Prepare negotiations, if needed, Etc. <p> Tips: Roles and responsibilities between technical and procurement officers shall be clear. Make sure that CERN speaks with one voice. Prepare meetings as appropriate.</p> <p>Keep all records in writing. Be objective. Be constructive (distinguish facts and opinions).</p>			
Hold negotiation meetings, as appropriate.			
<p>Prepare the contract amendment (in case a contract change is approved by technical and procurement officers) or correspondence.</p> <p> Tips: Beware of entry into force. The date of entry into force shall be either the date of signature of the amendment by both parties or a date specified in such amendment (to be clearly defined in the amendment).</p>			
Send the amendment to the contractor for signature.			
File the contract amendment both in paper and electronic format (using CFU). The original of the amendment is kept by the Procurement service. Both technical and procurement officers shall file the amendment in their own data management system (EDMS for the technical officer).			






END OF THE CONTRACT

1- Termination of the contract











Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Inform the procurement officer of the intention to terminate the contract forthwith. Termination may be due to issues such as breach, gross negligence, wilful misconduct, convenience...</p> <p> <i>Tips: Refer to section “Dispute settlement” to see previous steps, including negotiation and the sending of the notice letter.</i></p> <p><i>Do not negotiate on your own. Review contract provisions on termination.</i></p> <p><i>For more information on termination, refer to the contract and clause 28 of the General conditions of CERN contracts.</i></p>			
<p>Prepare letter of contract termination, in accordance with the General Conditions of CERN Contracts. The letter shall indicate the date of termination, and request that:</p> <ul style="list-style-type: none"> All CERN property made available to the contractor as part of the contract is returned (SIM cards, vehicles, keys, access cards etc.), <p> <i>Tips: Link: “Working on the CERN site”.</i></p> <ul style="list-style-type: none"> All access cards are returned. <p> <i>Tips: Beware: the letter of contract termination shall be sent out within the deadlines defined in the letter of notice.</i></p>			
Send the contract termination letter to the contractor.			
Refer to section “Expiry of the contract” below for the next steps.			

2- Expiry of the contract

Action	Roles		
	Tech. officer	Proc. officer	Contractor
Perform inventories of CERN's assets and spares, and all CERN property to be returned (access cards, keys, vehicles etc.).			
<p>Verification of the inventories of CERN's assets, spares and all CERN property to be returned (access cards, keys, vehicles etc.).</p> <p> <i>Link: “Working on the CERN site”.</i></p>			



2- Expiry of the contract

Action	Roles		
	Tech. officer	Proc. officer	Contractor
<p>Signature of the inventories of CERN's assets, spares, and all CERN property to be returned (access cards, keys, vehicles etc.).</p> <p> <i>Tips: It is advisable to use a Service Order / Ordre de Service (OS) to formalise and document the inventory. See section "Correspondence" for further details.</i></p>			
File the electronic format of inventories in EDMS and keep a record in paper format.			
<p>Return of CERN property (keys, SIM cards, vehicles etc.), in accordance with inventory.</p> <p> <i>Link: "Working on the CERN site".</i></p>			
<p>In view of the future IT, hold a contract debrief meeting to evaluate the contract a posteriori:</p> <ul style="list-style-type: none"> Satisfactory aspects, Aspects to be improved. <p>Participants to this meeting shall be at least:</p> <ul style="list-style-type: none"> Technical and procurement officers, Management (section / group leaders), as appropriate. <p> <i>Tips: This exercise should be performed on a continuous basis, in particular during yearly meetings.</i></p>			



BEHAVIOURAL TIPS

- Comply with CERN's Integrity Policy, including CERN's Code of Conduct,
- Defend CERN' interests,
- Read, understand and acquire full knowledge of your contract,
- Keep track of all records, do not make oral commitments,
- Use templates wherever they exist,
- Clearly define the roles and responsibilities of CERN personnel in charge of the follow-up of the contract,
- Set the relationship with the contractor up for success:
 - Show the example: be prompt, stick to the timeframes, be meticulous with paperwork,
 - Be fair and impartial,
 - Be constructive and pragmatic,
 - Distinguish facts and opinions,
 - Trust and verify.
- Be respected, but not feared, by the contractor,
- Be aware of matters and risks related to "délit de marchandage",
- Do not negotiate on your own, inform procurement as soon as any contractual issue arises,
- Expect and manage change,
- Learn and share,
- Protect 'commercial-in-confidence' information,
- Be aware of the evolution of applicable law, rules and regulations,
- Contact the procurement officer for any question related to contractual and commercial matters.

