





# 2020 Social Services Agency Training

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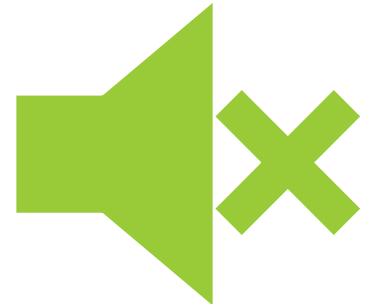
WELCOME



# Housekeeping

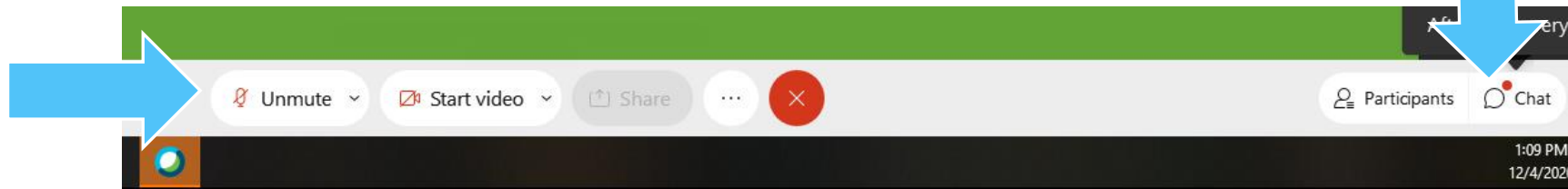
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- Ø If you have an issue with Webex direct all questions to our CTM staff
- Ø After the meeting, we will send out a survey for feedback about the training and future training topics and include a link to the presentation.
- Ø Handouts can be accessed on the website for APH competitions at the bottom of the page under Agency Training. We have put the link in the chat box for you.  
<https://www.austintexas.gov/article/aph-social-services-competitions>
- Ø Please note: Most of the subject matter of this training is for reimbursable contracts – although there are items that are universal for reimbursable and deliverable contacts.



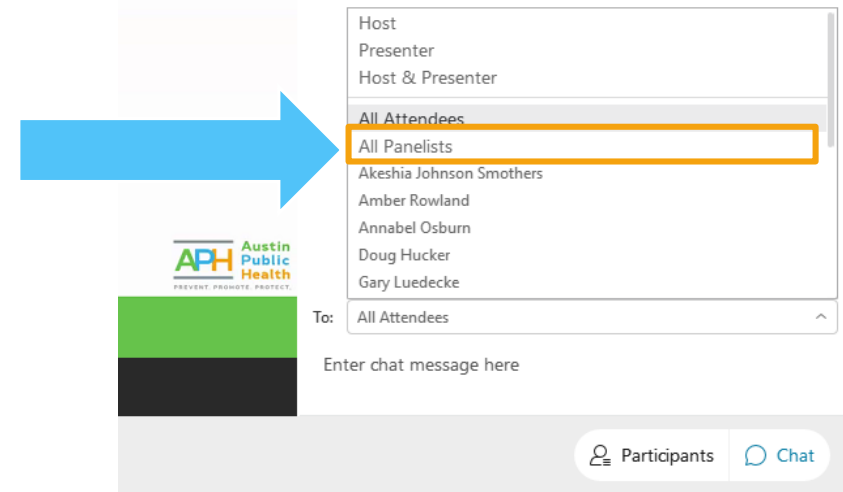
# CHAT INSTRUCTIONS

The control panel at the bottom of your window will allow you to check that you are muted, and to access the chat.



If you have questions or comments, message **"All Panelists."**

Messages sent to "All Attendees" or other recipients will not be monitored.



# Agenda

Welcome

Message from APH – Assistant Director

APH Announcements

Contract Life Cycle

Agreement Boiler Revisions

Performance Measures Quarterly Report

Claims Backup Requirements

Monitoring



# Message from Austin Public Health

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Adrienne Sturup, Assistant Director  
Health Equity & Community Engagement Division

# Updates & Priorities

- Social Services Audit
- Solicitations and ongoing management to include
  - Issue Area Solicitation Planning
  - Kennedy School Recommendations Regarding Equity in Social Service Contracting
  - Continued focus on Equity /CLAS
- Underspending and Extensions for deadlines
- COVID-19 updates

# City of Austin Social Services Audit

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# Summary

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Audit Findings presented in December 2019

## **Objective:**

Does the City social service contracting process include adequate funding, meet stakeholders' expectations, and align with peer cities?

## **Findings:**

- While the City has allocated sufficient funding to meet Council's 2016 funding policy goal for social service contracts, it has not funded some of the additional community needs for these services due to budget constraints and other competing City priorities
- There are similarities and differences in the way the City of Austin provides funding for social services compared to other Texas cities.

## Recommendations

- To strengthen the City's social service contracting and procurement process, develop a Citywide social service procurement policy.
- To ensure the City has a clear plan for delivering social services now and in the future, develop a funding strategy for social services.
- In order to provide a fair and equitable social service contracting process for selection among potential vendors, the City Manager should work with Council to determine whether the City's Anti-Lobbying Ordinance should apply to social service contracts.

# Issue Area Solicitation Calendar

Issue Area	Solicitation Released	Contracts Start
Youth	April 2021	October 2021
Behavioral Health	September 2021	October 2022
Homeless	September 2021	October 2022
Basic Needs	January 2023	October 2023
Early Childhood	January 2023	October 2023
Workforce Development	January 2023	October 2023
Health Equity	January 2024	October 2024

# Equity Considerations from the Kennedy School of Government

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# Summary

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**Key Question: What are APH's current contracting processes and how can they be improved with a particular focus on equity considerations?**

## **Key Equity Opportunities**

- Existing community needs assessment tools can be leveraged to support funding allocation
- Identify organizations best positioned to deliver equitable outcomes
- Design a process that is accessible to organizations of various types and sizes
- Data can be used strategically and deliberately

Project Objective - Identify potential, likely, and actual barriers experienced by prospective applicants, applicants, and contractors for APH

- High Cost of Insurance
- Accounting Requirements
- Administrative Burdens
- Lack of mentors/counsel
- Perception that city contracting “isn’t a good fit”
- Equity doesn’t seem to be prioritized in City contracting
- Diversity doesn’t seem to be prioritized in City contracting.

## Barrier Audit

# Plan for Implementation of CLAS Standards and Racial Equity in the Contracting Process

CLAS Standards and Racial Equity focus in every stage of the contract process over time:

- ❑ 1. RFA/Competitions
- ❑ 2. Contract Development
- ❑ 3. Contract Management
- ❑ 4. Monitoring
- ❑ 5. Close-Out

# Updates & Priorities

- Underspending and Extensions for deadlines
- COVID-19 updates





# Announcements from APH

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# Contract Management Unit



Laura LaFuente  
CMU Manager



Angela Baucom



Michelle Friedman



Helen Howell



Ashlee Kraus



Allan McCracken



Melissa Moses



Annabel Osburn



Natasha  
Ponczek Shoemake



John Sanchez

# Social Services Policy Unit



Akeshia  
Johnson Smothers  
SSPU Manager



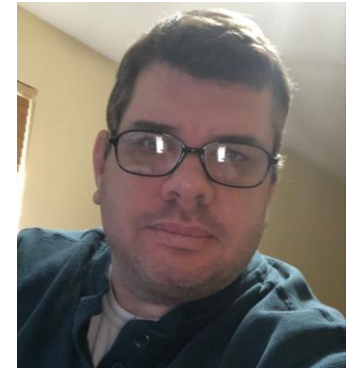
Leslie Boyd



Stefan Bryant



Laura Enderle



Neil Hackett



Jade Roy



Myk Stocks



Geraldine Taylor



Sam Verde

# Social Services Agency Training Opportunities

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## ☐ Claims Training

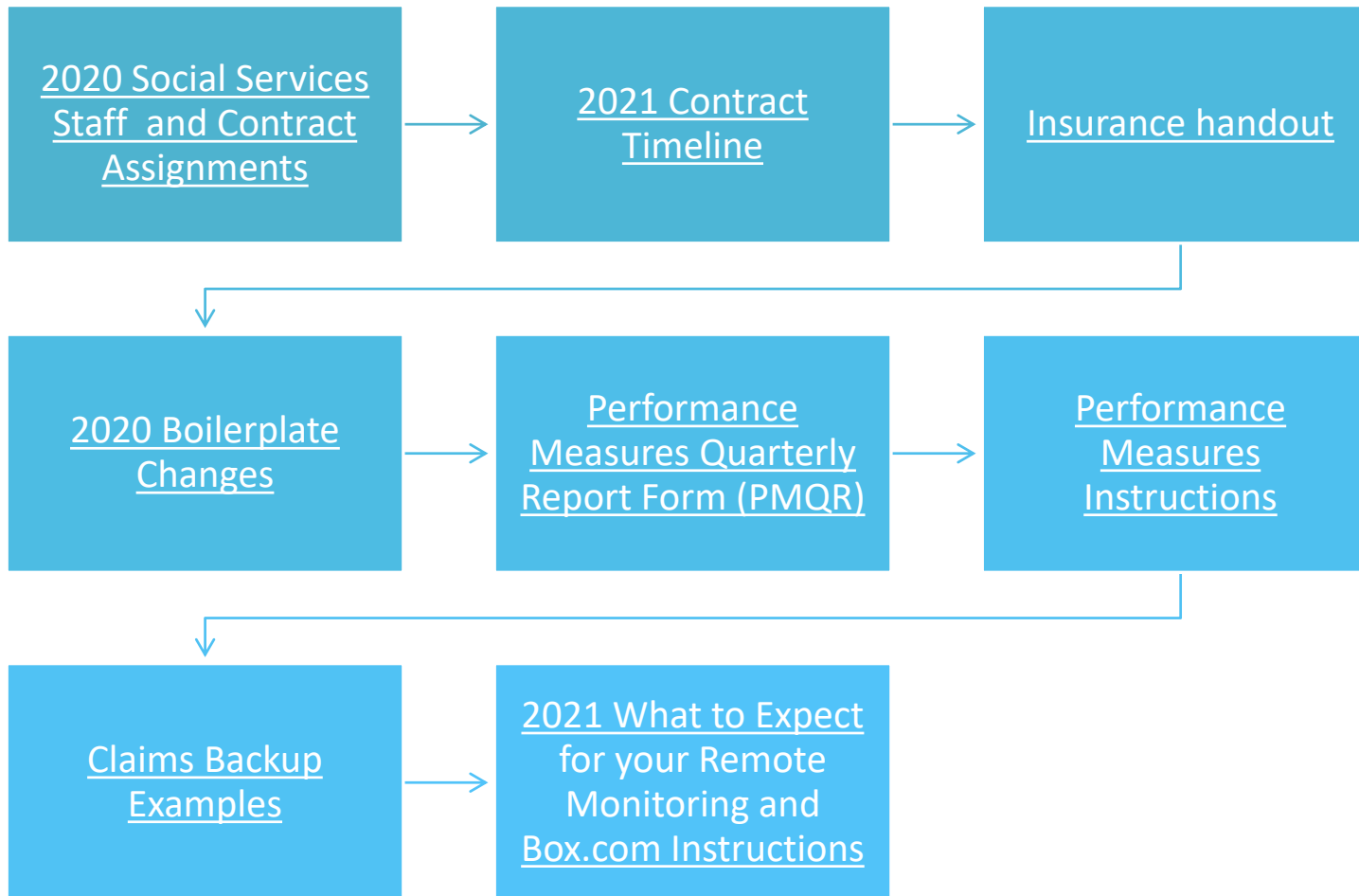
- ☐ In depth training with question and answer in January

## ☐ Performance Measures

- ☐ Performance Measure Quarterly Reporting (PMQR) Tool Training. This will be available online before the next performance report is due in January.
- ☐ Performance Measure Workshops – throughout the year, some Issue Area focused

## ☐ All training will be available on our new APH Training website

If you have any other training requests, please contact  
[Natasha.Ponczek@AustinTexas.gov](mailto:Natasha.Ponczek@AustinTexas.gov)



# Handouts Available

## Website:

<https://www.austintexas.gov/article/aph-social-services-competitions>

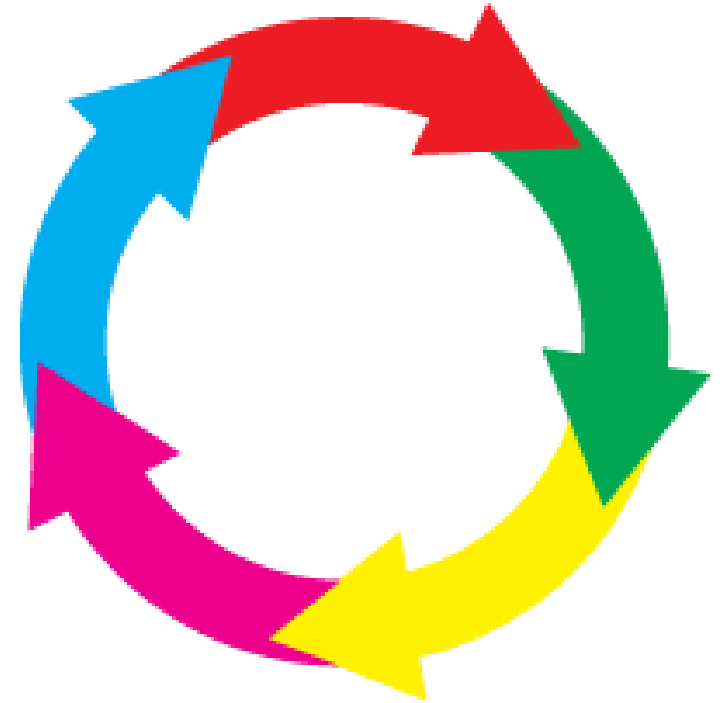


# Contract Life Cycle

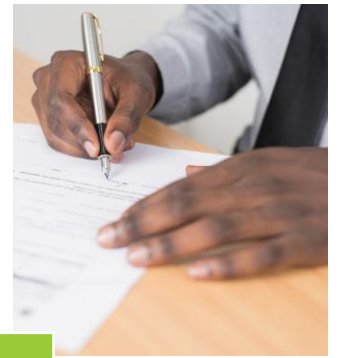
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# Contract Life Cycle Stages 1 and 2

1. Funding Availability, Solicitations, Contract Award
2. Contract Negotiation, Development, Renewals and Execution



## Stage 2 – Contract Negotiation and Development: Renewal process – Approximately 8 weeks



Responsible Entity	Step	Timeline
APH	Send Agency notification that Agreement will be renewed	1 week from finalization of Stage 1
Agency and APH	Begin Negotiation to update any Agreement Exhibits	2-3 weeks
APH	Develop Boilerplate and other supporting documents	Concurrent
Agency	Provides Insurance coverage documentation to CityHS	As soon as possible
Agency	Sign Agreement	Less than 1 week
APH	Put together Agreement packet for Routing	Concurrent
APH	Route for Departmental Approval Signatures	2 week from date of signed agreement
APH	Send Agreement to Purchasing for execution	1-2 weeks
APH	Once executed, send copy of Agreement to Agency	1-2 days



# Insurance Requirements

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## **Insurance** *(Section 6.1 in current social services boiler)*

- A complete, City Risk Manager reviewed Insurance certificate must be approved prior to contract execution and maintained throughout the contract
- Please refer to the [Insurance HANDOUT](#) for City Insurance requirements and the required endorsements (Additional Insured clause, Waiver of Subrogation, and 30-day Notice of Cancellation)
- CityHS resource account will send 30-day and 15-day expiration notices to the ED and Insurance contact whenever a coverage is about to expire
- For specific insurance questions, please contact your Contract Manager or reach out to [CityHS@AustinTexas.gov](mailto:CityHS@AustinTexas.gov)
- Required component - if your Insurance policy is not renewed on time, APH payments may be held while the insurance is being renewed.
- Training will be available in January 2020.





Are there any  
questions?



# Social Services Boiler Revisions

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Changes to Agreement Terms & Conditions

# Current Revisions

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## Effective Upon Execution of Your New Agreement or Renewal

- ❑ All reports due 11:59pm vs. 5pm
- ❑ Requests for Payment (Claims) due by the 25<sup>th</sup> of the month vs. the 15<sup>th</sup>
- ❑ Progress Reports due 45 calendar days after Program Period ends
- ❑ Administrative & Fiscal Review is replaced with *Agency Administrative Profile* (still due same time as independent audit/financial review)
- ❑ Business Continuity Plan - Grantee has adopted a business continuity plan that describes how Grantee will continue to provide services in the event of an emergency or other unforeseen event.

# Current Revisions (cont.)

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## Effective Upon Execution of Your New Agreement or Renewal

- ☐ Audit or Financial Review and associated letters/reports may be submitted *electronically to [CityHS@AustinTexas.gov](mailto:CityHS@AustinTexas.gov)*
- ☐ Required disclosure regarding Conflict of Interest
- ☐ Required documentation retention of having conducted Criminal Background Checks for grantees who are required to conduct CBCs
- ☐ Changes to required back-up documentation for payment request/claim
- ☐ Financial processes all included in NEW Exhibit B.3: Compensation Terms

# Contract Life Cycle Stages 3 -5

## 3. Contract Management and Amendments

- ❑ Submitting Claims
- ❑ Submitting quarterly performance reports
- ❑ Mid-Year Spending Plan
- ❑ Amendments
- ❑ Annual Progress Report

## 4. Annual Monitoring

## 5. Close Out



# Performance Measures Quarterly Report





# Performance Measure Quarterly Report Form

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## WHAT IS IT?

The [Performance Measure Quarterly Report Form](#) (PMQR) is a measure of all unduplicated clients served in a quarter, regardless of the funding source used to provide services. [PMQR Instructions](#) explain the process. The report has two sections:

The Outputs section measures actual numbers of clients

The Outcomes section measures the success rate for a given pre-defined City goal

## WHEN IS IT DUE?

The report is due by 11:59p.m. on the 15<sup>th</sup> of the month following the end of the reporting period.

Quarter 1: 15<sup>th</sup> of January

Quarter 2: 15<sup>th</sup> of April

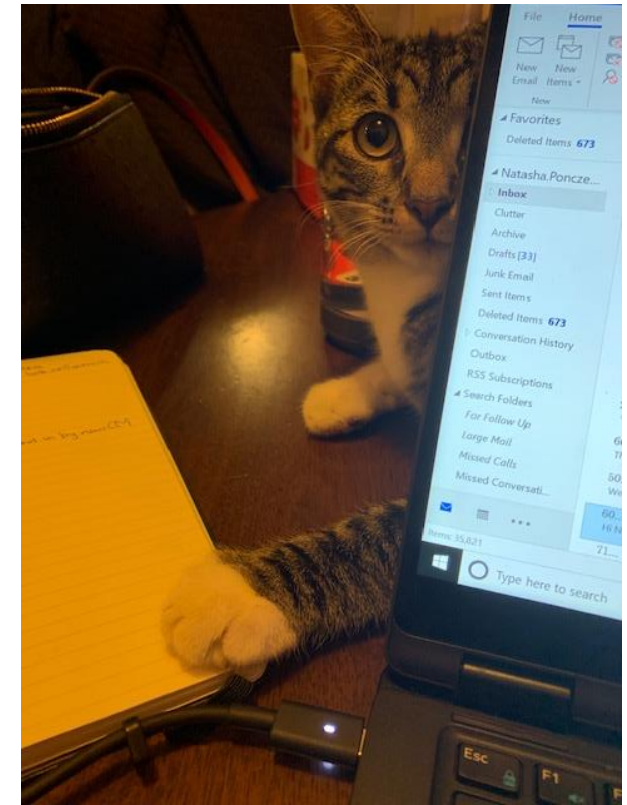
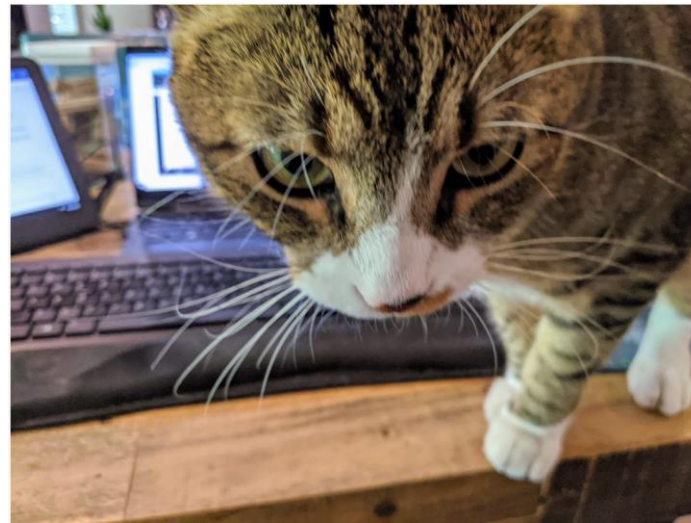
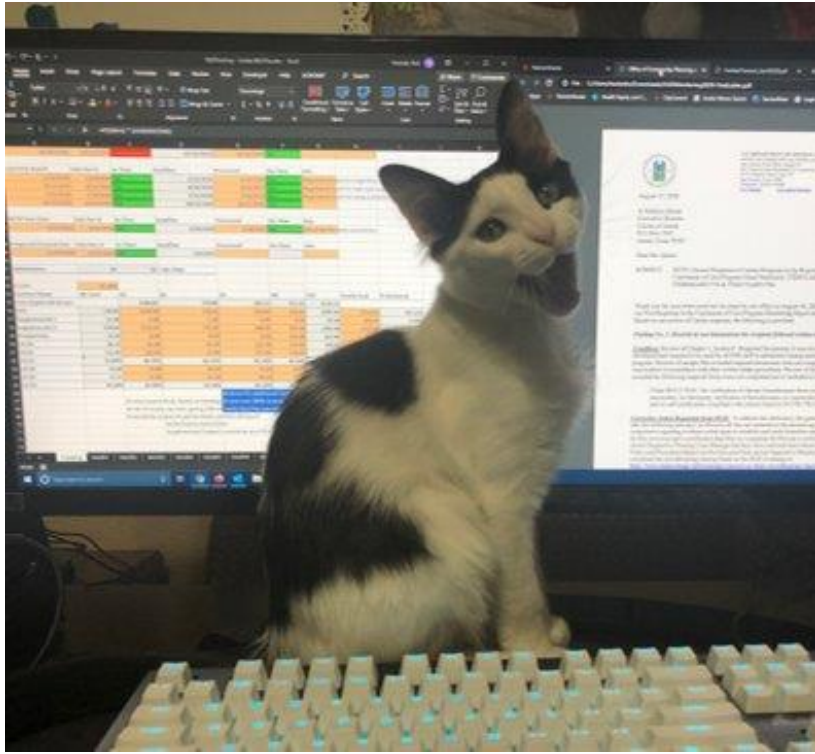
Quarter 3: 15<sup>th</sup> of July

Quarter 4: 15<sup>th</sup> of October

If the 15<sup>th</sup> falls on a holiday or weekend then the due date is the first business day following the 15<sup>th</sup>.

## PMQR BASICS

- The Combined Tool simplifies performance reporting by combining the Performance Measurement Definition Tool (PMDT) and the Performance Tracking Tool.
- The Combined Tool puts everything in the same document for easy access to negotiated performance measures and definitions while reporting on quarterly performance.
- Performance Measurement Quarterly Reporting Tool Excel file needs to be completed and uploaded with your PartnerGrants report.
- Should any challenges arise, please contact your Contract Manager ***before the due date.***



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# Knowledge Check!

1. An agency's insurance certificate must be approved by the City Risk Manager before a contract can be executed.

- a) True
- b) False

2. For the majority of Social Service Agreements, performance for your agreement is measured on a(n) \_\_\_\_\_ basis.

- a) Annual
- b) Monthly
- c) Quarterly
- d) Semi-Annual





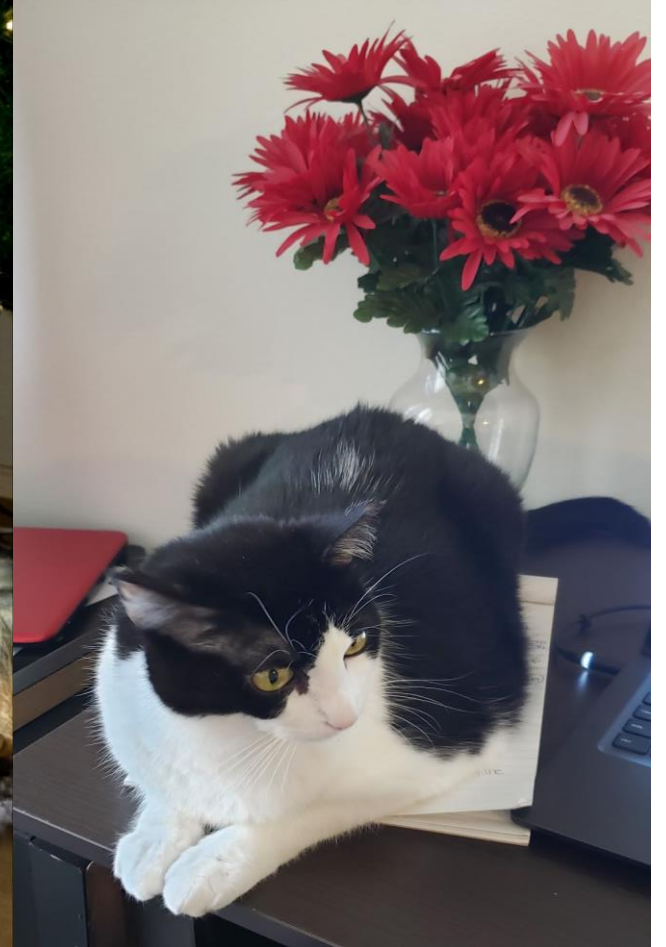
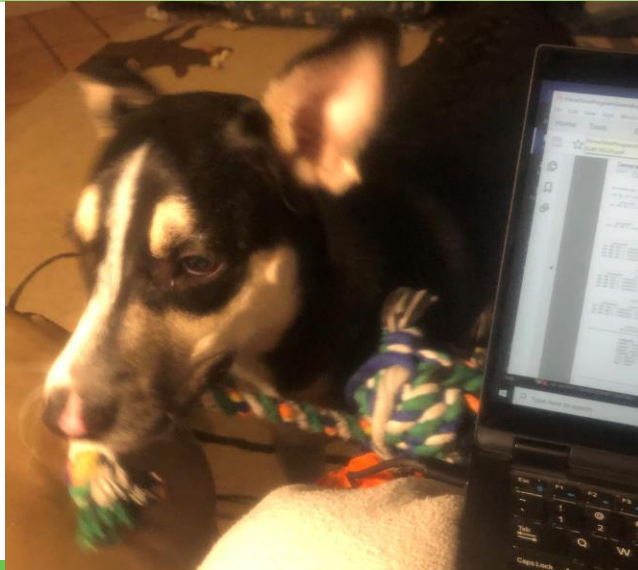
3. Clients who enrolled in a program in the 4<sup>th</sup> quarter of a previous year can be counted as an unduplicated client in the 1<sup>st</sup> quarter of the new year if they are still enrolled.

a) True

b) False



5. What must be completed at the end of a contract term if the agreement will not be renewed?
- a) Renewal Request Form
  - b) Contract Close Out
  - c) Solicitation Request Form
  - d) None of the above





# Monthly Claims Backup Documentation

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# Required Back-Up Documentation for Claim

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- q *General Ledger Detail* report from Grantee's financial management system or
- q *Transaction Detail by Account* report from Grantee's financial management system
- q Other reports that meet all of the following specifications:
  1. Produced from the Grantee's accounting system with no manual changes or adjustments
  2. Submitted in PDF format
  3. Includes date the report was created
  4. Demonstrates specific expenses for which reimbursement is being requested
  5. Demonstrates that City of Austin funds are maintained in a separate numbered bank account or standalone general operating account





# Required Back-Up Documentation for Claim

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## ☐ Timeline for implementation:

- ☐ February 2021: January Claim due in February, agencies submit required backup. Contract managers will approve.
- ☐ May 2021: New backup documentation required to approve all Claims effective with April Claim that is due in May.
- ☐ After May, we will hold payments if appropriate backup documentation is not provided.

## ☐ Submission Deadline:

- ☐ New boilerplate, deadline for submitting Claims is the 25th of the month at 11:59 PM
- ☐ Previous boilerplate, still required to submit Claims on 15th of the month at 11:59 PM

# Suspension of Payments

The following items have deadlines throughout the contract year.

If they are not submitted by the deadline, payments may be suspended until the following items are submitted:

- ☐ Correct pay request/Claim backup documentation
- ☐ Audit
- ☐ Quarterly Performance
- ☐ Annual Progress Report
- ☐ Agency Administration Profile
- ☐ Insurance renewal
- ☐ Mid-Year Spending Plan
- ☐ If have expended all funds, still are required to submit required reports and documentation

Questions?

# Contract Compliance Unit

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ONCE A YEAR, WE GET IN YOUR BUSINESS

# Contract Compliance Unit



Elena Andres



Natalie Cuccia, MPAff, CGAP



Ciarra Dortche, MPH



Meghan Duncan, MHA



Larry Hopkins, LMSW



Erica Knelleken



Amber Rowland, Manager

# Audit and Agency Administrative Profile

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## ☐ Audit Submission

- All Audits and Board Certification Form can now be submitted electronically to [CityHS@austintexas.gov](mailto:CityHS@austintexas.gov)
- The AAP must be submitted in PartnerGrants by the same date as the Audit (extension requires formal approval!)

## ☐ Financial Audit of Grantee *(Section 4.5 in new social services boiler)*

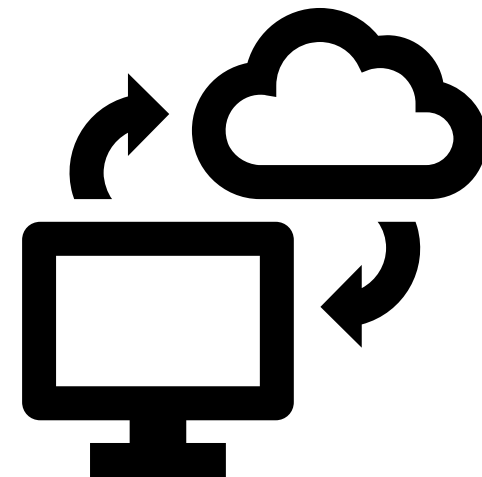
- CPA presents to the Board or committee of the Board for approval/acceptance
- CPA must be licensed in Texas

## ☐ Records Retention Reminder *(Section 4.5 in new social services boiler)*

- Retain all records for a period of 5 years after the last transaction on the agreement, which is usually a closeout report and the final payment, which often occurs after expiration of the agreement.
- *Example* – An agreement that started on September 1, 2015 and ends on September 30, 2021, with a Close out submitted October 15, 2021 - ALL RECORDS must be retained until October 15, 2026!!

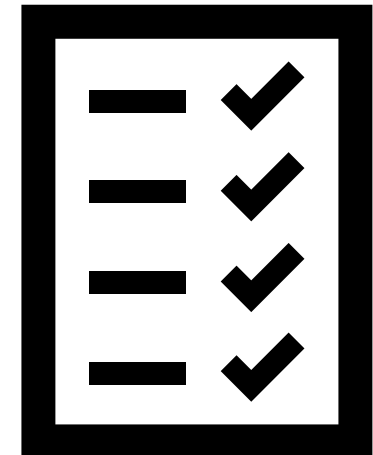
# Monitoring Process (remote)

1. **We** research agreement(s) & info already in Partner Grants
2. **We** email notification to you 30 days prior to planned date(s) for file / backup review (2021 Documents Required & What to Expect)
3. **You** have 10 business days to submit requested lists & ledgers
4. **We** select & send samples plus Box.com instructions
5. **You** have 10 business days to upload requested files / backup docs to Box.com



# Monitoring Process, cont'd

6. We review materials you've uploaded
  - a. Please be available for questions and additional info
7. We compile & assess data
8. We send you a completed tool and draft report
9. You review draft & send responses within 5 business days
10. We finalize a report (or a letter, if there are no findings)







# In A Client File

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## **Client Eligibility**

- Evidence that eligibility was correctly assessed
- Income, Identity, Residency source documents must be retained if there is direct assistance
- Refer to Exhibit A.3

## **Performance reporting**

- Proper de-duplication
- Evidence of services provided
- Documentation of Outcomes
  - Refer to Program Work Statement and PMQR



# Financial Review & Backup Needed

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## General Ledgers

- Submitted with monthly claims
- Itemized vs rolled-up expenses
- Allocation schedules

## Documents Needed for Review

- Copies of receipts & invoices
- Checks or check stubs
- Bank & credit card statements

## Payroll Documents

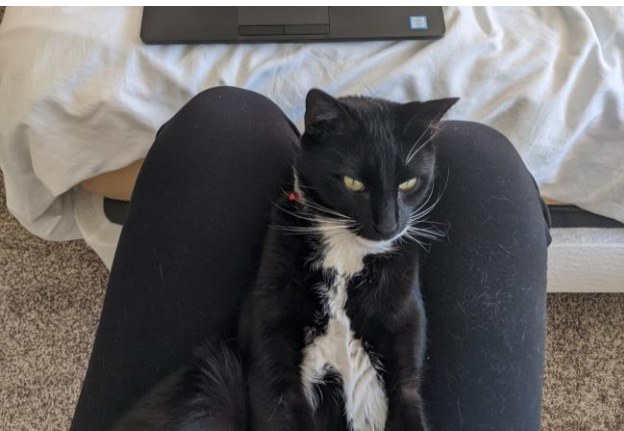
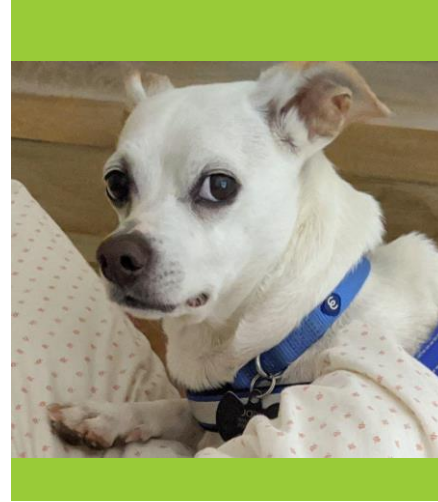
- Copies of 940/941s
- Copies of employee timesheet or paycheck



We look forward to working with you this year,  
and sincerely appreciate all you do!!!

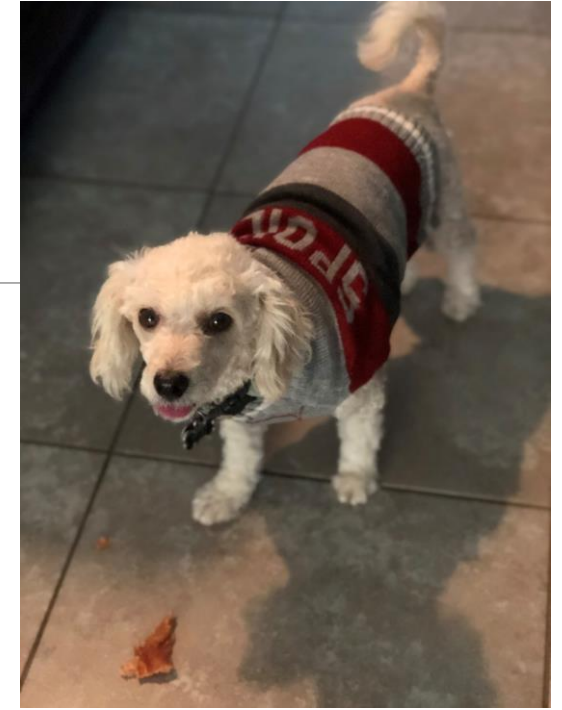
What questions  
do you have  
about  
monitoring?





# Knowledge Check!

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6. Which of the following are new revisions to the boilerplate?
- a) Claims (requests for payment) are due by the 25<sup>th</sup> of the month
  - b) Required disclosure of conflicts of interest
  - c) Exhibit B.3: Compensation Terms describing financial processes
  - d) All the above





7. A general ledger and a transactional detail by account report are examples of required backup documentation to submit with claims.

a) True

b) False

8. Which of the following items, if not submitted on time, could result in suspension of payment on a claim?

a) Mid-year spending plan

b) Audit

c) Insurance Renewal

d) All the above



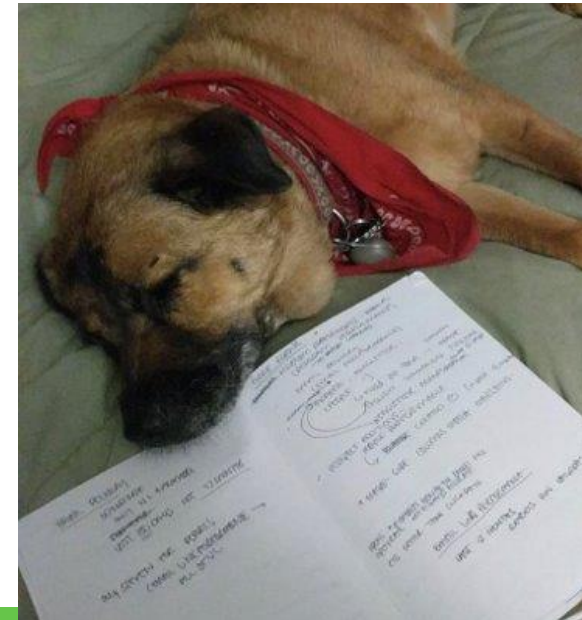
9. For annual monitoring, which of the following items do monitors expect to see in a client file?

- a) Client eligibility information
- b) Evidence services were provided
- c) Documentation of outcomes
- d) All the above



10. For financial review in monitoring, agencies are **not** required to submit copies of invoices or receipts from sampled expenses billed to the agreement.

- a) True
- b) False





# Reminders

- ❑ **Changes:** If you change your contact information, board members, policies, or authorized signatory, email your designated contract manager in a timely manner. See contract manager assignment list.
- ❑ **Fee Exemption for a Food Enterprise Permit** *(Section 8.2.1 in current social services boiler)*
  - Signed and Executed Agreement required
- ❑ **Subgrantees** *(Section 1.2 and 8.21 in current social services boiler)*
  - Grantee assures Subgrantees meet all provisions of agreement
  - Requires a written agreement for every contract term, that does not conflict with City of Austin agreement
  - Reminder: Video training on Partnergrants
- **Contract Management Assignments:** Please see the updated contract assignments list







# Questions

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# Thank You for Your Participation

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AGENCY REPRESENTATIVES ARE RESPONSIBLE FOR RELAYING  
INFORMATION PRESENTED TODAY TO ALL APPLICABLE STAFF.