

## ATTACHMENT A STATEMENT OF WORK

### I. CONTRACTOR/PERFORMING AGENCY RESPONSIBILITIES

#### 2.3 Need for Service

Claims Processing is the timely writing and processing of payments on behalf of DFPS for goods and services that benefit eligible DFPS clients. The use of a HTTPS “secure” (Hypertext Transfer Protocol on top of SSL/TLS protocol) web site for making disbursements is allowable. The “secure” web site must contain an URL address indicating Secure Socket Layer (SSL) or Transport Layer Security (TLS) secured.

#### 2.4 Eligible Population

Client eligibility is determined by DFPS. Contractor must provide services on behalf of clients authorized by DFPS.

#### 2.5 Client Characteristics

Clients that will be served are CPS clients. There is no direct client contact by the Contractor in the provision of this service; therefore, no special client characteristics need to be considered.

#### 2.6 Service Availability

The Contractor must be available during regular working hours from 8 a.m. to 5 p.m. Monday through Friday except on State Holidays. A list of State Holidays can be found at the following link:

<http://sao.hr.state.tx.us/compensation/holidays.html>

For holidays that show "Skeleton Crew Required" or "Optional" Contractor must have enough employees on duty to conduct the business necessary to meet the requirements defined in Section 2 of the contract.

##### 2.6.1 Period of Performance

The initial contract period will begin on the effective date stated in the contract and will terminate on **August 31, 2024** unless terminated sooner as described in the contract.

##### 2.6.2 Transition Planning

Contractor must provide services by the contract effective date. It is anticipated the scope of work for the Transition Phase will occur immediately after contract execution. “Transition Phase” is defined as those activities that the awarded Contractor must conduct between the effective date of the contract and the awarded

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Contractor's operational start date, which in this particular instance is the same date. The work activities and requirements outlined in this section are applicable to the awarded Contractor.

DFPS must ensure that the process of transition to the awarded Contractor from the existing Contractor upon contract award, results in predictable, seamless transition where claims processing services continue to be delivered in a timely and efficient manner. DFPS and the Contractor must work together throughout the transition phase to establish a detailed schedule for all tasks/activities and define expectations for the readiness and successful implementation of claims processing services.

Transition activities that must be performed by the Contractor include, but are not limited to:

- Coordination activities with current Contractor and associated planned due dates to ensure:
  - All applicable information, data, files, etc. is obtained, and
  - Capture the current status of all pending disbursement requests beyond the incumbent contractor's contract end date.
- Receipt of transferred information including applicable client files (see section 2.10.1 Individual Client Records) and other pertinent data to ensure continued operations.

### 2.6.3 Turnover Planning

At the end of the contract term, including any renewals or other contract termination or cancellation, the Contractor shall in good faith and in reasonable cooperation with the DFPS, aid in turnover to any new arrangement or provider of services. Turnover is defined as those activities that are required for the Contractor to perform in order to transition contract operations to a subsequent Contractor or DFPS. At the commencement and during turnover, the Contractor must ensure that DFPS and DFPS clients do not experience any adverse impact from the transfer of services to another entity or to the State.

Turnover activities that must be performed by the Contractor include, but are not limited to:

- Transfer of information including all client files (see section 2.10.1 Individual Client Records) and other pertinent data to ensure continued operations by the new Contractor,
- Ensuring all records are complete, and up to date, and

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- Unless otherwise directed in writing by DFPS, the Contractor must process all Form 2054 disbursement requests received by the Contractor through the end date of the Contractor's Contract with DFPS.

### 2.7 Service Authorization and Referral Process

Services are authorized by DFPS and Contractor must have an intake process to handle referrals.

#### 2.7.1. Service Authorization Form (DFPS Form 2054)

##### 2.7.1.1 Ability to Accept Referrals

DFPS will authorize services via CPS Service Authorization Form 2054 (Form 2054). The Contractor must be able to accept Form 2054 by any means, including but not limited to:

- E-mail;
- Fax;
- U.S. Mail; and
- Hand Delivery or Commercial Delivery Service.

##### 2.7.1.2 Maintain Support Resources

Contractor must maintain all necessary support resources to receive, process, and document claims, including but not limited to:

- Fully operational fax machine;
- Fully operational computer(s) and software compatible with DFPS technology;
- Sufficient technological capacity to handle all aspects of the claims processing service;
- Working telephone;
- Internet service; and
- Working accessible and secure email capacity.

##### 2.7.1.3 Document Referral

Contractor must document the time and date that the Contractor received the Form 2054 by:

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- Time and Date stamp on the form;
- Attaching the fax sheet with an accurate receipt time and date notation; or
- Attaching or maintaining the email (with an accurate receipt date and time notation) directly to the file copy of each Form 2054.
- Service Authorizations found to be inaccurate or incomplete during the Quality Assurance review must include the initial receipt date and time and the final acceptance date and time.

### 2.8 Claims Processing

#### 2.8.1 Quality Assurance (QA) Referral Form 2054

Upon receipt of Form 2054 the Contractor must have a QA process in place to review each Form 2054 submitted by DFPS prior to making the requested disbursement. A QA review includes, but is not limited to, confirming that the Contractor has accurate and complete information needed to process the disbursement.

##### 2.8.1.1. Information needed to authorize the disbursement

The Contractor must ensure disbursements made on behalf of DFPS are properly authorized. The approvals required to authorize the disbursement are specified in Table 1;

<b>Table 1 Approval Requirements – Form 2054</b>			
<b>Service Code</b>	<b>Service</b>	<b>Dollar Value of Request</b>	<b>Number of Required Approvals</b>
82C 82D	Concrete Services	\$0.01 - \$600.00	2– DFPS <b>Plus Client</b>
82C 82D	Concrete Services	\$600.01 - up	3 – DFPS <b>Plus Client</b>
18G, 18H, 18I	Preparation For Adult Living (PAL)	\$0.01 - \$600.00	2 – DFPS
18G, 18H, 18I	PAL	\$600.01 - up	3 – DFPS

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<b>Table 1</b>			
<b>Approval Requirements – Form 2054</b>			
<b>Service Code</b>	<b>Service</b>	<b>Dollar Value of Request</b>	<b>Number of Required Approvals</b>
86H	Court Related Services	All Dollar Values	2– DFPS

### 2.8.1.2. Information needed to make the disbursement

- Who to pay;
- The vendor identification number for those goods and services as agreed upon by both parties;
- The exact amount of the disbursement;
- Where to send the disbursement;
- Any special instructions; and
- Invoice, bill or other documentation supporting amount due.

2.8.1.3. Follow up with the CPS Caseworker listed on Form 2054, no later than close of business (COB) the day following receipt of Form 2054 to obtain required information or make any needed corrections to Form 2054.

### 2.8.2. Process Accurate Payments

The Contractor must ensure disbursements made on behalf of DFPS are accurate as specified in the referral Form 2054, including but not limited to making sure:

2.8.2.1 Each Form 2054 is in compliance with Table 1, Approval Requirements;

2.8.2.2 Each requested disbursement is made payable to the correct party and is not a "restricted disbursement":

#### 2.8.2.2.1 Restricted Disbursements

##### 2.8.2.2.1.1 DFPS Staff

Disbursements by the Contractor must not be payable to any DFPS employee.

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### 2.8.2.2.1.2 DFPS Client

Disbursements by the Contractor must not be payable to the DFPS client, except as requested by CPS Caseworker for the following PAL service codes:

- 18G,
- 18H, and
- 18I
- 18K, and
- 14T

2.8.2.3. Each requested disbursement is for the exact amount requested;

2.8.2.4. The processing of each Form 2054 complies with any special instructions from DFPS;

2.8.2.5. The processing of each disbursement request meets the time specifications in Table 2 Check Processing Time; and

2.8.2.6. Each requested disbursement is sent to the specified party as required in the Form 2054.

### 2.8.3. **Process Timely Payments**

The Contractor must ensure disbursements made on behalf of DFPS are made timely as specified in Table 2, Check Processing Time.

Table 2 Check Processing Time		
Type of Disbursement	Receipt Time of an Accurate & Complete Service Authorization Form	Time by Which the Disbursement Must Be Processed and Out of Contractors' Office
Regular Disbursement	Between 8 am & 5 pm	No later than the next business day.
Reissuance	Between 8 am & 5 pm	No later than the next business day.
Disbursement at Contractor's Office	Between 8 am & 5 pm	As agreed upon by both parties, but no later than the next business day.

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<b>Table 2 Check Processing Time</b>		
OR		
Emergency Disbursement*	Between 8 am & 3 pm	Via overnight service, the same day received, before the close of business.
Emergency Disbursement*	After 3 pm	Via overnight service, no later than the next business day

*\*Designated by making an overnight request at the sole discretion of DFPS.*

### 2.8.4. Disbursement Documentation Requirements

#### 3.6.4.1. Contractor is responsible for:

2.8.4.1.1. Securing invoices and receipts as appropriate to the claim being processed to support the disbursements made on behalf of DFPS, and

2.8.4.1.2 Matching receipts to the corresponding Form 2054.

DFPS will provide a single point of contact (SPOC) within the Region to assist the Contractor with tracking receipts and checks that have not been cashed.

### 2.8.5. Reconcile Disbursements

Contractor must reconcile disbursements against invoices, receipts, Form 2054 and processed checks as appropriate. Contractor must report any differences or other discrepancies to the DFPS Contract Manager for instructions on how to handle.

#### 2.8.5.1. Returned Disbursements (non-use)

The Contractor must adjust any returned disbursements that have not cleared the Contractor's account, within 60 (sixty) days of issuance, in the next billing cycle as a credit adjustment. The Contractor may retain the initial administrative fee but may not charge an additional administrative fee.\*

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### **2.8.5.2. Partial Funds Returned**

If a check issued by the Contractor in accordance with Form 2054 is not fully utilized, funds will be returned to the Contractor. The Contractor must credit the amount of returned funds to DFPS in the next billing cycle. The Contractor may retain the initial administrative fee but may not charge an additional administrative fee.\*

### **2.8.5.3. Reissued Disbursement**

If a check issued by the Contractor in accordance with Form 2054 is returned for reissuance due to DFPS error, the Contractor may charge an additional administrative fee.\*

\*NOTE: See Utilization and Compensation, in Table 3, Administrative Fee Schedule.

### **2.8.6. Maintain Open Communication**

Contractor will maintain open communication with DFPS to support successful Claims Processing services as requested by DFPS, including but not limited to:

- Participation in DFPS meetings; and
- Conferences.

## **2.9 Required Record Keeping**

The Contractor must maintain records. Records may be kept electronically; however, Contractor must be able to promptly produce an easily legible hard copy of any records, if requested to do so by and for DFPS. Contractor must maintain and house all records in a central location, although Contractor may maintain backup copies of records in an alternate secure location. The required records that must be maintained by Contractor include but are not limited to:

### **2.9.1 Individual Client Records**

The individual client record must include but is not limited to:

#### **2.9.1.1 Service Authorization Form 2054**

- Documentation on the initial form of the time and date received;
- Documentation of any follow-ups forms received;
- QA documentation on the form to support disbursement;
- Documentation of the date the requested disbursement is completed; and

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- Documentation to support processing with the time and date the disbursement was sent indicated.

### 2.9.1.2 Receipts or invoices to support and reconcile disbursements;

Documentation of at least two (2) attempts to secure the appropriate disbursement supporting documentation receipts from Regional SPOC. Documentation must include:

- Name, date, and method of contact made with DFPS, and
- Results of the contact with DFPS.

### 2.9.1.3 Documentation to support overnight processing with the time and date the disbursement was sent indicated;

### 2.9.1.4 Additional documentation to support the disbursement was released to DFPS staff at the Contractor's office to include:

- Name, title and signature of person receiving disbursement; and
- Check number.

### 2.9.1.5 Other supporting documentation.

## 2.9.2 Other Records

The Contractor must maintain all other records necessary to support disbursements made on behalf of DFPS. Such other records must include but are not limited to:

- Processed/Cancelled Checks;
- Billing documentation;
- Any Contract-related e-mails or other written notifications/communications internal to Contractor or between Contractor and any external entities (including DFPS); and
- Copies of Contractor staff files/documentation, to support the Contractor's minimum experience, financial, and other requirements.

## 2.10 Required Reports

There are no specific reports required of the Contractor; however, DFPS may

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from time to time request reports from the Contractor as needed to support the Claims Processing Service. The Contractor must comply with any report request made by the DFPS Contract Manager.

### **Section 3 - Utilization and Compensation**

#### **3.1 Historic Service Utilization**

The Utilization rate will vary according to the needs of DFPS staff, individual clients, and DFPS budgetary allocations. Actual utilization is within the discretion of DFPS.

#### **3.2. Compensation**

##### **3.2.1. Availability of Funds**

3.2.1.1. DFPS does not guarantee funding at any level and may increase or decrease funds at any time during the term of this contract.

3.2.1.2. Contractors may not use funds received from DFPS to replace any other federal, state, or local source of funds under any other contract. Additionally, Contractors may not use DFPS funds as match (in-kind or cash match) for any other funding opportunity (grant application) in which the Contractor may be participating.

##### **3.2.2. Sufficient Resources**

The Contractor will maintain the requisite financial and other necessary resources to perform the Contractor's duties and obligations as required by, and in the manner required by this contract.

##### **3.2.3. Method of Payment**

The payment methodology is fee-for-service.

##### **3.2.4. Unit of Service**

One (1) unit equals one (1) administrative fee charged for each accurate and timely completed disbursement or applicable reissuance.

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### 3.2.5. Fee Schedule

<b>Table 3 Unit Rate for Claims Processing Services</b>	
<b>Type of Referral</b>	<b>Administrative Fee</b>
Regular Referral	\$0.00
Emergency Referrals (Declared by designating Overnight Delivery on Service Authorization.)	\$0.00
Reissuance	\$0.00

*\*Courier fees are not reimbursable*

<b>Administrative Fee Schedule</b>		
<b>Transaction Type</b>	<b>Initial Administrative Fee Applies</b>	<b>Additional Administrative Fee Applies</b>
Initial Disbursement	Yes	NA
Disbursement Returned for Non-Use	Yes	NA
Disbursement Reissued due to DFPS Error	Yes	Yes
Disbursement Reissued Due to Contractor Error	Yes	No
Untimely Disbursement Issued	No	No

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### II. INVOICE AND PAYMENT

No payment will be made without the Contractor's submission of accurate and proper invoices to DFPS. Contractor must submit accurate and proper invoices to the designated DFPS contract office.

#### 3.3 Instructions for Invoicing DFPS

Contractor's staff responsible for preparing invoices will receive instructions on the specifics of invoicing DFPS. The format for invoicing DFPS is determined by the DFPS Contract Manager.

##### 3.3.1 Invoice Process

Selected Contractor(s) will:

###### 3.3.1.1 Access the DFPS Pre-Bill

Access the DFPS pre-bill either electronically or a pre-bill will be mailed to Contractor(s). The pre-bill is a list of authorized service requests provided to your agency at the end of each billing month.

##### 3.3.2.1 Submit DFPS Pre-Bill as Invoice

###### 3.3.2.1.1 When to Submit

Contractor may bill DFPS only after the requested disbursement check has been processed.

###### 3.3.2.1.2 How to Submit

Submittal of claims by submitting a signed and dated DFPS pre-bill, reflecting services authorized and delivered.

##### 3.3.2.2 Invoice Attachments

###### 3.3.2.2.1.1 Form 4116 X, State of Texas Purchaser Voucher

Submit an original signed Form 4116X, State of Texas Purchase Voucher.

###### 3.3.2.2.1.2 Form 2016, Delivered Services Input

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Form 2016, Delivered Services Input, is required when a supplemental claim or return of agency funds is being made. The Form 2016 is completed to correspond to the specific month of service.

### **3.3.2.2.1.3 Other Supporting Documentation**

Submit any other supporting documentation requested by DFPS, not limited to Copy of Service Authorization and Receipt or invoice.

### **3.3.2.3 Due Date**

Submittal of claims either by directly data entering the information into the DFPS Invoice system, or by submitting a signed and dated DFPS pre-bill, reflecting services authorized and delivered data by the 15th of each month, following the month of service.

Failure to submit invoices on time may be considered a contract compliance issue and be used in evaluating whether to renew or terminate the contract.