

# Signature Certification & Authorization

for purposes of professional service contracting documents

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|---|-------------|
| <b>Calendar Year of Certification &amp; Authorization(s):</b> | <b>2015</b> |
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This Signature Certification & Authorization supersedes all prior documents of this purpose for the agency identified below and shall be effective immediately and remain effective until superseded by a new document of this purpose properly filed, except it shall NOT be effective beyond the calendar year specified above.

I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

| <b>Printed Name &amp; Title</b>                  | <b>Sample Signature with Initials</b><br><i>sample of agency head's name as it will be signed<br/>&amp; initialed by the <u>authorized individual</u> named</i> |
|--|---|
| Darin J. Gordon, Deputy Commissioner             |    |
| Casey Dungan, Chief Financial Officer            |   |
| Dr. Wendy Long<br>Deputy Director/Chief of Staff |   |
|  |   |

*add rows to the schedule as necessary*

Further, as the chief executive of the agency identified below, I will sign all professional service contract documents as well as associated procurement documents and communications in the following manner:

**Agency Chief Executive Signature & Date**

 12/5/14

**Printed Name, Title & Agency**

Larry B. Martin, Commissioner  
Department of Finance and Administration  
Division of Health Care Finance and Administration

**CONTRACT MANAGEMENT PLAN**  
**DEPARTMENT OF FINANCE AND ADMINISTRATION**  
**DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION**  
**Calendar Year 2015**

As required by Rule 0690-03-01-.27 the Division of Health Care Finance and Administration is submitting this Contract Management Plan for the effective management of service contracts that it procures. All contracts with the Division of Health Care Finance and Administration (HCFA) are processed and coordinated through the Fiscal Office as well as program area directly involved in procurement services, with final approval for services from the Deputy Commissioner. The contract process is as follows:

- (1) As required by the Central Procurement Office , HCFA has designated Alma Chilton as Service Contract Coordinator. Ms. Chilton is the Director of the Contract Section, which falls within the Fiscal Office. Other Contract Section staff include Tammie S. Howell, Contract Analyst, and Tammy Pye, Administrative Assistant 4. The Contract Office has the following roles and responsibilities:
  - a. Serves as the single point of contact between HCFA and CPO;
  - b. Keeps up-to-date on changes in service contracting statutes, rules and policies;
  - c. Informs appropriate HCFA staff of service contracting statutes, rules, and policies and any changes that may occur, and
  - d. Assists Program contract staff in preparation, review and approval of ALL service contracts and Requests for Proposals (RFP) prior to the completion and signature. The purpose of these reviews is to determine whether the contracts comply with State contracting statutes, rules and policies as they apply to CPO and Comptroller requirements.
  
- (2) HCFA is comprised of several programs, all with specific contract needs relative to the program requirement. Program staff are responsible for identifying specific contract needs and working with the Contract office to accomplish the desired contract for services. The program Director or his/her designee is responsible for identifying the following components and relaying to the contract coordinator for proper completion of contract:
  - a. A scope of services to include in the contract;
  - b. Payment Methodology;
  - c. Term and renewal options;
  - d. Vendor contact, address, phone and fax number; e-mail address;
  - e. Name and title of person who will be signing contract, and
  - f. Any language specific to particular contract that is not included in Special Terms template.

Once the contract is properly processed and executed contract received from CPO and the Comptroller, the program director and/or his designee will ensure that the vendor's performance meets contractual requirements.

- (3) After review by the fiscal office and certification of delegated funds, the Contract Coordinator will be responsible for forwarding the contract for signature to the vendor and then submitting signed documents to CPO through the State Edison System for processing.
- (4) Request for Proposal -Request for Proposals (RFPs) are initiated by a contract need identified by program areas and then submitted for review to the fiscal/contract office. The contract coordinator is the coordinator of RFP's, working with program area to develop the scope language and requirements for contracting to be included in the RFP. Prior to issuance, the RFP is reviewed and approved by the Fiscal Office, Program Areas, Office of General Counsel, and then submitted to CPO for review prior to release. Once issued and evaluated, the ensuing contract is processed through CPO, State Budget, and the Comptroller's Office and once executed, distributed by Contract Office .
- (5) Contract Management Process -Contract administration includes application of the appropriate project management processes to the contractual relationship(s) and integration of the outputs from these processes into the overall management of the project. The project management processes, which must be applied, include:
  - a. Project plan execution to authorize the contractor's work at the appropriate time;
  - b. Negotiation of contract/amendment terms & conditions if required;
  - c. Performance reporting to monitor contractor cost, schedule, and technical performance;
  - d. Quality control to inspect and verify the adequacy of the contractor's product, and.
  - e. Identify which deliverables have been completed and which have not, to what extent are quality standards being met, and what costs have been incurred or committed.
- (6) Fiscal Process – Professional Services Contracts – The fiscal office responsibilities as they relate to contract payments are to process invoices from the appropriate contract review personnel. Once the invoice is approved by the Contract Administrator acknowledging that the contractor is compliant with the terms of the contract they are reviewed for accuracy and compliance with contract payment terms by the Contract Office and are processed for payment.
- (7) Subrecipient Monitoring - Performed by the HCFA Office of Internal Audit– Contracts that are determined to create a subrecipient relationship (criteria can be found in both Department of Finance and Administration Policy 22 and the federal Office of Management and Budget Circular A-133). The procuring state agency

must submit an Annual Subrecipient Monitoring Plan to the Department of Finance and Administration. The plan should identify all subrecipients under contract, describe the process and risk criteria used to select and prioritize the subrecipients for monitoring purposes, include sample monitoring manuals for each state and/or federal program, identify staffing and provide a summary of findings found during the prior fiscal year's monitoring, as well as Corrective Action and collaborative monitoring efforts that TennCare will engage throughout the fiscal year. Monitoring is the review process used to determine a subrecipient's compliance with the requirements of a state and/or federal program, applicable laws and regulations and state results and outcomes.

Objectives of Monitoring:

- a. Obtain reasonable assurance that the agency is a going concern;
- b. Test the reliability of internal controls;
- c. Verify that program objectives are being met;
- d. Verify that civil rights requirements are being met;
- e. Test the reliability of the financial and programmatic reporting, and
- f. Test if costs and services are allowable and eligible.

Monitors will review contracts, policies, procedures and other regulations prior to conducting a review. During the review, monitors will address all applicable core areas recommended by the Tennessee Subrecipient Monitoring Manual, and F&A Policy Statement 22. The monitoring report will identify scope of services, contracts reviewed, findings and areas needing corrective action.

*Larry B. Martin/cs*

Larry B. Martin, Commissioner  
Department of Finance and Administration  
Division of Health Care Finance & Administration

*12/4/2014*  
Date