



## HANDOVER PLAN TEMPLATE

This template provides a structure for a contract handover plan. The Handover Plan is a live document updated through the life of a contract. It is not a document produced towards the end of a contract.

Handover Plans serve multiple purposes for Australia's development program:

- ensure a seamless transition between project phases with different contracts;
- ensure accountability of physical and intellectual assets; and continuity in documentation, management information/data, and supply chains for program effectiveness and efficiency;
- ensure contract compliance and legislative compliance; and
- ensure business continuity especially in reaction to an event that has a significant impact on the contract such as COVID-19.

### Instructions

All DFAT development contracts **must** have a Handover Plan. Formal submission of a handover plan is due annually (as an annex to the annual plan and will be updated by the contractor as required by DFAT in the final 12 months of a contract term). The final handover plan will be an annex in the Final Completion Report. Further information can be found by referring to the contract clauses and milestones for the contract or contacting PRD: [aidcontracts@dfat.gov.au](mailto:aidcontracts@dfat.gov.au)

Contract Title:
Contractor:
Start date:
End date:
Contract value: AUD
Contract number:
Handover Plan prepared by: <name>
Handover Plan approved by: <name>
Contractor Representative(s):
DFAT Representative:

### A. Executive Summary

- This section should provide a succinct summary of the key elements of the handover plan, critical steps, accountabilities, timing, and the key risks. It should also indicate how reporting on implementation of the handover plan will be undertaken.
- The document should outline the process for DFAT endorsement. Contractor responsibilities (e.g., handover team, Joint executive committee) should also be outlined as well as document version and management control protocols.

## B. Handover – Contextual issues

- This section should refer to context – the size and scale of the handover task. It should refer to any complexities (i.e., facilities and sub-contract closures, liabilities through supply chain, payroll, leases, assets, IP, networks, and contacts etc) and whether handover is anticipated between single entities or involves multiple entities/multiple handovers. It should describe a pathway for continuation and for cessation/close out.
- It should describe how the handover plan relates to other documents and processes i.e., audits, reviews, evaluation, and timing for inclusion in the project completion report. If a key date has been agreed between DFAT and contractors for a close of business/open of business for a new phase or closure, this should be highlighted.

## C. Scope and Contractual/Legislative Compliance

This section should refer to the scope of the handover and what is being used from the below handover checklist and any additional categories or considerations. For instance, the checklist is not exhaustive, and some sectors will be required to provide further detail (e.g., infrastructure and defects liabilities). The handover scope should demonstrate:

- Compliance with the particular contract details for the investment (i.e., mandatory clauses and any specific milestone clauses, code of conduct)
- Adherence to DFAT policy (i.e., child protection, preventing sexual exploitation abuse and harassment, safeguards, fraud)
- Compliance with Commonwealth legislation: e.g., Public Governance, Performance and Accountability (PGPA Act 2013), Auditor-General Act 1997, Environment Protection Biodiversity Conservation (EPBC) Act 1999, Archives Act 1983.

## D. Handover Plan – submission timing

**Submission cycle:** Handover Plans should be developed and updated annually, as part of the annual planning process, and endorsed by DFAT in writing, and will be updated as required by the contractor at DFAT's request especially in the final 12 months of a contract term. The final handover plan will be an annex in the Program Completion Report

**Short notice:** As part of good practice, Handover Plans should be regularly updated and available at short notice<sup>1</sup> including a live update of compliance with head contract requirements.

## E. Handover Checklist

This list is not exhaustive, and some sectors will require further detail (i.e., infrastructure and defects liabilities), or particular records will need to be highlighted – i.e., legal matters/code of conduct issues.

**Head contract:** A table should be developed summarising contractual compliance (status and/ or relevant details) with the head contract as outlined below.

Category	Explanation
Compliance with head contract and program closure obligations	<ul style="list-style-type: none"><li>▪ Standard and project specific contractual conditions and obligations (citing specific clauses as relevant)</li><li>▪ DFAT property and asset disposal/handover/transfer plans</li><li>▪ Intellectual property rights</li></ul>

<sup>1</sup> An example would be in the event of an audit, where DFAT may request specific operational information such as an updated fraud register or a final invoicing schedule at short notice.

Category	Explanation
	<ul style="list-style-type: none"> <li>▪ Fraud, Child Protection and PSEAH – and summary of fraud issues and management responses</li> <li>▪ Confidentiality and privacy issues</li> <li>▪ Financial expenditure report summaries</li> <li>▪ Invoicing schedule</li> <li>▪ Milestone completion / approval correspondence</li> <li>▪ Legal matters and case files</li> <li>▪ Record management including storage of accounts, records, and relevant management information system protocols, document archiving</li> <li>▪ Advisor performance assessments</li> <li>▪ Partner Performance Assessments (PPAs)</li> <li>▪ PERFORMS data</li> <li>▪ Key external communications activities and issues (e.g. websites, media releases, major events)</li> <li>▪ Formal briefings and knowledge transfer</li> <li>▪ Outline of any specific risks / and or issues</li> </ul>

#### 4.2 Finance, HR, operations, and procurement

This section should summarise the status of the following requirements, citing evidence and storage locations.<sup>2</sup>

Category	Explanation
Project contacts, relationships	<p>An updated table of relevant contacts, relationships and networks including:</p> <ul style="list-style-type: none"> <li>▪ A contract register table detailing – name, affiliation, contact details, involvement in project, key interactions, status, relevant issues, and positions on issues</li> <li>▪ Partner Government contacts, including those that facilitate terms under the bilateral MOU, such as VAT/GST refunds, visa, quarantine etc</li> </ul>
Summary of supplier contracts (any contract whether a procurement contract, grant or other)	<p>An updated table of relevant supplier contracts including:</p> <ul style="list-style-type: none"> <li>▪ A program contract/ subcontract register table of subcontracts detailing - content, contract value, dates, performance assessment, relevant issues.</li> <li>▪ Subcontractor closure process and timeframes</li> <li>▪ A completed table (checklist) which confirms status, completion and any supporting records relating to contracts that are ongoing including: <ul style="list-style-type: none"> <li>- Approach to Market documentation</li> <li>- Evaluation documentation</li> <li>- Contract deliverables and performance documents<sup>3</sup></li> </ul> </li> </ul> <p>The table must clearly indicate what contracts are expected to be continued either through the current (sub)contract or subsequent phases to that contract (in the</p>

<sup>2</sup> This section should summarize relevant information and reference where supplementary / detailed information is located / stored.

<sup>3</sup> Both tables should include Contracts/ variations and summarise deliverables against contracts

Category	Explanation
	<p>latter case why it is thought the contract would have more phases). Specifically, contracts that are proposed to be <i>novated</i> must be clearly identified.</p> <p>A table like that in PERFORMS with additional detail as required is preferred.</p>
<p>Supply Chain (subcontracts, includes 'grants')</p>	<p>An updated list of relevant supplier contracts including subcontracts, grants, MOUs and partnership documentation:</p> <ul style="list-style-type: none"> <li>▪ Approach to Market documentation (where competitive) or DFAT Direction (when non-competitive)</li> <li>▪ Evaluation documentation (where competitive)</li> <li>▪ Contracts/ variations</li> <li>▪ Reports/ Deliverables</li> <li>▪ Updated grant close-out Form</li> <li>▪ Finalisation of program grant register</li> <li>▪ List of grants and contracts proposed to continue</li> </ul>
<p>Personnel</p>	<p>Key personnel information including (a table like that in PERFORMS with additional detail as required):</p> <ul style="list-style-type: none"> <li>▪ Cases: Code of conduct breaches, complaints, or investigations</li> <li>▪ A summary of compliance with contract provisions relevant to advisor engagement (as outlined in the head contract)</li> <li>▪ A summary table of local and international contracts including engagement/ mobilisation, ARF/non ARF rates, cessation, timesheet completion, demobilisation, adviser performance assessments</li> </ul> <p>The table must clearly indicate what contracts are expected to be continued either through the current (personnel) contract or subsequent phases to that contract (in the latter case why it is thought the contract would have more phases). Specifically, contracts that are proposed to be continued must be clearly identified and include the following:</p> <ul style="list-style-type: none"> <li>▪ Liabilities under existing personnel contracts e.g., annual leave</li> <li>▪ Plan to disburse liabilities prior to end of contract (e.g., annual leave plans)</li> <li>▪ method of recruitment for position (limited, sole source, open)</li> <li>▪ advertised period for personnel position if limited/open (to inform decisions regarding extensions or issuing of new contracts for the next phase)</li> </ul>
<p>Budget and Finance</p>	<p>A table like that in PERFORMS with additional detail as required. Key financial information including:</p> <ul style="list-style-type: none"> <li>▪ Planned Budget vs expenditure</li> <li>▪ Final invoicing schedule and action items</li> <li>▪ Investment expenditure profile (contracted vs actual %) by period sector, objective, or category (including any program extensions) and management fee breakdown</li> <li>▪ Completed Finance checklist including asset insurance, bank account reconciliation, cashbook closure, final payments / outstanding invoices.</li> </ul>
<p>Case management</p>	<p>Key case file information including:</p> <ul style="list-style-type: none"> <li>▪ Case files: Fraud, Child protection, PSEAH cases</li> <li>▪ including initial notifications and suspected cases</li> </ul>

Category	Explanation
	<ul style="list-style-type: none"> <li>▪ Summary of fraud, child protection and PSEAH issues and management responses. May include Reports; Register(s); and Case closure reports</li> <li>▪ Include table or annex if lengthy</li> </ul>
Assets	<p>Key asset information including:</p> <ul style="list-style-type: none"> <li>▪ Asset for disposal / transfer (summary table)</li> <li>▪ Summary of outstanding issues including</li> <li>▪ Inventory disposal schedule</li> <li>▪ Asset register</li> <li>▪ Asset insurance</li> <li>▪ Project files</li> <li>▪ Office space, utilities, leased equipment</li> <li>▪ Management or knowledge management information systems (item / description / plan / timeframe)</li> <li>▪ Comms/messaging – advice to external partners, promotion, and events</li> <li>▪ Email accounts (activation of out of office or message / date), proposed message.</li> </ul>

## F. Communication

This section should include strategy for communication specifically who communicates when to advisers/personnel, partner government, suppliers, other partners etc? / CD

## G. Conclusion and Next Steps

This section should also conclude next steps in relation to DFAT governance/transition committees, reporting on the implementation of the handover plan, responsible officers, and schedules.

## H. Annexes

*Required Annexes:*

### Annex 1: Responsibilities

Table of Handover Responsibilities (see indicative table below)

### Annex 2: Assets

Detailed asset register and disposal register (including vehicles, IT equipment)

### Annex 3: Project files

List of project files to be handed over to DFAT

### Annex 4: Risk matrix

Key handover risks and mitigation (required for complex programs such as facilities or where there are staggered or multiple handovers, optional for other programs). Ensure “Risk Factors Screening Tool and Risk Register” is used. (LINK)

### Additional Annexes

- › Detailed list of contract/grants and proposed continuations (as relevant)
- › List of adviser/personnel and proposed continuations (as relevant)
- › Meeting/briefing schedule (including coordination, knowledge transfer, record transfer)

- › Transition committee/Governance oversight mechanism – structure and members
- › Inclusion of survival clauses: Management approach to Clause 10 (Warranties), Clause 12 (Insurances), Clause 13 (Intellectual Property Rights), Clause 14 (Indemnities), Clause 25 (Investigation by the Ombudsman), Clause 27 (Fraud), Clause 32 (Confidentiality), Clause 33 (Privacy), Clause 39 (Recordkeeping), Clause 42 (Audit) and any other clause, which by their nature, survive the expiry or termination of this Contract.



## Handover: Table of Responsibilities (indicative template)

---

Handover Category	Detailed Task Breakdown	Timing	Responsibility: Contractor X	Responsibility: Contractor Y	DFAT officer responsible	DFAT role	Key risks