

Grant and Contract Reporting Guidance

Contacts

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Monthly Financial Reporting

1) Expense Reimbursement – Claim Form

- a) For all Contracts, submit the monthly Claim by the **15th of the following month**.
- b) Submission of the Claim Form and supporting documentation:
 - i) The Claim form and related documentation must be complete and correct prior to submission.
 - ii) If an issue is found with the Claim or related documentation, the Financial Reporting Coordinator will return the Claim to the agency for correction via the Negotiation process in PartnerGrants.
- c) Payments are issued within 30 days of the submission of an approved Claim.
 - i) If the Claim requires re-submission, the deadline will restart upon the date of re-submission.
- d) Approval guidelines
 - i) *Approved:*
 - (1) Accounting and documentation follow standard practice
 - (2) The request aligns with the budget
 - ii) *Provisionally Approved:* The Claim is approved and forwarded for payment. A request is sent to the agency to address outstanding issues, and/or to clarify expectations going forward and corrective action needed. Follow up items are to be addressed prior to the submission of the next Claim to avoid delays of future payments.
 - (1) If the variation of the request is within +/-10% of the budgeted range, follow-up will be requested to evaluate the request for approval as required by the contract terms.
 - (a) A budget revision will be generated.
 - (2) Percent allocation to any expense item is not reported or is unreasonable and/or the expenses are categorized incorrectly.
 - iii) *Not Approved:* If a Claim is not approved, notification is sent detailing follow up items needed for approval. All follow up items must be addressed. Examples of follow up items may include:
 - (1) Request is out of scope
 - (2) Missing documentation
 - (3) Claim reports expenditures not included in the budget.
 - (4) Percent allocation to any expense item is not reported or is unreasonable and/or the expenses are categorized incorrectly.

2) Leveraged and Match Funds Reporting

- a) For all Contracts, additional resources supporting the program are reported in the Claim form in the Match column.
 - i) For the GTOPS program submit information in the Match column for the prior six months with the Claim for the **6th month** of the grant contract period, and at closeout per guidance in the Mid-Year and Closeout Reporting section.
 - ii) For Austin Public and Community Technology Access Labs/Digital Literacy Skills Training program, submit leveraged resources in the Match column on a **quarterly basis (Jan 15th, Apr 15th, July 15th, Oct 15th)**, and at closeout per guidance in the Mid-Year and Closeout Reporting section.
- b) For all Contracts, here are the three categories of additional resources that qualify as program support:
 - i) *Cash*: Amounts supported through other funding sources by expense line;
 - ii) *In-kind*: Amounts that represent goods, services or facilities provided to the program without remuneration
 - (a) Example: Donated professional services or skilled labor valued at a “reasonable and customary rate”.
 - iii) *Volunteer hours*: (\$25.43 per hour, as of this update) supporting the program utilizing the volunteer hourly rate for Texas as published by [Independent Sector](#).

FAQ

1) What happens if we need to revise the budget? What do I do, and what is the process?

- a) For all Contracts, the Program Budget is a final contract document. To request a change, the Financial Reporting Coordinator will evaluate the request against the following categories to approve or not approve the changes:
 - i. Impact on program deliverables
 - ii. Changes on time to do the work
 - iii. Changes on total budget
- b) Changes that result in a smaller impact on the above categories are more likely to be approved than larger changes.
 - i. Changes that are less than or equal to 10% of the approved budget OR total \$10,000 or less:
 1. Changes are considered and revised in the course of reviewing the Claim request.
 - ii. Changes that are the greater of: 10%+ of the approved budget OR \$10,000+:
 1. Changes that meet these criteria will follow the budget revision process that follows.
 2. To formally request a change to the budget, email the Financial Reporting Coordinator to:
 - a. Inform of the requested change
 - b. Detail the projected impact to the program
 - c. Recommend solutions including other sources to address change in funding.
 3. The Contract Financial Coordinator will review the proposal and any additional information requested. The Vendor will receive notification in writing to revise the budget and adjust in the PartnerGrants System.

- 2) **What is the procedure when an error is made in submitting the monthly claim?**
 - a) For all contracts, the Claim will be negotiated back to the contractor by the Financial Reporting Coordinator in the following circumstances:
 - i. The Financial Reporting Coordinator has detected an error or insufficient detail in the Claim submission.
 1. An email will be issued to the contractor in the case of a “Not Approved” (2di) or “Provisionally Approved” (2dii) decision with information on next steps.
 - ii. The contractor has identified a needed edit prior to the processing of the Claim payment.
 1. Contact the Financial Reporting Coordinator notifying them of the needed change. Next steps will then be provided to the agency.

- 3) **What happens if we don’t spend all the contract funds within the contract period?**
 - a) For all Contracts, funds are to be expended aligned with the adopted Budget by the end of contract term. If funds are not expended within the contract period, the funds will revert to the City.
 - b) For any questions about the inability or possible inability to expend all funds within the contract term, please contact the Financial Reporting Coordinator.

- 4) **What happens if we do not have expenses for reimbursement in a month?**
 - a) For All Contracts, Submit a Claim in the amount of \$-0-. Report any matching/leveraged resources if the Claim is for the 6th or 12th month of the contract.

Program Performance Reporting

- 1) **What are the due dates for the Quarterly Performance Reports (Status Reports)?**
 - a) For all Contracts, Quarterly performance reports (Status Reports) are due by close of business on the **15th of the month following each quarter**. If the 15th falls on a weekend or holiday, the deadline is extended to the close of business the next workday. Deadlines are:
 - i) Jan 15th – Covers October 1 to December 31
 - ii) April 15 – Covers January 1 to March 31
 - iii) July 15th – Covers April 1 to June 30
 - iv) October 15 – Covers July 1 to September 30

- 2) **General Performance Reporting Guidance**
 - a) For all Contracts, Reporting Quarter Number will start with Q1
 - b) All contractors will report (4) Total Quarters for the Contract Period
 - c) If you have a variance of more than 10% from the expected performance, enter detailed notes in the provided narrative box (“YTD Variance Explanation” for output measures and “Explanation of Variance for YTD Rate” for outcome measures) with either justification or explanation of the variance. The narrative should describe:
 - (1) What caused the variance
 - (2) If the issue has been addressed
 - (3) If it is likely to happen again
 - (4) If the annual targets are still likely to be met
 - d) For notes affecting all measures or overall performance, please enter detailed notes in the “Status Report Comments” box in the Status Report Certification section of the report.
 - e) For a guide on how to submit the performance reports, please see:

<https://www.youtube.com/watch?v=6gwZNkxd9sY&t=408s>

- 3) **What is the difference between duplicated and unduplicated?**
 - a) For all Contracts, Unduplicated is the count for a single client per service offered over the whole contract period, not each quarter.
 - i) *Example A:* Client A receives classroom training spanning 6 months of classes and a certificate upon successful completion. Client A also attended a workshop where they received job search assistance and resume writing experience. Client A would be counted as two unduplicated clients.
 - ii) *Example B:* Client B receives classroom training and a certificate in Q1. Client B enjoyed the training so much, they took the class again in Q3 and in Q4. Client B would be counted as one unduplicated client.

- 4) **When submitting our Quarterly Performance Report, should any data be reported as City portion only?**
 - a) No. All data entered for the performance reporting should represent total performance for all contracts. No City portion calculation is required for any portion of the report.

- 5) **Why are detailed narrative notes required when our performance variance is +/-10% or more?**
 - a) For all Contracts, Rate notes should give detailed reasoning/explanation for why performance was off, if there is a plan to get/stay on target, and if annual targets are still likely to be met
 - b) Sometimes, it is completely expected and within the program design to have a high variance. In these cases, indicate in the rate notes that this outcome is within program expectations.

Mid-Year and Closeout Reporting

- 1) **Mid-Year Spending Plan**
 - a) For each contracted fiscal year period, a mid-year spending plan is required for all contracts to ensure estimated remaining monthly expenditure amounts are reasonable and justified for the remaining six months of the program period term.
 - i) Submit the mid-year spending plan after approval of the Claim for the sixth month of the program and prior to submitting the seventh month Claim.
 - ii) Enter expenditures by month for the remaining six months of the program budget.
 - iii) Please make every effort to not equally distribute remaining funds over the remaining six months.
 - b) Mid-Year Spending Plans are due:
 - i) *For contracts beginning in October:* After the March Claim is submitted and before the April Claim is submitted.
 - ii) *For contracts beginning in July:* After the December Claim is submitted and before the January Claim is submitted.

- 2) **Contract Progress Reporting – Multi-year contracts only**
 - a) A contract progress report is due within (30 days) of the close of the contracted fiscal year period, to include these required exhibits:
 - i) Annual Performance Data Validation Form
 - ii) Annual Demographics Data Validation Form
 - iii) Summary of Leveraged Funds Allocated to the Contracted Fiscal Year Period Term

- 3) **Contract Closeout Report:** For all contracts, due within sixty (60) calendar days following the expiration or termination of the contract agreement
- a) Complete the following reports within the grant management system:
 - i) Closeout Capital Inventory
 - ii) Closeout Program Financial Summary
 - iii) Closeout Program Summary
 - iv) Closeout Tax Status Certification
 - v) Closeout Program Performance
 - vi) Closeout Files
 - (1) Spreadsheet of all final measure actuals and goals, including outputs and outcomes (numerator, denominator, AND percent/rate)
 - vii) Three pictures of the program (high resolution)

This document is intended to provide guidance. It represents the City's Digital Inclusion current thinking on this topic. It does not create or confer any rights for or on any person and does not operate to bind the City of Austin. An alternative approach may be used if such approach satisfies the requirements of the contract reporting guidance.