

2015 ANNUAL TREASURY CONTRACT MANAGEMENT PLAN

Responsibility

Action

Development Phase

Requesting Division

Requesting division determines the appropriate procurement process and obtains Treasurer's approval via a RFE (Request For Expenditure), or via a Special Contract Request (if applicable).

RFP - If the procurement process involves an RFP (Request for Proposal), requesting division communicates specific contract needs to Solicitation Coordinator and requests assistance in preparation of RFP.

Other Procurement Processes – If the procurement process involves an Amendment, APS (Alternate Procurement Solicitation), Competitive Negotiation, Sole Source Contract, No Cost Contract, Proprietary Contract, RFQ (Request for Qualification) or Delegated Authority the requesting division will communicate contract needs to Solicitation Coordinator to begin the procurement process.

Requesting division provides technical assistance to determine appropriate language for the type of service to be procured, scope of service, schedule of events, compiling of technical data for inclusion with the procurement process, and development of vendor listing, if required.

Solicitation Coordinator

Assigns agency tracking number. Maintains excel spreadsheet of assigned agency tracking numbers Provides current procurement model information.

Provides information to Requesting Division, for review of the Tennessee Uniform Certification Program Disadvantaged Business Enterprise Directory website for minority and disadvantaged businesses for inclusion in the vendor listing as well as for other prospective vendors; reviews and formats document and forwards procurement document to Department's Legal Division for review.

Legal Division

RFP - Reviews to assure its compliance with state contracting policies and procedures; and either assists Requesting Division in preparing or prepares Pro Forma Contract for inclusion in the RFP.

Other Procurement Processes - Works with requesting division to prepare documents for pre-approval of the desired process.

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Responsibility	Action
Solicitation Coordinator	<p data-bbox="565 331 1409 877">Forwards, APS or other Request documents to Central Procurement Office (CPO) for review and approval. RFPs involving information technology services are forwarded to the Office of Information Resources (OIR) for review and approval prior to forwarding to CPO. RFPs involving training for state employees (except for information technology training) are forwarded to the Department of Human Resources for approval prior to forwarding to CPO. RFPs involving the purchasing of medical/mental health-related professional, pharmaceutical, laboratory, or imaging type services are forwarded to eHealth Initiative staff for approval prior to forwarding to CPO. When approved by CPO, RFP or APS sent by CPO to Comptroller's office for approval if it meets required threshold. Other approved requests are returned to Treasury for obtaining contractor signatures.</p> <p data-bbox="565 919 1417 1171">Upon approval by Comptroller, RFP or APS is released via e-mail to vendors, and to the RFP evaluation team. A PDF version is forwarded to CPO for internet posting and to the National Association of State Treasurers (NAST) for posting to their website. Notification sent to the Treasurer and appropriate Treasury employees when RFP is released with a copy of the schedule of events.</p> <p data-bbox="565 1213 1401 1392">Coordinator receives and responds to all calls, email communication, notices of intent to respond, vendor requests for documents referred to in the RFP or APS, and to any questions/comments from vendors, also coordinates pre-response conference.</p> <p data-bbox="565 1434 1433 1728">In consultation with requesting Division and Legal Division, prepares responses to written comments/questions from vendors; obtains CPO approval of State's responses to written comments and releases responses to questions to vendors. The State's response to written comments becomes an Amendment to the RFP. All amendments are sent in PDF format to CPO for posting to the internet and sent via email to all vendors who submitted a notice of intent to respond.</p> <p data-bbox="565 1770 1433 1940">Receives technical and cost proposals from vendors; as needed, evaluates with Legal Division each technical response to determine compliance with mandatory requirements; distributes and coordinates RFP evaluation team process; distributes pertinent information to Governor's Office of Diversity Business for their</p>

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comment and evaluation; obtains the completed technical response evaluations and calculates scores; opens and calculates cost proposal scores; adds the average technical response scores to the cost proposal scores. Determines successful proposal based on the evaluation results, provides the proposed cost to the requesting division to ensure that it meets budgetary requirements, and forwards results to the Treasurer for approval of contract award.

Evaluation notice to respondents is issued and evaluation results are sent to the evaluation team.

RFP or APS files are open to the public for inspection. Maintains file during the open file period and schedules appointments and provides space and documents for inspection.

Legal Division

In the event of a bid protest, the protest will be forwarded and otherwise handled accordingly by the Legal Division. Completes the Pro Forma Contract based on the apparent best-evaluated response; forwards the contract to the successful respondent for signature; procures the completed Substitute W-9 and ACH forms from the successful respondent.

Once the respondent signs the contract, forward the same to the Treasurer for signature. The contract summary sheet is prepared and attached to the signed original contract. Forwards contract with requisite procurement documentation to Solicitation Coordinator for entering into Edison for electronic contract approval by the Commissioner of Finance and Administration and the Comptroller.

Copy of original contract maintained in Requesting Division; copy sent to vendor, Legal Division, and to Administrative Services or Accounting, as applicable. All original responses along with the RFP notebook are stored by requesting division for the length of time specified to meet Treasury RDAs.

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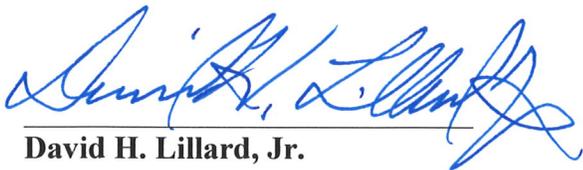
Responsibility

Action

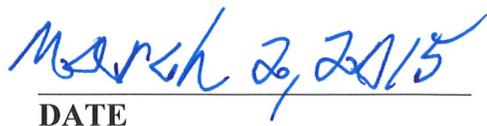
Monitoring and Payment Phase

Requesting Division	Ensures vendors are in compliance with the contract terms by timely reviewing milestones and/or delivery terms as set forth in each contract prior to payment of invoices. All invoices for payment approved by requesting division; approved invoice forwarded to Fiscal Services or the Accounting Division for payment processing.
Solicitation Coordinator	Maintains and updates master listing of all Departmental contracts. Master contract list sorted by end date and color coded to indicate expiration date is six months or less Contracts are entered into Edison and monitored thru the approval process. New vendor information is set up in Edison an Vendor-Edison ID is assigned. Edison Contract ID is assigned and all supporting documents are attached in Edison. All amendments are also entered into Edison and attached to current contract. Once approvals are complete then the Edison document is available to make payments.
Fiscal Services/Accounting	Administrative Services or for certain contracts, the Accounting Division, monitors expenditures against contract to ensure authorized program staff has approved payment; assures that payments are made in accordance with the terms of the contract; ensures maximum liability of the contract is not exceeded.
Requesting Division	During the term of the contract, the division has responsibility of reviewing Master contract list to remain abreast of contract termination date; responsible for initiating in a timely manner the appropriate action to extend the contract or to begin procurement process and communicating the same to Legal Division for appropriate action. Responsible for reporting any service issues that require intervention.

APPROVED:



David H. Lillard, Jr.
State Treasurer



DATE

Signature Certification & Authorization

for purposes of professional service contracting documents

Calendar Year of Certification & Authorization(s):

2015

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.

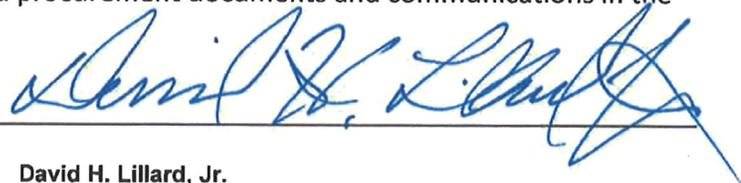
I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

Printed Name & Title	Sample Signature with Initials <i>sample of agency head's name as it will be signed & initialed by the authorized individual named</i>
Joy Harris, Chief of Staff	David H. Lillard, Jr. by JH
Steve Curry, First Deputy Treasurer	David H. Lillard, Jr. by SC
Rick DuBray, Second Deputy Treasurer	David H. Lillard, Jr. by RD
Christy Allen, Assistant Treasurer	David H. Lillard, Jr. by CA

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

David H. Lillard, Jr.

Service Contracts Coordinator Designation

Calendar Year of Designation:	2015
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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:

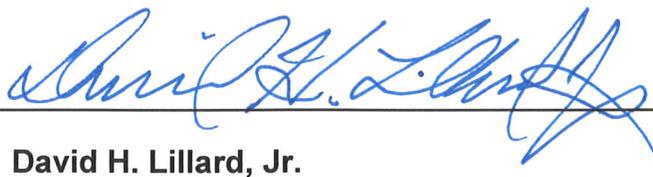
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

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.

Name:	Dawn Rochelle
Address:	13 th Floor Andrew Jackson Building, 502 Deaderick Street, Nashville, TN 37243
Telephone:	615-253-8770
E-Mail:	Dawn.Rochelle@tn.gov

Agency Chief Executive
Signature & Date



Printed Name & Title **David H. Lillard, Jr.**

Agency Name **Treasury Department**

Service Contracts Coordinator Designation

Calendar Year of Designation:	2014
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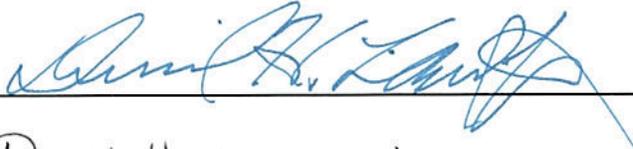
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Telephone:	615-253-8770
E-Mail:	Dawn.Rochelle@tn.gov

Agency Chief Executive
Signature & Date



Printed Name & Title

David H. Lillard, Jr.

Agency Name

Tennessee Department of Treasury

Signature Certification & Authorization

for purposes of professional service contracting documents

Calendar Year of Certification & Authorization(s):	
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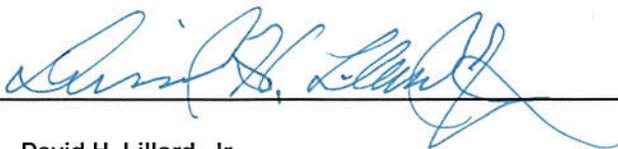
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Bill Abney, Assistant Treasurer	David H. Lillard, Jr. BA
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Development Phase

Requesting Division

Requesting division determines the appropriate procurement process and obtains Treasurer's approval via a Request For Expenditure, or via a Special Contract Request (if applicable). If the procurement process involves an RFP, requesting division communicates specific contract needs to RFP Coordinator and requests assistance in preparation of RFP.

Requesting division provides technical assistance to determine appropriate language for the type service, scope of service to be procured, schedule of events, compiling of technical data for inclusion with the RFP, and development of vendor listing.

RFP Coordinator

Assigns RFP#. Maintains excel spreadsheet of RFP numbers issued. Provides current RFP model information.

Provides information to Requesting Division, for review of the Tennessee Uniform Certification Program Disadvantaged Business Enterprise Directory website for minority and disadvantaged businesses for inclusion in the vendor listing as well as for other prospective vendors; reviews and formats document and forwards completed RFP to Department's Legal Division.

Legal Division

Reviews RFP to assure its compliance with state contracting policies and procedures; and either assists Requesting Division in preparing or prepares Pro Forma Contract for inclusion in the RFP.

RFP Coordinator

Forwards RFP to Central Procurement Office (CPO). RFPs involving information technology services are forwarded to the Office of Information Resources (OIR) for review and approval prior to forwarding to CPO. RFPs involving training for state employees (except for information technology training) are forwarded to the Department of Human Resources for approval prior to forwarding to CPO. RFPs involving the purchasing of medical/mental health-related professional, pharmaceutical, laboratory, or imaging type services are forwarded to eHealth Initiative staff for approval prior to forwarding to OCR. When approved by CPO, RFP sent by CPO to Comptroller's office for approval.

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Upon approval by Comptroller, RFP is released via e-mail to vendors, and to the RFP evaluation team. A PDF version is forwarded to CPO for internet posting and to the National Association of State Treasurers (NAST) for posting to their website. Notification to Treasurer and appropriate Treasury employees when RFP is released with a copy of the schedule of events.

Receives and responds to all calls, notices of intent to propose, vendor requests for documents referred to in the RFP, and to any questions/comments from vendors, and coordinates pre-proposal conference.

In consultation with requesting Division and Legal Division, prepares responses to written comments/questions from vendors; obtains CPO approval of State's responses to written comments and releases responses to questions to vendors. The State's response to written comments becomes an Amendment to the RFP. All amendments are sent in PDF format to CPO for posting to the internet and sent via email to all vendors who submitted an intent to propose.

Receives technical and cost proposals from vendors; as needed, evaluates with Legal Division each technical proposal to determine compliance with mandatory requirements; distributes and coordinates RFP evaluation team process; distributes pertinent information to Governor's Office of Diversity Business for their comment and evaluation; obtains the completed technical proposal evaluations and calculates scores; opens and calculates cost proposal scores; adds the average technical proposal scores to the cost proposal scores. Determines successful proposal based on the evaluation results, provides the proposed cost to the requesting division to ensure that it meets budgetary requirements, and forwards results to the Treasurer for approval of contract award. Evaluation notice to proposers is issued and evaluation results are sent to the evaluation team.

RFP with proposals and evaluations become open to the public for inspection. Schedules appointments and provides space and documents for inspection.

Legal Division

In the event of a bid protest, the protest will be forwarded and otherwise handled accordingly by the Legal Division. Completes the Pro Forma Contract based on the apparent best-evaluated

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proposal; forwards the contract to the successful proposer for signature; procures the completed Substitute W-9 and ACH forms from the successful proposer.

Once the proposer signs the contract, forward the same to the Treasurer for signature. Prepares the contract summary sheet. The contract summary sheet is then attached to the signed original contract. Forwards contract with requisite procurement documentation to RFP Coordinator for entering into Edison for electronic contract approval by the Commissioner of Finance and Administration and the Comptroller.

Copy of original contract maintained in Requesting Division; copy sent to vendor, Legal Division, and to Fiscal Services or Accounting, as applicable. All original proposals along with the RFP notebook are stored by requesting division for the length of time specified to meet Treasury RDAs

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Ensures vendors are in compliance with the contract terms by timely reviewing milestones and/or delivery terms as set forth in each contract prior to payment of invoices. All invoices for payment approved by requesting division; approved invoice forwarded to Fiscal Services or the Accounting Division for payment processing.

RFP Coordinator

Maintains and updates master listing of all Departmental contracts. Master contract list sorted by end date and color coded to indicate expiration date is six months or less.

Contracts are entered into Edison and monitored thru the approval process. If needed, new vendor information is set up in Edison. Edison ID is assigned and all supporting documents are attached in Edison. All amendments are also entered into Edison. Once approvals are complete then the Edison document is available to make payments.

Fiscal Services/Accounting

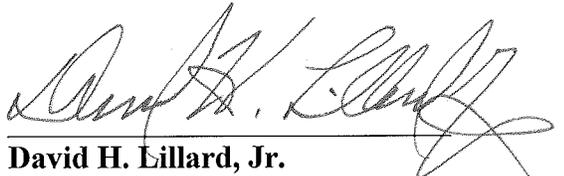
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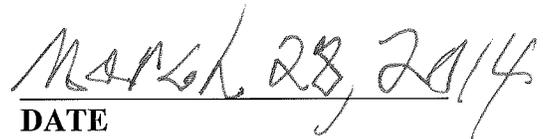
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Requesting Division

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APPROVED:


David H. Lillard, Jr.
State Treasurer


DATE