

**COMPTROLLER OF THE TREASURY  
ANNUAL CONTRACT MANAGEMENT PLAN  
FOR CALENDAR YEAR 2015**

The effectiveness of any contract management plan should provide for a separation of duties for program, contract and fiscal staff to ensure integrity and objectivity. The separation of duties should be of such a nature that the administration of the contract provides for the separation of duties for the program development, technical assistance, and fiscal management. To accomplish this objective the following functions and activities have been assigned to the following staff within the Comptroller's Office:

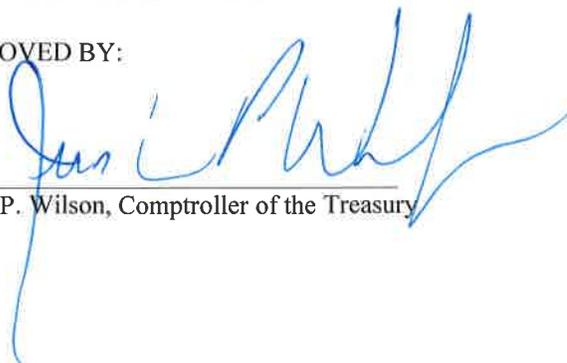
**Program Development** Program development is the responsibility of the division director requesting the contractual service. It is the responsibility of the division director to determine those contracts that are necessary for the operation of their division and to evaluate contract results in terms of the achievement of the division's objectives. It is the division director's or his/her designee's responsibility to review contract performance in terms of progress and compliance with contract provisions and to communicate with contractors to ensure maximum performance and intended results. It is the division director's or his/her designee's responsibility to approve request for payment for acceptable work whether partial or final and to initiate contract renewals. The Sourcing Manager serves as a member of our compliance team.

**Technical Assistance** Technical assistance relative to contract administration is provided to the various divisions within the Comptroller's Office for the purpose of drafting and reviewing RFPs and contracts. The review of these documents will be for the purpose of determining if the state's rules governing personal, professional and consultant service contracts have been complied with in accordance with policies and procedures established by the Department of General Services Central Procurement Office. To accomplish this function, the Sourcing Manager and the Sourcing Technician in the Office of Management Services are assigned this support function.

**Fiscal Management** The Fiscal Section (OMS) of the Comptroller's Office is responsible for determining that adequate funding for contracts is available within the division's budget before contracts are approved. The Fiscal Section will review and process request for payments against contracts that have been properly approved, documented, billed at established contract rates and are in conformity with provisions established within a contract. The Fiscal Section will also maintain records of each contract that document activities such as procurement, management and sub-recipient monitoring if required. To accomplish this function two positions, Assistant Director of Fiscal Services and accounting manager, have been assigned this function.

**Coordination** The Sourcing Manager is available to assist in the RFP negotiation process for contracts when requested and serves as the Service Contract Coordinator and point of contact between the Comptroller's Office and the Central Procurement Office.

APPROVED BY:

  
Justin P. Wilson, Comptroller of the Treasury

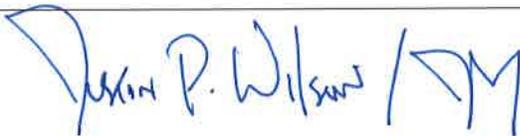
# Signature Certification & Authorization

for purposes of professional service contracting documents

<b>Calendar Year of Certification &amp; Authorization(s):</b>	<b>2015</b>
---	-------------

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.

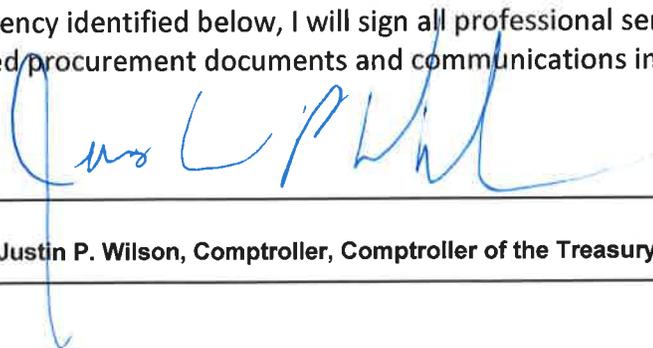
I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

<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>
Jason Mumpower Chief of Staff	
Melinda Parton, CGFM Director of Management Services	
Kathy Stickel, CPA Assistant Director of Management Svcs.	

*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**

Justin P. Wilson, Comptroller, Comptroller of the Treasury

## Service Contracts Coordinator Designation

<b>Calendar Year of Designation:</b>	<b>2015</b>
--------------------------------------	-------------

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>	Connie Rickabaugh
<b>Address:</b>	Office of Management Services, Suite 1400, James K. Polk Building, 505 Deaderick Street, Nashville TN 37243-1402
<b>Telephone:</b>	(615) 401-7914
<b>E-Mail:</b>	Connie.Rickabaugh@cot.tn.gov

Agency Chief Executive  
Signature & Date

Printed Name & Title **Comptroller Justin P. Wilson**

Agency Name **Comptroller of the Treasury**

**COMPTROLLER OF THE TREASURY  
ANNUAL CONTRACT MANAGEMENT PLAN  
FOR CALENDAR YEAR 2014**

The effectiveness of any contract management plan should provide for a separation of duties for program, contract and fiscal staff to ensure integrity and objectivity. The separation of duties should be of such a nature that the administration of the contract provides for the separation of duties for the program development, technical assistance, and fiscal management. To accomplish this objective the following functions and activities have been assigned to the following staff within the Comptroller's Office:

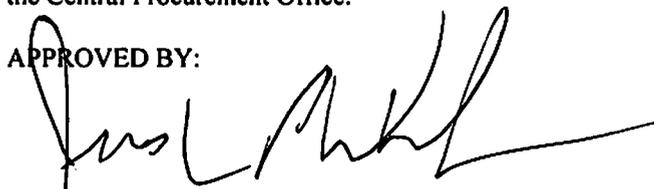
**Program Development** Program development is the responsibility of the division director requesting the contractual service. It is the responsibility of the division director to determine those contracts that are necessary for the operation of their division and to evaluate contract results in terms of the achievement of the division's objectives. It is the division director's or his/her designee's responsibility to review contract performance in terms of progress and compliance with contract provisions and to communicate with contractors to ensure maximum performance and intended results. It is the division director's or his/her designee's responsibility to approve request for payment for acceptable work whether partial or final and to initiate contract renewals. The Sourcing Manager serves as a member of our compliance team.

**Technical Assistance** Technical assistance relative to contract administration is provided to the various divisions within the Comptroller's Office for the purpose of drafting and reviewing RFPs and contracts. The review of these documents will be for the purpose of determining if the state's rules governing personal, professional and consultant service contracts have been complied with in accordance with policies and procedures established by the Department of General Services Central Procurement Office. To accomplish this function, the Sourcing Manager and the Sourcing Technician in the Office of Management Services are assigned this support function.

**Fiscal Management** The Fiscal Section (OMS) of the Comptroller's Office is responsible for determining that adequate funding for contracts is available within the division's budget before contracts are approved. The Fiscal Section will review and process request for payments against contracts that have been properly approved, documented, billed at established contract rates and are in conformity with provisions established within a contract. The Fiscal Section will also maintain records of each contract that document activities such as procurement, management and sub-recipient monitoring if required. To accomplish this function two positions, Assistant Director of Fiscal Services and accounting manager, have been assigned this function.

**Coordination** The Sourcing Manager is available to assist in the RFP negotiation process for contracts when requested and serves as the Service Contract Coordinator and point of contact between the Comptroller's Office and the Central Procurement Office.

APPROVED BY:



Justin P. Wilson, Comptroller of the Treasury

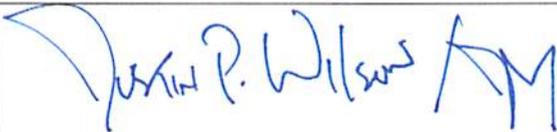
# Signature Certification & Authorization

for purposes of professional service contracting documents

<b>Calendar Year of Certification &amp; Authorization(s):</b>	<b>2014</b>
---	-------------

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.

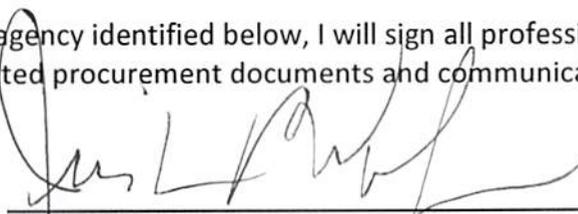
I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

<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>
Jason Mumpower Chief of Staff	
Melinda Parton, CGFM Director of Management Services	
<i>Kathy Stuckel, CPA Assistant Director of Management Svcs.</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**



**Printed Name, Title & Agency**

Justin P. Wilson, Comptroller, Comptroller of the Treasury

## Service Contracts Coordinator Designation

<b>Calendar Year of Designation:</b>	<b>2014</b>
--------------------------------------	-------------

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:

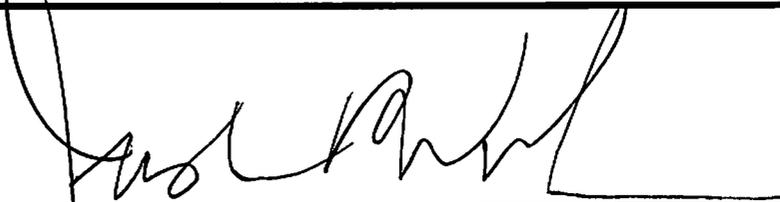
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

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>	Connie Rickabaugh
<b>Address:</b>	Office of Management Services, Suite 1400, James K. Polk Building, 505 Deaderick Street, Nashville TN 37243-1402
<b>Telephone:</b>	(615) 401-7914
<b>E-Mail:</b>	Connie.Rickabaugh@cot.tn.gov

Agency Chief Executive  
Signature & Date



Printed Name & Title **Comptroller Justin P. Wilson**

Agency Name **Comptroller of the Treasury**