Office of Policy and Management

Request for Information (RFI)

Related to a Potential

Contract Management System for State Health and Human Service Agency Contracts with Community Providers

Issue Date:
February 6, 2015

Question Deadline Date:
February 20, 2015 @ 5:00 P.M. EST

Question Response Deadline Date:
March 6, 2015 @ 5:00 P.M. EST

Response Deadline:
March 20, 2015 @ 5:00 P.M. EST

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1. Purpose and Goals of RFI

The State of Connecticut has 10 State agencies that deliver health and human services through purchase of service (POS) contracts with community-based providers. In fiscal year 2015, these 10 agencies have approximately 1,500 contracts involving about 900 providers and $1.7 billion in expenditures. The business processes involved with these contracts include those related to: program development and planning; obtaining internal state agency budgetary and other approvals needed to enter contract; negotiations between State agencies and providers regarding contract language and budgets (along with periodic RFP processes); contract assembly and execution (including signatures and collection of required certification and documents); setting up the contract in the State's financial management system (Core-CT); contract management, including periodic financial and programmatic reporting, provider payments and site visits; and receiving and acting upon year-end audits of providers and contracts. Currently, elements of these business processes have been automated and standardized across agencies, but most are not interconnected or automated.

In 2013, a multi-agency POS contracting efficiency office was established that made **findings and recommendations** regarding improving the POS contracting business processes. The recommendations included developing the web-based interactive contract management system that is the subject of this RFI. Another recommendation of the efficiency office was the creation of a Uniform Chart of Accounts (UCOA) and an electronic financial management workbook. This **UCOA and the workbook** has been developed and are now being implemented by POS agencies.

a) Goals of this RFI

The State Office of Policy and Management, which is statutorily charged with establishing policies and procedures related to POS contracts, is working with State POS agencies to develop efficient systems of:

- Routing intra and inter-agency requests to contract;
- Managing the flow of information and documents within and between state agencies and to and from providers;
- Creating or collecting documents in a more efficient manner;
- Tracking the status of these contract development and management activities; and
- Reporting on results and costs related to POS contracts

The State is issuing this RFI to help determine what automated system solutions and approaches might exist that would best contribute to achieving efficiencies in its POS contracting processes.

b) Potential Solutions

The State is seeking an automated web-based system, with interactive capability, to efficiently handle a common business flow for all of the agencies, knowing that some adaptation of this common flow will be required to meet the particular requirements or needs of individual agencies. The goal is to make contract development and management processes more efficient and less burdensome for both State agencies and providers. The potential solutions from vendors or firms to be considered by the State include a Commercial-Off-the-Shelf (COTS) system, a system that is built to meet the State's needs using business productivity tools and systems, or leveraging a current State system (i.e. Core-CT, the State's financial management/HR system).

c) Approaches to Implementing Solutions

In addition to identifying potential system solutions, the State is seeking input and insights from vendors or firms as to how the solutions they offer, based on their previous experience, would best be rolled-out or implemented by agencies. The options in this regard may include implementing the full solution or components of it to all agencies at one-time or implementing the full system or one or more of its components starting with one agency. In addition, responders will be asked to address if their solution should or would be hosted by the State or by a third party and what the initial and ongoing training, resources, staff support and other related resource needs would be involved with the solution offered.

2. Background re State POS Agencies and Contracts

The 10 POS health and human services contracting agencies are:

- State Department on Aging*
- Office of Early Childhood*
- Department of Housing*
- Department of Rehabilitation Services*
- Department of Children and Families
- Department of Correction
- Department of Developmental Services
- Department of Mental Health and Addiction Services
- Department of Public Health
- Department of Social Services

*These four agencies were formerly part of the Department of Social Services. Contract administrative and fiscal work is being done on a shared-service basis by the Central Contracts Unit (CCU) established in the Department of Mental Health and Addiction Services.

POS contracts with community-based providers include “Part II” standard terms and conditions that, for the most part, do not change from contract to contract. “Part I” of the contract involves terms and conditions particular to the program and State agency involved. Many State agencies have “templated” many of their Part I’s, while other Part I’s are subject to change during contract negotiations. Many of the contracts contain or require a budget that is negotiated by the parties upfront and monitored by State agency throughout the year and modified through budget revisions by the parties as needed. Other contracts are fee-for-service, with payments tied to utilization reports submitted by providers. Providers are also required to submit periodic program reports. Payments are normally prospective for many contracts, with payments for some POS agencies being tied to receipt and approval of fiscal and programmatic reports. Payments to providers are made through Core-CT.

Organizationally, the units involved within State POS agencies are their fiscal and budget office, program units and a central contracts unit. The fiscal and budget office is mostly involved with helping to identify and approve funding for contracts, which takes the form of spending plans containing designated amounts for programs and contracts. Program units help in determining program priorities, service delivery methods and outcome measures, and monitoring provider performance. The central contracts unit is involved with contract development, assembly and execution, compliance with legal requirements and administrative and fiscal oversight of contractors.

In terms of organizational interfaces, agency program units and their central contracts unit must coordinate their efforts and are heavily dependent on each other to conduct business. Both units interact with the fiscal unit for payment processing and spending plan management. In terms of interdepartmental issues, it is an agency's central contracts unit that interacts with the Office of Policy and Management and the Attorney General's Office for contract approvals, as well as with the State Auditors of Public Accounts on other matters.

Externally, both the program unit and the central contracts unit need to communicate with and exchange information and documents (e.g. contracts and contract related negotiations, compliance documents, fiscal and programmatic reports) with community-based providers and federal funding sources. **The common business flow related to contracting processes are included in the chart contained in Appendix 2 of this document**.

3. Proposed and Potential Business Requirements of Enterprise POS Contracts Management System

Outlined below in Schedule 1 are the major functions, activities and processes associated with POS contracting. For each of these functions and activities, Appendix 1 indicates the entities involved (e.g. agency program, fiscal and contract staff, providers, AG's Office), a brief description of current processes, a brief description of the proposed/desired future business processes and requirements, and a comments column.

Schedule 1

Function	Activity
A. Agency Program Development/Spending Plan Development & Management	This process involves state agency efforts to determine which programs and contracts would best serve its clients and to allocate funds provided through State, federal and other sources to these programs contracts.
B. Internal Agency Contract/Funding Approval and OPM approval	This is process that agencies follow internally and externally (OPM) to get approval to enter into a contract or issue an RFP.
C. RFP Process, when used	This involves the competitive solicitation and selection process for services.
D. Contract Negotiations/Language-Budget (Renewals, amendments-if no RFP; post RFP)	These processes involve the contract language and budget negotiations that occur between state agencies and private providers.
E. Contract Assembly, Execution and Distribution; Amendments, Renewals, or post-RFP	These processes involve the assembly of the contract and the related forms which are sent to providers for signature and submission to the State agency, as well as the subsequent business process to get the Agency head signature and AG approval.
F. Establishing the Contract in Core-CT	These processes establish the contract in Core-CT, Purchase Order creation and approval and provider payments.

G. Fiscal and Programmatic Monitoring; Payments	These processes involve the financial and programmatic reports to be submitted by providers as part of contract management as well as payment systems.
H. Budget Revisions	This involves the process for providers to revise their budgets that is found in a number of POS contracts.
I. Year-End Reports and Close-out	These processes involve the audit review and the related submittal of provider corrective action plans and the recoupment of unexpended funds that occurs with many contracts.

4. Responses to RFI

Those responding to the RFI must do so by utilizing the attached electronic fillable response form labeled as "Office of Policy and Management - Responses to RFI: Contract Management System". The format of the form is as follows:

1) **Overview**. A summary description of your firm's:
   a) understanding of the goals of the RFI;
   b) potential solution to meet these goals; and
   c) recommended approaches to implementing and maintaining this solution.

2) **Addressing Business Requirements.** Describe how your solution addresses each of the functions, activities and requirements outlined in Section 3 and detailed in Appendices 1 and 2.

3) **Products and Services**. Describe the products and services that would be utilized as part of your solution.

4) **Implementation Approach and Schedule.** This would include details regarding the proposed implementation schedule for implementing an enterprise POS contracts management system and approach to planning, procuring, testing, and training related to the system.

5) **Post-Implementation Approaches**:
   a. Describe if the solution would be hosted by the State or by a third party
   b. Describe your proposed approach to maintaining and supporting the system, including user support, configuration changes, etc.

6) **Resources.** Discuss the resources (i.e. vendor/firm and state resources) required to plan, procure, test, maintain and support the products and services described in response to the RFI.

7) **Experience**.
   a. Discuss how long your company has been in business and what is the main market for your business

b. Provide three references for similar services, including a brief description of the project and services provided and contact

8) **<u>Other Issues</u>**. Discuss any other issues you believe will assist the State in understanding your proposed solution and approach and in considering the issues associated with implementing a POS contract management system.

<u>All RFI responses submitted by vendors will become the property of the State of Connecticut.</u>

5. CONFIDENTIALITY INFORMATION - FREEDOM OF INFORMATION ACT

The respondent understands that due regard will be given for the protection of proprietary or confidential information contained in all responses received. However, respondents should be aware that all materials associated with this RFI are subject to the terms of the Connecticut Freedom of Information Act ("FOIA") and all corresponding rules, regulations and interpretations. It will not be sufficient for respondents to merely state generally that the proposal is proprietary or confidential in nature and not, therefore, subject to release to third parties. Those particular sentences, paragraphs, pages or sections that a respondent believes to be exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with Section 1-210(b) of the FOIA must accompany the proposal, as it may be modified from time to time. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the respondent that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the above-cited statute. The State has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information that is sought pursuant to a FOIA request. Respondents have the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. The State shall have no liability for the disclosure of any documents or information in its possession which the State believes are required to be disclosed pursuant to the FOIA or other requirements of law.

6. Questions Regarding the RFI

Written questions from potential vendors or firms must be submitted no later than 5:00 p.m. EST on **February 20, 2015.** All questions must be submitted using electronic mail and addressed to:

Valerie Clark, Office of Finance
Office of Policy and Management
State of Connecticut
valerie.clark@ct.gov

Please use "RFI Question" in the subject line of the e-mail.

OPM's Responses to the RFI Questions received will be posted on OPM's website by 5:00 pm March 6, 2015.

7. Submitting Responses to the RFI

Responses must be submitted no later than 5:00 p.m. EST on **March 20, 2015.** Late responses may or may not be considered at the sole discretion of OPM. The postal address for RFI responses:

Valerie Clark, Office of Finance
Office of Policy and Management
State of Connecticut
450 Capital Avenue
Hartford, CT 06106

Interested parties must to respond to this RFI in writing by submitting one original and six complete copies. Respondents may also provide additional information in other media (e.g., video, Web-based formats, etc.).

8. Potential Meetings With and Demonstrations by Responders

Responses will be reviewed by OPM and selected staff from State POS agencies and, depending on the results of that review, additional information or product/service demonstrations may be requested of selected responders.

9. DISCLAIMERS

The State intends to review all information received in response to this RFI. ***This RFI is intended for information gathering purposes only.*** This RFI process is intended to help the State research a variety of available services and approaches. Any subsequent contract to procure any products or services would be done in accordance with the State's procurement requirements and processes.

Appendices

APPENDIX 1: Contracting Functions Spreadsheet

APPENDIX 2: POS Contracting Common Business Flow Diagram

APPENDIX 1: Contracting Functions Spreadsheet P= Program Unit CU=Contracts Unit BU = Business Unit QA=Quality Assurance or Audit Unit (Unit listed first is lead) PP=Private Provide

Desired/Proposed Column=Draft or potential in-scope for enterprise contracts management system

A. Agency Program Development/Spending Plan Development & Management

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
Program Development: Needs Assessment, Program Type and Scope	P			Data base/spreadsheet; e-mail communication/phone calls, shared files, etc	Continue to use internal systems; not part of enterprise contract management system	
Development and Submission of Federal Grant Applications	P	F, OPM		" "	" "	Involves use of on-line federal system
Notification of Federal Funding Availability; Review of State budget-current year allocation	P	F, OPM		" "	" "	Should be triggered off Governor's budget in January/February
Determine where services are needed				" "	" "	
Analyze National Trends				" "	" "	
Evaluate Performance of current providers				" "	" "	
Finalize Determination of Funding Availability by account-State, Federal	BU, P			" "	" "	
Determine Contracts that need to go out to bid and their timeframes				" "	" "	
Review Available annual budget funds				" "	" "	
Determine provider budgets and contracts				" "	" "	
Allocation of Contract Funding for POS contracts, by account	BU,P			" "	" "	
Review contracts to amend, renew, cancel, decrease, increase	P, CU			" "	" "	
Spending Plan Development and Monitoring (State/Federal)	BU,P, CU			" "	" "	
Spending Plan Approval	BU,P, CU			" "	" "	
Spending Plan Management/Reconciliation	BU,P, CU			" "	" "	

B. Internal Agency Contract/Funding Approval and OPM Approval

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
Determine Contracts to cancel, renew/amend or do RFP (in accordance with spending plan)				Spreadsheet, email communications	Continue to use internal systems; not part of enterprise contract management system	

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
Initiation of internal Request for Contract-new, renewed, amended (in accordance with spending plan); select method of procurement, dollar amount	P,BU			Internal forms, e-mail, shared files; may require back and forth internal communications; No central date stamping of actions; no standard forms across agencies	A system that that starts with the internal agency initiation of request would bring accountability to starting contracting process in a timely fashion. Approval process flow with fillable, standardized form(s) form, with date stamping, work queue and reports electronic, business flow with alerts (configurable by each agency), ability to attach documents (Note the current OPM electronic approval process does not handle the approval process within an agency)	State is considering: o If current OPM system would be modified and expanded to handle this function or would it be part of contract management system. Vendors should assume its part of contract management system o If PSAs to be included in contract management system o If the contracts management system is used for this function, would basic information about contractor and contract be entered that will prefill documents throughout the process.
Internal Agency Process: Review/Approval of Request for Contract/Amendment	P,BU, Commissioner's Office,CU			Internal forms, e-mail, shared files	" "	
Creation of OPM Request for Contract (form—depends on method of procurement)	CU			OPM request system with electronic forms (different for different contract types) that has work flow containing agency initiator and requester roles, with requests sent first to OPM budget and the Executive Finance Office; Approval status indicated in work queue with approval/disapprovals sent by system to agency initiator and requester; System sends e-mail alerts; Data in form does not feed anything else	" "	
Include approximate dollar amount modifications				" "	" "	
Review/Approval/Submission of OPM Request	CU	OPM		" "	" "	
OPM Action on request/notification to agency	CU	OPM		" "	The solution must allow OPM Finance to send approval status back to agency Contract Unit at agency as an alert and record this approval in the potential contract file.	

C. RFP Process, when used

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
After OPM approval to RFP, develop/write RFP (template, with required language, formats and forms);	**P, CU**			**Agencies have RFP templates in word; Sections to be filled-in include contract titles, proposed term, Scope of Service, Qualifications for bidders and cost proposal format; required OPM forms are attached as well as instructions for other documents required**	**Library of RFP templates, contract language fillable forms; what has to be filled in is scope, term and other matters to the particular service being bid. The solution must allow users to extract relevant documents and forms from libraries for inclusion in new RFP. The solution must allow users to send a completed RFP to a secure website (e.g., Department of Administrative Services) and a stored list of advertising sources for posting.**	
Develop evaluation plan and evaluation tool; Select evaluation team	**P, CU, Agency Head**			**Plan written by lead staff person for RFP, generally with electronic rating tool (with rating categories, scores and weights); Seek approval from agency head for plan and members of committee**	**Templated evaluation plan and scoring sheet, with sections to fill in re particular service being bid**	
Create, publish and distribute legal notice (on DAS and Agency web-site)	**P, CU, BU**	**DAS**	**PP**	**RFP and related forms posted on agency and DAS web-sites; Required terms and conditions also included**	**Web-based with fillable forms for text for each part of RFP for which responses are needed (e.g. work plan, personnel, cost proposal) and forms, along with ability to upload forms as needed (e.g. audits))**	
Receive and Compile bidder's questions, post answers/ RFP amendments on websites	**P, CU**	**DAS**	**PP**	**Provide questions by e-mail or mailed in some fashion, responses posted on Agency and DAS websites along with any amendments to RFP; option to mail or e-mail responses to those submitting questions or letter of intent**	**The solution must be web-based and must provide the ability for bidders to electronically send questions, completed signed letters of intent and RFP responses to selected agencies. The solution must allow agency to electronically disseminate questions and answers to all interested bidders and insert this document into Contract file.**	
Letter of Intent or Bidder's conference if required	**P, CU**		**PP**	**Letter of intent submitted to agency by e-mail; any agency reply by e-mail or mail; general information on websites**	**" "**	
Receive proposals and review for completeness (including forms) and distribute proposals to Screening Committee; clarifying	**P, CU**		**PP**	**Multiple hard copies of proposals (and forms) submitted to State agency along with electronic version; Official state contact reviews for completeness/ compliance; May be letter, e-mail or call to provider seeking clarification or limited number of documents within a 24 hour period; may be letter of disqualification sent to some.**	**The solution must allow users to send a completed RFP to a provider's secure account. The solution must allow providers to download necessary forms required to bid on an RFP. The solution must provide forms and lead-through process to score RFP responses.**	**Hard copies or just electronic (cost of agency making copies)**

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
Hold meetings with bidders	**P, CU**		**PP**	**Based on initial rating, usually, some or all of bidders will be contracted by mail, e-mail or phone to arrange meetings.**	**Web-based communications**	
Finalize ratings and make recommendation to agency head	**P, CU, Agency Head**			**Committee meets and submits final scores, which are entered into an electronic score sheet (usually) and averaged); A memo with names of the top 3 proposals is sent to agency head.**	**The solution must provide forms and lead-through process to score RFP responses.**	
Make award, notify those not selected; commence negotiations and contract development	**P, CU**		**PP**	**After Agency head makes selection, both awardee and other proposers are sent letters; negotiations commence with selected vendor. Contract is comprised of face sheet, Part I (agency and program specific), Part II (statewide terms and conditions) and Budget. Usually, negotiations are around Part I and Budget, with parts of Part I to contain portions of Contractor's response to RFP (which is why electronic version is requested); name of awardee and final contract on DAS website once executed**	**The solution must automatically electronically send out Award and Non-award letters and insert these link these letters into the corresponding Provider files and Contract files. Ability to connect information in RFP to contract as part of contract development process.**	

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
D. Contract Negotiations/Language-Budget (Renewals, amendments-if no RFP; post RFP)						
Scope of Services/ Outcome Measures Negotiation and Initial Development	P, CU		PP	Contract lengths run from 3 to 6 years, typically; Many parts of contracts have templates (Face Sheet, Part I and Part II); Some agencies have many fewer templates Part I's sheets; When no template Part I, there are more negotiations, which are handled by telephone calls, e-mails, meetings (sharing of drafts)	Solution should have library of contract parts and terms that can be accessed and relevant portions filled in by agency staff; Communications and business flow for negotiations on a Web-based system with alerts, queues and reports on activity, version control	System should handle new contracts and amendments of existing contracts
Scope of Service/Outcome Measures Review/Finalization	CU, P		PP	Internal reviews of contracts, involves some communications between Program and CU staff and some with provider (E-mails, telephone)	" "	" "
Maintenance of Contract Templates	CU, P	AG		Part I templates are developed by Program and CU and must be agreed to by AG; Any changes must be approved by AG; Templates stay the same with terms related to the service and provider entered into template (rest of document protected); and kept in shared drives.	Contract templates should be in system's libarary of contract terms	" "
Budget Negotiation and Initial Development	P,CU		PP	For most Budget based programs, agencies are starting to utilize "enterprise" electronic workbook that has standard format, which workbook is e-mailed to providers (some may be able to download). Workbook is shared between agency and provider, largely through e-mail; Previous year's budget is starting point for negotiations; Other agencies have fee for service or other budget formats (some of which involve negotiations).	Web-based system with alerts; queues, business flows, activity reports; Work book system connected to contract creation, version control; Business Intelligence for aggregate budget information. The solution must allow a user to send the Budget draft document to the approved provider. The solution must allow a provider to modify and/or complete the relevant portions of the Budget document. The solution must send a trigger to the appropriate agency user that the Budget document has been uploaded into the system in the Contract file. The solution must allow for existing Budgets to be stored, accessed andbe updated annually.	An option for the State is to maintain the recently developed electronic budget and financial reporting budget workbook for next 5 years or so, with workbook business flow to be handled by web-based contract management system. Vendors should address both options in their responses.
Budget Review/Finalization	CU, P		PP	Electronic workbook has the ability to print out the budget for inclusion in contract (not all budgets are included in contract).	The solution must provide lead processing workflow to assist the user in selecting the proper files to be included in a contract.	" "

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
E. Contract Assembly, Execution and Distribution; Amendments, Renewals, or post-RFP						
Entry/Update of Contract, Tracking, and Monitoring Information into Data System	CU			Data base, word and other forms, e-mails		
Contract Assembly (Face sheet, Part I, Part II, Budget, Including budget, program, Certifications, etc.)	CU			Word documents, shared files; Amend previous documents. DPH, DMHAS-use hotdocs document management, DSS Duarte-home grown system; some electronic signatures (pdf)-mostly not; certain contract forms available/viewable on Biz-net (web-based system at DAS)	The solution must allow user to copy an existing contract to use as the basis for a new contract. The solution must store all contract related templates in the document management component of the solution. The solution must allow a user to modify any selected files and add these files to the contract. The document management component must provide audit capabilities to track name and time of any modification to any document. Required documents built into contracts management system instead of BizNet (available across agencies)	Many contract contain multiple programs and, therefore, would be comprised of different program templates and terms.
Final Review of Assembled Contract	CU, PU			" "	Business flows with queues and alerts	" "
Final contract with instructions and required ethics and other forms sent to provider	CU	DAS-BizNet	PP	Final contract, instructions, forms e-mailed or mailed to provider; NOTE: At this point, negotiations are done, signatures, completeness and accuracy are the issues involved at this stage	Web-based system with sign-in/roles, alerts, queues, business flows, activity reports (e.g. "sent to provider", returned by provider"); fillable forms and upload capability; Would have statewide as well as agency specific forms.	System could replace BizNet role
Provider completes, with required certifications and forms and sends back to agency; follow-up between State agency and provider re missing information or forms; sent back to agency	CU	DAS-BizNet	PP	Questions and communications with State agency; send information back to state agency (mail,e-mail); Puts forms, as directed, on BizNet; Submits missing forms/information)	The solution must allow a user to send the Contract draft document to the approved provider. The solution must allow a provider to modify and/or complete the relevant portions of the Contract document. The solution must allow a provider to upload the modified/signed Contract template into the system. Web-based system with sign-in/roles, alerts, queues, business flows, activity reports; fillable forms and upload capability; Ability to comment/ask questions; Electronic Signatures	
Distribution and Facilitation of Contract for Agency Signature	CU, Agency Head			After contract and documents reviewed (including on BizNet) finalized, begin business flow by hand carrying or e-mailing document for approval, including signature by Agency Head	The solution must send a trigger to the appropriate agency user that the Contract document has been uploaded into the system in the Contract file. Web-based business flow; have approval spreadsheet/form that contains brief description of each contract, its title, cost and term, y or n responses to required approvals/certifications and ability to view contract; Agency head can approve by signing in and indicating approval by contract (Would constitute signature)	

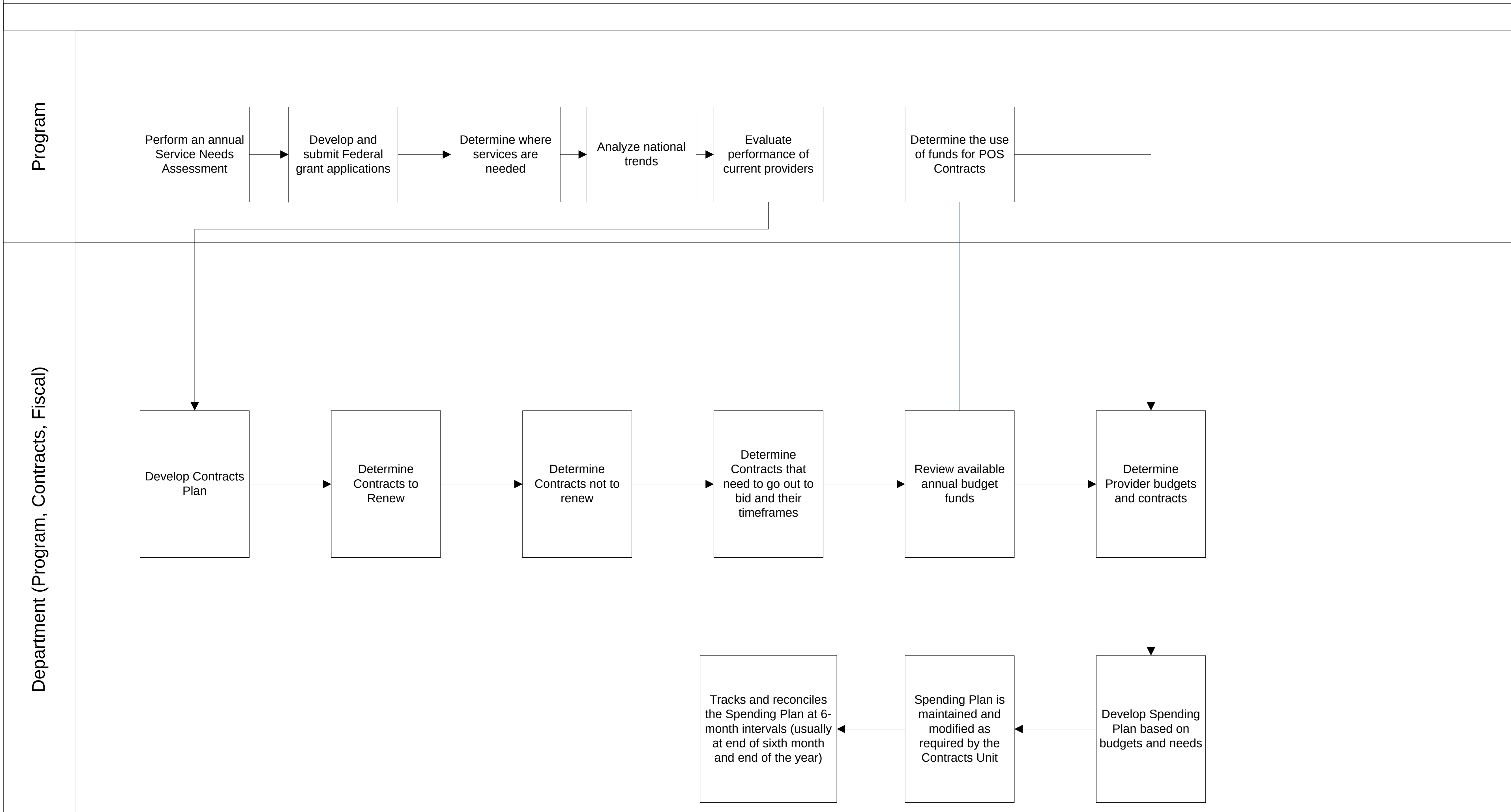
Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
Distribution and Facilitation of Contract for OAG Signature, as needed; AG may have questions or issues to address	**CU**	**AG**		**After signed by agency head, contracts and supporting documents sent to AG for signature (hard-copy?); AG may have questions or may want changes-which may have to go back to provider as well; NOTE: For agencies with MOU with AG for templated contracts, these contracts do not have to be sent to AG if template is used**	**The solution must allow for the Contract to be sent to all authorized parties for approval and signature. Web-based work flow, with queses alerts. Make AG checklist of required documents a fillable form and part of system, with document upload/attachment capability. Use "read only" versions for parts or all of documents when version being exchange so AG will not have to re-review sections not in question**	**Need to review with Attorney General's office; Attorney General's Office may require hard copies of contract and supporting documents**
Signed contract returned to agency by OAG	**CU,P, BU**			**After signed hardcopy sent back to Agency.**	" "	
Notification to Providers, Programs, and Others, as needed, of Contract Execution; contract distribution to provider, one original contract in file. Instructions re financial, programmatic reporting, payment requirements	**CU, P, Other?**		**PP**	**Copy of Contract sent to Provider by mail or e-mail, with instructions for programmatic and fiscal reporting to Agency Program staff. One original in file and then put into electronic library**	**Posted on web through solution with notifications automatically sent, uploaded into library**	
Enter contract into Electronic library; file hard copy; Contract posted on BizNet	**CU**	**DAS BizNet**		" "	" "	
F. Establishing the Contract in Core-CT						
CORE-CT Contract Creation and Maintenance	**CU, BU**			**Staff personnel enter the contract into CORE/CT**	**Link the CORE/CT entry with the Contract Management System. The solution must allow a link to to be placed in CORE, that, once selected, opens the contract. The solution must allow the user to press one key to return to CORE.**	
CORE-CT Contract Approval	**CU**			**Supervisors approve the contract**	**Link the CORE/CT entry with the Contract Management System. The solution must support the CORE contract approval process.**	
CORE-CT Purchase Order Creation and Maintenance	**CU**			**Staff Personnel enter the Purchase Order in CORE/CT**	**Link the CORE/CT entry with the Contract Management System. The solution must integrate with the CORE Purchase Order/Voucher process as efficiently as possible.**	
CORE-CT Purchase Order Approval	**BU, CU**			**Supervisors approve the purchase order**	**Link the CORE/CT entry with the Contract Management System**	
First Quarter/periodic payment made after receive allotment	**BU, CU**			**Staff personnel enter the payment vouchers in CORE/CT**	**Link the CORE/CT entry with the Contract Management System**	
Payments are approved in CORE/CT	**BU, CU**			**Supervisors approve the payments in CORE/CT**	**Link the CORE/CT entry with the Contract Management System**	
Vendor receives either electronic deposit or paper check			**PP**	**Receive check or deposit**	**No change**	

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
G. Contract Amendments - Budget Revisions						
Provider anticipates variance and submits budget request	CU,P		PP	State Agencies have traditionally had budget revision request forms that are submitted by providers with periodic financial reports. NOTE: The electronic workbook gives warnings when limits nearing or exceeded; Revision requests and questions/responses submitted by e-mail/mail	Web-based workbooks with alerts, date stamping, version control, approval/disapproval; automatic updating of budgets; Ability to communicate re requested changes. The solution must be able to accept Budget Revision requests from the provider and direct it to the agency designee. The solutions should give providers warning when account overages may require a budget adjustment.	Not all contracts involve line items budgets. Who now handles (P or CU) varies by agency. Again State needs to determine if should we continue to use workbook in new system or use system's budget and financial reporting capability.
Receipt and Budget Revision Requests; discuss with provider, seek changes or clarification (often submitted with financial reports, but not less than 45 days prior to end of fiscal year) There are rules for percentage and dollar amount variances by category.	CU,P		PP	" "	" "	" "
Approve/reject Budget Revision Requests; notify provider, Adjust program budget	CU,P		PP	Budget Revision approval process built into workbook, which approved revisions automatically update budget. Process and communications approvals/disapprovals is done by mail, e-mail, telephone.	" "	" "
H. Fiscal and Programmatic Monitoring; Payments						
Receipt and Review of Periodic (scheduled) Financial Reports; discuss with provider	CU,P		PP	Format given to and available to providers (form or web?);Enterprise Excel work book for many and other electronic submittals for others (e.g. monthly report DDS of services provided--by e-mail and some by mail; Questions/answers by e-mail, phone calls	Web-based business flow for workbooks and other reports with alerts, date stamping, queues, activity reports, reminders version control; Business Intelligence capabilities; Some differences in report details and frequency among agencies; System should have these reporting dates and related alert dates programmed in.	Ability to view centrally and get listing of outstanding reports is critical since, for some agencies, payment is contingent upon receipt, review and acceptance of fiscal and programmatic reports. Again State needs to determine if should we continue to use workbook in new system or use system's budget and financial reporting capability.
Review and Approval of Financial Reports	CU,P		PP	Reviewed by Program and by CU (roles of Program, CU, Fiscal different among POS agencies)	Web-based business flow (with alerts, work queues, etc) indicating receipt, review and acceptance of reports; ability to ask/respond to questions	
Federal Programmatic and Fiscal Reports, Federal drawdowns	P,CU	F	PP			

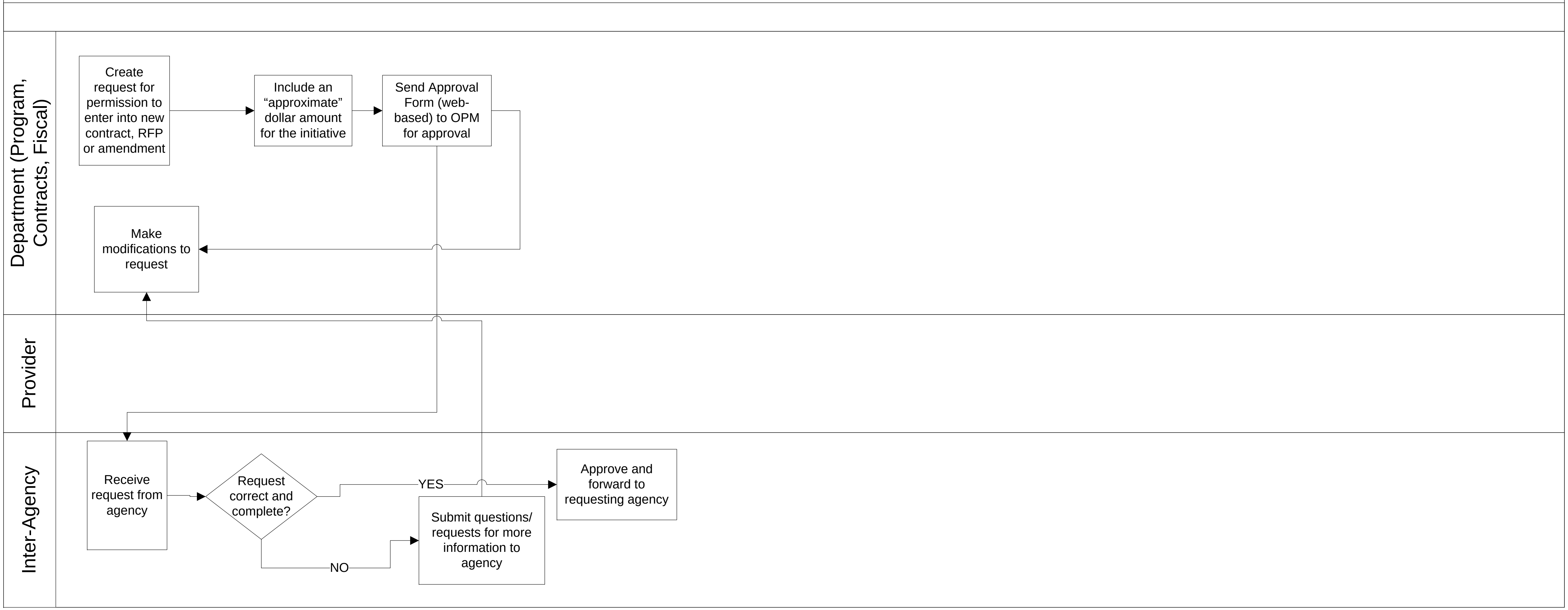
Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
Receipt, Review and Approval of Programmatic Reports; comments or need for more information or needed improvements to provider	P,CU		PP	Format given to and available to providers (form or on web?); Fillable? Sent by e-mail or mail; Some by mail; Questions/answers by e-mail, phone calls; Reports of agencies have all different formats and methods of data entry	Web-based business flow (with alerts, work queues, etc) indicating receipt, review and acceptance of agency reports; ability to ask/respond to questions	Ability to view centrally and get listing of outstanding reports is critical since, for some agencies, payment is contingent upon receipt, review and acceptance of fiscal and programmatic reports. Longer term goal: standardized programmatic reports and methods of data entry similar to budget workbook
Creation of Periodic Performance reports/dashboards	P, CU					
Program Site Monitoring; follow-up communications with provider	P,CU		PP			
Process and Approve Payment Requests; Basis for payment; Determine amount of payment (based on financial reports)	P, BU, CU		PP			Which agency processes payment differs across agencies; Frequency and basis is different among agencies; Ability to view centrally and get listing of outstanding reports is critical since, for some agencies, payment is contingent upon receipt, review and acceptance of fiscal and programmatic reports
I. Year-End Reports and Close-out						
Provider submits year-end report	CU,BU		PP	Same as above in H.	Same as above in H.	
Review and Approval of Year-end Financial Reports	CU,BU		PP	Same as above in H.	Same as above in H.	
Provider or their auditor uploads Single Audit report to OPM EARS web system; OPM contacts state agencies (SSA for those with $300,000 or more for year in State Funds; Federal Single Audit for those with over $500k in fed funds)	CU, BU, QA	OPM	PP	OPM's EARS system is a web-based system; OPM contacts State agencies by e-mail re availability of reports and also assigns audit findings by memo sent by interdepartmental mail; Agencies need to reach out to providers for audits (e-mail, mail?) when no SSA and/or FSA required; Many, but not all, FSA's, uploaded into EARS	Keep same system, except perhaps have them upload audits onto contract management system where no SSA or FSA required	
State agencies review State single Audit Report; Request corrective action plan from provider; **Federal Single Audit**	CU, BU, QA	OPM	PP	State Agencies review findings and send request for corrective action plan to agencies (E-mail, mail);	Web-based business flow (with alerts, work queues, etc) indicating receipt, review and acceptance of reports; ability to ask/respond to questions	Roles of CU, BU and QA vary by agencies
Determination of Refund Amounts re unexpended funds in SSA	CU,BU, QA			Review of audits		Roles of CU, BU and QA vary by agencies
Refund Collection and Processing; Work out Recoup	CU,BU, QA		PP	Letters, calls, e-mails etc to providers; Some agencies will deduct from future grants, other seek check sent to state	Web-based business flow (with system generated letters, alerts, work queues, etc) indicating receipt, review and resolution; ability to ask/respond to questions	" "

Activity	State Agency	Other State/Fed	Provider	Current Processes	Desired/Proposed/Business Requirements	OPM Comments
Federal Grant Closeout and year –end reporting	P,BU	F	PP			" "
Provider submits corrective action plan to state agency; State agency approves or seeks additional changes/information	CU, QA	F, OPM	PP	Provider submits plans, asks questions (e-mail, mail)	Web-based business flow (with system generated letters, alerts, work queues, etc) indicating receipt, review and resolution; ability to ask/respond to questions	" "

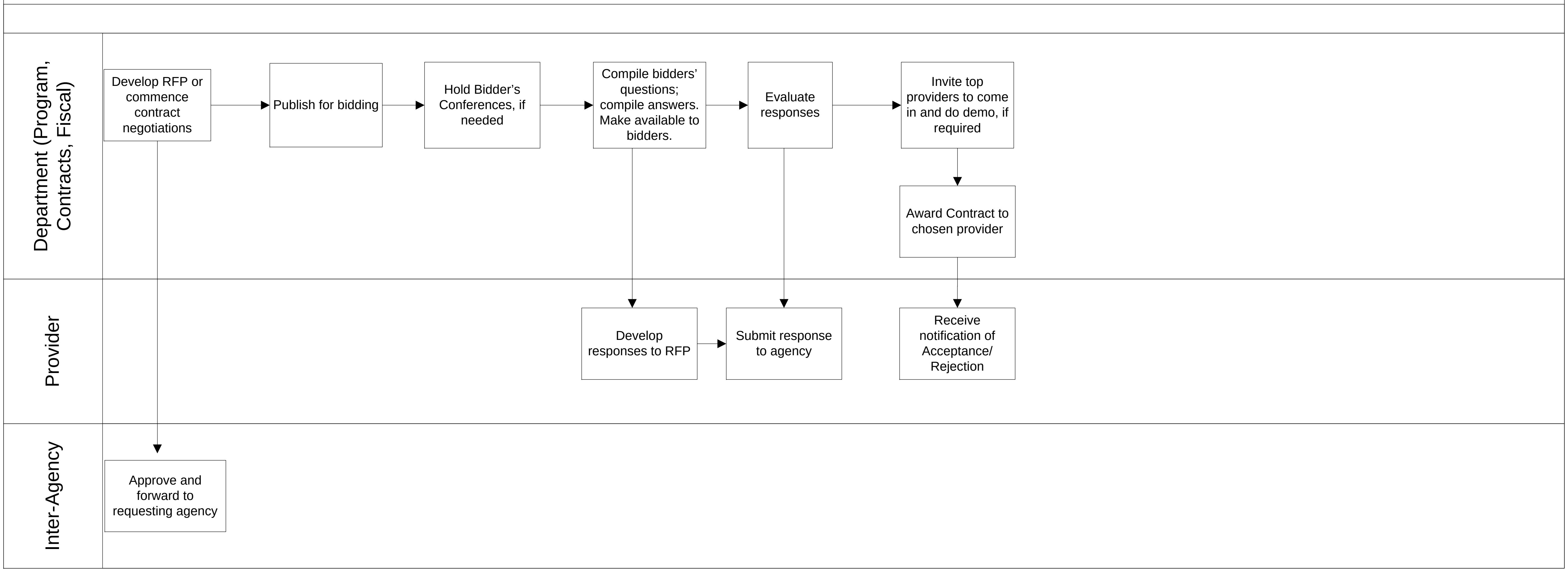
A. Agency Program Development/Spending Plan Development & Management



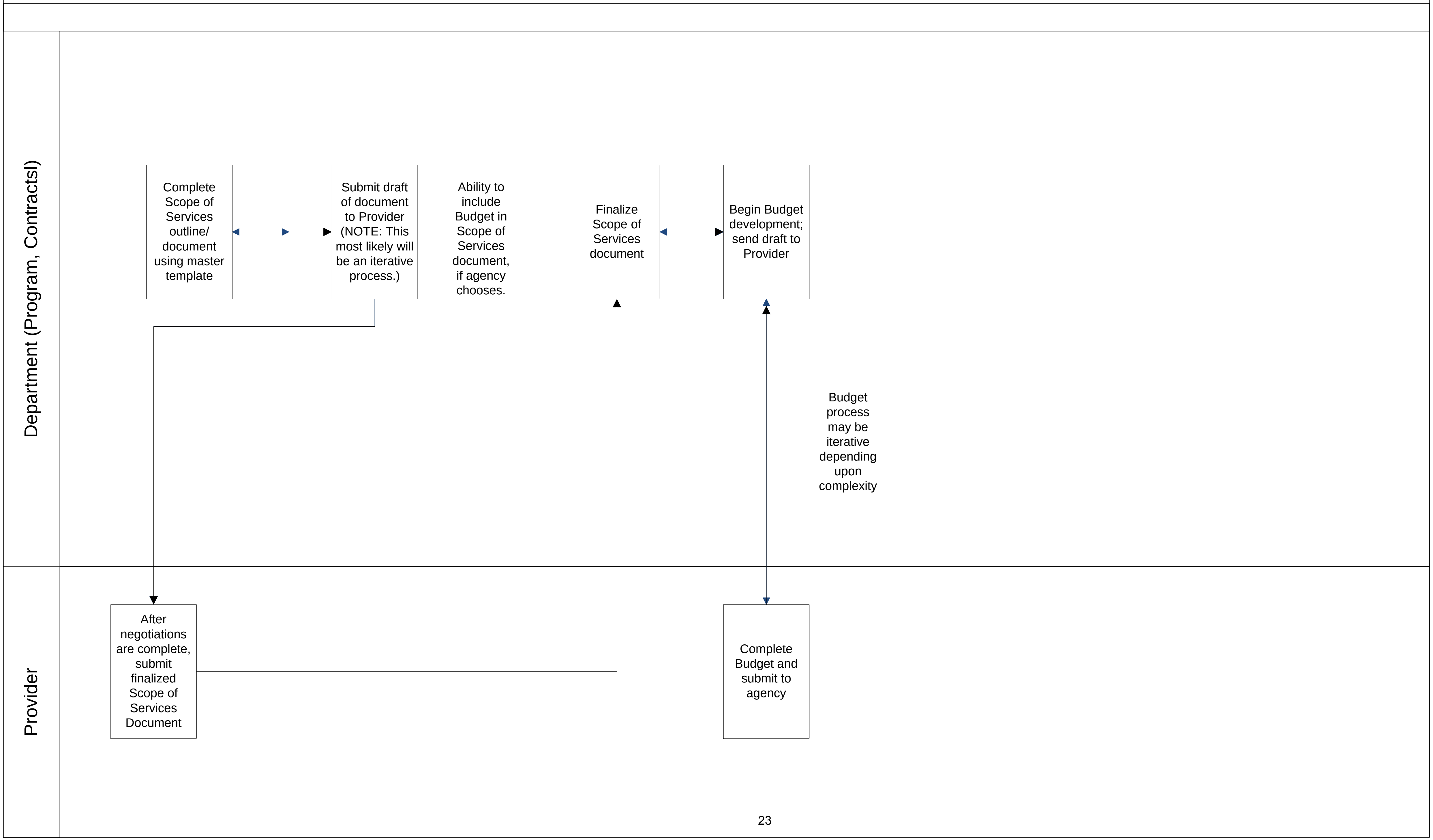
B. Internal Agency Contract Funding Approval and OPM Approval Request Process



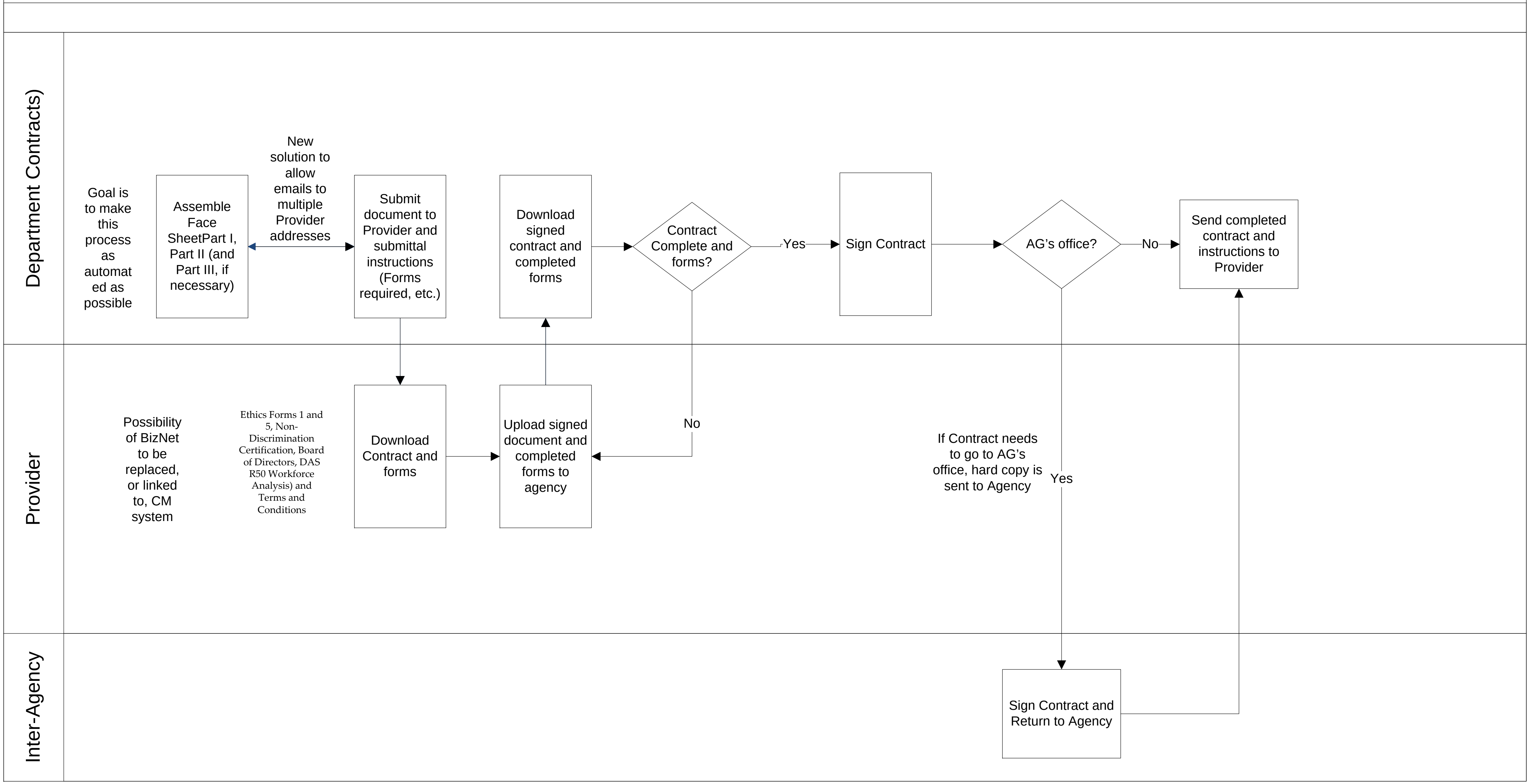
C. RFP Process, When Used

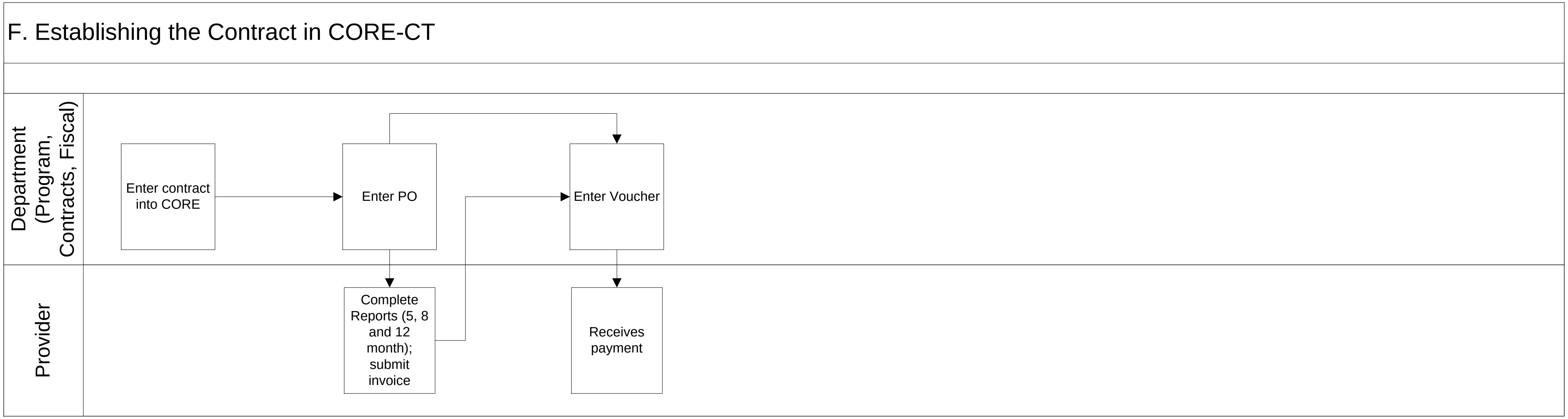


D. Contract Negotiations/Language – Budget (Renewals, Amendments – if No RFP, Post RFP)

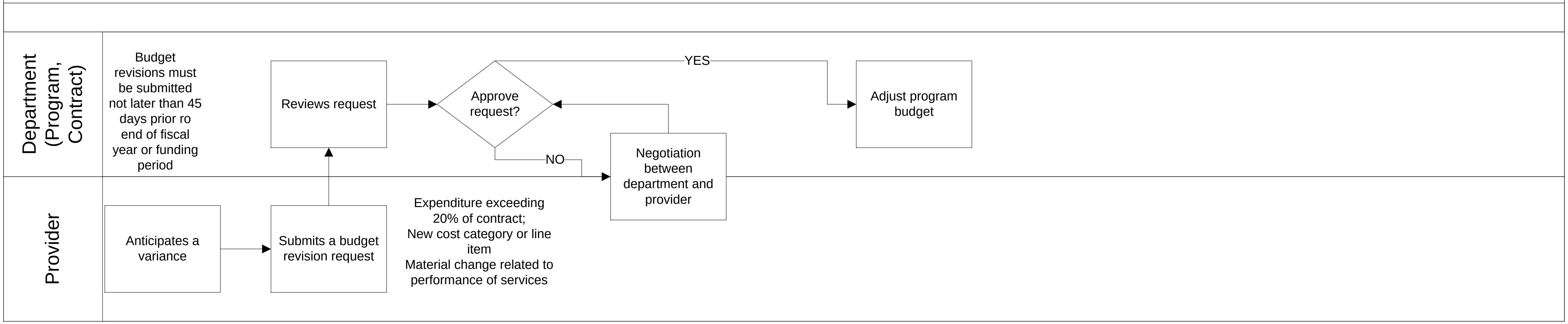


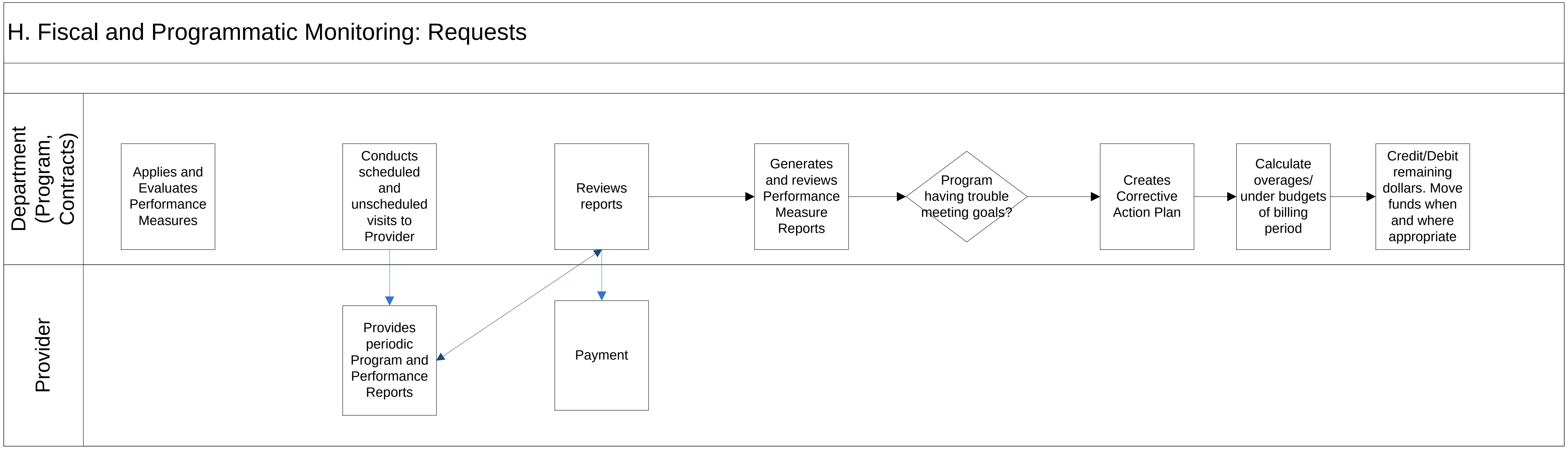
E. Contract Assembly, Execution and Distribution: Amendments, Renewals, or Post-RFP



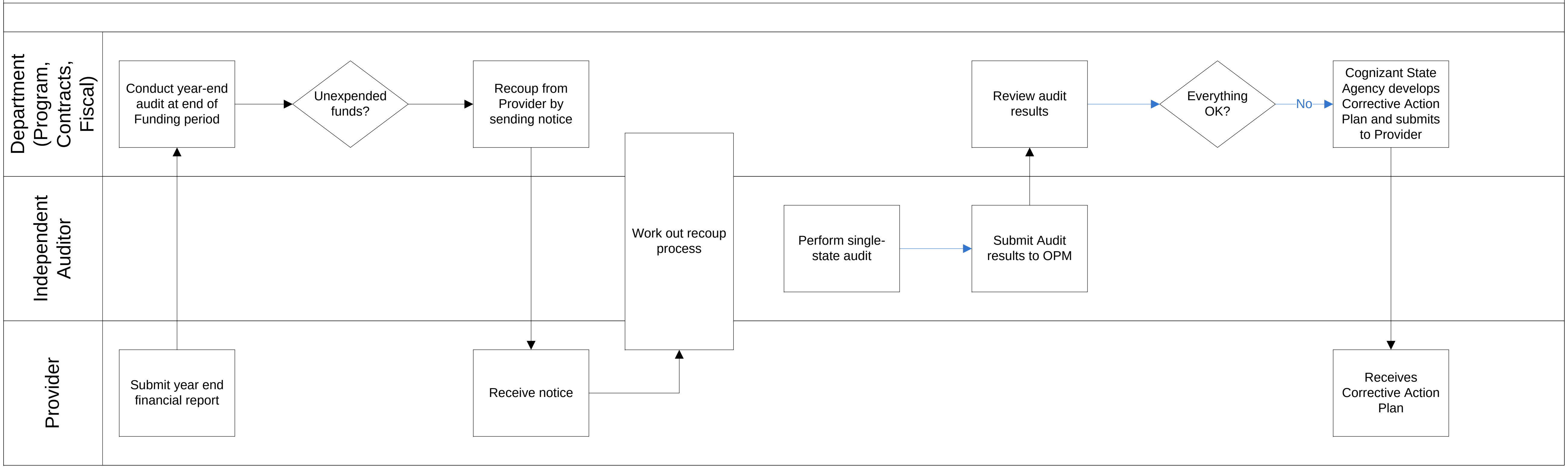

F. Establishing the Contract in CORE-CT
Department (Program, Contracts, Fiscal)
Provider
Enter contract into CORE
Enter PO
Enter Voucher
Complete Reports (5, 8 and 12 month); submit invoice
Receives payment

G. Contract Amendments and Budget Revisions




H. Fiscal and Programmatic Monitoring: Requests
Department (Program, Contracts)
Provider
Applies and Evaluates Performance Measures
Conducts scheduled and unscheduled visits to Provider
Reviews reports
Generates and reviews Performance Measure Reports
Program having trouble meeting goals?
Creates Corrective Action Plan
Calculate overages/ under budgets of billing period
Credit/Debit remaining dollars. Move funds when and where appropriate
Provides periodic Program and Performance Reports
Payment

I. Year End Reconciliation, Audit and Close-Out



OFFICE OF POLICY & MANAGEMENT

RESPONSES TO RFI: CONTRACT MANAGEMENT SYSTEM

Please respond to the RFI by completing this fillable form. Responses must be limited to the space provided.

Vendor Name:		Vendor Address:	
Vendor Phone Number:		Contact Person:	

1. OVERVIEW – PLEASE PROVIDE A SUMMARY FOR THE BELOW (DO NOT TYPE MORE THAN THE BOX LIMIT)

a. Understanding of the goals of the RFI:

b. Potential solution to meet these goals:

c. Recommended approaches to implementing and maintaining this solution:

2. ADDRESSING BUSINESS REQUIREMENTS: DECRIBE HOW YOUR SOLUTION ADDRESS FUNCTIONS OUTLINED IN THE RFI

A. Agency Program Development/ Spending Plan Development & Management	
B. Internal Agency Contract/Funding Approval and OPM approval	
C. RFP Process, when used	

D. Contract Negotiations/ Language-Budget (Renewals, amendments-if no RFP; post RFP)	
E. Contract Assembly, Execution and Distribution; Amendments, Renewals, or Post-RFP	
F. Establishing the Contract in CORE/CT	

G. Fiscal and Programmatic Monitoring; Payments	
H. Budget Revisions	
I. Year-End reports and Close-Out	

3. PRODUCTS AND SERVICES THAT WILL BE UTILIZED AS PART OF YOUR SOLUTION

4. IMPLEMENTATION APPROACH AND SCHEDULE (DETAILS REGARDING THE PROPOSED IMPLEMENTATION SCHEDULE AND APPROACH TO PLANNING, PROCURING, TESTING AND TRAINING RELATED TO THE SYSTEM)

5. POST IMPLEMENTATION

a. Describe if the solution would be hosted by the State or by a third party

b. Describe your proposed approach to maintaining and supporting the system, including user support, configuration changes, etc.

6. RESOURCES (I.E. VENDOR/FIRM AND STATE) DICUSS THE RESOURCES REQUIRED TO PLAN, PROCURE, IMPLEMENT, TEST, MAINTAIN AND SUPPORT THE PRODUCTS AND SOLUTIONS DESCRIBED IN RESPONSE TO THE RFI

7. EXPERIENCE

a. Discuss how long your company has been in business and what is the main market for your business

b. References for Similar Projects

#1 Brief Description of project and service provided:			
Name of Organization		Contact Person	
Address		Telephone #	
E-Mail			
#2 Brief Description of project and service provided			
Name of Organization		Contact Person	
Address		Telephone #	
E-Mail			
#3 Brief Description of project and service provided			
Name of Organization		Contact Person	
Address		Telephone #	
E-Mail			

8. OTHER ISSUES: DISCUSS ANY OTHER ISSUES YOU BELIEVE WILL ASSIST THE STATE IN UNDERSTANDING YOUR PROPOOSED SOLUTION AND APPROACH AND IN CONSIDERING THE ISSUES ASSOCIATED WITH IMPLEMENTING A POS CONTRACT MANAGEMENT SYSTEM