



STATE OF TENNESSEE
DEPARTMENT OF MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES
ANDREW JACKSON BUILDING, 6TH FLOOR
500 DEADERICK STREET
NASHVILLE, TENNESSEE 37243-0675

BILL HASLAM
GOVERNOR

E. DOUGLAS VARNEY
COMMISSIONER

TO: Robert E. Oglesby, AIA, Commissioner, Department of General Services
Michael F. Perry, Chief Procurement Officer

FROM: E. Douglas Varney, Commissioner

THROUGH: Sandra Braber-Grove, Director, Office of Contracts and Privacy

DATE: February 27, 2015

SUBJECT: Calendar Year 2015 Contract Management Plan

It is understood that each State agency or department, pursuant to Rule 0690-03-01-.27(3), must establish an Annual Contract Management Plan that includes the following:

- a. Information about the specific staff positions and resources that will be assigned to contract management;
- b. A description of the organization of identified staff and resources for the contract management responsibility; and
- c. An explanation of how the contract management staff will review and supervise contractor performance, progress, and contract compliance.

It is also understood that, I, as Commissioner of the subject State agency must approve the Annual Contract Management Plan before February 27, 2015 and, prior to submitting any service contract for approval in 2015, submit a copy of said plan to Charles Key, Business Analyst in the Central Procurement Office.

In compliance with Rule 0690-03-01-.27(3), and in response to your memo dated January 27, 2015, this is the Department of Mental Health and Substance Abuse Services' (TDMHSAS') Contract Management Plan for Calendar Year (CY) 2015, the CY2015 Signature Certification and Authorization, and the CY2015 Designation of Agency Contact for Contracts.

Attachments:

- Organization Structure
- CY2015 Signature Certification and Authorization
- CY2015 Designation of Agency Contact for Contracts

Department of Mental Health and Substance Abuse Services
Contract Management Plan
Calendar Year Beginning January 1, 2015 and ending December 31, 2015

1. CONTRACT DEVELOPMENT AND PROCESSING

TDMHSAS follows State policy in the procurement of services. Contracted services are procured through a Request for Proposal (RFP) or other competitive process as appropriate. If competitive procurement is unavailable, inappropriate, or not in the best interest of the State, the TDMHSAS program staff may request an exception to the competitive procurement process. The exception request is reviewed by the Commissioner for approval and, if appropriate, the request is sent to the Central Procurement Officer seeking an exception to contracting policy.

All contracts established within TDMHSAS are tracked from development through processing. All contracts documents including forms, letters, contracts, grants, and RFPs, will have an approval tracking document attached which shows the review and approval of budget, fiscal, and legal sections.

Requests for Proposal (RFP) documentation and contracts are developed in the Regional Mental Health Institutes (RMHIs) and central office using established State formats. Assistance is available from staff of the Office of Contracts and Privacy within the Department. Completed RFP documentation and contract documentation are reviewed by the Department before they are sent to proposers or vendors. Completed RFP documents must also be approved by the Chief Procurement Officer and the State Comptroller's Office before they are sent to proposers.

The administration of RFPs is a shared task between Central Office staff and staff at the Regional Mental Health Institutes (RMHIs). Input and assistance from the staff at the RMHIs includes but is not limited to development of certain paperwork and the evaluation and scoring of the proposals. Contracts are reviewed and approved by staff of the Office of Contracts and Privacy within the Department before being submitted to the Commissioner for signature. Signed contracts are uploaded into the Edison system to undergo the Edison Approval Process which consists of two (2) department reviews and approvals (Budget and the Director of Contracts); Central Procurement Office review and approval; Department of Finance and Administration Budget review and approval; Comptroller's Office review and approval; and a final approval from the Central Procurement Office. Upon notification that the contract has been fully approved, using the Edison system, the contract is dispatched to the vendor and executed. Additionally, staff of the Office of Contracts and Privacy archive a copy of the contract on the department's shared drive and notify appropriate department personnel (program, budget, and fiscal) that the contract has been fully approved, dispatched, and executed.

2. CONTRACTOR PERFORMANCE AND COMPLIANCE

Regional Mental Health Institute Contracts

Through planning, budgeting, and reporting systems, the respective Chief Officer or Executive Director establishes management goals and objectives for each contract. On a routine basis, the actual experience will be compared with expectations. Variances will be investigated, and in the event problems are discovered, an appropriate corrective action will be initiated.

Community Services Contracts

In compliance with the State's subrecipient monitoring policy, 2013-007, the Department submitted to the Grants Program Manager in the Central Procurement Office of the Department of General Services, a Subrecipient Contract Monitoring Plan for Fiscal Year 2015. The Plan received approval on October 9, 2014. The on-site monitoring function will be conducted according to the Plan.

The fiscal monitoring function, previously assigned to the Department's Fiscal Services Section, is now conducted by the Department's Office of Subrecipient Monitoring and Audit. Site visits to the Grantee agencies will ensure:

- a. Budget data is accurate;
- b. Costs are appropriately categorized;
- c. Costs are allowable;
- d. There are no conflicts of interest;
- e. Effective control over and accountability for all funds, property, and other assets;
- f. Accounting records supported by source documentation;
- g. Program income is properly reported;
- h. Deviations from budget are reported and approvals for revision requested in writing;
- i. Financial and program reports are made by the Grantee in accordance with the provisions of the Grant Award; and
- j. Annual Expenditure Reports will be reconciled to Grantee's books and records.

Through on-site visits, program monitors from the respective Program Divisions in Central Office will ensure contractual deliverables are accomplished by the Grantee agency. Deliverables include:

- a. Staffing adequacy;
- b. Program development and operation;
- c. Maintenance of service delivery records;
- d. Reporting to Grantor;
- e. Access to services; and
- f. Assessment of service quality.

3. STAFF POSITIONS ASSIGNED TO CONTRACT MANAGEMENT

Central Office

Office of Contracts and Privacy, Division of General Counsel

Director/Assistant General Counsel -- Sandra Braber-Grove
 Contract Specialist (ASA4) -- Karen Colyer [until April 30, 2015]; new TBD
 Contract Specialist (ASA4) -- Dialette Hayes

Budget Section

Budget Director -- Gene Wood
 Budget Analyst 2 -- Patricia DeBortoli

Division of Fiscal Services

Controller -- Michael Walden
 Assistant Fiscal Director -- Tom Criswell

Office of Subrecipient Monitoring and Audit, Division of Administrative Services

Director -- Jackie Yokley

Regional Mental Health Institutes (RMHIs)

Moccasin Bend Mental Health Institute (MBMHI)

Chief Officer -- William Ventress
Assistant Superintendent for Administrative Services -- Charles Dickens
Fiscal Director - Sylvia "Suzy" Harris

Middle Tennessee Mental Health Institute (MTMHI)

Chief Officer -- Robert Micinski
Assistant Superintendent for Administrative Services -- Mark Stanley
Fiscal Director -- Marsha L. Coopriker

Western Mental Health Institute (WMHI)

Chief Officer -- Roger Pursley
Assistant Superintendent for Administrative Services -- Ron Bruce
Fiscal Director -- Donny Hornsby

Memphis Mental Health Institute (MMHI)

Chief Officer -- Lisa Daniel
Assistant Superintendent for Administrative Services -- Ron Bruce
Fiscal Director -- Donny Hornsby

4. ORGANIZATION STRUCTURE

See Attachment A.

5. INTERNAL CONTROLS

Control Environment

"The control environment sets the tone of an organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control, providing discipline and structure." (Statement on Auditing Standards 78). The Department will function in an environment where ethical values and high standards of integrity are maintained. The Department will have a constructive attitude toward establishing contractual relationships and will emphasize the importance of adhering to established procurement policies and procedures. The organizational structure described below will help us ensure these standards are met.

Organizational Structure

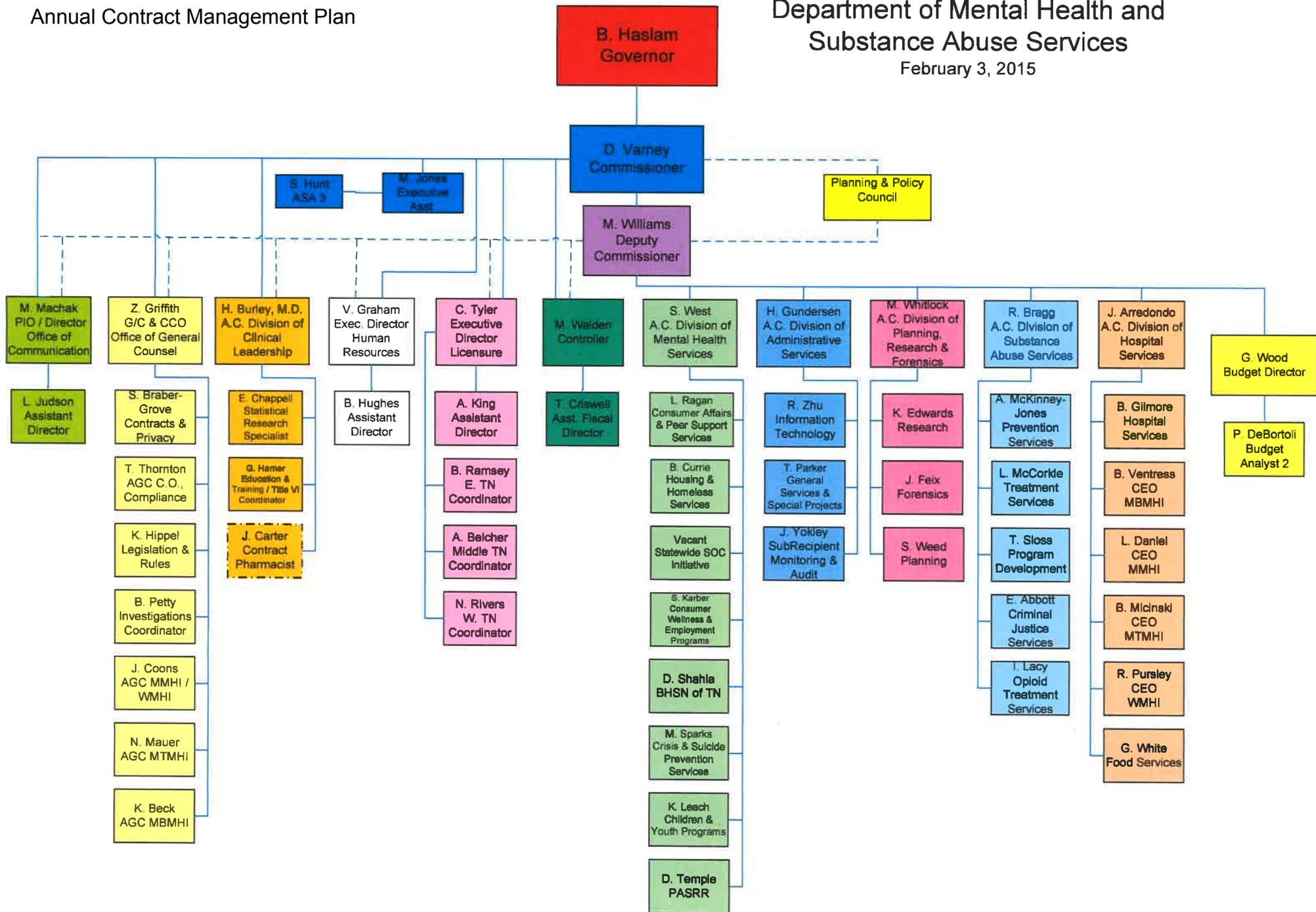
The Chief Officer of each respective RMHI and each Central Office Assistant Commissioner and designated Program Director(s) are delegated the authority to initiate contractual relationships for the goods and services deemed appropriate for the successful and effective operation of the program(s). The need for contracted services is identified, documented, and justified. Vendors (Contractors, Grantees) are identified through the appropriate procurement process.

The Department will assign authority and responsibility in a manner that ensures everyone fully understands the assigned duties and reporting relationships within the Department. The Department will:

- a. Utilize formal performance standards and people with the skill sets relative to the nature and complexity of the operation;

- b. Maintain planning, budgeting, and reporting systems that set forth goals and objectives;
- c. Use methods that compare actual to planned performance levels;
- d. Continuously seek improvements in fiscal and program performance through routinely investigating variances from expectations;
- e. Ensure duties are divided among different employees to reduce risk of error or inappropriate actions;
- f. Ensure transactions are authorized by an employee with delegated approval authority when the transactions are consistent with policy and funds are available; and
- g. Ensure employees are aware of the proper channels for reporting suspected improprieties.

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Signature Certification and Authorization

for purposes of professional service contracting documents

Calendar Year of Certification and Authorization(s):

2015

This Signature Certification and Authorization supersedes all prior documents of this purpose for the agency identified below and shall be effective immediately and remain effective until superseded by a new document of this purpose properly filed, except it shall NOT be effective beyond the calendar year specified above.

I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

Printed Name and Title	Sample Signature with Initials <i>sample of agency head's name as it will be signed and initialed by the <u>authorized individual</u> named</i>
Marie Williams, Deputy Commissioner	

add rows to the schedule as necessary

Further, as the chief executive of the agency identified below, I will sign all professional service contract documents as well as associated procurement documents and communications in the following manner:

Agency Chief Executive Signature and Date



Printed Name, Title and Agency

**E. Douglas Varney, Commissioner
Mental Health and Substance Abuse Services**

Service Contracts Coordinator Designation (Designation of Agency Contact for Contracts)

Calendar Year of Designation:	2015
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This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated Agency Contact for Contracts (Service Contracts Coordinator) serves as an agency's internal specialist with responsibility for:

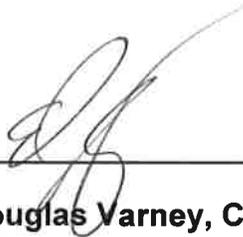
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that communications on behalf of my agency with the Central Procurement Office staff should be limited to those from the designated Agency Contact for Contracts (Service Contracts Coordinator).

As Commissioner of the agency identified below, I hereby designate the following person as the Agency's Contact for Contracts (Service Contracts Coordinator).

Name:	Sandra Braber-Grove, Assistant General Counsel and Director, Office of Contracts and Privacy
Address:	Andrew Jackson Building, 5th Floor; 500 Deaderick Street; Nashville, TN 37243
Telephone:	615-532-6520
E-Mail:	sandra.braber-grove@tn.gov

Agency Chief Executive
Signature and Date



Printed Name and Title **E. Douglas Varney, Commissioner**

Agency Name **Mental Health and Substance Abuse Services**



STATE OF TENNESSEE
DEPARTMENT OF MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES
ANDREW JACKSON BUILDING, 6TH FLOOR
500 DEADERICK STREET
NASHVILLE, TENNESSEE 37243-0675

BILL HASLAM
GOVERNOR

E. DOUGLAS VARNEY
COMMISSIONER

TO: Robert E. Oglesby, AIA, Commissioner, Department of General Services
Michael F. Perry, Chief Procurement Officer

FROM: E. Douglas Varney, Commissioner 

DATE: January 8, 2014

SUBJECT: Calendar Year 2014 Contract Management Plan

Pursuant to Rule 602-03-08-.04(2), it is understood that each State department must establish an Annual Contract Management Plan that includes the following:

- a. Information about the specific staff positions and resources that will be assigned to contract management;
- b. A description of the organization of identified staff and resources for the contract management responsibility; and
- c. An explanation of how the contract management staff will review and supervise contractor performance, progress, and contract compliance.

It is also understood that, I, as Commissioner of the subject State agency must approve the Annual Contract Management Plan, and prior to submitting any service contract for approval in 2014, submit a copy of said plan to Kaci Stewart in the Central Procurement Office.

In compliance with Rule 602-03-08-.04(2), and in response to your memo dated October 28, 2013, this is the Department of Mental Health and Substance Abuse Services' (TDMHSAS') Contract Management Plan for Calendar Year (CY) 2014, the CY2014 Signature Certification and Authorization, and the CY2014 Designation of Agency Contact for Contracts.

Attachments:

- Organization Structure
- CY2014 Signature Certification and Authorization
- CY2014 Designation of Agency Contact for Contracts

**Department of Mental Health and Substance Abuse Services
Contract Management Plan
Calendar Year Beginning January 1, 2014 and ending December 31, 2014**

1. CONTRACT DEVELOPMENT AND PROCESSING

TDMHSAS follows State policy in the procurement of services. Contracted services are procured through a Request for Proposal (RFP) or other competitive process as appropriate. If competitive procurement is unavailable, inappropriate, or not in the best interest of the State, the TDMHSAS program staff may request an exception to the competitive procurement process. The exception request is reviewed by the Commissioner for approval and, if appropriate, the request is sent to the Central Procurement Officer seeking an exception to contracting policy.

All contracts established within TDMHSAS are tracked from development through processing. All contracts documents including forms, letters, contracts, grants, and RFPs, will have an approval tracking document attached which shows the review and approval of budget, fiscal, and legal sections.

Requests for Proposal (RFP) documentation and contracts are developed in the Regional Mental Health Institutes (RMHIs) and central office using established State formats. Assistance is available from staff of the Office of Contracts and Privacy within the Department. Completed RFP documentation and contract documentation are reviewed by the Department before they are sent to proposers or vendors. Completed RFP documents must also be approved by the Chief Procurement Officer and the State Comptroller's Office before they are sent to proposers.

Regional Mental Health Institutes (RMHIs) and the central office administer RFPs, including the rating and awarding of the contract. RMHIs secure the signature of the vendor (contractor) before the contract is forwarded to the Contracts Section for review and approval. Contracts are reviewed and approved by staff of the Office of Contracts and Privacy within the Department before being submitted to the Commissioner for signature. Signed contracts are uploaded into the Edison system to undergo the Edison Approval Process which consists of two (2) department reviews and approvals (Budget and the Director of Contracts); Central Procurement Office review and approval; Department of Finance and Administration Budget review and approval; Comptroller's Office review and approval; and a final approval from the Central Procurement Office. Upon notification that the contract has been fully approved, using the Edison system, the contract is dispatched to the vendor and executed. Additionally, staff of the Contract Section archive a copy of the contract on the department's shared drive and notifies appropriate department personnel (program, budget, and fiscal) that the contract has been fully approved, dispatched, and executed.

2. CONTRACTOR PERFORMANCE AND COMPLIANCE

Regional Mental Health Institute Contracts

Through planning, budgeting, and reporting systems, the respective Chief Officer or Executive Director establishes management goals and objectives for each contract. On a routine basis, the actual experience will be compared with expectations. Variances will be investigated, and in the event problems are discovered, an appropriate corrective action will be initiated.

Community Services Contracts

In compliance with the State's Policy 22, the Department submitted to the Division of Resource Development and Support, Department of Finance and Administration, a Subrecipient Contract Monitoring Plan for the period October 1, 2013 through September 30, 2014. The Plan received approval on October 1, 2013. The on-site monitoring function will be conducted according to the Plan.

The fiscal monitoring function is assigned to the Department's Fiscal Services Section. Site visits to the Grantee agencies will ensure:

- a. Budget data is accurate;
- b. Costs are appropriately categorized;
- c. Costs are allowable;
- d. There are no conflicts of interest;
- e. Effective control over and accountability for all funds, property, and other assets;
- f. Accounting records supported by source documentation;
- g. Program income is properly reported;
- h. Deviations from budget are reported and approvals for revision requested in writing;
- i. Financial and program reports are made by the Grantee in accordance with the provisions of the Grant Award; and
- j. Annual Expenditure Reports will be reconciled to Grantee's books and records.

Through onsite visits, program monitors from the respective Program Divisions in central office will ensure contractual deliverables are accomplished by the Grantee agency. Deliverables include:

- a. Staffing adequacy;
- b. Program development and operation;
- c. Maintenance of service delivery records;
- d. Reporting to Grantor;
- e. Access to services; and
- f. Assessment of service quality.

3. STAFF POSITIONS ASSIGNED TO CONTRACT MANAGEMENT

Central Office

Office of Contracts and Privacy

Director/Assistant General Counsel -- Sandra Braber-Grove
Contract Specialist (ASA4) -- Karen Colyer
Contract Specialist (ASA4) -- Dialette Hayes

Budget Section

Budget Analysis Director 1 -- Gene Wood
Budget Analyst 2 -- Patricia DeBortoli

Fiscal Services

Fiscal Director 3 -- Robert Martin
Assistant Fiscal Director -- Tom Criswell
Accounting Manager -- Mike Drewry

Regional Mental Health Institutes

Moccasin Bend Mental Health Institute

Chief Officer -- William Ventress

Assistant Superintendent for Administrative Services -- Charles Dickens

Fiscal Director/RFP Coordinator - Sylvia "Suzy" Harris

Middle Tennessee Mental Health Institute

Chief Officer -- Robert Micinski

Assistant Superintendent for Administrative Services -- Mark Stanley

Fiscal Director/RFP Coordinator -- Marsha L. Cooprider

Western Mental Health Institute

Chief Officer -- Roger Pursley

Assistant Superintendent for Administrative Services -- Ron Bruce

Fiscal Director/RFP Coordinator -- Donny Hornsby

Memphis Mental Health Institute

Chief Officer -- Lisa Daniel

Assistant Superintendent for Administrative Services -- Ron Bruce

Fiscal Director/RFP Coordinator -- Donny Hornsby

4. ORGANIZATION STRUCTURE

See Attachment A.

5. INTERNAL CONTROLS

Control Environment - "The control environment sets the tone of an organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control, providing discipline and structure." (Statement on Auditing Standards 78). The Department will function in an environment where ethical values and high standards of integrity are maintained. The Department will have a constructive attitude toward establishing contractual relationships and will emphasize the importance of adhering to established procurement policies and procedures. The organizational structure described below will help us ensure these standards are met.

Organizational Structure

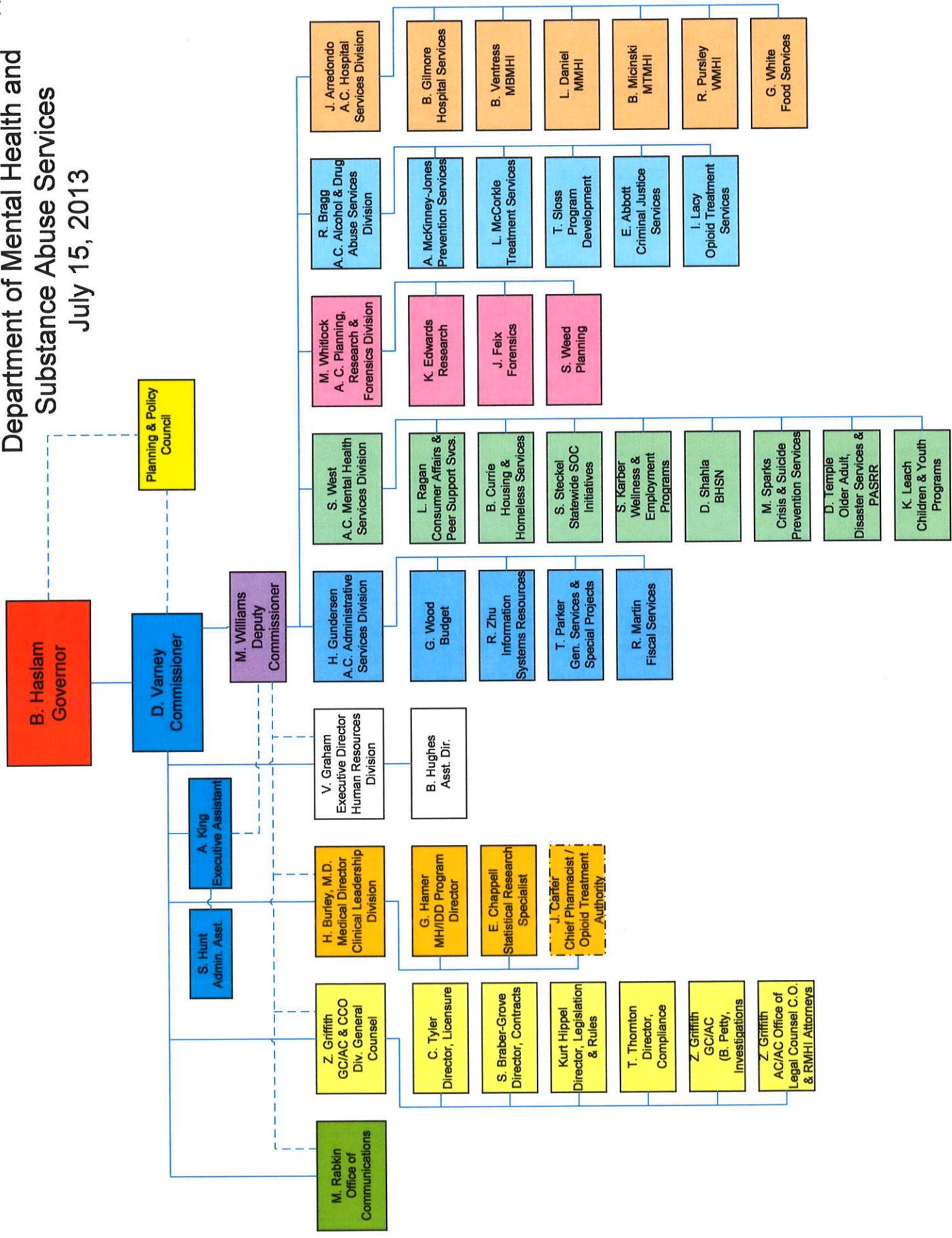
The Chief Officer of each respective RMHI and each central office Assistant Commissioner and designated Program Director(s) are delegated the authority to initiate contractual relationships for the goods and services deemed appropriate for the successful and effective operation of the program(s). The need for contracted services is identified, documented, and justified. Vendors (Contractors, Grantees) are identified through the appropriate procurement process.

The Department will assign authority and responsibility in a manner that ensures everyone fully understands the assigned duties and reporting relationships within the Department. The Department will:

- a. Utilize formal performance standards and people with the skill sets relative to the nature and complexity of the operation;
- b. Maintain planning, budgeting, and reporting systems that set forth goals and objectives;
- c. Use methods that compare actual to planned performance levels;
- d. Continuously seek improvements in fiscal and program performance through routinely investigating variances from expectations;

- e. Ensure duties are divided among different employees to reduce risk of error or inappropriate actions;
- f. Ensure transactions are authorized by an employee with delegated approval authority when the transactions are consistent with policy and funds are available; and
- g. Ensure employees are aware of the proper channels for reporting suspected improprieties.

Department of Mental Health and Substance Abuse Services July 15, 2013



Signature Certification & Authorization

for purposes of professional service contracting documents

Calendar Year of Certification & Authorization(s):

2014

This Signature Certification & Authorization supersedes all prior documents of this purpose for the agency identified below and shall be effective immediately and remain effective until superseded by a new document of this purpose properly filed, except it shall NOT be effective beyond the calendar year specified above.

I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

Printed Name & Title	Sample Signature with Initials <i>sample of agency head's name as it will be signed & initialed by the <u>authorized individual</u> named</i>
Marie Williams, Deputy Commissioner	

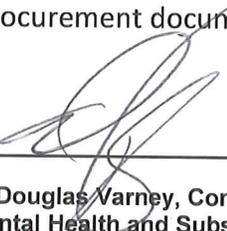
add rows to the schedule as necessary

Further, as the chief executive of the agency identified below, I will sign all professional service contract documents as well as associated procurement documents and communications in the following manner:

Agency Chief Executive Signature & Date

11/04/2013

Printed Name, Title & Agency


E. Douglas Varney, Commissioner
Mental Health and Substance Abuse Services

Designation of Agency Contact for Contracts

Calendar Year of Designation:	2014
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This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated Agency Contact for Contracts serves as an agency's internal specialist with responsibility for:

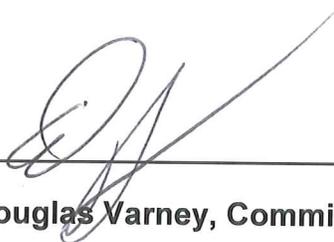
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that communications on behalf of my agency with the Central Procurement Office staff should be limited to those from the designated Agency Contact for Contracts.

As Commissioner of the agency identified below, I hereby designate the following person as the agency's Contact for Contracts.

Name:	Sandra Braber-Grove, Assistant General Counsel and Director, Office of Contracts and Privacy
Address:	Andrew Jackson Building, 5th Floor; 500 Deaderick Street; Nashville, TN 37243
Telephone:	615-532-6520
E-Mail:	sandra.braber-grove@tn.gov

Agency Chief Executive
Signature & Date



11/04/2013

Printed Name & Title **E. Douglas Varney, Commissioner**

Agency Name **Mental Health and Substance Abuse Services**

Designation of Agency Contact for Contracts

Date of Designation:	October 1, 2012
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This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated Agency Contact for Contracts serves as an agency's internal specialist with responsibility for:

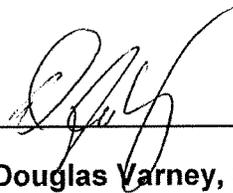
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that communications on behalf of my agency with the Central Procurement Office staff should be limited to those from the designated Agency Contact for Contracts.

As Commissioner of the agency identified below, I hereby designate the following person as the agency's Contact for Contracts.

Name:	Sandra Braber-Grove, Assistant General Counsel and Director, Office of Contracts and Privacy Compliance
Address:	Andrew Johnson Tower, 710 James Robertson Parkway
Telephone:	615-532-6520
E-Mail:	sandra.braber-grove@tn.gov

Agency Commissioner
Signature & Date



Oct. 1, 2012

Printed Name & Title

E. Douglas Varney, Commissioner

Agency Name

Department of Mental Health and Substance Abuse
Services

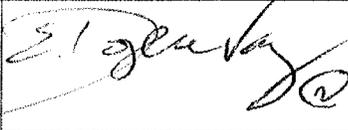
Signature Certification & Authorization

for purposes of professional service contracting documents

Calendar Year of Certification & Authorization(s):	2012
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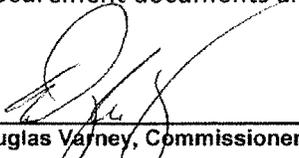
This Signature Certification & Authorization supersedes all prior documents of this purpose for the agency identified below and shall be effective immediately and remain effective until superseded by a new document of this purpose properly filed, except it shall NOT be effective beyond the calendar year specified above.

I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

Printed Name & Title	Sample Signature with Initials <i>sample of agency head's name as it will be signed & initialed by the authorized individual named</i>
Marie Williams, Deputy Commissioner	

add rows to the schedule as necessary

Further, as the chief executive of the agency identified below, I will sign all professional service contract documents as well as associated procurement documents and communications in the following manner:

Agency Chief Executive Signature & Date 

Printed Name, Title & Agency E. Douglas Varney, Commissioner
Department of Mental Health

Service Contracts Coordinator Designation

Calendar Year of Designation:	2012
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This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated Service Contracts Coordinator serves as an agency's internal specialist with responsibility for:

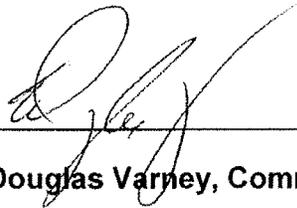
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that because limited staffing in the central professional service procurement oversight function, communications on behalf of my agency with Office of Contracts Review staff should be limited to those from the designated Service Contracts Coordinator.

As chief executive of the agency identified below, I hereby designate the following person as the agency's Service Contracts Coordinator.

Name:	Linda M. Parker
Address:	12 th Floor, Andrew Johnson Tower
Telephone:	615-532-6741
E-Mail:	Linda.parker@tn.gov

Agency Chief Executive
Signature & Date



Printed Name & Title **E. Douglas Varney, Commissioner**

Agency Name **Department of Mental Health**



STATE OF TENNESSEE
DEPARTMENT OF MENTAL HEALTH
THIRD FLOOR, CORDELL HULL STATE OFFICE BUILDING
425 FIFTH AVENUE, NORTH
NASHVILLE, TENNESSEE 37243

BILL HASLAM
GOVERNOR

E. DOUGLAS VARNEY
COMMISSIONER

December 19, 2011

Mark Emkes, Commissioner
Department of Finance and Administration
State Capitol
Nashville, Tennessee 37243

Dear Commissioner Emkes:

In compliance with the Department of Finance and Administration Rules, Chapter 0620-3-8, transmitted herewith is the Contract Management Plan for the Department of Mental Health for the calendar year beginning January 1, 2012.

Should you have questions or require additional information, please advise.

Sincerely,

A handwritten signature in black ink, appearing to read "E. Douglas Varney", written over a light blue horizontal line.

E. Douglas Varney
Commissioner

**Department of Mental Health
Contract Management Plan
For the Calendar year beginning January 1, 2012**

Pursuant to TCA 12-4-109 (d) and Department of Finance and Administration Rules, Chapter 0620-3-8, the Department of Mental Health herewith establishes a Contract Management Plan for the calendar year beginning January 1, 2012.

The purpose of this Contract Management Plan is to:

1. Identify the fundamental internal controls necessary to ensure the appropriate, effective, and efficient use of funds;
2. Describe the process for developing and processing contracts;
3. Explain the process to ensure contractor performance and compliance.

1. CONTRACT DEVELOPMENT AND PROCESSING

TDMH follows State policy in the procurement of services. Contracted services are procured through a Request for Proposal (RFP) or other competitive process as appropriate. If competitive procurement is unavailable, inappropriate, or not in the best interest of the State, the TDMH program staff may request an exception to the competitive procurement process. The exception request is reviewed by the Commissioner for approval and, if appropriate, the request will be sent to the F&A Office of Contract Review seeking an exception to contracting policy.

All contracts established within TDMH are tracked from development through processing. All contracting documents: forms, letters, contracts, grants and RFPs, will have an approval tracking document attached which shows the review and approval of budget, fiscal, and legal sections.

Requests For Proposal (RFP) and contracts are developed in the RMHIs and central office using established State formats. Assistance is available from the Department's Contract Section and the Office of Legal Counsel within the Department. Completed RFP and contract documents are reviewed by the Department before they are sent to proposers or vendors. Completed RFP documents must also be approved by the F&A Office of Contract Review and the State Comptroller's Office before they are sent to proposers.

Regional Mental Health Institutes (RMHI) and the Central Office administer RFPs including rating and awarding of the contract. RMHIs secure the signature of the vendor before the contract is forwarded to the Contracts Section for review and approval. Contracts are reviewed and approved by the Contracts Section of the Policy and Legislation Division and the Office of Legal Counsel within the Department before being submitted to the Commissioner's Office for signature.

Signed contracts are forwarded to F&A Office of Contract Review for approval by F&A, Department of Personnel, and the State Comptroller, and final processing by the F&A Division of Accounts. Upon receipt of the fully executed contract from F&A Division of Accounts, TDMH archives one copy and distributes other copies to appropriate staff of the Department.

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Chief Officer- Lisa Daniel

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RFP Coordinator – Yolanda Clark

4. ORGANIZATION STRUCTURE

See Attachment A.

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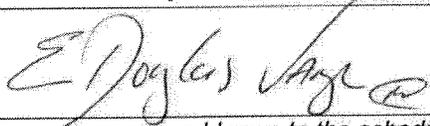
Signature Certification & Authorization

for purposes of professional service contracting documents

Calendar Year of Certification Authorization(s):	2011
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This Signature Certification & Authorization supersedes all prior documents of this purpose for the agency identified below and shall be effective immediately and remain effective until superseded by a new document of this purpose properly filed, except it shall NOT be effective beyond the calendar year specified above.

I hereby declare the following individuals to be authorized signatories permitted to sign ALL professional service contracts as well as associated procurement documents and communications on my behalf EXCEPT requests for non-competitive contracts or amendments which I understand that I must sign personally.

Printed Name & Title	Sample Signature with Initials <i>sample of agency head's name as it will be signed & initialed by the <u>authorized individual</u> named</i>
Marie Williams Deputy Commissioner	

add rows to the schedule as necessary

Further, as the chief executive of the agency identified below, I will sign all professional service contract documents as well as associated procurement documents and communications in the following manner:

**Agency Chief Executive
Signature & Date**



9-23-2011

Printed Name & Title E. Douglas Varney, Commissioner

Agency Name Department of Mental Health

RECEIVED
By OCR at 12:47 pm, Sep 27, 2011

Signature Certification & Authorization

for purposes of professional service contracting documents

Calendar Year of Certification & Authorization(s):

2011

VOID

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N/A	N/A

add rows to the schedule as necessary

Further, as the chief executive of the agency identified below, I will sign all professional service contract documents as well as associated procurement documents and communications in the following manner:

Agency Chief Executive
Signature & Date



Printed Name & Title **E. Douglas Varney, Commissioner**

Agency Name **Tennessee Department of Mental Health**

Service Contracts Coordinator Designation

Calendar Year of Designation:	2011
-------------------------------	------

This designation (superseding all prior documents of this purpose) shall be effective immediately and remain so until superseded by a new designation properly filed, except it shall NOT be effective beyond the calendar year specified above.

I understand the designated Service Contracts Coordinator serves as an agency's internal specialist with responsibility for:

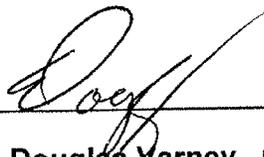
- all service procurements and contracting,
- providing service contracting information and training to the agency's staff as necessary, and
- serving as the agency's primary RFP Coordinator or resource for other designated RFP Coordinators.

I further understand that because limited staffing in the central professional service procurement oversight function, communications on behalf of my agency with Office of Contracts Review staff should be limited to those from the designated Service Contracts Coordinator.

As chief executive of the agency identified below, I hereby designate the following person as the agency's Service Contracts Coordinator.

Name:	Linda M. Parker
Address:	3 rd Floor, Cordell Hull Building
Telephone:	615-532-6741
E-Mail:	Linda.Parker@tn.gov

Agency Chief Executive
Signature & Date



Printed Name & Title **E.. Douglas Varney, Commissioner**

Agency Name **Department of Mental Health**



**STATE OF TENNESSEE
DEPARTMENT OF MENTAL HEALTH
COMMISSIONER'S OFFICE
CORDELL HULL BUILDING, 3RD FLOOR
425 FIFTH AVENUE, NORTH
NASHVILLE, TENNESSEE 37243-0675**

**BILL HASLAM
GOVERNOR**

**E. DOUGLAS VARNEY
COMMISSIONER**

January 24, 2011

Mark Emkes, Commissioner
Department of Finance and Administration
State Capitol
Nashville, Tennessee 37243

Dear Commissioner Emkes:

In compliance with the Department of Finance and Administration Rules, Chapter 0620-3-8, transmitted herewith is the Contract Management Plan for the Department of Mental Health for the calendar year beginning January 1, 2011.

Should you have questions or require additional information, please advise.

Sincerely,

A handwritten signature in black ink, appearing to read "Doug Varney", with a long, sweeping flourish extending to the right.

E. Douglas Varney
Commissioner

**Department of Mental Health
Contract Management Plan
For the Calendar year beginning January 1, 2011**

Pursuant to TCA 12-4-109 (d) and Department of Finance and Administration Rules, Chapter 0620-3-8, the Department of Mental Health herewith establishes a Contract Management Plan for the calendar year beginning January 1, 2011.

The purpose of this Contract Management Plan is to:

1. Identify the fundamental internal controls necessary to ensure the appropriate, effective, and efficient use of funds;
2. Describe the process for developing and processing contracts;
3. Explain the process to ensure contractor performance and compliance.

1. CONTRACT DEVELOPMENT AND PROCESSING

TDMH follows State policy in the procurement of services. Contracted services are procured through a Request for Proposal or other competitive process as appropriate. If competitive procurement is unavailable, inappropriate, or not in the best interest of the State, the TDMH program staff may request an exception to the competitive procurement process. The exception request is reviewed by the Commissioner for approval and, if appropriate, the request will be sent to the F&A Office of Contract Review seeking an exception to contracting policy.

All contracts established within TDMH are tracked from development through processing. All contracting documents: forms, letters, contracts, grants and RFPs, will have an approval tracking document attached which shows the review and approval of budget, fiscal, and legal sections.

Requests For Proposal (RFP) and contracts are developed in the RMHIs and central office using established State formats. Assistance is available from the Department's Contract Section and the Office of Legal Counsel within the Department. Completed RFP and contract documents are reviewed by the Department before they are sent to proposers or vendors. Completed RFP documents must also be approved by the F&A Office of Contract Review and the State Comptroller's Office before they are sent to proposers.

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Community Services Contracts

In compliance with **Finance and Administration Policy 22**, the Department submitted to the Division of Resource Development and Support, Department of Finance and Administration, a **Subrecipient Contract Monitoring Plan** for the period October 1, 2010 through September 30, 2011. The Plan received approval on November 17, 2010. The on-site monitoring function will be conducted according to the plan.

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See Attachment A.

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Calendar Year of Certification & Authorization(s):

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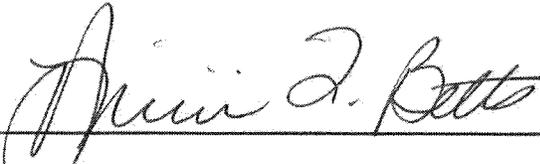
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Bob Grunow Deputy Commissioner	
Mack Rhea Assistant Commissioner Admin. Svcs.	
F. Tirrill Parker Administrative Services Manager	

add rows to the schedule as necessary

Further, as the chief executive of the agency identified below, I will sign all professional service contract documents as well as associated procurement documents and communications in the following manner:

Agency Chief Executive
Signature & Date



Printed Name & Title

Virginia T. Betts, Commissioner

Agency Name

TN Dept. of Mental Health & Developmental Disabilities

Service Contracts Coordinator Designation

Calendar Year of Designation:	2011
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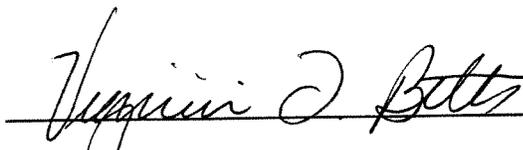
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Telephone:	615-532-6741
E-Mail:	Linda.Parker@TN.Gov

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Printed Name & Title **Virginia T. Betts, Commissioner**

Agency Name **TN Department of Mental Health and Developmental
Disabilities**

Department of Mental Health and Developmental Disabilities
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For the Calendar year beginning January 1, 2011

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Fiscal Director 3 – Robert Martin

Accounting Manager - Vacant

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SIGNATURE CERTIFICATION & AUTHORIZATION

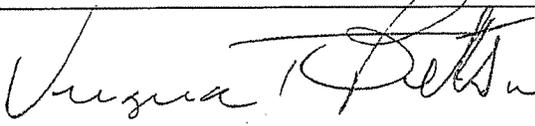
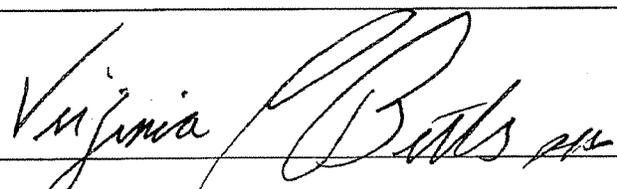
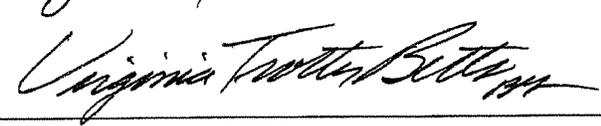
CALENDAR YEAR OF CERTIFICATION/AUTHORIZATION:

2010

EXPIRED
NOTICE TO COMMISSIONER OF FINANCE & ADMINISTRATION:

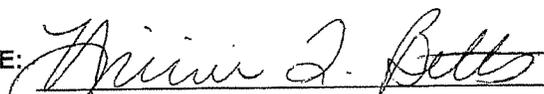
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NAME AND TITLE	SAMPLE SIGNATURE WITH INITIALS (sample of agency head's name as it will be signed & initialed by the <u>authorized individual</u> named)
Mack Rhea Assistant Commissioner Administrative Services	
F. Tirrill Parker, Jr. Administrative Services Manager	
Bob Grunow Deputy Commissioner	

I WILL SIGN ALL SERVICE CONTRACT DOCUMENTS AND RELATED COMMUNICATIONS IN THE FOLLOWING MANNER:

AGENCY HEAD SIGNATURE & DATE:

 12/1/2009

PRINTED NAME & TITLE:

Virginia Trotter Betts, Commissioner

DEPARTMENT OR AGENCY NAME:

Department of Mental Health and Developmental Disabilities

**CALENDAR YEAR 2010
SERVICE CONTRACT COORDINATOR
& RFP COORDINATOR DESIGNATION**

STATE AGENCY: Department of Mental Health and Developmental Disabilities

I HEREBY DESIGNATE THE FOLLOWING PERSON AS SERVICE CONTRACT COORDINATOR.

NAME: Linda M. Parker

ADDRESS: 425 Fifth Avenue, North, Cordell Hull Bldg., Third Floor

TELEPHONE: 615-532-6741

EMAIL: Linda.Parker@state.tn.us

I FURTHER DESIGNATE THE FOLLOWING PERSON(S) AS ADDITIONAL RFP COORDINATOR(S). *

NAME: Linda M. Parker

TELEPHONE: 615-532-6741

EMAIL: Linda.Parker@state.tn.us

NAME: Diane Matthews

TELEPHONE: 865-583-8908

EMAIL: Diane.Matthews@state.tn.us

NAME: Mark Stanley

TELEPHONE: 615-972-7443

EMAIL: Mark.Stanley@state.tn.us

NAME: Richard B. Taylor

TELEPHONE: 731-228-2044

EMAIL: Richard.B.Taylor@state.tn.us

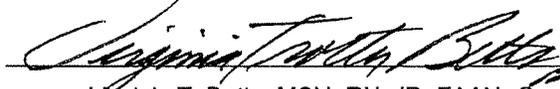
NAME: Robbie Easterly

TELEPHONE: 423-785-3308

EMAIL: Robbie.Easterly@state.tn.us

NAME:	Linda White
TELEPHONE:	901-577-1821
EMAIL:	Linda.White@state.tn.us

AGENCY HEAD SIGNATURE & DATE:



PRINTED AGENCY HEAD NAME & TITLE:

Virginia T. Betts, MSN, RN, JD, FAAN, Commissioner

** NOTE: The experience, influence, and consistency of RFP Coordinators are critical to the successful completion of an RFP process. Accordingly, agency heads are urged to build and rely on internal expertise and experience by designating no more than three (3) RFP Coordinators.*



STATE OF TENNESSEE
DEPARTMENT OF MENTAL HEALTH AND DEVELOPMENTAL DISABILITIES
CORDELL HULL BUILDING, THIRD FLOOR
425 FIFTH AVENUE, NORTH
NASHVILLE, TENNESSEE 37243

PHIL BREDESEN
GOVERNOR

VIRGINIA TROTTER BETTS, MSN, JD, RN, FAAN
COMMISSIONER

December 7, 2009

M.D. Goetz, Jr., Commissioner
Department of Finance and Administration
State Capitol
Nashville, Tennessee 37243

Dear Commissioner Goetz:

In compliance with the Department of Finance and Administration Rules, Chapter 0620-3-8, transmitted herewith is the Contract Management Plan for the Department of Mental Health and Developmental Disabilities for the calendar year beginning January 1, 2010.

Should you have questions or require additional information, please advise.

Sincerely,

A handwritten signature in cursive script that reads "Virginia Trotter Betts".

Virginia Trotter Betts, MSN, JD, RN, FAAN
Commissioner

VTB:cgb

**Department of Mental Health and Developmental Disabilities
Contract Management Plan
For the Calendar year beginning January 1, 2010**

Pursuant to TCA 12-4-109 (d) and Department of Finance and Administration Rules, Chapter 0620-3-8, the Department of Mental Health and Developmental Disabilities herewith establishes a Contract Management Plan for the calendar year beginning January 1, 2009.

The purpose of this Contract Management Plan is to:

1. Identify the fundamental internal controls necessary to ensure the appropriate, effective, and efficient use of funds;
2. Describe the process for developing and processing contracts;
3. Explain the process to ensure contractor performance and compliance.

1. CONTRACT DEVELOPMENT AND PROCESSING

DMHDD follows State policy in the procurement of services. Contracted services are procured through a Request for Proposal or other competitive process as appropriate. If competitive procurement is unavailable, inappropriate, or not in the best interest of the State, the TDMHDD program staff may request an exception to the competitive procurement process. The exception request is reviewed by the Commissioner for approval and, if appropriate, the request will be sent to the F&A Office of Contract Review seeking an exception to contracting policy.

All contracts established within DMHDD are tracked from development through processing. All contracting documents: forms, letters, contracts, grants and RFPs, will have an approval tracking document attached which shows the review and approval of budget, fiscal, and legal sections.

Requests For Proposal (RFP) and contracts are developed in the RMHIs and central office using established State formats. Assistance is available from the Department's Contract Section and the Office of Legal Counsel within the Department. Completed RFP and contract documents are reviewed by the Department before they are sent to proposers or vendors. Completed RFP documents must also be approved by the F&A Office of Contract Review and the State Comptroller's Office before they are sent to proposers.

Regional Mental Health Institutes (RMHI) and the Central Office administer RFPs including rating and awarding of the contract. RMHIs secure signature of the vendor before the contract is forwarded to the Contracts Section for review and approval. Contracts are reviewed and approved by the Contracts Section of the Policy and Legislation Division and the Office of Legal Counsel within the Department before being submitted to the Commissioner's Office for signature.

Signed contracts are forwarded to F&A Office of Contract Review for approval by F&A, Department of Personnel, and the State Comptroller, and final processing by the F&A Division of Accounts. Upon receipt of the fully executed contract from F&A Division of Accounts, DMHDD archives one copy and distributes other copies to appropriate staff of the Department.

2. CONTRACTOR PERFORMANCE AND COMPLIANCE

Regional Mental Health Institute Contracts

Through planning, budgeting, and reporting systems, the respective Chief Officer or Executive Director establishes management goals and objectives for each contract. On a routine basis the actual experience will be compared with expectations. Variances will be investigated, and in the event problems are discovered, an appropriate corrective action will be initiated.

Community Services Contracts

In compliance with **Finance and Administration Policy 22**, the Department submitted to the Division of Resource Development and Support, Department of Finance and Administration, a **Subrecipient Contract Monitoring Plan** for the period October 1, 2008 through September 30, 2009. The Plan received approval on October 6, 2008. The on-site monitoring function will be conducted according to the plan.

The fiscal monitoring function is assigned to the Department's Fiscal Services Section. Site visits to the grantee agencies will ensure:

- Budget data is accurate
- Costs are appropriately categorized
- Costs are allowable
- There are no conflicts of interest
- Effective control over and accountability for all funds, property, and other assets
- Accounting records supported by source documentation
- Program Income is properly reported
- Deviations from budget are reported and approvals for revision requested in writing
- Financial and program reports are made by the grantee in accordance with the provisions of the grant award
- Annual Expenditure Reports will be reconciled to grantee's books and records

Through onsite visits, program monitors from the respective Program Divisions in the Central Office will ensure contractual deliverables are accomplished by the grantee entity. Deliverables include:

- Staffing adequacy
- Program development and operation
- Maintenance of service delivery records
- Reporting to grantor
- Access to services
- Assessment of Service Quality

3. STAFF POSITIONS ASSIGNED TO CONTRACT MANAGEMENT

Central Office

Contract Office

MHDD Program Director – Linda M. Parker
Contract Specialist – Karen Colyer
Contract Specialist – Kathy Ewing
Contract Specialist – Jennifer Radcliffe

Budget Section

Budget Analysis Director 1 – Gene Wood

Fiscal Services

Fiscal Director 3 – Robert Martin
Accounting Manager - Cristal Terry

Regional Mental Health Institutes

Lakeshore Mental Health Institute

Chief Officer – Lee Thomas
Asst. Superintendent for Administrative Services – Ron Carlson
Fiscal Director /RFP Coordinator – Diane Matthews

Middle Tennessee Mental Health Institute

Chief Officer – Candace Gilligan
Asst. Superintendent for Administrative Services – Bruce Gilmore
Fiscal Director /RFP Coordinator – Mark Stanley

Western Mental Health Institute

Chief Officer – Roger Pursley
Asst. Superintendent for Administrative Services – Ron Bruce
Fiscal Director /RFP Coordinator – Richard Taylor

Moccasin Bend Mental Health Institute

Chief Officer – William Ventress
Asst. Superintendent for Administrative Services – Charles Dickens
Fiscal Director /RFP Coordinator – Robbie Easterly

Memphis Mental Health Institute

Chief Officer- Larry Ventura
Asst. Superintendent for Administrative Services – Yolanda Clark
Fiscal Director /RFP Coordinator – Linda White

4. ORGANIZATION STRUCTURE

See Attachment A.

5. INTERNAL CONTROLS

Control Environment - "The control environment sets the tone of an organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control, providing discipline and structure." (Statement on Auditing Standards 78).

- The Department will function in an environment where ethical values and high standards of integrity are maintained.
- The Department will have a constructive attitude toward establishing contractual relationships and will emphasize the importance of adhering to established procurement policies and procedures.

Organizational Structure

The Chief Officer of each respective institution and each Central Office Executive Director are delegated the authority to initiate contractual relationships for the goods and services deemed appropriate for the successful and effective operation of the program. The need for contracted services is identified, documented, and justified. Vendors are identified through the appropriate procurement process.

The Department will assign authority and responsibility in a manner that ensures everyone fully understands his assigned duties and reporting relationships within the Department. The Department will:

- Utilize formal job descriptions and people with the skill sets relative to the nature and complexity of the operation;
- Maintain planning, budgeting, and reporting systems that set forth goals and objectives;
- Use methods that compare actual to planned performance levels;
- Continuously seek improvements in fiscal and program performance through routinely investigating variances from expectations;
- Ensure duties are divided among different employees to reduce risk of error or inappropriate actions;
- Ensure transactions are authorized by an employee with delegated approval authority when the transactions are consistent with policy and funds are available;
- Ensure employees are aware of the proper channels for reporting suspected improprieties.