

	County of Sacramento Mental Health Division Adult Mental Health Services		Policy No.	02-02
			Issued Date	05-10-07
			Revision Date	
AREA: Contract Administration		TITLE: Contract Files		
Approved by: Stephen Davidson, MSW, CPRP Program Coordinator		Approved By: Sandy Damiano, PhD Chief		

I. POLICY

Adult Mental Health Services will maintain files for contracts and competitive selection.

II. PROCEDURE

A. Contract Files – Structure

The Senior Office Assistant is responsible for setting up and labeling the Contract Files consistent with the examples in the Attachments.

1. The Contract File will contain the following documents:
 - a. Chronology/CIS – A Chronology sheet will be placed on top of the Contract Information Sheet.
 - b. Renewal – The contents of the renewal packet, i.e., Contractor Certification of Compliance Form, Renewal letter, Good Neighbor Policy Site Information, Certification Regarding Debarment and Suspension, Five (5) or more employees letter, W-4, Employees Withholding Allowance Certificate, W-9, Request for Taxpayer Identification Number & Certification, I-9, Employment Eligibility Verification, the Contractor Board of Director’s Resolution, and the original signed copy of the Assurance of Cultural Competence Compliance.
 - c. Contract – The original contract, any amendments, in chronological order, the County Board Letter and County Board of Supervisor Resolutions.
 - d. Documentation – Correspondence, proposals and responses, quarterly reports and non-financial County Counsel notes.
 - e. Financial – All financial documents including invoices, quarterly reports, claims, advance requests, fund source changes, allocation notice, cost report/settled rate (letter only) and County Counsel notes regarding financial matters. Fiscal Review documents should also be filed in this section.

- f. Insurance - All items relating to insurance in the following order. Insurance Summary, Insurance certificates, expiration letters, copies of insurance forms and Risk Management correspondence
2. The Contract Files will be located in the *Current Year Contracts* drawer until the contract expires.
3. Should the contract become too cumbersome, prior approval is required prior to breaking it down.
4. The Senior Office Assistant will be responsible for moving the expired contracts to the *Recently Expired Contracts* drawer, setting up folders for new and renewed contracts and maintenance of the existing contract files (filing, etc.)
5. The expired contract files will be kept for a period of ten (10) years. The Senior Office Assistant will be responsible for removal and proper disposal of the expired files.

B. Competitive Selection File Structure

The Senior Office Assistant will be responsible, as directed, to set up and label two Competitive Selection Files consistent with the examples in Attachment II.

1. File One will contain the following:
 - a. Announcement/Advertisement – Includes copies of emails, fliers, newspaper ads.
 - b. Request For Application – The entire RFA packet and any amendments to the packet.
 - c. Bidder's Conference – Agenda, sign-in sheets, Questions & Answers.
 - d. Application – The application of the provider selected, the evaluation and the Evaluation Confidentiality Form.
 - e. Board Letter & 71-J Information. A copy of the signed board letter and signed resolution, on top of the 71-J information.
 - f. Correspondence – Includes letters of protests and other correspondence related to the RFA.
2. File Two will contain
 - a. Applications - The packets of the applicants not selected.
 - b. Evaluations - The applicant evaluations.
 - c. Miscellaneous – Items such as handwritten notes, business cards, emails.
3. The competitive selection files will be kept in a designated drawer until ready for disposal. The Senior Office Assistant will be responsible for removal and proper disposal.

C. Availability

1. All files will be available Monday through Friday, during the hours of 8:00 am to 5:00 pm. Staff requiring access to the files outside of those hours should contact the clerical staff.

2. Adult MH staff removing the file will complete an out guide indicating their name, the file name and the date. The out guide should be placed in the exact location where the file was removed.
3. To return the file, place it in the box labeled “Files.” The Senior Office Assistant is responsible for replacing the file in the drawer and pulling the out guide.

Form References:

N/A

IV. REFERENCES	Related Policies & Procedures	State/Federal Codes/Other References
	N/A	N/A
V. CONTACTS	Name	E-mail
	Stephen Davidson, MSW, CPRP	davidsons@saccounty.net
VI. SCOPE	<input checked="" type="checkbox"/> Contract Monitors <input type="checkbox"/> Mental Health Treatment Center <input type="checkbox"/> Specific grant/specialty resource	<input type="checkbox"/> Adult Contract Providers <input type="checkbox"/> Children’s Contract Providers

CONTRACT FILE STRUCTURE

FRONT		MIDDLE		BACK	
Left side label	Right side label	Left side label	Right side label	Left side label	Right side label
Chronology/CIS	Renewal	Contract	Documentation	Financial	Insurance
Chronology Contract Info Sheets*	Renewal Packet which includes: Contractor Certification of Compliance Form Certification Regarding Debarment and Suspension Good Neighbor Policy Site Information Five (5) or more employees letter W-4 -Employees Withholding Allowance Certificate W-9 -Request for Taxpayer Identification Number Certification I-9 -Employment Eligibility Verification. Contractor Board of Director's Resolution Assurance of Cultural Competence Compliance (Signed original)	Amendments* Original Contract Board Letter Resolutions	Correspondence Proposals/responses County Counsel notes (non-financial)	Invoices Claims Quarterly reports Advance requests Fund Source changes Allocation notice Cost report/settled rate (letter only) County Counsel notes (financial)	Insurance Summary, Certificates, and forms Expiration letters Risk Management correspondence

*Filed Chronological Order

Sample Label

Asian Pacific Community Counseling 050 07-09
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COMPETITIVE SELECTION FILE STRUCTURE

<i>FILE ONE</i>					
FRONT		MIDDLE		BACK	
Left side label	Right side label	Left side label	Right side label	Left side label	Right side label
Announcement/Advertisement	RFA	Bidder's Conference	Application	71-J Information	Correspondence
Announcements Emails/Fliers Newspaper ads	RFA Packet Amendments to Packet	Questions & Answers Sign-in Sheets Agenda	Application Evaluation Confidentiality Form	71-J	Correspondence Emails
<i>FILE TWO</i>					
Applications	Applications	Applications	Applications	Evaluations	Miscellaneous
(In alphabetical order)					

Sample Labels

MH Court Advocate
RFA – MHA/009-07/08
File 1

MH Court Advocate
RFA – MHA/009-07/08
File 2