

**FS-02 Enhanced Contract Monitoring
Required for all Contracts \$1,000,000 and Greater
Exempt Contracts: Interagency/Interlocal, MOU**

TCM Contract Number: _____

Vendor Name: _____

RFP Number: _____ RFP Name: _____

Contract Not to Exceed Amount: _____ Start Date: _____ End Date: _____

Number of Renewals: _____ Renewal Term: _____

Contract Manager Information (Department)		Vendor Information	
Name		Vendor SAP #	
Department		Contact Name	
Phone		Phone	
Net ID		Email	

Routine Contract Monitoring for All Contracts (Department Responsibility):

- The department shall notify the Contract Specialist of any contract-related issues that cannot be resolved.
- The department shall work in conjunction with the Contract Specialist to issue any **Amendment for renewal** prior to expiration of contract term.
- The department shall verify receipt of deliverables (correct, undamaged, on time, etc.).
- The department shall review and approve invoices to ensure that they are valid and accurate prior to payment being issued. (Vendor name/address matches SAP amounts billed, etc.)
- The department shall send all department/vendor communications related to contract performance resolution to the Contract Specialist to be uploaded into the TSUS Marketplace Contract system.
- The department shall notify the Contract Specialist of any contract related issues that cannot be resolved.
- The department shall issue a corrective action plan if the vendor’s performance is not satisfactory and communicate issues to the Contract Specialist.
- If applicable, the vendor shall submit a HUB Progress Assessment Report (PAR’s) with each invoice.
- The department shall complete the [FS-07 Contract Close-out](#) Form for ALL contracts/agreements \$250,000 and greater at the conclusion of the contract, once the final invoice has been posted by Accounts Payable and reflected in SAP.

Enhanced Contract Monitoring for All Contracts \$1,000,000 or Greater and/or High-Risk Contracts (For FS-01 Risk Assessment Worksheet with a Score Greater Than 26) (Department Responsibility):

- A contract kickoff meeting shall be conducted to review the contract requirements, [FS-01 Risk Assessment](#) and the [FS-02 Contract Monitoring Plan](#). (For guidance, see [Appendix 27](#) from the Comptrollers Procurement and Contract Management Guide).
- The vendor shall provide progress reports/updates to the department. (Frequency determined at the kickoff meeting).
- Routine business review with the vendor. (Frequency determined at the kickoff meeting).

Reference to “Contract Specialist” in this document is referring to the Procurement and Strategic Sourcing role. These duties are also completed by the Contract Specialist/Buyers in Facilities and Facilities Planning and Design (FPDC) and Procurement Manager/Buyers in Information Technology.

Requirement	Completed	N/A	Completed By
<p>SAO State Agency Uniform Nepotism Disclosure Form</p> <p>Pursuant to Texas Government Code, Sec. 2262.004, purchasing personnel of a state agency must disclose information regarding certain relationships with, and direct or indirect pecuniary interests in, any party to a major contract with the state agency prior to the award of a major contract.</p>			<p>Contract Manager (Department Stakeholder) See PART 1 & PART 2 on pages 3-4</p>
<p>T.E.C. Certificate of Interested Parties (Form 1295)</p>			<p>Contract Specialist/Buyer (Procurement, Facilities, FPDC, VPIT)</p>
<p>Board of Regents Approval (Board meets Quarterly)</p>			<p>Contract Specialist/Buyer (Procurement, Facilities, FPDC, VPIT)</p>
<p>Director of Procurement Verification to the Chief Financial Officer (CFO)</p> <ul style="list-style-type: none"> Financial provisions and delivery schedules are compliant. Any corrective action plans required and the status of corrective action plans. Information about any liquidated damages assessed or collected. 			<p>Contract Specialist/Buyer (Procurement, Facilities, FPDC, VPIT)</p>
<p>\$5,000,000 or greater only</p> <p>Director of Procurement Verification to Vice Chancellor (VC) & Chief Financial Officer (CFO)</p> <ul style="list-style-type: none"> Solicitation method & vendor selection process is compliant. Identification of potential issues with selection process. 			<p>Contract Specialist/Buyer (Procurement, Facilities, FPDC, VPIT)</p>

This fully executed Contract Monitoring Plan must be signed by the Contract Manager (Department Stakeholder), Contract Specialist/Buyer, the Director of Procurement and Strategic Sourcing, and the Vice President for Finance and Support Services.

Contract Manager (Department Stakeholder)

**Contract Specialist/Buyer
(Procurement, Facilities, FPDC, VPIT)**

Signature: _____

Signature: _____

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

Director, Procurement and Strategic Sourcing

Vice President, Finance and Support Services

Signature: _____

Signature: _____

Dan Alden

Eric Algoe

Date: _____

Date: _____

STATE AGENCY UNIFORM NEPOTISM DISCLOSURE FORM

FS-02

Pursuant to [Texas Government Code, Sec. 2262.004](#), purchasing personnel of a state agency must disclose information regarding certain relationships with, and direct or indirect pecuniary interests in, any party to a major contract with the state agency prior to the award of a major contract. Specifically, the statute requires, --

Before a state agency may award a major contract for the purchase of goods or services to a business entity, each of the state agency's purchasing personnel working on the contract must disclose in writing to the administrative head of the state agency any relationship the purchasing personnel is aware about that the employee has with an employee, a partner, a major stockholder, a paid consultant with a contract with the business entity the value of which exceeds \$25,000, or other owner of the business entity that is within a degree described by [Section 573.002](#).

"Purchasing personnel" means an employee of a state agency who makes decisions on behalf of the state agency or recommendations regarding:

(A) contract terms or conditions on a major contract; (B) who is to be awarded a major contract; (C) preparation of a solicitation for a major contract; or (D) evaluation of a bid or proposal. [Texas Government Code, Sec. 2262.004\(a\)\(2\)](#).

"Major contract" means a contract that has a value of at least \$1 million. [Texas Government Code, Sec. 2262.001\(4\)](#).

INSTRUCTIONS:

1. The disclosure form must be submitted by purchasing personnel prior to the award of any major contract.
2. This form must be submitted even if you answer "no" to questions 1 and 2 in part 2.
3. A new or amended form must be promptly filed with the administrative head of the agency whenever there is new information to report under [Texas Government Code, Section 2262.004](#).

PURCHASING PERSONNEL DISCLOSURES – Contract Manager (Department Stakeholder)

Printed Name _____

Job Title _____

1. Do you directly or indirectly own or control more than a 10 percent interest or pecuniary interest with a value exceeding \$25,000 in a business entity that is under consideration for an award of a major contract with your agency?

If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.) No Yes

2. Do you have a relationship with an employee, a partner, a major stockholder, a paid consultant with a contract of at least \$25,000 with the business entity under consideration for an award of a major contract, or other owner of the business entity that is related within a degree described by [Government Code, Section 573.002](#)?

If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.) No Yes

I hereby attest that all information provided above in questions 1 and 2 are complete and accurate to the best of my knowledge. I acknowledge my responsibility to submit promptly a new or amended disclosure form to the administrative head of the agency if any of the above information changes.

Signature _____ Date _____

PURCHASING PERSONNEL DISCLOSURES – Contract Specialist/Buyer (Procurement, Facilities, FPDC, VPIT)

Printed Name _____

Job Title _____

- 1. Do you directly or indirectly own or control more than a 10 percent interest or pecuniary interest with a value exceeding \$25,000 in a business entity that is under consideration for an award of a major contract with your agency?

No Yes

If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.)

- 2. Do you have a relationship with an employee, a partner, a major stockholder, a paid consultant with a contract of at least \$25,000 with the business entity under consideration for an award of a major contract, or other owner of the business entity that is related within a degree described by [Government Code, Section 573.002?](#)

No Yes

If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.)

I hereby attest that all information provided above in questions 1 and 2 are complete and accurate to the best of my knowledge. I acknowledge my responsibility to submit promptly a new or amended disclosure form to the administrative head of the agency if any of the above information changes.

Signature _____ Date _____

State Agency Uniform Nepotism Disclosure Form

SIGNATURE AND DATE – Administrative Head of Agency

I hereby acknowledge receipt of the State Agency Uniform Nepotism Disclosure Form signed by the purchasing personnel indicated above.

Administrative Head of Agency Signature _____ Date _____

Printed Name: Dan Alden