

## Service Contracts Coordinator Designation

Calendar Year of Designation:

2015

This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated Service Contracts Coordinator serves as an agency's internal specialist with responsibility for:

- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that because limited staffing in the central professional service procurement oversight function, communications on behalf of my agency with Office of Contracts Review staff should be limited to those from the designated Service Contracts Coordinator.

As chief executive of the agency identified below, I hereby designate the following person as the agency's Service Contracts Coordinator.

<b>Name:</b>	Alma Chilton
<b>Address:</b>	310 Great Circle Road
<b>Telephone:</b>	Nashville, TN 37243
<b>E-Mail:</b>	Alma.chilton@tn.gov

Agency Chief Executive  
Signature & Date



Printed Name & Title

**Larry B. Martin, Commissioner**

Agency Name

**Department of Finance and Administration  
Division of Health Care Finance and Administration**

# Signature Certification & Authorization

for purposes of professional service contracting documents

<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documents of this purpose for the agency identified below and shall be effective immediately and remain effective until superseded by a new document of this purpose properly filed, except it shall NOT be effective beyond the calendar year specified above.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> <i>sample of agency head's name as it will be signed &amp; initialed by the <u>authorized individual</u> named</i>
Darin J. Gordon, Deputy Commissioner	
Casey Dungan, Chief Financial Officer	
Dr. Wendy Long 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.

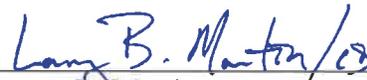
- (3) After review by the fiscal office and certification of delegated funds, the Contract Coordinator will be responsible for forwarding the contract for signature to the vendor and then submitting signed documents to CPO through the State Edison System for processing.
- (4) Request for Proposal -Request 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, Commissioner  
Department of Finance and Administration  
Division of Health Care Finance & Administration

  
Date

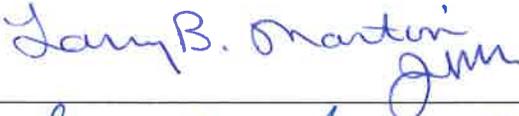
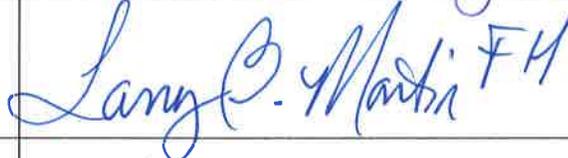
# Signature Certification & Authorization

for purposes of professional service contracting documents

<b>Calendar Year of Certification &amp; Authorization(s):</b>	<b>2014</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> <i>sample of agency head's name as it will be signed &amp; initialed by the <u>authorized individual</u> named</i>
Mike Morrow, Deputy Commissioner of Operations	
Felenceo M. Hill, Director of Business and Finance	
Robert "Buddy" Lea, Assistant Commissioner of Administration	

*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**

 8/19/14

**Printed Name, Title & Agency**

Larry B. Martin, Commissioner, Finance & Administration

## Service Contracts Coordinator Designation

Calendar Year of Designation:	2014
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- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that because limited staffing in the central professional service procurement oversight function, communications on behalf of my agency with Office of Contracts Review staff should be limited to those from the designated Service Contracts Coordinator.

As chief executive of the agency identified below, I hereby designate the following person as the agency's Service Contracts Coordinator.

Name:	Jane Chittenden
Address:	Data Center North 901 5 <sup>th</sup> Avenue North Nashville, TN 37126
Telephone:	615-741-1624
E-Mail:	Jane.Chittenden@tn.gov

Agency Chief Executive  
Signature & Date

Printed Name & Title

**Larry B. Martin, Commissioner**

Agency Name

**Finance & Administration**

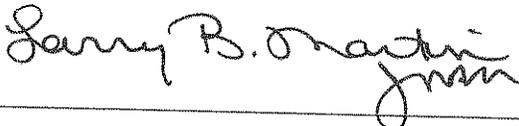
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Robert "Buddy" Lea, Assistant Commissioner of Administration	
Maureen Abbey, Director of Business and Finance	
Felenceo Hill, Acting Director of Business Operations	

*add rows to the schedule as necessary*

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Agency Chief Executive Signature & Date



Printed Name, Title & Agency

Larry B. Martin, Commissioner, Finance and Administration

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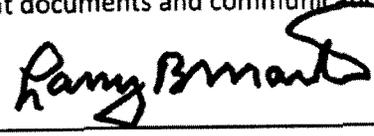
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<b>Darin J. Gordon</b> Deputy Commissioner	<i>Larry B. Martin DG</i>
<b>Casey Dungan</b> Chief Financial Officer	<i>Larry B. Martin / CD</i>
<b>Dr. Wendy Long</b> Deputy Director/Chief of Staff	<i>Larry B. Martin / WL</i>

*add rows to the schedule as necessary*

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**Agency Chief Executive Signature & Date**



**Printed Name, Title & Agency**  
**Larry B. Martin, Commissioner**  
**Department of Finance and Administration**

**CONTRACT MANAGEMENT PLAN**  
**DEPARTMENT OF FINANCE AND ADMINISTRATION**  
**DIVISION OF HEALTH CARE FINANCE AND ADMINISTRATION**  
**Calendar Year 2014**

As required by Rule 602-03-08-.04(2), 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:

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

11/19/2013  
Date

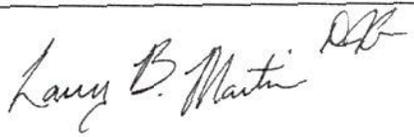
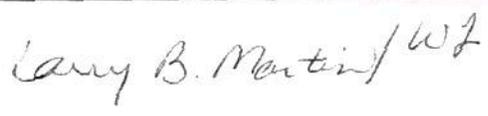
# Signature Certification & Authorization

for purposes of professional service contracting documents

<b>Calendar Year of Certification &amp; Authorization(s):</b>	<b>2013 (Effective June 1, 2013)</b>
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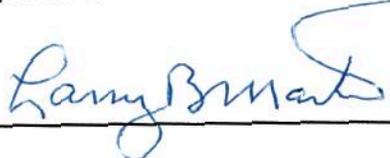
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<b>Printed Name &amp; Title</b>	<b>Sample Signature with Initials</b> <i>sample of agency head's name as it will be signed &amp; initialed by the <u>authorized individual</u> named</i>
Casey Dungan, Chief Financial Officer	
Darin J. Gordon, Deputy Commissioner	
Wendy Long, Chief Medical Officer	

*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**



**Printed Name, Title & Agency**

**Larry B. Martin, Interim Commissioner  
Department of Finance and Administration**

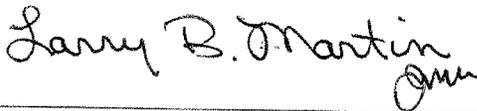
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for purposes of professional service contracting documents

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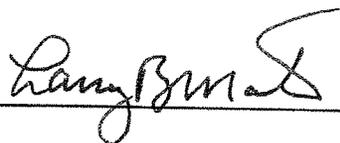
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Mike Morrow, Deputy Commissioner of Operations	
Maureen Abbey, Director of Business and Finance	
Robert "Buddy" Lea, Assistant Commissioner of Administration	

*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**

 6-4-13

**Printed Name, Title & Agency** Larry B. Martin, Commissioner, Finance & Administration

# Signature Certification & Authorization

for purposes of professional service contracting documents

<b>Calendar Year of Certification &amp; Authorization(s):</b>	<b>2012</b>
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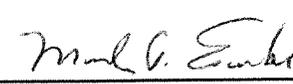
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<b>Printed Name &amp; Title</b>	<b>Sample Signature with Initials</b> <i>sample of agency head's name as it will be signed &amp; initialed by the <u>authorized individual</u> named</i>
Mike Morrow, Deputy Commissioner of Operations	
Maureen Abbey, Director of Business and Finance	
Buddy Lea, Assistant Commissioner for Resource Development and Support	

*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** 

**Printed Name, Title & Agency** Mark A. Emkes, Commissioner, Finance & Administration

## Service Contracts Coordinator Designation

<b>Calendar Year of Designation:</b>	2012
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I understand the designated Service Contracts Coordinator serves as an agency's internal specialist with responsibility for:

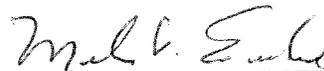
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that because limited staffing in the central professional service procurement oversight function, communications on behalf of my agency with Office of Contracts Review staff should be limited to those from the designated Service Contracts Coordinator.

As chief executive of the agency identified below, I hereby designate the following person as the agency's Service Contracts Coordinator.

<b>Name:</b>	Jane Chittenden
<b>Address:</b>	312 Rosa L Parks Avenue Tennessee Tower Suite 1700 Nashville, TN 37243
<b>Telephone:</b>	741-1624
<b>E-Mail:</b>	Jane.Chittenden@tn.gov

Agency Chief Executive  
Signature & Date



Printed Name & Title Mark A. Emkes, Commissioner

Agency Name Finance & Administration

# ANNUAL CONTRACT MANAGEMENT PLAN



## DEPARTMENT OF FINANCE AND ADMINISTRATION FOR CALENDAR YEAR 2012

*Mark A. Emkes*      *1/06/2012*  
\_\_\_\_\_  
Mark A. Emkes      Date  
Commissioner

## **Finance and Administration Contract Management**

### **CONTRACT SERVICES COORDINATOR (ALL CONTRACTS)**

As required by the Office of Contracts Review, the Department has designated a Service Contract Coordinator. This Coordinator has the following roles and responsibilities:

- Serve as the single point of contact between the Department and OCR
- Keep up-to-date on changes in service contracting statutes, rules, and policies
- Inform appropriate Departmental staff of changes in service contracting statutes, rules, and policies
- Advise Departmental staff regarding service contracting statutes, rules, and policies
- Review and approve ALL service contracts prior to the initiation of the signature process. The purpose of these reviews is to determine whether the contracts comply with State contracting statutes, rules, and policies.

### **CONTRACT MANAGEMENT FOR PROFESSIONAL SERVICES CONTRACTS**

#### **Contract / Program Administrator's Role**

Contract administration is the process of ensuring that the vendor's performance meets contractual requirements. Each professional services contract entered into must have a designated contract administrator. Outlined below are the duties of the contract administrator.

#### ***Contract Management Processes***

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:

- Project plan execution to authorize the contractor's work at the appropriate time.
- Negotiation of contract/amendment terms & conditions if required.
- Performance reporting to monitor contractor cost, schedule, and technical performance.
- Quality control to inspect and verify the adequacy of the contractor's product.

### ***Financial Management***

Payment terms should be defined within the contract and should involve a specific linkage between progress made and compensation paid. The vendor must submit invoices to request payment for work performed. Invoicing requirements, including necessary supporting documentation, are defined in the contract. Payment requests (invoices) must include appropriate reviews and approvals by the Contract Administrator (and other project management team members as appropriate).

### ***Reporting/File Maintenance***

Work results. Identify which deliverables have been completed and which have not, to what extent are quality standards being met, what costs have been incurred or committed, etc.

Performance reporting. Reporting provides management with information about how effectively the vendor is achieving the contractual objectives.

Receipt/processing of Contractor reporting, specific to contract deliverables:  
Scheduled and systematic monitoring of specific deliverables,  
Measuring of compliance against contractual obligations,  
Reporting to internal customers, as necessary.

Documentation. Includes written documentation of certain aspects of buyer/vendor communications, the approved contract and any amendments.

### **Fiscal Process – Professional Services Contracts**

The responsibilities of the F&A-fiscal office as it relates to contract payments is outlined below.

Invoices are received from the appropriate contract review personnel. Invoices must be approved by the Contract Administrator acknowledging that the contractor is compliant with the terms of the contract.

Once the invoice is received with all the appropriate signatures, authorizations and documentation, the invoice is audited.

The audit includes a review of the following:

- Contract terms against the invoice's charges
- Time frame of the contract
- Vendor name, address, vendor ID and location
- Contract's accounting codes
- Available encumbrance
- Mathematical accuracy
- Compliance with State of Tennessee Comprehensive Travel regulations

## **Internal Audit's Role in Contract Management Plan for Professional Services Contracts**

Due to the independent nature of Internal Audit, this office cannot participate in the actual management of the contracts. However, an effective management plan must include some form of monitoring. The Office of Internal Audit will perform the following monitoring activities:

- Maintain an updated list of service contracts
- Periodically review a sample of service contracts to ensure that vendor requirements are being met
- Periodically test payments to vendors for compliance with applicable rules and regulations
- Periodically review procedures followed by Contract Managers to ensure they are adhering to the Contract Management Plan

## **CONTRACT MANAGEMENT FOR GRANTS**

As noted in F&A Rule 0620-3-8-.03, a procuring state agency is responsible for contract management of all vendor and subrecipient contracts under its purview. Additionally, contracts characterized by a subrecipient relationship (primarily grant type contracts) are subject to subrecipient monitoring. The responsibilities of these two roles are outlined below.

### **Grant Administration - Activities Performed by Program Managers/Administrators:**

- Develop subgrantee applications for designated grants
- Process subgrantee applications
- Ensure the new projects are initiated within X days or that written requests for extension of start-up dates are justified
- Maintain contact with subgrantees to ensure successful implementation of program
- Maintain orderly subgrantee files, which include regular case note documentation, subcontracts, copies of correspondence, project monitoring reports, and corrective action plans
- Assist with the development of grant monitoring tools, review monitoring reports, provide feedback to monitors and subgrantees as needed, and ensure adequacy of corrective action plans
- Receive and review request for project modifications including budget reallocation, program and budget revisions and subgrantee program or budget amendments, as necessary
- Coordinate meetings with subgrantees, as appropriate, to ensure consistency in program type and quality

- Analyze data received from subgrantees and report results to federal/state government as required
- Attend pertinent program meetings and conferences
- Coordinate training activities for subgrantees as indicated by need and availability of training resources
- Report research data and other relevant information to subgrantees, as needed
- Maintain directory of subgrantees
- Regularly review program policy and performance standards for modification as dictated by changes in state/federal guidelines

**Subrecipient Monitoring – Activities Performed by Monitors or Auditors in the Division of Resource Development and Support**

For 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 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. For the purpose of this plan, “monitoring” is defined as 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 stated results and outcomes. Monitoring identifies operational changes and determines that internal control over financial management and accounting systems are adequate to account for program funds in accordance with state and/or federal requirements.

**Objectives of Monitoring:**

- To obtain reasonable assurance that the agency is a going concern
  - To test the reliability of internal controls
  - To verify that program objectives are being met
  - To verify that civil rights requirements are being met
  - To test the reliability of the financial and programmatic reporting
  - To test if costs and services are allowable and eligible
- **Planning** –Monitors will review contracts, policies, procedures and other regulations prior to conducting a review.
  - **Monitoring Review/Fieldwork** – During a review, monitors will address all applicable core areas recommended by the *Tennessee Subrecipient*

*Monitoring Manual*, and Finance and Administration Policy Statement 22. This will be documented in workpapers.

Core Areas:

- Activities Allowed or disallowed
  - Title VI
  - Allowable Costs / Cost Principles
  - Eligibility
  - Matching, Level of Effort, Earmarking
  - Program Income
  - Cash Management
  - Davis-Bacon Act
  - Equipment and Real Property Management
  - Period of Availability of Funds
  - Procurement, Suspension and Debarment
  - Real Property Acquisition and Relocation Assistance
  - Reporting
  - Special Tests and Provisions
- 
- **Reporting** - The Monitoring Report will identify scope of services, contracts reviewed, findings and areas needing corrective action. An email version of the report will be distributed to the group of individuals designated by the grantor.
  
  - **Workpaper Documentation** - Monitors will have sufficient documentation to support findings, observations and conclusions reached and expressed in any report to the subrecipient or grantor. Grant provisions, grantor policies and/or procedures, and other relevant rules, regulations and laws, will support findings at all times. Workpapers will be maintained in the Nashville Office.
  
  - **Record Retention** - Official files will be maintained for a period of three (3) years following the monitoring review or until Finance and Administration is audited.
  
  - **Fraud and Abuse** - Monitors will immediately report suspicions of fraud or illegal acts uncovered during a review to appropriate officials for further investigation.
  
  - **Objectivity/Confidentiality** - Monitors will exercise objectivity and confidentiality in all monitoring reviews. Monitors will sign a conflict-of-interest statement.
  
  - **Database Management** - A database of key information associated with monitoring reviews will be maintained by the grantor agency. The database will include subrecipient contact data, review dates, contract numbers and amounts and programs reviewed.

# SIGNATURE CERTIFICATION & AUTHORIZATION

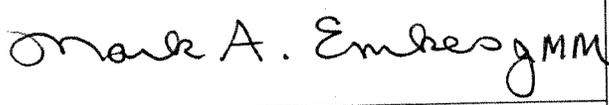
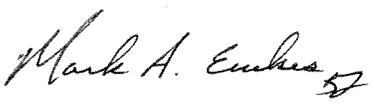
**CALENDAR YEAR OF CERTIFICATION/AUTHORIZATION:**

2011

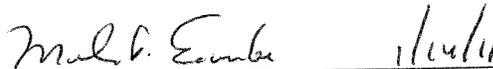
**NOTICE TO COMMISSIONER OF FINANCE & ADMINISTRATION:**

This *Signature Certification & Authorization* (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation 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 service contracts and associated service procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

NAME AND TITLE	SAMPLE SIGNATURE WITH INITIALS (sample of agency head's name as it will be signed & initialed by the <u>authorized individual</u> named)
Mike Morrow, Deputy Commissioner of Operations	
Maureen Abbey, Director of Business and Finance	
Buddy Lea, Assistant Commissioner for Resource Development and Support	

I WILL SIGN ALL SERVICE CONTRACT DOCUMENTS AND RELATED COMMUNICATIONS IN THE FOLLOWING MANNER:

**AGENCY HEAD SIGNATURE & DATE:**

**PRINTED NAME & TITLE:**

Mark A. Emkes, Commissioner

**DEPARTMENT OR AGENCY NAME:**

Finance &amp; Administration

## Service Contracts Coordinator Designation

Calendar Year of Designation:	2011
-------------------------------	------

This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated Service Contracts Coordinator serves as an agency's internal specialist with responsibility for:

- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that because limited staffing in the central professional service procurement oversight function, communications on behalf of my agency with Office of Contracts Review staff should be limited to those from the designated Service Contracts Coordinator.

As chief executive of the agency identified below, I hereby designate the following person as the agency's Service Contracts Coordinator.

<b>Name:</b>	Jane Chittenden
<b>Address:</b>	312 Rosa L Parks Avenue Tennessee Tower, Suite 1700 Nashville, TN 37243
<b>Telephone:</b>	(615) 741-1624
<b>E-Mail:</b>	Jane.Chittenden@tn.gov

Agency Chief Executive  
Signature & Date

*Mark A. Emkes* 1/26/11

Printed Name & Title

**Mark A. Emkes, Commissioner**

Agency Name

**Finance & Administration**

# ANNUAL CONTRACT MANAGEMENT PLAN



## DEPARTMENT OF FINANCE AND ADMINISTRATION FOR CALENDAR YEAR 2011

*Mark A. Emkes*      *1/26/11*  
\_\_\_\_\_  
Mark A. Emkes      Date  
Commissioner

## **Finance and Administration Contract Management**

### **CONTRACT SERVICES COORDINATOR (ALL CONTRACTS)**

As required by the Office of Contracts Review, the Department has designated a Service Contract Coordinator. This Coordinator has the following roles and responsibilities:

- Serve as the single point of contact between the Department and OCR
- Keep up-to-date on changes in service contracting statutes, rules, and policies
- Inform appropriate Departmental staff of changes in service contracting statutes, rules, and policies
- Advise Departmental staff regarding service contracting statutes, rules, and policies
- Review and approve ALL service contracts prior to the initiation of the signature process. The purpose of these reviews is to determine whether the contracts comply with State contracting statutes, rules, and policies.

### **CONTRACT MANAGEMENT FOR PROFESSIONAL SERVICES CONTRACTS**

#### **Contract / Program Administrator's Role**

Contract administration is the process of ensuring that the vendor's performance meets contractual requirements. Each professional services contract entered into must have a designated contract administrator. Outlined below are the duties of the contract administrator.

#### ***Contract Management Processes***

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:

- Project plan execution to authorize the contractor's work at the appropriate time.
- Negotiation of contract/amendment terms & conditions if required.
- Performance reporting to monitor contractor cost, schedule, and technical performance.
- Quality control to inspect and verify the adequacy of the contractor's product.

### ***Financial Management***

Payment terms should be defined within the contract and should involve a specific linkage between progress made and compensation paid. The vendor must submit invoices to request payment for work performed. Invoicing requirements, including necessary supporting documentation, are defined in the contract. Payment requests (invoices) must include appropriate reviews and approvals by the Contract Administrator (and other project management team members as appropriate).

### ***Reporting/File Maintenance***

Work results. Identify which deliverables have been completed and which have not, to what extent are quality standards being met, what costs have been incurred or committed, etc.

Performance reporting. Reporting provides management with information about how effectively the vendor is achieving the contractual objectives.

Receipt/processing of Contractor reporting, specific to contract deliverables:  
Scheduled and systematic monitoring of specific deliverables,  
Measuring of compliance against contractual obligations,  
Reporting to internal customers, as necessary.

Documentation. Includes written documentation of certain aspects of buyer/vendor communications, the approved contract and any amendments.

### **Fiscal Process – Professional Services Contracts**

The responsibilities of the F&A-fiscal office as it relates to contract payments is outlined below.

Invoices are received from the appropriate contract review personnel. Invoices must be approved by the Contract Administrator acknowledging that the contractor is compliant with the terms of the contract.

Once the invoice is received with all the appropriate signatures, authorizations and documentation, the invoice is audited.

The audit includes a review of the following:

- Contract terms against the invoice's charges
- Time frame of the contract
- Vendor name, address, vendor ID and location
- Contract's accounting codes
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- Compliance with State of Tennessee Comprehensive Travel regulations

## **Internal Audit's Role in Contract Management Plan for Professional Services Contracts**

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**Subrecipient Monitoring – Activities Performed by Monitors or Auditors in the Division of Resource Development and Support**

For 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 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. For the purpose of this plan, "monitoring" is defined as 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 stated results and outcomes. Monitoring identifies operational changes and determines that internal control over financial management and accounting systems are adequate to account for program funds in accordance with state and/or federal requirements.

**Objectives of Monitoring:**

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*Monitoring Manual*, and Finance and Administration Policy Statement 22. This will be documented in workpapers.

Core Areas:

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  - Allowable Costs / Cost Principles
  - Eligibility
  - Matching, Level of Effort, Earmarking
  - Program Income
  - Cash Management
  - Davis-Bacon Act
  - Equipment and Real Property Management
  - Period of Availability of Funds
  - Procurement, Suspension and Debarment
  - Real Property Acquisition and Relocation Assistance
  - Reporting
  - Special Tests and Provisions
- 
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  - **Workpaper Documentation** - Monitors will have sufficient documentation to support findings, observations and conclusions reached and expressed in any report to the subrecipient or grantor. Grant provisions, grantor policies and/or procedures, and other relevant rules, regulations and laws, will support findings at all times. Workpapers will be maintained in the Nashville Office.
  
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  - **Objectivity/Confidentiality** - Monitors will exercise objectivity and confidentiality in all monitoring reviews. Monitors will sign a conflict-of-interest statement.
  
  - **Database Management** - A database of key information associated with monitoring reviews will be maintained by the grantor agency. The database will include subrecipient contact data, review dates, contract numbers and amounts and programs reviewed.

## Signature Certification & Authorization

for purposes of professional service contract & supporting documents

Calendar Year of Certification & Authorization(s)

2010  
**EXPIRED**

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.

Printed Name & Title	Sample Signature with Initials <i>sample of agency head's name as it will be signed &amp; initialed by the authorized individual named</i>
Maureen Abbey, Director of Business and Finance	<i>Mike Morrow/MA</i>
Buddy Lea, Assistant Commissioner for Resource Development and Support	<i>Mike Morrow</i>

*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

*Mike Morrow*

Printed Name & Title **Mike Morrow, Commissioner**

Agency Name **Finance & Administration**

17-Nov-2010

# SIGNATURE CERTIFICATION & AUTHORIZATION

**CALENDAR YEAR OF CERTIFICATION/AUTHORIZATION:**

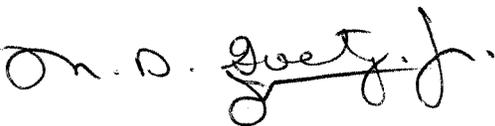
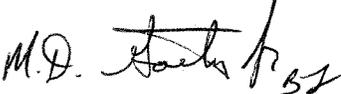
2010

VOID

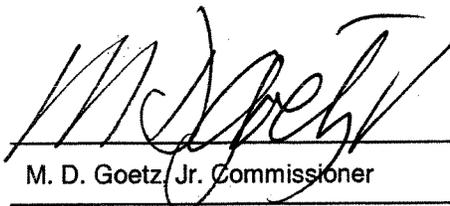
**NOTICE TO COMMISSIONER OF FINANCE & ADMINISTRATION:**

This *Signature Certification & Authorization* (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation 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 service contracts and associated service procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

NAME AND TITLE	SAMPLE SIGNATURE WITH INITIALS (sample of agency head's name as it will be signed & initialed by the <u>authorized individual</u> named)
Mike Morrow, Deputy Commissioner of Operations	
Maureen Abbey, Director of Business and Finance	
Buddy Lea, Assistant Commissioner for Resource Development and Support	

**I WILL SIGN ALL SERVICE CONTRACT DOCUMENTS AND RELATED COMMUNICATIONS IN THE FOLLOWING MANNER:**

**AGENCY HEAD SIGNATURE & DATE:**

**PRINTED NAME & TITLE:** M. D. Goetz Jr. Commissioner

**DEPARTMENT OR AGENCY NAME:** Finance & Administration

# ALTERNATE RFP COORDINATOR DESIGNATIONS

**CALENDAR YEAR OF DESIGNATION:** 2010

**NOTICE TO COMMISSIONER OF FINANCE & ADMINISTRATION:**

This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand that, because the experience, influence, and consistency of *RFP Coordinators* are factors critical to successful RFP processes, an agency head should designate no more than three (3) alternate *RFP Coordinators*. I further understand that *RFP Coordinators* have, at minimum, the following responsibilities:

- supporting program staff in drafting RFPs;
- managing RFP processes;
- instructing the Proposal Evaluation Teams about the RFP process, terms of the subject RFP, and the evaluation process detailed in the RFP so that team members understand the RFP process and their responsibilities in it;
- overseeing the review of technical proposals for responsiveness to requirements;
- coordinating any consultations and financial reviews;
- managing proposal evaluation processes;
- overseeing cost proposal and total proposal score calculations; and
- maintaining procurement files during RFP processes.

I hereby designate the following individuals as alternate *RFP Coordinators* for my agency.

**NAME:** Marlene Alvarez

**TELEPHONE:** 253-8358

**EMAIL:** Marlene.Alvarez@tn.gov

**NAME:** Mitzi Hale

**TELEPHONE:** 741-3735

**EMAIL:** Mitzi.Hale@tn.gov

**NAME:** Rhonda Hicks

**TELEPHONE:** 741-9795

**EMAIL:** Rhonda.Hicks@tn.gov

**NAME:** Travis Johnson

**TELEPHONE:** 741-5727

**EMAIL:** Travis.Johnson@tn.gov

**NAME:** Marga Rivenbark

**TELEPHONE:** 253-5247

**EMAIL:** Marga.Rivenbark @tn.gov

**NAME:** Dorothy Vaughn

**TELEPHONE:** 741-7361

**EMAIL:** Dorothy.Vaughn@tn.gov

**AGENCY HEAD SIGNATURE & DATE:**



---

**PRINTED NAME & TITLE:** M. D. Goetz, Jr. Commissioner

---

**DEPARTMENT OR AGENCY NAME:** Finance & Administration

---

# SERVICE CONTRACTS COORDINATOR DESIGNATION

**CALENDAR YEAR OF DESIGNATION:** 2010

**NOTICE TO COMMISSIONER OF FINANCE & ADMINISTRATION:**

This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated *Service Contracts Coordinator* serves as an agency's internal specialist with responsibility for:

- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that because limited staffing in the F&A Office of Contracts Review (OCR), communications on behalf of my agency with OCR staff should be limited to those from the designated *Service Contracts Coordinator*.

I hereby designate the following person as the *Service Contracts Coordinator* for my agency.

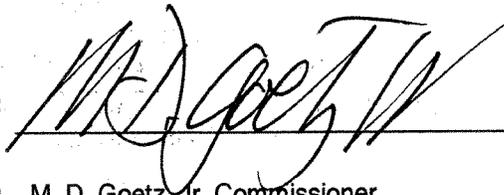
**NAME:** Jane Chittenden

**ADDRESS:** 312 Rosa L Parks Avenue  
Tennessee Tower Suite 1700  
Nashville, TN 37243

**TELEPHONE:** 741-1624

**EMAIL:** Jane.Chittenden@tn.gov

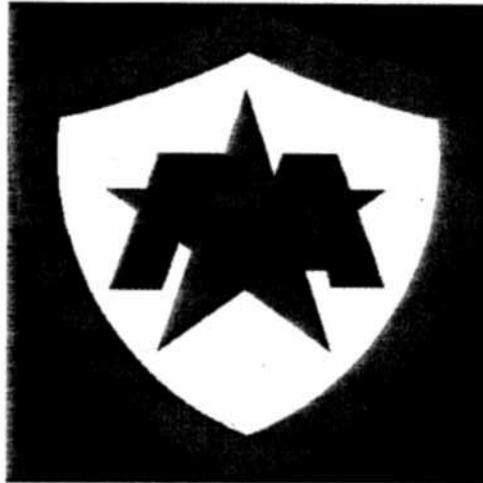
**AGENCY HEAD SIGNATURE & DATE:**



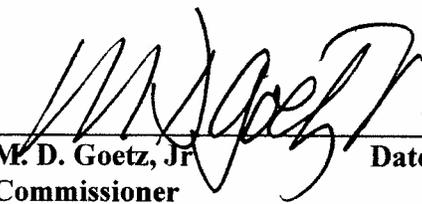
**PRINTED NAME & TITLE:** M. D. Goetz, Jr. Commissioner

**DEPARTMENT OR AGENCY NAME:** Finance & Administration

# ANNUAL CONTRACT MANAGEMENT PLAN



## DEPARTMENT OF FINANCE AND ADMINISTRATION FOR CALENDAR YEAR 2010

   
\_\_\_\_\_  
M. D. Goetz, Jr. Date  
Commissioner

## **Finance and Administration Contract Management**

### **Contract Services Coordinator (All Contracts)**

As required by the Office of Contracts Review, the Department has designated a Service Contract Coordinator. This Coordinator has the following roles and responsibilities:

- Serve as the single point of contact between the Department and OCR
- Keep up-to-date on changes in service contracting statutes, rules, and policies
- Inform appropriate Departmental staff of changes in service contracting statutes, rules, and policies
- Advise Departmental staff regarding service contracting statutes, rules, and policies
- Review and approve ALL service contracts prior to the initiation of the signature process. The purpose of these reviews is to determine whether the contracts comply with State contracting statutes, rules, and policies.

### **Contract Management for Professional Services Contracts**

#### **Contract / Program Administrator's Role**

Contract administration is the process of ensuring that the vendor's performance meets contractual requirements. Each professional services contract entered into must have a designated contract administrator. Outlined below are the duties of the contract administrator.

#### ***Contract Management Processes***

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:

- Project plan execution to authorize the contractor's work at the appropriate time.
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- Quality control to inspect and verify the adequacy of the contractor's product.

***Financial Management***

Payment terms should be defined within the contract and should involve a specific linkage between progress made and compensation paid. The vendor must submit invoices to request payment for work performed. Invoicing requirements, including necessary supporting documentation, are defined in the contract. Payment requests (invoices) must include appropriate reviews and approvals by the Contract Administrator (and other project management team members as appropriate).

***Reporting/File Maintenance***

Work results. Identify which deliverables have been completed and which have not, to what extent are quality standards being met, what costs have been incurred or committed, etc.

Performance reporting. Reporting provides management with information about how effectively the vendor is achieving the contractual objectives.

Receipt/processing of Contractor reporting, specific to contract deliverables:  
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Documentation. Includes written documentation of certain aspects of buyer/vendor communications, the approved contract and any amendments.

**Fiscal Process – Professional Services Contracts**

The responsibilities of the F&A-fiscal office as it relates to contract payments is outlined below.

Invoices are received from the appropriate contract review personnel. Invoices must be approved by the Contract Administrator acknowledging that the contractor is compliant with the terms of the contract.

Once the invoice is received with all the appropriate signatures, authorizations and documentation, the invoice is audited.

The audit includes a review of the following:

- Contract terms against the invoice's charges
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## **Internal Audit's Role in Contract Management Plan for Professional Services Contracts**

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- Coordinate meetings with subgrantees, as appropriate, to ensure

12/7/2009

- consistency in program type and quality
- Analyze data received from subgrantees and report results to federal/state government as required
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- Regularly review program policy and performance standards for modification as dictated by changes in state/federal guidelines

**Subrecipient Monitoring – Activities Performed by Monitors or Auditors in the Division of Resource Development and Support**

For 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 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. For the purpose of this plan, "monitoring" is defined as 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 stated results and outcomes. Monitoring identifies operational changes and determines that internal control over financial management and accounting systems are adequate to account for program funds in accordance with state and/or federal requirements.

**Objectives of Monitoring:**

- To obtain reasonable assurance that the agency is a going concern
  - To test the reliability of internal controls
  - To verify that program objectives are being met
  - To verify that civil rights requirements are being met
  - To test the reliability of the financial and programmatic reporting
  - To test if costs and services are allowable and eligible
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- **Planning** –Monitors will review contracts, policies, procedures and other regulations prior to conducting a review.

- **Monitoring Review/Fieldwork** – During a review, monitors will address all applicable core areas recommended by the *Tennessee Subrecipient Monitoring Manual*, and Finance and Administration Policy Statement 22. This will be documented in workpapers.

Core Areas:

- Activities Allowed or disallowed
  - Title VI
  - Allowable Costs / Cost Principles
  - Eligibility
  - Matching, Level of Effort, Earmarking
  - Program Income
  - Cash Management
  - Davis-Bacon Act
  - Equipment and Real Property Management
  - Period of Availability of Funds
  - Procurement, Suspension and Debarment
  - Real Property Acquisition and Relocation Assistance
  - Reporting
  - Special Tests and Provisions
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- **Reporting** - The Monitoring Report will identify scope of services, contracts reviewed, findings and areas needing corrective action. An email version of the report will be distributed to the group of individuals designated by the grantor.
  - **Workpaper Documentation** - Monitors will have sufficient documentation to support findings, observations and conclusions reached and expressed in any report to the subrecipient or grantor. Grant provisions, grantor policies and/or procedures, and other relevant rules, regulations and laws, will support findings at all times. Workpapers will be maintained in the Nashville Office.
  - **Record Retention** - Official files will be maintained for a period of three (3) years following the monitoring review or until Finance and Administration is audited.
  - **Fraud and Abuse** - Monitors will immediately report suspicions of fraud or illegal acts uncovered during a review to appropriate officials for further investigation.
  - **Objectivity/Confidentiality** - Monitors will exercise objectivity and confidentiality in all monitoring reviews. Monitors will sign a conflict-of-interest statement.
  - **Database Management** - A database of key information associated with

monitoring reviews will be maintained by the grantor agency. The database will include subrecipient contact data, review dates, contract numbers and amounts and programs reviewed.