

# ECC3 Checklist

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Ref	Section of the Contract	Clause Ref	Responsible Role	Action	Comment	Are we Complying With This?		
						Yes	No	N/A
	Contract Signature	-	<i>Employer &amp; Contractor</i>	Ensure the contract is signed				
1	General	11.2(14)	<i>Project Manager</i>	Issue the Risk Register				
		13	<i>Project Manager</i>	Establish system for communications under contract	Eg proforma's and tracking spreadsheets or 'in the cloud' proprietary system			
		13.1	<i>Project Manager &amp; Contractor</i>	All communications in a form that can be read, copied & recorded				
		13.2	<i>Project Manager &amp; Contractor</i>	Confirm address for notices under contract	Needs an exchange of notices between the Parties to the addresses in the Contract Data.			
		13.7	<i>Project Manager &amp; Contractor</i>	'Notified' matters should be communicated separately e.g. every early warning, compensation event, Defect etc				
		14.2	<i>Project Manager &amp; Supervisor</i>	Appoint delegates (if required)	PM should also make clear where others (including S) are required to advise the PM re the PM's actions.			
		16	<i>Project Manager</i>	Establish timing for routine 'risk reduction meetings'	There is no prescriptive timescale for early warning or risk reduction meetings in the contract. However, it is useful to establish a regular routine. These may be weekly and may be carried out as part of what might otherwise be called a progress meeting.			

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2	The Contractor's main responsibilities	21.2	Project Manager	Establish C's plan for submission of 'particulars of design' taking note of 21.3, which requires that each part submitted can be assessed fully	Requirements should be set out in WI and shown on C's programme			
		23.1	Project Manager	Review requirements for C's submission of design of 'Equipment' method statements	Requirements should be set out in WI and shown on C's programme. And/but PM can request other items that are not in the WI.			
		24.1	Project Manager	Key persons	C to provide key persons in Contract Data or propose replacements.			
		26.2	Project Manager & Contractor	C to propose subcontractors PM to accept before order can be placed				
	(If Option C,D,E or F)	20.4	Project Manager & Contractor	Forecasts of total Defined Cost	Agree dates for meetings for 'consultation' prior to forecasts of Defined Cost – and agree model reporting format.			
	(If Option C,D,E or F)		Project Manager	Audit	Establish audit plan for Defined Cost			

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3	Time	11.2(2)	<i>Project Manager</i>	Check and review the definition of Completion in the Works Information	If not clear and sufficient, the PM should change the Works Information ASAP to make it so.			
		31.1	<i>Project Manager</i>	PM to work with Contractor to get first programme submitted and accepted.	Programme may be referenced from Contract Data Part two. Having an acceptable programme in place is critical for the successful management of an ECC contract.			
		31.3	<i>Project Manager</i>	Is the programme being accepted?				
		32.2	<i>Project Manager</i>	Establish routine (usually monthly) for programme meetings for C to explain revised programme prior to formal submission.	Establish practices to keep the programme up to date and to agree progress			
4	Testing and Defects	40.1, 40.3	<i>Supervisor &amp; Contractor</i>	Tests and inspections required by the WI	S should work with C's quality control manager to develop regime to be compliant with requirements of contract and the C's own quality management system.			
		41.1	<i>Supervisor &amp; Contractor</i>	Tests and inspections before delivery to Working Areas	Develop testing plan for these items (if any).			

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5	Payment	50.1	<i>Project Manager</i>	Decide first assessment date (to suit the procedures of the Parties)				
		50.2	<i>Project Manager</i>	Set up process to determine the amount due	On an option C, D, E or F contract this will be a significant exercise requiring an audit plan from the PM and developing an understanding of the Contractor's cost management system.			
6	Compensation events	6	<i>Project Manager</i>	Establish routine for compensation event meetings to review compensation event process and acceptance	The appropriate frequency will depend on the project and will change but it is essential to start with routine meetings.			
		6	<i>Project Manager &amp; Contractor</i>	Are compensation events being closed out/ managed within timescales?				
8	Risks and insurance	85.1	<i>Project Manager &amp; Contractor</i>	C to submit certificates confirming that insurances are in place.	These are required to be submitted prior to the starting date.			
		87.1	<i>Project Manager &amp; Contractor</i>	E to submit certificates confirming that any E insurances are in place.				

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X4	Parent company guarantee		<i>Project Manager &amp; Contractor</i>	If not already supplied, this needs to be provided within 4 weeks of the Contract Date. This needs to be checked.				
X12	Partnering		<i>Project Manager &amp; Contractor</i>	This potentially will need to be developed and completed				
X13	Performance bond		<i>Project Manager &amp; Contractor</i>	If not already supplied, this needs to be provided within 4 weeks of the Contract Date. This needs to be checked.				
X14	Advanced payment		<i>Project Manager &amp; Contractor</i>	Advanced payments will need to be organised				

