

AGENDA  
CONTRACT MANAGEMENT & CONTRACTOR PERFORMANCE TRACKING  
Sept. 1, 2005 (rev. 2, from 7/11 and 8/18 meetings)

- I. Introductions
- II. 2003 Audit Report
- III. Statutory Requirements AGREED
- IV. Defining the Terms AGREED
  - a) Contract Management
  - b) Contractor Performance Tracking: to support management of active contracts, contract close out, and contracting decisions
  - c) Contract Monitoring: Oversight of contract managers & vendors, a QA type process, in some large agencies with special processes and staffs, not our focus. See for instance LoF 2005-222, SB1466 rev. of s.402.73 FS for DCF
  - d) Contract Administration: Guidance, oversight, files, compliance with state and federal requirements
- V. Some basic requirements of systems (see attached): AGREED.
  - a) Information
  - b) Management tools
  - c) Measurements tools

7/11 MEETING ENDED.

8/18 meeting discussed Complaint to Vendor form 7017, and posting of Complaints on State Purchasing website.

AGREED to meet again Sept. 1 to continue discussion of VI

- VI. What should be tracked?
  - a) Contract Management: The group agreed to recording contractor performance and contract management events, more or less as described on the draft functional requirements document that was distributed. If a tool could be developed, the concept is that it's use would be optional, but particularly valuable to those agencies which have no agency-unique contract management software, or don't use that software for all contracts which should be managed.
  - b) Contractor Performance Tracking: The group agreed to the concept of requiring that all contracts meeting criteria to be developed, e.g. "all contracts exceeding a certain dollar category and duration," be recorded in a contractor performance data base, accessible to all agencies, and possibly vendors/public as well. Contracts would be entered at the outset, at a time to be determined, for example, within 30 days of execution, with certain header information (see Functional

Requirements), pulled at least in part, if possible, from FLAIR/Aspire or MFMP. Performance scores could be entered at any time, with a check box indicating "Final" or "Not Final." Use would be mandatory for both initial record and final score, by all agencies with contracts meeting the criteria, regardless of whether they were or were not managed using a contract management tool distributed by State Purchasing.

e) State of the state today

f) Options:

a) DFS. Ed Clayton from DFS expressed support for a contract management tool and a contractor performance tracking tool, noting the difference from an accounting tool.

b) Agency unique. Group agreed agency unique tools for specific agency needs should stay in place, and those agencies could if they chose use DMS contract management tools for contracts not covered by their unique tools, and could also use the contractor performance tracking tool for all contracts, regardless of how they were managed.

c) MFMP

1. Master Agreements

2. Vendor Performance Tracking

c) "Survey Monkey"

d) Vendor

e) Eforms. Russ committed to explore developing the tools through the State Purchasing Operations IT team, using the FileNet eforms software they recently acquired, and are learning to use. If this solution doesn't prove capable, will look at other options.

f) ?

VI. Next steps: Sarah Hamilton, on the State Pur Ops IT team, will take the lead in contract management/contractor performance tracking eforms development, and the next meeting of the Contract Management Working Group will be called when there is experience to discuss.

## **SOME BASIC REQUIREMENTS OF SYSTEMS**

Aug. 18, 2005 (rev. 1, from 7/11 meeting, additions underlined)

### **I. INFORMATION**

- a) What contracts do we have?
- b) What contracts have we had?
- c) Ability to sort and collect information and produce reports by contractor, agency, dates, including original term, renewal term, start and end dates, FY awarded, FY ending, action dates, such as review, report or milestone), dollar amounts (both order and payment), pricing method (fixed price, cost reimbursement, possibly others), vendor type (e.g. private for profit, private not-for-profit, faith based, vendor codes, combinations, etc.) commodity/service, performance, selection process, others

AGREED.

### **II. MANAGEMENT TOOLS**

- a) Tool to manage and improve performance during the life of the contract
- b) Tool to access contractor performance records for use in making contracting decisions

AGREED

### **III. MEASUREMENT CRITERIA**

- a) Meeting specifications and requirements: inputs, outputs, outcomes
- b) Performing within budget and billing accurately; compliance with any expenditure accountability requirements, e.g. from grants, or meeting any other contracted expenditure objectives like PRIDE, RESPECT, MBE
- c) Meeting delivery requirements from startup through milestones and scheduled tasks, to completion
- d) Customer service issues, e.g. communication, adjustment to change, flexibility

AGREED.

Consider vendor self-evaluation and vendor access to the state's measurement of his/her performance.

**STATEMENT OF WORK FOR PROVISION OF SOFTWARE FOR  
CONTRACT MANAGEMENT & CONTRACTOR PERFORMANCE TRACKING  
(rev. 09/01/05)**

**I. REVIEW AND DISCUSS THE FUNCTIONAL REQUIREMENTS**

**A. FUNCTIONAL REQUIREMENTS**

**I. CONTRACT MANAGEMENT**

**Primary purposes:**

**A. A database for all or some contracts within an agency, as determined by each using agency.**

**B. A single electronic file for all documents related to a contract.**

**C. Report capability.**

**D. Document retrieval capability.**

**E. A tool for managing contracts, measuring performance and recording results.**

1. Web based, Graphical User Interface.
2. Use of the system will be optional, available to contract managers but not required.
3. The basic record of the system will be the contract file. Record Data Fields will be of three types: Vendor, Contract Manager/Administrator, Contract data.  
Vendor: Contractor FEID; Name; Street Address; City; State; Zip, MBE code; indicator (Y/N) for MBE subs; subcontractor & supplier names & addresses  
Contract manager: Name, Title, Agency, Division/Bureau/Office, Address, Telephone, Email  
Contract administrator: Title, Agency, Division/Bureau/Office, Address, Telephone, Email  
Contract data: Name, Item of Contract, Commodity Code, Total Dollar Amount, Dollar amount by fiscal year; Funding codes, Procurement Method; Solicitation number; Contract Number; Master Agreement Number; DO number; Term start; term end date; Number and length of renewals available; Current term type (original; only, first or last renewal term; extension); contractor reports, corrective action plans, and three agency unique fields.

4. Report capability: Database sortable on all fields, output by any fields. In addition, design templates for standard reports requested by the Division of State Purchasing or two or more user agencies.
5. Security/password protected
6. Workflow programmable
7. Pre-populate from MyFloridaMarketPlace eprocurement system vendor file and link to the PeopleSoft accounting system (Aspire), as well as to/from the MFMP vendor file. DCF uses FLAIR contract information file (Foxpro?) to pre-populate some header information for some contact management processes.
8. All relevant documents and other references will be attached: Contract, amendments/change orders, solicitation, posting of intended award, email, letters, faxes, forms, web links, complaints, commendations, contractor reports, contract manager reports, corrective action plans
9. Risk rating and rating periods, e.g. high, medium, low, 30, 60, 90 days.

Examples:

High risk: Contract failure would markedly impact delivery of public services, and represents a threat to public health, safety or welfare, or cost to the state, and/or, recovery would be complicated and lengthy.

Medium risk: Contract failure would entail low to moderate disruption to state operations, and/or might include some negative but tolerable impact on delivery of service to the public, and/or recovery would be possible with a moderate level of effort and within an acceptable time frame.

Low risk: Low to moderate disruption to state operations, no impact on public, recovery relatively quick and uncomplicated.

10. Periodic notification of action pending

**11. Provide for vendor ratings by 4 categories**

- 1. Requirements/specifications**
- 2. Schedule**
- 3. Budget/Financial/Billing**
- 4. Customer Service**

**5 point rating scale**

**1= Fails to meet most requirements**

- 2=Fails to meet some requirement(s)
- 3=Meets all requirements
- 4=Exceeds some requirement(s), meets other(s)
- 5=Exceeds most requirements

Compile scores by rating period and cumulatively.

Ability for contract managers to add rows under each of four categories on a per contract basis. Attach a note area to each rating period's rating record, with automatic recording of the date of the note, to permit contract administrator to insert a note at any time. Allow attachments to notes. Allow contractor self reporting.

Include a field or drop-down for methods of evaluating for each reporting period, e.g. on-site evaluation, sampling, document review, contractor report, third party review, customer survey, client survey, etc., TBD. Select as many as apply.

- 12. Graph trends by category and overall
- 13. Termination type: expired, cancelled for cause, mutual convenience, or convenience of the state
- 14. Link to MFMP vendor file
- 15. Licenses sufficient to allow Division of State Purchasing to create formats, with thousands of system users, and unlimited read-only access.
- 16. Ongoing maintenance and continuous improvement, soliciting and acting upon user group requests.

## II. CONTRACTOR PERFORMANCE TRACKING

This software and system are different from but related to the contract management component described in I above. Information compiled in the above contract management component or through other contract management processes would be used by contract managers completing the contract closeout evaluation which is the basic record of this system.

### Primary purposes:

- A. A single electronic file for recording and tracking the performance of all contractors on all contracts at closeout.
- B. A tool for evaluating contractors for future use.

1. Web based, GUI
2. Use mandatory for all contracts (manager or administrator or both to submit final rating). The group agreed to the concept of requiring that all contracts meeting criteria to be developed, e.g. "all contracts exceeding a certain dollar category and duration," be recorded in a contractor performance data base, accessible to all agencies, and possibly vendors/public as well. Contracts would be entered at the outset, at a time to be determined, for example, within 30 days of execution, with certain header information (see Functional Requirements), pulled at least in part, if possible, from FLAIR/Aspire or MFMP. Performance scores could be entered at any time, with a check box indicating "Final" or "Not Final." Use would be mandatory for both initial record and final score, by all agencies with contracts meeting the criteria, regardless of whether they were or were not managed using a contract management tool distributed by State Purchasing.
- 3.
4. Contract Data Fields, three types: Vendor, Buyer, Contract data.

Vendor: Contractor FEID; Name; Street Address; City; State; Zip, MBE code, indicator (Y/N) for MBE subs; subcontractor & supplier names & addresses

Contract manager: Name, Title, Agency, Division/Bureau/Office, Address, Telephone, Email

Contract administrator: Name, Title, Address, Telephone, Email

Contract data: Name, Item of Contract, Commodity Code, Total Dollar Amount, Dollar amount by fiscal year; Procurement Method; Solicitation number; Contract Number; Master Agreement Number; DO number; Term start; term end date; Number and length of renewals available; Current

term type (original; only, first or last renewal term; extension); subcontractors and suppliers; and three agency unique fields

5. Report capability: Database sortable on all fields, output by any fields. In addition, design templates for standard reports requested by the Division of State Purchasing or two or more user agencies.

6. Security/password protected

7. Workflow programmable

7. Pre-populate from MyFloridaMarketPlace eprocurement system vendor file and link to the PeopleSoft accounting system (Aspire), as well as to/from the MFMP vendor file. DCF uses FLAIR contract information file (Foxpro?) to pre-populate some header information for some contact management processes.

**8. Provide for ratings by 4 categories**

**1. Requirements/specifications**

**2. Schedule**

**3. Budget/Financial/Billing**

**4. Customer Service)**

**5 point rating scale**

**1=Fails to meet most requirements**

**2=Fails to meet some requirement(s)**

**3=Meets all requirements**

**4=Exceeds some requirement(s), meets other(s)**

**5=Exceeds most requirements)**

**Provide a comment area, with automatic recording of the date of the comment, to permit contract administrator to add a comment. Allow attachments to comments, including any contractor self-reporting or other comment.**

**Include a field or drop-down for methods of evaluating, e.g. on-site evaluation, sampling, document review, contractor report, third party review, customer survey, client survey, etc., TBD. Select as many as apply.**

9. Graphically represent scores

10. Termination type: expired, cancelled for cause, mutual convenience, or convenience of the state

11. Link to MFMP and FLAIR/Aspire vendor file
12. All relevant documents and other references attached: Rating forms, complaints, commendations
13. Licenses sufficient to allow Division of State Purchasing to create formats, with thousands of system users, and unlimited read-only access

## **II. IDENTIFY HARDWARE, SOFTWARE AND INTERFACE REQUIREMENTS**

**Purpose:** Contract management record in this system to link to the MFMP vendor record, perhaps pre-populating a contract management or contractor performance record being created with data from the MFMP vendor record, and allowing lookups both directions, from the MFMP record to the contract management or contractor performance record, and vice versa. Similar two-way lookup from the Aspire PeopleSoft accounting system.

## **III. PROPOSE ONGOING SERVICE LEVEL**

1. Provide ongoing software maintenance and upgrades.
2. Provide continuous improvement, soliciting and acting upon user group requests. Provide a customer-focused program designed to generate changes which improve the ease of use and functionality of the system. This program must be an integral part of the contract, reflecting a basic component of the program, rather than a cost-and-delay-generating source of "change orders."

**STATUTORY REFERENCES**  
**(Rev. 1 from 7/11 meeting)**

s. 287.042 FS

(3) e) Development of procedures to be used by an agency in maintaining a contract file for each contract which shall include, but not be limited to, all pertinent information relating to the contract during the preparatory stages; a copy of the solicitation; documentation relating to the solicitation process; opening of bids, proposals, or replies; evaluation and tabulation of bids, proposals, or replies; and determination and notice of award of contract.

(9) To require that every agency furnish information relative to its commodity and contractual services purchases and methods of purchasing commodities and contractual services to the department when so requested.

(10) To prepare statistical data concerning the method of procurement, terms, usage, and disposition of commodities and contractual services by agencies. All agencies shall furnish such information for this purpose to the office and to the department, as the department or office may call for, but no less frequently than annually, on such forms or in such manner as the department may prescribe.

s.287.057 FS

(15) For each contractual services contract, the agency shall designate an employee to function as contract manager who shall be responsible for enforcing performance of the contract terms and conditions and serve as a liaison with the contractor. The agency shall establish procedures to ensure that contractual services have been rendered in accordance with the contract terms prior to processing the invoice for payment.

(16) Each agency shall designate at least one employee who shall serve as a contract administrator responsible for maintaining a contract file and financial information on all contractual services contracts and who shall serve as a liaison with the contract managers and the department.