
WELCOME

Housekeeping

- 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.
- Handouts will be accessible on the website for APH Social Services Resources under Agency Training Materials. We will put the link in the chat box for you.
- 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.
- Agencies are responsible for sharing today's information with their teams.

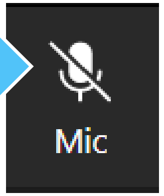
Austin Public Health
PREVENT. PROMOTE. PROTECT.

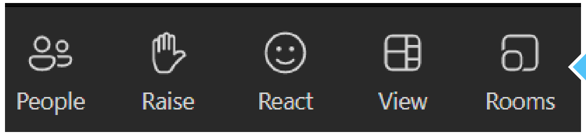
2023 Social Services Agency Training

WELCOME

CHAT INSTRUCTIONS

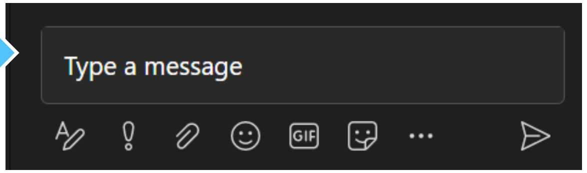
The control panel at the top of your window will allow you to check that you are muted, and to access the chat.





You can also use the Raise function to raise your hand during the Q&A portion of the presentation and we will ask you to unmute. Click once to raise and click again to lower your hand.

If you have questions or comments, use the chat to message **”Everyone.”** If you have questions about Teams, message “Theophilus Holley.”



Agenda

- Welcome
- Message from APH – Assistant Director Laura LaFuente
- APH Announcements
- Solicitation Updates/Reminders
- Contract Package Overview
- Making Changes to Your Contract
- Client Eligibility & Performance Management Overview
- Contract Compliance Unit Monitoring Overview and Process
- General Reminders and Q&A
- Contract Manager Meet & Greet

PREVENT. PROMOTE. PROTECT.

Message from Austin Public Health

Laura G. La Fuente, Assistant Director

Health Equity & Community Engagement Division

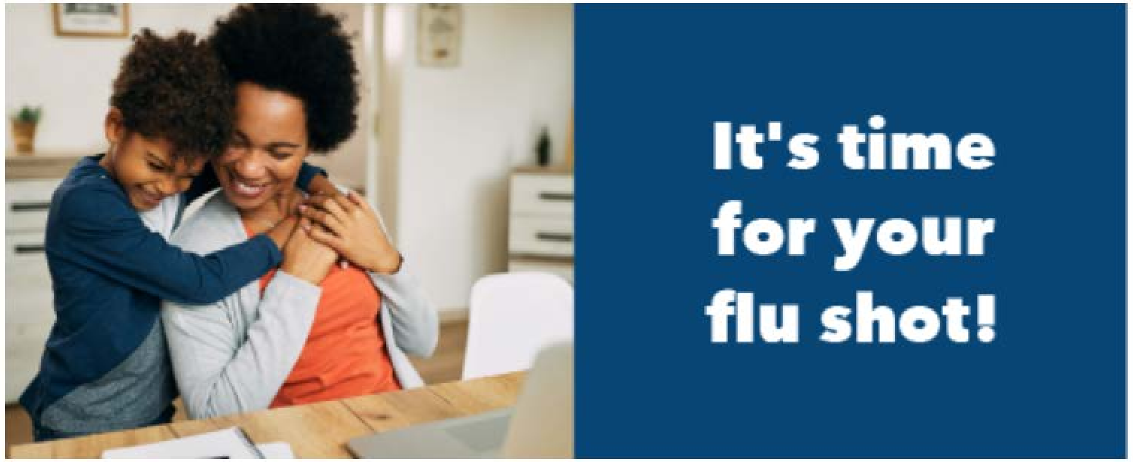
Austin Public Health Vision:
Everyone will have an optimal quality of life, health, and well-being free from racism, poverty, and oppression

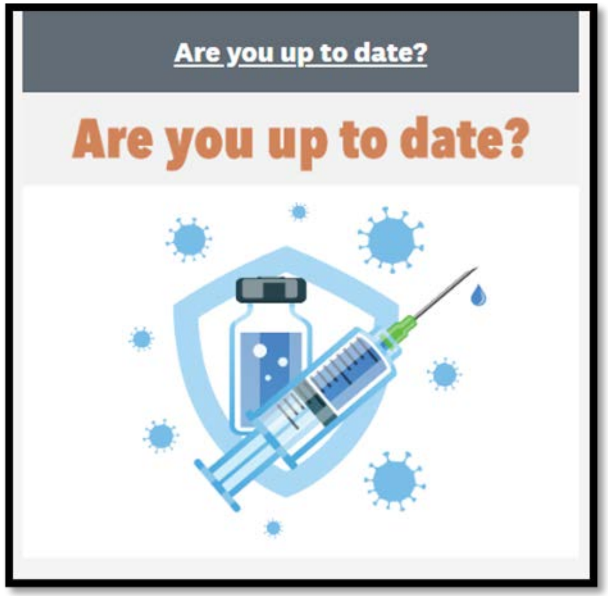
Austin Public Health Mission:
To prevent disease, promote health, and protect the well-being of all

Austin Public Health
PREVENT. PROMOTE. PROTECT.

One appointment— Two vaccines

- Where can you find information?
  - https://www.vaccines.gov/
  - Where to get vaccinated
    - Flu Prevention





Austin Public Health
PREVENT. PROMOTE. PROTECT.

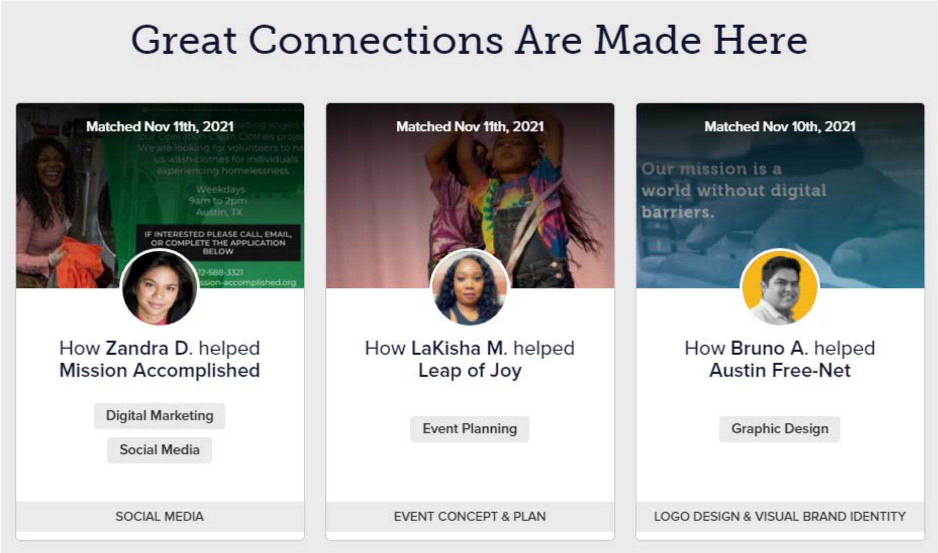
Other Initiatives

- Children and Youth Mental Health, asklistentalk.org
- Preventing Overdoses, austintexas.gov/opioids
- Where can you find information?

www.austintexas.gov/department/health

Capacity Building Resources

- Catchafire



- Organizational Development with ACC

NONPROFIT AUSTIN at ACC

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Austin Public Health

PREVENT. PROMOTE. PROTECT.

Message from Austin Public Health

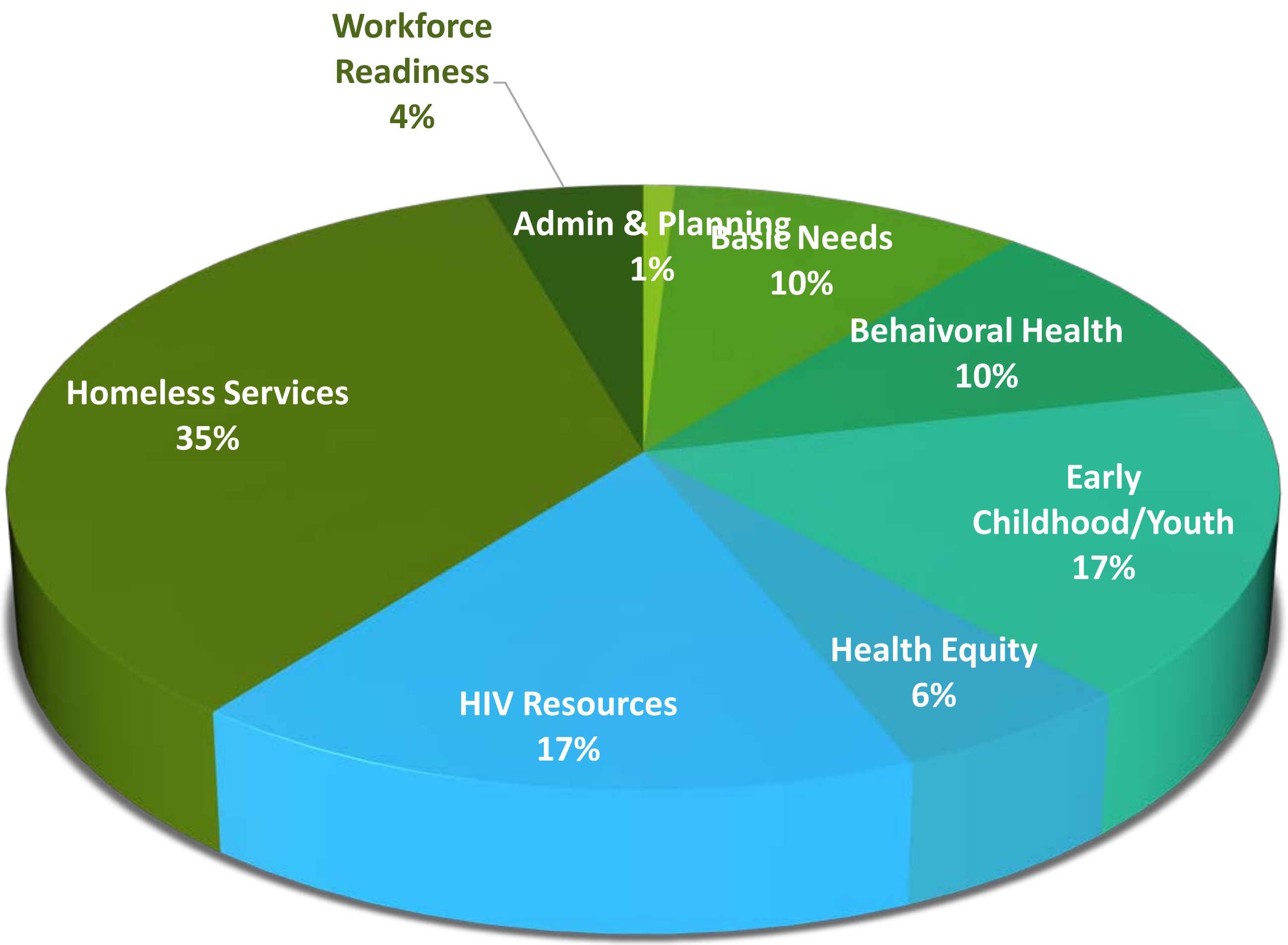
Akeshia Johnson Smothers

Social Services Agreement Administration Manager

FY24 Funding

Includes general, state, and federal funds
No Homeless American Rescue Plan Funds

Issue Area	Number of Contracts	FY24 Amount
Admin and Planning	6	$643,696
Basic Needs	21	$7,188,427
Behavioral Health	17	$7,386,094
Early Childhood & Youth	24	$11,959,948
Health Equity	23	$3,926,008
HIV Resources	28	$11,906,592
Homeless Services	35	$28,303,156
Workforce Readiness	4	$3,196,257
Totals	158	$74,510,178



These contacts are managed across three teams, totaling in 3 front line managers and 15 SSFS.

Total Funding
General Funds - $59,619,649
State and Federal Funds - $14,890,529 (ARPA not included)

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Things you should know…

- ❑ Deadlines
- ❑ Quarterly Performance
- ❑ Insurance
- ❑ Spending and Extensions
- ❑ Communication with APH
- ❑ **NOTE**: The Agency's first point of contact for *any* issues with the contract is the assigned Contract Manager

Social Services Agreement Administration

Akeshia Johnson Smothers
Area Manager

Lisa Wolverton,
Executive Admin

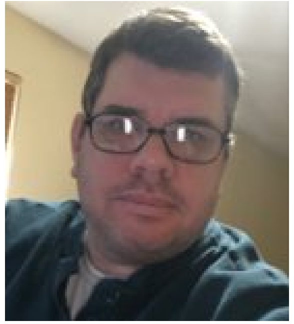
Vacant*
CBR Program Manager II

Ashlee Kraus,
CFS Program Manager II

Ken Martin,
HRAU Program Manager II

Leslie Boyd*,
Interim CBR Program Manager II AND Grants Program Manager

Allan McCracken,
Business Process Specialist



Neil Hackett,
Business Process Specialist

Helen Howell,
Social Services Funding Specialist Sr

Cathy Hightower,
Contract Management Specialist

Community and Family Support Unit

Community Based Resources Unit

HIV Resources Administration Unit

APH Austin Public Health
PREVENT. PROMOTE. PROTECT.

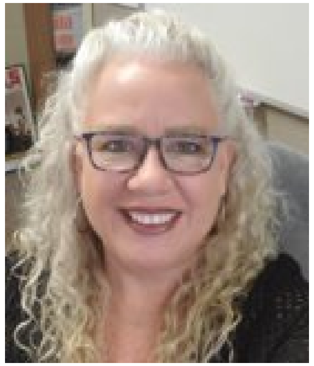
Community Based Resources Unit

Leslie Boyd,
Interim Program Manager

Kiara Price, SSFS
(Behavioral Health)

Breanna Tenorio,
SSFS (PSH)

Jairid Pacileo,
SSFS (Homelessness)



Renue Jones, SSFS
(Basic Needs)

(Vacant), SSFS
(Homelessness)

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Community & Family Support Unit

Ashlee Kraus
Program Manager

(Vacant), SSFS (CDBG Grants)

Denise Dunkins, SSFS (Early Childhood & Workforce Readiness)

Keyanna Evans, SSFS (Basic Needs)

Theophilus Holley SSFS (CDC Reach In Reach Out)

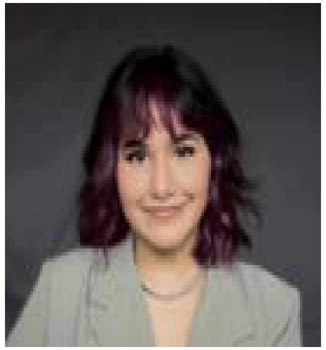
(Vacant), SSFS (Youth Development)

(Vacant), SSFS (Health Equity)

HIV Resources Administration Unit

Ken Martin
Program Manager

Brianna Young
HRAU Administrative Assistant



Tara Hinojosa, SSFS
(HOPWA)

Veronica Chavira,
Financial Analyst

Erin Brown
Grants Program Manager

Sherry Lyles,
Business Process
Specialist

Jennifer La Blanc
Clinical Quality Management
Coordinator

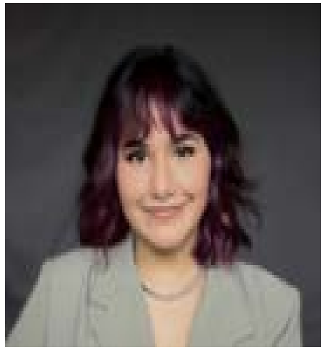
Raju Ghimire, Ph.D.
HRAU Research Analyst (EHE)

Austin Public Health
PREVENT. PROMOTE. PROTECT.

HIV Resources Administration Unit

Ken Martin
Program Manager

Brianna Young
HRAU Administrative Assistant



Tara Hinojosa, SSFS
(HOPWA)

Veronica Chavira,
Financial Analyst

Erin Brown
Grants Program Manager

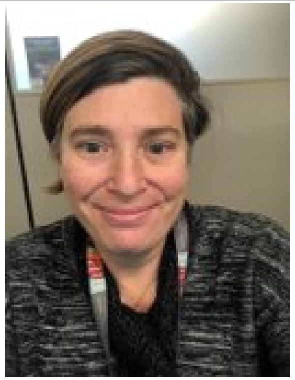
Sherry Lyles,
Business Process
Specialist

Jennifer La Blanc
Clinical Quality Management
Coordinator

Raju Ghimire, Ph.D.
HRAU Research Analyst (EHE)

APH Austin Public Health
PREVENT. PROMOTE. PROTECT.

Contract Compliance Unit



Natalie Cuccia,
Program Manager

Meghan Duncan, Contract Mgmt Specialist III

Elena Andres,
Contract Mgmt Specialist II

Ciarra Dortche, Contract Mgmt Specialist II

Erica Knelleken,
Contract Mgmt Specialist II

Vacant,
Contract Mgmt Specialist III

Vacant, Contract Mgmt Specialist II

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Austin Public Health

PREVENT. PROMOTE. PROTECT.

Solicitation Info/Reminders

How to Prepare for Competitions

- Read all notices from CityHS and your contract manager. They will inform you if your contract will be included in an upcoming competition.
- To get on the email list for competition announcements, ensure all contacts in PartnerGrants are accurate.
  - OR email a request APHCompetitions@austintexas.gov
- Ensure your SAM.gov registration is updated (required for federal funding).
- Visit the APH Social Services Competitions website: Competitions Website

How to Prepare for Competitions: Threshold Application

- Agencies submit a threshold application once every 12 months.
- Once APH approves, the threshold application is valid for all competitions closing within 12 months.
- Agencies don't have to submit a separate threshold application for each RFP competition.
- The threshold application includes the following elements (see the Competitions Website):
  - board composition
  - Bylaws
  - proof of paying taxes
  - Proof of non-profit status
  - past monitoring reports.
- The threshold application must be submitted in PartnerGrants . Save your approval emails from APH and note the submission date for future use.
- If you aren't sure if your agency has completed this step, please email APHCompetitions@austintexas.gov

Austin Public Health
PREVENT. PROMOTE. PROTECT.

How to Prepare for Competitions
Steps in the RFP process

Step 1: **Register:**
- As a City vendor with Austin Finance
- As an organization in PartnerGrants.

Step 2: Submit a **Threshold Application**
- Submit in PartnerGrants.
- Once approved, it will be valid for 12 months.

Step 3: Submit an **Intent to Apply** for each Proposal.
- Log into PartnerGrants, click on "Opportunity" and then on the title of the RFP. From there, complete:
  - Intent to Apply form
  - Threshold Certification that verifies you've completed the Annual Agency Threshold.

Step 4: **Submit your Proposal**
- Submit after your Intent to Apply
- Submit one Proposal per separate program
- Be sure to submit your early.

- For more information, please go to the APH Competitions Website

Austin Public Health
PREVENT. PROMOTE. PROTECT.

APH's Priority of Racial Equity in Programming

- Equity is a core value driving the implementation of City services. To advance equitable outcomes, the City of Austin is leading with a lens of racial equity and healing.

- The City's definition of Equity is the condition when every member of the community has a fair opportunity to live a long, healthy, and meaningful life. Equity means transforming local government from the inside out, eradicating disparities, and ensuring all Austin community members share in the benefits of community progress.

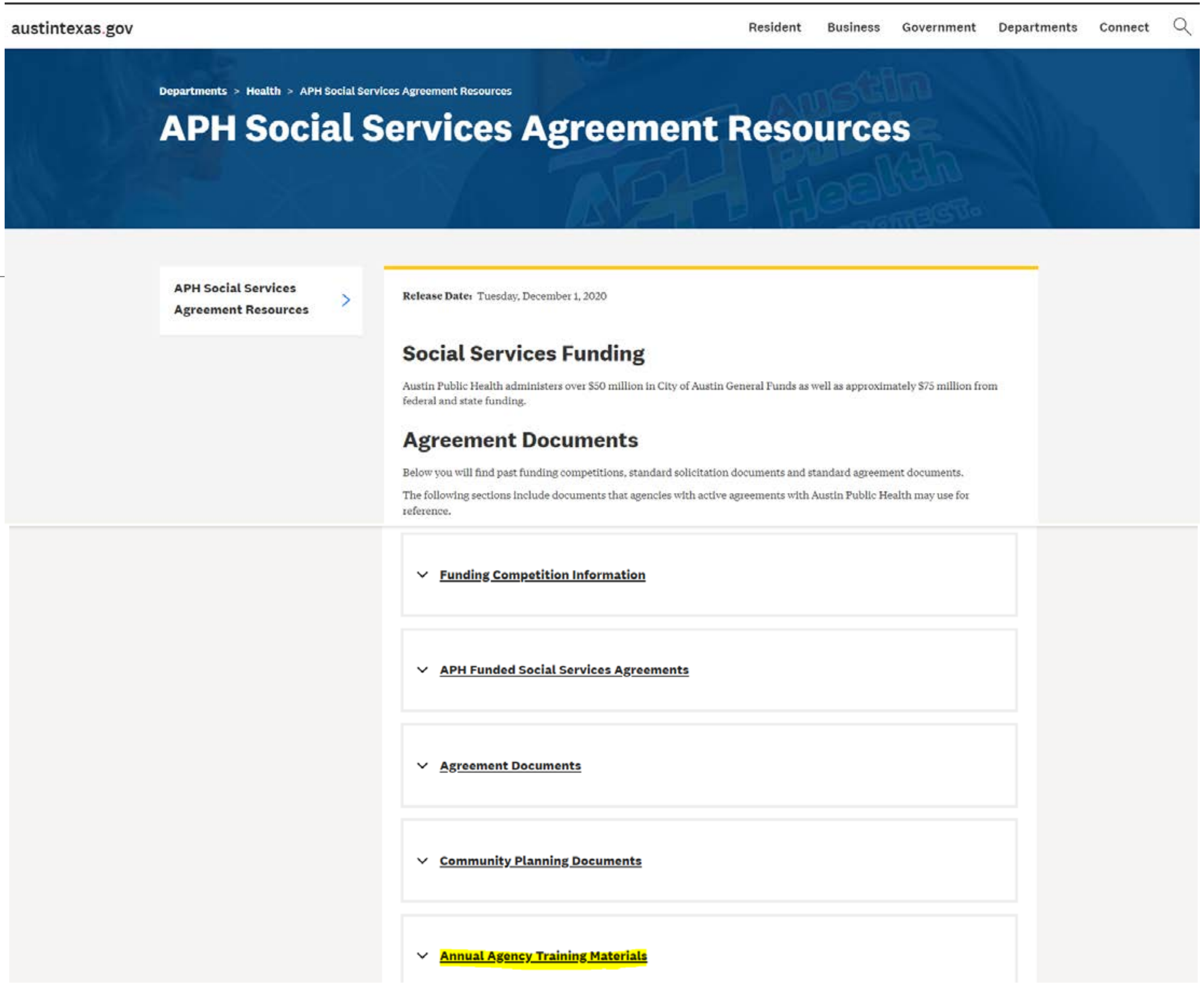
- APH prioritizes racial equity within department operations, services, and in funded programs. Solicitations for funding include a Racial Equity Assessment in applicants' Proposals.

Racial Equity Assessment:

- Data collection and analysis to guide work
- Performance measures to evaluate work in addressing racial disparities
- Board's plan to address racial disparities
- Participating in community work groups to address racial disparities
- Training events for staff and stakeholders to improve equitable outcomes.

Social Services Resources Website

- Funding Competitions
- APH Funded Social Service Agreement Issue Areas
- Agreement documents
- Community Planning Documents
- Annual Agency Training Materials



Knowledge Check!

1. How often are Threshold Applications submitted?

2. What RFP steps are due before submitting a Proposal?

Contract Package Overview

EMPOWERING YOU TO BE SUCCESSFUL

What is my contract package?

Boilerplate (Terms and Conditions)

Program Exhibits

- A1: Work Statement
- A2: Performance Measures
- B1: Budget & Narrative
- B2: Subgrantees
- B4: RRH Performance Based Payments Pilot

Standard Exhibits

- A3: Client Eligibility
- B3: Compensation Terms
- C: Non-Discrimination, legal requirements
- E: Business Associate Agreement
- D (1): HMIS
- D (2): ESG Program Forms
- D (3): CDBG Terms
- F (1): Travis County Interlocal
- F (2): Federal Award Identification
- G (1): ARPA Requirements
- G (2): Provisions to For Profit Entities

Austin Public Health
PREVENT. PROMOTE. PROTECT.

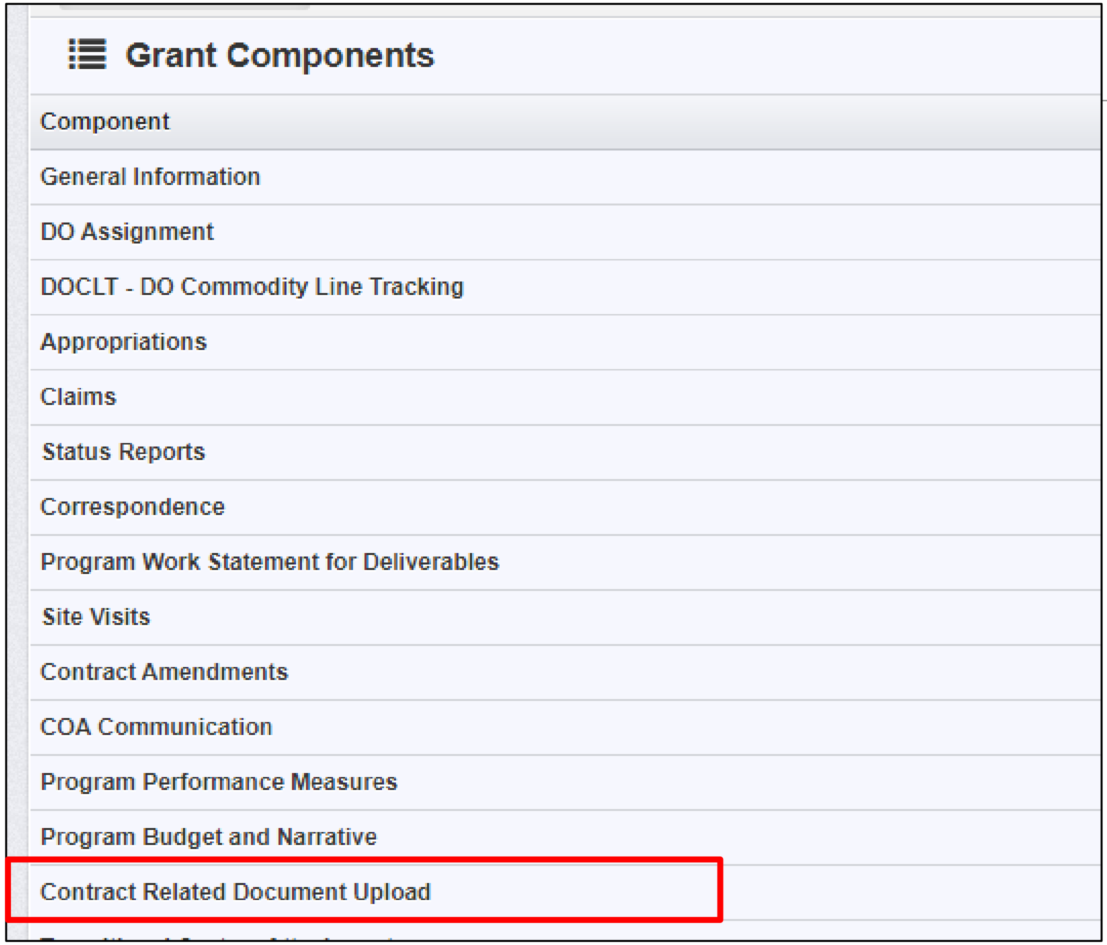
Contract Terms and Conditions

Please read your Social Services contract thoroughly!

Agencies are required to comply with the following:

- All the of the *Terms and Conditions* reflected in the Boilerplate
- The description of *services, goals, and specific items of cost* in the Program Exhibits
- The *additional requirements* reflected in the Standard Exhibits

Where can I find my executed contract?



Reporting Requirements

Section 4.2 in the Boilerplate

Claims: Due by the 25th of the month following the expenses incurred and paid

Performance: Due by the 15th of the month following the end of the quarter being reported

Mid-Year Spending Plan: Due by the 15th of the month following the first 6 months of the program period

Annual Progress Report: Due 45 days after the end of the previous program period

Contract Closeout Report: Due 60 days after the termination of the contract

Audit: Due 270 days after the end of the Agency's Fiscal Year

Annual Administrative Profile: Due 270 days after the end of the Agency's FY (different from the audit!)

Grantee Governance Documents: Grantee shall maintain written policies and procedures aligned with best practices and approved by its governing body and shall make copies of all policies and procedures available to the City upon request.

Insurance Requirements

Section 6.1 in the Boilerplate

General Liability Coverage: Required for all

Business Auto Liability Coverage: Required for all

Directors & Officers: Required for all

Crime / Employee Theft: Required for all – total amount of APH annual funding

Worker's Compensation: Required for services conducted on City owned/leased property

Professional Liability: Required if through the Agreement Professional Services are being provided

Property Damage: Required if you purchase capital items with APH funds

Sexual Abuse and Molestation: Required if you serve vulnerable groups

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Required Back-Up Documentation for Claims

Exhibit B.3: Compensation Terms
Section 3

General Ledger Detail report from Grantee's financial management system

OR

Transaction Detail by Account report from Grantee's financial management system

OR

Other reports that meet all 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

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Required Back-Up Documentation for Claims

Exhibit B.3: Compensation Terms
Section 3

Detailed General Ledgers

-Should not include items not represented in the total claim amount

-Should be subtotaled by ledger categories

-EXCLUDES personal identifiable information (PII)

-Should be totaled and match the claim amount <u>exactly</u>

-

<u>Ledgers not meeting these guidelines will be returned</u>

Example Ledger

Exhibit B.3: Compensation Terms Section 3

	Type	Date	Num	Name	Memo	Split	Amount	Balance
Expense								
60300 · Awards and Grants								
60500 · Assistance to Indiv & Families								
60310 · Assistance to Families								
	Check	08/01/2023	1271	HACA		10204 · [redacted]	264.00	264.00
Total 60310 · Assistance to Families							264.00	264.00
Total 60300 · Awards and Grants							264.00	264.00
62800 · Facilities and Equipment								
62890 · Office Lease, Utilities								
	Check	08/03/2023		3145 PHMB, LP		10204 · [redacted]	2,791.25	2,791.25
Total 62890 · Office Lease, Utilities							2,791.25	2,791.25
Total 62800 · Facilities and Equipment							2,791.25	2,791.25
65000* · Operations								
65111 · Community Outreach Expenses								
65111 · Community Outreach Expenses - Other								
	Check	08/22/2023		Constant Contact		10204 · [redacted]	86.00	86.00
Total 65111 · Community Outreach Expenses - Other							86.00	86.00
Total 65111 · Community Outreach Expenses							86.00	86.00
65049 · Computer, Internet Expense								
Time Warner								
	Check	08/14/2023		Time Warner		10204 · [redacted]	122.98	122.98
Total Time Warner							122.98	122.98
65049 · Computer, Internet Expense - Other								
	Check	08/01/2023		Social Solutions		10206 · [redacted]	551.28	551.28
	Check	08/01/2023		Canva.com		10206 · [redacted]		
	Check	08/03/2023		Simpletexting.com		10204 · [redacted]	51.28	615.55
	Check	08/03/2023		Simpletexting.com		10204 · [redacted]	67.15	682.70
	Check	08/04/2023		Docusign		10206 · [redacted]	45.00	727.70
	Check	08/09/2023		Docusign		10206 · [redacted]	45.00	772.70
	Check	08/14/2023		Box Inc.		10204 · [redacted]	40.00	812.70
	Check	08/15/2023		Zoom		10204 · [redacted]	55.99	868.69
	Check	08/15/2023		Arlo Technologies		10202 · [redacted]	2.99	871.68
	Check	08/15/2023		Arlo Technologies		10202 · [redacted]	2.00	873.68
	Check	08/17/2023		Clockify		10204 · [redacted]	49.95	923.63
	Check	08/18/2023		Trello.com		10206 · [redacted]	28.12	951.75
	Check	08/21/2023		jotform		10202 · [redacted]	19.50	971.25
	Check	08/23/2023		Zoom		10204 · [redacted]	57.49	1,028.74
	Check	08/24/2023		Ooma		10204 · [redacted]	119.60	1,148.34
Total 65049 · Computer, Internet Expense - Other							1,148.34	1,148.34
Total 65049 · Computer, Internet Expense							1,271.32	1,271.32
62502 · Professional Fees								
Accounting								
	Check	08/31/2023	3476	[redacted]	Accounting work for August 202:	10204 · [redacted]	1,700.00	1,700.00
Total Accounting							1,700.00	1,700.00

Page 1 of 3

EXCLUDE/ redact personal identifiable information (PII) such as credit card numbers, financial account numbers, etc...

Austin Public Health

PREVENT. PROMOTE. PROTECT.

Example Ledger

Exhibit B.3: Compensation Terms
Section 3

August 2023

	Type	Date	Num	Name	Memo	Split	Amount	Balance
	Paycheck	08/26/2023	3473	[redacted]		10204 [redacted]	53.07	410.22
	Paycheck	08/26/2023	3473	[redacted]		10204 [redacted]	-53.07	357.15
	Paycheck	08/26/2023	3474	[redacted]		10204 [redacted]	10.79	367.94
	Paycheck	08/26/2023	3474	[redacted]		10204 [redacted]	-10.79	357.15
	Paycheck	08/26/2023	3475	[redacted]		10204 [redacted]	9.92	367.07
	Paycheck	08/26/2023	3475	[redacted]		10204 [redacted]	-9.92	357.15
	Paycheck	08/28/2023	82823	[redacted]		10204 [redacted]	5.42	362.57
	Paycheck	08/28/2023	82823	[redacted]		10204 [redacted]	-5.42	357.15
	Check	08/30/2023		[redacted]		10204 [redacted]	186.83	543.98
Total 72002 · Payroll Tax Exp - Co Match -MED							267.11	267.11
77500 · Wages Expense								
77501 · City of Austin City								
	Check	08/14/2023		[redacted]		10204 [redacted]	3,692.31	3,692.31
	Check	08/28/2023		[redacted]		10204 [redacted]	3,692.31	7,384.62
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	587.50	7,972.12
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	[illegible]	[illegible]
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	340.00	11,972.12
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	987.50	12,959.62
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	3,660.00	16,619.62
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	744.00	17,363.62
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	684.00	18,047.62
	General Journal	08/29/2023	97	[redacted]		77504 [redacted]	374.00	18,421.62
Total 77501 · City of Austin City							18,421.62	18,421.62
Total 77500 · Wages Expense							29,198.66	29,198.66
Total Expense							35,606.86	35,606.86

EXCLUDE/ redact personal identifiable information (PII) such as street address, identification numbers, first and last names, etc...

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Allowable and Unallowable Expenses

Exhibit B.3: Compensation Terms
Sections 10.1, 10.2, & 10.3

Section 10.1: What is Allowable – this applies to Reimbursement AND Deliverables agreements

10.1.1 To be allowable under this Agreement, a cost must meet all the following general criteria:

- Be reasonable for the performance of the activity under the Agreement
- Conform to any limitations or exclusions set forth in this Agreement
- Be consistent with policies and procedures that apply uniformly to both government-financed and other activities of the organization
- Be determined and accounted in accordance with generally accepted accounting principles (GAAP)
- Be adequately documented

Section 10.2: What is Allowable with Prior Contract Manager Approval

Section 10.3: What is Never Allowable

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Allowable and Unallowable Expenses

Exhibit B.3: Compensation Terms
Sections 10.1, 10.2, & 10.3

Section 10.2: What is Allowable with Prior Contract Manager Approval

10.2 The City's prior written authorization is required in order for the following to be considered allowable costs. Inclusion in the budget within this Agreement constitutes "written authorization." The item shall be specifically identified in the budget. The City shall have the authority to make the final determination as to whether an expense is an allowable cost.

1. Alteration, construction, or relocation of facilities;
2. Cash payments, including cash equivalent gift cards such as Visa, MasterCard, and American Express;
3. Equipment and other capital expenditures;
4. Interest, other than mortgage interest as part of a pre-approved budget under this Agreement;
5. Organization costs (costs in connection with the establishment or reorganization of an organization); ...

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Allowable and Unallowable Expenses

Exhibit B.3: Compensation Terms
Sections 10.1, 10.2, & 10.3

Section 10.3: What is Never Allowable

The following types of expenses are specifically not allowable with City funds under this Agreement. The City shall have the authority to make the final determination as to whether an expense is an allowable cost.

1. Alcoholic beverages;
2. Bad debts;
3. Compensation of trustees, directors, officers, or advisory board members, other than those acting in an executive capacity;
4. Contingency provisions (funds) (Self-insurance reserves and pension funds are allowable);
5. Defense and prosecution of criminal and civil proceedings, claims, appeals, and patent infringement;
6. Deferred costs;
8. Donations and contributions, including donated goods or space;
9. Entertainment costs, other than expenses related to client incentives;
10. Fines and penalties (including late fees);
11. Fundraising and development costs;
12. Goods or services for officers' or employees' personal use
19. Taxes, other than payroll and other personnel-related levies; etc ...

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Zero Dollar Claims

Don't Have a Claim This Month?
Still Have Money Left to Reimburse?

A $0 Claim is <u>required</u> by the due date!

Austin Public Health

PREVENT. PROMOTE. PROTECT.

Upcoming Training Opportunities

Knowledge Check!

1. The document which contains all the standard terms and conditions is known as the:
A. Boilerplate
B. Cover Page
C. Exhibit Prime
D. Program Work Statement

2. The board of directors and executive leadership are having a meeting and dinner is ordered for everyone, this an allowable expense that can be charged to the program - True or False?

3. Agency staff purchase office supplies to be used for the contracted program, they forget to use the tax-exempt form at the check-out resulting in sales tax being applied, the amount is small so it would be acceptable to include the sales tax on their reimbursement request - True or False?

AUSTIN Independent School District
AUSTIN REVITALIZATION AUTHORITY
allgo
THE PARAMOUNT THEATRE
Integral Care
Austin Voices for Education and Youth
SOBERING CENTER SERVING AUSTIN & TRAVIS COUNTY
URBAN ROOTS
FARM SHARE AUSTIN
Breakthrough
EQUIDADATX
BOYS & GIRLS CLUBS OF THE AUSTIN AREA
CENTRAL TEXAS FOOD BANK

Human Trafficking for Homeless Services Providers

Austin Public Health Homeless Strategy Division (HSD) and Austin Police Department Victim Services Unit (VCU) invite all homeless service providers and partners to attend this one-hour training on human trafficking. By the end of the training, attendees will be able to:

Recognize indicators of individuals experiencing homelessness who are at risk of human trafficking or may be being trafficked;
Safely report suspicious activity to the appropriate authorities; and
Support survivors of human trafficking through referrals to available support services.

Training will be held **Thursday, November 16 at 11:00 am**.

Register online at https://events.gcc.teams.microsoft.com/event/21dd6f9f-b009-4289-a45d-228737bc7412@5c5e19f6-a6ab-4b45-b1d0-be4608a9a67f.

Please share this opportunity with your staff and partners in Austin's Homeless Response System. If you are unable to attend at the scheduled time, please feel free to RSVP, the training will be recorded and later shared with participants and registrants.

Any questions can be sent to Kali Adams, HSD Senior Planner at kali.adams@austintexas.gov

Austin Public Health
PREVENT. PROMOTE. PROTECT.

PartnerGrants Orientation

This online agency user orientation will discuss how to register your organization in the PartnerGrants system, submit reimbursement requests, and report your organization's ongoing performance.

January 2, 2024 at 9am or **January 3, 2024 at 1pm**

Please Register at EventBrite

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Making changes to your contract

GUIDANCE FOR CONTRACT AMENDMENTS

Why Amend?

An amendment is necessary to change any of the following:

- Any term, condition, or provision contained in the boilerplate of the original agreement or contained in a prior amendment
- Any program exhibit from the original agreement, such as the Program Work Statement.
- Any standard exhibit in the agreement such as the Business Associate Agreement.
- The term or period of the agreement, including any renewal periods
- The dollar amount of the agreement (reduction or increase)
- To move money between budget line items ($50,000 or 25% of total agreement, whichever is less)
- The legal name of the grantee
- Any other "significant change" to the original or previously amended agreement that is mutually agreed upon by the City and the grantee

A good way to determine if you need an amendment is to ask:

Does it affect the program implementation, service delivery, or the work being accomplished?

Austin Public Health
PREVENT. PROMOTE. PROTECT.

<u>General Guidance</u>

- Any significant change cannot affect the overall contract integrity.
- Some minor adjustments may be allowable without an amendment.
- If you think you want or need to make an amendment, **<u>ask your contract manager.</u>**
  - Your contract manager will work with you do determine appropriateness and next steps.

Notes on Amendments

- Agreement amendments cannot take place within 60 days of each other. At least two months are required between agreement execution or amendment and any subsequent amendments for the duration of the agreement.
- Agreement amendments may not take place within 60 days after a program period begins or contract execution date, whichever is later.

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Knowledge Check!

1. General Guidance with Amendments can be found? (Multiple Choice)

2. Agreement amendments may not take place within 60 days after a program period begins or contract execution date, whichever is later. True or False?

3. Agreement amendments may not take place within 60 days after a program period begins or contract execution date, whichever is later: True or False?


Break

Client Eligibility Overview

CLEAR WORK STATEMENTS HELP EVERYONE!

General Client Eligibility Requirements

1. Resident of the City of Austin Full Purpose Jurisdiction and/or Travis County

2. Family income must be 200% or less of current Federal Poverty Level

3. Identification

- Government-issued,
- Or Self-Declaration of Identity, signed by client, and supported by residency documentation

Exhibit A.3: Client Eligibility Requirements

- Contractually binding, unless otherwise stated in Work Statement
- Includes definitions of income, acceptable documentation, recertification, etc.
- Subcontractors follow same requirements
- Client eligibility for other programs does not mean they are eligible for CoA

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Client Recertification

- Every 12 months, unless required earlier by change in family circumstances or grant funding source
- Within 45 days of client notification to agency: change in family income, residence, family composition, etc.

Scenario	When to re-certify?	What needs to be re-certified?
Client has been enrolled in program for more than 12 months	Re-certify by the 13th month from when eligibility was originally established. Example – Client's eligibility was certified in 10/2021, then again by 11/2022	Identity Residency Income with Family Size Includes required supporting documentation and client signature
Client has changed identity	Within 45 days from when contractor is notified	Only the item that changed. For example, proof of address. Must include the supporting documentation required for original eligibility.
Client has had a change in residency		
Client has a change in family composition		
Client has a change income		

Exceptions Included in Exhibit A.3

Income and residency eligibility is waived for:

1. Survivors of domestic violence
2. Individuals experiencing homelessness
3. Eligibility exceptions for any other type of clients and/or documentation must be described in Contract Work Statement

Client Self-Declaration of Income form:

1. Programs that do not provide financial assistance
2. Or any program with a client who has no income, or doesn’t have income documentation for the previous 28 days

Exceptions

(continued)

Every program is unique:

- Program Work Statement supersedes Exhibit A.3
  - Federal or State requirements may supersede A.3, so include relevant language in work statement

- Work with Contract Manager to include appropriate programmatic info in the Work Statement

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Documentation in Client File

Reviewed during monitoring:

- ❑ Is client eligible?
- ❑ How was eligibility determined?
- ❑ Is application and other documentation in file accurate and complete?
  - Application signed and dated by client and staff
  - Avoid blanks: put N/A or remove category in application
  - Date stamp when agency received documents
  - Who completed the intake?
- ❑ Is there a Release of Information?
  - Signed and dated by client
  - If client is experiencing homelessness, HMIS ROI signed and dated by client

Have more questions?

The City has final authority on client eligibility

Work with your contract manager! We like answering questions.

Knowledge Check!

1: Clients must be recertified, at a minimum, every __ months.

2: Sub-contractors have to follow the same requirements under Exhibit A.3 if they are providing services to clients - True or False?

3: If there is a question about a client's eligibility what should an agency do?

A. Make an educated guess and, if wrong, ask for forgiveness later

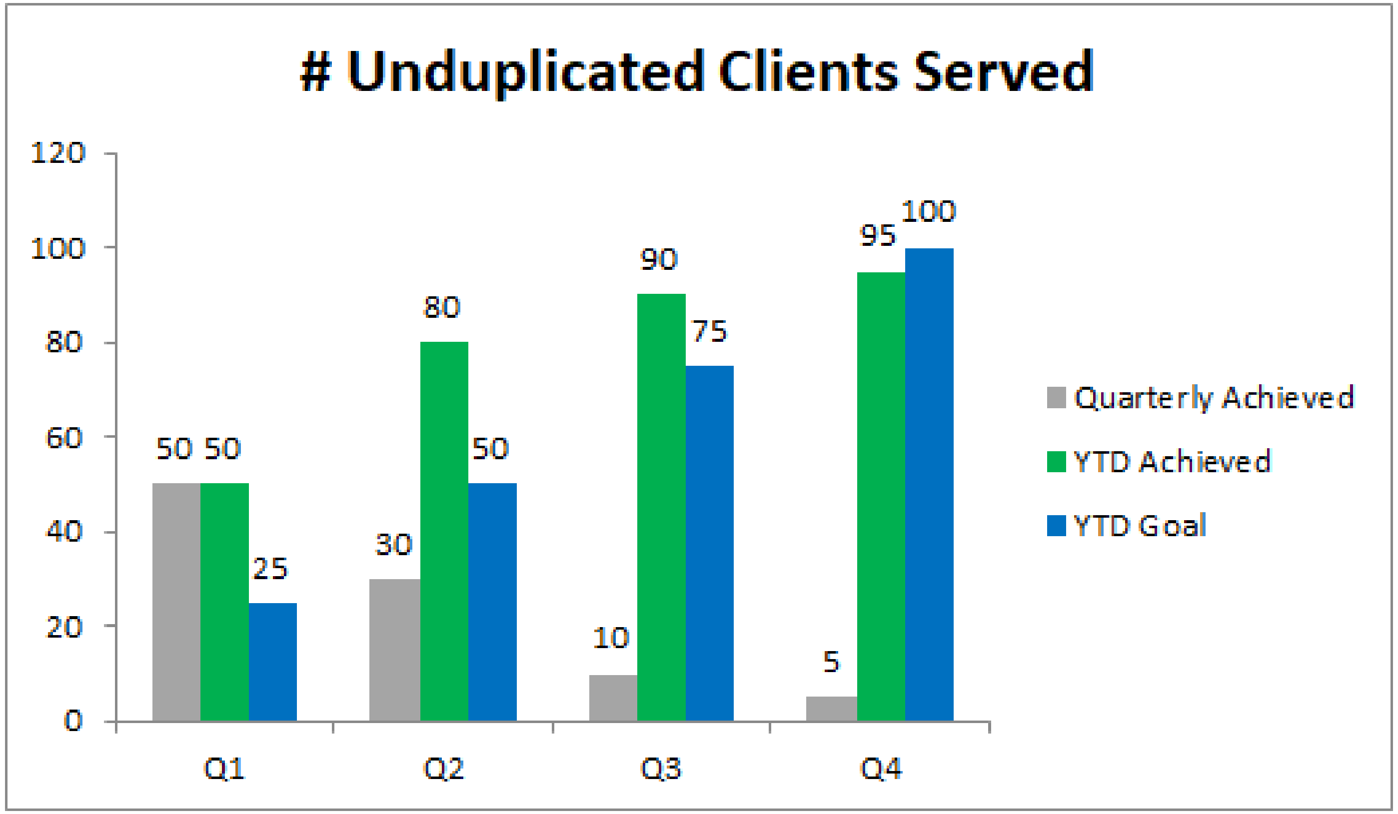
B. Contact your City Contract Manager to have them verify eligibility

C. Assume the client is actually ineligible just to be safe

Performance Reporting

Reporting Performance

Output 1: Number of Unduplicated Clients Served in 12-month period (total, regardless funding source)
City-funded vs. Other-funded: City percentage of Budget – determined by Budget and Narrative



	Variance
Q1	100%
Q2	60%
Q3	20%
Q4	5%

***Same process for all outputs and outcomes**

Reporting Variances with Unduplicated Clients

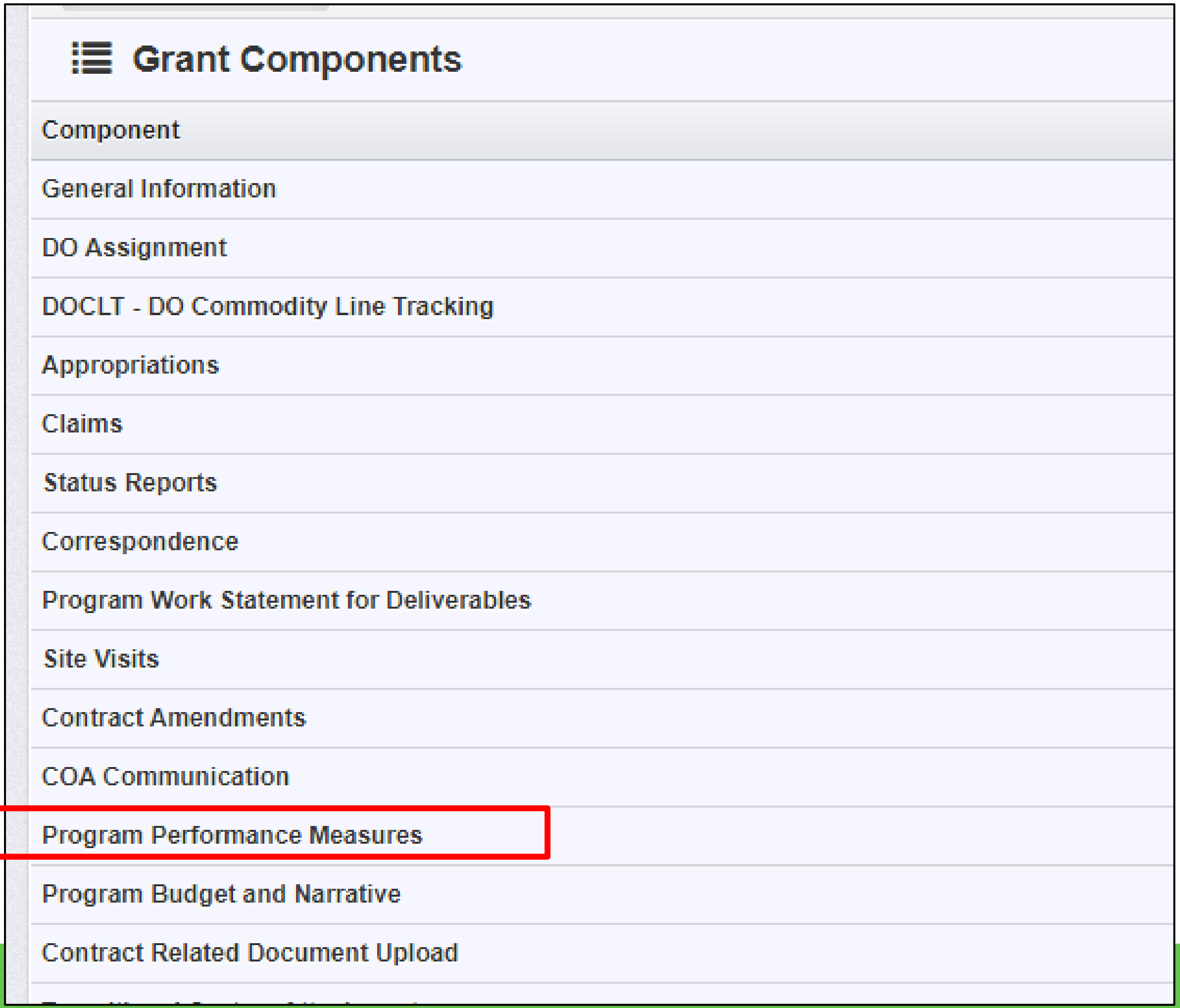
General Information:	The Status Report Type is Quarterly Performance				
Report Period:					
	From Date	*To Date*			
Quarterly Performance:	Click Edit at the top of the screen to unlock, after the Unduplicated Clients Served section has been completed and any additional documents uploaded, select Save to return to the main Status Report page				
Quarter Reported:					
Total Possible Quarters:					
Unduplicated Clients Served:					
This Quarter:					
Adjusted Number:		27.25	<-Quarterly Goal		
Unduplicated Clients YTD:	48	0	<-YTD Goal		<-YTD Variance
YTD Variance Explanation:					

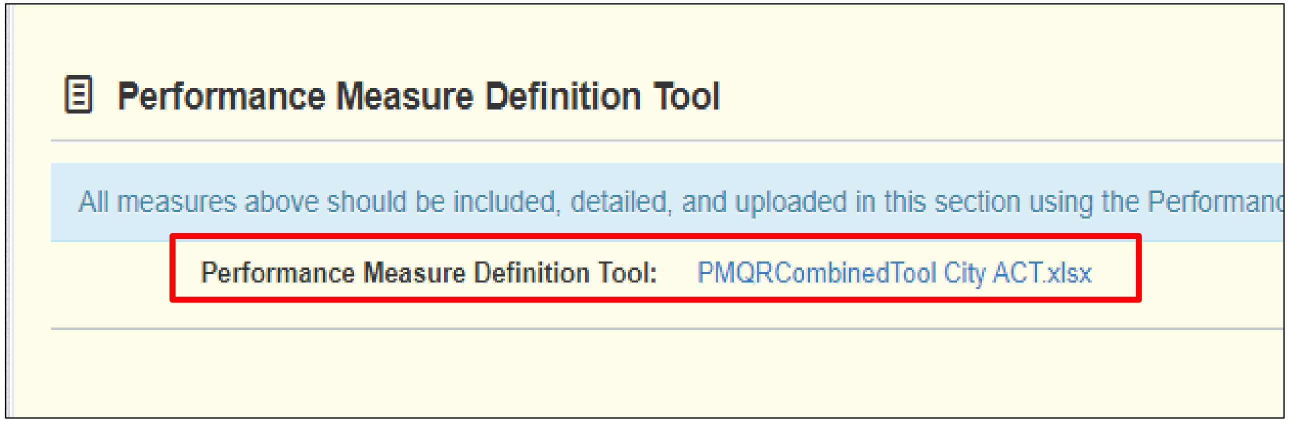
Yellow Box = explanation required

Unduplicated Clients Served:					
This Quarter:	77				
Carry-Forward/Roll-Over Clients:		75	<-Quarterly Goal		
Unduplicated Clients YTD:	77	75	<-YTD Goal	2.67%	<-YTD Variance
No Variance Explanation Required					

Green Box = no explanation required

Where can I find my PMQR?





Troubleshooting Performance Issues

Explanations for Variance

If the variance is greater than 10%, provide an explanation:

- Should explain the YTD number, not the quarter number
- Should state why YTD is more than or less than anticipated
- Do not re-state the data
- Do not copy/paste

Counting Clients

Use the PMDT, which is first tab in the PMQR spreadsheet

- Do not change the PMDT without discussing with CM
- Clients are unduplicated within 12 months, but may carry-forward into next year
- *Only count clients in the denominator when it is possible for them to be counted in the numerator, so if a client exits program or completes survey, then count them in numerator as successful or not*

Ensure numbers and explanations in PMQR match Status Report

If it's in the PMQR, it goes into the Status Report

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Knowledge Check!

1. In reporting the unduplicated client count, an agency must not carry-forward clients from the last program period's 4th quarter into the new period's 1st quarter - True or False?

2. When should a variance explanation be included on the quarterly report for a measure?

   A. When the reported YTD is at a -11% variance

   B. When the reported YTD is at a -9% variance

   C. When the reported YTD is at 12% variance

   D. Both A and C - Correct Answer

3. If you find the PMQR is broken or outdated, an agency should

   A. Attempt to fix it internally

   B. Ignore the errors and manually type in everything

   C. Contact your City Contract Manager to have them fix it - Correct Answer

   D. Discard it and hope no one asks about it

Contract Compliance Unit

ONCE EACH YEAR, WE NEED TO LOOK AROUND

CCU Overview

- CCU Scope
  - Monitored 188 agreements from 86 agencies in FY23
  - Social services contracts & Federal/State grant monitoring
  - 3 Monitoring areas: performance, financials, organizational practice

- Contract clauses related to monitoring
  - Audit/AAP – Section 4.2.5, Section 4.5
  - Records Retention – Section 4.5, Section 4.5.8
  - Monitoring & evaluation - Section 4.4
  - Right to Audit – 4.5.8

Safeguarding Information

- CCU staff:
  - Must pass criminal and financial background checks
  - Sign confidentiality agreements, receive data security training annually
- Data Encryption
- APH does NOT retain any identifying information for clients or agency staff
  - Documents uploaded to Box.com are securely deleted after monitoring is completed.
- Alternatives to Remote Monitoring
  - Screen sharing sessions
  - In-person monitoring, if requested

Audit, AAP and Records Retention

- **Audit & AAP Submission** *(Sections 4.5 [Audit] & 4.2.5 [AAP] in social services boiler)*
  - The AAP and Audit are due 270 days after the end of your fiscal year
  - Your Audit(s) and Board Certification Form can be submitted electronically to CityHS@austintexas.gov
  - The AAP must be submitted in PartnerGrants by the same date as the Audit (extension requires formal approval)
  - Submitting your audit & AAP YouTube Video

- **Financial Audit of Grantee** *(Section 4.5 in social services boiler)*
  - CPA presents to the Board or committee of the Board for approval/acceptance
  - CPA must be licensed in the same state that your agency is headquartered

- **Records Retention Reminder** *(Section 4.5 in social services boiler)*
  - Retain all records for 5 years after the last transaction on the agreement (usually a closeout report and the final payment, which often occurs after expiration of the agreement).

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Before The Monitoring

- WE research agreement(s) and information in PartnerGrants
  - Policies and Procedures – *(Section 4.3.1 in social services contract boiler)*
  - Program Work Statement
- WE email you notification documents 30 business days prior to start of monitoring
  - Documents Required / What to Expect
  - Request for sample lists
  - Remote vs On-Site monitoring
- YOU submit requested lists for sampling
- WE select samples and send those in the appropriate timeframe for your monitoring type (remote vs on-site)
- YOU pull requested backup documentation for monitors to review.

Financial Monitoring

- Backup documentation
  - Payroll documents (employee timesheets/paystubs; proof of payment; Forms 940/941)
  - Copies of receipts and invoices
  - Proof of payment (bank/credit card statements; checks)

- Refer to Exhibit B3 – Compensation Terms in your contract

Eligibility & Performance Monitoring

- ❑Eligibility – refer to Exhibit A3
  - ❑Identity / Residency / Income
  - ❑Exceptions to eligibility criteria

- ❑Performance
  - ❑Outputs – NEW clients served
  - ❑Outcomes – performance measures

Organizational / Administrative Monitoring

- Agency policies – Section 4.2.5

- Employee & Volunteer Files
  - Job descriptions, required licenses/certifications
  - Evidence a background check was conducted, if required.
  - Forms I-9

- Sub-Grantee Information
  - MOU between agency and sub-grantees
  - Monitoring Reports
  - On-time payments

After The Monitoring

- WE compile and assess the data
- WE issue a draft report and monitoring tool
- YOU review the draft report and send responses within 5 business days
- WE finalize your report or letter
  - Final Report and Corrective Actions Plan, if required
  - Monitoring Close-Out Letter

Austin Public Health
PREVENT. PROMOTE. PROTECT.

Report Terminology

Infraction	Oversight Issue	Recommendation
An issue identified that violates federal, state or local laws, or breaches the terms of the agreement to an extent that jeopardizes the investment made by APH. May also be an issue that was previously identified at a different level.	An issue that could lead to violations in federal, state, or local law; a small number of minor errors in files or documentation, or a failure by the grantee to follow their own policies and procedures.	A suggestion or generally accepted business practices that the agency could implement to reduce risk and strengthen internal controls, operations, internal policies, or procedures.

Austin Public Health
PREVENT. PROMOTE. PROTECT.

In Summary

Monitoring Process

- Monitoring Reminders
  - 3 areas of monitoring
  - Read your contract & notification documents (especially “What to Expect”)
  - Sampling process
  - Post monitoring follow up & reporting
  - Your lead monitor is your guide
  - Take a deep breath!

- We are here for your success!

Knowledge Check!

1. What type of financial backup documentation do monitors need to view during monitoring?
   A. Invoices and/or receipts for billed expenses
   B. Bank and/or credit card statements
   C. An itemized list of expenses billed
   D. Both A & B

2. Which of the following eligibility criteria can a client NOT self-attest to?
   A. Residency
   B. Income
   C. Identity
   D. A client can self-attest to any eligibility criteria

3. Who is your main point of contact during a monitoring?
   A. Your contract manager
   B. The lead monitor
   C. CCU Program Manager Natalie Cuccia
   D. The support monitor

Wake up! It’s almost over…

Final Questions?

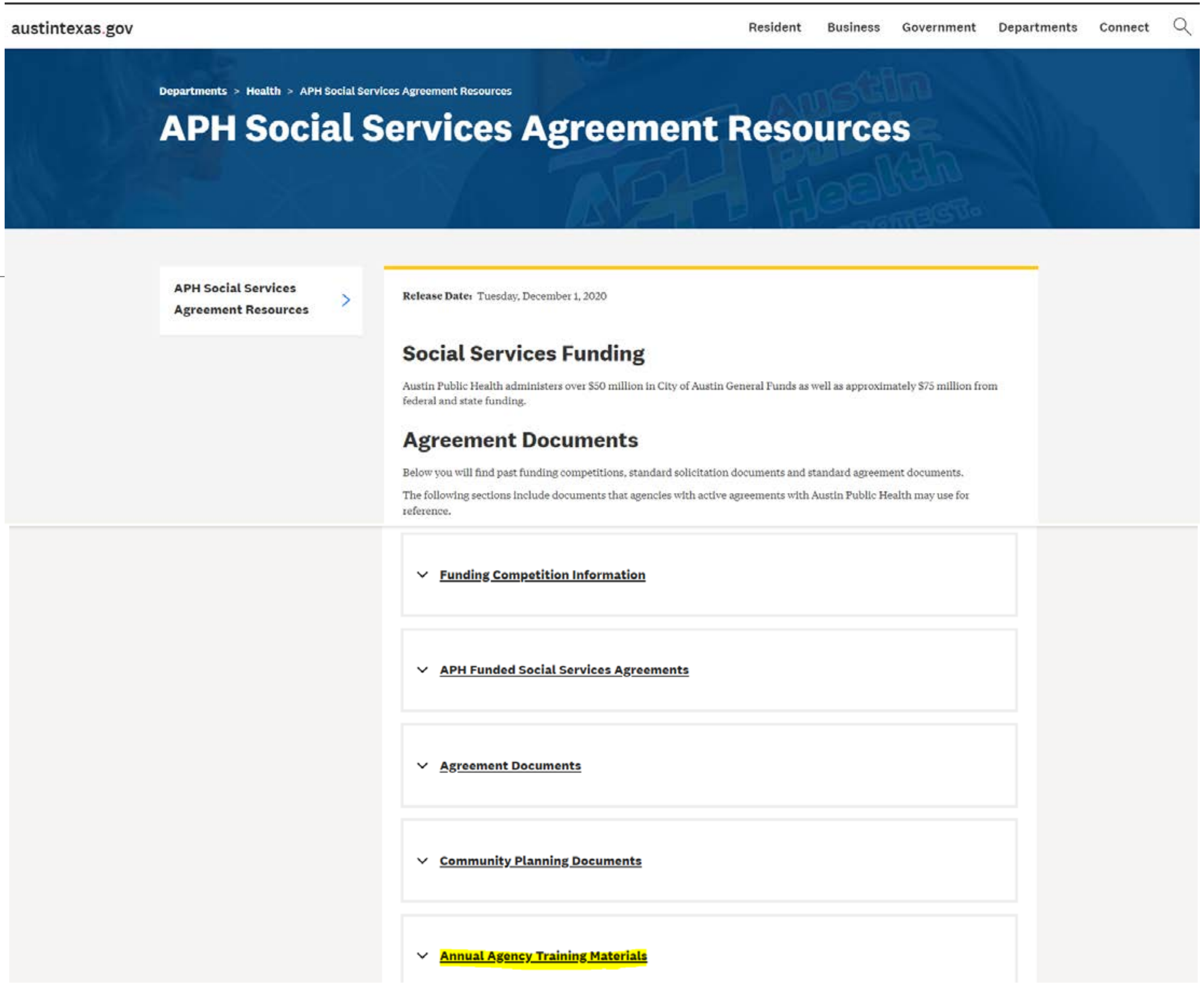
Austin Public Health

PREVENT. PROMOTE. PROTECT.

Final Reminders

Social Services Resources Website

- APH News –Subscribe!
- Funding Competitions
- APH Social Service
- Agreements categories
- Agreement documents
- Community Planning Documents
- Annual Agency Training Materials



Thank You for Your Participation

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