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Contract and Reporting

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INTRODUCTION

What is a contract?

In order to receive State funds to operate a school based health center (SBHC), each sponsoring agency enters into a contractual agreement with the Louisiana Office of Public Health (OPH)/Adolescent School Health Program (ASHP). The contract will specify the maximum amount of funds that a SBHC may receive during the contract period, the manner in which the funds will be spent, as well as the purpose of the contract.

Sponsoring agencies for planning and operating grants may be a private or public institution recognized locally as suited for planning or the administration and operation of a health center. Private organizations or institutions must be tax exempt under Section 501(c)(3) of the United States Internal Revenue Code. A hospital, medical school, health department, youth-serving agency, community organization, school or school system may be a sponsoring agency. If the sponsoring agency is not a medical provider, a formal written partnership agreement with a medical provider is needed.

An organization or agency sponsoring a SBHC should have a mission consistent with operating a school health care facility. The agency should be able to articulate its commitment to health promotion and disease prevention. A non-medical sponsoring agency must provide for the center's medical component to be carried out either directly or under contract by a qualified medical provider.

For a contract to be approved, the sponsoring agency must provide (see the Fiscal Section of this manual for more information):

- A budget detailing how the funds will be spent with itemization by funding source (DHH and non-DHH) and object detail.
- A budget justification explaining any items not self-explanatory, in addition to the Staffing Pattern Compliance Report.

How are payments made?

Payments under the contract are made monthly based on submission of invoices that document actual expenditures incurred that month in accordance with the approved contract budget (i.e., reimbursement for expenditures). To receive payment, a sponsoring agency must submit the required reimbursement forms to the OPH/ASHP office detailing its expenditures. Please see the Fiscal Section (section III) of this manual for a more detailed explanation of requirements for reimbursement as well as the appropriate forms to use.

What are the sponsoring agency's obligations under an OPH contract?

The sponsoring agency is responsible for assuring that all contractual obligations are met and that all reports detailing progress toward fulfilling each deliverable are submitted. The purpose of these funds, which are taxpayer dollars, is to meet the

health care needs of children and youth in Louisiana. It is the responsibility of the sponsoring agency to report to OPH/ASHP, accurately and in a timely fashion, on how the funds have been spent and what has been accomplished. It is required that each contract deliverable be addressed in the reports. For operating SBHCs, statistics must accurately reflect the number and type of services provided. Feedback from OPH/ASHP on reports is provided to planning and operating SBHCs to help the SBHC improve accountability for the funding OPH provides. All obligations under the contract should be taken seriously.

CONTRACT ATTACHMENTS

Please review your contract with these attachments carefully. They detail the contractual requirements and responsibilities of the sponsoring agency.

Operating Grants

Each operating SBHC contract has the following attachments.

- Attachment A: Statement of Work
- Attachment A-1: Annual Projected Totals
- Attachment B: Summary Budget (page 1)
Budget Detail (pages 2-5)
- Attachment C: SBHC Services
- Attachment D: Definition of Primary, Preventive and Comprehensive Care
- Attachment E: Reporting Requirements Schedule

Planning Grants

Planning grant contracts have Attachments A (Statement of Work) and B (Budget).

REPORTING

Each sponsoring agency is required to comply with all reporting requirements specified by the OPH/ASHP office. Periodic quantitative and qualitative reports concerning program activities, data on participation and services, and expenditures are a condition for continuing program participation and reimbursement of approved expenditures as provided in the contract.

Each sponsoring agency must submit the following reports/data that can be downloaded from the ASHP website: <http://www.dhh.louisiana.gov/offices/?ID=255>

Operating Grants:

1. Monthly: (Invoices due the 15th of each month, except the June invoice is due July 9.)
Invoices/financial reports which provide details regarding SBHC expenditures along with appropriate supporting documentation and a service report which provides evidence that an acceptable level of services was performed to support the staffing level for that month (number of patients and visits). In the case of travel, supporting documentation should be provided in accordance with State travel

regulations. It should reflect the dates and times of travel and include travel logs, hotel and conference receipts, the conference agenda, and registration form. Conference agenda without the conference receipt and registration form is not considered sufficient documentation. If a check is to be used in lieu of a receipt, be sure to provide the OPH/ASHP Program Office with both front and back of the cancelled check. The OPH/ASHP Program Office reserves the right to request additional documentation as necessary to verify expenditures. See Section 3 of this manual for more details.

2. Quarterly: (Due 10/31, 1/31, 4/30, 7/15)
 - a. Sections of the LAPERT that document adherence to program policies (see Section 5 of this manual)
 - b. ASHP Statistical Report for Contract Compliance
 - c. ASHP Staffing Pattern Compliance Report
 - d. Inventory List

3. Bi-annually: (Due 1/31, 7/15)
 - a. Biannual Statistical Service Report that provides information about the number and type of student visits to the SBHC. *Exception:* When a sponsor has a LAPERT site visit, the statistical report from the most recent *quarter* must be included in the LAPERT notebook.
 - b. Outcome Measures Reporting Form
 - c. Accurate six-month data export (from 7/1-12/31) and accurate annual data export.

4. Annually: (Due 6/30)
 - a. In-kind contributions using the In-Kind Contribution Reporting Form
 - b. Sources and amounts of revenue billed and collected and progress toward billing insurance using the Insurance Revenue Reporting Form

Planning Grants:

1. Monthly:
 - a. Invoices/financial reports, which provide details regarding SBHC expenditures along with appropriate supporting documentation, will be due the 10th of each month. In the case of travel, supporting documentation should be provided in accordance with State travel regulations. It should reflect the dates and times of travel and include travel logs, hotel and conference receipts, the conference agenda, and registration form. Conference agenda without the conference receipt and registration form is not considered sufficient documentation. If a check is to be used in lieu of a receipt, be sure to provide the OPH/ASHP Office with both front and back of the cancelled check. The OPH/ASHP Office reserves the right to request additional documentation as

necessary to verify expenditures. Please note, all audit fees and other costs associated with the audit shall be paid entirely by the contractor.

- b. SBHC Planning Grant Monthly Progress Reports shall be submitted with monthly Request for Reimbursement (invoice), due on the 10th of each month, documenting progress made towards meeting deliverables.
2. Annually: In-Kind contributions using the In-Kind Contribution Reporting Form. Report will be due June 30.

PLEASE NOTE: Most forms are updated annually and should be implemented in the appropriate year. Again, all reporting forms can be downloaded from the ASHP website: <http://www.dhh.louisiana.gov/offices/?ID=255>

Evaluation of Reports

Operating Grants

Once the ASHP contract monitor receives the quarterly report from the operating SBHC, the report will be reviewed and an evaluation report will be sent to the SBHC.

The individual who completes the quarterly reports should review the evaluation report. A copy of this evaluation report will also be kept on file in the ASHP office. The date each report is received will be noted. Narrative reports will be evaluated in terms of organization, content, clarity, accuracy and to what extent contract goals and objectives have been met. Statistical reports will be evaluated in terms of mathematical accuracy, accuracy in year-to-date data and whether specific indicators have been listed and calculated. The SBHC will be notified if a report has not been received by the ASHP office. If the contract monitor finds that narrative or statistical reports are unsatisfactory, the evaluation report will outline the problems. The SBHC will be required to submit a written response to the ASHP office explaining how further reports will be modified to rectify the problem and follow-up on these modifications. This process should be completed by the end of the following quarter. Subsequent reports will be monitored by the ASHP office to observe if changes have been made. All correspondence will be kept on file at the ASHP office.

If the ASHP office determines that grantees of funding have "...failed to use the funds set forth in its budget or failed to reasonably achieve its specific goals and objectives for use of the funds..." the ASHP office maintains the right to withhold funding until the recipient has demonstrated the goals/objectives and deliverables have been met.

Planning Grants

Evaluation of planning grants is ongoing and often throughout the planning process and may be given via phone calls, emails and other correspondence. Reports will be evaluated in terms of content, clarity, and to what extent contract goals and

objectives have been met. The SBHC will be notified if a report has not been received by the ASHP office.

Submission of Late Reports

The ASHP office has created the following protocol:

If SBHC staff will not be able to send in the quarterly narrative and statistical reports by the established due date, a written request must be submitted no later than a week before the reports are due explaining the reason why the reports will be late. The ASHP office will review the request and an alternative due date will be negotiated. Failure to send in quarterly reports by the negotiated due date will be considered an act of non-compliance. Approval of reimbursement request will be withheld until reports are received.

Repeated late/non submission of quarterly reports without justifiable reasons will result in further scrutiny by the ASHP office. Failure to submit reports in a timely fashion will be considered non-compliance and will jeopardize the SBHC's contract with OPH.

OPH-ASHP DOCUMENTS

Principles, Standards and Guidelines for SBHCs in Louisiana

The primary goals of SBHCs are to provide convenient access to primary and preventive health services for students who might otherwise have limited or no access to health care and to meet the physical and emotional health needs of adolescents at their school sites. The *Principles, Standards and Guidelines for SBHCs in Louisiana* is a document that details all aspects of SBHC operation and may be downloaded from the ASHP website: <http://www.dhh.louisiana.gov/offices/?ID=255>. The section on Principles discusses how SBHCs should be developed, organized, integrated, maintained and many other valuable topics. The Standards section includes information on community participation, sponsoring agency responsibilities, the relationship between the SBHC and the school/school district, services, parental consent, operating policies, staffing, selection criteria and continuum of care. And finally, the Guidelines detail issues such as the relationships with family, school, community, back-up facility; staffing requirements for all SBHC personnel; the organization and function of the SBHC and community advisory committee; critical policies and procedures; quality assurance activities and a comprehensive list of services. The document also includes a list of the topics to be covered in the RN Clinical Guidelines and information on the necessary items of a SBHC emergency kit.

The *Principles, Standards and Guidelines for SBHCs in Louisiana* and the contract are two of the most important documents you will need to maintain compliance with the OPH contract. Review these both very carefully and discuss any questions with your contract monitor.