

Matrix of Contract-Related Roles and Responsibilities

CONTRACT PROJECT PLANNING*		Lead Division/ Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
1	Identify service needs/opportunities and project priority	Lead			
2	Identify/secure funding	Lead			
3	Assign project manager	Lead			
4	Conduct preliminary feasibility analysis	Lead			
	• Define project purpose, goals and scope	Lead			
	• Identify expected deliverables and outcomes	Lead			
	• Determine project timeline (start/end dates)	Lead			Support
	• Identify best practices	Lead			
	• Develop general strategy to meet purpose and goals	Lead			
	• Determine project budget/resources	Lead			
	• Prepare project plan	Lead			
	Assess risks and identify potential mitigation strategies; consult with County Counsel and Risk Management as appropriate on legal and liability risks	Lead			
	• Outline required organizational and communication networks	Lead			
	✓ Determine need to involve staff from other HHSA divisions/regions	Lead			
	• Assess stakeholder support for project planning elements	Lead			
5	Determine whether to proceed with project	Lead			
6	Establish project team	Lead			
	• Determine process for involving staff from other HHSA division/regions	Lead			
	• Submit request for Purchasing and Contracting assistance	Lead			
	• Assign Purchasing and Contracting Officer to consult with project team				Lead
	• Determine need for County Counsel assistance and request if appropriate	Lead			
7	Complete CBPR (Contract Business Plan Review)	Lead			
	• Determine need/process for community involvement	Lead			
	• Determine risks and mitigation strategies	Lead			Support
	• Determine program design	Lead			
	✓ Funding source requirements	Lead			

* The order for carrying out some tasks may vary from the sequence shown.

CONTRACT PROJECT PLANNING*		Lead Division/ Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
	✓ Target population(s)	Lead			
	✓ Geographic service area(s)	Lead			
	✓ Service method(s)	Lead			
	✓ Service duration	Lead			
	✓ Outcome measures	Lead			Support
	✓ Outcome targets	Lead			Support
	✓ Process measures	Lead			Support
	✓ Data collection requirements	Lead			Support
	✓ Deliverables	Lead			Support
	✓ Contractor compensation options	Lead			Support
8	Identify/analyze procurement options	Lead			Support
9	Select procurement method	Lead			Support
10	Select compensation method	Lead			Support
11	Determine type of authorization required (Board letter, other)	Lead			Support

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PROCUREMENT*		Lead Division/ Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
1	Obtain authorization (Board letter/other)	Lead			
2	Conduct pre-solicitation activities				
	<ul style="list-style-type: none"> If applicable, notify current contractor(s) that contract(s) will not be renewed 	Lead			
	Solicit proposal sources, which may include e- <ul style="list-style-type: none"> commerce, newspaper ads and/or solicitation letters 	Support			Lead
3	Prepare draft Statement of Work	Lead			Support
4	Develop preliminary monitoring plan	Lead	Support		
	<ul style="list-style-type: none"> Funding source requirements 	Lead	Support		Support
	<ul style="list-style-type: none"> Outcome measures/targets 	Lead	Support		Support
	<ul style="list-style-type: none"> Process measures 	Lead	Support		Support
	<ul style="list-style-type: none"> Deliverables 	Lead	Support		Support
	<ul style="list-style-type: none"> Reporting requirements 	Lead	Support		
	<ul style="list-style-type: none"> ✓ Prepare draft progress report format and content 	Lead	Support		
5	Correlate draft Statement of Work and monitoring plan	Lead	Support		Support
6	Develop solicitation package using standard templates	Lead			Support
	<ul style="list-style-type: none"> Finalize Statement of Work 	Lead			Support
	<ul style="list-style-type: none"> Prepare other exhibits 	Lead			Support
	<ul style="list-style-type: none"> Prepare evaluation criteria 	Lead			Support
	<ul style="list-style-type: none"> Determine submittal requirements 	Lead			Support
	Obtain Purchasing and Contracting and County <ul style="list-style-type: none"> Counsel approval for any changes to standard templates 	Lead			Support
7	Schedule pre-proposal conference	Support			Lead
8	Finalize solicitation package	Support			Lead
9	Issue solicitation				Lead
10	Conduct pre-proposal activities				
	<ul style="list-style-type: none"> Conduct pre-proposal conference 	Support			Lead
	<ul style="list-style-type: none"> Transcribe questions from pre-proposal conference 	Support			Lead
	<ul style="list-style-type: none"> Prepare written responses to questions 	Lead			Support
	<ul style="list-style-type: none"> Draft addenda (as necessary) 	Support			Lead
	<ul style="list-style-type: none"> Finalize addenda 	Support			Lead
	<ul style="list-style-type: none"> Issue addenda 				Lead
11	Conduct pre-evaluation activities				
	<ul style="list-style-type: none"> Develop evaluation tool 	Lead			Support
	<ul style="list-style-type: none"> Identify potential Source Selection Committee (SSC) members 	Lead	Support		Support
	<ul style="list-style-type: none"> Identify SSC technical advisors 	Lead			Support

* The order for carrying out some tasks may vary from the sequence shown. Tasks reflect an RFP process; other procurement options may involve fewer steps.

PROCUREMENT*		Lead Division/Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
	• Submit names of proposed SSC members for HHSA Director/COO approval	Lead	Support		
	• Schedule SSC meeting(s)	Lead			Support
12	Receive proposals				Lead
13	Evaluate proposals				
	• Convene Source Selection Committee (scheduling, coordination, notification, etc.)	Lead			Support
	• Distribute proposals	Support			Lead
	• Provide technical assistance to SSC	Support			Lead
	• Conduct reference checks on proposers	Lead			
	• Draft SSC report	Lead			
	• Review SSC report				Lead
	• Finalize SSC report	Lead			
	Obtain clearance from Agency Director/COO if provider on Compliance Alert or with corrective action(s) pending	Lead	Support		
	• Obtain Source Selection Authority's (Agency Director's) approval of SSC report	Lead			
	• Forward SSC report to P&C	Lead			
	• Review and implement Source Selection Authority (SSA) recommendation				Lead
14	Prepare and issue letters notifying contractors of contract award and/or rejection				Lead
15	Issue Notice of Intent to Award (5-day protest period begins)				Lead
16	Negotiate contract	Support			Lead
17	Conduct post-award activities				
	• Notify appropriate Agency executives of contract award	Lead			
	• Prepare final contract documents	Support			Lead
	• Prepare contract fiscal certification	Lead			
	• Obtain contractor's signature on contract	Lead			
	• Finalize progress report format, content and instructions	Lead	Support		
	• Establish distribution list for copies of executed contract	Lead			
	• Execute contract				Lead
	• Distribute copies of executed contract	Support			Lead
	• Add contract information to HHSA contracts registry	Lead	Support		
	• Prepare thank you letters to SSC members, obtain Agency Director's signature and send letters	Lead			
	• Debrief on procurement process	Lead			Support

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PROCUREMENT*		Lead Division/ Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
	• Debrief contractor upon request	Support			Lead
	• Manage protest process as needed	Support			Lead

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CONTRACT ADMINISTRATION/MONITORING*		Lead Division/Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
1	Prepare for and conduct contractor orientation	Lead	Support		
	• Review contractor's role within the HHSA service network, as applicable	Lead	Support		
	• Review contract terms and conditions	Lead	Support		
	• Review deliverables and deadlines	Lead	Support		
	• Review progress report and instructions	Lead	Support		
	• Review fiscal and claim processes	Lead	Support		
	• Review monitoring plan and adjust as necessary	Lead	Support		
	• Review monitoring roles and responsibilities	Lead	Support		
	• Identify contract administrator/key contact for Agency and contractor	Lead	Support		
2	Provide written notice to contractor of Agency contract administrator/key contact as changes occur	Lead			
3	Monitor compliance with standard terms and conditions ("boilerplate" language)		Lead		
	• Conduct and document desk reviews	Lead	Support		
	• Notify and coordinate with lead division(s)/region(s) on planned site visits	Lead	Support		
	• Conduct and document site reviews	Lead	Support		
	• Identify need for corrective action(s) and communicate to lead division(s)/region(s)	Lead	Support		
	• Prepare corrective action notice and provide to contractor	Lead	Support		
	• Track status of corrective action(s) and follow up as needed	Lead	Support		
	• Provide technical assistance to contractor	Lead	Support		
	• Identify risks and notify lead division(s)/region(s)		Lead		
	• Identify status for Compliance Alert Report, as appropriate		Lead		
	• Identify issues that may require contract changes and notify lead division(s)/region(s)		Lead		
4	Monitor compliance with Statement of Work/special terms and conditions	Lead			
	• Conduct and document desk reviews	Lead			
	• Conduct and document site reviews	Lead			
	• Identify need for corrective action(s)	Lead			
	• Prepare corrective action notice and provide to contractor	Lead			
	• Track status of corrective action(s) and follow up as needed	Lead			
	• Provide technical assistance to contractor	Lead			
	• Identify risks	Lead			
	• Identify status for Contract Risk Report, as appropriate	Lead			

* The order for carrying out some tasks may vary from the sequence shown.

CONTRACT ADMINISTRATION/MONITORING*		Lead Division/Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
	• Identify issues that may require contract changes	Lead			
5	Monitor compliance with fiscal provisions	Lead			
	• Review and approve contractor invoice	Lead			
	• Process invoice for payment			Lead	
	• Determine need for administrative adjustments to contract budget	Lead			
	• Prepare contract expenditure reports	Lead			
	• Prepare/provide program-specific expenditure reports to funding source(s), others	Lead		Support	
	• Monitor funding	Lead			
	• Review and approve budgets	Lead			
	• Review and approve cost reports, as applicable	Lead			
	• Provide technical assistance to contractor	Lead			
6	Conduct fiscal reviews				
	• Notify and coordinate with lead division(s)/region(s) on planned site visits	Support	Lead		
	• Review contractor's accounting system and financial records		Lead		
	• Receive/review independent auditor's reports on contractor		Lead		
	• Consult with lead division(s)/region(s) as needed	Support	Lead		
	• Evaluate financial solvency of contractor		Lead		
	• Identify need for corrective action(s) and communicate to lead division(s)/region(s)		Lead		
	• Prepare corrective action notice and provide to contractor		Lead		
	• Track status of corrective action(s) and follow up as needed		Lead		
	• Provide technical assistance to contractor		Lead		
	• Identify risks and notify lead division(s)/region(s)		Lead		
	• Identify status for Contract Risk Report, as appropriate		Lead		
	• Refer to Chief Financial Office for audit as appropriate		Lead		
	• Identify issues that may require contract changes and notify lead division(s)/region(s)		Lead		
	• Provide summary report on review results to lead division(s)/region(s)		Lead		
7	Monitor for quality assurance	Lead			
8	Coordinate and conduct special reviews as needed	Support	Lead		
	• Conduct and document desk reviews	Support	Lead		
	• Notify and coordinate with lead division(s)/region(s) on planned site visits	Support	Lead		
	• Conduct and document site reviews	Support	Lead		

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CONTRACT ADMINISTRATION/MONITORING*		Lead Division/Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
	<ul style="list-style-type: none"> Identify need for corrective action(s) and communicate to lead division/region 		Lead		
	<ul style="list-style-type: none"> Prepare corrective action notice and provide to contractor 		Lead		
	<ul style="list-style-type: none"> Track status of corrective action(s) and follow up as needed 		Lead		
	<ul style="list-style-type: none"> Identify risks and notify lead division(s)/region(s) 		Lead		
	<ul style="list-style-type: none"> Identify status for Contract Risk Report, as appropriate 		Lead		
	<ul style="list-style-type: none"> Identify issues that may require contract changes and notify lead division(s)/region(s) 		Lead		
	<ul style="list-style-type: none"> Provide summary report on review results to lead division(s)/region(s) 		Lead		
9	Elevate and address significant compliance issues				
	<ul style="list-style-type: none"> Notify Agency Director/Chief Operations Officer and DPC of contract compliance issues that may require dispute resolution, letter of warning, show cause letter or termination 	Lead			
	<ul style="list-style-type: none"> Determine and take appropriate action, consulting with County Counsel as needed 	Support			Lead
10	Conduct and document periodic group meetings with contractors	Lead	Support		

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SERVICE EVALUATION*		Lead Division/ Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
1	Collect contract-specific data for specified service outcomes	Lead			
2	Aggregate comparable data	Lead			
3	Analyze results for each contract/contractor	Lead			
4	Analyze cumulative results	Lead			
5	Identify planning/program design issues based on evaluation results	Lead			

* The order for carrying out some tasks may vary from the sequence shown.

ADMINISTRATIVE MANAGEMENT*		Lead Division/ Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
1	Support CBPR process		Lead		
	• Provide forms and instructions		Lead		
	• Provide technical assistance as needed		Lead		
	• Identify training needs		Lead		
	• Identify training resources/provide training		Lead		
2	Establish and maintain cross-Agency threading group on contracting processes				
	• Designate threading group representative	Lead			
	• Convene and facilitate threading group meetings		Lead		
3	Maintain Agency forecast of anticipated procurements and coordinate periodic updates	Support	Lead		
4	Support Agency use of optimum contracting processes				
	• Collect/analyze/disseminate “best practice” information on procurement processes	Support	Support		Lead
	• Collect/analyze/disseminate “best practice” information on monitoring processes	Support	Lead		
	Coordinate periodic review, evaluation and revision of Agency contracting processes, elevating issues to Agency Executive Team as necessary	Support	Lead		
5	Determine need for contract amendments	Lead			Support
6	Maintain set of contract documents (original contract and all amendments)				Lead
7	Maintain contracts registry (inventory of HHSA contracts)	Support	Lead		
	• Coordinate periodic review of registry	Support	Lead		
	✓ Ensure information is accurate and complete	Support	Lead		
	✓ Determine whether data fields should be added/deleted/modified	Support	Lead		
	✓ Determine whether management reports should be added/deleted/modified	Support	Lead		
8	Coordinate periodic risk assessment for all HHSA contracts to determine monitoring priorities	Support	Lead		
9	Track and report contract compliance issues				
	• Provide information for monthly Contract Risk Report	Lead			
	• Prepare monthly Contract Risk Report and issue to Agency executives	Support	Lead		
10	Coordinate with DPC/Counsel/CFO/Risk Management on standard contract-related requirements		Lead		
	• Maintain contract templates for Agency use		Lead		

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ADMINISTRATIVE MANAGEMENT*		Lead Division/ Region	ACS	Agency Fiscal	Department of Purchasing & Contracting (DPC)
	<ul style="list-style-type: none"> Maintain standardized exhibits as appropriate for Agency use 		Lead		
	<ul style="list-style-type: none"> Maintain current information on language for procurement- and monitoring-related documents 		Lead		
	<ul style="list-style-type: none"> Coordinate Agency input on proposed changes to DPC/Counsel/CFO/Risk Management requirements 	Support	Lead		
11	Coordinate periodic updates to Agency contracting policies, procedures and protocols	Support	Lead		
12	Implement DPC and County Counsel-approved changes	Lead	Support		
13	Address Agency contract-related training and technical assistance needs				
	<ul style="list-style-type: none"> Coordinate identification of staff training/technical assistance needs 	Support	Lead		
	<ul style="list-style-type: none"> Identify procurement-related training and technical assistance resources 				Lead
	<ul style="list-style-type: none"> Provide training on procurement process 				Lead
	<ul style="list-style-type: none"> Identify monitoring-related training and technical assistance resources 		Lead		
	<ul style="list-style-type: none"> Provide training on general monitoring principles and processes, including best practices 		Lead		
	<ul style="list-style-type: none"> Provide technical assistance on monitoring issues 		Lead		
14	Address contractors' overall contract-related training and technical assistance needs	Support	Lead		
	<ul style="list-style-type: none"> Coordinate periodic identification of contractors' training/technical assistance needs 	Support	Lead		
	<ul style="list-style-type: none"> Coordinate provision of training/technical assistance to contractors 	Support	Lead		

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