

Executive Summary

Statewide Contract Monitoring Functions Profile

- In February 2005, the State Auditor's Office recommended that the functions of contract administration and contract monitoring be identified.
- Per this recommendation, the Department of Personnel and Administration's Division of Human Resources (DPA/DHR) in conjunction with the Department of Labor and Employment (DOLE) and the Department of Corrections (DOC) undertook the tasks of constructing job profiles to identify those functions.
- To this end, DHR personnel:
 - ◆ Obtained appropriate knowledge, skills, abilities (KSA's), behaviors, experiences, and personality factors from subject matter experts (SME's), job descriptions, the State Contracting Manual, the Federal Office of Personnel Management's HR Manager database, and journals;
 - ◆ Obtained importance and prioritization ratings from SME's; and
 - ◆ Constructed the final profiles of functions.
- This job profile is composed of three levels of job relevant information that graduate from specific to general.
 - ◆ The most specific level of a job profile is comprised of statements that reflect knowledge, skills, abilities, behaviors, experiences, personality factors and other components that are related to the job function.
 - ◆ The second level is comprised of competencies that are combinations of the components of the first level. For example, similar pieces of information from interviews and documents are aggregated together into one competency.
 - ◆ Similar topic areas are grouped together into categories of competencies that comprise the most general level of a job profile.

Results

- The functions of contract monitoring can be characterized by:
 - ◆ Four prioritized job categories (see Table 1),
 - ◆ Several prioritized competencies within each category, and
 - ◆ Job and task components (KSA's, behaviors, experiences, and personality factors) within each competency.

Table 1: Prioritized categories with the top priority competency for each category

Category	Competency of Top Priority
Operations Management	Client Orientation
Technical	Contract Laws, Statutes, Policies, & Rules
Decision Making & Organizing	Evaluating
Interpersonal Skills & Communication	Influencing/Negotiating

Conclusions

- The Operations Management category is the top priority for this position.
- The competency with top priority within the Operations Management category is Client Orientation.
- The contract monitoring functions are critical to the contracting process in the State.

Profile Uses

- Job description for prospective candidates and current employees
- Bases for establishing Individual Performance Objectives
- Employee development - incumbent and those aspiring to the position
 - ◆ Those aspiring to the position can match their current levels of competencies, KSA's, and personality factors with those described in these functions.
- Selection and testing
 - ◆ Production of reliable and valid instruments for selection and promotion

Statewide Contract Monitor Functions Profile

Introduction

In 2004 the State Auditor's Office (SAO) conducted a performance audit on the contract management practices of six large departments and institutions of higher education. In February 2005, the SAO released its findings with 14 recommendations for improving contracting practices within the State of Colorado. One of those recommendations was for the Department of Personnel and Administration (DPA) to assist departments with performance planning and evaluations for the contracting staff. In response to this recommendation, DPA's Division of Human Resources (DHR) met with other departmental representatives to identify how contract administrators and monitors are utilized within individual departments. One conclusion from these discussions was that in some departments there are not clear distinctions between the roles and functions of contract administrators and monitors. In some departments, contract monitoring may not be the sole responsibility of an individual's job. Monitoring may be included with other job duties such as project management and program coordination.

In order to clarify distinctions between contract administration and monitoring functions, DHR personnel collaborated with the Department of Labor and Employment (DOLE) and the Department of Corrections (DOC) and constructed job profiles for the two functions. Ordinarily, job profiles are constructed on jobs or positions, but in this instance, there are no specific classes in the State's job evaluation system that are labeled contract administrator or contract monitor. Therefore, the profiles were constructed based on the functions of administration and monitoring. This document is the culmination of efforts to construct a contract monitoring job profile to clarify the differences between the two sets of functions. Because data from more than one department were combined, this profile can be used as the State's contract monitoring function profile.

This job profile is composed of three levels of job relevant information that graduate from specific to general. The most specific level of a job profile is comprised of statements that reflect knowledge, skills, abilities, behaviors, experiences, personality factors and other components that are related to the job function. The second level is comprised of competencies that are combinations of the components of the first level. For example, similar pieces of information from interviews and documents are aggregated together into one competency. Similar competencies are grouped together into categories of competencies that comprise the most general level of a job profile. The Methods section outlines the process used to construct this profile.

Method

The methods used to create this profile are listed chronologically below.

- Gathered knowledge, skills, abilities (KSA's), behaviors, experiences, and personality factors on the functions from several sources in the DOLE and the DOC:
 - ◆ Position Description Questionnaires (PDQ's),
 - ◆ Multiple interviews with incumbents, supervisors, managers, colleagues internal to the organization, contacts outside the organization,
 - ◆ Electronic questionnaires,
 - ◆ HR Manager database - Federal Office of Personnel Management,
 - ◆ Journal of Applied Psychology,
 - ◆ State Contracting Manual, and
 - ◆ Neo Personality Inventory – Revised.
- Compiled information into the job components (KSA's, behaviors, experiences, and personality factors) related to the position.
- Grouped components into competencies (e.g., Decisiveness).
- Rated (by a panel of experts on the position) the importance of the job components on a scale that ranged from Extremely Important (5) to Not Important (1):
 - ◆ Combined the importance rating data from the two participating departments (DOLE and DOC).
 - ◆ If a component of a competency had an average rating below 3.5, it was not used to describe that competency. For example, the competency Conflict Management originally had three components, but one of them showed an average under 3.5 and was not used. As a result, the Conflict Management competency now has two components instead of three.
- Created general categories of competencies (e.g., Interpersonal Skills and Communication) and assigned competencies (e.g., Influencing/Negotiating) to those categories.
- Prioritized (by a panel of experts on the position) the categories and the competencies within each category:
 - ◆ Identified from prioritization results, the most important categories and the most important competencies within the categories.
- Created the final job profile for the functions of contract monitoring, which include:
 - ◆ Prioritized categories, and
 - ◆ Prioritized competencies within categories.

Results

- Appendix A contains the **categories** in order of their prioritization (numbered).
 - ◆ Interpretation: The panel rated categories with a higher number as less of a priority than categories with a lower number.
- Appendix B contains the **competencies** prioritized (numbered) in order within each category.
 - ◆ Interpretation:
 - Within categories, the panel rated competencies with a higher number as less of a priority than competencies with a lower number (the lower the number the higher the priority); and
 - Across categories, generally competencies from a low-numbered (high priority) category are treated as higher priorities than competencies from a category with higher numbers (lower priority); however, panel members were not asked to compare directly competencies in one category with competencies in another category; therefore, practitioners may view a competency in a lower prioritized category as more of a priority than a competency in a higher prioritized category.
- Appendix C contains **KSA's, behaviors, experiences, and personality factors** within the competencies within the categories.
 - ◆ Interpretation: The **relative importance** of KSA's, behaviors, experiences, and personality factors **was not rated**. Experts were asked to rate the importance of a component on its own merit, but were not asked to prioritize the importance of each component compared to other components.

Conclusions

- The Operations Management category is the top priority for these functions. (See Table 1 below.)
- The competency with top priority within Operations Management is Client Orientation. (See Table 1 below.)
- The other categories with their associated top priority competencies are listed in Table 1 below.
- The contract monitoring functions are key because the competencies, KSA's, behaviors, experiences, and personality factors associated with these functions are critical to contract management in the State.

Table 1: Prioritized categories with the top priority competency for each category

Category	Competency of Top Priority
Operations Management	Client Orientation
Technical	Contract Laws, Statutes, Policies, & Rules
Decision Making & Organizing	Evaluating
Interpersonal Skills & Communication	Influencing/Negotiating

Uses of the Profile

- Job description for prospective candidates and employees
- Bases for establishing Individual Performance Objectives
- Bases for employee development of the incumbent
- Bases for employee development for those aspiring to a position with these functions
 - ◆ Those aspiring to a position with these functions can match their current levels of competencies, KSA's, behaviors, experiences, and personality factors with those described in this set of functions
- Selection and testing
 - ◆ To produce reliable and valid instruments for selection and promotion

Appendix A

Category Prioritization		
Category	Description The category contains the following competencies:	Priority* (avg score)
Operations Management	Client orientation, financial management, contract management, project management, internal awareness, external awareness	1 (2.0)
Technical	Contract laws, statutes, policies, and rules, technical competence, personnel laws, rules, and regulations, technical systems	2 (2.1)
Decision Making & Organizing	Evaluating, decisiveness, flexibility, leadership, internal controls/integrity, analyzing, problem solving, self-direction, creative thinking	3 (2.8)
Interpersonal Skills & Communication	Influencing/negotiating, oral communication, collaboration, reading comprehension, interpersonal skills, conflict management, written communication, personality factors	4 (3.1)

* The top number in the cell represents the ranking. The bottom number in parenthesis in the cell represents the average ranking score given by the raters.

Appendix B

Competency Prioritization		
Category: Operations Management (1)		
Competencies	Description	Priority*
Client orientation	Assess customer needs, be committed to providing quality products and services, be committed to improving services, respond fairly and equitably to parties to the contract, communicate effectively with parties to the contract, initiate contact with responsible parties to the contract, respond to vendor questions through purchasing, handle customer complaints, be readily available to clients	11 (2.3)
Financial management	Ensure the department receives the best value for its expenditures, properly encumber funds, monitor expenditures to ensure cost-effective support for the department's programs, ensure that resource expenditures stay within budget, understand the reporting of financial data, track budget expenditures, get approval for funds	12 (2.6)
Contract management	Understand the business in which the contract resides, understand the skill sets necessary to execute the contract, know when to move issues to a higher level of authority, keep abreast of changes to the contracting process, understand contractors' reporting mechanisms	13 (2.7)
Project management	Write scope of work for the contract, create a tactical project plan to monitor a contract, identify resources and where to obtain them, identify and mitigate risk, make changes to the scope of work suggested by the contracting office, anticipate potential threats or opportunities, track progress of contracts, mediate disputes, monitor vendors' performance in contract execution, track deliverables from the vendor, track due dates on deliverables, be responsible for project work schedules, manage project resources, conduct meetings with subject matter experts, provide periodic status reports, recommend feasible project alternatives, establish that the customer received the contract deliverables, test for customer satisfaction of contract deliverables, seek remedies when contract clauses are not fulfilled, enforce contract clauses, close the contract on final execution, coordinate project components, disseminate contract changes, oversee the billing process, keep stakeholders involved, hold parties to the contract accountable, do cost analyses, understand components of previous contracts	14 (2.8)
Internal awareness	Know the department's functions	15 (4.1)
External awareness	Keep up-to-date on key policies/priorities that affect the department	16 (4.2)

The top number in the cell represents the category and topic area ranking (e.g., Operations Management - 1, Client Orientation - 1 = 11). The bottom number in the cell represents the average ranking score given by the raters.

Competency Prioritization (Continued)		
Category: Technical (2)		
Competencies	Description	Priority*
Contract laws, statutes, policies, & rules	Adhere to all contract laws, statutes, policies, rules, and tax laws, follow appropriate routing procedures, understand vendors' rules and limitations, utilize the correct procedures for rejecting deliverables	21 (1.8)
Technical competence	Use knowledge acquired through contract training or experience, understand and apply procedures, requirements, regulations, and policies	22 (2.4)
Personnel laws, rules, & regulations	Adhere to all personnel laws, rules, and regulations, adhere to all departmental policies	23 (2.5)
Technical systems	Develop a system to track contractor performance	24 (3.3)
Category: Decision Making & Organizing (3)		
Competencies	Description	Priority*
Evaluating	Monitor the progress of contract plans, develop criteria to measure vendors' responses and deliverables, create, review, edit, and distribute reports, participate in all levels of testing of deliverables, make sure the user has adequately tested the product/service before acceptance, evaluate outcomes of contract plans, evaluate changes to a contract	31 (3.2)
Decisiveness	Make well-informed decisions, make timely decisions, perceive implications of decisions, overcome obstacles	32 (3.8)
Flexibility	Be open to change and new information, adapt behavior and work methods, deal effectively with pressure, use a back-up plan when necessary	33 (5.0)
Leadership	Inspires, motivates, and guides others toward goals, model high standards of honesty, integrity, trust, openness, and respect, make vendors accountable, be organized	34 (5.1)
Internal controls & integrity	Maintain integrity of the department, display high standards of ethical conduct, be trustworthy, be conscientious, attend to details	35 (5.2)
Analyzing	Analyze issues and information, assess acceptable level of risk, minimize risk, distinguish between relevant and irrelevant information, use sound reasoning, conduct a needs analysis with the business unit	36 (5.3)
Problem solving	Identify problems, determine accuracy of information, use sound judgment in evaluating alternatives and making recommendations, find alternative solutions	37 (5.5)
Self-direction	Be motivated and results-oriented, seek feedback, display a high level of initiative, work with minimal supervision, act in a timely manner	38 (6.8)
Creative thinking	Develop new insights into situations	39 (7.0)

* The top number in the cell represents the category and topic ranking (e.g., Decision Making & Organizing - 3, Decisiveness - 2 = 32). The bottom number in the cell represents the average ranking score given by the raters.

Competency Prioritization (Continued)		
Category: Interpersonal Skills & Communication (4)		
Competencies	Description	Priority*
Influencing/ negotiating	Persuade others, negotiate with vendors on behalf of customers, negotiate to find mutually acceptable solutions, form useful alliances, gain cooperation, relay information between the parties to a contract, obtain customer support for the contract, assess accurately when to stop changing the requirements	41 (3.1)
Oral communication	Effectively express information, make clear and convincing presentations, listen, facilitate open exchanges of ideas, ask clarifying questions, translate technical requirements into layperson's terms	42 3.8)
Collaboration	Work with others to achieve goals, pulls many factions and people together, facilitate cooperation, build commitment, create partnerships	43 (3.9)
Reading comprehension	Comprehend written material, apply what is learned from written material, retain facts and figures from readings	44 (4.0)
Interpersonal skills	Maintain relationships, ask for clarification, be straightforward and tactful, exhibit civility, be approachable, obtain respect from contacts	45 (5.0)
Conflict management	Manage and resolve conflicts, confrontations, and disagreements, exhibit ability to disagree without escalating differences	46 (5.1)
Written communication	Be organized and succinct, produce written material appropriate for the audience, proofread documents	47 (5.3)
Personality factors	Exhibit openness to and toleration for the unfamiliar, show conscientious behavior	48 (6.7)

* The top number in the cell represents the category and topic ranking (e.g., Interpersonal Skills & Communication - 4, Collaboration - 3 = 43). The bottom number in the cell represents the average ranking score given by the raters.

Appendix C

Knowledge, Skills, Abilities, Behaviors, Experiences, and Personality Factors Within Categories and Competencies

Category: Operations Management (1)*
Competency: Client orientation (11)
1. Assesses the needs of customers.
2. Is committed to providing quality products and services.
3. Is committed to improving services.
4. Responds fairly and equitably to parties to the contract.
5. Communicates effectively with parties to the contract.
6. Initiates contact with responsible parties to the contract.
7. Responds to vendor questions through purchasing.
8. Handles customer complaints.
9. Is readily available to clients.
Competency: Financial management (12)
1. Ensures that the department is receiving the best value for its expenditures.
2. Properly encumbers funds.
3. Monitors expenditures to ensure cost-effective support for the department's programs.
4. Ensures that resource expenditures stay within budget.
5. Understands the reporting of financial data.
6. Tracks budget expenditures.
7. Gets approval for funds.
Competency: Contract management (13)
1. Understands the business in which the contract resides.
2. Understands the skill sets necessary to execute the contract.
3. Knows when to move issues to a higher level of authority.
4. Keeps abreast of changes to the contracting process.
5. Understands contractors' reporting mechanisms.

* The first number in parentheses represents the category ranking; the second number represents the topic area ranking within the category (e.g., Operations Management - 1, Client orientation - 1 = 11).

Knowledge, Skills, Abilities, Behaviors, Experiences, and Personality Factors Within Categories and Competencies (Continued)

Category: Operations Management (1)* - Continued
Competency: Project management (14)
1. Writes the scope of work for the contract.
2. Creates a tactical, project plan to monitor a contract (e.g., tasks, timelines, budget, etc.).
3. Identifies resources and where to obtain them.
4. Identifies and mitigates risk.
5. Makes changes to the scope of work suggested by the contracting office.
6. Anticipates potential threats or opportunities.
7. Tracks progress of the contract.
8. Mediates disputes between vendors and customers.
9. Monitors vendors' performance in contract execution.
10. Tracks deliverables from the vendor.
11. Tracks due dates on deliverables.
12. Is responsible for project work schedules.
13. Manages project resources.
14. Conducts meetings with subject matter experts.
15. Provides periodic (e.g., weekly) status reports (e.g., stoplight) to stakeholders.
16. Recommends feasible project alternatives.
17. Establishes that the customer received the contract deliverables.
18. Tests for customer satisfaction of contract deliverables.
19. Seeks remedies when contract clauses are not fulfilled.
20. Enforces contract clauses.
21. Closes the contract on final execution.
22. Coordinates project components.
23. Disseminates contract changes to the vendor.
24. Oversees the billing process.
25. Oversees quality control of the contract deliverables.
26. Keeps the stakeholders involved.
27. Holds the parties to the contract accountable.
28. Does a cost analysis.
29. Understands components of previous contracts.
Competency: Internal awareness (15)
1. Knows the department's functions.
Competency: External awareness (16)
1. Keeps up-to-date on key policies/priorities that affect the department.

* The first number in parentheses represents the category ranking; the second number represents the topic area ranking within the category (e.g., Operations Management - 1, Project management - 4 = 14).

**Knowledge, Skills, Abilities, Behaviors, Experiences, and Personality
Factors Within Categories and Competencies (Continued)**

Category: Technical (2)*
Competency: Contract laws, rules, statutes, & policies (21)
1. Adheres to all contract laws, statutes, policies and rules (e.g., federal, State, county, city).
2. Adheres to tax laws that apply to contracting.
3. Follows appropriate routing procedures for contracts.
4. Understands vendors' rules and limitations.
5. Utilizes the correct procedures for rejecting deliverables.
Competency: Technical competence (22)
1. Uses knowledge that is acquired through formal training or extensive experience in contracting.
2. Understands procedures, requirements, regulations, and policies related to contracting.
3. Appropriately applies procedures, requirements, regulations, and policies related to contracting.
Competency: Personnel laws, rules, & regulations (23)
1. Adheres to all personnel laws, rules, and regulations.
2. Adheres to all Departmental policies (e.g., workplace violence, sexual harassment).
Competency: Technical systems (24)
1. Develops a system to track contractor performance.

* The first number in parentheses represents the category ranking; the second number represents the topic area ranking within the category (e.g., Technical - 2, Technical competence - 2 = 22).

Knowledge, Skills, Abilities, Behaviors, Experiences, and Personality Factors Within Categories and Competencies (Continued)

Category: Decision Making & Organizing (3)*
Competency: Evaluating (31)
1. Monitors the progress of contract plans.
2. Develops criteria to measure vendors' responses and deliverables.
3. Creates, reviews, edits, and distributes reports.
4. Participates in all levels of testing of deliverables.
5. Makes sure the user has adequately tested the product/service before acceptance.
6. Evaluates outcomes of contract plans.
7. Evaluates changes to a contract.
Competency: Decisiveness (32)
1. Makes sound and well-informed decisions.
2. Makes timely decisions.
3. Perceives the implications of decisions.
4. Overcomes obstacles.
Competency: Flexibility (33)
1. Is open to change and new information.
2. Adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles.
3. Effectively deals with pressure.
4. Has a backup plan and uses it if necessary.
Competency: Leadership (34)
1. Inspires, motivates, and guides others toward goals.
2. Models high standards of honesty, integrity, trust, openness, and respect for individuals by applying these values daily.
3. Makes vendors accountable.
4. Is organized.
Competency: Internal controls & integrity (35)
1. Contributes to maintaining the integrity of the department.
2. Displays high standards of ethical conduct.
3. Is trustworthy.
4. Is conscientious about the work.
5. Is thorough in attending to details.
Competency: Analyzing (36)
1. Analyzes issues and information.
2. Assesses an acceptable level of risk.
3. Minimizes risk.
4. Distinguishes between relevant and irrelevant information to make logical judgments.
5. Uses sound reasoning to arrive at conclusions.
6. Conducts a needs analysis with the business unit.

* The first number in parentheses represents the category ranking; the second number represents the topic area ranking within the category (e.g., Decision Making & Organizing - 3, Evaluating - 1 = 31).

**Knowledge, Skills, Abilities, Behaviors, Experiences, and Personality
Factors Within Categories and Competencies (Continued)**

Category: Decision Making & Organizing (3)* - Continued
Competency: Problem solving (37)
1. Identifies problems.
2. Determines accuracy of information.
3. Uses sound judgment in evaluating alternatives.
4. Uses sound judgment in making recommendations.
5. Finds alternative solutions to complex problems.
Competency: Self direction (38)
1. Is self-motivated and results-oriented.
2. Seeks feedback from others.
3. Displays a high level of initiative toward completing assignments.
4. Works with minimal supervision.
5. Acts in a timely manner.
Competency: Creative Thinking (39)
1. Develops new insights into situations.

* The first number in parentheses represents the category ranking; the second number represents the topic area ranking within the category (e.g., Decision Making & Organizing - 3, Problem solving - 7 = 37).

Knowledge, Skills, Abilities, Behaviors, Experiences, and Personality Factors Within Categories and Competencies (Continued)

Category: Interpersonal Skills & Communications (4)*
Competency: Influencing & negotiating (41)
1. Persuades others.
2. Negotiates with vendors on behalf of customers.
3. Negotiates to find mutually acceptable solutions.
4. Forms useful alliances.
5. Gains cooperation from others.
6. Relays information between the parties to a contract.
7. Obtains customer support for the contract.
8. Assesses accurately when to stop changing the requirements.
Competency: Oral communication (42)
1. Expresses information effectively to individuals or groups.
2. Makes clear oral presentations.
3. Makes convincing oral presentations.
4. Listens to others.
5. Facilitates an open exchange of ideas.
6. Asks clarifying questions.
7. Translates technical requirements into layperson's terms.
Competency: Collaboration (43)
1. Works with others to achieve goals.
2. Pulls many factions and people together.
3. Facilitates cooperation.
4. Builds commitment.
5. Creates partnerships.
Competency: Reading comprehension (44)
1. Comprehends written material (e.g., rules, regulations, reports, charts, tables).
2. Applies what is learned from written material.
3. Retains facts and figures from readings.
Competency: Interpersonal skills (45)
1. Maintains relationships.
2. Asks for clarification.
3. Is straightforward with others.
4. Is tactful with others.
5. Acts in a civil manner toward others.
6. Is approachable.
7. Obtains respect from contacts.
Competency: Conflict management (46)
1. Manages and resolves conflicts, confrontations, and disagreements in a positive and constructive manner to minimize negative personal impact.
2. Exhibits the ability to disagree without escalating differences.

* The first number in parentheses represents the category ranking; the second number represents the topic area ranking within the category (e.g., Interpersonal Skills & Communications – 4, Collaboration - 3 = 43).

**Knowledge, Skills, Abilities, Behaviors, Experiences, and Personality
Factors Within Categories and Competencies (Continued)**

Category: Interpersonal Skills & Communications (4)* - Continued
Competency: Written communication (47)
1. Expresses information succinctly in writing.
2. Expresses information in writing in an organized manner.
3. Produces written material appropriate for the audience.
4. Proofreads documents.
Competency: Personality factors (48)
1. Openness - Assesses proactive seeking and appreciation of experience for its own sake; toleration for and exploration of the unfamiliar.
2. Conscientiousness - Assesses the individual's degree of organization, persistence, and motivation in goal-directed behavior. Contrasts dependable, fastidious people with those who are lackadaisical and sloppy.

* The first number in parentheses represents the category ranking; the second number represents the topic area ranking within the category (e.g., Interpersonal Skills & Communications - 4, Written communication - 7 = 47).